



Generating new
knowledge
and informing
public policy

Integrated
Annual Report
2016/17



science
& technology

Department:
Science and Technology
REPUBLIC OF SOUTH AFRICA



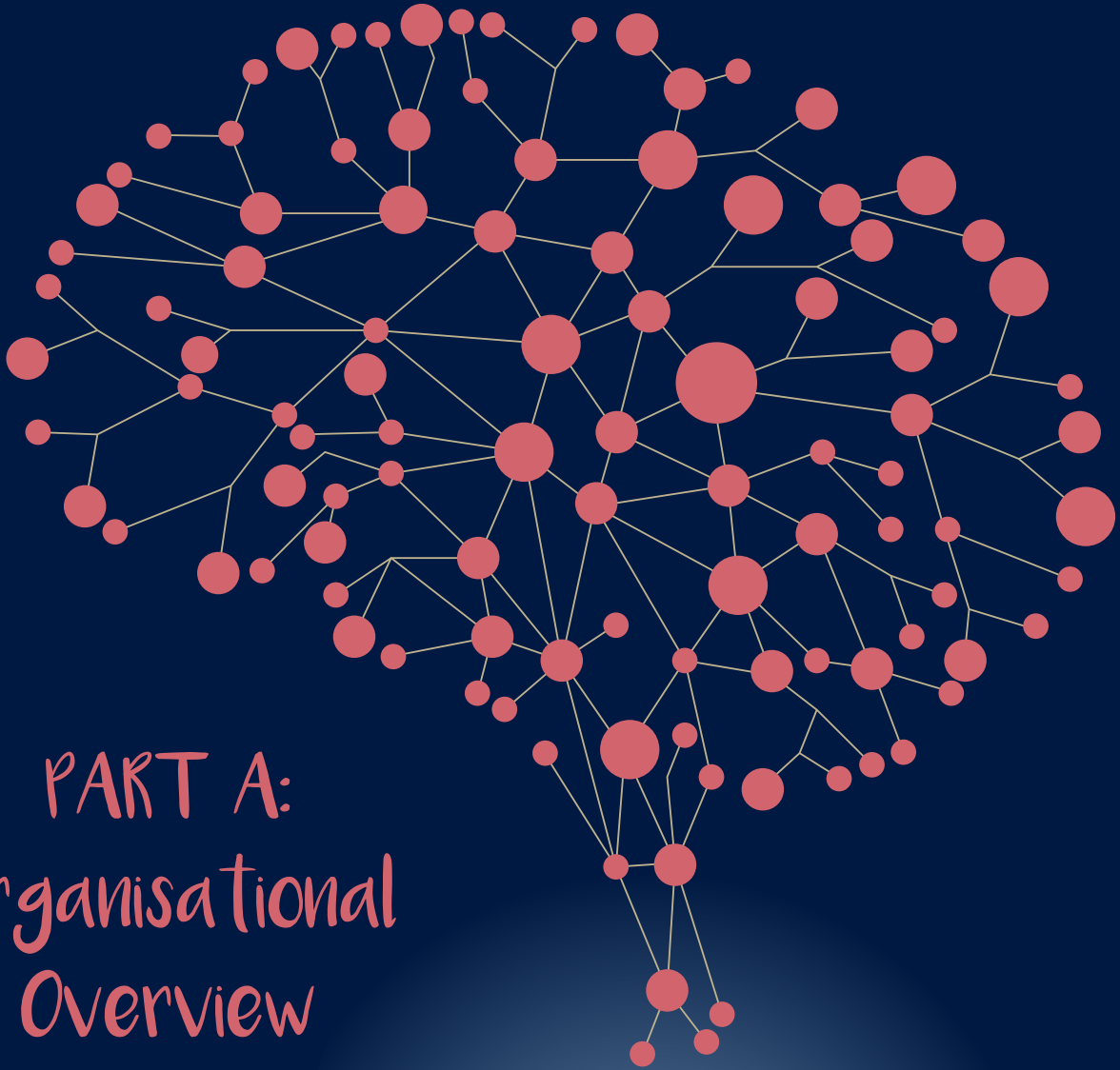
HSRC
Human Sciences
Research Council



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PART A:
Organisational
Overview



“

Anything that gives us **new knowledge**
gives us an opportunity to be more rational.

• Herbert Simon – Winner, Nobel Economics Prize 1978 •

”

Scope and Boundaries

The Integrated Annual Report covers the activities and results of the HSRC for the period 1 April 2016 to 31 March 2017.

The Integrated Annual Report has been prepared in accordance with the Generally Recognised Accounting Principles (GRAP), the requirements of the Public Finance Management Act (Act No. 1 of 1999, as amended) (PFMA), and the recommendations of the King III Report. Management also considered the guidelines published by the Integrated Reporting Committee of South Africa.

The Integrated Annual Report is published with the aim of assisting stakeholders in assessing the ability of the Human Science Research Council (HSRC) to create and sustain value.

Profile of the Human Sciences Research Council

The HSRC was established in 1968 to undertake, promote and co-ordinate research in the human and social sciences.

It operates in terms of the Human Sciences Research Council Act (Act No. 17 of 2008), which replaced the Human Sciences Research Council Act (Act No. 23 of 1968) and provides for the continued existence of the Human Sciences Research Council.

The Act outlines the functions of the HSRC Board and mandates the HSRC to:

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



The HSRC Act also allows the HSRC to undertake or commission research on any subject in the field of the human sciences and to charge fees for research conducted or services rendered at the request of others.

The above clearly shows that the HSRC is obliged to renew and increase the pool of researchers and scholars in the humanities and social sciences to ensure continued capacity to undertake research at universities and other research institutions in South Africa, including the HSRC itself. Such researchers must be well-rounded and able to conceptualise, plan, and conduct research as well as analyse data, undertake scientific writing and disseminate their research findings.

Mission, vision and values

(<http://www.hsrc.ac.za/en/about/what-we-do/mission-vision-values>)

The HSRC is a non-partisan, public-purpose organisation that generates scientific knowledge through its research and analytical work in the social and human sciences.

It undertakes and promotes research that is often large-scale, multi-year, and collaborative in nature. It produces high-quality scientific evidence to inform further analysis, debate, advocacy and decision-making by role players in government, the media, academia, and community-based groupings. The HSRC responds to the needs of vulnerable and marginalised groups in society through its research. It develops and makes available datasets underpinning research, policy development and public discussion of developmental issues.

Through its work, the HSRC aims to inform policy development and best practice, thereby not only making a difference to the lives of people in South Africa but also the entire mother continent.

Vision

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

Mission statement

The HSRC is a research organisation that advances social sciences and humanities for public use.

Values

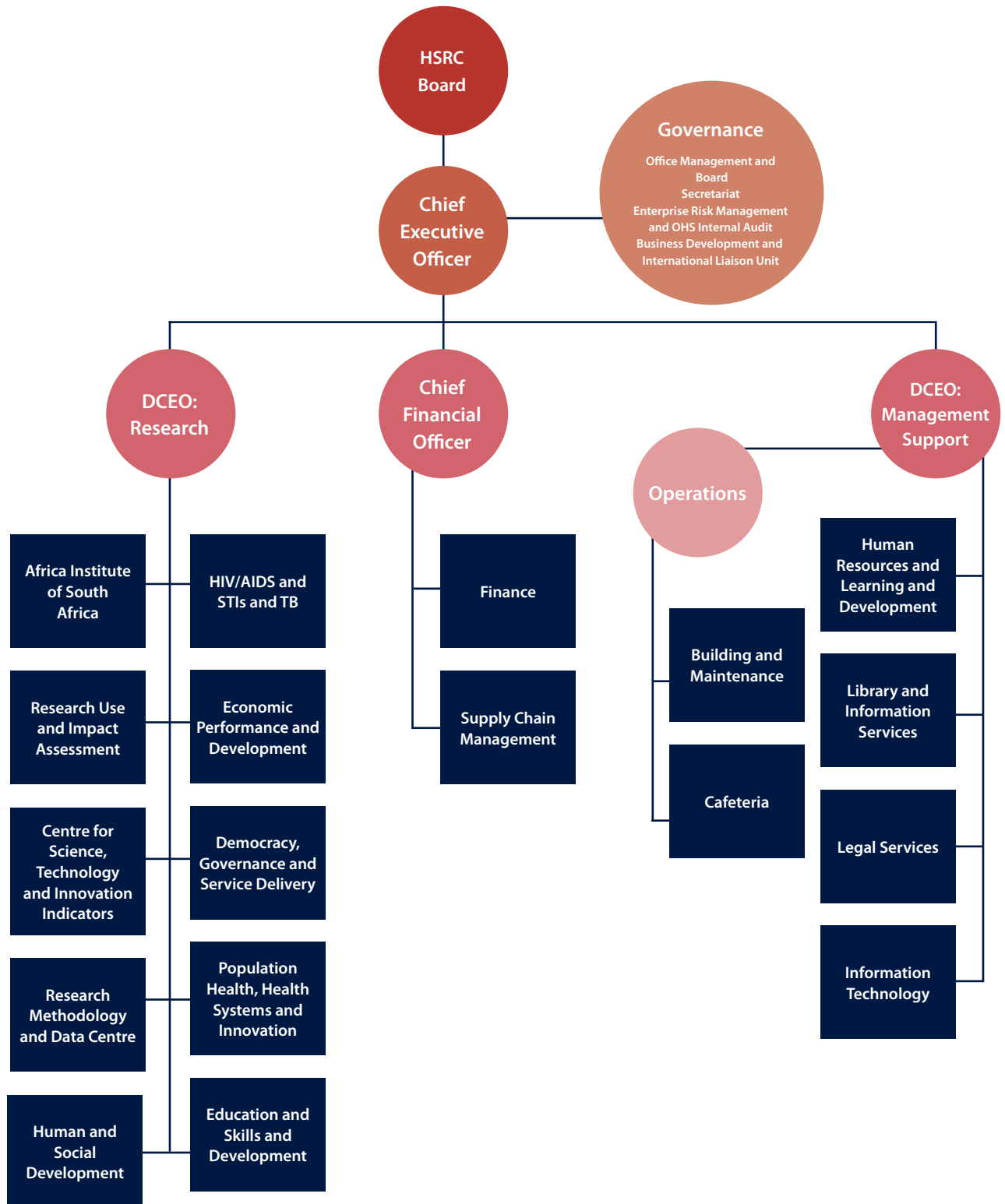
At individual level, staff at the HSRC will be guided by the values of independence, non-discrimination, tolerance of diversity, honesty, integrity, respect, non-partisanship, innovation, diligence, responsiveness and collaboration. At institutional level, the HSRC will at all times strive to distinguish itself as separate from, yet often closely collaborating with, government, universities, NGOs, media, and advocacy groups; and to remain a scientific organisation whose work is viewed as authoritative and non-partisan. Quality, integrity and ethical conduct are essential hallmarks of HSRC work.

Motto

Social science that makes a difference



Organogram |





Chairperson's Foreword



The role that the social sciences and humanities play in understanding the underlying factors contributing to the stubbornly high levels of poverty, inequality and unemployment in South Africa and in offering evidence-based solutions, has never been as important, or as timely. The country is grappling with economic stagnation and increasing social division and strife, compounded by increasing levels of corruption, all of which are contributing to our inability to adequately formulate and implement policies and programmes intended to deliver essential services and to improve the wellbeing of all citizens.

If the HSRC is to remain relevant, it must promote quality research and development that addresses the core challenges that confront the country, and in so doing inform public policy in ways that contribute positively to the country's developmental agenda.

It is with this in mind that the HSRC has embraced the theme '*Poverty and inequality: diagnosis, prognosis, responses*' to guide its work over the next five years. The adoption of a thematic approach has required fundamental rethinking within the organisation and a shift towards greater collaboration across the different entities of the HSRC, as well as the conceptualisation of a number of overarching programmes encompassing the overall theme. As the tenure of the current Board comes to an end in October, it will be the task of the next Board to oversee and support the implementation of the revised strategic direction of the organisation.

With the current Board's term coming to an end, an external evaluation was undertaken to assess the effectiveness of the Board. I am pleased that the results of this evaluation confirm that the Board has functioned well as a collective. For this, I wish to thank my fellow Board members for their commitment to the vision of the HSRC, and their willingness to engage in a robust and critical manner with their governance responsibilities. The evaluation has also helped to crystallise areas that require further attention from the new Board.

The Board is pleased to note good progress in delivering on the performance targets set for the organisation during the year under review. It is particularly gratifying to note the increase in quality scholarly output produced by the HSRC researchers. Similarly, we have seen an increase in the number of research trainees, both at the master's and doctoral level. The HSRC continues to play an important role, in partnership with universities, in nurturing the next generation of scholars in the humanities and social sciences.

The leadership of the HSRC continues to work with our sister science councils and the universities to foreground the importance of the humanities and social sciences in social, economic and technological development.



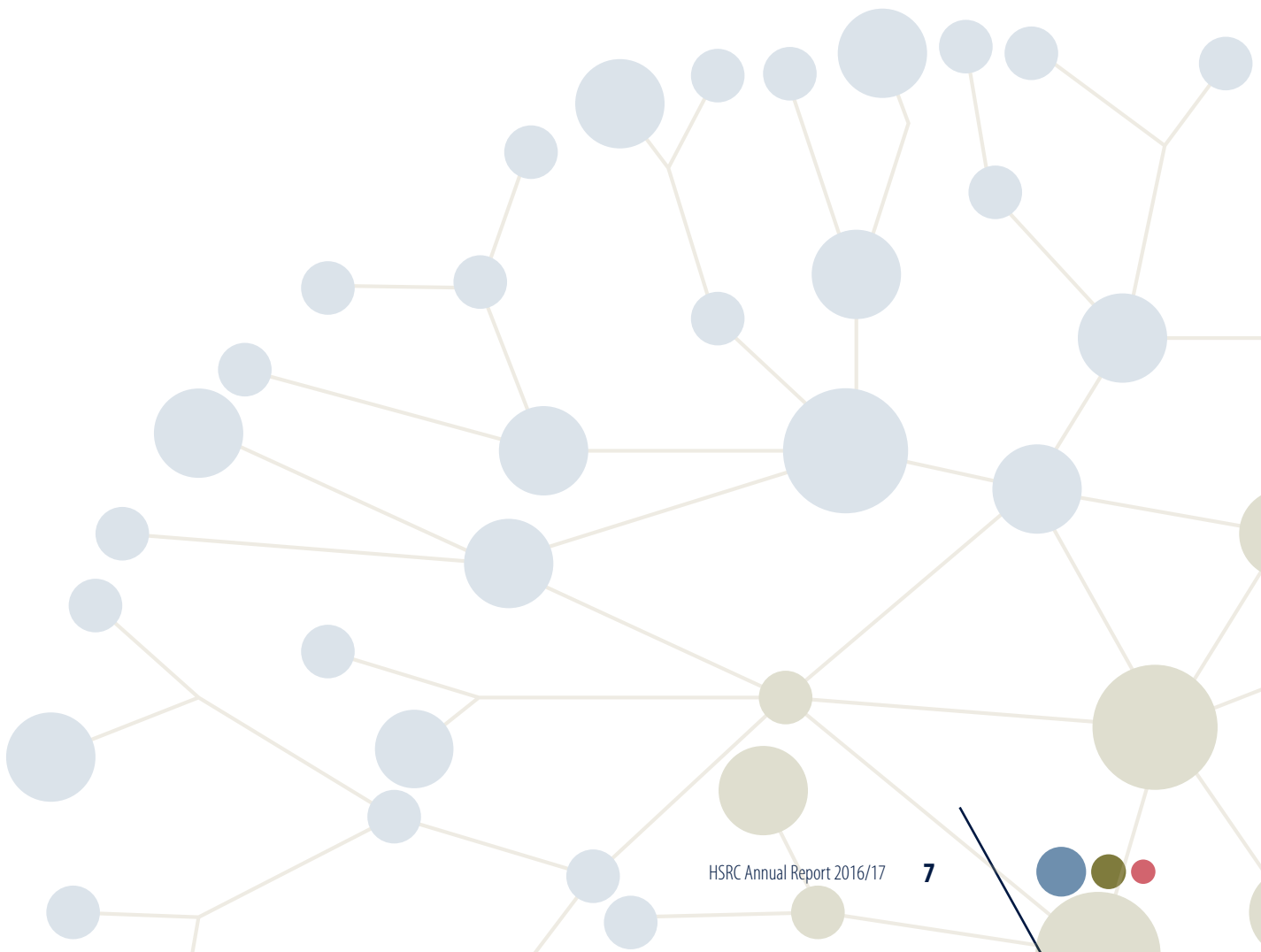
This year we launched the HSRC Medal for Social Sciences and Humanities, celebrating outstanding contributions in the field. We received a strong pool of nominations and were pleased to present the inaugural award to an outstanding scholar, Prof. Njabulo Ndebele.

I take this opportunity to thank the Minister and the Department of Science and Technology, my fellow Board members, the Chief Executive Officer, the Board Secretariat and the leadership team of the HSRC for their collegiality and support, which has allowed the Board to fulfil its oversight responsibilities.

I wish the new Board every success in ensuring that the work of the HSRC continues to impact positively on policies and programmes that contribute to building a more equitable future.



Ms Nasima Badsha
Chairperson





CEO's Overview

2016/17 bore witness to a fair amount of turbulence in our country, ranging from increased incidents of racism, service delivery protests, citizen participation in social movements calling for a transformed socio-economic environment, and some dramatic changes in governance of our main cities following the country's fifth local government elections. Indeed, increased economic and social inequality in South Africa also comes amidst what has been described as anaemic economic growth and increased job insecurity.

Our current social and economic conditions bring to mind the oft quoted statement by Victor Hugo, "Nothing is more powerful than an idea whose time has come."

The time – and idea – that has come is for all institutions in South Africa, public and private, to confront the reality that we cannot continue to do the same things and expect different results. We cannot continue to lament the high levels of poverty and inequality in our country, and continue to apply the same remedies in the hope of reducing these. We cannot continue to expect the citizens of our country to remain patient while we in the public, and private, sector continue to experiment with solutions which do not yield the expected results.

This reality, while dire, provides a great opportunity for the HSRC to contribute to understanding the root causes of our collective inability to deliver on the promise of a better South Africa for the millions of our citizens. With a deeper understanding can come the right solutions.

In pursuit of this, the Council will be guided by the theme *'Poverty and inequality: diagnosis, prognosis, responses'* for the next five years. We will apply various research methodologies and our collective human capital expertise towards understanding the root causes of poverty and inequality in our research agenda.

The question of the obdurate poverty and inequality with which we grapple on a daily basis, is at the core of many national policies and programmes, including, amongst others, the National Development Plan and the 10 Year Innovation Plan developed by the Department of Science and Technology. In its introduction, the Innovation Plan immediately connects the innovation revolution with socio-economic development, observing that "South Africa's innovation revolution must help solve our society's deep and pressing socio-economic challenges."



In moving towards a comprehensive understanding of the factors driving poverty and inequality in our country, towards a solutions that will bring the National Development Plan to life, the HSRC in 2016/17 conducted research projects looking at:

- The State of Informal Settlements, which aimed to understand conditions within such settlements and how they are changing to assist with policy development around their upgrades;
- Obstacles to Affordable Urban Housing, which aimed to assess regulatory barriers and other obstacles to the provision of accessible, inexpensive accommodation;
- Innovation in Public Employment Programmes, which aimed to understand the impact and effectiveness of such programmes in reducing poverty and contributing to employment opportunities;
- Dynamism in Rural Areas, which aimed to assess the social innovations in rural areas and how these can be translated into solutions to respond to some of the common social challenges prevalent in South Africa;
- Spatial Evidence for Planning, which aims to understand spatial trends and dynamics to improve sound policymaking and planning. This includes population mobility and the implications for the provision of shelter for migrants;
- An Evaluation of Citizen Engagement, which aimed to harness capacity to improve planning, implementation and innovation to make cities more inclusive and liveable;
- Citizen Frontline Service Delivery Project, which aimed to contribute to the improvement of service delivery through fruitful and sustained citizen engagement while facilitating partnerships with the community to improve service provision and maintenance; and
- The Labour Market Intelligence Partnership (LMIP) and the Skills Supply and Demand in South Africa Report, which is a long-term project aimed at analysing the skills needed to support inclusive economic growth and how education and training institutions should respond to this demand.

We are also very pleased to have concluded the annual South African National Survey on Research and Experimental Development and the inaugural South African National Survey of Intellectual Property and Technology Transfer in Publicly Funded Research Institutions, which will help us to understand the country's research, development and innovation profile.

The Council has, in addition, continued with its routine large-scale surveys, including:

- Preparations towards the fifth South African Behaviour Sero-Surveillance and Media (SABSSM V) Survey;
- The Trends in International Mathematics and Science Study (TIMSS) 2015; and
- The South African Social Attitude Survey (SASAS).

We have begun new work on migrant labour and its impacts on our society. This work, still in its infancy, has already revealed how deep the social effects of migrant labour lie in many parts of South Africa and the region. We have begun to connect this work with older lines of research that are under way in the HSRC on the structure of households and families. The fact that we have almost two-thirds of South African households, as revealed by our work here in the HSRC, managing without father figures is a direct consequence of the legacy of migrant labour.

Our work aimed at understanding the impact of South Africa's violent and fragmented past on the psyche of the nation through the concept of Intergenerational Trauma is also noteworthy because of its effects on the individual, the family and the community. We will be spending more time on understanding this phenomenon and on possible remedies which can contribute to enhanced social cohesion and equity amongst citizens.

We are fortunate to have again received confirmatory feedback from the Auditor-General this past year. Our financial health remained stable, with a positive cash position, and our Financial Statements again required no material adjustments. However, we are deeply disappointed to have moved from an unqualified, clean audit to an unqualified audit with findings. This change in status can primarily be attributed to one event – the relocation of the Cape Town office. It involved irregular expenditure due to challenges in our procurement processes. The Audit and Risk Committee (ARC), through an independent review, however, verified that we did indeed obtain value for money. I am grateful to the various governance structures, notably the ARC, for guiding us in this matter – we have learnt valuable lessons to ensure that this remains an isolated event and does not become a trend.



Going forward, in addition to our ongoing research work, we have identified and will be focusing on the following priority research areas to elevate our understanding of the drivers of poverty, inequality and social inequity and the social factors which mitigate and reduce these problems:

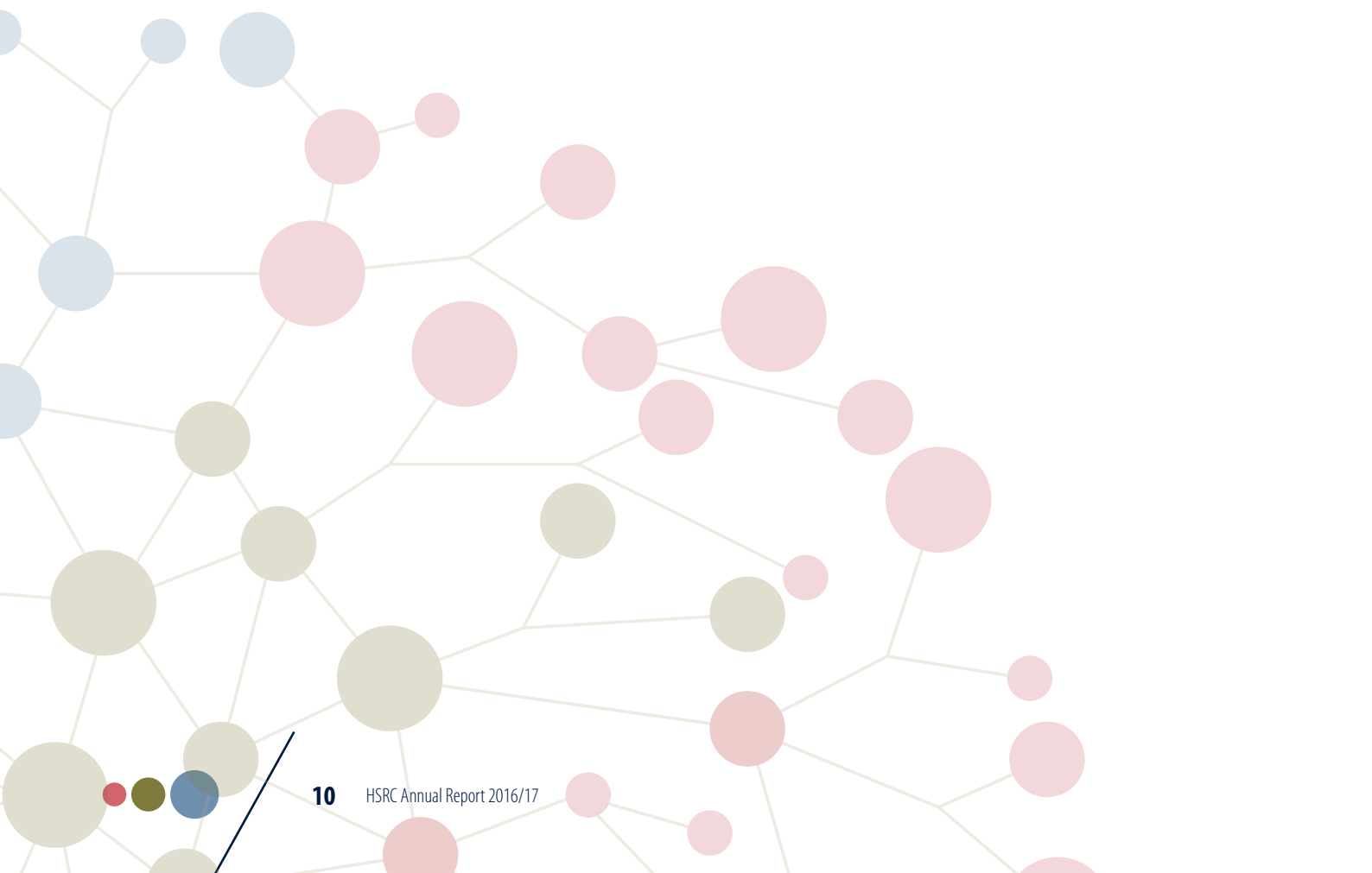
- Wellbeing: The title of this priority area is "Poverty and inequality in South Africa in 3D: Using a three dimensional human wellbeing lens to move us forward";
- City regions as a focus for socio-economic development: This is being developed under the heading "Towards a Centre of Excellence for research and teaching on city-region economies";
- Transformative governance: The focus of this work, titled the "The transformative governance initiative", is to assist in the development of social consensus around the minimum standards for the delivery and governance of key social services.

Our commitment to delivering credible and meaningful research outcomes towards the greater and collective good will not be compromised by ongoing challenges in terms of our financial and human capital resources. We will be looking for innovative sources of funding to ensure that we are able to deliver on our mandate to, amongst others, inform the effective formulation and monitoring of policy, while evaluating the implementation thereof, stimulate public debate through the effective dissemination of fact-based research results, and help build research capacity and infrastructure for the human sciences.

The time has come for the social sciences and humanities to take their place at the forefront of developing sustainable solutions towards reducing the resistant poverty, inequality and underdevelopment in our country. The citizens of our country deserve no less.



Professor Crain Soudien
HSRC CEO



Statement of Responsibility and Confirmation of Accuracy for the Annual Report

To the best of my knowledge and belief, I confirm the following:

- All information and amounts disclosed in the Integrated Annual Report is consistent with the Annual Financial Statements audited by the Auditor-General of South Africa;
- The Integrated Annual Report is complete, accurate and is free from any omissions;
- The Integrated Annual Report has been prepared in accordance with the Guidelines on Annual Reports as issued by the National Treasury;
- The Annual Financial Statements (Part E) have been prepared in accordance with the Standards of GRAP, as well as the PFMA, as applicable to the HSRC;
- The Accounting Authority is responsible for the preparation of the Annual Financial Statements and for the judgments made in this information;
- The Accounting Authority is responsible for establishing and implementing a system of internal control designed to provide reasonable assurance as to the integrity and reliability of the performance information, the human resources information and the Annual Financial Statements; and
- The external auditors are engaged to express an independent opinion on the Annual Financial Statements.

In our opinion, the Integrated Annual Report fairly reflects the operations, the performance information, the human resources information and the financial affairs of the HSRC for the financial year ended 31 March 2017.

Yours faithfully



Professor Crain Soudien

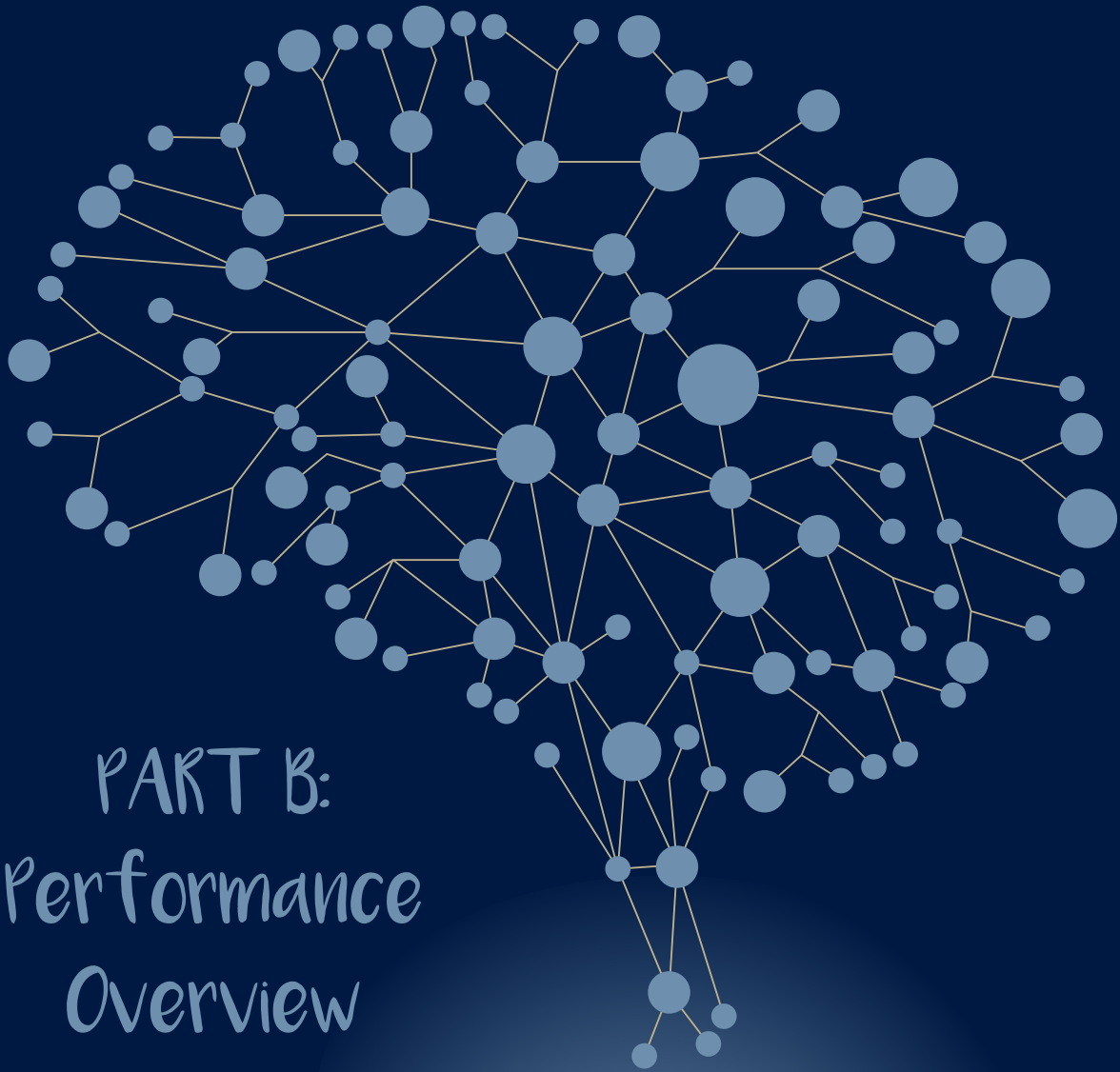
HSRC CEO
31 July 2017



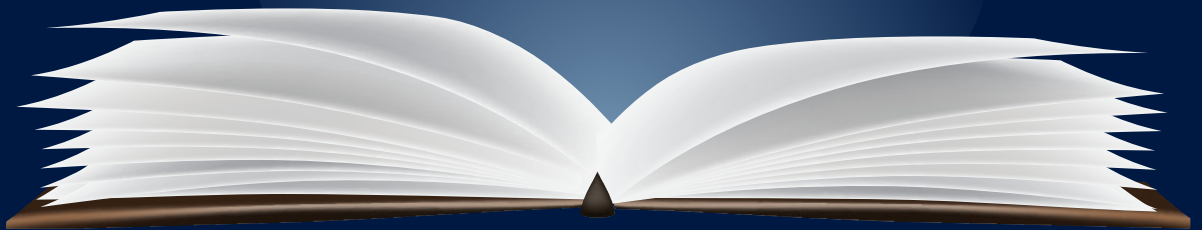
Ms Nasima Badsha

Chairperson
31 July 2017





PART B: Performance Overview



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For citizens to become fully engaged in holding their leadership to account, accurate information is required to see where action is needed, to measure the results of policies and programmes, to build support for courageous decisions and to consolidate political legitimacy.

• Mo Ibrahim •

”

Research Programme Performance

Africa Institute of South Africa (AISA)



*"Africa's story has been written by others;
we need to own our problems and solutions and write our story".*

President of Rwanda, Paul Kagame, 2013



Profile of AISA

AISA undertakes policy-relevant applied and comparative research that focuses on the development challenges and opportunities facing the African continent. It collaborates with other research institutions, various actors, and key stakeholders on the continent to provide research-based policy advice to African multilateral organisations and governments on public affairs. The work contributes to addressing the many dimensions of the study of Africa in Africa and reversing the continent's global marginality in terms of knowledge production. In their work, AISA's researchers pay special attention to issues of poverty, inequality, socio-economic exclusion; the role of science and technology; and conflict, peace and security on the continent.

Research highlights

In the year under review, AISA implemented or completed the following projects:

Critical Skills Attraction Index for South Africa

The project assessed and developed an index for critical skills attraction in South Africa. Phase 1 of the project was completed, funded through the HSRC CEO's Research Fund. AISA will launch the research report in collaboration with the Department of Home Affairs at the end January 2017, with the aim of fostering national ownership of the index. The next phase of the project will commence in 2017, namely to update the index at an agreed frequency, e.g. annually. Two journal articles were produced from this study and submitted for publication and one presentation was made at an international conference in September 2016.

Land and Water Reforms in the Context of Small-Scale Irrigation and Food Security in the Limpopo Province of South Africa

The study was funded by the Volkswagen Foundation (Germany) and the National Research Foundation of South Africa. It sought to contribute directly to the quest for better agricultural productivity by analysing factors that constrain or enhance productivity of farming schemes established under the land redistribution programme in the Limpopo Province. The outcomes of this study were presented at an international conference in September 2016.

Protection of Civilians in Humanitarian Emergencies

The study was designed to generate knowledge on the situation of refugees from South Sudan and Somalia in the context of humanitarian emergencies in Uganda and Kenya. It also sought to contribute directly to the quest for peace and security in East Africa. Data collection was completed in January 2017.



Socio-economic and Environmental Transformation of African Communities through Renewable Energy

The study is directed at unravelling the real and potential contribution of renewable energy technologies to the overall national energy landscape in various countries. Data were collected in Tanzania, the DRC, Kenya, Mozambique and Ghana.

The Campus Lecture Series

As part of AISA's capacity building mandate, this initiative enabled AISA researchers to present lectures to post-graduate students at various universities in South Africa, with a special focus on research methodology and practical aspects of empirical data collection in the field. About 435 students were reached during 2016/17.

The Africa Young Graduate Scholars (AYGS) Conference

Originally designed as one of AISA's capacity development initiatives, the AYGS Conference targets emerging scholars who are supported to showcase their scientific work during the conference. The conference was successfully held in March 2017 in collaboration with the universities of Fort Hare and of Johannesburg. Selected papers from the conference will be published in a special issue of the journal, *Africa Insight*.

AISA Press

The AISA Publications Unit is a conduit through which the research outputs of AISA are disseminated. Publications are from diverse contributors with a keen interest in African affairs, and accommodate internal and external publishing clients.

Africa Insight is the unit's flagship journal and serves as a platform to collate and disseminate researched knowledge on African affairs. The journal is an International Bibliography of the Social Sciences (IBSS) and Department of Higher Education and Training (DHET) accredited and peer-reviewed journal.

Performance

Apart from the journal, AISA also published several books and policy briefs (see Table 1).

Table 1: High level summary of publication outputs in 2016/17

Publications	Title/Volume
<i>Africa Insight</i> Journal (3 volumes) (29 journal articles)	Volume 45 ¹ (4)
	Volume 46 ² (1)
	Volume 46 ² (2)
Books (7) (103 chapters)	Natural and human-induced hazards ¹
	Management and mitigation of acid mine drainage in South Africa ¹
	Regenerating Africa: Bringing African solutions to African problems ¹
	Peace education for violence prevention ¹
	Sizonqoba! Outliving AIDS in Southern Africa ¹
	New African thinkers: Agenda 2063: Drivers of change ²
	Sustainability, climate change and the green economy ³
Policy briefs (7)	Governing African extractives for development: Lessons from Ghana's petroleum revenue management law ¹
	Addressing terrorism threats around the globe: What Africa could learn from some of the recent terrorist attacks around the world ¹
	Disrupting cycles of violence in Africa: Unlocking complex dimensions of human security ¹
	The G20's role in improving quality of life through sustainable energy and urban infrastructure in Africa ¹
	Culturally congruent sexuality education for Namibia ¹
	Levering m-governance innovations for active citizenship engagement ¹
	How inclusive is Namibia's inclusive education policy? ¹

¹ Publications with HSRC staff contributing to indicators 1.2, 1.3 and 1.8, but also including external contributions

² Collaborated publications through HSRC Press contributing to indicator 1.2

³ External contributor publications with no direct link to HSRC indicators, but forming part of a continued service delivery initiative in seeking support funding for sustainability purposes and inclusion of broader knowledge to increase the African footprint and research development



AISA Publications performed well against the set targets for the year, and exceeded all three primary targets in support of indicators 1.2, 1.3 and 1.8 (see Table 2).

Table 2: Performance against target indicators 2016/17

Number	Indicator	Target	Output/Outcome
1.2	Scholarly books published	4	6
1.3	Scholarly book chapters published	9	20
1.8	Number of policy briefs produced and published	5	7

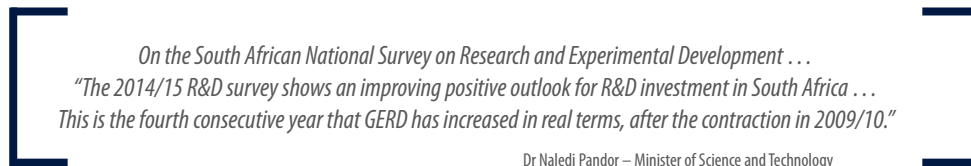
Increasing visibility and marketing of publications

Twelve seminars, colloquiums, conferences and lectures were attended to market AISA publications. The focus on greater collaboration and stakeholder partnerships assisted with partial or full funding for some of the publications. However, sales of publications decreased from the prior year and marketing interventions are currently being explored in an endeavour to increase sales.

Capacity building

The AISA Publications Unit annually provides for a full-time, one-year internship and also hosts a Publishers' Association of South Africa intern for a six-month period.

Centre for Science, Technology and Innovation Indicators (CeSTII)



Profile of CeSTII

CeSTII is a statistical and policy research unit, which since 2001 has become a leader in the field of national surveys that underpin benchmarking, planning and reporting on R&D, innovation and technology transfer in South Africa. The team adapts best practice international methodologies for measurement of science, technology and innovation (STI) indicators, within a framework of innovation for inclusive development.

Working closely with the Department of Science and Technology (DST), the unit is expanding its work to include the development of new measurement approaches and indicators, enhance and maintain statistical quality, and conduct research and analysis into the measurement of STI.

CeSTII's core business is:

- The undertaking of statistical surveys that support measurement and analysis of STI indicators;
- Analysis of STI indicators to enhance the understanding of the STI environment and inform policy development; and
- Knowledge sharing and exchange with the national, regional and global community of practice in STI measurement and policy.

