

ANNUAL REPORT
2012/2013



20 YEARS
OF DEMOCRACY
AND RESEARCH
EXCELLENCE



A low-angle, close-up photograph of a person's legs and feet sitting on a grassy field. The person is wearing dark blue denim jeans that are rolled up at the ankles. They are wearing high-top sneakers with a vibrant design featuring the colors of the South African flag: green, yellow, red, and white. The sneakers have white laces and white soles. The background shows a clear blue sky and some green foliage, suggesting an outdoor setting. A semi-transparent text box is overlaid on the left side of the image.

**PROUD OF OUR
CONTRIBUTION IN
HELPING TO BRIDGE
THE DIVIDE FOR ALL
SOUTH AFRICANS.**

CONTENTS

Official Signoff	2
ORGANISATIONAL OVERVIEW	5
Message from the Chair	6
Message from the CEO	8
20 Years of Democracy and Research Excellence	10
What We Believe in and Our Focus	42
Our People – HSRC Board and Executive Management	44
Research Outputs 2012/2013	50
GOVERNANCE REPORT	67
Ethical Leadership	68
Sustainability Report	71
HSRC Board	74
The Governance of Risk	78
Legislative Compliance	79
IT Governance	80
Stakeholder Engagement	81
PERFORMANCE AGAINST PREDETERMINED OBJECTIVES	83
Performance Highlights	84
Predetermined Objectives	84
Performance Against Targets 2012/2013	86
Major Variances between Planned and Actual Validated Outputs	96
ANNUAL FINANCIAL STATEMENTS	99
Audit and Risk Committee Report	100
Report of the Auditor-General to Parliament	103
Statement of Financial Position	105
Statement of Financial Performance	106
Statement of Changes in Net Assets	107
Cash Flow Statement	108
Accounting Policies	109
Notes to the Annual Financial Statements	118
HUMAN RESOURCES MANAGEMENT	161
Expenditure	162
Employment and Vacancies	162
Employment Equity	162
Performance Rewards	164
Foreign Workers	164
Leave Utilisation	164
HIV/AIDS and Health Promotion Programmes	165
Labour Relations	165

Official Signoff

It is hereby certified that this integrated annual report:

- Was developed by the management of the Human Sciences Research Council (HSRC) under the guidance of the HSRC Board;
- Takes into account all the relevant policies, legislation and other mandates for which the HSRC is responsible; and
- Accurately reflects performance against the strategic outcome-oriented goals and objectives, which the HSRC committed to achieve over the 2012/2013 period.

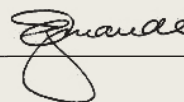
Professor O Shisana ScD
Chief Executive Officer

Signature:



Mrs P Nzimande
Chair of the Board
Accounting Authority

Signature:



SCOPE AND BOUNDARY OF THE INTEGRATED ANNUAL REPORT

This report covers the activities and results of the HSRC for the period 1 April 2012 to 31 March 2013. The HSRC Integrated Annual Report is prepared in compliance with the Generally Recognised Accounting Principles (GRAP), the requirements of the Public Finance Management Act, Act 1 of 1999 (as amended by Act 29 of 1999) (PFMA) and the recommendations of King III. Management has also considered the guidelines published by the Integrated Reporting Committee of South Africa. This report aims to assist stakeholders in their assessment of the HSRC's ability to create and sustain value.

The *HSRC Annual Report 2012/2013* is now also available as an e-book on your tablet or smartphone.

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Message from the Chair



It is that time of the year when the HSRC takes stock of its performance. I am pleased to report that it has been a successful year for the HSRC in terms of performance and governance. The board and its committees successfully kept institutional oversight. The board can only function optimally when its members fulfil their duties with due diligence. I thank my colleagues for their dedication and the HSRC administration and committees for always ensuring that the board is provided with adequate information on time to ensure informed decision-making throughout the year.

One of the major functions of the board is to monitor the performance of the HSRC. The board needed sufficient and relevant information to assess the organisation's performance against its strategic goals, and to keep abreast of and influence the strategic direction of the organisation. Executive management always provided the information that enabled the board to perform its job adequately.