Research highlights



South African National Survey on Research and Experimental Development

This is an annual project, conducted on behalf of the DST. The survey reports the latest available data on R&D expenditure and performance across five sectors: higher education, science councils, government, business, and not-for-profit organisations. In 2016/17, the CeSTII R&D survey team reported on the 2014/15 cycle of the survey and initiated fieldwork for 2015/16 cycle.



Statistical quality assurance of the 2014/15 results, in compliance with the South African Statistical Quality Assessment Framework, was performed through the R&D Survey Clearance Committee, headed up by Statistics South Africa. Minister Pandor reflected on the importance of the study saying in the preface of the Main Analysis Report "The 2014/15 R&D survey shows an improving positive outlook for R&D investment in South Africa ... This is the fourth consecutive year that GERD has increased in real terms, after the contraction in 2009/10."

Headline results from the 2014/15 survey

 Gross expenditure on R&D (GERD) 
increased from **0.73%** in
2013/14 to **0.77%** in 2014/15

Top R&D performers 2014/15

Business sector (45.3% of GERD)

Higher education (28.5% of GERD)

Science Councils (17.1%)

Government (6.5%)

Not-for-profit organisations (2.7%)

Expenditure on R&D by sector in 2014/15 in Rand terms

Business

R13.3 billion

Higher Education

R8.4 billion

Science Councils

R5 billion

Government

R1.9 billion

Not-for-profit Organisations

R0.78 billion

In terms of R&D personnel, the headcount grew by **5.2%**,
from **68 838** in 2013/14 to **72 400** in 2014/15.

Full report available at <http://www.hsrc.ac.za/en/departments/CeSTii/reports-cestii>



Intellectual Property (IP) and Technology Transfer Survey

In 2016/17, CeSTII worked toward the completion of a research partnership project involving the DST, the National Intellectual Property Management Office, and the Southern African Research and Innovation Management Association. The South African National Survey of Intellectual Property and Technology Transfer in Publicly Funded Research Institutions: Inaugural Baseline Study (2008–2014) Report was completed in the year under review. In the report, Minister Pandor described the survey as "... an important addition to a portfolio of instruments that are used in assessing the performance of the South African National System of Innovation (NSI) ... [which] helps to define, in practical terms, specific indicators that government and its stakeholders, including the broader community of technology transfer practitioners, can use to measure the capacity, outputs and targeted outcomes and ultimately impacts of publicly funded R&D."

Headline results from the IP and Technology Transfer Survey

Management of **technologies, patent families, trade mark families, registered design families** and new **patent applications** filed increased more rapidly than the increase in research expenditure, which indicates acceleration of these activities relative to research expenditure. On average, **100** new technologies were added to the portfolio managed by respondent institutions annually between 2011 and 2014.

There has been a quadrupling in the actual number of licences executed per year in the period. Of significance is that more than **88%** of this revenue accrued consistently each year to the same four institutions that have well-established technology transfer functions. The majority of IP transactions yielded less than **R100 000** per year.

In total, **45 start-up** companies were formed over the period to commercialise the institutions' technology, **73%** of which were based on **publicly funded IP**.

Full report available at <http://www.hsrc.ac.za/en/departments/CeSTii/reports-cestii>



Business Innovation Survey (BIS)

The South African BIS is the second survey conducted by CeSTII for the DST. Three rounds of the survey, covering the periods 2002–2004, 2005–2007 and 2010–2012, were conducted. Building from these results, and working closely with the DST, in 2016 CeSTII embarked on a comprehensive review of the survey. This was aimed at reflecting on the innovation theory and methodology underpinning the survey in the context of the review of the third edition of the Oslo Manual, which is currently under way. The review also aimed to propose amendments to the survey instrument and sample frame in line with developments across the South African economy.

Review process

The review process included three components:

- 1 Internal critical self-assessment**
- 2 External review by a specialist consultant, incorporating an international comparative perspective**
- 3 The oversight of a BIS Review Steering Committee consisting of stakeholders such as the National Advisory Council on Innovation (NACI), Statistics South Africa, the Technology Innovation Agency (TIA), and the DST**

Key recommendations for the fourth BIS

Recognise the limitations and value of standard approaches to innovation measurement

Oslo/CIS methodology should continue as the framework for innovation measurement in the **formal sector**

DST and CeSTII should consider other, more suitable methodologies to fill measurement gaps

In line with the HSRC's current strategic focus on poverty, inequality and unemployment, and the recommendations of the BIS review, CeSTII's strategic planning for 2017/18 incorporates a dedicated project to explore measurement of innovation in the informal sector.

Research impact

The survey research performed by CeSTII, the data it generates, and the varied capacity building roles that it plays, impact on many different domains of national, regional and international evidence-based policymaking, as well as locally.

At the national level, CeSTII's R&D Survey results form an integral part of the evidence base informing the planning and co-ordination of the NSI.

Regionally, CeSTII continues to collaborate closely with African member states, such as Namibia's National Commission on Research, Science and Technology (NCRST), on R&D and innovation data analysis. In January 2017, a delegation from NCRST visited the HSRC for a one-week data analysis training course facilitated by CeSTII statisticians, in preparation for the launch of Namibia's first Innovation Survey Report in 2017.

CeSTII also works on data validation with the African Science and Technology Indicators Initiative (ASTII), a programme of the New Partnership for Africa's Development (NEPAD), supporting member states from across Africa to ensure the rigour and coherence of STI measurement.

CeSTII researchers participated in such a NEPAD/ASTII data validation meeting, together with international organisations such as the UNESCO Institute for Statistics, in Johannesburg in November 2016, where they presented research towards new contextually appropriate forms of measurement.

Internationally, CeSTII's data is regularly submitted to the Organisation for Economic Co-operation and Development (OECD) for inclusion in global repositories of R&D and innovation statistics, and CeSTII's research leaders are regular participants at the annual OECD Working Party of National Experts for Science and Technology Indicators (NESTI). In particular, CeSTII's presence with the DST at the NESTI Meeting 2017, held at the OECD Headquarters in Paris, France from 27–30 March 2017, to discuss revisions to the Oslo Manual and the implementation of the Frascati Manual (2015), once again affirmed its role as a credible voice within global measurement circles.

Under the direction of its new Deputy-Executive Director, Dr Glenda Kruss, CeSTII is also building the capacity of the next generation of R&D and innovation survey leaders. In 2016/17, CeSTII trained doctoral interns and post-doctoral fellows, and grew the capacities of its core administrative and research staff cohort. The researchers were exposed to the full range of fieldwork, research communication, and research management tasks, helping them to gain critical administrative, management and research skills.

Democracy, Governance and Service Delivery (DGSD)



Profile of DGSD

As a research programme, Democracy, Governance and Service Delivery (DGSD) seeks to enhance the contribution of the HSRC as a strategic knowledge partner and resource for addressing key national, regional and international questions of democracy and development; governance and service delivery; social cohesion; and poverty, inequality and social justice. In 2016 the BRICS Research Centre joined DGSD as a research unit, consolidating its focus on global governance.

In the main, DGSD research aims to propose strategic interventions using qualitative and quantitative methodologies that assist policymakers in making evidence-based choices and decisions in response to political and socio-economic challenges.



PART B: Performance Overview

As a knowledge hub for high quality, strategic and independent inter-disciplinary research, DGSD is a key national, regional and global resource. Work produced and outputs generated are of value to national, provincial and local government, and to the wider academic, civil society and policy development community. By conducting comparative research, South African issues are addressed within a continental and global context, including through the work of the BRICS Research Centre.

Key research themes

The thematic research areas of the programme are driven by three pillars that focus on:



Research highlights

Commission for Gender Equality 20 Year Review

In 2016/17 the DGSD team undertook a review of the Commission for Gender Equality (CGE), a Chapter 9 institution, to mark the twentieth anniversary of its existence. The project involved a comprehensive review of the institution's activities over the twenty years, from the establishment of the CGE office and through the various periods of its chairpersons and commissioners. Based on interviews with representatives from government, the CGE, and civil society organisations with expertise in the area of gender equality, and on reviews of various secondary sources of information, the final report documented the achievements and impact of the CGE in each of the four five-year periods of its existence. It also highlighted key successes and challenges faced by the commission and made recommendations to enhance its efficiency. The release of the report coincided with a celebration in honour of the outgoing chairperson, who had steered the commission through its most successful period.

Electoral Commission Gender and Mobility Study Project

The Gender and Mobility Study of the Electoral Commission was concluded in June 2016. The study consisted of a desk-based review of the current policy and programme environment in respect of gender empowerment and advancing gender equality and equity outcomes; and comprehensive fieldwork-based qualitative and quantitative analyses of gender and mobility within the Electoral Commission. The qualitative analysis was based on key informant interviews with senior management staff of the Electoral Commission and focus groups with support staff and senior management. The quantitative analysis is based on an online survey of all Electoral Commission staff. In essence, the study recommended that there is a need for more equal distribution of women and men at all levels and all functions, with equal benefits. Furthermore, that a more equitable distribution of resources across gender, culture, race and class within the Electoral Commission is needed. The Electoral Commission must continue to improve its efforts to be community- and client-orientated. The inclusion of those voices that are currently marginalised must be made part of decision-making. These broad recommendations are proposed based on the rationale that gender equality and mobility will only be achieved if the Electoral Commission transforms the constraining gender roles and ideologies that influence organisational structures, values, behaviour and outcomes.

African Peer Review Mechanism (APRM) – Kenya Pre-Mission Project

In 2016, the APRM commissioned the DGSD research team to provide research support for its planned pre-mission exercise in Kenya. The pre-mission exercise is a new stage, introduced to the APRM's review process, which now involves the following stages:

APRM – Kenya Pre-mission Project

Country self-assessment

The African country that has acceded to the APRM assesses itself in **four key areas** of governance, namely **political, economic, corporate and socio-economic**

Pre-mission exercise

Aimed at reducing the number of matters to be dealt with during the detailed mission exercise

Mission exercise

The APRM Secretariat reviews the applicant's self-assessment report

During the pre-mission exercise, the research team developed the methodology for that phase; assisted the APRM with the development and administration of an online survey; developed an interview schedule for interviews conducted in Kenya during the pre-mission exercise; and analysed the results of these research exercises to develop a core set of issues that still needed to be dealt with during the mission exercise that followed later in the year.

The project gave the research team the opportunity to review a country's political, social and economic systems. It also had a major impact on shaping the subsequent Kenya Mission exercise of the APRM by streamlining the number of issues to be reviewed, identifying sources of data, and feeding the interview schedule developed for this stage, resulting in one of the best reports ever developed by the APRM. An unprecedented four-hour discussion of the Kenya Mission Report by the Assembly of Heads of State and Government of the African Union followed in January 2017, and a decision was taken to broaden the role of the mechanism in the AU structure as a whole.

Citizen Frontline Service Delivery Project

This project was conducted in collaboration with the City of Cape Town to:

- Contribute to the improvement of service delivery through fruitful and sustained citizen engagement;
- Facilitate community partnering to improve service provision and maintenance; and
- Increase city staff participation in citizen/community engagement to improve the reliability and continuity of water and electricity services.

The study employed a community score card as a participatory tool to assess, plan, monitor and evaluate services. The methodology is structured to generate information through municipal/citizen interactions; promote immediate response and joint decision-making through mutual dialogue between users and providers; and can be followed by joint monitoring.



PART B: Performance Overview

To date, the methodology has provided the opportunity for the City of Cape Town and communities to jointly identify problems and potential solutions regarding service delivery.

Most of the identified problems centred on the lack of consultation, communication problems, poor response to complaints lodged by residents, unsatisfactory billing systems, lack of or old meters, illegal connections and poor workmanship by contractors.

It has been noted that most of these problems can be solved through increased citizen engagement, including more consultation, communication and relationship building. It is hoped that the scorecard implemented in Nyanga can be replicated in other municipalities across the country.

Citizen Engagement (CE) – The City Support Programme (CSP) Project

The CSP was an initiative of National Treasury to address spatial inequalities and development challenges at the city level. The CSP project aimed to harness capacity to improve planning, implementation and innovation to ensure that cities are more inclusive and liveable. The project covered areas of governance relating to citizen engagement (CE), integrity as well as social and environmental management. The key objectives of CE were to support cities to review and enhance their approaches to and instruments for engagement, with the aim of strengthening city capabilities in service delivery and management of the urban built environment.

The project built a body of practice through which alternative governance and citizen engagement mechanisms and approaches may be generated and strengthened. After successfully implementing a thorough assessment, which provided a better understanding of existing citizen and community engagement practices in the City of Cape Town and of the institutional, legislative and policy set-ups and constraints, a draft citizen engagement framework was developed that is applicable to all the metros.

The draft framework for assessing participation in local urban governments in South Africa constitutes a valuable working document to guide local urban government in South Africa to assess and improve their participatory processes, structures and initiatives in response to service delivery.

South African Social Attitude Survey (SASAS)

Results emanating from the SASAS series, which consists of nationally representative, repeated, cross-sectional surveys that have been conducted annually by the HSRC since 2003, were widely cited and discussed in the local print media and on radio during the period under review. In addition, the 14th annual survey round in the series was successfully fielded.



Perennial topics explore



Trust in government



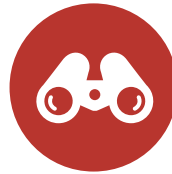
Race relations



Protest action



Xenophobia



Views on restitution

Data on these topics have been and continue to be used by politicians, policymakers, academics, and the public

Some high level reports using SASAS data were launched during this period. These include the Public Understanding of Biotechnology Report, which was launched by the South African Agency for Science and Technology Advancement (SAASTA) and the DST in November and also presented at Science Forum South Africa 2016. In addition, a report entitled “Progressive Prudes” was released based on a module commissioned by The Other Foundation on attitudes towards homosexuality in SASAS. These results have been widely circulated, cited and reported on.

Election Satisfaction Survey

On 3 August 2016, the fifth local government election in South Africa took place and the DGSD Programme was commissioned by the Electoral Commission of South Africa (IEC) to conduct an Election Satisfaction Survey. The survey aimed to assess the opinions and perceptions of voters and election observers on election day to determine whether the 2016 local government elections were free and fair. The survey further aimed to assess the operational efficiency of the commission. The project was successfully undertaken, with results available 48 hours after the election and in time to be included as part of the official announcement declaring the 2016 elections free and fair. Post-election, the results are being used to inform operational decision-making in preparing for the 2019 national and provincial elections.

Presidency-EU Programme to Support Pro-Poor Development (PSPPD) – Family Study

The PSPPD Family Study was a joint project, co-ordinated by the HSRC (DGSD) and the University of Pretoria on behalf of the PSPPD. Through the analysis of the 2012 family data collected as part of the South African Social Attitudes Survey (SASAS), various scholars from the HSRC, together with others with expertise in the areas of family studies, examined different attitudinal and behavioural themes included in the survey to provide new insight into the state of family cohesion and family values, and made policy recommendations directed at strengthening families.

International Social Surveys Programme (ISSP) on Inequality

During the 2016 ISSP plenary meeting, SASAS was elected as the lead convener of the 2019 International Social Inequality Survey. Six countries were elected to drive the process, namely South Africa, Great Britain, Philippines, Sweden, Venezuela and France. As the lead convener, South Africa will be responsible for determining the content of the ISSP world-wide social inequality survey, providing an opportunity to set an agenda that is suitable to South Africa's (and by extension Africa's) unique social inequality challenges.



Economic Performance and Development (EPD)

“Development consists of the removal of various types of unfreedoms that leave people with little choice and little opportunity of exercising their reasoned agency.”

Amartya Sen 1999

Profile of EPD

Through its research and policy proposals, the EPD Programme seeks to contribute to the creation of a productive, inclusive and resilient country and continent through broad-based economic development and full employment. The main purpose of the programme is to improve the evidence-base and understanding of solutions to the pressing economic development and employment challenges facing South Africa. Expertise resides within the programme on the dynamics of structural change as well as spatial development and migration.

Research highlights

Obstacles to Affordable Urban Housing

Well-located, affordable housing is vital to bridge inherited spatial and social divisions by bringing people to live closer to economic opportunities. Higher density human settlements are important for the efficiency and financial sustainability of South African cities and towns.

A study for the National Treasury’s Cities Support Programme examined the regulatory barriers and other obstacles to the provision of accessible, inexpensive accommodation. It found that the national regulatory framework has several important weaknesses:

Obstacles to Affordable Urban Housing



There are inconsistencies and rigidities in human settlements policy in relation to the location and responsiveness of new housing development to socio-economic realities



Complex and overlapping approval procedures in relation to the environment, water-use and land-use planning systems delay the delivery of housing projects and add unnecessary costs



A culture of compliance and risk aversion undermines the pursuit of a problem-solving approach involving the private sector and communities themselves

The urban housing predicament presents challenges which cannot be solved by working in silos or by applying standard remedies. It requires a proactive and creative approach recognising the unique value of well-located urban land. The study findings were discussed at the National Treasury's City Budget Forum and several follow-up initiatives are under way to explore the feasibility of streamlining and simplifying selected regulations.

The State of Informal Settlements

Despite the high profile of informal settlements as flashpoints of discontent and violent protest, there are many uncertainties and gaps in knowledge surrounding conditions within them and how they are changing. This inhibits effective policy responses and efforts to monitor progress over time. A baseline assessment was therefore undertaken for the Department of Human Settlements to assist in evaluating the performance of the Upgrading Informal Settlements Programme (UISP) in the nine provinces.

The study used mixed methods (quantitative and qualitative) and found a surprisingly stable population with very high levels of poverty and deprivation. The study also suggested changes to the design of the UISP, including increased funding to enhance the impact of interventions for local residents. The findings were presented at the Habitat III Conference in Ecuador, where the New Urban Agenda was launched. This has prompted a follow-up study in OR Tambo Municipality to investigate the provision of water and sanitation in human settlements.

Innovation in Public Employment Programmes

Public Employment Programmes (PEPs) are among the most important responses to mass unemployment in South Africa, yet there are important gaps in knowledge surrounding their impact and effectiveness. Researchers from the EPD team have undertaken several sizeable studies in recent years, with three important conclusions:

- There are major challenges in evaluating impact, largely due to the lack of baseline data, unclear chains of causality, confounding factors and the complexity of processes between outcomes and impacts;
- There is an absence of evidence of the broader impact of PEP interventions on livelihoods, hence the urgent need to review and refine methodologies to assess the effects; and
- There is substantial evidence of innovation in the implementation of PEPs, although much of this is poorly documented.

In the year under review, the HSRC hosted a seminar to discuss the challenges of evaluating PEPs with senior officials from the National Department of Public Works; the Provincial Department of Transport, KwaZulu-Natal; and international experts from the International Labour Organization and the Overseas Development Institute. An important outcome was a commitment by the researchers to collaborate on writing a book on PEP innovations.

Dynamism in Rural Areas

Innovation is about applying new ideas, processes and practices to do things better and offer solutions to pressing societal problems. Knowledge producers, such as universities and science councils, are unable to assess the scale and state of innovation in response to the high incidence of poverty in rural areas, because they are rarely situated in the countryside.

Recognising the solutions that may exist in rural areas, the DST has partnered with the HSRC to work with universities and 27 local municipalities to prepare a platform for resilient local innovation systems.

During 2016/17 the Rural Innovation Assessment Toolbox Project completed a unique survey of rural enterprises in eight of the poorest local municipalities in the country. The results provide a nuanced picture of innovation actors and activities at local level, and offer a valuable resource for interventions aimed at boosting performance. The survey went beyond conventional organisations by also examining small businesses, informal organisations, schools, churches and individuals involved in social innovations. Universities played a key role, which should encourage them to adopt these tools and undertake similar surveys in the future to provide ongoing information for local decision-makers.

Spatial Evidence for Planning

A better understanding of spatial trends and dynamics is essential for sound policy-making and planning. The Spatial/Temporal Evidence for Planning SA Project is a joint venture between the HSRC and the CSIR, sponsored by the DST. The emphasis is on spatial simulation and modelling, and the current phase focuses on migration modelling, using



the Monte Carlo simulation technique. The study aims to understand population mobility and its implications for the provision of shelter for migrants.

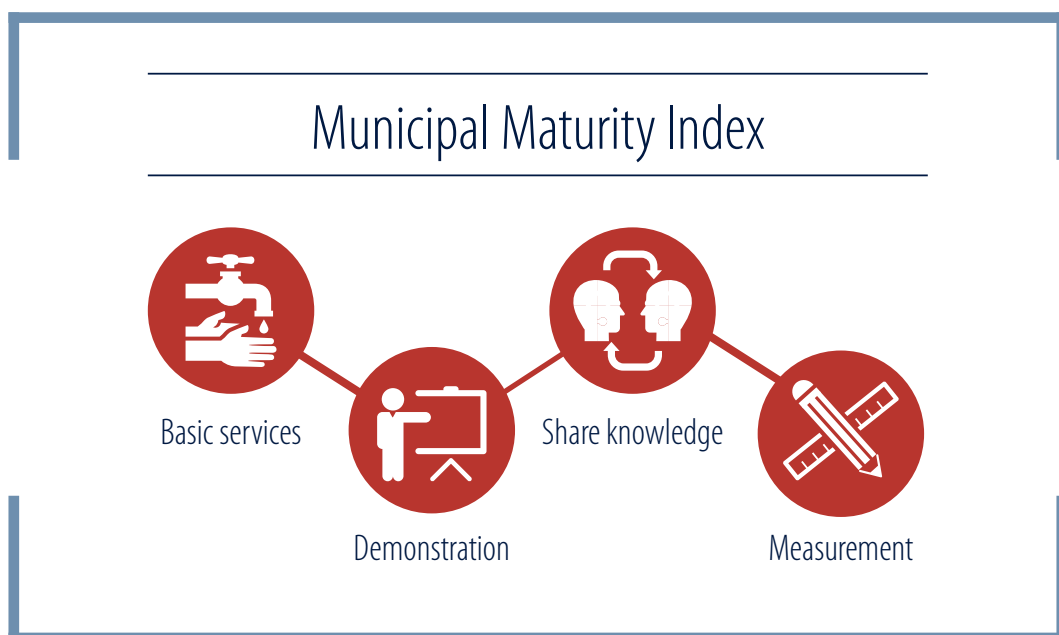
An immediate focus is on the interaction between migration, land and housing within the Platinum Belt.

Qualitative surveys show that migrants face major challenges in accessing adequate housing, resulting in the proliferation of informal settlements. The problems are compounded by the land tenure system and ownership by landlords with diverse and contradictory interests, including mining companies, the Royal Bafokeng Kingdom and municipalities.

Research impact

Innovation Partnership for Rural Development Programme

The DST collaborates with science councils and universities to develop and demonstrate new water, sanitation and smart geyser technologies aimed at improving basic services to targeted rural communities. EPD has been monitoring and evaluating all facets of this intervention and sharing the findings with municipal stakeholders through learning forums.



The intention is to increase the capabilities of officials to learn, innovate and share knowledge about these innovations. These outcomes are measured via a Municipal Maturity Index, along with the impact of technology demonstrations on rural communities. This research enhances knowledge about the potential of STI to address pressing service delivery challenges, including the role of different spheres and agencies of government. Another imperative is to understand how the capabilities of rural councils to learn, innovate and collaborate can be enhanced.

Creating Jobs for Young People

To contribute to the employment of young people, the EPD team has invested time in understanding what kinds of employers are most likely to recruit young people. This is a vital question for policies aimed at cutting mass unemployment among the youth.

This EPD study used new administrative tax data, made available by SARS, to identify the characteristics of firms that employ relatively large numbers of young people. The study was sponsored by UNU-WIDER and the National Treasury, and assists in the task of identifying firms for the design and targeting of interventions, such as the youth wage subsidy and the employment tax incentive.

The study found that older firms, high output growth firms, high profit-making firms and exporters are less likely to employ young people than firms with low labour costs, importers, and those registered with SETAs for learnerships.

It also established that firms in the services sector are more likely to employ youth than agriculture, mining, manufacturing and the public sector. The study recommends that government incentives should target firms with a greater propensity to employ younger people rather than those with high wage costs. Younger firms are also worth supporting for a similar reason.

Agro-processing and Employment

Agro-processing is believed to offer considerable potential for employment creation in South Africa. This study sought to evaluate the outcomes of a pulp and drying fruit factory, set up by the DST and the EU as a demonstration project in Greater Tzaneen, Limpopo, to help create jobs and alleviate poverty in the community. The evaluation focused on the effectiveness, relevance and sustainability of the intervention. The overall findings indicated some positive outcomes with respect to employment and poverty. However, many of the benefits were temporary and the wages earned were low. The seasonal nature of the operation was clearly a hindrance to it having a more sustained effect. Nevertheless, the findings indicate that this type of intervention has the potential to make a meaningful contribution to reducing poverty, unemployment and inequality.

Education and Skills Development (ESD)

“South Africa’s prospects for improved competitiveness and economic growth rely, to a great degree, on science and technology. The government’s broad developmental mandate can ultimately be achieved only if South Africa takes further steps on the road to becoming a knowledge-based economy, in which science and technology, information, and learning move to the centre of economic activity.”

South Africa’s 10 Year Innovation Plan, 2008

Profile of ESD

ESD’s research focuses on national priorities related to improved quality of basic education for all, and sustaining a skilled and capable workforce to support an inclusive growth path. The programme strives to conceive, design and conduct ethical research that ultimately enables better quality education, a more skilled workforce, participation in the workforce, communities equipped with capabilities, and citizens freed from inequalities.

The programme delivers research expertise in the fields of education, skills development and public and science relationships, focusing on projects that address national education and skills priorities; contribute to the development of evidence which could inform relevant policies, including redress of inequalities; support efficient resource allocation decisions; improve the quality of basic education; and explore ways to expand workforce participation.

The overarching aim of the programme is to contribute to the development of educated, skilled and capable South Africans to promote human development and to support economic expansion that follows an inclusive and sustainable economic growth path.

Research highlights

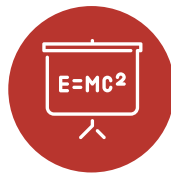
The Labour Market Intelligence Partnership (LMIP) and the Skills Supply and Demand in South Africa Report

Since 2012, the HSRC has worked with the DHET to analyse the skills needed to support inclusive economic growth and determine how education and training institutions should respond to this demand for skills.

In the year under review, the team produced the LMIP Skills Supply and Demand in South Africa Report (<http://www.lmip.org.za/document/skills-supply-and-demand-south-africa>). The main findings in the report relate to (i) the economy and jobs; (ii) education and supply of skills; and (iii) where those with a tertiary qualification work. The study also yielded information on the structural mismatch between labour demand and supply, as the economy and labour market show a demand for high skilled workers, but there is a surplus of low-skilled workers. The economy must respond to the twin challenges of participating in a globally competitive environment that requires a high skills base and a local context that creates low-wage jobs to absorb the large numbers who are unemployed or in vulnerable jobs.



South African Education and Skills Levels



Each year around **140 000** grade 12 students complete the matriculation examination with a **bachelor's pass**. Of these, only around **50 000** students **pass mathematics** with a score higher than **50%**



In 2014, there were around **1.1 million** students in the **university sector** and **0.8 million** students in the **TVET sector**

The education and skill levels of the South African population are lower than most productive economies. A critical constraint for the post-school education and training system and the labour market is the quality of basic education. Presently, each year, around 140 000 grade 12 students complete the matriculation examination with a bachelor's pass, yet of these only around 50 000 students pass mathematics with a score higher than 50%. The pool of students that can potentially access university and science-based Technical and Vocational Education and Training (TVET) programmes is very small in comparison to the skills demands of the country. In 2014, there were around 1.1 million students in the university sector and 0.8 million students in the TVET sector.

The analysis revealed that nearly half of the higher education graduates are employed in the community, social and personal services sectors, which are dominated by the public sector. A high proportion of science and engineering graduates from both the university and TVET sectors prefer to work in the financial services sector, as opposed to the manufacturing sector. SET qualifications are versatile, and graduates will move into different fields of work. The implication for skills planning is that a larger number of SET graduates is needed than the number of SET occupations.

A Research Colloquium was co-hosted by the LMIP and DHET on 29 and 30 September 2016, which aimed to create a new space for researchers, policymakers, planners, educators and trainers to engage, by sharing frameworks, approaches and practices of skills planning.

Using the results from the Skills Supply and Demand Report, the LMIP was requested to give testimony before the Commission of Inquiry into Higher Education and Training. The HSRC was identified as an important organisation that can assist the Fees Commission in addressing challenges in the light of the research it has conducted over the years.

The Trends in International Mathematics and Science Study (TIMSS) 2015

The TIMSS was first conducted in South Africa in 1995, and every four years thereafter (1999, 2003, 2007, 2011 and 2015). Thirty six countries participated at the Grade 8 or 9 levels in TIMSS 2015. TIMSS 2015 provides the opportunity for South Africa firstly to estimate its achievement in relation to other countries, and secondly to monitor changes in educational achievement. In TIMSS 2015, South Africa also participated at the Grade 5 level. This study set the baseline for mathematics/numeracy performance at the intermediate phase.

Over the 20-year period, the South African mathematics and science achievement at the Grade 9 level improved from a 'very low' level in 1995, 1999 and 2003 to a 'low' level in 2011 and 2015. This shows that educational change is possible, but the pace of change, especially in no-fee schools, must be accelerated if South Africa is to have the requisite skills and capacity to meet the societal and economic needs of the future. One of the major achievements is the observation that South Africa has shown the largest improvement in mathematics and science scores of all countries who participated in TIMSS 2003 and 2015 (albeit from a low base).

The TIMSS 2015 results were distributed widely and had a substantial impact in political, policy and public spaces.

The HSRC released the TIMSS 2015 results for South Africa in the Grade 9 and Grade 5 levels at the Department of Basic Education (DBE) on 29 November 2016 with the Minister of Basic Education, Ms Angie Motshekga. The two Highlights Reports on the 2015 TIMSS Grade 9 study and the 2015 TIMSS-Numeracy study were released. TIMSS scores (mentioned both in the DBE Action Plan and the Presidential Monitoring Targets) are the only instrument that provides trend data and the TIMSS 2015 scores at the Grade 9 level provide achievement trends from 2003, 2011 and 2015 and evidence that there are changes in educational performance and quality. This was the first time that South Africa participated in TIMSS-Numeracy at the primary school phase and TIMSS 2015 at the Grade 5 level provides baseline information.

The release and results were communicated through the TIMSS-SA website: www.timss-sa.org.za, and on Twitter and Facebook.

The TIMSS results formed the basis of a keynote address at the National Strategy for Learner Attainment Lekgotla, hosted by the DBE in January 2017. The audience of 450 people represented all provinces, unions and other stakeholders.

South Africa conducts the TIMSS surveys to contribute to knowledge production and inform policy debate. On 22 March 2017, the ESD Research Programme, in collaboration with the Research Impact Assessment Unit, hosted a successful policy roundtable titled "Towards a more equal society: Perspectives of Educational Inequality in South Africa – A Conversation between Evidence and Policy". Using data from the 2011 and 2015 rounds of the TIMSS, the aim of the roundtable was to contextualise mathematics and science achievement within the broader South African landscape of inequality and poverty.

One of the major successes relating to dissemination of TIMSS results was the participation of the TIMSS team in the DBE's provincial engagements for 2017 in all nine provinces. The TIMSS team accompanied the DBE Director-General to meetings with provincial senior managers (chief directors, district directors, chief education specialists for management and governance, curriculum co-ordinators, and circuit managers) as well as school principals. Participation at these 25 meetings ranged between 500 and 1 500 officials per meeting. This was a very valuable opportunity and by the end of the engagements we reached 4 979 provincial and district officials and 23 568 principals.



HIV/AIDS, TB and STI (HAST)

"My HIV status is going to let me live longer than I would have lived normally, because I've got a challenge, because I know that I have a duty to the people out there to inspire them that 'Folks, the fight is on! Let's hold hands. Let's not hide.'"

Top SA playwright, Gibson Kente

The HAST Research Programme, a UNAIDS Collaborating Centre on HIV Prevention Research and Policy, is a large multi-disciplinary team with over 50 full-time researchers who undertake approximately 25 applied social sciences research projects per year. The programme boasts 18 master's, PhD and post-doctoral research trainees, with three of the five senior researchers being black females. Through its innovative and valuable work which impacts on South Africa's response to HIV and AIDS, HAST raised over R55 million in external funding during 2016/17.

Research pillars

The HAST programme is anchored on the following research pillars:

- **Epidemiology and Strategic Information Research**, focusing on national HIV and TB surveillance, both in the general population and in different sectors of the economy;
- **Social, Biomedical and Behavioural Interventions Research**, focusing on HIV, STIs and TB, including reducing the impact of substance abuse, HIV/AIDS-related stigma, and gender-based violence;
- **Social Aspects of HIV/AIDS Research Alliance (SAHARA)**, which includes multi-site, multi-country research projects in Africa, and aims to generate new evidence for HIV prevention and care and to impact mitigation. This also serves to express the strategic focus of the HSRC towards Africa in the area of HIV and TB; and
- **Operational and Implementation Research**, focusing on evidence-based interventions such as prevention of mother-to-child transmission, male circumcision, HIV counselling and testing and prevention of TB.

Research highlights

Fifth South African Behaviour Sero-Surveillance and Media (SABSSM V) Survey

In 2016/17 HAST led a consortium of scientists from, among others, the SA Medical Research Council (SAMRC), US Centers for Disease Control and Prevention, National Institute of Communicable Diseases (NICD), University of Cape Town (UCT), Global Labs, Soul City, and the Center for Communication Impact, in conducting the SABSSM V Survey. This national survey is the largest of its kind in South Africa and aims to collect data from 60 000 individuals in 22 000 households on HIV prevalence, HIV incidence, antiretroviral use, viral load, and resistance to antiretroviral drugs, as well as information on socio-demographic and behavioural factors that put people at risk of HIV. The inclusion of novel laboratory methodologies in the survey protocol enables direct estimates of HIV incidence, exposure to antiretroviral treatment (ART), and resistance to antiretroviral drugs. Fieldwork for this study commenced early in 2017 and the report will be launched at the end of 2017.

National TB Prevalence Survey

Work with stakeholders to develop the protocols and methodology for South Africa's first National TB Prevalence Survey began in 2016/17. This study will be conducted in collaboration with the Department of Health, HAST, the SAMRC and NICD, with technical support from the WHO. Training of fieldworkers and the first pilot survey was conducted in November 2016. The study aims to determine a national estimate of the prevalence of TB in the general population and has a national sample of 55 000 individuals. Fieldwork for this study will commence later in 2017 and the results will be launched in 2018.

HIV and TB Integrated Biological and Behavioural Study (IBBS) for Migrant Mine Worker Sending Communities in Lesotho (2016–2017)

The International Organization for Migration (IOM), in partnership with the Government of Lesotho, commissioned this study to undertake an HIV and TB Integrated Biological and Behavioural Study (IBBS) in selected migrant mine worker sending communities in Lesotho. The aim is to strengthen the existing evidence base to develop future programming to address HIV and TB in this population. HAST is undertaking the project in collaboration with IOM, the Lesotho Ministry of Health and Sechaba Consultants (Lesotho). The project began in 2016 and will be completed in 2017.



Strategies to reduce pre-treatment loss to follow-up and improve successful patient outcomes in a TB hotspot

HAST is working with the NICD and the UK MRC in a study to early address loss of patients from TB care. HAST is developing and will test a set of standardised pre- and post-test counselling materials for TB patients. These materials will be used together with a conditional grant in this project. The project will be conducted in Gauteng and will commence in September 2017.

Programmatic Mapping and Size Estimation (PMSE) of Key Populations in South Africa

The PMSE study used the Priorities for Local AIDS Control Efforts (PLACE) methodology to identify sites where key populations meet new sexual partners, complemented by formulas to estimate the size of hard-to-reach populations such as sex workers, men who have sex with men (MSM), people who inject drugs, and transgender people. The study achieved its aim of providing credible national size estimates for the identified key populations in South Africa. It estimated that there were 237 717 sex workers, 1 095 527 MSM, 75 701 people who inject drugs and 139 666 transgender people. The study was also able to map areas with a higher concentration of key populations in South Africa.

21st International AIDS Conference (AIDS 2016)

The HSRC participated in AIDS 2016, which was held from 18–22 July 2016 in Durban, South Africa. One of the key events organised by the HSRC was a satellite session, titled “Insights from the field – HIV prevention research by the HSRC”. HAST presented 15 research papers via oral and poster presentations at the conference.

Rapid Assessment Response and Evaluation (RARE) Methods to Understand HIV Vulnerability

HAST researchers used RARE methods to understand the HIV vulnerability of Black African women (aged 15–34) and men (aged 25–9) living in urban informal settlements in three provinces of South Africa. Ethnographic interviews were conducted with young women using photo voice. Black African men were identified using social mapping. Data were analysed using an innovative triangulation system.

Key Population Implementation Science (Khanyisa Project)

HAST researchers are conducting the Khanyisa Project among men who have sex with men (MSM) in the urban and peri-urban settings of South Africa, i.e. Cape Town, Letsitele, Moloto, Pietermaritzburg, Port Elizabeth and Springs. Khanyisa aims to leverage community and peer-based approaches to enhance the continuum of HIV care. Furthermore, Khanyisa seeks to launch an effectiveness-implementation trial to investigate the effectiveness of a package of innovative interventions to reach MSM and link them to health services; improve programme delivery and uptake of services; link men who test positive for HIV into care; retain them in care; and support adherence to antiretroviral therapy (ART) to achieve viral suppression.

Sibanye Health or MP3 Project

HAST researchers conducted a longitudinal cohort study among MSM and trans women in Cape Town and Port Elizabeth, South Africa. A cohort of 201 men, of whom approximately 20% were HIV infected, were followed up for one year. This research evaluated the acceptability and uptake of a combination package of biomedical, behavioural and community-level HIV prevention interventions and services. It demonstrated recruitment and retention methods for MSM; estimated the incidence of key outcomes, including HIV and STI incidence; and explored the HIV risk and prevention behaviours among MSM.

What Works in HIV and AIDS and the World of Work Initiatives in South Africa

HAST researchers are involved in a three-year research project (2015–2017), funded by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ). This study seeks to find what works in HIV and AIDS workplace initiatives being implemented in South Africa. The results will contribute to improving approaches to addressing HIV and AIDS at and through the workplace. The Department of Labour has partnered with HAST to conduct the research, which was undertaken in 38 workplaces in eight South African provinces.

Transgender Study

The HAST Research Programme has received funding by the United States President’s Emergency Plan for AIDS Relief (PEPFAR), through the Centers for Disease Control and Prevention (CDC) to implement a HIV prevalence survey amongst trans women in South Africa. The first of its kind to determine the percentage of trans women who are HIV positive,



not only in South Africa, but also in the rest of Africa. Moreover, the study will not only do HIV antibody testing (to test for HIV prevalence), but also antiretroviral testing, HIV viral load testing (to test the level of HIV in the body), screening for TB and testing for STIs. This means that for the first time we will not only be able to document the HIV prevalence amongst trans women in South Africa, but we will also have data that can be utilised to monitor the sequential steps or stages of HIV medical care (i.e. the care and treatment cascade) that trans women go through from initial diagnosis to achieving the goal of viral suppression (a very low level of HIV in the body), and shows the proportion of trans women living with HIV who are engaged at each stage.

Brokering knowledge-based solutions towards an HIV-free generation beyond South Africa

Vikela Umndeni/Protect Your Family Intervention Project

HAST researchers are collaborating with researchers from Miami University, USA and Mahidol University in Thailand to implement this comprehensive prevention of mother-to-child transmission (PMTCT) and HIV prevention project for South African couples in two districts in Mpumalanga. The study is testing the effectiveness of a behavioural intervention to increase PMTCT uptake among HIV positive, pregnant women and is also testing whether the participation of male partners will have an additional positive impact on PMTCT uptake. The intervention is utilising a combination of both gender-concordant groups and individual or couples counselling strategies, before and after the birth of the baby. The project started in January 2014 and will end in December 2018.

Southern Africa Development Community (SADC)

SAHARA researchers are offering a combination package of HIV prevention interventions and services (CPHI) for MSM in southern Africa. The overarching aim of this collaborative study between SAHARA, Johns Hopkins and Emory Universities is to develop an optimised CPHI for MSM in southern Africa. The study involves following a prospective cohort of 200 MSM who live and work in Cape Town, Port Elizabeth and Kampala over a 12-month period.