The board worked in a coherent manner to provide strategic oversight in fulfilling its legal and policy mandates. It was able to achieve this because

it effectively defined its role and responsibilities prioritising core activities for review on a regular basis. It also took into account the needs of the country when deciding on strategic matters.

The separation of responsibilities between the board and management, in addition to having competent and qualified staff, has contributed to the success of the HSRC. The board operated as a governing instrument, ensuring at all times that management was given space to focus on daily activities, and further provided broader guidance to management through the review of policies and strategic direction of the HSRC. The relationship between the board and the CEO together with her executive team has been positive and has added to the efficiency of the organisation.

Not only did the board function well with management, it also functioned harmoniously with its major stakeholder, the Ministry and Department of Science and Technology. It was always represented in relevant meetings called by the executive authority, the minister of Science and Technology, and I take this opportunity to thank Minister Derek Hanekom and the Director-General Dr Phil Mjwara for their ever-reliable support.

In fulfilling its governance oversight function, the board received adequate information from management to effectively monitor the operational and financial performance, integrity of the processes involved and the organisation's system of internal controls. It was pleasing that the HSRC exceeded the external target of R147 million set for the year and generated R179 million in research revenue. The organisation's target of multi-year grants secured was also achieved (51.56% of research grants), ensuring the HSRC's continued financial sustainability. The R396 million that the HSRC secured from the parliamentary grant and external sources was used appropriately, judged by very positive audit findings, specifically in the area of supply chain management where the auditor-general highlighted only one audit deficiency, a decrease from four in the previous year. The HSRC implemented controls to ensure full compliance with the Preferential Procurement Policy Framework Act, further attesting to the HSRC's ability to procure services in line with the set treasury regulations, and achieved principles of efficient, economic and effective competitive sourcing.

The board executed its responsibility of ensuring that an appropriate risk management process is in place to identify and manage current and emerging risks

to achieve its strategic goals and objectives, and to ensure compliance with all applicable legislation and prescripts.

During the financial year under review, the board has adopted an enterprise-wide risk management strategy which includes the HSRC's risk management policy and a framework by which management identifies, evaluates and prioritises risks and opportunities across the organisation; develops risk mitigation strategies which balance benefits with costs; monitors the implementation of these strategies; and periodically reports to the board on those results. Risk mitigation strategies include the implementation of systems of internal controls, which, by their nature, are designed to manage rather than eliminate risk. The board considered strategic risks when they formulated strategy, approved budgets and monitored progress against business plans. During the year under review, the HSRC achieved level-5 risk management

maturity level, in terms of the National Treasury Financial Management Capability Maturity Model and endeavours to maintain a risk-aware culture by ensuring that appropriate infrastructure, controls, systems and people are in place throughout the organisation. Furthermore, the board approved the risk assessment report for the top risks presented in the Strategic Plan 2013/2014 – 2017/2018 and the Risk Management Plan for the financial year, 2013/2014. In addition to its statutory risk management responsibilities, the board continues to drive the principles of ethical leadership, monitoring the effectiveness of the HSRC's anti-corruption strategy.

Again, I wish to thank the minister of Science and Technology and his director-general for their unflinching support. The leadership of the CEO and her executive management is also highly appreciated in steering the HSRC to achieve most of their predetermined objectives.

Message from the CEO

I am delighted to present this year's *HSRC annual report*. In terms of the HSRC Act, the primary purpose of this research council is to conduct research that serves the public, contributing to good governance and public service delivery, and helping to address the challenges of poverty and inequality. Indispensable in this effort is partnership with our stakeholders including government, civil society, academic institutions, scientific bodies and funding agencies. Since 1994, the HSRC has increasingly drawn strength from collaboration with partners across the globe.

Effective governance and management are crucial to organisational performance, and the HSRC has been privileged to have a highly supportive and dedicated board, that understands its role and promotes excellence. Like all successful research organisations around the world, the HSRC is a living organism that continually reviews and renews its operational capacity for greater effectiveness. Accordingly, the financial year under review witnessed the streamlining and strengthening of the HSRC's executive management structure with the appointment of new key senior executives in finance, human resources and operations. Because of the combination of superb governance and highly effective collective executive management, the HSRC was enabled to be a highly performing statutory council in 2012/2013.

For this year's report, we have chosen the theme '*20 years of democracy and research excellence*' to celebrate the transformation and achievements of the 'new' HSRC since the advent of democracy in 1994. It is now proper to recall the origins of the HSRC, which was established in 1968 with the express purpose to generate quasi-scientific justification for the race-based social policies of the apartheid regime. Today, the HSRC is dedicated to conducting research focussing on national development priorities encompassing poverty eradication, economic development, education, skills development and the elimination of discrimination and inequality. This annual report contains a dedicated chapter on the HSRC's endeavours over the last 20 years. The chapter is presented in two sections, one that reflects on the strategic changes during these two decades and the other that reviews research conducted in the context of the HSRC's motto, 'social science that makes a difference'. The chapter highlights the growing visibility and 'value add' of the HSRC research to development priorities of the country.



A major development of note in the past year is the HSRC's incubation of the BRICS (Brazil, Russia, India, China and South Africa) Think Tank. Working closely with the Department of International Relations and Cooperation (DIRCO) and the Department of Higher Education and Training (DHET), the HSRC hosted representatives of think tanks from the five countries and successfully facilitated the establishment of the BRICS Think Tank Council and the signing of a declaration to form a platform for the exchange of ideas among researchers, academia and think tanks. The members of the Council are Institute for Applied Economic Research (IPEA), Brazil; National Committee for BRICS Research (NRC/BRICS), Russia; Observer Research Foundation (ORF), India; China Centre for Contemporary World Studies (CCCWS), China; and the HSRC. We look forward to working closely with these institutions and academics and other stakeholders in the five countries to craft a long-term vision for BRICS.

As has been the practice in previous years, the HSRC set itself pre-determined performance measures and quantifiable performance targets for the reporting period clustered under six headings: (a) knowledge advancement (peer-reviewed publications, policy briefs, collaboration, public communications); (b) contribution to development and social progress in Africa; (c) enhancement of a skilled and capable workforce; (d) preservation and archiving of research data as a resource for future use by researchers

and other users; (e) contribution to the on-going institutional transformation; and (f) development and implementation of strategies for financial sustainability.

Institutional performance review for the reporting period shows that the HSRC has met and exceeded the performance targets in respect of all, but two of the specified indicator categories. The HSRC continued to contribute new knowledge (as detailed elsewhere in this report) through peer-reviewed publications in the form of journal articles, books and book chapters, all of which have added to knowledge resources used by scholars and policymakers locally and internationally. The quarterly publication, the *HSRC Review*, designed to disseminate research outcomes in popular format, has grown from strength to strength and continues to be highly valued by the public readership. The HSRC Press, the largest non-profit academic press in South Africa and arguably the continent, continues to serve the broader academic community by publishing ground breaking scholarly works in a wide variety of disciplines. The latest edition of the flagship publication, the *State of the Nation*, which has become a valued source globally of authoritative analysis of and commentary on the state of governance and development in South Africa, was put together during this reporting period.

Worthy of mention in this message are two nation-wide surveys and one programme of work conducted by the HSRC with a potentially huge impact on public policy and planning. The 4th HIV Household Survey 2012, also known as the South African National HIV, Behaviour and Health Survey (SABSSM-4), was conducted in the year under review. This series of surveys, focussing on the state of the HIV/AIDS epidemic in respect of prevalence, attitudes and practices, has gained international standing, with its results finding application in national as well as international policy formulations, guidelines (for example of WHO and UNAIDS), and intervention planning. The second survey, launched in the reporting year, is the collection of data for the first South African National Health and Nutrition Examination Study (SANHANES-1) 2012. SANHANES, modelled on a proven formula in the US, focusses on the nature, extent and social determinants of health outcomes and will generate valuable data for designing prevention strategies. Finally, the programme of work in the Labour Market Intelligence Partnership implemented in the reporting period aims to set up systems for reliable data indicating skills needs, supply and demand in our labour market allowing South Africa to plan better for

human resources development. These three projects are illustrative of the solution-oriented nature of the research undertaken at the HSRC, aimed at producing outcomes that have direct utility in addressing critical social challenges.