Mapping and Population Size Estimate Study and Integrated Biological and Behavioural Surveillance Survey among MSM in Ghana (Ghana Men's Study II)

Researchers at the HAST Research Programme serve as technical advisors on the Ghana Men's Study (II) (GMS II). The GMS II is a mapping and population size estimate (MPSE) study and an Integrated Biological and Behavioral Surveillance Survey (IBBSS) to estimate the HIV prevalence among MSM in Ghana. The study was commissioned by the Ghana AIDS Commission (GAC), and funded by the United States President's Emergency Plan for AIDS Relief (PEPFAR), through the United States Centers for Disease Control and Prevention (CDC). The GMS II is a critical study as it is undertaking to estimate not only HIV prevalence amongst MSM in a country where MSM behaviours are criminalised, the study also intends to generate estimates of the size of the MSM population and the distribution of MSM in each mapping site. Estimates of the size of the MSM population are needed to help with decisions on how and where resources should be allocated for better programme planning and management. All research activities are being conducted in ten regional capital cities of Ghana, namely, Kumasi, Sunyani, Accra, Cape Coast, Koforidua, Tamale, Sekondi-Takoradi, Bolgatanga, Wa and Ho. The HAST is working with a local implementing partner based at the School of Medicine, at the Kwame Nkrumah University of Science and Technology (KNUST) in Kumasi, Ghana. In many ways, the GMS II has paved the way for future collaborations between the HSRC and leading research and academic institutions in West Africa such as the KNUST.

Impact on South African citizens

The Health of our Educators and Officials in Public Schools in South Africa Survey

In 2016, HAST and the DBE completed this national survey to determine the changes that have occurred in the HIV epidemic and the impact of interventions since the last survey in 2006. The cumulative HIV prevalence among educators was 15.3%, translating to approximately 58 000 educators living with HIV in 2015. This was 1.2 times higher than was found in the 2004 survey (15.3% vs 12.7%). HIV prevalence was significantly higher among females compared to males (16.4% vs 12.7%). HIV incidence was estimated at 0.84%, translating to an estimated 2 900 new infections in 2015. HIV incidence was 1.3 times higher among females compared to males. Among the estimated 58 000 educators living with HIV, 55.7% were exposed to antiretroviral drugs (ARVs). The majority of male educators (60%) indicated that they were circumcised. Knowledge about risk behaviour and transmission of HIV was high at 89.5% and most educators had positive attitudes towards people living with HIV.



Key Gender Issues and Gender-related Constraints in South Africa and the Institutional Context Supporting Gender Integration

HAST researchers, together with the non-profit organisation FHI 360, reviewed this topic. The analysis found that gender inequalities, poverty, racism, economic disparities and other differentiating social factors define the landscape in which HIV programming takes place. Despite an enabling legal and policy framework, South Africans continue to grapple with gender inequalities at different levels. Gender inequalities undermine autonomy in relation to sexuality and fuel vulnerabilities related to HIV. While gender inequalities remain embedded in the fabric of society, and prevailing gender norms reinforce gender inequalities across communities, the US President's Plan for Emergency Relief programming reflects a variable uptake of gender integration.

Impact Evaluation of the First Things First (FTF) Campaign

An evaluation of this Higher Education AIDS (HEAIDS) HIV Counselling and Testing (HCT) campaign was conducted to establish its relevance, impact, efficiency, effectiveness and sustainability. The study used a quantitative value for money (VfM) assessment approach and a qualitative assessment using focus group discussions and key informant interviews. Overall, the FTF HCT campaign has performed strongly or well against the five criteria used, and obtained a final score of 78.4%, which is an average of 71%, for the VfM assessment and 85.8% for the qualitative assessment. These findings imply that the HCT campaign at higher education institutions has a positive impact on the HIV epidemic among young people in South Africa.

Human and Social Development (HSD)

"A world of interdependence cannot be safe or just unless people everywhere are freed from want and fear and are able to live in dignity. Today, as never before, the rights of the poor are as fundamental as those of the rich, and a broad understanding of them is as important to the security of the developed world as it is to that of the developing world."

Kofi Annan 2005

Profile of HSD

The HSD programme employs critical and theoretical humanities and social sciences lenses to explore complex questions about society and groups of people living in adversity over their life course (children, youth, and families) to overcome legacies of oppression, especially inequality, racism, sexism, and their intersections, and bring about social change.

The team aims to generate evidence that can assist policymakers and practitioners in making informed choices and decisions in response to South Africa's broad human and social development challenges.

The work of the team is centred on four thematic areas:

- Children in adversity;
- Youth in the global south;
- Families and reproductive justice; and
- Society and belonging.

Two key ideas find expression in all four thematic areas. These are the HSD's foci – the humanities and diversity. The team adopts a perspective which is historical, anthropological and philosophical, with a strong emphasis on contemporary narratives and the role of fiction and music in cultural reproduction and identity-work. Close attention is paid to diversity by interrogating the intersections of gender, race, class, sexuality, geography and age on human and social development and how these shape the trajectories of individuals, families and communities.



Research highlights

Amagugu Intervention

In the year under review, the HSD team developed Amagugu, an intervention model for increasing HIV disclosure and parent-led communication about health among HIV-infected parents with HIV-uninfected primary school-aged children.

Innovative strategies are required to support and empower parents affected by HIV and poverty in high prevalence settings such as South Africa. The Amagugu Intervention is a six-session, home-based intervention, delivered to parents in rural KwaZulu-Natal, with the aim of increasing parental capacity to disclose their HIV status and offer health education to their primary school children. The intervention includes information and activities on disclosure, healthcare engagement, and custody planning. This relatively low-intensity, home-based intervention, delivered by lay counsellors, led to increased HIV disclosure to children, improvements in mental health for mother and child, and improved healthcare engagement and custody planning for the child.

The intervention led to an increase in any disclosure and full disclosure using the word "HIV". Time to full disclosure was shorter in the intervention group. Other significant results included the fact that more mothers in the intervention group took their children for a clinic visit, discussed a care plan for their children and appointed a guardian. The Amagugu Intervention uses a variety of psychological, participatory activities crafted in an accessible and user-friendly way that can be used by lay professionals. The results of the Amagugu Intervention were presented at two high profile international conferences and meetings, and published in a high impact public health journal, in the HSRC Review, and in other local forums. The study has garnered substantial media and public attention. The Amagugu model has been downloaded over 1 500 times by readers from every continent, and has been widely accessed by researchers across Africa.

Race, Education and Emancipation

The HSRC, in partnership with the University of KwaZulu-Natal, conducted a study on the experience of South African students of university life, and the centrality of race in their quest for education and emancipation. Over a five-year period, the study tracked the experience of 80 students from eight South African universities. Participants comprised 66 Black African, six Coloured, two Indian and six White students, and garnered stories through annual in-depth interviews, a weblog and student-led interviews with members of the universities and their social networks. Of the cohort, 27 students graduated, 35 students are still studying, seven left before degree completion, and 11 withdrew from the study or were untraceable. The single largest success factor for those who graduated, was their parents' levels of education. Black students require support in navigating new ways of learning, coping with new found freedoms, developing confidence to speak in class, discuss and debate with lecturers and ask for help, and they need to be unburdened of the desperate quest for funding for fees and accommodation.



Race, Education and Emancipation

Over a **five-year period**, the study tracked the experience of **80 students** from eight South African universities



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The study proposes a wide variety of actions for all stakeholders. Key amongst these are the role students themselves can play in their own success by adopting strategies to navigate the environment and by changing their own behaviour; the central role of parents in ensuring success; the efficacy of mentoring as a key intervention; the importance of strong and empathetic administrative assistance to students; the need for universities to embrace the culture and heritage of students; and the fundamental issue of making study accessible and affordable.

Alongside the report, the study produced a documentary entitled "Ready or not: Black students' experiences of university in South Africa". It is envisaged that this documentary will become a key resource for universities in the orientation of students, and as they reflect on their own practice and conduct outreach to high school students.



Children in South African Families: Lives and Times

The book project, *Children in South African families: Lives and Times*, was funded by the DST-NRF Centre of Excellence in Human Development and was published by Cambridge Scholars Publishing.

The book presents a comprehensive overview of African children's lives in times of transition, transformation, and change, some 22 years since political emancipation in South Africa. With diverse family formations, non-marital childbearing, and diverse parenting situations, the book covers both the conceptual and theoretical questions that explain the context of South African children's experiences. The volume draws on a range of primary and secondary data sources to illustrate these themes. While the volume affirms the complexities of explaining child adversity and/or privilege, stressing the diversity of South African children's experiences and the importance of adopting both children's rights and Afro-centric perspectives to account for the commonality and diversity of childhood and children's empowerment in diverse family systems. Written in accessible language devoid of disciplinary embellishment, the collection of chapters also provides recommendations on how to respond and intervene in children's issues, from both practical and policy levels, to ensure that children are protected from harm, nurtured to succeed, and assisted during and after traumatic experiences. The volume is a valuable resource for scholars and students in the fields of humanities, social science, development studies and public health. Policymakers, child practitioners, and child advocates who teach and practice in the fields of family studies, early childhood development, community development, population and development studies, psychology of childhood, social work, and sociology will also benefit from the book.

Impact of research on South African citizens and the agenda to reduce poverty and inequality

Let's Talk About it: Couples Counselling Builds Community

In rural areas there are very few services for couples, and little access to counselling in general. A study in KwaZulu-Natal by the HSRC found that providing couples counselling is an effective way to get people to test together for HIV. It also increases positive gender norms and reduces risky sexual behaviours. The Uthando Lwethu Study was the first study to determine whether access to couples counselling services would increase the uptake of couples HIV testing and counselling services. The counselling covered topics like alcohol abuse, family planning, intimate partner violence, health issues, communication, and issues around HIV. Counselling was designed to help couples develop positive communication skills and understanding. The counselling was provided by local lay counsellors which strengthens the feasibility of translating the programme from research to practice in the community.

Over a thousand candidates were screened and 332 couples participated, many of whom had never tested for HIV, demonstrating a real need for this programme in the community. The study showed that couples who accessed counselling were given the tools to develop better communication skills. They tested for HIV earlier, and the majority of them stayed in the programme for all of the counselling sessions. There was a high level of commitment to the counselling, with over 90% retention in the study over nine months. This success was achieved even though the couples were not "traditional couples" in that most were not married nor even lived together. This programme could serve as a model for dealing with other issues in the community, such as intimate partner violence and substance abuse. In a society where so many suffer the burdens of poverty, HIV, and expectations from family, couples counselling provides a place where people can learn skills and resolve difficulties in positive ways that is good for children, families and communities.

Social Restitution: Inviting more to Address Redress

Increasing protests, racism, inequality, poverty and political contention over the past few years has shown South Africans that we are far from the rainbow nation we once envisaged. The HSD team embarked on a programme of work on social restitution that invites civil society to participate alongside government to address redress and transformation and to map out new possibilities for individual, community and civil society involvement.

The programme focused on three aspects:

- Firstly, the launch of a book entitled *Another country: Everyday social restitution*, based on interviews with South Africans from all walks of life. The book describes the actions and attitudes that can be undertaken to "make things right" or "make good". It offers four new ideas about restitution: (1) injustice damages all our humanity and continues over time; (2) we need new language beyond the labels of victims and perpetrators to talk about our role in the past, including beneficiary, ostrich and resister; (3) the aim of social restitution is to restore our humanity and



should include practical, financial and symbolic acts; and (4) there is something for everyone to do – individuals and communities, alongside government and institutional efforts.

- Secondly, the HSRC, in partnership with the Restitution Foundation, the Castle of Good Hope and 12 civil society and academic partners, brought together 520 participants from over 46 institutions and organisations across multiple sectors for an inaugural conference on restitution.
- Thirdly, the project has commenced with a series of seminars and dialogues on restitution with faith communities, universities and business people, along with various intergenerational and intersectoral dialogues at historically significant sites in Cape Town.

The restitution project has provide much-needed impetus on social transformation based on dialogical engagement. It is likely to develop multiple new research projects around dialogue, social cohesion and practical ways of accelerating change and increasing redress.

Population Health, Health Systems and Innovation (PHHSI)

"The choices that women make have huge impact on families, on communities and on nations. Being able to provide an enabling environment for them to exercise their rights and make choices in their lives is crucial. It is at the heart of human development!"

Nigerian physician, and Executive Director of the United Nations Population Fund, Babatunde Osotimehin

PHHSI profile

The programme seeks to use social, economic, behavioural and human sciences to generate evidence for health policy, health systems, health promotion, and to enhance population health impact. The key research pillars are Health Economics and Health Systems; Health Promotion; Disease Prevention and Behavioural Sciences; Nutrition and Food Security; and Social and Behavioural Epidemiology.

Research highlights

Over the reporting period, PHHSI implemented several research projects that addressed the major burden of disease, i.e. non-communicable diseases (NCDs), child and maternal health, health systems and policy challenges.

Supporting Policy Engagement for Evidence-based Decision-making (SPEED)

SPEED aims to investigate the macro-, meso- and micro-level factors that influence implementation of key policies in a country. Activities included:

- A conference presentation in Porto, Portugal on 13 June, on an innovative methodology called a Policy Implementation Barometer (PIB) for assessing policy implementation in low and middle income countries;
- Conducting the first pilot in Uganda, looking at malaria, family planning and emergent obstetric care; and
- An inaugural seminar on the PIB, convened to look at challenges of policy implementation in South Africa and how the PIB can be applied to unpack bottlenecks.

The Analysis of Non-communicable Disease Prevention Policies in Africa (ANPPA)

This is a multi-country study, including Cameroon, Kenya, Malawi, Nigeria, Togo and South Africa, examining the application of a multi-sectoral approach (MSA) in the formulation and implementation of NCD prevention policies in Africa. The South African country review sub-component focused on the salt reduction policy in South Africa and was presented at the Africa Summit on NCD, held in Nairobi, Kenya, from 25–27 January 2017. A special *BMC Public Health* edition is in preparation to showcase some of the comparative and country results on the application of MSA in NCD control.



TeenMomconnect

This health service and health systems project aims to reduce the four leading causes of maternal mortality in pregnant teenage girls, namely, hypertension, non-pregnancy related infections (HIV/AIDS-related, TB or pneumonia), obstetric haemorrhage, and medical and surgical disorders.

The project is a mixed method study to design, pre-test, and pilot a health intervention that has two parts:

- Firstly, a SMS intervention that is appropriate to the age, culture, and language of teenagers; and
- Secondly, a motivational interviewing intervention, to be delivered by healthcare workers.

TeenMomconnect aims to extend the traditional school- and community-based platform delivery models and involve innovative technologies, such as the use of cell phones, to maximise health coverage and shape health and wellbeing in pregnant teenagers.

HealthRise

HealthRise is aligned with the South African Government's goal of reducing premature mortality from NCDs, cardiovascular diseases (CVDs) and diabetes in the Pixley ka Seme District in the Northern Cape and the uMgungundlovu District in KwaZulu-Natal.

The two districts are among the 11 National Health Insurance (NHI) pilot sites. These sites were selected because they are particularly underserved, with poor health outcomes and in urgent need of quality improvement and health system strengthening.

HealthRise South Africa appointed two local grantees, Project HOPE for the Northern Cape and Expectra for KwaZulu-Natal, to implement demonstration projects aimed at achieving specific, targeted percentages to increase screening, diagnosis, management and control of CVD and diabetes by September 2018, based on the burden of disease and the context of their targeted geographies. The demonstration projects are innovative, replicable, scalable, and designed for sustainability.

Lifestyle Diseases in Gauteng

This project aimed to estimate the prevalence of diabetes, CVD, obesity, and the use of tobacco, alcohol and other drugs among the general population in Gauteng, to develop innovative and province-specific recommendations to improve existing measures aimed at preventing and reducing lifestyle diseases at various levels of impact.

Malnutrition in Gauteng

The prevalence of undernutrition (wasting, stunting and underweight), micronutrient malnutrition (iron, vitamin A), and over nutrition (overweight and obesity) in children aged 0–5 years in Gauteng was estimated, to provide an understanding of the determinants of malnutrition and to formulate innovative and province-specific recommendations to curb and minimise malnutrition.

Evaluation of Informal Settlements

This was the first comprehensive survey that examined access to basic services; physical environment; health; food and nutrition security; crime and safety; economic activities; social capital and community empowerment; and attitudes towards foreigners, to strengthen implementation and improve the performance of the Upgrading of Informal Settlements Programme (UISP). It determined the nature and sustainability of the UISP outcomes, and measurable impacts on beneficiaries and communities in the UISP.

The key question that the baseline study posed was: What is the current status of informal settlements targeted for upgrading? This survey examined a nationally representative sample of 2 380 households and over 9 000 household members residing in 78 informal settlements out of a targeted 119.





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Impact on the lives of citizens

TeenMomconnect

TeenMomconnect, a project in process, has enabled the HSRC to develop messages which are culturally tailored and appropriate to the condition that teenage pregnant girls find themselves in. Healthcare workers have explained their need for additional training in approaching pregnant girls with sensitivity.

HealthRise

Thus far, through the HealthRise intervention, community healthcare workers have been trained in deep rural areas and underserved patients have been screened and referred for follow-up treatment at their local clinics. Community healthcare workers are also assisting patients in their homes to comply with taking their medication for hypertension, diabetes and other illnesses. This project directly impacts underserved patients in the community, those attending clinics, and the healthcare system. Furthermore, bicycles have been used to reach patients in remote areas – an innovation in NCD treatment and management.

Lifestyle Disease in Gauteng

This study is consistent with one of the pillars of the Gauteng Transformation, Modernisation and Reindustrialisation (TMR) Programme, which calls for accelerated social transformation. Since health is of paramount importance to this pillar, together with other socioeconomic factors that affect people's well-being, such as education, poverty, type of dwelling, employment status and level of income, it is necessary to ensure that the health of South Africans is improved through effective prevention, treatment and care measures which are inter-sectoral in nature.

Malnutrition in Gauteng

This project identified the need for interventions to reduce under- and over-nutrition amongst children in Gauteng. The outcomes of this study are directly related to the two pillars of the Gauteng City Region TMR Programme, which call for accelerated social transformation and modernisation of human settlements. By implementing these pillars, overcrowding, poverty, food security, and nutritional disorders will be addressed.

Evaluation of Informal Settlements

The recently completed project undertook a national baseline assessment of informal settlements targeted for upgrading, as part of the departments of Human Settlements and Monitoring and Evaluation's priority projects. It laid the ground work for measuring future progress, but also clarified the theory of change for the UISP. The findings on the challenges of access to basic services and potential health risks for marginalised groups were brought to the fore. The findings have now been used in reviewing the UISP and most provincial governments are now looking at ways of expediting housing and service delivery in general.

Other contributions

The programme continues to contribute to tobacco control in South Africa by engaging in public dialogue, thus providing public education around the issues of tobacco and NCD. Moreover, the programme contributed to the Department of Health work streams, in the preparation of the NHI White Paper that was approved by Cabinet on 21 June 2017. Finally, PHHSI has an impact on transformation and training, with programme staff actively supervising several PhD candidates.



Research Use and Impact Assessment (RIA)

"Confusion comes from lack of understanding, when we understand; we can predict, and when we can predict; we can control."

Aniekee Tochukwu Ezekiel – Motivational Speaker

RIA profile

RIA is a cross-cutting unit with transversal responsibilities, that seeks to enhance the use and impact of scientific research, and to manage the relationships, reputation and brand of the HSRC.

Highlights

Facilitating intergenerational dialogues

Since 2015 the RIA Programme has formally collaborated with the Department of Military Veterans (DMV) on joint projects to conduct research and document the life stories, contributions and sacrifices of South African military veterans, both inside and outside the country. The collaboration is intended to support the DMV's primary mandate of providing socio-economic support for military veterans and their dependents, by engendering the dignified acknowledgement of military veterans, giving voice to their perspectives on history, and facilitating intergenerational dialogues.

In the year under review RIA conducted supplementary research and worked with the late Mr Philip Kgosana on the re-publication of his autobiography entitled *Lest we Forget*. Mr Kgosana was a veteran of the Pan Africanist Congress (PAC) who is widely known for leading a peaceful protest of approximately 30 000 people from Langa Township to Cape Town on 30 March 1960, against the Sharpeville massacre and the pass laws. While in exile, he underwent military training in Ethiopia and later worked for UNICEF. Upon his return to South Africa in 1996 he became a local councillor in the Tshwane Municipality and a successful commercial farmer of various fruit and vegetables in Winterveldt.

The book was launched on 12 October 2016 and, in addition to receiving widespread media coverage, a number of local universities indicated that they intend to use the book as part of their teaching material for Political Science and History courses.

This collaboration with the DMV is the continuation of a humanities-centred programme of work that began in 2011 under the theme "Post-Liberation knowledge production and nation building by military veterans" and commenced with a workshop led by the "Men of Dynamite" – MK pioneers Ahmed Kathrada, Dennis Goldberg and Laloo Chiba.

Enhancing the dissemination and utilisation of HSRC policy briefs

As part of its human and social dynamics collaboration with the DST, in the 2016/17 RIA created platforms for policymakers and researchers to discuss and debate the policy implications of research. On 24 November 2016 a research seminar, entitled "Best practice in male circumcision: the acknowledgement of traditional leaders as custodians", was hosted at the HSRC.

The seminar aimed to uncover best practices in traditional male circumcision, and the significance of the role of traditional leaders as the custodians in this practice, working towards reduction and eventual elimination of deaths in traditional circumcision. The seminar brought together relevant stakeholders, including the National House of Traditional Leaders; the Congress of Traditional Leaders of South Africa (CONTRALESA); the departments of Cooperative Governance and Traditional Affairs, Health and Education; the South African Police Service; and practitioners, clinicians, surgeons, and researchers around South Africa.

Approximately 50 delegates participated in the seminar, including traditional leaders Nkosi Mahlangu, (Deputy Chairperson: National House of Traditional Leaders), Nkosi Ntandoyesizwe Ndamase (CONTRALESA) representing Nkosi Ndevu (General Secretary: CONTRALESA) who was unable to attend, and Nkosi Matanzima (Chairperson: EC House of Traditional Leaders). The delegates debated issues regarding best practices in male circumcision, and made recommendations on the future directions and activities in the prevention of deaths and complications from circumcision.



The discussions were centred on an HSRC Policy Brief, published in February 2016, entitled “Traditional male circumcision: How to prevent deaths and complications”. This policy brief was based on research conducted between 2009 and 2013 by Dr Mbuyiselo Douglas and colleagues in Libode in the Eastern Cape Province.

A key outcome of the seminar was the recognition that an important first step would be to consider the integration of medical male circumcision into traditional male circumcision because the model presents a plausible solution to deaths due to circumcision. It was also acknowledged that there is a need to incorporate this into the existing initiation process.

As part of its policy brief dissemination strategy, RIA is both creating platforms for policymakers and researchers to discuss and debate the policy implications of research, and systematically documenting the utilisation of policy briefs. This is part of an agreed framework for tracking the HSRC’s presence and impact at the research-policy nexus.

Developing research impact guidelines

During the period under review, a RIA team conducted research and developed research impact guidelines for the HSRC’s use in quantifying its influence, demonstrating a return on investment and improving accountability to taxpayers. Various approaches and methods were examined, including the Research Impact Pathways and Payback Models, and various national research evaluation systems were studied, including the UK’s Research Excellence Framework and the Netherlands’ Standard Evaluation Protocols. The project investigated the various kinds of indicators and evidence (metrics, narratives, surveys, testimonials and citations) used to assess research impact.

The guidelines that have been developed will be incorporated into the HSRC’s Research Project Management Framework and the associated Research Management System.

Recognising contributions to the social sciences and humanities

To recognise scientists and researchers who have contributed positively to the social sciences and humanities, the HSRC established the HSRC Medal for the Social Sciences and Humanities in 2016. The inaugural medal was awarded to the renowned scholar, Professor Njabulo Ndebele.

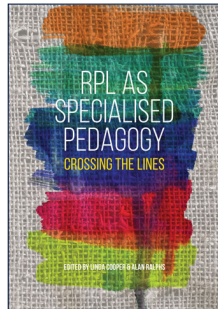
The Medal is awarded on an annual basis to a scholar who has made an outstanding contribution through his/her research and publications in any discipline and field in the social sciences and humanities. Overarching criteria for consideration are: a record of sustained academic excellence in the social sciences and humanities; an international reputation for his/her scholarship; a strong record of contribution to the public understanding of social sciences and/or humanities; and evidence of meaningful, impactful work over a period of time, e.g. impact on public policy and community interventions.

HSRC Press

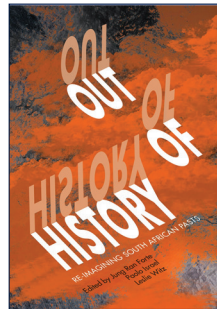
HSRC Press is a leading scholarly book publisher in Africa, publishing books from and about the continent and the global south. Its publications in the social sciences and humanities present relevant and evidence-based analysis, and are sold and distributed worldwide, as well as made freely available on the publisher’s open access platform. The quality and brand of HSRC Press have a strong international reputation, and are recognised for advancing scholarship and society. Books are published under two imprints, HSRC Press and Best Red. New African Thinkers was fully subsidised by the research programme.



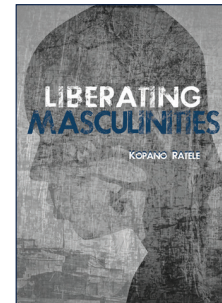
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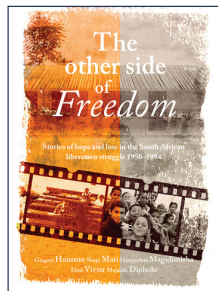
RPL as Specialised Pedagogy:
Crossing the lines



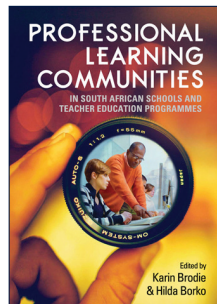
Out of history: Re-imagining
South African pasts



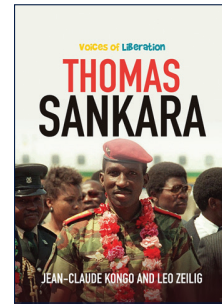
Liberating masculinities



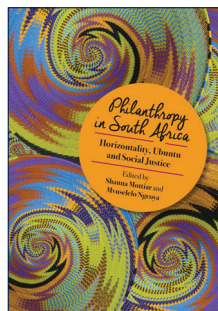
The other side of Freedom: Stories of
hope and loss in the South African
liberation struggle 1950-1994



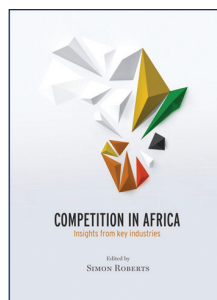
Professional learning communities
in South African schools and
teacher education programmes



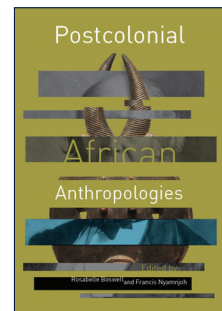
Voices of liberation: Thomas
Sankara



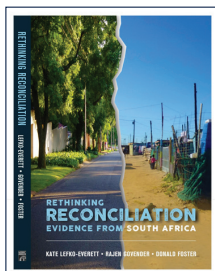
Philanthropy in South Africa:
Horizontality, ubuntu and social justice



Competition in Africa:
Insights from key industries

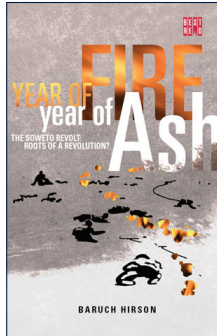


Postcolonial African
anthropologies

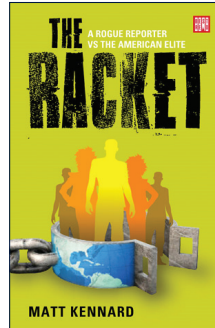


Rethinking reconciliation:
Evidence from South Africa

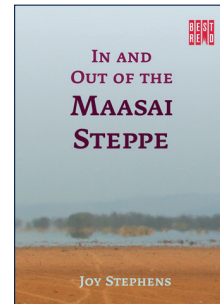
Best Red



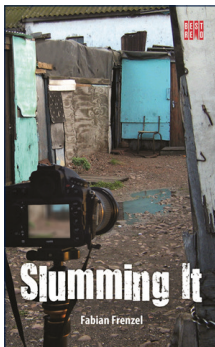
Year of fire, year of ash: The Soweto revolt – roots of a revolution?



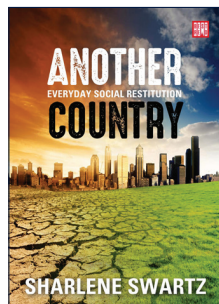
The racket: A rogue reporter versus the American elite



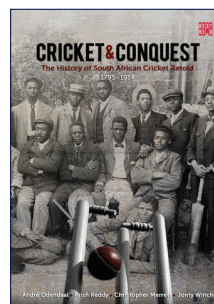
In and out of the Maasai Steppe



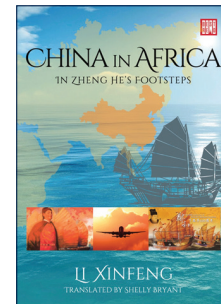
Slumming it: The tourist valorisation of urban poverty



Another country: Everyday social restitution

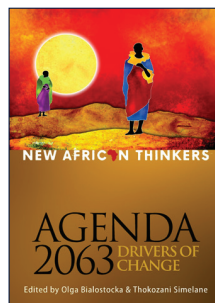


Cricket and conquest: The history of South African cricket retold, 1795–1914



China in Africa: In Zheng He's footsteps

Internally Generated Books



New African thinkers: Agenda 2063, drivers of change



Table 3: New books published in 2016/17

HSRC Press	
1	RPL as specialised pedagogy: Crossing the lines
2	Out of history: Re-imagining South African pasts
3	Liberating masculinities
4	The other side of freedom: Stories of hope and loss in the South African liberation struggle 1950–1994
5	Professional learning communities in South African schools and teacher education programmes
6	Voices of liberation: Thomas Sankara
7	Philanthropy in South Africa: Horizontality, ubuntu and social justice
8	Competition in Africa: Insights from key industries
9	Rethinking reconciliation: Evidence from South Africa
10	Postcolonial African anthropologies
Best Red	
1	Year of Fire, Year of Ash: The Soweto revolt – roots of a revolution?
2	The Racket: A rogue reporter versus the American elite
3	In and out of the Maasai Steppe
4	Slumming it: The tourist valorisation of urban poverty
5	Another country: Everyday social restitution
6	Cricket and conquest: The history of South African cricket retold, 1795–1914
7	China in Africa: In Zheng He's footsteps
E-books	
1	China in Africa: In Zheng He's footsteps
2	In and out of the Maasai Steppe
Internally generated books	
1	New African thinkers: Agenda 2063, drivers of change

In total, 20 new titles were published in 2016/17, of which ten were scholarly/academic books published under the HSRC Press imprint and seven were trade academic books published under the Best Red imprint. The remaining output included two new e-books and a new collection of works written by young and emerging scholars, arising from the AYGs Conference and focusing on Agenda 2063 and the vision to eradicate poverty.

Nine of the ten new HSRC Press books were approved for publication by the independent HSRC Press editorial board, following the gold-standard, double-blind peer review process.

One new book in the acclaimed *Voices of Liberation* series was published. A record seven new Best Red titles were published, of which five were commissioned as original works.

Six of the seventeen new titles have a continent-wide lens and twelve of the new titles focus specifically on South Africa, with restitution and justice emerging as strong themes.

The main theme driving the whole list, as in 2015/16, was inequality and poverty, with fifteen new books addressing different aspects in directed ways related to this critical theme.

HSRC Press produced and printed seventeen *HSRC Policy Briefs* in the year under review.

Strategic partnerships across the list were with the Chinese Academy of Social Sciences (CASS), the National Institute of Humanities and Social Sciences (NIHSS), Zed Books, AISA, the Institute for Justice and Reconciliation, and Cricket South Africa.



The HSRC Press attended or exhibited at a record 49 local events and conferences, and co-ordinated 13 new book launches. Six international events were attended. Both the sales of books as well as the online dissemination of free content on open access increased substantially in the financial year compared to the previous year.

Research Methodology and Data Centre (RMDC)

RMDC profile

The RMDC is a cross-cutting unit that provides efficient data capturing systems, and uses relevant analysis techniques to respond to key research questions. It makes research data accessible and user-friendly to inform monitoring and evaluation, further analysis, as well as debate, advocacy decision-making, implementation and training.

Research themes

A major strength of the RMDC is that its work focus can be divided into four themes that are led by unit heads as follows:

- **Research methodology design and statistical analysis:** High quality research requires sound and robust research design. During the development of proposals, the RMDC is consulted to provide guidance on best and appropriate research designs to respond to research questions;
- **GIS and spatial analysis:** The Geographic Information System (GIS) Centre focuses on the analysis of migration patterns, inequality, understanding population changes, city layout changes, changes in unemployment patterns, census output areas, spatial aspects of sample design, and the production of fieldwork maps, among others;
- **Data collection, capturing and management:** The Fieldwork and Data Capturing (FDC) Unit conducts fieldwork; does data capturing; manages the captured data for the HSRC; and occasionally does data capturing for external clients; and
- **Data curation, preservation and dissemination:** The HSRC supports data sharing, ensuring that data are managed, organised and preserved for reuse. The unit ensures the survival and usability of research data, as well as the dissemination of datasets for secondary use by enhancing the HSRC's data collection through developing, maintaining and implementing policies and standard operating procedures, and establishing and maintaining systems in support of the data curation processes.

Highlights

Since its inception in 2012, the RMDC has been involved in a number of activities that support the HSRC's research, including:

- Conducting secondary analysis of datasets that have bearing on National Development Plan indicators and Sustainable Development Goals, such as South African National Health and Nutrition Examination Study, 2012 (SANHANES), SABSSM V, SASAS and TIMMS datasets;
- Develop spatial analysis framework to inform secondary data analysis;
- Work collaboratively with other research programmes in writing proposals for fund raising;
- Conduct internal capacity development in the areas of data analysis, computing and research methodology;
- Design databases in CPro and RedCap for digital data collection for all HSRC projects;
- Conduct data management for the three main projects it is currently involved in, namely SABSSM V, TB Prevalence Survey and Victim Empowerment Survey;
- Curate the data deposited by research programmes to reach the ADEPTS (Advance – Develop – Enhance – Preserve – Transform – Sustain) curation targets; and
- Develop, maintain and implement policies and standard operating procedures.



Performance Against ADEPTS Targets – Highlights

At the beginning of the financial year, annual targets were agreed upon and approved by the Minister of Science and Technology, as contained in the Strategic Plan and Annual Performance Plan (APP). Overall, performance against these pre-determined objectives was 76% (34/45). When analysing at the ADEPTS level, outputs for each objective were as follows:

- A-Advance 83% (Out of 12 indicators: 10 achieved)
- D-Develop 83% (Out of 6 indicators: 5 achieved)
- E-Enhance 78% (Out of 9 indicators: 7 achieved)
- P-Preserve 100% (Out of 3 indicators: 3 achieved)
- T-Transform 71% (Out of 7 indicators: 5 achieved)
- S-Sustain 50% (Out of 8 indicators: 4 achieved)

A	D	E	P	T	S
83%	83%	78%	100%	71%	50%

Alignment between the performance objectives and indicators used by the HSRC and strategic national and departmental priorities/outcomes

The mandate of the HSRC, as captured in the preamble, as well as in Sections 3 and 4 of the HSRC Act (No. 17 of 2008) shows strong alignment with national priorities, including the challenges highlighted and addressed in the National Development Plan (NDP).

In the introductory section of its 2016/17 APP, the HSRC re-iterates its commitment to its mandated objectives, as follows (pages 3–4):

“It is important to understand what the HSRC is. It is a statutory council dedicated to conducting human and social science research, contributing to the pool of global knowledge in the interest of improving the quality of life of people on the African continent and particularly of the South African people (...)

Few countries in the world have the benefit of such a structure.

(...)

“Towards fulfilling the mandate given to it by the Act of 2008, the HSRC is seized with the task of promoting research which advances South Africa and Africa’s understanding of and engagement with the social conditions which characterize their contexts.”