In the context of the Department of Higher Education and Training Charter for the humanities and social sciences and the subsequent proposal for a National Institute for Humanities and Social Sciences (NIHSS), the HSRC made special efforts to reinvigorate its humanities related work. One example was the international conference on the *Re-emergence of Astronomy in Africa* – a transdisciplinary interface of knowledge systems, which brought scholars in astronomy into dialogue with scholars from the humanities and the social sciences. The conference was also an HSRC contribution to the celebration of the awarding of the SKA to South Africa and eight fellow African countries.

Finally, whereas the HSRC has always been in good financial health, concern was often expressed regarding the imbalance between public financial support and privately secured funding, with the latter significantly exceeding the former. Notably, the last 5-year institutional review urged the HSRC to strive for increased public support to ease the burden on the organisation to secure external funding. This balance was achieved during the year under review, with government allocation exceeding externally sourced funding. Overall, however, there was an increase in both public and external income, resulting in a record-breaking total income of nearly R400 million. The HSRC has continued to exercise good stewardship of its resources with little or no substantive adverse comment by the auditor-general.

None of the success we achieved would have been realised without the support and guidance of the HSRC Board, chaired by Mrs Phumelele Nzimande. The unstinting support of the former Minister of Science and Technology, Mrs Naledi Pandor and the current Minister of Science and Technology, Mr Derek Hanekom, as well as of the Director-General Dr Phil Mjwara and his staff at the Department of Science and Technology is sincerely appreciated. The HSRC is grateful for the funding and other support received from various government departments, local as well as international funding agencies and development partners. The staff and its CEO are humbled by the trust invested in the HSRC by all donors and grant providers.

20 Years of Democracy and Research Excellence

This annual report celebrates 20 years of research from the 1993 pre-democratic period to 2013, reflecting on the organisation's role in improving people's lives.

This is presented in two parts, *HOW FAR WE'VE COME* – a reflection on the strategic changes during these two decades, *WHERE OUR RESEARCH MADE A DIFFERENCE* – highlights significant studies that advised policy and aimed to make a difference.

How far we have come

THE YEARS 1993 – 1999

In 1993 with the looming end of apartheid and the birth of our democracy, the HSRC was in disrepute because some of its previous work had provided intellectual support for apartheid. Association with the apartheid government and policymakers had tarred the reputation of the HSRC. There was a gulf between researchers at universities interested in research for social change, and many of the researchers at the HSRC. It was common in the public arena to question the organisation's research in terms of contributing to bringing about positive social change. The founding HSRC Act of 1968 had allowed for the classifying of research supporting apartheid.

During the 1990s, the HSRC had five presidents (today called CEOs) – two of these were appointed in acting positions in the absence of full-time presidents – and three Councils (today called Boards).

After Dr Tjaart van der Walt – the last ministerially-appointed president – left the HSRC in 1992, Dr HC (Bok) Marais served as acting president. Dr Rolf Stumpf was subsequently appointed and served as president between January 1993 and August 1998. Unsuccessful attempts by the HSRC Council to fill the vacant position led to the appointment of Dr Jan Beukes in an acting position (1998-1999), and thereafter Dr Mokubung Nkomo as interim president (1998-2000) – the first black African president of the HSRC. Given the imminent appointment of a new HSRC Council in 1999, Dr Nkomo was appointed for a reduced term of only one year. A new Council, which took office under the leadership of Professor Jakes Gerwel in November 1999, would take as one of its first tasks, the recruitment of a new president and CEO.



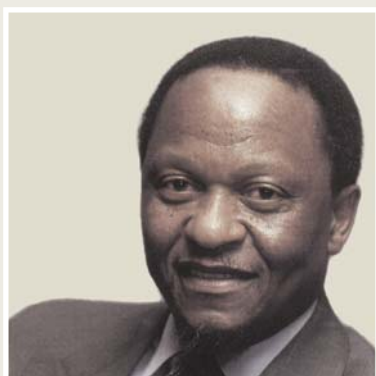
Professor Tjaart van der Walt, HSRC President, July 1989-August 1992 (3 years 2 months), the last ministerially appointed president of the HSRC.



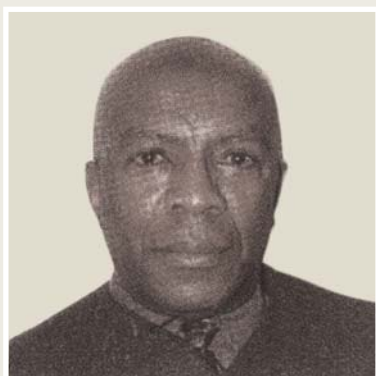
Dr Rolf Stumpf, HSRC President, 1993 – 1998.



Dr Jan Beukes,
(acting President).



Professor Njabulo Ndebele,
HSRC Chair.



Dr Mokubung Nkomo,
(interim President) 1998 – 2000.

In terms of institutional governance, the HSRC Council led by Professor Pieter de Lange stood back before its term expired, to make way for a more representative Council appointed from 1 November 1995 under the chairmanship of Professor Njabulo Ndebele. Professor Ndebele resigned from the Council in 1998 and the Council was then led by Mr Michael O'Dowd. On 1 November 1999, a new council, led by Professor Jakes Gerwel, took office for a period of four years, which was later extended by another year. This Council benefitted from continuity and renewal, with Professor Gerwel and a few other members serving for second terms. It is under their strategic leadership that the new HSRC Act was promulgated in 2008.

The next governing body of the HSRC, the HSRC Board, was constituted in 2009 according to requirements set in the new Act, and is led by Mrs Phumelele Nzimande.

The 1990s were turbulent and difficult times for the HSRC. Severe cuts in baseline (core) funding led to a series restructuring/retrenchment exercises and the loss of some of its best researchers. For example some areas of applied research that were previously regarded as core competencies and sources of secure funding were no longer viable. This was the case with the HSRC's work in the areas of the development, application and sales of psychometric and edumetric tests. The use of these tests to discriminate and exclude, based on the application of culturally biased instruments, led to the discontinuation of large government contracts in the area of education.

The HSRC was regarded with distrust by the post-apartheid democratic government. It had to rebuild its reputation as a public research organisation by undertaking research that served the public good and 'made a difference' in the lives of the majority of the people of South Africa.

Following the publication of the 1996 White Paper on Science and Technology, the Department of Arts, Culture, Science and Technology (DACST) introduced a series of institutional reviews of Science, Engineering and Technology Institutions (SETIs) in 1997, followed by a system-wide review in 1998.

The institutional review panel of 1997 concluded that the HSRC was an inward-looking organisation, with a research focus that did not correlate with national priorities and a demographic profile that did not reflect the society in which it operated. In addition there was little evidence of research excellence with very few publications having gone through a peer-review process.

The 1997 review panel also advised that major staff changes were needed and that the organisation should reflect on its competencies. These were scientific research, data and information for policy development at all levels dealing with many socioeconomic, political and institutional transitions that were taking place in South Africa. Emphasis should also be on scientific evidence, collaboration and coordination with social scientists in other institutions.