Table 4: ADEPTS performance

No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements							
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated
Strategic Outcome Goal 1: A – Advancing knowledge and scientific excellence											
Objective 1A: Disseminating of knowledge through public dialogue and publications											
Objective statement: The HSRC will have stimulated public debate through effective dissemination of fact-based research results; thereby contributing to knowledge generation and dissemination globally by hosting public dialogue and publishing peer-reviewed journal articles in internationally accredited scientific journals; recognised books and book chapters with at least one HSRC researcher listed as author or co-author; and non-peer reviewed journal articles by the end of 2018/19											
1.1 (HSRC)	Peer-reviewed journal articles (allocated to Programmes 1 and 2): The number of peer-reviewed publications in an internationally accredited scientific journal, per senior researcher (SRS/SRM and above) during the period under review	1.4	1.83 (146/80)	0.2	0.30 (23/76)	0.3	0.53 (40/76)	0.4	0.29 (24/78)	0.5	0.71 (57/80)
1.1 (Pr 1 RDJ)	Peer-reviewed journal articles (Programme 1): The number of peer-reviewed publications in an internationally accredited scientific journal, per senior researcher (SRS/SRM and above) during the period under review	1.4	1.89 (142/75)	0.2	0.31 (22/71)	0.3	0.55 (39/71)	0.4	0.32 (23/73)	0.5	0.75 (56/75)
1.1 (Pr 2 AISA)	Peer-reviewed journal articles (Programme 2): The number of peer-reviewed publications in an internationally accredited scientific journal, per senior researcher (SRS/SRM and above) during the period under review	1.4	0.80 (4/5)	0.2	0.20 (1/5)	0.3	0.20 (1/5)	0.4	0.20 (1/5)	0.5	0.20 (1/5)
1.2 (HSRC)	Scholarly books published (allocated to Programmes 1 and 2) The number of recognised books with at least one HSRC researcher listed as author or co-author, published during the period under review	22	16	2	3	6	4	6	3	8	6
1.2 (Pr 1 RDJ)	Scholarly books published (Programme 1): The number of recognised books with at least one HSRC researcher listed as author or co-author, published during the period under review	19	10	Set at HSRC level	1	Set at HSRC level	4	Set at HSRC level	2	Set at HSRC level	3



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements								
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated	
1.2 (Pr 2 AISA)	Scholarly books published (Programme 2): The number of recognised books with at least one HSRC researcher listed as author or co-author, published during the period under review	3	6	Set at HSRC level	2	Set at HSRC level	Set at HSRC level	0	Set at HSRC level	1	Set at HSRC level	3
1.3 (HSRC)	Scholarly book chapters published (allocated to Programmes 1 and 2): The number of recognised book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review	63	64	7	7	14	10	20	14	22	33	
1.3 (Pr 1 RDI)	Scholarly book chapters published (Programme 1): The number of recognised book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review	56	44	Set at HSRC level	2	Set at HSRC level	8	Set at HSRC level	8	Set at HSRC level	26	
1.3 (Pr 2 AISA)	Scholarly book chapters published (Programme 2): The number of recognised book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review	7	20	Set at HSRC level	5	Set at HSRC level	2	Set at HSRC level	6	Set at HSRC level	7	
1.4 (HSRC)	Publications from ring-fenced funding (allocated to Programme 1): State of the Nation book volumes produced and published during the period under review	1	0	0	0	0	0	0	0	1	0	
1.4 (Pr 1 RDI)	Publications from ring-fenced funding (allocated to Programme 1): State of the Nation book volumes produced and published during the period under review	1	0	0	0	0	0	0	0	1	0	
1.5 (HSRC)	HSRC research seminars convened (allocated to Programme 1): The number of HSRC research seminars hosted during the year under review	50	60	10	17	13	17	13	10	14	16	
1.5 (Pr 1 RDI)	HSRC research seminars convened (Programme 1): The number of HSRC research seminars hosted during the year under review	50	60	10	17	13	17	13	10	14	16	



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements								
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated	
1.6 (HSRC)	HSRC Review publication (allocated to Programme 1): The number of HSRC Review publications produced during the year under review	4	4	1	1	1	1	1	0	1	1	2
1.6 (Pr 2 RDI)	HSRC Review publication (Programme 1): The number of HSRC Review publications produced during the year under review	4	4	1	1	1	1	1	0	1	1	2
1.7 (HSRC)	New publishing imprint (allocated to Programme 1) The number of titles published under the new imprint	5	7	1	0	1	1	1	0	1	2	6
1.7 (Pr 1 RDI)	New publishing imprint (Programme 1): The number of titles published under the new imprint	5	7	1	0	1	1	1	0	1	2	6
Objective 1B: Informing effective formulation of government policy												
Objective statement: The HSRC will have informed effective formulation of government policy and evaluated the effectiveness of its implementation by conducting research and increasing the number of policy briefs published from 8 in 2012/13 to 24 by the end of the 2018/19 financial year												
1.8 (HSRC)	Policy briefs (allocated to Programmes 1 and 2): The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	20	25	3	4	5	5	6	3	6	6	13
1.8 (Pr 1 RDI)	Policy briefs (Programme 1): The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	15	18	Set at HSRC level	3	Set at HSRC level	3	Set at HSRC level	1	Set at HSRC level	1	11
1.8 (Pr2 AISA)	Policy briefs (Programme 2): The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	5	7	Set at HSRC level	1	Set at HSRC level	2	Set at HSRC level	2	Set at HSRC level	2	2
1.9 (HSRC)	Public dialogues (allocated to Programme 1): Public dialogue on poverty and inequality hosted	2	4	0	0	0	0	1	0	1	1	4
1.9 (Pr 1 RDI)	Public dialogues (Programme 1): Public dialogue on poverty and inequality hosted	2	4	0	0	0	0	1	0	1	1	4
1.10 (HSRC)	Government services of functions where research results provided decision support (Impact indicator, allocated to Programme 1 OR 2)	3	3	n/a	n/a	n/a	n/a	n/a	0	n/a	3	3



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements							
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated
1.10 (Pr 1 RDI)	Government services of functions where research results provided decision support (Programme 1)	3	3	n/a	n/a	n/a	0	n/a	0	3	3
1.10 (Pr 2 AISA)	Government services of functions where research results provided decision support (Programme 2)	3	Achieved by RDI	n/a	n/a	n/a	0	n/a	0	3	Achieved by RDI
Objective 1C: Promoting excellence, reach and impact of publications											
1.11 (HSRC)	Peer-reviewed journal articles (acknowledged journals) per researcher (allocated to Programmes 1 and 2)	0.7	0.79 (188 /239)	0.1	0.10 (24/239)	0.2	0.22 (52 /329)	0.2	0.14 (33/239)	0.2	0.33 (79 /239)
1.11 (Pr 1 RDI)	Peer-reviewed journal articles (acknowledged journals) per researcher (Programme 1)	0.7	0.82 (182/222)	0.1	0.10 (22/222)	0.2	0.23 (51 /222)	0.2	0.14 (32/222)	0.2	0.35 (77/222)
1.11 (Pr 2 AISA)	Peer-reviewed journal articles (acknowledged journals) per researcher (Programme 2)	0.7	0.35 (6/17)	0.1	0.12 (2/17)	0.2	0.06 (1/17)	0.2	0.06 (1/17)	0.2	0.12 (2/17)
1.12 (HSRC)	Peer-reviewed journal articles with at least 10 citations listed (allocated to Programme 3)	Indicator and target defined	100%	n/a	0	n/a	0	n/a	0	Indicator and target defined	100%
1.12 (Pr 3 Admin)	Peer-reviewed journal articles with at least 10 citations listed (Programme 3)	Indicator and target defined	100%	n/a	0	n/a	0	n/a	0	Indicator and target defined	100%
Strategic Outcome Goal 2: D – Developing collaborative networks and applied research											
Objective 2.1: Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives											
Objective statement: By the end of the 2018/19 financial year, the HSRC will have sourced funding and undertaken longer-term, longitudinal or cross-sectional projects providing critical data to inform planning or monitoring progress in relation to government outcomes											
2.1 (HSRC)	Active MoUs (allocated to Programmes 1 and 2): The number of active Memoranda of Understanding (MoUs) in place with other research institutions or associations during the period under review	41	44	6	3	8	23	12	5	15	13
2.1 (Pr 1 RDI)	Active MoUs (Programme 1): The number of active MoUs in place with other research institutions or associations during the period under review	36	39	Set at HSRC level	0	Set at HSRC level	23	Set at HSRC level	5	Set at HSRC level	11
									Year-to-date achieved		Annual target met
									Year-to-date achieved		Annual target met



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements								
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated	
2.1 (Pr 2 AISA)	Active MoUs (Programme 2): The number of active MoUs in place with other research institutions or associations during the period under review	5	5	Set at HSRC level	3	Set at HSRC level	Set at HSRC level	0	Set at HSRC level	0	Set at HSRC level	2
2.2 (HSRC)	Structured collaborative research projects completed (allocated to Programme 1): The number of research projects involving structured collaboration between research programmes completed during the period under review	18	23	1	0	3	0	5	1	9	22	
2.2 (Pr 1 RDI)	Structured collaborative research projects completed (Programme 1): The number of research projects involving structured collaboration between research programmes completed during the period under review	18	23	1	0	3	0	5	1	9	22	
Objective 2B: Promoting an African research agenda												
Objective statement: The HSRC will have promoted an African research agenda through knowledge and research partnerships elsewhere in Africa, and by encouraging comparative work and the involvement of expert participants and reviewers from other parts of Africa by 2017/18												
2.3 (HSRC)	African research fellows (allocated to Programmes 1 and 2): The number of research fellows from elsewhere in Africa at the HSRC	14	6	7	4	10	4	12	5	14	6	
2.3 (Pr 1 RDI)	African research fellows (Programme 1): The number of research fellows from elsewhere in Africa at the HSRC	11	6	Set at HSRC level	4	Set at HSRC level	4	Set at HSRC level	5	Set at HSRC level	6	
2.3 (Pr 2 AISA)	African research fellows (Programme 2): The number of research fellows from elsewhere in Africa at the HSRC	5	0	Set at HSRC level	0	Set at HSRC level	0	Set at HSRC level	0	Set at HSRC level	0	
2.4 (HSRC)	Peer reviewed journal articles (allocated to Programmes 1 and 2): Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	4	13	0	0	0	0	1	11	3	2	
2.4 (Pr 1 RDI)	Peer reviewed journal articles (Programme 1): Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	2	12	0	0	0	0	Set at HSRC level	10	Set at HSRC level	2	



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements											
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated				
2.4 (Pr 2 AISA)	Peer reviewed journal articles (Programme 2): Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	2	1	0	0	0	0	0	0	1	1	0	0	0	0
Objective 2C: Undertaking research and analysis to address prioritised issues, notably poverty, inequality and inclusive development															
Objective statement: The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by conducting research projects in collaboration with government, universities, non-governmental organisations and donor organisations; and conducting 15 collaborative research projects between its research programmes by the end of the 2018/19 financial year															
2.5 (HSRC)	Research projects completed (allocated to Programmes 1 and 2): The number of HSRC research projects completed during the period under review	23	28	2	0	5	1	6	6	6	6	10	21		
2.5 (Pr 1 RD1)	Research projects completed (Programme 1): The number of HSRC research projects completed during the period under review	22	27	Set at HSRC level	0	Set at HSRC level	1	Set at HSRC level	6	6	Set at HSRC level	Set at HSRC level	20		
2.5 (Pr 2 AISA)	Research projects completed (Programme 2): The number of HSRC research projects completed during the period under review	1	1	Set at HSRC level	0	Set at HSRC level	0	Set at HSRC level	12	0	Set at HSRC level	Set at HSRC level	1		
2.6 (HSRC)	Research reports produced (allocated to Programmes 1 and 2): The number of research reports produced during the period under review	35	68	3	0	6	11			22	14		35		
2.6 (Pr1 RD1)	Research reports produced (Programme 1): The number of research reports produced during the period under review	32	65	Set at HSRC level	0	Set at HSRC level	10	Set at HSRC level	21	Set at HSRC level	Set at HSRC level	Set at HSRC level	34		
2.6 (Pr 1 AISA)	Research reports produced (Programmes 2(65) and 2(3)): The number of research reports produced during the period under review	3	3	Set at HSRC level	0	Set at HSRC level	1	Set at HSRC level	1	Set at HSRC level	Set at HSRC level	Set at HSRC level	1		



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements							
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated
Strategic Outcome Goal 3: E – Enhancing research skills and public awareness											
Objective 3A: Attraction of skills for the development of a skilled and capable workforce											
Objective statement: The HSRC will have recruited master's and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC and strengthened its capacity building programme focusing on recruitment of unemployed graduates, expanding the coaching skills initiative for managers, career growth and succession planning by 2018/19											
3.1 (HSRC)	Master's level interns (allocated to Programme 3): The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	42	52	12	33	22	38	32	42	42	52
3.1 (Pr 3 Admin)	Master's level interns (Programme 3): The number of interns (research trainees) enrolled in a master's programme, appointed at the HSRC	42	52	12	33	22	38	32	42	42	52
3.2 (HSRC)	PhD level interns (allocated to Programme 3): The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	49	52	10	41	20	42	30	49	49	52
3.2 (Pr 3 Admin)	PhD level interns (Programme 3): The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	49	52	10	41	20	42	30	49	49	52
3.3 (HSRC)	Post-doctoral fellows (allocated to Programme 3): The number of post-doctoral fellows (research associates) appointed at the HSRC	25	27	5	21	12	23	18	27	25	27
3.3 (Pr 3 Admin)	Post-doctoral fellows (Programme 3): The number of post-doctoral fellows (research associates) appointed at the HSRC	25	27	5	21	12	23	18	27	25	27
Objective 3B: Building research capacity for the human sciences											
3.4 (HSRC)	Completed master's level research internship (allocated to Programme 1): The number of interns (research trainees) enrolled in a master's programme, who has completed the programme during the period under review	5	10	0	1	0	2	2	2	3	5
3.4 (Pr 1 RDI)	Completed master's level research internship (Programme 1): The number of interns (research trainees) enrolled in a master's programme, who has completed the programme during the period under review	5	10	0	1	0	2	2	2	3	5



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements									
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated		
3.5 (HSRC)	Completed PhD level research internship (allocated to Programme 1): The number of interns (research trainees) enrolled in a PhD programme, who have completed the programme during the period under review	7	6	0	1	0	0	0	0	2	3	5	2
3.5 (Pr 1 RDI)	Completed PhD level research internship (Programme 1): The number of interns (research trainees) enrolled in a PhD programme, who have completed the programme during the period under review	7	6	0	1	0	0	0	0	2	3	5	2
Objective 3C: Raising awareness of opportunities and contributions in social science and humanities research													
3.6 (HSRC)	Students reached in the research seminars/campus lecture series (allocated to Programme 2): The number of students reached in the research seminars/campus lecture series during the period under review	550	445	130	0	130	203	140	0	150	242		
3.6 (Pr 2 AISA)	Students reached in the research seminars/campus lecture series (Programme 2): The number of students reached in the research seminars/campus lecture series during the period under review	550	445	130	0	130	203	140	0	150	242		
3.7 (HSRC)	Schools engaged in outreach programme (allocated to Programme 2): The number of schools engaged in the outreach programme during the period under review	190	204	45	109	45	95	45	0	55	0	55	0
3.7 (Pr 2 AISA)	Schools engaged in outreach programme (Programme 2): The number of schools engaged in the outreach programme during the period under review	190	204	45	109	45	95	45	0	55	0	55	0
3.8 (HSRC)	Social science research conferences (allocated to Programme 1): The number of annual social sciences research conference hosted during the period under review	1	1	n/a	0	n/a	0	1	1	n/a	1	n/a	0



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements							
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated
3.8 (Pr 1 RDI)	Social science research conferences (Programme 1): The number of annual social sciences research conference hosted during the period under review	1	1	n/a	0	n/a	0	1	1	n/a	0
3.9 (HSRC)	Platforms for engaging policymakers (allocated to Programme 1): The number of platforms for engaging policymakers established during the period under review	1	1	0	0	0	0	0	0	1	1
3.9 (Pr 1 RDI)	Platforms for engaging policymakers (Programme 1): The number of platforms for engaging policymakers established during the period under review	1	1	0	0	0	0	0	0	1	1
Strategic Outcome Goal 4: P – Preserving and sharing data for further analysis											
Objective 4A: Preserving research data and artefacts											
Objective statement: The HSRC will have expanded the number of datasets already available in the public domain and established standards for the management and preservation of research data by the end of the 2018/19 financial year											
4.1 (HSRC)	Preserved datasets (allocated to Programme 3): The number of HSRC datasets that were preserved (archived/curated) during the period under review	23	23	2	0	5	2	7	7	9	14
4.1 (Pr 3 Admin)	Preserved datasets (Programme 3): The number of HSRC datasets that were preserved (archived/curated) during the period under review	23	23	2	0	5	2	7	7	9	14
4.2 (HSRC)	Preserved library holdings allocated to Programme 2): Digitised library holdings; maps and photo collection during the period under review	158	197	30	0	35	96	45	101	48	0 Annual target exceeded
4.2 (Pr 2 AISA)	Preserved library holdings (Programme 2): Digitised library holdings; maps and photo collection during the period under review	158	197	30	0	35	96	45	101	48	0 Annual target exceeded



		Quarterly targets and quarterly achievements								
Annual target/year-to-date achievement		1 st quarter target as per APP validated	1 st quarter actual output – validated	2 nd quarter target as per APP validated	2 nd quarter actual output – validated	3 rd quarter target as per APP validated	3 rd quarter actual output – validated	4 th quarter target as per APP validated	4 th quarter actual output – validated	
No	Performance indicator description	Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1st quarter target as per APP validated	1st quarter actual output – validated	2nd quarter target as per APP validated	2nd quarter actual output – validated	3rd quarter target as per APP validated	3rd quarter actual output – validated	
Objective 4B: Managing and promoting secondary use of research data										
Objective statement: The HSRC will preserves datasets' digital object identifiers (doi) as a means to monitor citations of datasets and future performance targets agreed to by the end of the 2018/19 financial year										
4.3 (HSRC)	Secondary analysis and recognition of preserved data (allocated to Programme 3): Preserves HSRC datasets' doi as a means to monitor citations of datasets and future performance targets agreed to	Setting of parameters	100%	n/a	n/a	n/a	n/a	Setting of parameters	100%	n/a
4.3 (Pr 3 Admin)	Secondary analysis and recognition of preserved data (Programme 3): Preserves HSRC datasets' doi as a means to monitor citations of datasets and future performance targets agreed to	Setting of parameters	100%	n/a	n/a	n/a	n/a	Setting of parameters	100%	n/a
Strategic Outcome Goal 5: T – Transformation										
Objective 5A: Ensuring ongoing transformation at the level of senior researchers										
Objective statement: By the end of the 2018/19 financial year, the HSRC will have maintained 56% of senior researchers (SRS/SRM and above), who are African and 49% of senior researchers who are female										
5.1 (HSRC)	Senior researchers who are African (allocated to Programmes 1 (37.3% [28/75]) and 2 (100% [5/5]): The percentage of all researchers at senior level (SRS/SRM and above) who are African	56%	41.25% (33/80)	56%	42.11%	56%	43.42% (33/76)	56%	43.59% (34/78)	56%
5.1 (Pr 1 RDI)	Senior researchers who are African (Programme 1): The percentage of all researchers at senior level (SRS/SRM and above) who are African	56%	37.3% (28/75)	56%	38% (27/71)	56%	39.4% (28/71)	56%	39.7% (29/73)	56%
5.1 (Pr 2 AISA)	Senior researchers who are African (Programme 2): The percentage of all researchers at senior level (SRS/SRM and above) who are African	56%	100% (5/5)	56%	100% (5/5)	56%	100% (5/5)	56%	100% (5/5)	56%
5.2 (HSRC)	Senior researchers who are female (allocated to Programmes 1 and 2): The percentage of all researchers at senior level (SRS/SRM and above) who are female	49%	37.5% (30/80)	49%	36.8%	49%	35.5% (27/76)	49%	35.9% (28/78)	49%



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements							
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated
5.2 (Pr 1 RD)	Senior researchers who are female (Programme 1): The percentage of all researchers at senior level (SRS/SRM and above) who are female	49%	40% (30/75)	49%	39.4% (28/71)	49%	38.0% (27/71)	49%	38.4% (28/73)	49%	40% (30/75)
5.2 (Pr 2 AISA)	Senior researchers who are female (Programme 2): The percentage of all researchers at senior level (SRS/SRM and above) who are female	49%	0% (0/5)	49%	0% (0/5)	49%	0% (0/5)	49%	0% (0/5)	49%	0% (0/5)
Objective 5B: Ensuring awareness and proper reporting on transformation											
Objective statement: By the end of the 2018/19 financial year, the HSRC will have raised awareness and assessed its transformation status and prepared annual and quarterly reports on employment equity (EE) levels and activities to raise awareness on gender and diversity											
5.3 (HSRC)	Annual EE reports produced (allocated to Programme 3): Annual EE report to Department of Labour	100%	100%	100%	100%	100%	100%	100%	100%	n/a	100%
5.3 (Pr 3 Admin)	Annual EE reports produced (Programme 3): Annual EE report to Department of Labour	100%	100%	100%	100%	100%	100%	100%	100%	n/a	100%
5.4 (HSRC)	Quarterly EE reports produced (allocated to Programme 3): Quarterly EE reports to the HSRC Board	4	4	1	1	1	1	1	1	1	1
5.4 (Pr 3 Admin)	Quarterly EE reports produced (Programme 3): Quarterly EE reports to the HSRC Board	4	4	1	1	1	1	1	1	1	1
5.5 (HSRC)	Diversity awareness events hosted (allocated to Programme 3): The number of diversity awareness events hosted during the year under review	1	1	n/a	n/a	n/a	n/a	n/a	0	1	1
5.5 (Pr 3)	Diversity awareness events hosted (Programme 3): The number of diversity awareness events hosted during the year under review	1	1	n/a	n/a	n/a	n/a	n/a	0	1	1



		Annual target/year-to-date achievement		Quarterly targets and quarterly achievements							
No	Performance indicator description	Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated
5.6 (HSRC)	Gender awareness events hosted (allocated to Programme 3): The number of gender awareness events hosted during the year under review	1	1	n/a	n/a	n/a	n/a	n/a	n/a	1	1
5.6 (Pr 3 Admin)	Gender awareness events hosted (Programme 3): The number of gender awareness events hosted during the year under review	1	1	n/a	n/a	n/a	n/a	n/a	n/a	1	1
Objective 5C: Supporting ongoing organisational development and transformation											
5.7 (HSRC)	Ratio of senior researchers (allocated to Programme 3): The ratio of senior researchers (SRS/SRM or higher) in relation to all HSRC staff	Indicator and target defined	100%	Indicator and target defined	n/a	Indicator and target defined	n/a	Indicator and target defined	n/a	Indicator and target defined	100%
5.7 (Pr 3 Admin)	Ratio of senior researchers (Programme 1): The ratio of senior researchers (SRS/SRM or higher) in relation to all HSRC staff	Indicator and target defined	100%	Indicator and target defined	n/a	Indicator and target defined	n/a	Indicator and target defined	n/a	Indicator and target defined	100%
Strategic Outcome Goal 6: 5 – Financial sustainability											
Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income											
Objective statement: By end of the 2018/19 financial year, the HSRC will have maintained extra-parliamentary funding of 40% (60:40 ratio)											
6.1 (HSRC)	Extra-parliamentary income (allocated to Programme 1): The percentage of total income that is extra-parliamentary	48%	44.62%	48%	35.47%	48%	44%	48%	44.56%	48%	44.62%
6.1 (Pr 1 RDI)	Extra-parliamentary income (Programme 1): The percentage of total income that is extra-parliamentary	48%	44.62%	48%	35.47%	48%	44%	48%	44.56%	48%	44.62%
6.2 (HSRC)	Multi-year grants (allocated to Programme 1): The percentage of research grants that are multi-year (at least three years)	56%	49.43%	56%	96.15%	56%	96.15%	56%	48.05%	56%	49.43%
6.2 (Pr 1 RDI)	Multi-year grants (Programme 1): The percentage of research grants that are multi-year (at least three years)	56%	49.43%	56%	96.15%	56%	96.15%	56%	48.05%	56%	49.43%

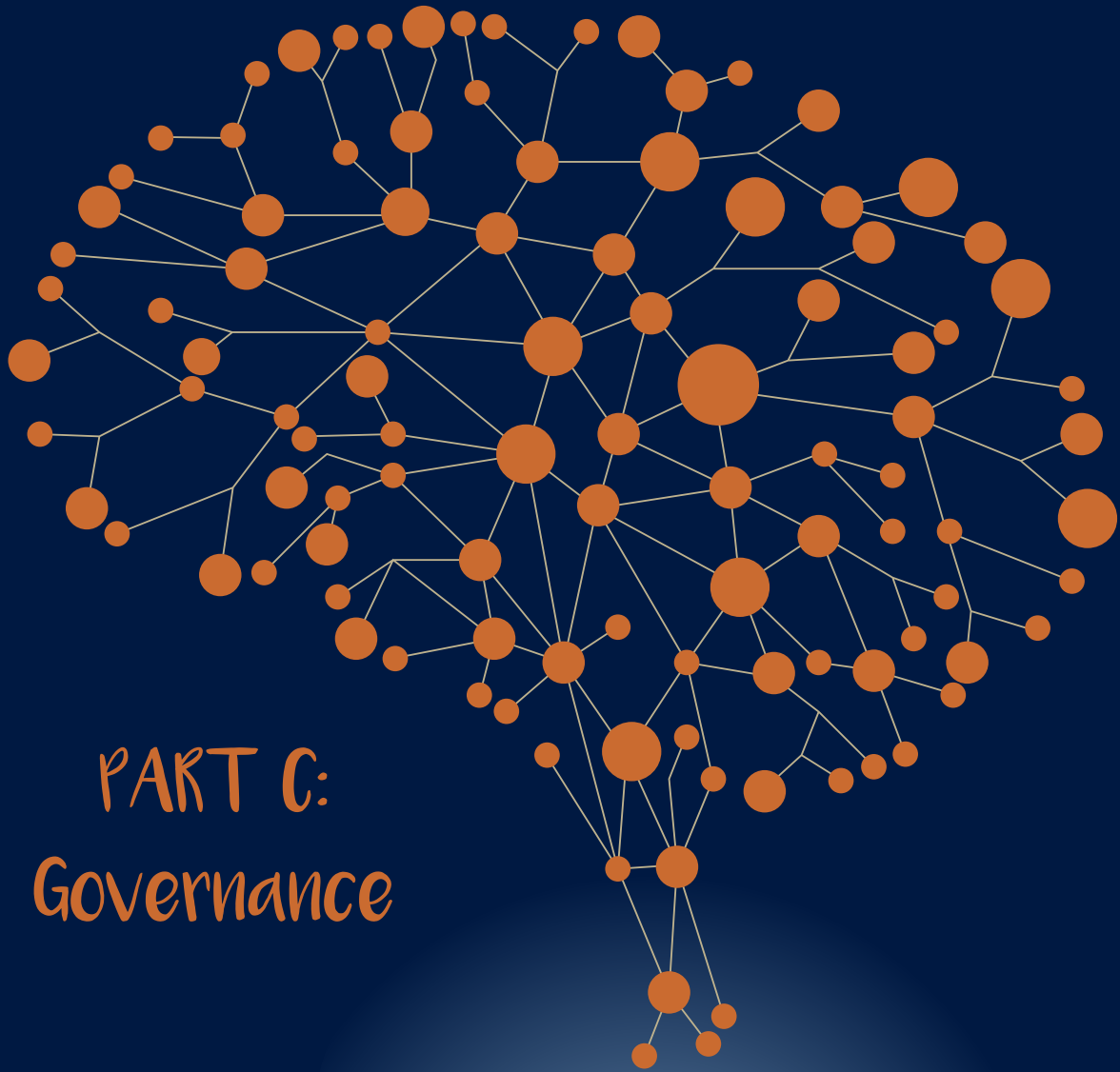


No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements							
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated
Objective 6B: Promoting and implementing good corporate governance principles											
Objective statement: By the end of the 2018/19 financial year, the HSRC will have championed the implementation of good corporate governance principles and produced quarterly reports on risk management, compliance and anti-corruption initiatives and will have facilitated activities related to the governance of the Board, to ensure financial sustainability											
6.3 (HSRC)	Officials attending the anti-corruption campaign (allocated to Programme 3): The percentage of officials attending the anti-corruption campaign	80%	77.84% (453/582)	0%	0%	0%	84.29%	0%	58.98%	80%	77.84% (453/582)
6.3 (Pr 3 Admin)	Officials attending the anti-corruption campaign (Programme 3): The percentage of officials attending the anti-corruption campaign	80%	77.84% (453/582)	0%	0%	0%	84.29%	0%	58.98%	80%	77.84% (453/582)
6.4 (HSRC)	Eligible officials who have declared their interests (Programme 3): The percentage of eligible officials who have declared their interests	100%	100%	0%	0%	0%	40.85%	0%	84.98%	100%	100%
6.4 (Pr 3 Admin)	Eligible officials who have declared their interests (Programme 3): The percentage of eligible officials who have declared their interests	100%	100%	0%	0%	0%	40.85%	0%	84.98%	100%	100%
6.5 (HSRC)	Compliance reports produced (allocated to Programme 3): The number of compliance reports presented and approved	4	4	1	1	1	1	1	1	1	1
6.5 (Pr 3 Admin)	Compliance reports produced (Programme 3): The number of compliance reports presented and approved	4	4	1	1	1	1	1	1	1	1



No	Performance indicator description	Annual target/year-to-date achievement		Quarterly targets and quarterly achievements							
		Target for 2016/17 as per APP	Cumulative achievement (year-to-date)	1 st quarter target as per APP	1 st quarter actual output – validated	2 nd quarter target as per APP	2 nd quarter actual output – validated	3 rd quarter target as per APP	3 rd quarter actual output – validated	4 th quarter target as per APP	4 th quarter actual output – validated
Objective 6C: Upholding effective and efficient systems of financial management and internal control											
Objective statement: By the end of the 2018/19 financial year, the HSRC will have championed the implementation of good corporate governance principles and produced quarterly reports on risk management, compliance, anti-corruption initiatives and will have facilitated activities related to the governance of the Board, to ensure financial sustainability											
6.6 (HSRC)	Unqualified external audit report (allocated to Programme 3): 100% unqualified results of the annual statutory audits achieved for the period under review	1	1	n/a	1	1	n/a	0	n/a	n/a	0
6.6 (Pr 3 Admin)	Unqualified external audit report (Programme 3): 100% unqualified results of the annual statutory audits achieved for the period under review	1	1	n/a	1	1	n/a	0	n/a	n/a	0
6.7 (HSRC)	BBBEE status (Allocated to Programme 3): The level of BBBEE status achieved for the period under review	2	3	4	2	3	2	3	2	2	3
6.7 (Pr 3 Admin)	BBBEE status (Programme 3): The level of BBBEE status achieved for the period under review	2	3	4	2	3	2	3	2	2	3
6.8 (HSRC)	PPPFA compliance (allocated to Programme 3): Percentage compliance with the PPPFA requirements during the period under review	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
6.8 (Pr 3 Admin)	PPPFA compliance: (Programme 3) Percentage compliance with the PPPFA requirements during the period under review	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%





PART C: Governance



“

How easy it is to govern when one follows a system of consulting the will of the people and one holds as the only norm all the actions which contribute to the wellbeing of the people.

• Che Guevara •

”

HSRC Board Members



Ms Nasima Badsha
Chairperson
MSc, University of Natal

Ms Badsha is chief executive officer of the Cape Higher Education Consortium. Previous positions held include deputy director general in the former Department of Education (1997–2006); advisor to the Minister of Education (2006–2009); and advisor to the Minister of Science and Technology (2009–2012). She is a former member of the National Commission on Higher Education and served on the Council on Higher Education and Board of the National Student Financial Aid Scheme.



Prof. Crain A Soudien
Chief Executive Officer
PhD, State University of New York at Buffalo

Prof. Soudien is a former deputy vice-chancellor of the University of Cape Town, where he remains an emeritus professor in Education and African Studies. His publications in the areas of social difference, culture, education policy, comparative education, educational change, public history and popular culture include three books, four edited collections and over 190 articles, reviews, reports, and book chapters, including a 2017 publication entitled *Nelson Mandela: Comparative Perspectives of his Significance for Education*.



He is involved in a number of local, national and international social and cultural organisations and is the chairperson of the Independent Examinations Board, the former chairperson of the District Six Museum Foundation, a former president of the World Council of Comparative Education Societies and had been the chair of the Ministerial Committee on Transformation in Higher Education. He is currently the chair of the Ministerial Committee to Evaluate Textbooks for Discrimination. He is a fellow of a number of local and international academies and serves on the boards of a number of cultural, heritage, education and civil society structures.

Prof. Mark Bussin
BSc, HDPM, MM, MCom and DCom, University of Johannesburg

Prof. Bussin is chairperson of 21st Century Pay Solutions Group; professor at the University of Johannesburg; professor extraordinaire at North-West University; past commissioner in the Presidency as a member of the Independent Commission for the Remuneration of Public Office Bearers; chairperson and member of various boards, audit, human resources and remuneration committees; and immediate past president and executive committee member of the South African Reward Association. He is the author of *The Remuneration Handbook for Africa*; *The Performance Management Handbook for Emerging Markets*; *The Performance Management Handbook for Government, SOEs, Universities, Schools and NPOs*; and *Remuneration and Talent Management*.



Adv. Roshan Dehal
BProc, LLB

Advocate Dehal is an advocate of the High Court of SA; a human rights and litigation lawyer in practice for over 35 years, first as an attorney and conveyancer and now as an advocate; and has been a commissioner of the small claims court since October 1996.

He has served on several boards, councils and committees, including the Estate Agency Affairs Board (EAAB); South African Council for Social Services Professions (SACSSP); Africa Institute of SA (AISA); South African Civil Aviation Authority (SACAA); Iziko Museum; National Film and Video Foundation (NFVF); and the Appeals Board of the Medical Schemes Council. He is an assessor for the Health Professions Council of South Africa (HPCSA) and chairperson of several boards, committees and sub-committees around the world.

He obtained distinctions in several law subjects in his BProc, LLB and LLM degrees and has received several leading community awards of distinction from centres in South Africa, India, UK, and Asia. He was the youngest admitted attorney (at age 22 in 1979) and holds several liberation struggle awards for successfully defending/prosecuting human rights matters, especially in the apartheid days of South Africa and as a historically disadvantaged lawyer.



Prof. Shireen Hassim
PhD (political science), York University, Toronto, Canada

Prof. Hassim is a professor of political studies and author of *Women's Organisations and Democracy in South Africa: Contesting Authority* (2006), which won the 2007 American Political Science Association's Victoria Shuck Award for best book on women and politics. She is co-editor of several books, most recently *Go Home or Die Here: Xenophobia, Violence and the Reinvention of Difference in South Africa* (Wits University Press, 2009). Current research projects are a history of family and state in South Africa, and the ways in which bodies are invested as the sites of demarcating the boundaries of power in post-apartheid South Africa.

She sits on the editorial boards of a number of international journals, including the *International Journal of Feminist Politics, Politics and Gender*, *African Studies* and the *Journal of Southern African Studies*. She is a member of the Academy of Science of South Africa (ASSAf) Standing Committee on Humanities, and the research Advisory Committee of the United Nations' flagship report – *Progress of the World's Women*. She is international research advisor to the project, *Gendering Institutional Change*, based at the University of Manchester; has been a member of the senate of the University of the Witwatersrand for five years; was elected by senate to the Council of the University of the Witwatersrand; and is the assistant dean (research) in the faculty of humanities.





Prof. Amanda Lourens
PhD, University of Pretoria

Prof. Lourens is director: IDSC Consulting Pty (Ltd); a research fellow: Universities South Africa (USAF); and extraordinary associate professor at North-West University (Potchefstroom campus). She was previously, vice-rector: research and planning at North-West University (Potchefstroom Campus); and a member of the National Research Foundation THRIP Advisory Board; the USAF Research and Innovation Strategy Group; and the Ministerial Committee for the Development of a National Integrated Cyber-infrastructure System. She is a past president of the Southern African Research and Innovation Management Association and the South African Statistical Association; and past chairperson of the Southern African Association for Institutional Research.



Prof. Relebohile Moletsane
PhD, Indiana University, Bloomington, IN, USA

Prof. Moletsane is professor and John Langalibalele Dube chairperson in rural education, College of Humanities, University of KwaZulu-Natal. She is a member of the UMALUSI Council and of the editorial committee and Board of the *Agenda Feminist Media Project*.



Prof. Adebayo Olukoshi
PhD, Leeds University, UK

Prof. Olukoshi is the former director: United Nations African Institute for Economic Development and Planning and interim executive director: Africa Governance Institute, both at Dakar and Senegal. He is professor of international economic relations and former executive secretary: CODESRIA. He previously served as director of research at the Nigerian Institute of International Affairs; senior research fellow/research programme co-ordinator at the Nordic Africa Institute; and was a senior programme staff member at the South Centre in Geneva.



Prof. Lulama Qalinge
PhD, North-West University

Prof. Qalinge is a former professor and head of Department of Social Work, University of South Africa (UNISA); former acting dean of the Faculty of Human and Social Sciences and director of the School of Social Sciences, North-West University, (Mafikeng campus); former member of the institutional forum, North-West University. She is a member of Board of the Lesotho Highlands Development Authority, serving on the sustainable development subcommittee; and a member of Board of the HPCSA.



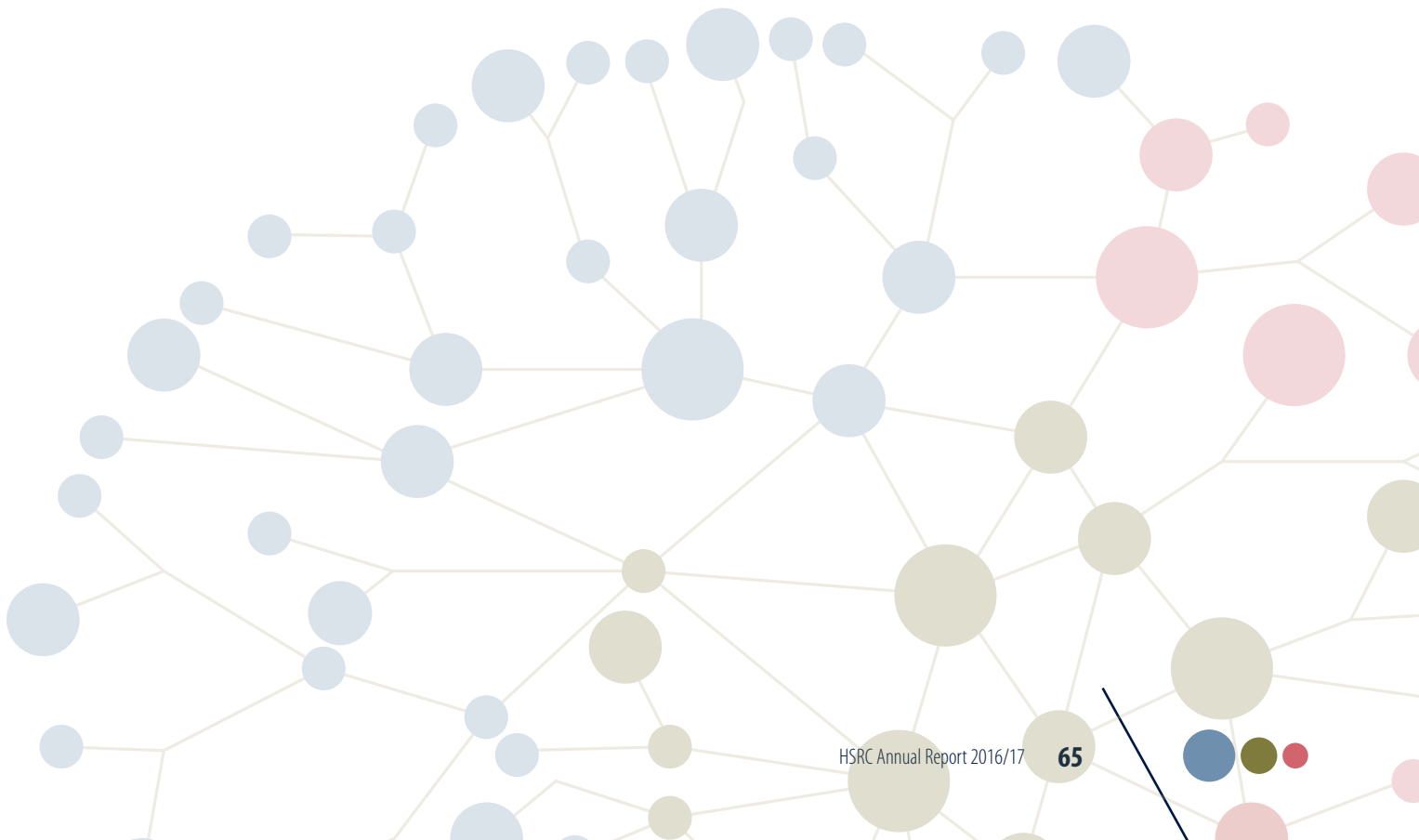
Dr Bothhale Tema
PhD, University of Reading, UK

Dr Tema is managing director: African Creative Connections; a member of the Advisory Panel of the Network for the Co-ordination and Advancement of Sub-Saharan Africa EU Science and Technology; chairperson of the Board of the Programme for Technological Careers; former ex-officio member of the AU Steering Committees on Education, Science and Technology, ICT and the Youth Programme; and former ex-officio member of the South African National Commission of UNESCO.



Prof. Enrico Uliana
PhD, Stellenbosch University; CA, South Africa

Prof. Uliana is the former executive director: finance at UCT; and visiting professor at the Graduate School of Business: UCT, the Department of Accounting: Nelson Mandela University, the Department of Accounting: Rhodes University, the Rotterdam School of Management: Erasmus University, Bologna University, and Milano-Bicocca University. He is editor of the *South African Journal of Accounting Research* and serves on the editorial team of several international journals. He is co-author of three textbooks (eleven editions), including the biggest-selling financial management textbook in South Africa for 25 years.



Role and Function of the Board

The HSRC was established in terms of the HSRC Act (Act No. 17 of 2008) and, as a Schedule 3A public entity, performs within the statutory guidelines of the Public Finance Management Act (Act No. 1 of 1999) (PFMA) and the associated treasury regulations. In adhering to the requirements of the executive authority, the HSRC Board adopted the King Code of Governance Principles and the King Report on Governance (King III) principles of good governance.

The Board is appointed to govern and control the council in accordance with the HSRC Act and is accountable to the Minister of Science and Technology and Parliament in the execution of its function. The Board Charter, approved in November 2009 and reviewed annually, defines the responsibilities and duties of the Board as follows:

Corporate governance

- To ensure that the activities, performance, and values of the HSRC are in accordance with the statutory objects and functions, as specified in sections 3 and 4 of the Act;
- To determine, monitor and evaluate the implementation of the HSRC's Strategic and Business Plan in conjunction with the Chief Executive Officer (CEO), and to conclude a shareholder's agreement with the executive authority (the minister) setting out mutual rights and obligations;
- To exercise fiduciary oversight over the assets of the HSRC, but ensuring that the HSRC's financial records are regularly audited in accordance with best corporate practice; that management of assets comply with the Public Finance Management Act; and that there are adequate risk management measures, procedures and practices in place to protect the HSRC's assets and reputation;
- To ensure that HSRC practices comply with legislation relating to transformation, labour relations and occupational safety;
- To ensure that the HSRC complies with all relevant laws, regulations and codes of best business practice;
- To exercise leadership, enterprise, integrity and judgment in directing the affairs of the HSRC.

Responsibilities

- To appoint the CEO of the HSRC in accordance with the procedures set out in section 10 of the HSRC Act;
- To monitor the performance and effectiveness of the HSRC, the CEO and the other employees of the HSRC on the basis of predetermined performance indicators laid down by the Board, and to receive periodic reports from the CEO on the functioning and operations of the HSRC;
- To serve as the ultimate employer of all HSRC employees; in this role the Board approves the general terms and conditions of employment, as well as structures for remuneration, allowances, subsidies and other benefits in accordance with such system as may be approved by the Minister of Science and Technology with the concurrence of the Minister of Finance;
- To approve the acquisition and alienation of HSRC assets in accordance with the PFMA, and to regulate the commercialisation of the inventions of the HSRC;
- To establish policies and guidelines for the functioning of the HSRC.



Structure of the HSRC Board

Members are selected and appointed by the Minister of Science and Technology from a shortlist of candidates approved by the National Assembly. Section 5 of the HSRC Act outlines the composition of the Board as follows:

- A chairperson designated by the minister;
- A minimum of six and a maximum of nine other members; and
- The CEO.

Members are appointed in their personal capacities and are distinguished in the field of human sciences, or possess special qualifications in relation to the functions of the Council. At least one member of the Board has financial expertise and one member is a distinguished representative of the social science research community of the rest of Africa. With the exception of the latter, all members of the Board are citizens of or have permanent residence in South Africa.

The following members served on the Board between 1 April 2016 and 31 March 2017:

- Ms Nasima Badsha (Chairperson);
- Prof. Crain Soudien (Chief Executive Officer);
- Prof. Mark HR Bussin;
- Adv. Roshan R Dehal;
- Prof. Shireen AA Hassim;
- Prof. Amanda Lourens;
- Prof. Relebohile T Moletsane;
- Prof. Adebayo O Olukoshi;
- Prof. Lulama I Qalinge;
- Dr Bothale O Tema; and
- Prof. Enrico O Uliana (member resigned effective 26 November 2016).



Board Meetings and Attendance

In its commitment to ensure that it remains effective in its role as custodian of corporate governance, the Board meets four times per year on pre-scheduled dates. Meetings are scheduled to take place in each quarter of the financial year, taking into account the various compliance imperatives that have to be met. The Board determines the procedures for its meetings, which are contained in the Board Charter and are reviewed annually.

During the year under review, the following meetings took place.

Table 5: Board meetings 2016/17

Board member	30 May 2016	30 August 2016	25 November 2016	20 February 2017
Ms N Badsha	P	P	P	P
Prof. M Bussin	P	P	P	P
Adv. R Dehal	A	A	A	P
Prof. S Hassim	A	P	P	P
Prof. A Lourens	P	P	P	A
Prof. R Moletsane	P	P	P	P
Prof. A Olukoshi	P	P	P	P
Prof. L Qalinge	P	P	P	P
Prof. C Soudien	P	P	P	P
Dr B Tema	P	P	A	P
Prof. E Uliana*	P	P	P	N/A

* Resigned effective 26 November 2016

P Present

A Absent with apology

Induction and Orientation

No new Board members were appointed during the period under review.



Board Secretariat

The HSRC Board is assisted by the Board secretary who provides secretariat and administrative support to the Board, its subcommittees and various other forums, such as the executive directors' meetings and the HSRC bargaining forum.

The role and functions of the Board secretary specifically include acting as liaison between the Board and the organisation, providing comprehensive support and guidance to the executive management, compiling and filtering Board documents, ensuring compliance with appropriate standards of ethics and good governance and performing project management relevant to the activities of the various committees.

Annual Board Evaluation

In keeping with the recommendations of King III, the HSRC Board conducts an annual self-evaluation to assess its performance. The evaluation is facilitated externally every fourth year to coincide with the end of each Board's term. PwC conducted the 2016/17 evaluation, using a questionnaire structured around 19 key areas, to measure Board effectiveness. These included:

- Board composition;
- Board meetings and content;
- The role of the CEO;
- The role of the Council secretary;
- Board accountability;
- Appointment, induction and training, succession planning;
- Performance evaluation;
- Board committees;
- Communication and stakeholder relations;
- Board dynamics and leadership;
- Strategy, compliance and performance;
- Risk management and internal controls;
- Information technology governance;
- Combined assurance;
- Non-financial sustainability;
- Integrated reporting;
- Balance of power and authority; and
- Ethics.

The evaluation report highlighted positive trends, as well as areas for improvement and concluded that the Board is effective in its functioning as a collective.



Committees of the Board

Audit and Risk Committee (including the role of the Finance Committee)

The HSRC Board established an Audit And Risk Committee (ARC), which is constituted in terms of section 51 (1)(a)(ii) of the PFMA. The committee has an independent role and is accountable to the Board.

The ARC incorporates the functions of the Finance Committee and these combined roles and responsibilities are encapsulated in the ARC Charter, which is approved by the Board and reviewed annually.

The committee comprises five members, three of whom are members of the HSRC Board and two who are independent, specialist members.

The report of the committee follows on page 86.

Human Resources and Remuneration Committee

The dual role of the Human Resources and Remuneration Committee, aims to assist the HSRC Board in fulfilling its corporate governance responsibilities by determining, agreeing and developing the HSRC's remuneration policies and packages; mandating the annual cost of living wage increase; and determining the criteria to measure the performance of the HSRC executive. In addition, the committee reviews human resource policies and reports, including employment equity and skills development; performance management information; and the appointment and promotion of senior staff.

The committee consists of a minimum of three non-executive Board members and the CEO, but all members of the HSRC Board have a standing invitation to attend all meetings. The committee met four times in the year under review.

Table 6: Human Resources Committee meetings

Board member	30 May 2016	30 August 2016	25 November 2016	20 February 2017
Ms N Badsha	P	P	P	A
Prof. M Bussin	P	A	P	P
Adv. R Dehal	A	A	A	A
Prof. S Hassim	A	P	P	A
Prof. A Lourens	A	P	P	A
Prof. R Moletsane	P	P	P	A
Prof. A Olukoshi	P	P	P	A
Prof. L Qalinge	P	P	P	P
Prof. C Soudien	P	P	P	P
Dr B Tema	P	P	A	A
Prof. E Uliana*	A	P	P	N/A

* Resigned effective 26 November 2016

P Present

A Absent with an apology

Research Committee

The Research Committee contributes to the development of the overall research portfolio and approach of the HSRC, by working with management and staff to strengthen the research programme and supporting the CEO in terms of the HSRC's re-orientation of its strategic direction. It leads at the Board in discussions on research matters.



The committee's role in setting the research agenda includes, but is not limited to:

- Identifying research gaps in the HSRC (e.g. humanities-centred research);
- Capacity building;
- Africa research agenda;
- Research-policy nexus; and
- The relevance of the HSRC's research focus areas (the committee should assist, for example, with strategies to improve journal article publications and research quality).

Members of the committee are invited to attend and contribute to the HSRC's annual strategic planning *lekgotla*. The 2016 *lekgotla* was attended by the chairperson, Prof. Adebayo Olukoshi, Ms Nasima Badsha and Adv. Roshan Dehal.

The committee met twice in the year under review.

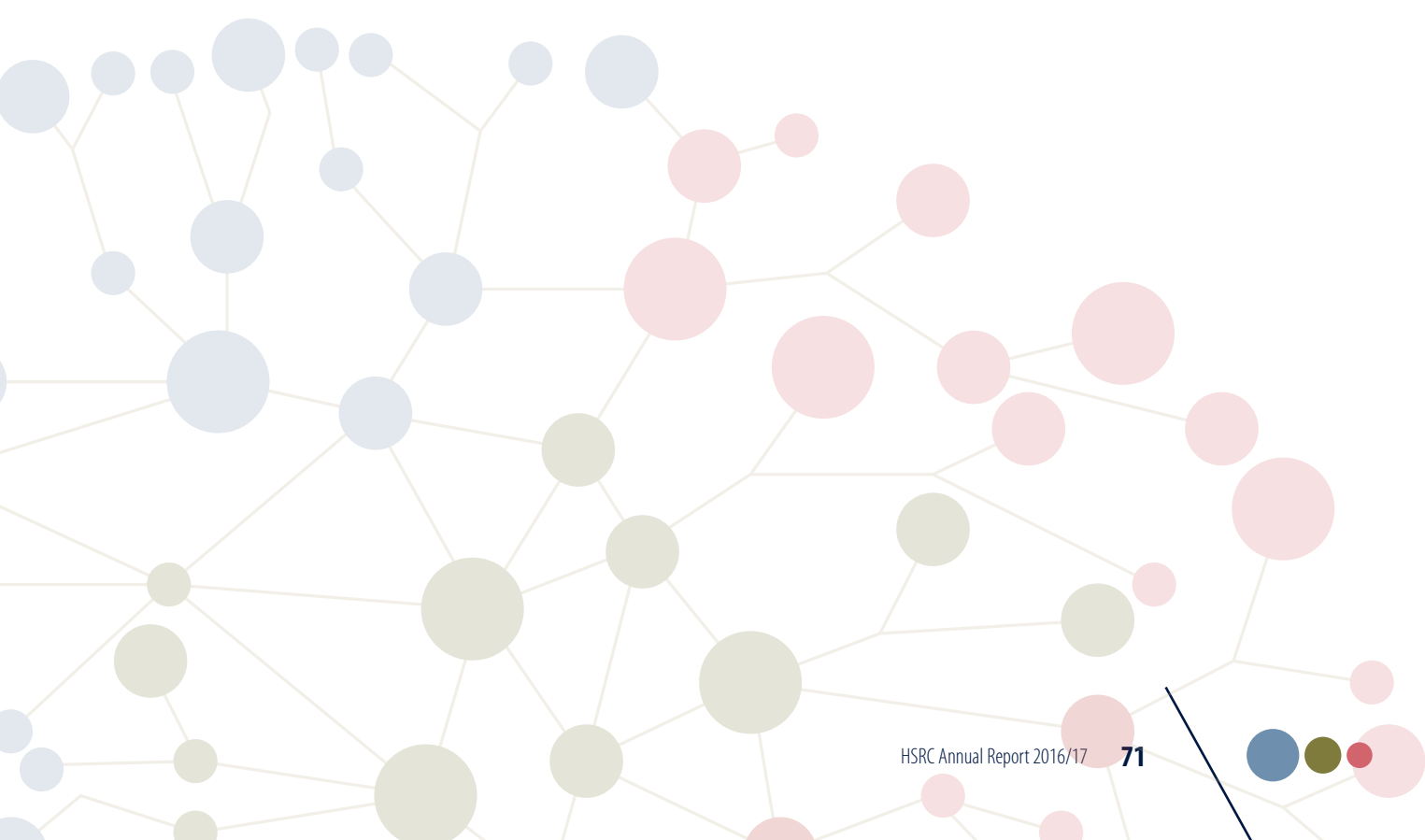
Table 7: Research Committee meetings

Member	29 May 2016	30 August 2016
Prof. A Olukoshi	P	P
Prof. S Hassim	A	A
Prof. R Moletsane	P	P
Dr B Tema	P	A
Prof. C Soudien	A	P

P Present

A Absent with an apology

A key activity of the committee during the period under review was the provision of guidance and input into the development of three priority projects, framed around the poverty and inequality focus.





Prof. Crain Soudien

Prof. Soudien is formerly a deputy vice-chancellor of the University of Cape Town where he remains an emeritus professor in Education and African Studies. His publications in the areas of social difference, culture, education policy, comparative education, educational change, public history and popular culture include three books, four edited collections and over 190 articles, reviews, reports, and book chapters, including a 2017 publication entitled *Nelson Mandela: Comparative Perspectives of his Significance for Education*.

He is involved in a number of local, national and international social and cultural organisations and is the chairperson of the Independent Examinations Board, the former chairperson of the District Six Museum Foundation, former president of the World Council of Comparative Education Societies and former chair of the Ministerial Committee on Transformation in Higher Education. He is currently the chair of the Ministerial Committee to Evaluate Textbooks for Discrimination. He is a fellow of a number of local and international academies, and serves on the boards of a number of cultural, heritage, education and civil society structures.

Prof. Leickness Simbayi

DCEO: Research

Prof. Simbayi is the DCEO: Research and the founding executive director of the HAST Research Programme, the largest and most successful research programme in the HSRC, a position which he held since its founding in July 2010 until 31 May 2016. Prof. Simbayi joined the HSRC on 1 November 2001 in the position of research director in charge of the Behavioural and Social Aspects of HIV/AIDS Research Unit in the then Social Aspects of HIV/AIDS and Health (SAHA) Research Programme, as well as the regional co-ordinator of SAHARA. He held this position until June 2007, after which he served as the deputy executive director of the SAHA Programme until June 2009. After taking on the acting executive director position in February 2008, Prof. Simbayi was appointed as the executive director of SAHA in July 2009, and held this position until June 2010.

Prof. Simbayi holds a DPhil Degree in Experimental Psychology from the University of Sussex in England, United Kingdom. He is a registered research psychologist with the HPCSA's Professional Board of Psychology and a Member of ASSAf. He is currently an honorary professor in the Department of Psychiatry and Mental Health at the University of Cape Town.

Executive Management





Dr Udesch Pillay

DCEO: Management Support

Dr Pillay was appointed as DCEO: Management Support on February 2013 after serving as executive director in the Office of the CEO at the HSRC. He previously headed the professional and corporate support units, such as Human Resources and Capacity Enhancement, Legal Services, Information Technology, Facilities, the Staff Cafeteria, and the newly established Research Data Management Centre.

Dr Pillay holds a PhD in Urban and Economic Geography from the University of Minnesota, USA, and an MA in Urban Geography (*cum laude*) from the University of KwaZulu-Natal.

Dr. Pillay resigned from the HSRC effective 15 March 2017



Ms Priya Singh

Chief Financial Officer

Ms Singh, a CA (SA) registered with the South African Institute of Chartered Accountants, serves as the chief financial officer of the HSRC. She was previously employed as risk, audit and compliance manager at the South African National Space Agency and was responsible for establishing an internal control environment, risk management processes and compliance framework.

Ms Singh resigned from the HSRC effective end of December 2016. Mr Richard Matambo, ACCA, has been acting chief financial officer since January 2017.



Dr Claudious Chikozho

Executive Director: AISA

Dr Chikozho is the executive director for the AISA Programme within the HSRC. He has more than 18 years' experience in the applied social science research and development sector.

Dr Chikozho holds a PhD in Applied Social Sciences; a Master's Degree in Public Administration; and a BSc Honours Degree in Politics and Administration from the University of Zimbabwe. He also holds a Postgraduate Diploma in Monitoring and Evaluation from the University of Stellenbosch in South Africa.





Dr Vijay Reddy

Executive Director: ESD

Dr Reddy is the executive director: ESD and holds a PhD in Science Education from the University of KwaZulu-Natal. Dr Reddy has extensive experience in successfully managing and overseeing large-scale, long-term collaborative research projects, such as the Trends in Mathematics and Science Study from 2003 to 2011 (ongoing); the Literacy and Numeracy Research Programme funded by the Royal Netherlands Embassy, which started in 2007 and will be concluded in December 2011; the Department of Labour Critical Research Projects (2007–2008) with follow-up research; and the Impact Assessment of National Skills Development Strategy II, awarded by the Department of Labour following a competitive application process.

Dr Reddy has been acting DCEO: Management Services effective 16 March 2017.



Prof. Narnia Bohler-Müller

Executive Director: Democracy, Governance and Service Delivery (DGSD)

Prof. Bohler-Müller is the executive director: DGSD and is an adjunct professor at the University of Fort Hare. She is an admitted advocate of the High Court of SA, and is leading the Blue Economy Core Group of the Indian Ocean Rim Association. Her research interests include international and constitutional law, human rights, democracy, governance and social justice. Her largest project with the Department of Justice and Constitutional Development, the Constitutional Justice Project, has been positively received. In 2016 she was shortlisted for the position of public protector.



Prof. Ivan Turok

Executive Director: EPD

Prof. Turok is the executive director: EPD, as well as the editor-in-chief of the journal, *Regional Studies*, and chairman of the City Planning Commission for Durban. He is also honorary professor at the universities of Cape Town and Glasgow, and has a PhD in Economics, MSc in Planning and BSc in Geography.

Prof. Turok has 30 years' teaching experience in urban and regional economics, policy analysis and evaluation, local labour markets, economic development, urban regeneration and spatial planning. He has supervised 12 PhDs and many master's student to successful completion.



Prof. Khangelani Zuma

Executive Director: RMDC

Prof. Zuma serves as the executive director: RMDC. He was formerly the research director and head of Biostatistics in the HAST Research Unit. Prof. Zuma holds a PhD in Statistics from the University of Waikato, New Zealand, and an MSc in Biostatistics from Hasselt University (former Limburgs Universitaire Centrum) in Belgium. He has over ten years' experience as a statistician and has been involved in large-scale surveys and clinical trials as a statistician focusing on the conceptualisation, design and implementation of these studies.



Prof. Geoffrey Setswe

Acting Executive Director: HAST

Prof. Setswe is the acting executive director: HAST, prior to which he was professor of Public Health at Monash University, Australia and founding head of the School of Health Sciences at Monash South Africa, where he also served as chair of the Senate (Board of Studies) between 2010 and 2013.

During his first term at the HSRC (2006–2010), Prof. Setswe was research director and also served as regional director and acting director: SAHARA. He was the founding director of the AIDS Research Institute at Wits University, where he co-ordinated HIV/AIDS research from 2003–2005.

Prof. Setswe holds a Doctor of Public Health from the University of Limpopo, Master's of Public Health from Temple University, Honours B.Cur from MEDUNSA, BA Cur Degree from UNISA, as well as six diplomas in nursing and health management from UNISA.



Dr Heidi van Rooyen

Executive Director: HSD

Dr Van Rooyen is the executive director: HSD and is a social scientist with a PhD in Psychology from UKZN. For the past 23 years, she has worked in the HIV field in various capacities, from counselling and training, to clinical and academic supervision, mentoring and research to policy development.



Dr Temba Masilela

Executive Director: RIA

Dr Masilela has been serving in the position of executive director: RIA since January 2016. The sub-sections under RIA, namely science communication, HSRC Press, and communication and stakeholder engagement, also fall under his leadership. He previously served a five-year stint as the DCEO: Research in the HSRC and was responsible for research strategy, research management and the knowledge-policy interfaces.

Dr Masilela holds PhD and MA Degrees in Communication for Development from the University of Iowa, USA, and a BA Degree in Economics and Politics from the University of Nairobi, Kenya.



Ethical Leadership

Good corporate governance is essentially about effective ethical leadership. While leadership starts with each individual director, it finds its expression through the Board as a collective setting the appropriate example and tone which is referred to as ethical governance. King IV, which comes into force in 2017/18, explains the governance of ethics as the role of the Board in ensuring that the ethical culture within the organisation is aligned to the tone set by the Board through the implementation of appropriate policies and practices.

King IV specifically introduces the need for the Board to oversee that ethics is monitored and assessed for whether it is successful in establishing ethical norms, and to make the required public disclosures in this regard. It also asks of the Board to oversee that there is consequence management for non-adherence to, or contraventions of ethics standards and proposes disclosure of effective ethics management and the outcomes thereof.

Specifically, King IV requires that the Board ensures that the relevant codes of conduct and policies are incorporated (by reference or otherwise) in supply and employee contracts. In essence, this should result in a situation where all employees and suppliers agree contractually to adhere to the ethics and values of the company.

The HSRC abides by a set of values that underpin ethical behaviour across the organisation. These are:

- Professional excellence;
- Respect;
- Non-partisanship and independence;
- Fairness that builds trust;
- Non-discrimination;
- Collaboration; and
- Honesty and integrity.

The fundamental objective has always been to carry out all aspects of the HSRC's work ethically, while building a sustainable organisation that recognises the short- and long-term effects of its activities on the economy, society, and the environment.

Corporate ethics

The Fraud Prevention and Anti-Corruption Strategy, which forms part of the risk management process, has been approved by the Board to provide a framework for the management of ethics risks across the HSRC. In addition, it makes provision for protected disclosure of corrupt activities, such as theft, fraud, dishonesty, harassment, or any other unethical behaviour through the Ethics Hotline, including Research Ethics (0800 212 123) and the Fraud Hotline (0800 205 138).

The HSRC has prioritised the management of conflict of interest risks in its research and day-to-day business activities, as the financial conflict of interest (FCOI) regulation requires it to maintain and enforce an appropriate written policy on conflict of interest. In this regard, regular awareness sessions are held to educate all staff and researchers on FCOI.

The Chief Risk Officer has been entrusted with the responsibility to facilitate management of conflict of interest risks by ensuring that Board members and all HSRC employees declare their business interests annually, and as and when they acquire new interests during the course of the year.



The declared business interests are recorded in the register of interests, which is also employed in the development of the related transactions report. Interests are declared at all HSRC engagements, such as interviews, bid adjudication, bid evaluation, and management meetings.

Transactions with any related parties for the period under review are reported in note 28 to the Annual Financial Statements.

HSRC staff are encouraged to pledge their commitment to the Prevention and Combating of Corrupt Activities Act (Act No. 12 of 2004); to commit themselves to serving the institution and its stakeholders with respect, dignity, and integrity; and to consistently apply the values and principles outlined in the HSRC Code of Conduct.

In an effort to strengthen its contribution toward building an ethical South Africa, the HSRC has partnered with the Ethics Institute of South Africa. This partnership puts an obligation on HSRC management to lead by example and to ensure that their decisions are based on moral principles and are transparent and beyond reproach. In addition, it provides every HSRC employee with an opportunity to pledge their commitment to prevent and combat corruption in their area of responsibility. The ethical values and guiding principles for ethical conduct are available to all employees and stakeholders through the HSRC website and intranet, and are displayed throughout the HSRC offices.

The HSRC is a multinational organisation operating in a culture-varied environment, and acknowledges the requirements of being an ethical global organisation. This requirement is met by establishing policies in agreement with the different cultures and races, and ensuring compliance with human rights legislation.

Research ethics and integrity

The HSRC is committed to undertaking high-quality research. It has systems and structures in place to promote responsible research, and integrates principles of research ethics and research integrity into the way research is planned, reviewed, conducted, and communicated.

Research ethics

The HSRC functions in accordance with a code of research ethics approved by the Board. The establishment of a Research Ethics Committee (REC) was approved by the HSRC in 2002. The REC aims to promote a culture of ethical conduct in the HSRC, and reports annually to the Board.

The REC was constituted in 2003 and is the only internal institutional ethics review committee of the HSRC. The REC is registered with the National Health Research Ethics Council (NHREC) of the Department of Health. Toward the end of 2011/12, the NHREC audited all registered RECs. The outcome of the audit conducted on the HSRC REC was positive, and it was granted a permanent registration number, REC-290808-015-RA (Level 01). In February 2017, the third formal Annual Report was submitted to the NHREC, covering the 2016 calendar year.

In addition, the HSRC REC has a current Federal-wide Assurance (FWA) registration (registration number FWA 00006347) from the United States Office for Human Research Protections. This registration confirms that the HSRC REC complies with the regulations of the US-based Department of Health and Human Services (DHHS) regarding the protection of human participants in research. The HSRC REC requires this registration for the review of studies supported by US federal funds, e.g. through the National Institutes of Health.

The mandate of the HSRC REC is to review all HSRC research proposals for compliance with national research ethics guidelines (NHREC, 2015). Data collection may not commence until full ethics approval has been granted. The REC may grant exemption from ethics review to research meeting certain criteria, for example systematic reviews and secondary analysis of data that are freely available in the public domain.

The REC may recognise the authority of registered RECs at other institutions to avoid duplication of review. The HSRC REC also reviews external proposals submitted by researchers not employed by or contracted to the HSRC if they do not have access to the services of a more suitable or eligible REC in South Africa. The latter is done under specific conditions, including payment of a predetermined administrative fee.



On 1 November 2014, when a new term of office came into effect, the HSRC REC consisted of nine external and seven internal members, with several alternate internal members, to ensure ongoing support and capacity development in this important area of work. By 31 March 2017, there were eight external and nine internal members. The REC is always chaired by an expert external to the HSRC to assure independence.

Internal members are senior researchers representing all the research programmes of the HSRC, and are appointed by the executive directors concerned. External members are selected for their expertise in required areas of work, in accordance with the categories of membership required for FWA and NHREC compliance. The Chairperson of the REC is supported by two deputy chairs – one external, and the other internal to the HSRC.

Dr Mokhantšo Makoe of the HSD Research Programme serves as the internal (HSRC-based) deputy chairperson of the REC, alongside a strong team of internal members, drawn from the different research programmes of the HSRC.

The external members of the REC, whose term expires at the end of October 2017, are:

- Prof. Doug Wassenaar (Chairperson) – School of Applied Human Sciences, UKZN, Pietermaritzburg;
- Prof. Anne Pope (Deputy Chairperson) – Department of Private Law, University of Cape Town;
- Prof. Peter Cleaton-Jones – Steve Biko Centre for Bioethics, University of the Witwatersrand;
- Ms Shirley Mabusela – community representative;
- Dr Nicole Mamotte – South African Research Ethics Training Initiative (SARETI); Contract Lecturer, UKZN;
- Prof. Theresa Rossouw – Faculty of Health Sciences, University of Pretoria;
- Prof. Jerome Singh – Centre for the AIDS Programme of Research in South Africa, Doris Duke Medical Research Centre, Nelson R Mandela School of Medicine, UKZN;
- Prof. Ann Strode – School of Law, UKZN (until February 2017); and
- Ms Nothemba Vusani – community representative.

The REC provides oversight over the needs and concerns of potential participants and beneficiaries of research. REC members are trained to review research proposals to ensure that national and international ethical standards and guidelines are adhered to. The REC inter alia reviews each application with regard to the adequacy of the:

- Proposed community engagement plans;
- Potential social value;
- The validity of the scientific design;
- Fair selection of participants;
- Favourable risk-benefit ratio;
- Informed consent plans and processes;
- Plans to respect participants' rights and interests during and after the proposed study; and
- Proposed data management plans.

In compliance with national guidelines (2015), ethics approval is only given for a one-year period – annual ethics approval must be applied for in relation to all ongoing projects, failing which, the ethics approval lapses. Approval letters explicitly inform all applicants of this requirement. The REC has a system in place to deal with complaints and adverse events, and the HSRC has a unique toll-free hotline for participants and other parties to register any ethical concerns about HSRC REC-approved research projects.

During the reporting period, the REC met ten times via video- and teleconference, as scheduled. A total of 130 new applications were considered, of which 74 were internal to the HSRC and 56 were external. Two new applications (both internal) were formally granted exemption from full review. There were 76 requests for amendments, extensions, and additions to approved studies. Such requests are mainly triggered by a change or extension in the scope of work and coverage area. There were 34 applications for renewal of protocols. The rate of annual ethics renewal remains low and the HSRC and the REC will continue to address this factor in the coming year.



Members of the REC and HSRC researchers are encouraged to participate in relevant training opportunities to ensure basic awareness and continuous professional development in the field of research ethics. All members of the REC have submitted certificates of successful completion of required modules of the online Training and Resources in Research Ethics Evaluation (TRREE) Training Programme. Applications for ethics review must be accompanied by proof of successful completion (by at least the principal investigator) of the South African module of the TRREE Programme. During the year under review, a competitive SARETI Master's Scholarship in Health Research Ethics was awarded to the administrator of the REC, Ms Khutšo Sithole. She embarked on her master's degree studies while still providing full support to the REC, assisted by a newly-appointed master's research intern, Ms Nkateko Sowane. Apart from the above-mentioned TRREE training, no additional formal workshops dealing with research ethics were offered to REC members or HSRC staff during 2016/17. This is expected to receive more attention in 2017/18, when a new term of office for REC members will commence.

Research integrity

The HSRC remains committed to improving and implementing research ethics and research integrity policies and procedures. The HSRC Board approved a formal policy on research integrity in 2011. The approved HSRC policy is complemented by the "Statement on dealing with allegations of research misconduct under United States Public Health Service research related activities for foreign institutions". Two persons, Dr Christa van Zyl and Dr Njeri Wabiri, were appointed to serve as HSRC research integrity officers (RIOs), as of February 2016. They work closely with the DCEO: Research and the chairperson of the REC, and benefit from collaboration with research programmes and various support units in the HSRC.

The following responsibilities are entrusted to the RIOs of the HSRC:

- Promoting the responsible conduct of research through awareness raising and capacity building activities, in collaboration with relevant resource persons, as well as research and support units in the HSRC;
- Ensuring that there are procedures and systems in place to receive, appropriately assess, and correctly refer allegations of research misconduct;
- Taking responsibility for record-keeping and reporting of possible cases of research misconduct, as may be required by the HSRC, as well as local and international funders, including the USA Department of Health and Human Services; and
- Ensuring that confidential information made available to the RIO is treated with discretion and in accordance with principles outlined in the policy on research integrity.

During the year under review, no allegations of potential misconduct by HSRC staff members were received. In terms of compliance requirements, the HSRC met all the requirements as set by the Office of Research Integrity in the United States of America, for research funded by their DHHS. Networking relations with RIOs at three higher education institutions in South Africa were maintained, and the HSRC RIOs were invited to join an informal African network of research integrity, established in 2015. Training and awareness raising to promote responsible conduct of research continued. Informal enquiries from persons who had experienced problems with individuals or issues falling outside the jurisdiction of the HSRC and its RIOs were received, and advice offered. The following five workshops, reaching all HSRC offices via videoconference facilities, were hosted in collaboration with experts within and outside the HSRC:

- Workshop on authorship issues and plagiarism, 12 July 2016;
- Workshop on fabrication and falsification in research, 17 November 2016;
- Workshop on authorship issues and plagiarism (repeat) – with some changes in terms of presenters and case studies, 6 December 2016;
- Interactive session providing "perspectives on research misconduct", at the Annual Anti-Corruption event hosted by the ERM Unit, 9 December 2016; and
- Workshop dealing with FCOI in research, which included an expert contribution by the financial manager of the Centre for the Aids Programme of Research in South Africa, 24 February 2017.



Environmental Sustainability

The HSRC is committed to sustainability in executing its mandate. It commits to managing its use of electricity, water and paper, while managing its carbon footprint in the efficient use of its fleet vehicles. The HSRC will adopt digital solutions, where possible, to contribute to sustainable business practices.

Electricity savings

The Building Management System (BMS) at the HSRC's Pretoria headquarters deactivates lighting and air conditioning in the offices, passages, parking basement and auditoria between the hours of 18:00 and 07:00. Only emergency lights remain on. The BMS is also programmed to keep lights off on public holidays and over weekends. In the regional offices, staff members are constantly reminded to switch off office lights when leaving the office for the day, thus saving a significant amount on electricity consumption each month.

Currently the Durban offices are lit from a central switch, however, individual office light switches will be installed in the near future.

Variable speed drives on three-phase motors are used in the cooling towers to adjust the speed according to the load, thus saving on electricity and only inverter-type air conditioning units are installed.

Water savings

In the Pretoria offices, the BMS continuously monitors daily water consumption. If a sudden high water demand is experienced, the Maintenance Department is instantly alerted and investigates the cause, which is usually a leak or burst pipe that can be corrected immediately.

Recycling

Paper is sorted and suitable paper is kept in a dedicated area in each building from where it is collected weekly.

The HSRC uses a recycling service for the collection of spent fluorescent light tubes. They are safely stored to prevent breakage, and collected approximately every three months.

Videoconferencing

Videoconferencing facilities were upgraded in 2015/16 to improve the quality of videoconferencing. This has encouraged staff to travel less and has reduced both the cost of travel and the resultant carbon footprint.

Fleet vehicles

In the reporting period, the HSRC replaced five of its aged fleet vehicles with smaller, more economical vehicles with lower CO₂ emissions, thereby further reducing its carbon footprint.

Photocopy and printing services

Staff members are encouraged to print documents double sided as far as possible, to reduce the amount of paper used in the organisation.



CSI and Stakeholder Relations

Key national and international partners have been identified as critical to enhance the profile of the HSRC and to support the research priorities of programmes. At the national level, this includes government departments and universities which are key stakeholders of the HSRC.

eThekwini Research Symposium – Durban, a City in Transformation: 4–5 April 2016

The HSRC worked with the eThekwini Municipality to host the 4th Annual eThekwini Research Symposium, held at the Inkosi Albert Luthuli International Convention Centre in Durban under the broad theme “Durban, a City in Transformation”.

The eThekwini research partnership aims to strengthen evidence-based policy, planning and development implementation. It follows from the recognition that the municipality spends significant resources on research and that its research agenda needs to be more directed and purposeful.

As a partner, the HSRC participated through presentations by research staff, the hosting of an exhibition and a financial contribution of R50 000 towards the event. The symposium was a joint initiative between eThekwini’s Municipal Institute of Learning (MILE) and its research-aligned partners, namely the Durban University of Technology, Mangosuthu University of Technology, the University of KwaZulu-Natal, Unisa and the HSRC. It provides a common platform for city practitioners and academic partners to network and identify opportunities for strategic and collaborative activities.

HSRC and ambassadors’ dinner for Africa Day: 25 May 2016

The HSRC, the Swiss Embassy in South Africa and ambassadors from Canada, Denmark, France, Italy, Norway, Mexico, United Kingdom, Austria and Belgium, together with representatives from the DST and the NRF, met for a dinner in celebration of Africa Day.

The initiative was hosted by the Ambassador of Switzerland, Mrs Helene Artieda Budliger, to stimulate discussions between the various embassies and promote collaboration in social sciences and humanities with the South African Government and the HSRC.

Chinese Academy of Social Science visit to HSRC Cape Town: 8 June 2016

The HSRC and CASS have enjoyed an active partnership since the re-signing of a MoU in 2015 and have subsequently collaborated on a range of programmes.

The CASS delegation visited the HSRC in Cape Town to strengthen the partnership and to discuss, formalise and agree on future collaboration. Some of the broad research interests include the trade dynamics of BRICS, poverty alleviation, peace and security, as well as the Chinese-African economy.



Exploring European partners and funding opportunities at the European Development Days (EDD) Conference in Belgium: June 2016

The CEO, DCEO: Research, and Director: Business Development and International Liaison met with Daan du Toit, Deputy Director-General: International Cooperation and Resources and his team to discuss the following:

- EU funding opportunities for the HSRC and in particular Horizon 2020;
- Support that the DST can provide for some of these funding opportunities;
- Potential links with European partners;
- Science Forum South Africa, 6–7 December; and
- Key upcoming events for potential collaboration (DST and HSRC).

HSRC Executives' meeting with European embassies – Pretoria: 16–17 August

Meetings were held with the Austrian, Belgian, German and Norwegian embassies, following the dinner hosted by the Swiss Ambassador, Mrs Helene Artieda Budliger, reported previously. These meetings addressed the research priorities identified by research programmes and matched with the relevant countries.

SA Science and Innovation Ecosystem: 25 October 2016

In response to a request by the Ambassador of Switzerland, Mrs Helene Artieda Budliger, the HSRC, together with the University of Pretoria and the NRF, co-hosted a special event aimed at creating a deeper common understanding amongst a broad sector of the science and innovation ecosystem community.

The event took form in a highly interactive "World Café", which created dialogue between numerous senior level leaders and executives across multiple sectors, including the private sector (from multinational through to start-up), government, academia, science councils and civil society. The World Café provided a platform for open, forthright engagement to identify specific viewpoints and recommendations for the enhancement of a collaborative, innovative science ecosystem.

Science Forum South Africa: October 2016

The HSRC was invited, together with all other related entities, to serve on a steering committee established by the DST's International Co-operation and Resources Department, to assist in the planning of the upcoming science forum.

Co-hosting MOST School with UNESCO: 14–17 February 2017

The HSRC and UNESCO signed a partnership agreement in 2016, with one of the outcomes being the hosting of a Management of Social Transformation (MOST) School. Close to 50 participants, among them government officials, representatives of civil society organisations and community-based organisations, academics and researchers attended the school on Sustainability Science in Cape Town, South Africa.

The school aims to build partnerships between policymakers, civil society and academics, and provide a space for exchange between all actors involved in social transformation and environmental protection.

Exploratory visit to Europe: 27–31 March 2017

The HSRC undertook an exploratory visit to Europe to position and promote the Council and seek potential collaboration and partnerships. The delegation visited Switzerland, Germany and Belgium to build on and consolidate relations with the embassies of these countries based in South Africa and to gain ongoing support for the social sciences and humanities.

Anticipated outcomes included new opportunities for staff exchanges, the sharing of technical expertise, as well as possible joint projects and funding opportunities within the context of the HSRC's focus on poverty and inequality.



Risk Management

The HSRC's risk management strategies, roles and responsibilities are described in its Risk Management Framework. The PFMA; National Treasury's Public Sector Risk Management Framework; the King III principles; the Committee of Sponsoring Organisations of the Treadway Commission (COSO) principles; and ISO Standard 31000, all of which are important references that inform the framework.

The Board formally communicates its position on enterprise risk management through its Enterprise Risk Management Policy Statement. The position is informed by the risk profile of the organisation, its risk appetite, risk tolerance levels, the regulatory framework within which the HSRC operates and governance requirements.

The Board adopts an affirmative view, and considers risk to be an integral part of the HSRC's efforts towards opportunity maximisation and sets the tone for ERM processes. Thus, every key risk in each part of the entity should be included in a structured and systematic process of risk management and actively managed towards the attainment of the organisational goals and objectives.

In pursuit of its strategic mandate, the HSRC Board continues to strengthen the enterprise risk management infrastructure of the organisation. Such infrastructure includes the Audit and Risk and Risk Management committees, which are chaired by independent members. The ARC has a statutory obligation, as delegated to it by the Board, to maintain effective, efficient and transparent systems of financial and risk management and internal control. The RMC assists management in implementing risk policies and frameworks. Both these forums convene on a regular basis during the course of the year. The CEO is ultimately responsible for embedding good enterprise risk management practices across the organisation, and is assisted in this by the CFO and Risk Manager. Risk is, however, every employee's responsibility and not just that of management, the Board, the CEO or the Risk Manager.

Regular risk assessments of the research and the administration programmes of the organisation are conducted, and mitigating plans are implemented under the guidance of the RMC and ARC. The key risks identified in both programmes are reflected in the HSRC's Strategic Plan and APP. The top three strategic risks identified at the most recent risk assessment workshop of executive directors, are:

- Insufficient external and internal funding to deliver on the HSRC mandate;
- Insufficient critical skills and human resources; and
- Fraud and corruption.



Fraud and Corruption

The HSRC is committed to protecting its funds and other assets from any kind of corruption and as such will not tolerate corrupt or fraudulent activities emanating from either internal or external sources. Any detected corrupt activities are investigated and, where so required, reported to the relevant authorities.

The HSRC further recognises that its business requires high quality scientific expertise and this requirement, by nature, is based on prior experience. The HSRC therefore acknowledges that having an interest does not necessarily mean having a conflict of interest. Anti-corruption objectives of the HSRC, as expressed in the Risk Management Policy Statement, are achieved through the implementation of an Anti-Corruption Strategy. The objective of this strategy is to give effect to the expressed commitment of the HSRC Board to prevent and respond to corruption.

The strategy facilitates the development of controls which assist in the prevention and detection of corruption. It also provides guidelines to respond, should instances of corruption be identified. In order to strengthen these values, the Board recently approved a separate Whistle-blower Policy and Procedure, providing a safe mechanism whereby employees and stakeholders can report breaches of the Code of Ethics without fear of victimisation. It encourages employees to report breaches and gives employees the assurance that they will not be subjected to occupational detriment on account of having made a protected disclosure, and provides for the protection of whistle-blowers if the disclosure was made in good faith.

The Anti-Corruption Strategy is fully operational and is reviewed and updated regularly in line with best practice.

Information Technology

The IT Department exists to technologically enable the organisation to maintain the highest levels of excellence as a research-led institution of international standing, by providing infrastructure, systems and services which securely process and deliver appropriate and accurate information to stakeholders in a timely manner, wherever they happen to be.

An overview of work performed during the 2016/17 financial year is presented against the performance background outlined by continued delivery of the IT Strategy, particularly the implementation of key IT infrastructure projects.

IT infrastructure

The main purpose of the IT Infrastructure Unit is to:

- Oversee the composite hardware, software, network resources and services required for the existence, operation and management of the HSRC IT environment;
- Deliver IT solutions and services to researchers and support staff, with facilities deployed within and hosted outside the organisation;
- Run and manage the standard data centre processes, such as incident, change, configuration and problem management, including event monitoring and evaluation across the infrastructure.



It is the drive of this unit to continuously improve operational efficiencies while achieving compliance. A priority in the reporting period was to improve general IT controls and governance, along with providing support for the organisation's IT infrastructure.