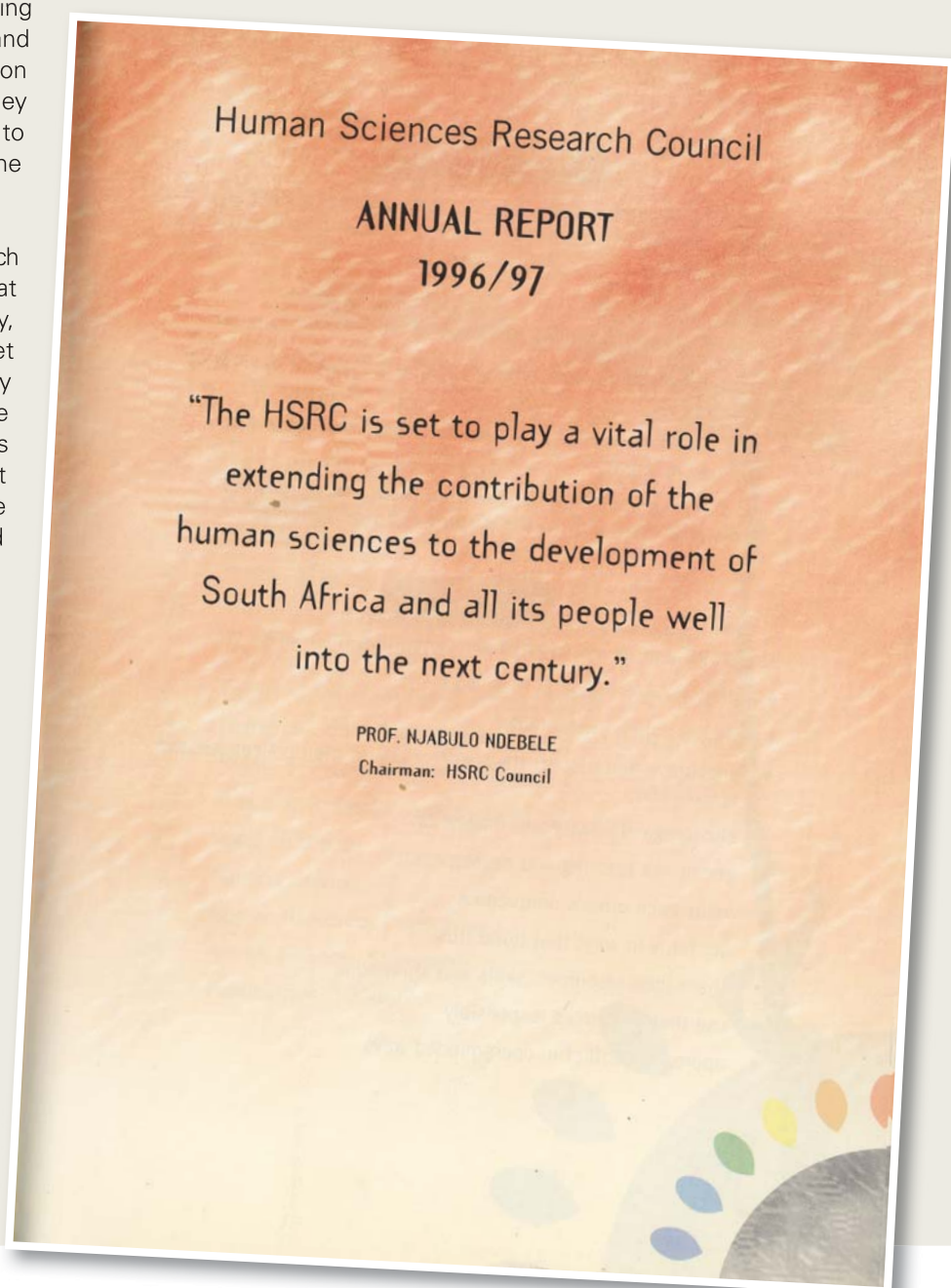
The 1998 system-wide review similarly recommended radical changes in terms of the overall management and governance of the HSRC.

The Presidents of the HSRC during this period – Dr Stumpf, Dr Beukes and Dr Nkomo – had to steer the organisation through these difficult times. They realised that the organisation had to respond to the new priorities of the country.

Apart from reviewing the research agenda of the HSRC, to ensure that it reflected priorities of the country, they also had to respond to budget cuts that affected the financial viability of the organisation. Throughout the 1990s, so-called 'non-core' functions were discontinued: the HSRC's print and publishing facility, some service centres such as the Centre for Child and Adult Guidance, and the HSRC's in-house survey arm, MarkData. The latter was re-established as a private entity by retrenched employees who were given the opportunity to do so. Throughout the 1990s, in response to budget cuts, Dr Stumpf, Dr Beukes and Dr Nkomo oversaw at first voluntary and later non-voluntary retrenchments that downsized the research component of the organisation.