Several significant IT infrastructure and other initiatives were delivered successfully as follows:

- An upgrade of the Sweetwater network line to high speed fibre connectivity to enhance inter-office collaboration and access to web services in order to deliver on research projects;
- A System Centre Configuration Manager was deployed as a tool to, amongst others, manage systems, remote access and control; and to deploy patches, and meter utilisation of software licenses;
- An e-workflow infrastructure was implemented to streamline the organisation's internal approval process;
- Because data curation plays a pivotal role in disseminating the organisation's research data, infrastructure was enhanced to create storage capacity by deploying three storage area networks at three of the primary sites; and
- To reduce user downtime and increase productivity, a user account self-service tool was purchased for deployment. This tool enables a user who experiences log-on problems, to resolve them without having to wait for helpdesk assistance.

IT security

Cybercrime has superseded the narcotics industry as the most lucrative illicit trade in the world. This has given rise to the escalation of malicious cyber-operations to a level never seen before. South Africa is in the top ten targeted countries in the world. In response, the HSRC took the following proactive steps:

- Email security was enhanced through the installation of the Targeted Threat Protection Service in the cloud. This system proactively "reads" an email to remove weaponised attachments or internet links to malicious websites so that the email is sanitised by the time it reaches the HSRC user's mailbox. This has cushioned the HSRC from attack by the virus outbreaks that made headlines in 2016;
- Perimeter network defences were improved with the purchase and installation of new generation unified threat protection devices;
- Towards the end of the financial year, modern wireless network devices were installed to isolate visitors and mobile devices from the HSRC production network. This ensures that the network, which hosts the daily productivity of the HSRC, is protected from the high risks inherent in the mobile device and wireless network platforms;
- A new generation, host-based malicious software defence mechanism was purchased for implementation in a quest to create as many security layers around the HSRC's information resources as possible.



Audit and Risk Committee Report

We are pleased to present our report for the year ended 31 March 2017.

Audit Committee members and attendance

In accordance with the approved Audit and Risk Committee (ARC) Charter, the committee meets at least three times per year. The Chairperson of the ARC resigned effective 26 November 2016 and the HSRC Board appointed Prof. Amanda Lourens as interim Chairperson with immediate effect.

Table 8: Audit and Risk Committee meetings, 1 April 2016 to 31 March 2017

Member	17 May 2016	26 October 2016	1 February 2017
Prof. E Uliana*	P	A	N/A
Prof. M Bussin	P	P	A
Prof. A Lourens	P	P	P
Dr B Tema**	N/A	N/A	P
Ms C Abdol***	P	P	P
Ms M Ramataboe***	P	P	P

P Present

A Absent with an apology

* Resigned effective 26 November 2016

** Appointed effective December 2016

*** Independent, specialist Member

Audit Committee Responsibility

The committee reports that it has complied with its responsibilities arising from section 51 (1)(a)(ii) of the Public Finance Management Act (Act No. 1 of 1999, as amended) (PFMA), sections 76 and 77 of the Act, and the relevant National Treasury Regulations.

The committee has adopted formal terms of reference, contained in the Audit and Risk Committee Charter, duly approved by the HSRC Board. It has discharged its duties and responsibilities in compliance with the charter and its associated Schedule of Duties.

Integrated reporting

In overseeing integrated reporting, the committee:

- Recommends the Integrated Annual Report for approval by the Board;
- Considers all factors and risks that may impact on the integrity of the integrated report;
- Reviews and comments on the Financial Statements, the accounting practices and the effectiveness of the internal financial controls; and
- Review the disclosure of sustainability issues in the Integrated Annual Report to ensure that it is reliable and does not conflict with the financial information.



Annual self-assessment

The committee performs an annual self-evaluation of its activities and functioning to assess the efficacy of the organisational audit and risk management process. Although very positive, the outcome of the assessment highlights areas for improvement, notably in the risk management function.

Effectiveness of internal control

The internal audit function, as one of the pillars of the combined assurance model, provides the committee and management with reasonable assurance that the internal controls of the HSRC are adequate and effective for the organisation to achieve its goals and objectives.

In its oversight role, the committee determined that the risk management processes for the year under review were inadequate. Management's mitigation proposals to address the deficiencies in the risk and compliance management processes have been noted and will be monitored at each committee meeting. The combined assurance model has not been fully implemented, and will be addressed as part of the risk management process enhancement.

In considering the various internal audit reports, the management report of the Auditor-General of South Africa, the internal control opinion expressed by the internal auditor and discussions held with both the internal and external auditors, the committee is satisfied that the internal controls of the HSRC remained effective during the year under review.

Internal financial controls

The committee is satisfied that the internal financial controls of the HSRC were effective during the year under review and provided the basis for preparation of reliable Financial Statements.

Evaluation of the finance function

A review of the finance function was undertaken by the ARC to evaluate the effectiveness thereof. The committee is satisfied that the finance function fulfilled its objectives for the year under review.

Evaluation of the Financial Statements

The committee has:

- Reviewed the audited Financial Statements to be included in the Integrated Annual Report;
- Reviewed the Auditor-General of South Africa's management report and management's response thereto;
- Reviewed the performance information;
- Reviewed changes in accounting policies and practices;
- Reviewed the entity's compliance with legal and regulatory provisions; and
- Noted that there were no material adjustments resulting from the audit.

The ARC concurs with and accepts the Auditor-General of South Africa's report on the Financial Statements, and is of the opinion that the audited Financial Statements should be accepted and read together with the report of the Auditor-General of South Africa.



Quality of quarterly management reports submitted in terms of the PFMA and the Division Of Revenue Act

The committee is satisfied with the content and quality of the quarterly reports prepared and issued by the Accounting Authority of the HSRC during the year under review.

Internal Audit

The committee reviewed and approved the annual Internal Audit Plan and Internal Audit Charter. During the year under review, the internal audit function was outsourced to Nexia SAB&T. A review of the internal audit function was undertaken by the ARC to evaluate the effectiveness of the function, and it met separately with the internal audit service provider.

In addition to providing assurance on governance, risk management and control processes during the year under review, the internal audit function added value to the organisation by presenting timeous and relevant reports to management and the committee. The ARC is satisfied with the effectiveness and independence of the internal audit function.

Independent review

The ARC mandated an independent investigation into the contract management and budget overrun of a service level agreement between the HSRC and an appointed service provider. Nexia SAB&T, as the internal auditor, was appointed to perform an external review of the process, to establish whether:

- The supply chain management processes followed to appoint the service provider were in line with approved policies and procedures; and
- The project had been managed in the most efficient, effective and economical manner.

All findings in the report were noted and accepted and internal remedies were implemented as appropriate. Although the expense associated with the budget overrun was disclosed as irregular due to process failure, the independent review and the ARC verified that value for money was obtained.

There are no outstanding matters in this regard.

Auditor-General South Africa

The committee has met with the Auditor-General of South Africa and is satisfied that there are no unresolved issues.



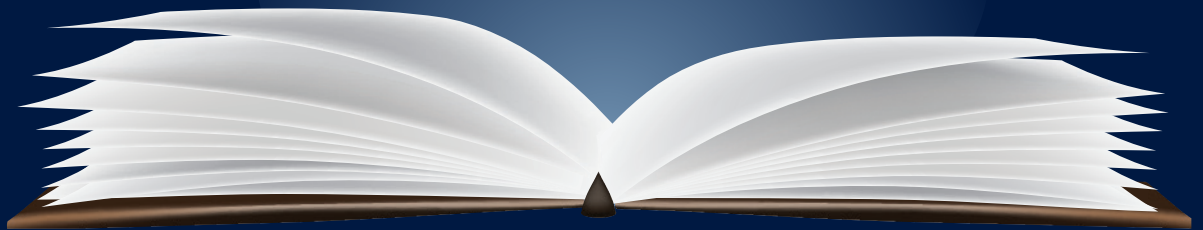
Prof. Amanda Lourens

Chairperson: HSRC Audit and Risk Committee





PART D: Human Resources



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The quality of Africa's human capital is its biggest investment but it needs policies to enable innovation and scale technology.

• Mamadou Biteye, Managing Director Africa Regional Office, Rockefeller Foundation. •

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Overview

In support of the mandate of the HSRC, and in view of the skills shortage and the competition to secure the services of suitably qualified researchers, the Human Resources (HR) Unit prioritised the attraction, development, and retention of highly skilled individuals.

In addition, the unit is committed to:

- The creation of a culture and environment that encourages and supports employee wellbeing;
- Embedding a culture of high performance; and
- Building a succession pipeline by focusing on career development and capacity building.

During the period under review, the HR Unit achieved the following milestones, among others:

- Implementation of the VIP System together with Employee Self Service (ESS), which facilitates the leave management process;
- Facilitation of the training of 25 line managers to preside over internal disputes and grievances – this has reduced the cost and number of labour-related cases;
- Alignment of the salary scales of all former AISA employees with the HSRC salary scales – 100% parity was achieved;
- Successful merging of the AISA and HSRC pension funds; and
- Harmonisation of the HSRC and AISA performance management processes.

Human Capital Expenditure

The following table summarises overall spending on human capital for the review period. The total expenditure increased due to an increase in the HSRC workforce.

Table 9: Total human capital expenditure

Total expenditure (R'000)	Personnel expenditure (R'000)	Training expenditure (R'000)	Study bursaries (R'000)	Personnel costs as a percentage of total expenditure
270 305	247 644	2 194	735	91%



HSRC Workforce

The HSRC appointed three executives in the 2016/17 financial year. However three executives also exited the HSRC between January and March 2017, namely the Chief Financial Officer, the DCEO: Management Support and the Executive Director: PHHSI. Two of these terminations were due to resignation and one was due to retirement. The total number of staff increased from 533 in 2015/16 to 575 in 2016/17.

Table 10 presents the number of employees at the HSRC as at 31 March 2017.

Table 10: HSRC workforce

Occupational level	Total
Top management	14
Senior management	20
Professional	118
Skilled	219
Semi-skilled	204
Total	575

Foreign Nationals

Table 11 indicates the number of foreign nationals employed, according to occupational levels.

Table 11: HSRC foreign nationals as at 31 March 2017

Occupational level	Foreign nationals from the African continent		Foreign nationals from other countries outside Africa	
	Number	Percentage (%)	Number	Percentage (%)
Senior management	3	5.45	3	5.45
Professionals	29	52.7	8	14.5
Skilled	11	20	1	1.8
Semi-skilled	0	0	0	0
Total	43	78%	12	22%



Employment Equity

The HSRC is committed to transformation that reflects South African demographics and has set targets to monitor progress toward achieving this objective. The Labour Relations and Employment Equity Acts are entrenched in the policies of the HR Unit and its strategies and processes, such as recruitment or management of staff members infected with HIV, and labour-related issues are aligned accordingly.

Some notable achievements are as follows:

- Relevant to the EE Plan, the HSRC achieved 67% African representation;
- Regarding gender equity, 57% of staff members were female, dropping from 59% in the previous reporting period. Minimal results were achieved in respect of employing people with disabilities and the HSRC reports that 0.7% of its staff members are people with disabilities;
- The relevant EE reports were submitted to the Department of Labour and the HSRC Board; and
- Targets for gender and diversity awareness were met for the reporting period.

Based on the provisions of the EE Act, Table 12 presents the staff complement as at 31 March 2016, according to occupational level, gender, and race.

Table 12: HSRC Workforce profile 2016/17

Occupational level	Male				Female				Total
	African	Coloured	Indian	White	African	Coloured	Indian	White	
Top management	5	1	0	3	0	1	2	2	14
Senior management	4	1	0	5	5	1	1	3	20
Professional	32	8	6	18	20	16	6	12	118
Skilled	62	8	4	5	82	22	9	27	219
Semi-skilled	83	2	2	0	96	13	4	4	204
Total	186	20	12	31	203	53	22	48	575

Learning and Development

DST/NRF Internship Programme

The Learning and Development Unit co-ordinates the DST/NRF Internship Programme for the HSRC on an annual basis. During 2016/17, the unit secured an allocation of 20 interns who were placed at the Pretoria, Cape Town and Durban offices for a period of 12 months. An application for interns for 2017/18 has been submitted.



Staff training

An analysis of data included in the Workplace Skills Plan (WSP) and Annual Training Report (ATR), submitted to the ETDP SETA for the year under review, reveals the number of staff members who received short-course training in 2016/17. The data are disaggregated by race and gender in Table 13. The table shows a fairly high degree of correlation between the distribution of staff from different race groups and the distribution by race in the group that received training. A slightly higher percentage of Black African male than Black African female staff members were trained (71.7% versus 55%).

Table 13: Distribution of male and female staff trained, by staff complement and by race 2016/17

Employee category	Staff complement		Staff trained	
	Number	%	Number	%
Male				
Black African	188	74.6	61	71.7
Coloured	20	7.9	12	14
Indian/Asian	12	4.7	5	5.8
White	32	12.6	7	8.2
Total	252	100.0	85	100.0
Female				
Black African	203	62.6	81	55.0
Coloured	53	16.3	31	21
Indian/Asian	22	6.7	13	8.8
White	46	14.0	22	15.0
Total	324	100.0	147	100.0

Source: HSRC WSP and ATR 2016/17



Employee Wellness

In an effort to secure the skills of suitably qualified researchers, the HSRC recognises that greater emphasis is needed on employee wellness to improve the employee value proposition.

The Employee Assistance Programme (EAP) is designed to enhance productivity and job performance by addressing psychosocial, legal, financial, and work-related problems in the HSRC. Various awareness campaigns were conducted throughout the year, and services such as financial coaching, wills and estate planning, debt management, and legal aid were offered.

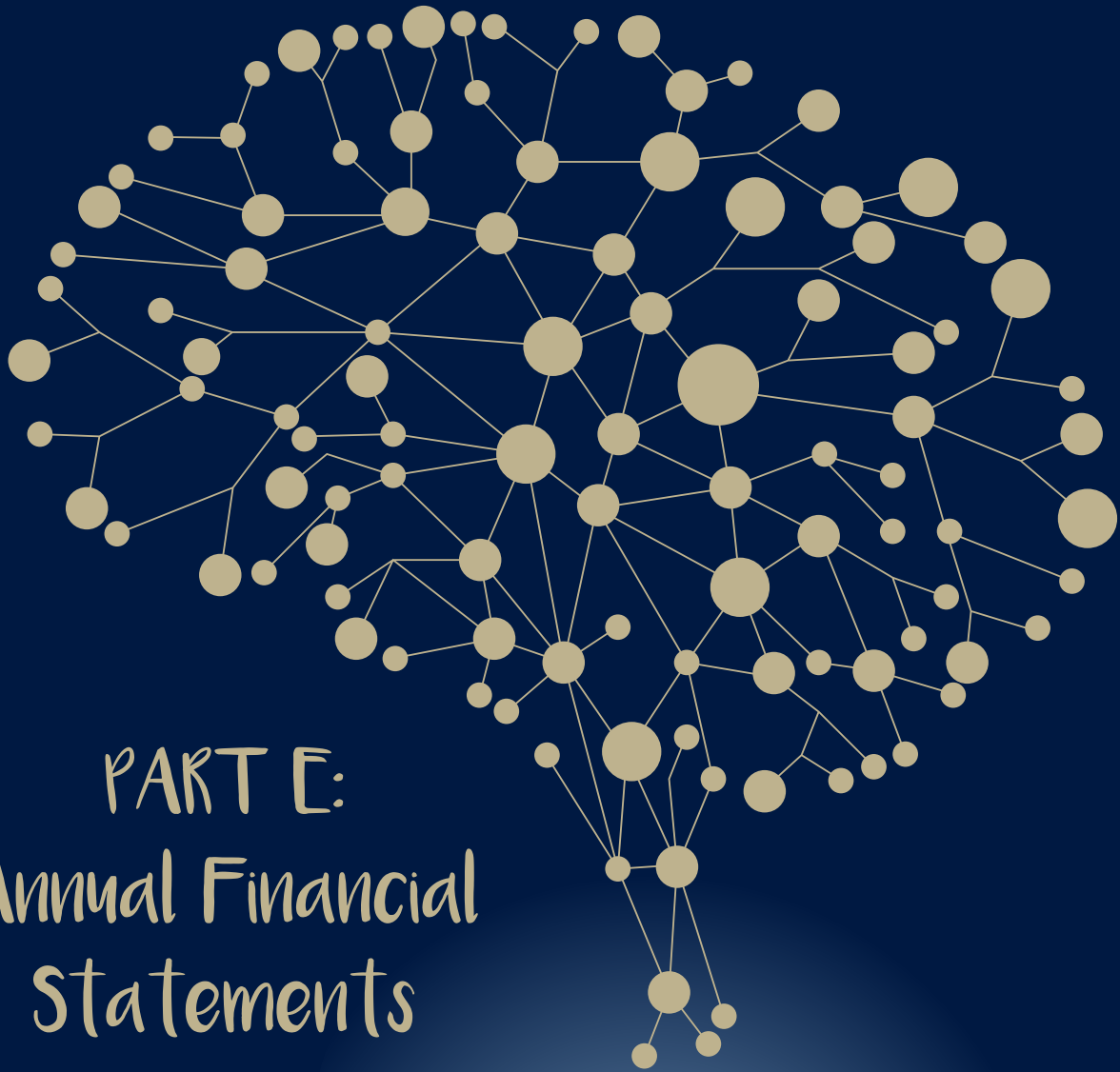
Accessing the EAP Service

Table 14 outlines the number of employees who used EAP services and the number of issues that were addressed. Issues that are addressed, however, may be multiple and therefore the number of problems addressed is sometimes greater than the number of individuals reported in Table 14.

Table 14: Employee wellness

Issues	First quarter 2016		Second quarter 2016		Third quarter 2016		Fourth quarter 2017	
	Individuals	Issues addressed	Individuals	Issues addressed	Individuals	Issues addressed	Individuals	Issues addressed
Financial	7	8	5	5	5	5	1	1
Legal	1	1	0	0	0	0	0	0
Managerial	0	0	0	0	0	0	0	0
Psychosocial	10	15	27	35	13	14	20	31
Total individuals	20	24	35	40	17	19	21	32





PART E:
Annual Financial
Statements



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The change we want to see in Africa lies with us. Upon us lies the responsibility to rise to the occasion of giving Africa a new history: by lighting up Africa, feeding Africa, industrializing Africa, integrating Africa, and improving the quality of life of the people of Africa.

• Akinwumi A. Adesina, President of the African Development Bank Group •

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Report of the Auditor-General to Parliament on the Human Sciences Research Council

Report on the audit of the Financial Statements

Opinion

1. I have audited the Financial Statements of the Human Sciences Research Council, set out on pages 102–148, which comprise the Statement of Financial Position as at 31 March 2017, the Statement of Financial Performance, Statement of Changes in Net Assets, Cash Flow Statement and Statement of Comparison of Approved Budget to Actual Results for the year then ended, as well as the notes to the Financial Statements, including a summary of significant accounting policies.
2. In my opinion, the Financial Statements present fairly, in all material respects, the financial position of the Human Sciences Research Council as at 31 March 2017, and its financial performance and cash flows for the year then ended, in accordance with Generally Recognised Accounting Practices (GRAP) and the requirements of the Public Finance Management Act (Act No. 1 of 1999) (PFMA).

Basis for opinion

3. I conducted my audit in accordance with the International Standards on Auditing (ISAs). My responsibilities under those standards are further described in the Auditor-General's responsibilities for the audit of the Financial Statements section of my report.
4. I am independent of the entity in accordance with the International Ethics Standards Board for Accountants' *Code of Ethics for Professional Accountants* (IESBA code) and the ethical requirements that are relevant to my audit in South Africa. I have fulfilled my other ethical responsibilities in accordance with these requirements and the IESBA code.
5. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Other matter

6. I draw attention to the matter below. My opinion is not modified in respect of this matter.

Unaudited supplementary schedules

7. The supplementary information set out on pages 1–45 and 61–94 does not form part of the Financial Statements and is presented as additional information. I have not audited these schedules and, accordingly, I do not express an opinion thereon.

Responsibilities of Accounting Authority for the Financial Statements

8. The Board of Directors, which constitutes the Accounting Authority, is responsible for the preparation and fair presentation of the Financial Statements in accordance with GRAP and the requirements of the PFMA, and for such internal control as the Accounting Authority determines is necessary to enable the preparation of Financial Statements that are free from material misstatement, whether due to fraud or error.
9. In preparing the Financial Statements, the Accounting Authority is responsible for assessing the Human Sciences Research Council's ability to continue as a going concern, disclosing, as applicable, matters relating to a going



concern and using the going-concern basis of accounting, unless the intention is to liquidate the entity or cease operations, or there is no realistic alternative but to do so.

Auditor-General's responsibilities for the audit of the Financial Statements

10. My objectives are to obtain reasonable assurance about whether the Financial Statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with the ISAs will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these Financial Statements.
11. A further description of my responsibilities for the audit of the Financial Statements is included in the annexure to the auditor's report.

Report on the audit of the Annual Performance Report

Introduction and scope

12. In accordance with the Public Audit Act of South Africa (Act No. 25 of 2004) (PAA) and the general notice issued in terms thereof, I have a responsibility to report material findings on the reported performance information against predetermined objectives for selected programmes presented in the Annual Performance Report. I performed procedures to identify findings, but not to gather evidence to express assurance.
13. My procedures address the reported performance information, which must be based on the entity's approved performance planning documents. I have not evaluated the completeness and appropriateness of the performance indicators included in the planning documents. My procedures also did not extend to any disclosures or assertions relating to planned performance strategies and information in respect of future periods that may be included as part of the reported performance information. Accordingly, my findings do not extend to these matters.
14. I evaluated the usefulness and reliability of the reported performance information in accordance with the criteria developed from the performance management and reporting framework, as defined in the general notice, for the following selected programme presented in the entity's Annual Performance Report for the year ended 31 March 2017:

Programme	Pages in the Annual Performance Report
Programme 1 – Research, Development and Innovation	46–60

15. I performed procedures to determine whether the reported performance information was properly presented and whether performance was consistent with the approved performance planning documents. I performed further procedures to determine whether the indicators and related targets were measurable and relevant, and assessed the reliability of the reported performance information to determine whether it was valid, accurate and complete.
16. I did not raise any material findings on the usefulness and reliability of the reported performance information for the following programme:
 - Programme 1 – Research, Development and Innovation.

Other matter

17. I draw attention to the matter below.

Achievement of planned targets

18. Refer to the Annual Performance Report on page(s) 46 to 60 for information on the achievement of planned targets for the year and explanations provided for the under-/overachievement of a number of targets.



Adjustment of material misstatements

19. I identified material misstatements in the Annual Performance Report submitted for auditing. The material misstatements were in the reported performance information for Programme 1 – Research, Development and Innovation. As management subsequently corrected the misstatements, I did not report any material findings on the usefulness and reliability of the reported performance information.

Report on audit of compliance with legislation

Introduction and scope

20. In accordance with the PAA and the general notice issued in terms thereof, I have a responsibility to report material findings on the entity's compliance with specific matters in key legislation. I performed procedures to identify findings, but not to gather evidence to express assurance.
21. The material findings in respect of the compliance criteria for the applicable subject matters are as follows:

Expenditure management

22. Effective steps were not taken to prevent irregular expenditure amounting to R6 465 000, as disclosed in Note 27 to the Annual Financial Statements, in contravention of section 51(1)(b)(ii) of the PFMA.

Other information

23. The Human Sciences Research Council's Accounting Authority is responsible for the other information. The other information does not include the Financial Statements, the auditor's report thereon and those selected programmes presented in the Annual Performance Report that have been specifically reported on in the auditor's report.
24. My opinion on the Financial Statements and findings on the reported performance information and compliance with legislation do not cover the other information and I do not express an audit opinion or any form of assurance conclusion thereon.

In connection with my audit, my responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the Financial Statements and the selected programme presented in the Annual Performance Report or my knowledge obtained in the audit, or otherwise appears to be materially misstated. If, based on the work I have performed on the other information obtained prior to the date of this auditor's report, I conclude that there is a material misstatement of this other information, I am required to report that fact. I have nothing to report in this regard.

Internal control deficiencies

25. I considered internal control relevant to my audit of the Financial Statements, reported performance information and compliance with applicable legislation; however, my objective was not to express any form of assurance thereon. I did not identify any significant deficiencies in internal control.

Auditor - General

Pretoria
29 July 2017



AUDITOR - GENERAL
SOUTH AFRICA

Auditing to build public confidence



Annexure – Auditor-General’s responsibility for the audit

1. As part of an audit in accordance with the ISAs, I exercise professional judgment and maintain professional scepticism throughout my audit of the Financial Statements, and the procedures performed on reported performance information for selected programme and on the entity’s compliance with respect to the selected subject matters.

Financial Statements

2. In addition to my responsibility for the audit of the Financial Statements, as described in the auditor’s report, I also:
 - Identify and assess the risks of material misstatement of the Financial Statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for my opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations or the override of internal control;
 - Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity’s internal control;
 - Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the Board of Directors, which constitutes the Accounting Authority;
 - Conclude on the appropriateness of the Accounting Authority’s use of the going-concern basis of accounting in the preparation of the Financial Statements. I also conclude, based on the audit evidence obtained, whether a material uncertainty exists relating to events or conditions that may cast significant doubt on the Human Sciences Research Council’s ability to continue as a going concern. If I conclude that a material uncertainty exists, I am required to draw attention in my auditor’s report to the related disclosures in the Financial Statements about the material uncertainty or, if such disclosures are inadequate, to modify the opinion on the Financial Statements. My conclusions are based on the information available to me at the date of the auditor’s report. However, future events or conditions may cause an entity to cease operating as a going concern; and
 - Evaluate the overall presentation, structure and content of the Financial Statements, including the disclosures, and whether the Financial Statements represent the underlying transactions and events in a manner that achieves fair presentation.

Communication with those charged with governance

3. I communicate with the Accounting Authority regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.
4. I also confirm to the Accounting Authority that I have complied with relevant ethical requirements regarding independence, and communicate all relationships and other matters that may reasonably be thought to have a bearing on my independence and, where applicable, related safeguards.



General information

Members of the Board	Ms N Badsha – Chairperson
	Prof. LI Qalinge – Member
	Prof. A Lourens – Member
	Dr BO Tema – Member
	Prof. AO Olukoshi – Member
	Prof. EO Uliana (resigned November 2016) – Member
	Prof. RT Moletsane – Member
	Prof. SA Hassim – Member
	Adv. RR Dehal – Member
	Prof. MHR Bussin – Member
	Prof. C Soudien (<i>ex officio</i>) – Member
Chief Executive Officer	Prof. C Soudien
Chief Financial Officer	Mr R Matambo (Acting CFO)
Auditors	Auditor-General of South Africa
Bankers	Standard Bank and FirstRand Bank Limited
Registered office	134 Pretorius Street
Physical address	134 Pretorius Street
	Pretoria
	South Africa
	0002
Postal address	Private Bag X41
	Pretoria
	South Africa
	0001
Telephone number	+27 12 302 2000
Fax number	+27 12 302 2001

Approval of Annual Financial Statements

I have reviewed the accompanying Financial Statements of the HSRC for the year ended 31 March 2017. They have been prepared in accordance with the Standards of GRAP and all applicable PFMA disclosure requirements have been adhered to. This set of Annual Financial Statements represents a true reflection of the HSRC's financial performance, position and changes in cash flow movements for the financial year ended 31 March 2017.



Prof. Crain Soudien
Chief Executive Officer
31 July 2017



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Statement of Financial Position

as at 31 March 2017

	Note(s)	2017 R'000	2016 R'000
Assets			
Current assets			
Cash and cash equivalents	1	61,307	111,148
Trade and other receivables	2	43,727	30,388
Inventories	3	5,986	5,355
Pre-payments and advances	4	6,373	2,631
VAT receivable	5	5,779	4,122
		123,172	153,644
Non-current assets			
Property, plant and equipment	6	234,459	219,906
Intangible assets	6	3,383	3,782
Pre-payments and advances	4	35	1
Operating lease receivables	7	123	1,473
		238,000	225,162
Total assets		361,172	378,806
Liabilities			
Current liabilities			
Trade and other payables	8	29,786	31,911
Income received in advance	9	57,763	55,991
Provisions	11	23,190	20,732
		110,739	108,634
Non-current liabilities			
Post-retirement medical aid liability	12	3,294	3,476
Operating lease accruals	7	480	394
		3,774	3,870
Total liabilities		114,513	112,504
Net assets		246,659	266,302
Net assets			
Reserves		184,283	184,283
Accumulated surplus		62,376	82,019
Total net assets		246,659	266,302



Statement of Financial Performance

for the year ended 31 March 2017

	Note(s)	2017 R'000	2016 R'000
Revenue		459,595	4 69,138
Research revenue (from exchange transactions)	14.1	164,070	159,643
Parliamentary grants (from non-exchange transactions)	14.2	254,517	270,611
Other operating revenue	15	41,008	38,884
Expenses		(479,238)	(437,593)
Administrative expenses	16	(52,111)	(48,374)
Research cost	17	(110,228)	(114,845)
Staff cost	18	(270,928)	(236,986)
Other operating expenses	19	(32,968)	(29,174)
Finance cost	20	(1,750)	(1,218)
Depreciation, amortisation and impairment expense	21	(11,253)	(6,996)
(Deficit)/Surplus for the year	13	(19,643)	31,545



Statement of Changes in Net Assets

for the year ended 31 March 2017

Note(s)	Revaluation reserve R'000	Total: reserves R'000	Accumulated surplus R'000	Total: net assets R'000
Opening balance at 1 April 2015	184,283	184,283	50,474	234,757
Surplus for the period (Restated)	-	-	31,545	31,545
Balance at 1 April 2016	184,283	184,283	82,019	266,302
Deficit for the period	-	-	(19,643)	(19,643)
Balance as at 31 March 2017	184,283	184,283	62,376	246,659



Cash Flow Statement

for the year ended 31 March 2017

	Note(s)	2017 R'000	2016 R'000
Cash flows from operating activities			
Receipts		452,734	471,669
Payments		(475,428)	(420,809)
Net cash flows from operating activities	22	(22,694)	50,860
Cash flows from investing activities			
Purchase of property, plant and equipment		(27,157)	(20,155)
Proceeds from disposal of property, plant and equipment		10	164
Net cash flows from investing activities		(27,147)	(19,991)
Net increase in net cash and cash equivalents		(49,841)	30,869
Net cash and cash equivalents at beginning of year (1 April)		111,148	80,278
Net cash and cash equivalents at end of year	1	61,307	111,148



Statement of Comparison of Approved Budget to Actual Results

for the year ended 31 March 2017

	Note(s)	2017 Actual Results R'000	2017 Approved Budget R'000	Percentage Achieved	Variance R'000
Revenue		459,595	473,362	97%	(13,767)
Research revenue	29	164,070	179,678	91%	(15,608)
Parliamentary grants	29	245,799	245,799	100%	-
Parliamentary grants – ring fenced	29	8,718	8,718	100%	-
Other operating revenue	29	41,008	39,167	105%	1,841
Expenses		(479,238)	(473,362)	101%	(5,876)
Administrative expenses	29	(52,111)	(55,890)	93%	3,779
Research cost	29	(110,228)	(103,908)	106%	(6,320)
Staff cost	29	(270,928)	(268,292)	101%	(2,635)
Other operating expenses	29	(34,718)	(35,202)	99%	484
Depreciation, amortisation and impairment expense	29	(11,253)	(10,070)	112%	(1,183)
Deficit for the year	**	(19,643)	-	-100%	(19,643)

The budget was approved by the HSRC Board and submitted to the Executive Authority in terms of Section 53(1) of the PFMA. (Both annual budget and Financial Statements adopt the accrual basis)

Total budget as per HSRC Strategic Plan is R510,525,000. Included in this was VAT payable on the parliamentary grant amounting to R37,164,000, leaving a net budget of R473,362,000

** The HSRC applied to utilise the surplus accumulated from the 2015/16 financial year. Approval was granted by National Treasury in September 2016. Due to this approval more expenditure was incurred through utilisation of this surplus, otherwise the organisation has remained within budget on its approved allocation for 2016/17 financial year.



Accounting Policies

for the year ended 31 March 2017

1. Policies applied during the financial period under review

1.1. Basis of preparation

The Annual Financial Statements have been prepared using the accrual basis of accounting, in terms of which items are recognised as assets, liabilities, net assets (reserves), revenue and expenses when they satisfy the definitions and recognition criteria for those elements, which in all material aspects are consistent with those applied in the previous years, except where a change in accounting policy has been recorded.

The Financial Statements are prepared in South African Rand (R), and all values are rounded to the nearest thousand (R'000), except where otherwise indicated. The South African Rand is also the organisation's functional currency.

The Annual Financial Statements have been prepared in accordance with the effective Standards of Generally Recognised Accounting Practice (GRAP), including any interpretations and directives issued by the Accounting Standards Board (ASB).

1.2. Going-concern assumption

The Annual Financial Statements have been prepared on a going-concern basis.

1.3. Offsetting

Assets, liabilities, revenues and expenses have not been offset, except when offsetting is required or permitted by a Standard of GRAP.

1.4. Revenue

Revenue is recognised to the extent that it is probable that the economic benefits will flow to the HSRC and revenue can be reliably measured. Revenue is measured at fair value of the consideration receivable on an accrual basis.

1.4.1. Revenue from exchange transactions

Revenue from exchange transactions refers to revenue that accrues to the entity directly in return for services rendered or goods sold, the value of which approximates the consideration received or receivable, excluding indirect taxes, rebates and discounts. The following specific recognition criteria must be met before revenue is recognised:

1.4.1.1. Research revenue

Revenue that resulted from the rendering of research and related services is recognised using the stage of completion, determined according to the percentage of costs incurred to date in relation to the total estimated cost of the project. The HSRC is not a profit-making organisation and as such, all projects are budgeted with no surplus anticipated to be earned at the end of each project. In instances where possible deficits are anticipated (due to project execution



challenges), negotiations are promptly held with the funder where additional funding is requested. Revenue is recognised for work in progress in instances where the probability of additional funding has been assessed as highly probable by the Executive Director of the research programme in which the project is being executed.

The HSRC has several funders that normally process payments for research-related activities prior to the actual research commencing. Upon receipt, a liability is raised (income received in advance), and reduced as and when costs are incurred on the respective project.

1.4.1.2. Other operating revenue

Revenue from the sale of goods is recognised when significant risks and rewards of ownership of goods are transferred to the buyer. Sale of goods incorporates sale of publications, sale of food and letting of parking space in the HSRC-owned building situated in Pretoria. Revenue from royalties is recognised on the accrual basis in accordance with the substance of the relevant agreement. Rental income is recognised as revenue on a straight-line basis over the lease term.

1.4.1.3. Interest income

Revenue is recognised as interest accrued using the effective interest rate, and is included in other revenue in the Statement of Financial Performance.

1.4.2. Revenue from non-exchange transactions

Revenue from non-exchange transaction arises when the entity receives value from another entity or government department, without directly giving approximately equal value in exchange.

Revenue from non-exchange transactions is generally recognised to the extent that the related receipt or receivable qualifies for recognition as an asset and there is no liability to repay the amount. The following is classified as revenue from non-exchange transactions.

1.4.2.1. Parliamentary grants

Revenue from parliamentary grants is measured at the amount of the Medium-Term Expenditure Framework (MTEF) allocation received by the entity. The grant received or receivable is recognised when the resources that have been transferred meet the criteria for recognition as revenue and there is not a corresponding liability in respect of related conditions. Where such conditions associated with the grant have not been met, a liability is recognised.

1.4.2.2. Other non-exchange revenue resulting in recognition of assets

Assets and revenue arising from transfer transactions are recognised in the period in which the transfer arrangement becomes binding. Where a transfer is subject to conditions that, if unfulfilled, require the return of the transferred resources, the entity recognises a liability until the condition is fulfilled.

1.5. Taxes

The HSRC is exempt from income tax in terms of section 10(1) (a) of the Income Tax Act (Act No. 58 of 1962).

1.6. Property, plant and equipment

1.6.1. Initial recognition of cost

Property, plant and equipment (other than land and buildings and artwork) are measured at cost, net of accumulated depreciation and/or accumulated impairment losses, if any.

The cost of an item of property, plant and equipment is recognised as an asset when:

- It is probable that future economic benefits associated with the item will flow to the entity; and
- The cost of the item can be measured reliably.



Costs include costs incurred initially to acquire or construct an item of property, plant and equipment and costs incurred subsequently to add to, replace part of, or service it. If a replacement cost is recognised in the carrying amount of an item of property, plant and equipment, the carrying amount of the replaced part is derecognised. All other repair and maintenance costs are recognised in the Statement of Financial Performance as incurred.

Land and buildings are measured at fair value less accumulated depreciation on buildings and impairment losses recognised after the date of the revaluation. Valuations of the HSRC's Pretoria property are performed every three years based on the income capitalisation method. The market value is determined from the ability of the property to generate rental income, taking into account the related expenses, the rental income which is capitalised at a market-related rate, as well as the risk, age and condition of the property with existing buildings. Any surpluses that occur due to the revaluation of land and buildings are allocated to the revaluation reserve, except to the extent that it reverses a revaluation decrease of the same asset previously recognised. A revaluation deficit is recognised in the Statement of Financial Performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

Artwork is measured at fair value less accumulated depreciation and impairment losses recognised after the date of the revaluation. Valuations of artwork are performed every five years based on the current market value method. The market value factored into each assessment is the artist, the medium used, the size in relation to the overall aesthetic appeal (to the market) of each artwork. Any surpluses that occur due to the revaluation of artwork are allocated to the revaluation reserve, except to the extent that it reverses a revaluation decrease of the same asset previously recognised in the Statement of Financial Performance. A revaluation deficit is recognised in the Statement of Financial Performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

The revaluation surplus included in net assets in respect of an item of property, plant and equipment is transferred directly to accumulated surpluses or deficits when the asset is derecognised. This involves transferring the whole of the surplus when an asset is retired or disposed of. Transfers from revaluation surplus to accumulated surpluses or deficits are not made through surplus or deficit.

1.6.2. Depreciation of assets

Depreciation is applied on a straight-line basis, with the exception of mobile clinics that are depreciated based on mileage travelled. Specific treatment of depreciation on the respective assets are as follows:

1.6.2.1. Freehold land

Land has an unlimited useful life and therefore is not depreciated but stated at fair value.

1.6.2.2. Freehold buildings

The HSRC identified the following major components of buildings:

- Lifts;
- Telephone system;
- Fixtures; and
- Buildings.

The useful lives of the various components of buildings have been assessed to be:

Lifts	25 years
Telephone system	25 years
Fixtures	25 years
Buildings	25–100 years
Leasehold improvements	Amortised over the period of the lease



1.6.2.3. Equipment, motor vehicles and artwork

The useful lives of the various categories of equipment have been assessed to be:

Office furniture	22 years
Motor vehicles	5 years
Computer and other equipment	5–22 years
Library books and manuscripts	20 years
Artwork	25 years
Mobile clinics	Estimated kilometres

1.6.2.4. Leasehold assets

Leasehold assets are depreciated over the period of the rental agreement.

1.6.2.5. Donor funded assets

All assets that were bought with donor funds are depreciated over the shorter of the asset's useful life or project duration.

1.6.3. De-recognition of assets

An item of property, plant and equipment is de-recognised upon disposal or when no future economic benefits are expected from its use or disposal. Any gain or loss arising on de-recognition of the asset (calculated as the difference between the net disposal proceeds and the carrying amount of the asset) is included in the Statement of Financial Performance in the year the asset is derecognised.

1.6.4. Key estimates and assumptions applied by management

1.6.4.1. Property, plant and equipment and intangible assets

Property, plant and equipment and intangible assets are depreciated over their useful lives, taking into account residual values, where appropriate. The actual lives of the assets and residual values are assessed annually and may vary depending on a number of factors. In re-assessing asset lives, factors such as technological innovation and maintenance programmes are taken into account. Residual value assessments consider issues such as future market conditions, the remaining life of the asset and projected disposal values. HSRC reassessed assets useful lives as at 31 March 2017, with depreciation decreasing by R1.1 million annually in future financial years.

1.6.4.2. Revaluation of property, plant and equipment

HSRC measures its land and buildings at revalued amounts with changes in fair value being recognised in the Statement of Changes in Net Assets. The entity engaged independent valuation specialists to determine fair value on 1 November 2014, thereby impacting depreciation for the 2016/17 financial year. The key assumptions used to determine the fair value of the land and buildings are further explained in Note 6.1 and 6.2.

1.7. Intangible assets

1.7.1. Initial recognition

Intangible assets that meet the recognition criteria are stated in the Statement of Financial Position at amortised cost, being the initial cost price less any accumulated amortisation and impairment losses.

An intangible asset is recognised when:

- It is probable that the expected future economic benefits that are attributable to the asset will flow to the entity; and
- The cost of the asset can be measured reliably.

Intangible assets are initially recognised at cost. Expenditure on research (or on the research phase of an internal project) is recognised as an expense when it is incurred.



1.7.2. Subsequent measurement

Subsequent expenditure is capitalised only when it increases the future economic benefits embodied in the asset to which it relates. The amortisation is calculated at a rate considered appropriate to reduce the cost of the asset less residual value over the shorter of its estimated useful life or contractual period. Residual values and estimated useful lives are reviewed annually.

Amortisation is charged to the Statement of Financial Performance to write off the cost of intangible assets over their estimated useful lives, using the straight-line method as follows:

IT software	Average of 5–22 years
User rights	20 years

1.7.3. Impairment of non-financial assets

The HSRC assesses at each reporting date whether there is any indication that an asset may be impaired. If any such indication exists, the entity estimates the recoverable amount of the individual asset. If it is not possible to estimate the recoverable amount of the individual asset, the recoverable amount of the cash-generating unit to which the asset belongs is determined.

A cash-generating unit is the smallest identifiable group of assets that generates cash inflows that are largely independent of the cash inflows from other assets or groups of assets.

The recoverable amount of an asset or a cash-generating unit is the higher of its fair value less costs to sell and its value in use. If the recoverable amount of an asset is less than its carrying amount, the carrying amount of the asset is reduced to its recoverable amount. That excess is an impairment loss and is charged to the Statement of Financial Performance.

An impairment loss of assets carried at cost less any accumulated depreciation or amortisation is recognised immediately in the Statement of Financial Performance. Any impairment deficit of a revalued asset is treated as a revaluation decrease in the revaluation reserve only to the extent of the existing reserve.

The HSRC assesses at each reporting date whether there is any indication that an impairment loss recognised in prior periods for assets may no longer exist or may have decreased. If any such indication exists, the recoverable amounts of those assets are estimated and matched against their carrying values and any excess of the recoverable amounts over their carrying values is reversed to the extent of the impairment loss previously charged in the Statement of Financial Performance.

1.8. Inventory

Inventories are valued at the lower of cost price or net realisable value. The net realisable value is the estimated selling price, less the estimated completion costs or selling costs. Inventory consists of cafeteria consumables and publications (comprising completed books and work in progress).

Inventory is valued using the weighted average method. Cost for publications is determined by using specific identification of their individual costs.

When inventories are sold, the carrying amount of those inventories is recognised as an expense in the period in which the related revenue is recognised.

The amount of any write-down of inventories to net realisable value and all losses of inventories are recognised as an expense in the period the write-down or loss occurs.

1.9. Leases

A lease is classified as an operating lease if it does not transfer substantially all the risks and rewards incidental to ownership. The classification of the leases is determined using GRAP 13 – Leases.



1.9.1. Operating leases – lessee

Lease agreements are classified as operating leases where substantially the entire risks and rewards incidental to ownership remain with the lessor. Operating lease payments are recognised as an expense on a straight-line basis over the lease term. The difference between the amounts recognised as an expense and the contractual payments is recognised as an operating lease liability.

1.9.2. Operating leases – lessor

The HSRC presents assets subject to operating leases in the Statement of Financial Position according to the nature of the asset. Lease revenue is recognised in line with the accounting policy on revenue. The depreciation policy for depreciable leased assets is consistent with the entity's normal depreciation policy for similar assets.

1.9.3. Key judgments on operating leases

The HSRC has entered into commercial property leases on buildings. The HSRC leases its Pretoria building to the Department of Social Development. The HSRC has determined, based on evaluation of the terms and conditions of the arrangements, that it retains all the significant risks and rewards of ownership of this property and so accounts for this contract as an operating lease, with the HSRC being a lessor. On the other hand, the HSRC leases premises occupied by staff in regional offices, where it does not retain all the significant risks and rewards of ownership of these properties and so accounts for these contracts as operating leases, with the HSRC being a lessee. Refer to Note 7 for more details on the respective lease agreements.

1.10. Employee benefits

1.10.1. Short-term employee benefits

The cost of short-term employee benefits (those payable within 12 months after the service is rendered, such as cost to company (CTC), allowances and performance bonuses) are recognised in the period in which the service is rendered and are not discounted.

1.10.2. Post-employment benefit costs.

1.10.2.1. Pension funds

The entity contributes to a pension fund for the benefit of its employees. The plan is a defined contribution plan. The entity identifies as defined contribution plans, any post-employment plan in terms of which it has no obligation to make further contributions to the plan over and above the monthly contributions payable on behalf of employees (for example in the event of a funding shortfall). Contributions made towards the fund are recognised as an expense in the Statement of Financial Performance in the period that such contributions become payable. This contribution expense is measured at the undiscounted amount of the contribution paid or payable to the fund. A liability is recognised to the extent that any of the contributions have not yet been paid. Conversely an asset is recognised to the extent that any contributions have been paid in advance.

Pensions are provided for employees by means of two separate pension funds to which contributions are made. These are the HSRC Pension Fund (HSRCPF) and the Associated Institutions Pension Fund (AIPF).

1.10.2.2. Post-retirement medical aid benefits

The entity contributes to a medical aid for the benefit of its employees. The plan is a defined benefit plan. The cost of providing these benefits is determined based on the projected unit credit method and actuarial valuations are performed every year.

The HSRC contributed voluntarily to post-retirement medical aid benefits of specific employees who opted to remain on the previous conditions of service when the benefit was terminated. The HSRC does not provide for post-retirement medical aid benefits to any other category of employees.



1.10.3. Key estimates and assumptions applied by management

The cost of post-employment medical benefits is determined using actuarial valuations. The actuarial valuation involves making assumptions about discount rates, expected rates of return of assets, future salary increases, mortality rates and future pension increases. All assumptions are reviewed at each reporting date. Refer to Note 12 for a full disclosure of post-retirement benefits as at 31 March 2017.

1.11. Foreign currency transactions

Transactions in foreign currencies are accounted for at the rate of exchange ruling on the date of the transaction. Assets and liabilities in foreign currencies are translated at the rate of exchange ruling at the reporting date. Exchange differences arising from translations are recognised in the Statement of Financial Performance in the period in which they occur.

A foreign currency transaction is recorded, on initial recognition in the functional currency, by applying to the foreign currency amount the spot exchange rate between the functional currency and the foreign currency at the date of the transaction. At each reporting date foreign currency monetary items are translated using the closing rate.

Exchange differences arising on the settlement of monetary items or on translating monetary items at rates different from those at which they were translated on initial recognition during the period or in previous Financial Statements shall be recognised in surplus or deficit in the period in which they arise.

1.12. Provisions and contingencies

Provisions are recognised when:

- The HSRC has a present obligation as a result of past events;
- Probable that an outflow of resources embodying economic benefits or service potential will be required to settle the obligations; and
- A reliable estimate can be made of the obligation.

Provisions are not recognised for future operating losses. If the HSRC has a contract that is onerous, the present obligation under the contract is recognised and measured as a provision. Contingent assets and contingent liabilities are not recognised.

Provisions are measured as the present value of the estimated future outflows required to settle the obligation. In the process of determining the best estimate of the amounts that will be required in future to settle the provision, management considers the probability of the potential outcomes of the provisions raised, and provides the best estimate required to settle the provision.

1.13. Financial instruments

1.13.1. Trade and other receivables

Trade receivables are measured at initial recognition at fair value, and are subsequently measured at amortised cost using the effective interest rate method. Appropriate allowances for estimated irrecoverable amounts are recognised in profit or loss when there is objective evidence that the asset is impaired. Significant financial difficulties of the debtor and default or delinquency in payments (more than 120 days overdue) are considered indicators that the trade receivable is impaired. The allowance recognised is measured for all debtors with indications of impairment.

The carrying amount of the asset is reduced through the use of an allowance account, and the amount of the loss is recognised in the Statement of Financial Performance within operating expenses. When a trade receivable is uncollectable, it is written off against the allowance account for trade receivables. Subsequent recoveries of amounts previously written off are credited against operating expenses in the Statement of Financial Performance.

1.13.2. Trade and other payables

Trade and other payables are initially measured at fair value, and are subsequently measured at amortised cost using the effective interest rate method.



1.13.3. Cash and cash equivalents

Cash and cash equivalents in the Statement of Financial Position comprise cash at banks and on hand, including investments and short-term deposits with an original maturity of three months or less. For the purpose of the Cash Flow Statement, cash and cash equivalents consist of cash and cash equivalents as defined above, net of outstanding bank overdrafts.

1.14. Related parties

The HSRC operates in an economic sector currently dominated by entities directly or indirectly owned by the South African Government. As a consequence of the constitutional independence of the three spheres of government in South Africa, only entities within the influence of the Department of Science and Technology (DST) are considered to be related parties.

Key management is defined as being individuals with the authority and responsibility for planning, directing and controlling the activities of the entity. We regard all individuals from the level of executive management and council members as key management per the definition of the financial reporting standard.

Close family members of key management personnel are considered to be those family members who may be expected to influence, or be influenced by key management individuals, in their dealings with the entity.

1.15. Comparative figures

When necessary, comparative figures have been adjusted to conform to changes in presentation in the current period. The nature and reason for such reclassifications and restatements are also disclosed. Refer to Note 26 for a detailed disclosure of prior year errors recorded.

1.16. Prepayments and advances

Payments made in advance to suppliers are in respect of goods and services in line with the business of the entity. An item will be recognised as a prepayment if the payment was made in advance and at the reporting period these goods and services had not been delivered or rendered to the entity. There is no contractual right to receive a refund in cash or another financial instrument from the suppliers.

1.17. Irregular and fruitless and wasteful expenditure

Irregular expenditure means expenditure incurred in contravention of, or not in accordance with, a requirement of any applicable legislation, including:

- The PFMA (Act No. 1 of 1999); or
- The State Tender Board Act, (Act No. 86 of 1968).

Fruitless and wasteful expenditure means expenditure that was made in vain and would have been avoided had reasonable care been exercised. All irregular, fruitless and wasteful expenditure is recognised against the specific class of expense to which it relates and is disclosed in a note to the Financial Statements when it has been identified.

1.18. Standards issued and not yet effective

At the date of authorisation of these Financial Statements, the following Standards of GRAP were in issue, but not yet effective:

- GRAP 20 – Related Parties;
- GRAP 32 – Service Concession Arrangements: Grantor;
- GRAP 34 – Separate Financial Statements;
- GRAP 35 – Consolidated Financial Statements;
- GRAP 36 – Investments in Associated and Joint Ventures;
- GRAP 37 – Joint Arrangements;
- GRAP 38 – Disclosure of Interest in Other Entities;



PART E: Annual Financial Statements

- GRAP 108 – Statutory Receivables;
- GRAP 109 – Accounting by Principals and Agents; and
- GRAP 110 – Living and Non-living Resources.

Management believes that the adoption of these standards in future periods will have no material impact on the Financial Statements, as they have been used to formulate and inform the current accounting policies and disclosures where applicable to the HSRC. Application of all of the above Standards of GRAP will be effective from a date to be announced by the Minister of Finance. This date is not currently available.

1.19. Segment reporting information

The HSRC manages the operations as a combined operations with the Board and CEO, making key financial decisions based on the combined operations. Resource allocation, assets and liabilities are also managed on a combined basis and as such the organisation has a single reporting entity. Geographical information is not provided as there are no distinct economic benefits attached to the respective regional offices, with research projects undertaken in all different parts of the country.



Notes to the Annual Financial Statements

for the year ended 31 March 2017

1. Cash and cash equivalents

	2017 R'000	2016 R'000
Cash at bank	11,488	16,972
Cash on hand	92	92
Short-term Investments*	49,727	94,084
	61,307	111,148

* Included in the short-term investments are funds received from HSRC funders, for various research projects. These funds had not been utilised as at 31 March 2017.

2. Trade and other receivables

	2017 R'000	2016 R'000
Trade receivables	34,578	29,749
Other receivables	10,024	2,098
Less: impairment allowance	(875)	(1,459)
Balance at 31 March	43,727	30,388

2.1 Ageing of trade receivables

	2017 R'000	2016 R'000
Current (0–30 days)	29,366	27,346
31–60 days	4,577	919
61–90 days	75	19
91–120 days	21	302
+ 121 days	539	1,163
Balance at 31 March	34,578	29,749

2.2 Ageing of other receivables

	2017 R'000	2016 R'000
Current (0–30 days)	7,521	391
31–60 days	445	75
61–90 days	19	39
91–120 days	53	16
+ 121 days	1,986	1,577
Balance at 31 March	10,024	2,098



2.3 Impairment allowance: Ageing

	2017 R'000	2016 R'000
+ 121 days	(875)	(1,459)
Balance at 31 March	(875)	(1,459)

2.4 Reconciliation of the impairment allowance

	2017 R'000	2016 R'000
Balance at beginning of the year	(1,459)	(409)
Bad debts written off	525	1,179
Impairment movement	59	(2,229)
Balance at 31 March	(875)	(1,459)

2.5 Trade and other receivables past due but not impaired

Trade and other receivables which are less than three months past due payment are not considered to be impaired. At 31 March 2017, R5,190,000 (2016: R1,370,000) was past due date but not impaired.

The ageing of amounts past due date but not impaired is as follows:

	2017 R'000	2016 R'000
30 days past due	5,022	994
60 days past due	94	58
90 days past due	74	318
	5,190	1,370

2.6 Trade and other receivables impaired

As at 31 March 2017, trade and other receivables of R875,000 (2016: R1,459,000) were impaired and provided for. The ageing of these receivables is as follows:

	2017 R'000	2016 R'000
Over 180 days	875	1,459
	875	1,459

The fair value of trade receivables approximates their carrying amounts.

3. Inventories

	2017 R'000	2016 R'000
Finished goods **	5,790	5,195
Publications	5,712	5,071
Cafeteria	78	124
Work in progress *	196	160
	5,986	5,355

* Work in progress consists of books in production.

** Finished goods are taken into account when computing costs of goods sold, as noted below:



	2017 R'000	2016 R'000
Cost of goods sold		
HSRC and AISA Press (Publications)	1,919	2,385
Cafeteria	4,376	5,303
	6,295	7,688

Cafeteria cost of goods sold include costs incurred for internal sales relating to conferences and workshops.

4. Pre-payments and advances

	2017 R'000	2016 R'000
Pre-payments and advances (short-term)*	6,373	2,631
Pre-payments and advances (long-term) **	35	1
Total	6,408	2,632

** The long-term portion of pre-payments is in respect of computer warranties.

* Short term pre-payments are largely made up of subscriptions to software, pre-paid electricity and flight bookings processed on research projects with travelling set to take place in the new financial year.

5. VAT Receivable

	2017 R'000	2016 R'000
VAT input	5,779	4,122
	5,779	4,122

6. Summary of property, plant and equipment

	2017 Carrying amounts R'000	2016 Carrying amounts R'000
Land and buildings	175,888	177,750
Leasehold improvements	11,603	8
Artwork	1,449	1,567
Motor vehicles	18,963	18,548
Office furniture	7,954	8,247
Equipment	9,492	6,475
Computer equipment	8,721	6,851
Medical equipment	389	460
	234,459	219,906
Summary of intangible assets		
Software	1,709	1,975
Usage rights	1,674	1,807
	3,383	3,782



6.1 Property, plant and equipment

Balance as at 31 March 2017

	Total R '000	Land and buildings R '000	Leasehold improvements R '000	Artwork R '000	Motor vehicles R '000	Office furniture R '000	Equipment R '000	Computer equipment R '000	Medical equipment R '000
Opening net carrying amount	219,906	177,750	8	1,567	18,548	8,247	6,475	6,851	460
Gross carrying amount	283,959	196,058	3,712	2,123	20,543	13,360	16,574	29,234	2,355
Accumulated depreciation	(64,053)	(18,308)	(3,704)	(556)	(1,995)	(5,113)	(10,099)	(22,383)	(1,895)
Additions and revaluations	26,954	321	11,948	-	1,969	268	6,663	5,785	-
Additions	26,954	321	11,948	-	1,969	268	6,663	5,785	-
Assets reclassification	(532)	-	-	-	-	-	(395)	(137)	-
Cost	(532)	-	-	-	-	-	(395)	(137)	-
Accumulated depreciation	-	-	-	-	-	-	-	-	-
Disposals	(1,218)	-	-	-	(972)	(108)	(16)	(122)	-
Cost of disposal	(5,928)	-	(2,465)	-	(2,132)	(181)	(90)	(1,060)	-
Accumulated depreciation of disposal	4,710	-	2,465	-	1,160	73	74	938	-
Depreciation	(10,651)	(2,183)	(353)	(118)	(582)	(453)	(3,235)	(3,656)	(71)
Closing net carrying amount	234,459	175,888	11,603	1,449	18,963	7,954	9,492	8,721	389
Gross carrying amount	304,453	196,379	13,195	2,123	20,380	13,447	22,752	33,822	2,355
Accumulated depreciation	(69,994)	(20,491)	(1,592)	(674)	(1,417)	(5,493)	(13,260)	(25,101)	(1,966)
Historical cost would have been:	84,283	83,221	1,062						

The land is registered as Stand 3242 Pretoria, measuring 7 655 m², Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. The buildings classification combines land, lifts, telephone systems, fixtures and buildings and comprises a reception area, offices, parking area, conference centre and a cafeteria. The valuation was conducted on 1 November 2014 by an independent valuer, Mr Mongodi Pitso of Dijalo Valuation Services Management (Pty) Ltd, using the discounted cash flow (DCF) analysis method. In the DCF analysis the lease income is discounted for the total lease period at a discount rate deemed appropriate. The total of the net cash flows equates to the net present value of the property. Market related capitalisation rates in the Pretoria CBD range between 9.90% for A-grade properties to 12.40% for C-grade. A capitalisation rate of 11.50% was applied. Application of the R157 bond rate as per the date of valuation as well as the relevant sector and risk factors resulted in a total discount rate of 16.45%. The building is not held as security for any obligations.

Artwork belonging to the HSRC was also revalued on 31 March 2015. The valuation was performed by Mr Gerrit Dyman of Absolut Art Gallery by observing similar artwork in the market and the prices such artwork would cost on the valuation date.

Balance as at 31 March 2016

Reconciliation of carrying value

	Total R '000	Land and buildings R '000	Leasehold improvements R '000	Artwork R '000	Motor vehicles R '000	Office furniture R '000	Equipment R '000	Computer equipment R '000	Medical equipment R '000
Opening net carrying amount	207,702	179,942	278	1,676	5,659	8,452	4,288	7,297	110
Gross carrying amount	267,180	196,058	3,759	2,123	7,791	13,172	13,588	28,596	2,093
Accumulated depreciation	(59,478)	(16,116)	(3,481)	(447)	(2,132)	(4,720)	(9,300)	21,299	(1,983)
Additions and revaluations	22,711	-	18	-	16,702	219	3,046	2,326	400
Revaluation adjustment	3,534				3,412			122	
Additions	19,177		18		13,290	219	3,046	2,204	400
Assets reclassification	(3,534)	-	-	-	(3,412)	-	-	(122)	-
Cost	(3,534)				(3,412)			(122)	
Accumulated depreciation	-				-			-	
Disposals	(458)	-	-	-	(263)	(19)	(4)	(166)	(6)
Cost of disposal	(2,398)		(65)		(538)	(31)	(60)	(1,566)	(138)
Accumulated depreciation of disposal	1,940		65		275	12	56	1,400	132
Depreciation	(6,515)	(2,192)	(288)	(109)	(138)	(405)	(855)	(2,484)	(44)
Closing net carrying amount	219,906	177,750	8	1,567	18,548	8,247	6,475	6,851	460
Gross carrying amount	283,959	196,058	3,712	2,123	20,543	13,360	16,574	29,234	2,355
Accumulated depreciation	(64,053)	(18,308)	(3,704)	(556)	(1,995)	(5,113)	(10,099)	(22,383)	(1,895)
Historical cost would have been:	86,274	85,141		1,133					

The land is registered as Stand 3242 Pretoria, measuring 7 655 m², Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. The buildings classification combines land, lifts, telephone systems, fixtures and buildings and comprises a reception area, offices, parking area, conference centre and a cafeteria. The valuation was conducted on 1 November 2014 by an independent valuer, Mr Mongodi Pitso of Dijalo Valuation Services Management (Pty) Ltd, using the discounted cash flow (DCF) analysis method. In the DCF analysis the lease income is discounted for the total lease period at a discount rate deemed appropriate. The total of the net cash flows equates to the net present value of the property. Market related capitalisation rates in the Pretoria CBD range between 9.90% for A-grade properties to 12.40% for C-grade. A capitalisation rate of 11.50% was applied. Application of the R157 bond rate as per the date of valuation as well as the relevant sector and risk factors resulted in a total discount rate of 16.45%. The building is not held as security for any obligations.

Artwork belonging to the HSRC was also revalued on 31 March 2015. The valuation was performed by Mr Gerrit Dyman of Absolut Art Gallery by observing similar artwork in the market and the prices such artwork would cost on the valuation date.



6.2 Intangible assets

Balance as at 31 March 2017

Reconciliation of carrying value	Total R'000	Software R'000	Usage rights R'000
Opening net carrying amount	3,782	1,975	1,807
Gross carrying amount	5,982	3,319	2,663
Accumulated depreciation	(2,200)	(1,344)	(856)
Additions	203	203	-
Additions	203	203	-
Amortisation			
Amortisation	(602)	(469)	(133)
Closing net carrying amount	3,383	1,709	1,674
Gross carrying amount	6,185	3,522	2,663
Accumulated depreciation	(2,802)	(1,813)	(989)

Balance as at 31 March 2016

Reconciliation of carrying value	Total R'000	Software R'000	Usage rights R'000
Opening net carrying amount	4,008	2,068	1,940
Gross carrying amount	9,899	7,236	2,663
Accumulated depreciation	(5,891)	(5,168)	(723)
Additions and revaluations	978	978	-
Additions processed in the year	978	978	-
Disposals	(723)	(723)	-
Cost of disposal	(4,895)	(4,895)	-
Accumulated Depreciation	4,172	4,172	(133)
Amortisation			
Amortisation	(481)	(348)	(133)
Closing net carrying amount	3,782	1,975	1,807
Gross carrying amount	5,982	3,319	2,663
Accumulated depreciation	(2,200)	(1,344)	(856)

7. Operating lease receivables and accruals

	2017 Carrying amounts R'000	2016 Carrying amounts R'000
Operating lease receivables – lessor		
Opening balance 1 April	1,473	1,319
Movement for the year	(1,350)	154
Balance at 31 March	123	1,473
Operating lease accruals – lessee		
Opening balance 1 April	(394)	(818)
Movement for the year	(86)	424
Balance at 31 March	(480)	(394)



7.1 Operating lease arrangements as the lessee:

7.1.1 Future minimum lease payments

	2017 Carrying amounts R '000	2016 Carrying amounts R '000
Up to 12 months		
Cape Town lease	7,968	2,101
Durban lease	1,555	1,440
Port Elizabeth lease	306	437
Sweetwaters lease	143	130
CSIR – disaster recovery site	38	69
	10,010	4,177
One year to five years		
Cape Town lease	13,073	-
Durban lease	1,090	2,645
Port Elizabeth lease	-	306
Sweetwaters lease	502	645
CSIR – disaster recovery site	-	35
	14,665	3,631

7.1.2 Other disclosures

Cape Town lease

The HSRC leases office space from Bursa Property Investments (Pty) Ltd at 116 Buitengracht Street, Cape Town, Erf 9442, measuring 975 square metres, with nine floors at Merchant House. The agreement is for a three-year period effective from 1 October 2016 and concluding on 30 September 2019. The current lease payment per month is R638,450.00 (VAT excluded). The contract includes an annual escalation of 8% (compounded) annually. The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the lease agreement. A tenant installation amount of R3.2 million was granted with R2.2 million refundable should the HSRC not exercise the renewal option after the initial contract term.

Durban lease

The HSRC leases property in Durban from Roelan Trading 45 (Pty) Ltd situated at Erf 21 (of 1) of Erf 2128 Durban, Portion 16 of Erf 2133 Durban, Portion 18 (of 1) of Erf 2128 Durban, Rem of Portion of Erf 2133 Durban. The lease agreement is for three years effective from 1 December 2015 and expires on 30 November 2018. The contract includes an escalation clause of 8% (compounded) annually. The current lease payment per month is R126,204.69 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the same lease agreement.

Port Elizabeth lease

The HSRC leases a property from the Growthpoint Securitization Warehouse Trust (The ownership of this property was transferred to Africorp International Properties (Pty) Ltd effective 12 February 2016), situated at Mount Road, Fairview Office Park, Port Elizabeth. The lease agreement is effective from 1 November 2014 and expires on 30 November 2017. The current lease payment is R30,229.42 per month (VAT excluded). The contract includes an annual escalation of 8% (compounded) annually. The HSRC does not have the option to acquire the building but has an option to renew the same lease agreement. The HSRC also leases a property from Monsoon Partnership for HIV Research studies (research project), situated at Rink Street, First Floor, Port Elizabeth, the lease commenced on 1 December 2015 and expires on 30 November 2017. The current lease payment is R7,950.00 per month (VAT excluded). The contract includes an escalation of 6% (compounded) annually. The HSRC does not have the option to acquire the building but has an option to renew the same lease agreement.



Sweetwaters lease

A lease agreement was signed between the HSRC and Mr FA Bhalya in respect of a property referred to as Sweetwaters Bus Depot. The agreement came into operation on 1 March 2008 and was valid for five years. The lease agreement was renewed on 1 March 2013 for an additional three years, and expired on 29 February 2016, after which it was renewed for another five years. The current lease payment per month is R11,789.75 (VAT excluded). The contract includes an annual escalation of 10% (compounded) annually. The HSRC does not have the option to acquire the building.

Council for Scientific and Industrial Research (CSIR) lease

The HSRC leases property in the CSIR campus located in Building 14, Scientia. Total space acquired is 63 square metres utilised as a disaster recovery site. The lease agreement was renewed on 1 October 2014 for a period of three years expiring on 30 September 2017. The contract has a fixed rental amount with no escalation clause. The current lease rental payment per month is R6,365.78 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the same lease agreement.

7.2 Operating Lease arrangements as the lessor:

7.2.1 Future minimum lease payments

	2017 R'000	2016 R'000
Up to 12 months		
Department of Public Works lease	1,703	20,311
One year to five years		
Department of Public Works lease	-	1,703

Other disclosures

Department of Public Works lease (Pretoria)

The operating lease is undertaken between the HSRC (the lessor) and the Department of Public Works (the lessee) on behalf of the Department of Social Development. The leased building is situated at 134 Pretorius Street, Pretoria. The existing contract was signed on 30 May 2014 for a three year period, with a commencement date of 1 May 2014. Monthly rental receivable is R1,703,136.32 (excluding VAT), with an escalation clause of 8% compounded annually. The contract currently runs on a month-to-month basis awaiting renewal finalisation.

8. Trade and other payables

	2017 R'000	2016 R'000
Trade creditors	216	7,376
Accruals	29,570	24,535
	29,786	31,911

The HSRC considers that the carrying amount of trade and other payables approximates their fair value.

9. Income received in advance

	2017 R'000	2016 R'000
Bill & Melinda Gates Foundation	830	830
City of Tshwane	140	140
Department of Higher Education	-	45
University of California	869	95
Department of Science and Technology	20,846	32,071
Department of Rural Development	1,071	1,071
Hilton Foundation	2,015	2,464
International Development Research Centre	193	21
Elma Foundation	-	382
Going to Scale	-	694
Other projects/funding agencies	13,135	15,610
Department of Public Works	1,942	-
SANRAL	720	720
SANAC	842	920
Global Development Network	-	895
USAID	-	6
Ford Foundation	-	27
Department of Health	11,946	-
Centre for Communication Impact NPC	3,214	-
	57,763	55,991

Income received in advance relates to research work where funding has been received from the funder and the research work was not yet completed as at 31 March 2017. Research activities pertaining to these funds are envisaged to be completed within the next 12 months.



10. Capital and expenditure commitments

	2017 R'000	2016 R'000
Approved and contracted	79,661	51,455
Total commitments	79,661	51,455
Capital expenditure	2,301	2,231
Operational expenditure	77,360	49,224
Total	79,661	51,455
Less than one year	59,037	36,744
More than one year	20,624	14,711
Total	79,661	51,455

Most of the commitments are project related expenses (funded by the various funders).

11. Provisions

	2017 R'000	2016 R'000
Performance bonus	5,796	6,095
Provision for leave	17,394	14,637
	23,190	20,732

Leave pay provision reduces when an employee takes official leave days or leaves the HSRC and the leave is paid out to the employee. Performance bonuses are paid annually for good staff performance after performance appraisals are completed and moderated.

Analysis of movements in provisions

	2017 R'000	2016 R'000
Provision for leave		
Opening balance	14,637	14,490
Additional provision	21,552	16,978
Amounts paid out during the year	(1,830)	(1,996)
Amounts utilised during the year	(16,965)	(14,835)
Closing balance	17,394	14,637
Performance bonus		
Opening balance	6,095	4,878
Additional provision	4,919	6,429
Amounts paid out during the year	(5,218)	(5,212)
Closing balance	5,796	6,095



12. Post-retirement medical benefits

12.1 Defined contribution plan

The HSRC has the following post-retirement medical aid obligations as at 31 March 2017.

	2017 Carrying amounts R'000	2016 Carrying amounts R'000
Present value of obligation	3,294	3,476
Liability recognised in the balance sheet	3,294	3,476
Reconciliation of defined benefit obligation (DBO)		
Present value of obligation at beginning of year	3,476	4,290
Interest cost	299	302
Current service cost	15	12
Benefits paid	(462)	(504)
Gain/(loss) from change in financial assumptions	(34)	(624)
Present value of obligation at year end	3,294	3,476

12.2 Liabilities

The liabilities for the HSRC with regard to subsidies in respect of continuation member healthcare costs can reasonably be regarded as the following:

- The liability in respect of existing continuation members; and
- The liability in respect of members in active employment.

The HSRC offers employees and continuation members the opportunity to belong to a medical aid scheme, which in turn offers a range of options pertaining to levels of cover. Upon retirement an employee may continue membership of the medical scheme, and upon death of a member in service or in retirement, the surviving dependants may continue membership of the medical scheme.

Members contribute at a rate according to tables of contribution rates which differentiate between them on the type and number of dependants. Some options also differentiate on the basis of income.

The eligible employees were entitled to receive a subsidy of 50% of their medical scheme contributions at retirement. However, at retirement, the employer's subsidy is fixed in Rand terms. Continuation members are subsidised on the same principle.

The previous assessment of the liability with regard to subsidies in respect of continuation member healthcare costs was done on 31 March 2016. The next assessment of the liabilities needs to be performed at the next financial year end, being 31 March 2018.

12.3 Particulars of the liabilities

The current Discovery Health continuation member receives a fixed employer subsidy which does not increase with medical inflation. For married continuation pensioners, the subsidy amount remains fixed and does not decrease. The AISA and HSRC post-retirement medical subsidy benefit schemes were combined from 1 April 2014.



12.4 Particulars of the liabilities

The membership details of the members in active employment and who are entitled to a subsidy after continuation as at reporting date:

	Number of members		Average past service – years	
	2017	2016	2017	2016
Male members (Age band: 45–49)	1	1	26.2	25.2
Total/weighted average	1	1	26.2	25.2

The average age of these members was 50 years as at 31 March 2017, compared to 49 years in respect of the active members as at 31 March 2016. Average monthly employer contributions 2017: R2,192.50 (2016: R4,026.00)

Details of the continuation members (being members no longer employed by the HSRC) as at reporting date:

	Number of members		Average premium principal member per month – R's		Average weighted age – years	
	2017	2016	2017	2016	2017	2016
Total/weighted average	70	74	529	518	81.7	80.7

The table below summarises the profile of the continuation pensioners subsidised by the HSRC as at 31 March 2017:

Age band: 50–54	0	Age band: 75–79	12
Age band: 55–59	1	Age band: 80–84	31
Age band: 60–64	1	Age band: 85–89	14
Age band: 65–69	1	>90	7
Age band: 70–74	6		

12.5 Key financial assumptions

12.5.1 Summary assumptions

The economic assumptions for the 31 March 2017 valuation are shown in the table below, and compared to those used as at the previous valuation date.

	% per annum 2017	% per annum 2016
Discount rate	8.69	9.20
Consumer Price Inflation	5.85	6.78
Healthcare cost inflation rate – in service employees	7.35	8.28
Net discount rate	1.25	0.85

12.5.1.1 Discount rate

GRAP 25 requires that the discount rate used in the valuation be determined by reference to market yields on government bonds as at the reporting date. The currency and term of the government bonds shall be consistent with the currency and estimated term of the post-employment benefit obligations.

At the previous valuation date, 31 March 2016, the duration of the liabilities was 7.19 years. At this duration, the discount rate determined by using the Bond Exchange Zero Coupon Yield Curve as at 31 March 2017 is 8.69% per annum.

12.5.1.2 Healthcare cost inflation

A healthcare cost inflation rate of 7.35% was assumed. This is 1.5% in excess of the expected inflation over the expected term of the liability, at 5.85%. However, it is the relative levels of the discount rate and healthcare inflation to one another that are important, rather than the nominal values. We have thus assumed a net discount factor of 1.25% per annum.



12.5.1.3 Decrement assumptions

We have applied the same pre-retirement mortality table of SA85-90 and post-retirement mortality table of PA(90) in the current valuation period as the previous valuation.

12.5.2 Key demographic assumptions

The demographic assumptions were consistent in the previous and current valuation period, and are as noted below:

Normal retirement age – 60 years	
Employment age used for past service period:	Actual service entry ages

Assumption	Active employees	Continuation pensioners
Age difference between spouses	Three years	
Proportion married in retirement	Proportion married table	Actual marital status used

Example at stated date	Proportion married (Male and Female)
20	1.30%
25	12.90%
30	48.30%
35	80.90%
40	70.20%
45	84.70%
50	84.90%
55	86.00%
60	90.00%

12.5.3 Continuation percentages

It was assumed, in the previous valuation and current valuation, that continuation of the post-employment healthcare subsidy would be at 100% at retirement age.

12.5.4 Income brackets at retirement

It is fairly common to expect a continuation pensioner's income to be lower than the income earned just prior to retirement. The difference between the income after retirement and the income just prior to retirement is referred to as the net replacement ratio (NRR). The NRR is used to reduce the expected salary on retirement. We have assumed an NRR on retirement of 75%. A salary inflation assumption is used to adjust the salary from the current date to the date of retirement. This assumption should be considered in conjunction with the assumed CPI rate.

12.5.5 Withdrawal and ill health assumptions

The withdrawal assumptions have been set in line with those generally observed in the South African market. They are consistent with the previous valuation period, and noted on the table below:

Age	Males
20	13.30%
25	13.30%
30	10.90%
35	8.20%
40	5.80%
45	4.10%
50	2.90%
55+	0.00%



12.6 Summary of valuation methods

12.6.1 Liability valuation method

The liability is taken as the present value of the employer's share of active employee contributions projected into the future using the probability of survival to retirement age and beyond, taking into account the assumed rates of withdrawal and mortality. For each future continuation pensioner, the liability stops when the continuation pensioner and any remaining spouse are assumed to have died. For each active member, this projection is based on the probability of survival to retirement age and beyond, taking into account the assumed rates of withdrawal and mortality. For each pensioner, the liability stops when the pensioner and any remaining spouse are assumed to have died.

12.6.2 Valuation method

In accordance with the requirements of GRAP25, the Projected Unit Credit method of funding has been applied. The assumption underlying the funding method is that the employer's post-employment medical scheme costs in respect of an employee should be fully recognised by the time that the employee reaches fully his/her accrued age.

Although this liability only vests at retirement (or to remaining beneficiaries in the event of earlier death in early retirement age) and is not necessarily affected by the length of service that an employee has had with the employer, accounting standards require that the liability for in-service employees accrue uniformly while in service.

The employer's liability is taken as the present value of the obligation to settle post-employment healthcare contributions excluding the portion of contributions funded by the continuation pensioners.

It has been assumed that the medical contribution subsidies will increase in line with health care cost inflation. We have made no allowance for volatility in the contributions due to fundamental changes in the underlying demographics of the scheme.

Basis of valuation

The liability has been valued on a contribution basis, where the liability is valued as the present value of the post-employment medical scheme contributions, in respect of the active employees and the continuation pensioners.

12.7 Analysis of past year and future projected liability

	Year ending 31/03/2016 R'000	Year ending 31/03/2017 R'000	Year ending 31/03/2018 R'000
Opening accrued liability	4,290	3,476	3,294
AISA Liability			
Current service cost	12	15	15
Interest cost	301	299	266
Actuarial loss/(gain)	(623)	(34)	-
Total annual expense	(310)	280	281
Contributions (benefits paid)	(504)	(462)	(441)
Closing accrued liability	3,476	3,294	3,134

13. Analysis of surplus

	2017 R'000	2016 R'000
(Deficit)/Surplus recorded	(19,643)	31,545

Deficit recorded for the financial year is not as a result of overspending for 2016/17, but was as a result of utilisation of prior year surplus. The surplus retention was approved by National Treasury in terms of Section 53(3) of the PFMA to retain a surplus that had accumulated from the 2015/16 financial year. Approval was granted on 16 September 2016. The balance of the approved surplus had been committed as at 31 March 2017.



14. Revenue from exchange and non-exchange transactions

14.1 Research revenue (from exchange transactions)

	2017 R'000	2016 R'000
International funding agencies	92,264	87,323
National and provincial funding agencies	53,812	52,644
Private sector	10,965	9,526
Professional services and secondment	379	-
Public sector	6,650	10,150
	164,070	159,643

As at 31 March 2017, the HSRC had signed contracts with various funders. Delivery on these contracts will result in more research revenue being recognised in future financial years. Contracts signed, with work still outstanding and no income received in advance by the HSRC, amounted to R267 million.

14.2 Parliamentary grants (from non-exchange transactions)

	2017 R'000	2016 R'000
Parliamentary grants received	254,517	253,251
Ring-fenced grant for mobile clinics	-	17,360
	254,517	270,611

15. Other operating revenue

	2017 R'000	2016 R'000
Cafeteria income	2,219	2,176
Insurance claims: recoveries	1,636	241
Interest received	9,766	8,752
Profit on disposal of assets	3	2
Publication sales	1,689	1,286
Rental income	24,278	22,798
Royalties received	561	442
Skills development levy	532	274
WSSF conference fees	-	2,330
Sundry income	324	583
	41,008	38,884



16. Administrative expenses

	2017 R'000	2016 R'000
Annual license fees, library manuscripts and subscriptions	(11,840)	(11,453)
Audit fees	(5,921)	(3,579)
- External audit	(2,849)	(2,436)
- Internal audit	(2,572)	(962)
- Other audits	(500)	(181)
Bank costs / Stamp duty / Excise duties	(381)	(367)
Outsourced services and systems support	(6,550)	(5,480)
Consumable goods	(5,966)	(6,236)
Insurance	(2,062)	(2,150)
Net foreign exchange (loss)/gain	(44)	784
Postal, telecom and delivery fees	(6,914)	(7,828)
Printing and photocopying	(4,833)	(6,162)
Publicity functions and conferences	(1,352)	(523)
Sundry operating expenses	(694)	(895)
Travel and subsistence	(5,554)	(4,485)
	(52,111)	(48,374)

17. Research cost

	2017 R'000	2016 R'000
Direct labour expense	(22,739)	(20,416)
Direct research cost	(87,489)	(94,429)
	(110,228)	(114,845)

18. Staff cost

	2017 R'000	2016 R'000
Wages and salaries*	(248,266)	(218,854)
Defined contribution plan	(19,092)	(17,990)
Social contributions (employer's contributions)		
- official unions and associations	(211)	(209)
Post-retirement medical benefit		
- Employer contributions	(231)	(248)
- Decrease/(Increase) in liability	182	814
Termination benefits	(3,309)	(499)
Total	(270,927)	(236,986)



	2017 R'000	2016 R'000
Number of staff as at 31 March 2017		
Permanent staff	575	533
Short-term staff (12 months or less) ***	116	121
Total	691	654

* Detailed disclosure of Council members and executive management remuneration is on Note 25.2

*** Short term staff are predominantly linked to various HSRC research projects, and staff count varies with project activities undertaken during a given period. Number reflected is staff still in employment at 31 March 2017.

19. Other operating expenses

	2017 R'000	2016 R'000
Bad debts written off	(525)	(1,179)
Inventory written off	-	(2,454)
Legal fees	(444)	(556)
Loss on disposal of assets	(1,207)	(1,012)
Office refreshments and client relations	(402)	(368)
Rentals, maintenance, repairs and running costs	(25,721)	(20,677)
- Other maintenance repairs and running costs	(6,347)	(4,684)
- Property taxes and municipal rates	(10,187)	(7,381)
- Lease Rentals (Regional Offices)	(9,187)	(8,612)
Staff recruitment costs	(685)	(378)
Staff training	(3,251)	(1,875)
Study bursaries	(733)	(675)
Total	(32,968)	(29,174)

20. Finance cost

	2017 R'000	2016 R'000
Fair valuation cost of receivables and payables	(1,750)	(1,218)
	(1,750)	(1,218)

21. Depreciation and amortisation

	2017 R'000	2016 R'000
Depreciation on property, plant and equipment	(10,651)	(6,515)
Amortisation on intangible assets	(602)	(481)
	(11,253)	(6,996)



22. Reconciliation of net cash flows from operating activities to surplus

	2017 R'000	2016 R'000
(Deficit)/Surplus for the year	(19,643)	31,545
Adjustment for:		
Depreciation and amortisation	11,253	6,996
Bad debts written off	525	1,179
Increase in provisions relating to employee cost	2,457	1,366
Losses on disposal of property, plant and equipment	1,207	1,012
Net foreign exchange loss/(gain)	44	(784)
Other adjustments	(608)	824
Items disclosed separately		
Receipts of sales of assets	(10)	(164)
Operating (deficit)/surplus before working capital changes:	(4,775)	41,974
(Increase)/decrease in inventories	(631)	2,657
(Increase)/decrease in other receivables	(7,927)	995
Increase in VAT receivable	(1,658)	(3,280)
Decrease in post retirement medical benefit	(182)	(814)
(Increase)/decrease in trade receivables	(4,829)	610
(Increase)/decrease in prepayments	(3,775)	3,735
Increase in income received in advance	1,773	85
(Decrease)/increase in trade payables	(2,125)	5,476
Movement in lease accruals	1,350	(154)
Movement in lease commitments	85	(424)
Cash generated by operations	(22,694)	50,860

23. Contingent assets and liabilities

Pending claims

All the claims are being contested based on legal advice. The financial details of these claims are as follows:

	2017 R'000	2016 R'000
Counter claim made by the HSRC (Possible contingent asset)	2,950	2,950
Claim against HSRC (Possible contingent liability)	(8,048)	(1,280)
Net claims	(5,098)	1,670

Case 1

The HSRC terminated a service provider contract as a result of non-delivery, and the service provider, Underhill Investment Holdings, subsequently issued summons for the amount of R1,176,243.00. The HSRC filed a counterclaim to the value of R2,949,914.69 claiming damages which were incurred due to the forced termination of the contract. This case is still pending and may likely be settled.



Case 2

A case brought forward by Gobble Trading against the HSRC where in October 2015 Gobble Trading issued summons in the amount of R105,400.00 in respect of unpaid handyman services rendered to the HSRC at the Durban office. Currently the attorneys are exchanging pleadings and the matter will be enrolled for trial.

Case 3

The former Executive Director of Management Support launched a new application in the North Gauteng High Court against the HSRC breach of contract committed by HSRC. Relief is sought for payment in the sum of R4,994,769.99, being the contract balance calculated from date of dismissal (27 February 2015) to date of termination of contract, (31 December 2018). Interest on the aforesaid amount at 15.5% per annum calculated from 27 February 2015 to date of payment. Currently the attorneys are exchanging pleadings and the matter will be enrolled for trial.

Estimated legal costs to defend these cases amount to R683,000.00

24. Events after the reporting date

No reportable events after reporting date.

25. Related parties

The HSRC is a schedule 3A National Public Entity in terms of the Public Finance Management Act (Act No.1 of 1999 as amended) and therefore falls within the national sphere of government. As a consequence the HSRC has a significant number of related parties being entities that fall within the national sphere of government. Such transactions are for the research that the HSRC performs from time to time. All transactions are concluded on an arm's length basis, and the HSRC is normally appointed having responded to requests for tenders. There are no restrictions in the HSRC's capacity to transact with any entity. The HSRC reports to the Department of Science and Technology (DST). Amounts disclosed, below, as related parties, relate to the parent department, DST and entities within the DST.



25.1 Transactions with related entities

	Services rendered				Services received			
	2017		2016		2017		2016	
	Transactions R'000	Balance R'000	Amount included in bad debts provision as at 31 March 2016 R'000	Transactions R'000	Balance R'000	Amount included in bad debts provision as at 31 March 2015 R'000	Transactions R'000	Balance R'000
Related party								
Department of Science and Technology (DST)**	299,763	-	-	316,721	-	-	-	-
National Research Foundation (NRF)	1,892	-	-	4,155	-	-	833	-
Council for Scientific and Industrial Research (CSIR)	-	-	-	1,052	-	-	2,752	-
Agricultural Research Council (ARC)	1,000	-	-	548	-	-	-	-
	302,655	-	-	322,476	-	-	108	3,585

** Amount disclosed includes MTEF Allocation received from DST



25.2 Fees paid to Board members and Executive Management salaries:

Note	2017					2016	
	Gross remuneration R	Post-employment benefits and termination benefits R	Performance bonus R	Other allowances R	Total R	Total R	Total R
Mrs N Badsha (Board Chairperson)	91,881	-	-	-	91,881		36,200
Prof. E Uliana (Board Member) – Audit and Risk Committee Chair (ended 26 November 2016)	23,271	-	-	-	23,271		66,916
Prof. RT Moletsane (Board Member)	39,680	-	-	-	39,680		40,136
Prof. A Olukoshi (Board Member)	38,386	-	-	-	38,386		29,446
Prof. A Lourens (Board Member) – Also serves on the Audit and Risk Committee	39,041	-	-	-	39,041		36,080
Prof. L Qalinge (Board Member)	38,325	-	-	-	38,325		20,096
Dr B Tema (Board Member)	48,550	-	-	-	48,550		51,954
Prof. SA Hassim (Board Member)	33,278	-	-	-	33,278		16,688
Adv. RR Dehal (Board Member)	65,274	-	-	-	65,274		143,088
Prof. MHR Bussin (Board Member) – Also serves on the Audit and Risk Committee	53,415	-	-	-	53,415		22,800
Prof. O Shisana – (ex officio as CEO – Term ended 31 July 2015)	-	-	-	-	-		1,090,530
Prof. C Soudien – (ex officio as CEO – appointed 1 September 2015)	2,065,441	342,113	-	162,898	2,570,452		1,267,378
Executive Management **	16,039,583	4,150,382	623,015	1,557,277	22,370,257		16,507,313
	18,576,125	4,492,495	623,015	1,720,175	25,411,810		19,328,625



25.3 The following is a list of Executive Management for the years ended 31 March 2017 and 31 March 2016

2017		
Name	Position	Date/(Period) of Appointment
Prof. C Soudien	Chief Executive Officer (CEO)	01/09/2015
Prof. LC Simbayi	Executive Director: HAST/ Acting DCEO: Research (01/01/2016)	01/07/2009
Dr BST Masilela	Deputy-Chief Executive Officer – Research (DCEO. Research)/Executive Director (01/01/2016)	01/11/2010–31/12/2015
Dr U Pillay	Deputy-Chief Executive Officer – Operations (DCEO. Management Support)	01/06/2012–15/03/2017
Mr R Matambo ACCA	Acting Chief Financial Officer	03/01/2017
Ms P Singh CA(SA)	Chief Financial Officer (CFO)	01/09/2012–03/01/2017
Dr H van Rooyen	Executive Director: HSD	01/01/2016
Prof. P Reddy	Acting Executive Director: PHHSI	24/11/2016
Dr V Reddy	Executive Director: ESD	01/07/2007
Prof. D Labadarios	Executive Director: PHHSI	01/08/2008–31/03/2017
Prof. G Setswe	Acting Executive Director: HAST	01/04/2016
Dr N Bohler-Muller	Acting Executive Director: DGSD	12/11/2015
Dr K Zuma	Executive Director: RMDC	01/06/2013
Dr C Chikozho	Executive Director: AISA	01/11/2016
Prof. I Turok	Executive Director: EPD	01/04/2016

2016		
Name	Position	Date/(Period) of Appointment
Prof. O Shisana	Chief Executive Officer (CEO)	01/08/2005–31/07/2015
Prof. C Soudien	Chief Executive Officer (CEO)	01/09/2015
Dr BST Masilela	Deputy-Chief Executive Officer – Research (DCEO. Research)/Executive Director (01/01/2016)	01/11/2010–31/12/2015
Prof. LC Simbayi	Executive Director: HAST/ Acting DCEO: Research (01/01/2016)	01/07/2009
Dr U Pillay	Deputy-Chief Executive Officer – Operations (DCEO. Management Support)	01/06/2012
Ms P Singh CA(SA)	Chief Financial Officer (CFO)	01/09/2012
Dr H van Rooyen	Executive Director: HSD	01/01/2016
Prof. S Swartz	Acting Executive Director: HSD	01/08/2015–31/12/2015
Dr V Reddy	Executive Director: ESD	01/07/2007
Prof. D Labadarios	Executive Director: PHHSI	01/08/2008
Prof. D Plaatjies	Executive Director: DGSD	01/06/2014–11/11/2015
Dr N Bohler-Muller	Acting Executive Director: DGSD/Executive Director: AISA	12/11/2015
Dr K Zuma	Executive Director: RMDC	01/06/2013
Prof. P Reddy	Executive Director: HSD	01/07/2006–24/07/2015
Prof. I Turok	Executive Director: EPD	01/04/2016



26. Prior period errors – adjustments

The following prior period errors have been identified and the specific effect on Financial Statements have been set out in Note 26.1. These errors have been corrected and comparatives restated accordingly and rounded off (R'000). The effect on previously reported financial statements is also indicated:

To enhance presentation and provide more detailed information to the users, additional line items have been reclassified or disclosed separately. Such adjustments had no financial impact on the surplus of the HSRC and as such were not disclosed separately in this note. Items, disclosed below, are those that had an impact on the results previously reported.

These prior period errors have no tax effect as the HSRC is exempt in terms of the Income Tax Act.

26.1 Misstatement of revenue and expenditure items

Description	Key	Adjustment R'000
Increase administrative expenses	(i)	341
Decrease in income received in advance	(ii)	126
Increase in other operating expenses	(i)	185
Increase in research cost	(i)	230
Increase in research revenue (from exchange transactions)	(ii)	(125)
Increase in trade and other payables	(i)	(757)
Increase in depreciation	(iii)	38
Increase in accumulated depreciation	(iii)	(38)

- (i) An adjustment on depreciation related to artwork that had not been depreciated correctly in the 2015/16 financial year.
- (ii) Adjustment as a result of additional expenses received in the 2016/17 pertaining to the 2015/16 financial year and had not been accrued for as at 31 March 2016.
- (iii) Adjustments noted in (i) above included entries on research projects and resulted in adjustments in external income and income received in advance.

27. Irregular expenditure

	2017 R'000	2016 R'000
Opening balance	3,968	-
Irregular expenditure – current year with goods received at reasonable market rates	6,465	3,968
Irregular expenditure – current year with goods not received	-	-
Irregular expenditure – condoned	(3,968)	-
Irregular expenditure awaiting condonement	6,465	3,968

Analysis of irregular expenditure

A significant portion of the irregular expenditure recorded relates to the refurbishment of our Cape Town offices, where a certain portion of additional construction costs were incurred without following the normal SCM processes. This was largely as a result of unanticipated timelines associated with the entire relocation project. An independent investigation was commissioned to identify internal deficiencies and lessons for future reference. The main project manager unfortunately left the HSRC after concluding a mutual termination agreement. Although the expenses were disclosed as irregular due to a purchase order not being issued before the service provider installed the changes, the independent review and the HSRC's Audit and Risk Committee verified that it was indeed value for money and the structures installed were necessary for the HSRC staff to occupy the building. Other instances of irregular expenditure relate to emergency procurement necessitated by unanticipated project timelines which resulted in the impracticability of competitive sourcing of service providers.



28. Fruitless and wasteful expenditure

	2017 R'000	2016 R'000
Opening balance	249	67
Fruitless and wasteful expenditure – current year	3,307	182
Fruitless and wasteful expenditure – condoned	(249)	-
Recovered	(2)	-
Fruitless and wasteful expenditure awaiting condonement	3,305	249

Instances of fruitless and wasteful expenditure recorded for the year

- 1 The HSRC was taken to the CCMA by one of its directors, with the Commissioner awarding the employee a payment of R1.2 million related to unfair dismissal. The payment was processed in line with the CCMA ruling.
- 2 The HSRC reached a mutual termination agreement with one of its Executives, with both parties agreeing to settle on contract balance. The contract was earmarked to terminate in January 2018. The Board reached this agreement having taken into account possible costs of pursuing this matter through a disciplinary process, the CCMA and/or eventually in court.
- 3 The other portion amounting to R7,000 relates largely to traffic fines issued to staff members on hired vehicles and flights missed. The money will be recovered from the staff members concerned.

29. Statement of Comparison of Approved Budget to Actual Results (explanatory notes)

29.1 Research revenue

Research revenue achievement for the financial year was 91%, representing an underachievement of 9%. This is largely as a result of challenges being experienced in the fund raising environment, with a number of research programmes in the HSRC failing to meet their set targets. A number of our key flagship projects also commenced towards the later part of the financial year, with more activities envisaged for the 2017/18 financial year. Strategic engagements in new funding markets have been explored with the Executive Management team visiting Europe towards the end of 2016/17 financial year, with more visits planned in the 2017/18 financial year. Utilisation of the prior year surplus also resulted in more projects being undertaken from the parliamentary grant as opposed to external income, hence research costs for the year exceeded budget by 6%. This resulted in the overall achievement of the external income target. It is envisaged that this target will be exceeded for the 2017/18 financial year.

29.2 Parliamentary grants

The full parliamentary grant allocation received from the Department of Science and Technology (DST) was fully utilised during the period under review, in line with the HSRC's mandate as stipulated in the HSRC Act, HSRC's Strategy and Annual Performance Plan (2016/17 financial year), as presented to the Minister of Science and Technology and Parliament.

29.3 Parliamentary grants – ring fenced

The ring fenced allocation received from the DST was fully utilised during the period under review, in line with the HSRC's mandate as stipulated in the HSRC Act, HSRC's Strategy and Annual Performance Plan (2016/17 financial year), as presented to the Minister of Science and Technology and Parliament. This allocation was earmarked for science and technology indicators and was exclusively used for that purpose in line with the CeSTII Business plan for the 2016/17 financial year.

29.4 Other operating revenue

Other operating revenue is mainly generated from our rental agreement with the Department of Public Works, publication sales, cafeteria sales to the HSRC staff and the public as well as interest earned on unused funds (mainly the parliamentary grant). The target was surpassed due to more interest income being earned on funds received in advance, insurance recoveries and the escalation in rental earned from the Department of Public Works. This income is utilised to augment the parliamentary grant in the maintenance of the building and other operational costs within the HSRC.



29.5 Administrative expenses

Administration costs mainly include audit fees, subscriptions and manuscripts, insurance related costs, printing and photocopying expenses as well as postal and delivery costs. Spending for the financial year was within budgeted amounts with 3% unutilised being channelled to core research activities.

29.6 Research cost

Research costs incurred exceeded budgeted amount by 6%. When comparing research costs to research revenue the difference is 15% as opposed to breaking-even. This is due to the utilisation of the prior year surplus to further other unfunded research projects which were undertaken once the surplus retention approval was received from National Treasury.

29.7 Staff cost

Staff costs spending exceeded the budgeted amount by 1%, being an amount of R2 million. This was largely as a result of termination benefits paid to two former Executives of the HSRC amounting to R3.3 million. One instance was a CCMA case where the employee was awarded a pay-out, while the other was a mutual termination arrangement effected on 15 March 2017.

29.8 Other operating expenses

Expenditure was below the budgeted amount for the financial year due to stringent cost containment measures which continue to be implemented with an aim of ensuring that the organisation remains sustainable in the long-term, channelling more funding to core research activities.

29.9 Depreciation, amortisation and impairment expense

Depreciation expenses exceeded budgeted amounts due to research projects undertaken in the year with extensive assets capitalisation. Such assets are depreciated at the lower of their useful lives or project duration, hence the increase in the depreciation expenses recorded for the financial year.

30. Financial instruments

30.1

Financial instruments consist of receivables, payables, finance leases and cash and cash equivalents. In the case of all financial instruments, the carrying value approximates the fair value based on the discounted cash flow method which was used to estimate the fair value. As at 31 March 2017 the carrying amounts and fair values for the financial assets or liabilities were as follows:

	Note(s)	2017		2016	
		Carrying amount R'000	Fair value R'000	Carrying amount R'000	Fair value R'000
Financial assets					
Cash and cash equivalents	1	61,307	61,307	111,148	111,148
Trade and other receivables	2	43,727	43,727	30,388	30,388
		105,034	105,034	141,535	141,535
Financial liabilities					
Measured at amortised cost					
Trade and other payables	8	29,786	29,786	31,911	31,911
Finance lease liability	10	-	-	-	-
		29,786	29,786	31,911	31,911



In the course of the HSRC operations, the entity is exposed to interest rate, credit, liquidity and market risk. The HSRC has developed a comprehensive risk strategy in order to monitor and control these risks. The risk management process relating to each of these risks is discussed and disclosed under the headings below:

Interest rate risk

The HSRC manages its interest rate risk by fixing rates on surplus cash funds using short- to medium-term fixed deposits. The HSRC's exposure to interest rate risk and the effective rates applying on the different classes of financial instruments is as follows:

	Note(s)	Effective interest rate (fluctuating)	2017		2016			
			Less than 12 months R'000	1 - 5 years R'000	Total R'000	Less than 12 months R'000	1 - 5 years R'000	Total R'000
Financial assets								
Current accounts	1	3.00%	11,580	-	11,580	17,063	-	17,063
Short-term investments accounts	1	5-6.5%	49,727	-	49,727	94,084	-	94,084
Trade and other receivables	2	0.00%	43,727	-	43,727	30,388	-	30,388
Total financial assets			105,034	-	105,034	141,535	-	141,535
Financial liabilities								
Measured at amortised cost								
Trade and other payables	8	0.00%	29,786	-	29,786	31,911	-	31,911
Total financial liabilities			29,786	-	29,786	31,911	-	31,911
Net financial assets/(liabilities)			75,249	-	75,249	109,624	-	109,624

30.3 Credit risk

Financial assets, which potentially subject the HSRC to the risk of non-performance by counterparties and thereby subject to credit concentrations of credit risk, consist mainly of cash and cash equivalents and trade receivables from non-exchange transfers. The entity only deposits cash with major banks with high quality credit standing and limits exposure to any one counterparty. Trade receivables are presented net of the allowance for doubtful debts. The HSRC manages/limits its treasury counterparty exposure by only dealing with well-established financial institutions approved by National Treasury through the approval of their investment policy in terms of Treasury Regulations. In addition, the credit risk exposure emanating from trade receivables is not considered significant as trade is largely conducted with reputable research partners who have had and maintained good relationships with the HSRC in the past. Thus HSRC's significant concentration risk is with its research partners. The analysis of ageing of receivables that are 30 days and older is as follows:



Note(s)	2017			2016		
	Less than 12 months			Current R'000	30 days and above R'000	Total R'000
	Current R'000	30 days and above R'000	Total R'000			
2	36,887	6,840	43,727	27,737	2,651	30,388
	36,887	6,840	43,727	27,737	2,651	30,388
	84%	16%	100%	91%	9%	100%

Percentage analysis

30.4 Liquidity risk

The HSRC manages liquidity risk through proper management of working capital, capital expenditure and actual versus forecast cash flows and its cash management policy. Adequate reserves and liquid resources are also maintained. Budgets are prepared annually and analysed monthly against performance to ensure liquidity risks are monitored.

30.5 Market risk

The HSRC has limited exposure to market risk.

30.6 Fair values

The HSRC's financial instruments consist mainly of cash and cash equivalents, payables and receivables. No financial instrument was carried at an amount in excess of its fair value and fair values could be reliably measured for all financial instruments. The following methods and assumptions are used to determine the fair value of each class of financial instruments:

33.6.1 Cash and cash equivalents

The carrying amount of cash and cash equivalents and held-to-maturity financial assets approximates fair value due to the relatively short- to medium-term maturity of these financial assets.

33.6.2 Other receivables from exchange transactions

The carrying amount of other receivables from exchange transactions approximates fair value due to the relatively short-term maturity of these financial assets.



31. Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount ZAR
15–18 May 2016	Food Security and Safety Conference (FSaS)	291	Food Security and Safety dialogue	AISA	SCM process	Expenditure	169,664.62
22–25 May 2016	African Unity of Renaissance Conference and Africa Day	118	Africa Day Conference	AISA	SCM process	Expenditure	460,939.02
13–14 March 2017	11 th Annual Africa Young Graduate and Scholars Conference (AYGS)	60	Re-imagining Leadership and Gender for Sustainable Development	AISA	SCM process	Expenditure	305,172.03
23 March 2017	Complexities of Policy Implementation: The role of a policy implementation barometer in South Africa and Uganda	40	Complexities of Policy Implementation: The role of a policy implementation barometer in South Africa and Uganda	CESTii	SCM process	Expenditure	14,600.00
22–23 August 2017	African Perspectives on Global Corruption	30	Anti Corruption Colloquium	AISA	SCM process	Expenditure	184,522.44
9–10 June 2016	Writing for publication workshop	29	Workshop on writing publications for researchers	Learning and Development	SCM process	Expenditure	42,420.00
11 May 2016	HSRC racism dialogue	80	Racial inequalities and racism in South Africa: History and ideals for change	AISA/HSR	SCM process	Expenditure	124,121.53
25 January 2017	Awards ceremony	100	HSRC research excellency awards	Office of the CEO	SCM process	Expenditure	210,748.73
29–30 September 2016	LMIP Colloquium on Skill Planning	160	How do we plan to meet South Africa's skills needs?	ESD	SCM process	Expenditure	238,459.60
15–17 March 2017	EPD Meeting Planning	32	EPD Lekgotla	EPD	SCM process	Expenditure	92,696.25
10–12 March 2017	North West for Early Grade Reading Intervention	120	North West for Early Grade Reading Intervention	ESD	SCM process	Expenditure	60,500.00
27 May 2016	Race and Racism Dialogue Session	150	Racial inequalities and racism in South Africa: History and ideals for change	AISA	SCM process	Expenditure	59,286.25
30 June 2016	Public Lecture Events	120	Public Lecture Events	DGSD	SCM process	Expenditure	87,188.66
24 November 2016	St George Hotel	150	Annual Report Launch	RIA	SCM process	Expenditure	64,815.50



Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount ZAR
9–10 November 2016	2016 China-Africa Joint Research and Exchange Program	100	Collaborated conference with the Embassy of China	AISA	SCM process	Expenditure	569,451.00
29 November 2016	TIMSS Release Event	120	TIMSS Release Event	ESD	SCM process	Expenditure	57,972.64
1–5 August 2016	Health Rise Grantees Meeting	36	Health Rise Grantees Meeting	PHHSI	SCM process	Expenditure	32,009.94
7 February 2017	Writing retreat and dissemination	100	Writing retreat and dissemination	HAST	SCM process	Expenditure	49,345.22
6–7 February 2017	HSRC Group conference	80	HSRC Group conference	DCEO	SCM process	Expenditure	272,260.01
27 February, 2017	HSRC Filming of Documentary conference	7	HSRC Filming of Documentary conference	HSD	SCM process	Expenditure	12,026.57
22-23 September 2016	Poverty and inequality: diagnosis, prognosis, responses	250	Poverty and inequality: diagnosis, prognosis, responses	RIA	SCM process	Expenditure	430,195.00
29–30 November 2016	AISA Lekgotla	35	AISA Lekgotla	AISA	SCM process	Expenditure	29,061.00
30–31 March 2016	Poverty and inequality	50	Poverty and Inequality dialogue	AISA	SCM process	Expenditure	34,825.22
28 February 2017	UNICEF Age Validation training workshops	20	UNICEF Age Validation training workshops	CESTii	SCM process	Expenditure	41,276.24
14 June 2016	HSRC Book launch	100	HSRC Book launch	DGSD	SCM process	Expenditure	17,710.44
28 July 2016	RIA Lekgotla	45	RIA Lekgotla	RIA	SCM process	Expenditure	158,035.65
17 November 2016	IPRD Learning forum	40	IPRD Learning forum	EPD	SCM process	Expenditure	17,850.00
8 November 2016	Africa Seminar Project	50	Africa Seminar Project	AISA	SCM process	Expenditure	306,898.52
8 February, 2017	Filming of documentary	7	Filming of documentary	ESD	SCM process	Expenditure	5,289.92
28 September 2016	Research Science seminar	40	Research Science seminar	RIA	SCM process	Expenditure	14,864.45
17–31 January 2017	2 nd Main Study – SABSSM training	292	Training of fieldworkers to undertake the research project	HAST	SCM process	Expenditure	7,957,311.60
23 February 2017	HSRC Group Conference	30	HSRC Group Conference	HAST	SCM process	Expenditure	7,488.68
10 February 2017	HSRC Sensitisation Workshop	29	HSRC Sensitisation Workshop	HAST	SCM process	Expenditure	12,907.29
14 April 2016	PHHSI Lekgotla	13	PHHSI Lekgotla	PHHSI	SCM process	Expenditure	6,717.46
Total costs incurred on conferences related costs for 2016/17 financial year							12,148,631.48

* These costs were largely conference packages for the venue, audio equipment and travel related costs.



Research Outputs – 2016/17

1. Internationally accredited journal articles for senior research specialist/senior research manager (SRS/SRM) and Above (ISI and/or International Bibliography of the Social Sciences (IBSS) Listings)

Alcaide, M.L., Ramlagan, S., Rodriguez, V.J., Cook, R., Peltzer, K., Weiss, S.M., Sifunda, S. & Jones, D.L. (2017). Self-report and dry blood spot measurement of antiretroviral medications as markers of adherence in pregnant women in rural South Africa. <i>AIDS and Behavior</i> . March:Online.
Awoke, T., Worku, A., Kebede, Y., Kasim, A., Birlie, B., Braekers, R., Zuma, K. & Shkedy, Z. (2016) Modeling outcomes of first-line antiretroviral therapy and rate of CD4 counts change among a cohort of HIV/AIDS patients in Ethiopia: A retrospective cohort study. <i>PLOS ONE</i> . December:Online.
Bank, L.J. (2016) Engaging Mafeje's ghost: Fort Hare and the virtues of 'Homeland' anthropology. <i>African Studies</i> . 75(2):278-295.
Bank, L.J. & Carton, B. (2016) Forgetting apartheid: History, culture and the body of a nun. <i>Africa</i> . 86(3):472-503.
Barnabas, R.V., Van Rooyen, H., Tumwesigye, E., Brantley, J., Baeten, J.M., Van Heerden, A., Turyamureeba, B., Joseph, P., Krows, M., Thomas, C.K., Schaafsma, T.T., Hughes, J. & Celum, C. (2017) Uptake of antiretroviral therapy and male circumcision after community-based HIV testing and strategies for linkage to care versus standard clinic referral: A multisite, open-label, randomised controlled trial in South Africa and Uganda. <i>Lancet HIV</i> . March:Online.
Booyens, I. & Rogerson, C.M. (2016) Networking and learning for tourism innovation: Evidence from the Western Cape. <i>Tourism Geographies: An International Journal of Tourism Space, Place and Environment</i> . April:Online.
Booyens, I. & Rogerson, C.M. (2016) Responsible tourism in the Western Cape, South Africa: An innovation perspective. <i>Tourism</i> . 64(4):385-396.
Botha, F., Booysen, F. & Wouters, E. (2017) Family functioning and socioeconomic status in South African families: A test of the social causation hypothesis. <i>Social Indicators Research</i> . March:Online.
Brent, A.C., Musango, J.K., Smit, S., Pillay, N.S., Botha, A., Louw, R., Roper, S., Simelane, T., Clifford-Holmes, J.K. & Pretorius, L. (2016) Utilization of system dynamics in southern Africa: A systemic review. <i>Systems Research and Behavioral Science</i> . May:Online.
Cekiso, M., Arends, J., Mkabile, B. & Meyiwa, T. (2016) Investigating relationship between accounting students' learning style preferences and their academic performance at a University of Technology in South Africa. <i>Journal of Social Sciences</i> . 47(3):211-217.
Chandia, M. & Hart, T.G.B. (2016) An alien in the country of my birth: Xenophobia reinforcing otherness and promoting exclusion. <i>Agenda: Empowering Women for Gender Equity</i> . August:Online.
Chao, L-W., Szrek, H., Leite, R., Ramlagan, S. & Peltzer, K. (2016) Do customers flee from HIV? A survey of HIV stigma and its potential economic consequences on small businesses in Tshwane (Pretoria), South Africa. <i>AIDS and Behavior</i> . 21:217-226.
Chikovore, J., Gillespie, N., McGrath, N., Orne-Gliemann, J. & Zuma, T. (2016) Men, masculinity, and engagement with treatment as prevention in KwaZulu-Natal, South Africa. <i>AIDS Care</i> . 28(S3):74-82.
Chikozho, C. & Kujinga, K. (2016) Managing water supply systems using free-market economy approaches: A detailed review of the implications for developing countries. <i>Physics and Chemistry of the Earth</i> . October:Online.
Chikozho, C., Langa, L. & Saruchera, D. (2017) Articulating the history and major departure points evident in post-apartheid South African national water policy and law. <i>Physics and Chemistry of the Earth</i> . January:Online.
Chirinda, W. & Zungu, N. (2016) Health status and years of sexually active life among older men and women in South Africa. <i>Reproductive Health Matters</i> . 24(48):14-24.
Chiumbu, S. (2015) Media, race and capital: A decolonial analysis of representation of miners' strikes in South Africa. <i>African Studies</i> . June: Online.
Chiumbu, S.H., Reddy, V., Bohler-Muller, N., Gumede, N.A. & Mtshengu, A. (2016) Social justice for the poor: The framing of socioeconomic rights in selected South African newspapers. <i>Journalism</i> . October:Online.



Chola, L., Mutyambizi, C., Sewpaul, R., Parker, W., Mchiza, Z.J., Labadarios, D. & Hongoro, C. (2017) Self-reported diabetes during pregnancy in the South African National Health and Nutrition Examination Survey: Extent and social determinants. *BMC Pregnancy and Childbirth*. 17:Online.

Conroy, A.A., McKenna, S.A., Leddy, A., Johnson, M.O., Ngubane, T., Darbes, L.A. & Van Rooyen, H. (2017) "If she is drunk, I don't want her to take it": Partner beliefs and influence on use of alcohol and antiretroviral therapy in South African couples. *AIDS and Behavior*. February:Online.

Essack, Z., Toohey, J. & Strode, A. (2016) Reflecting on adolescents' evolving sexual and reproductive health rights: Canvassing the opinion of social workers in KwaZulu-Natal, South Africa. *Reproductive Health Matters*. 24:195-204.

Evans, M., Maughan-Brown, B., Zungu, N. & George, G. (2017) HIV prevalence and ART use among men in partnerships with 15–29 year old women in South Africa: HIV risk implications for young women in age-disparate partnerships. *AIDS and Behavior*. March:Online.

Evans, M., Risher, K., Zungu, N., Shisana, O., Moyo, S., Celentano, D.D., Maughan-Brown, B. & Rehle, T.M. (2016) Age-disparate sex and HIV risk for young women from 2002 to 2012 in South Africa. *Journal of the International AIDS Society*. 19(1):Online.

Frempong, G., Visser, M., Feza, N., Winnaar, L. & Nuamah, S. (2016) Resilient learners in schools serving poor communities. *Electronic Journal of Research in Educational Psychology*. 14(2):352-367.

Fubah, M.A. (2016) Modern museums in the palaces of the western Grassfields, Cameroon. *AfrikaFocus*. 29(2):21-37.

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Gastrow, M., Kruss, G. & Petersen, I. (2016) Connecting capabilities in highly unequal developing countries: The case of the Square Kilometre Array telescope in South Africa. *Development Southern Africa*. 33(3):361-375.

Heugh, K., Prinsloo, C., Makgamatha, M., Diedericks, G. & Winnaar, L. (2016) Multilingualism(s) and system-wide assessment: A southern perspective. *Language and Education*. November:Online.

Hongoro, C., Funani, I.N., Chitha, W. & Godlimpi, L. (2016) An assessment of private general practitioners contracting for public health services delivery in O.R. Tambo district, South Africa. *Journal of Public Health in Africa*. 6(525):73-79.

Hsiao, C., Richter, L., Makusha, T., Matafwali, B., Van Heerden, A. & Mabaso, M. (2016) Use of the ages and stages questionnaire adapted for South Africa and Zambia. *Child: Care, Health & Development*. September:Online.

Huis in 't Veld, D., Pengpid, S., Colebunders, R. & Peltzer, K. (2017) Body mass index and waist circumference in patients with HIV in South Africa and associated socio-demographic, health related and psychosocial factors. *AIDS and Behavior*. February:Online.

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Jonas, K., Crutzen, R., Van den Borne, B., Sewpaul, R. & Reddy, P. (2016) Teenage pregnancy rates and associations with other health risk behaviours: A three-wave cross-sectional study among South African school-going adolescents. *Reproductive Health*. 13:Online.

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Juan, A. & Visser, M. (2017) Home and school environmental determinants of science achievement of South African students. *South African Journal of Education*. 37(1):1-10.

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Manne-Goehler, J., Atun, R., Stokes, A., Goehler, A., Houinato, D., Houehanou, C., Hambou, M.M.S., Mbenza, B.L., Sobngwi, E., Balde, N., Mwangi, J.K., Gathecha, G., Ngugi, P.W., Wesseh, C.S., Damasceno, A., Lunet, N., Bovet, P., Labadarios, D., Zuma, K., Mayige, M., Kagaruki, G., Ramaiya, K., Agoudavi, K., Guwatudde, D., Bahendeka, S.K., Mutungi, G., Geldsetzer, P., Levitt, N.S., Salomon, J.A., Yudkin, J.S., Vollmer, S. & Barnighausen, T. (2016) Diabetes diagnosis and care in sub-Saharan Africa: Pooled analysis of individual data from 12 countries. *The Lancet Diabetes & Endocrinology*. October:Online.

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Manu, E., Maluleke, X.T. & Douglas, M. (2016) Knowledge of high school learners regarding substance use within high school premises in the Buffalo Flats of East London, Eastern Cape province, South Africa. *Journal of Child & Adolescent Substance Abuse*. August:Online.

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Manyaapelo, T., Ruiter, R.A.C., Nyembezi, A., Van den Borne, B., Sifunda, S. & Reddy, P. (2016) The psychosocial determinants of the intention to avoid sexual engagement when intoxicated among young men in KwaZulu-Natal, South Africa. *BMC Public Health*. 16:Online.

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Acronyms and Abbreviations

ADEPTS	Advance – Develop – Enhance – Preserve – Transform – Sustain
ASSAf	Academy of Science of South Africa
AIDS	Acquired Immunodeficiency Syndrome
AISA	Africa Institute of South Africa
ANPPA	Analysis of Non-communicable Disease Prevention Policies in Africa
APP	Annual Performance Plan
APRM	African Peer Review Mechanism
ARC	Audit and Risk Committee
ART	Antiretroviral Treatment
ASTII	African Science and Technology Indicators Initiative
ATR	Annual Training Report
AU	African Union
AYGS	Africa Young Graduate Scholars
BIS	Business Innovation Survey
BMS	Building Management System
CASS	Chinese Academy of Social Sciences
CE	Citizen Engagement
CEO	Chief Executive Officer
CeSTII	Centre for Science, Technology and Innovation Indicators
CGE	Commission for Gender Equality
CONTRALESA	Congress of Traditional Leaders of South Africa
COSO	Committee of Sponsoring Organisations of the Treadway Commission
CPHI	Combination Package of HIV Prevention Interventions
CRO	Chief Risk Officer
CSP	City Support Programme
CVD	Cardiovascular Disease
DBE	Department of Basic Education
DCEO	Deputy Chief Executive Officer
DGSD	Democracy, Governance and Service Delivery
DHET	Department of Higher Education and Training
DMV	Department of Military Veterans
DST	Department of Science and Technology
EAP	Employee Assistance Programme
EPD	Economic Performance and Development
ESD	Education and Skills Development
ETDP	Education, Training and Development Practices
EU	European Union
FDC	Fieldwork and Data Capturing
FTF	First Things First
FWA	Federal-wide Assurance
GERD	Gross Expenditure on R&D
GIS	Geographic Information System



GRAP	Generally Recognised Accounting Practices
HAST	HIV/AIDS, TB and STI
HCT	HIV Counselling and Testing
HEAIDS	Higher Education AIDS
HIV	Human Immunodeficiency Virus
HPCSA	Health Professions Council of South Africa
HSD	Human and Social Development
HSRC	Human Sciences Research Council
IBSS	International Bibliography of the Social Sciences
IEC	Independent Electoral Commission
ILO	International Labour Organization
IP	Intellectual Property
ISSP	International Social Surveys Programme
IT	Information Technology
KPIS	Key Population Implementation Science
LMIP	Labour Market Intelligence Partnership
MOST	Management of Social Transformation
MSA	Multi-sectoral Approach
MSM	Men who have Sex with Men
NACI	National Advisory Council on Innovation
NCD	Non-communicable Disease
NCRST	National Commission on Research, Science and Technology
NEPAD	New Partnership for Africa's Development
NESTI	National Experts for Science and Technology Indicators
NHREC	National Health Research Ethics Council
NHI	National Health Insurance
NRF	National Research Foundation
NSI	South African National System of Innovation
OECD	Organisation for Economic Co-operation and Development
PEP	Public Employment Programme
PFMA	Public Finance Management Act
PHHSI	Population Health, Health Systems and Innovation
PIB	Policy Implementation Barometer
PMSE	Programmatic Mapping and Size Estimation
PMTCT	Prevention of Mother-to-Child Transmission
PSPPD	Programme to Support Pro-Poor Development
R&D	Research and Development
REC	Research Ethics Committee
RARE	Rapid Assessment Response
RIA	Research use and Impact Assessment
RIO	Research Integrity Officer
RMC	Risk Management Committee
SAASTA	South African Agency for Science and Technology Advancement
SABSSM V	Fifth South African Behaviour Sero-Surveillance and Media (Survey)
SADC	Southern Africa Development Community
SAHA	Social Aspects of HIV/AIDS and Health
SAHARA	Social Aspects of HIV/AIDS Research Alliance
SANHANES	South African National Health and Nutrition Examination Study, 2012
SAMRC	SA Medical Research Council
SANAC	South African National AIDS Council



SARETI	South African Research Ethics Training Initiative
SASAS	South African Social Attitude Survey
SETA	Sector Education and Training Authority
SRS/SRM	Senior Research Specialist/Senior Research Manager
SPEED	Supporting Policy Engagement for Evidence-based Decision-making
STI	Science, Technology and Innovation
TB	Tuberculosis
TIA	Technology Innovation Agency
TIMSS	Trends in International Mathematics and Science Study
TMR	Transformation, Modernisation and Reindustrialisation
TRREE	Training and Resources in Research Ethics Evaluation
TVET	Technical and Vocational Education and Training
UCT	University of Cape Town
UISP	Upgrading of Informal Settlements Programme
UKZN	University of KwaZulu-Natal
UNAIDS	United Nations Programme on HIV and AIDS
UNESCO	United Nations Educational, Scientific and Cultural Organization
VfM	Value for Money
WSP	Workplace Skills Plan



Notes

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