In 1998, with the establishment of the National Research Foundation (NRF), a major component of the HSRC's hitherto agency function of funding research in the social sciences and humanities, and building research capacity for

the social sciences and humanities was transferred from the HSRC to the NRF. These research funding and capacity building functions for the entire social sciences and humanities sectors in the country had been housed in the Centre for Science Development (CSD) at the HSRC. The CSD was responsible for making research grants to universities and individual researchers; the provision of research training which included running a methodology winter school and the production of a book series on research methods; the awarding of bursaries to students; and international collaborations. The transfer of the CSD to the newly established National Research Foundation significantly reduced the HSRC's mandate and funding.



THE YEARS 2000 – JULY 2005

In 2000, Dr Mark Orkin, the new president and chief executive officer, transformed the organisation with a new strategic vision marked by three main trends: the downsizing of the administrative component of the organisation; the decline of the Parliamentary grant; the systematic rebuilding, and improved representivity and orientation towards its dominant research function. The new strategic focus was to obtain research contracts, reach out to universities and other relevant organisations, understand user needs, and improve performance and equity.

The uncertainty and declines in public funding during the first five years of the post-apartheid era led to a steady exodus of research staff. Whereas in 1997 research staff constituted 52% of the total staff complement of the HSRC by early 2001 this percentage had dropped to 30% (60 researchers and 141 support staff). In order to change this ratio, retrenchments focussed on support staff were implemented. Three research groups were reconfigured to form new research programmes that were more closely aligned to national priorities and client needs. New executive directors for the research programmes were appointed who had excellent research track records; demonstrable leadership and entrepreneurial skills, and strong networks with both potential funders and policymakers. In addition, HSRC offices were opened in Cape Town and Durban to accommodate researchers who were recruited from these areas.

Where the institutional review panel of 1997 found the HSRC to be isolated with limited finance, lacking evidence of research and few publications benefitting from a peer-review process, the next institutional review of 2003 found the HSRC of 2003 to be a different and much better organisation. It had earned respect for the quality and relevance of its social science research.

One of the recommendations of the 2003 institutional review panel was that the transformation of the organisation needed to be deepened, especially in respect of the gender and racial representativeness of staff at senior levels, the responsiveness of the



Dr Mark Orkin.

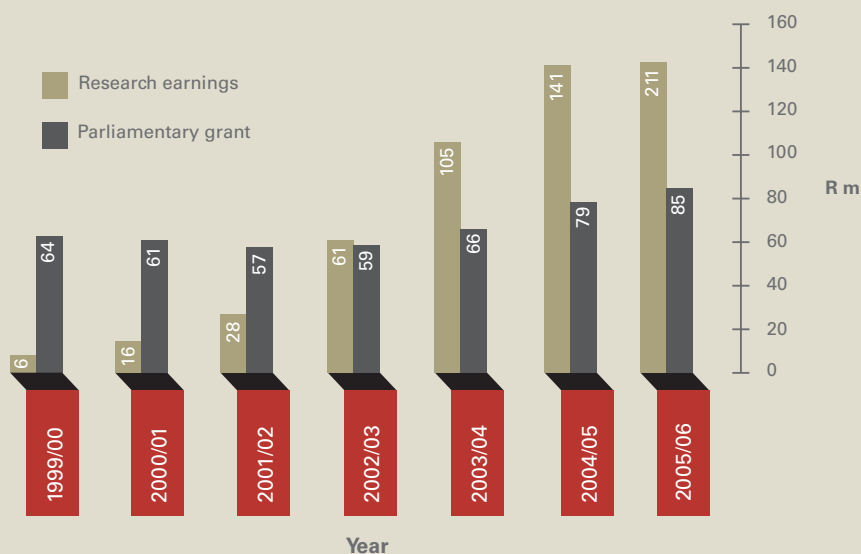
organisation to the research needs of people living in poverty and on the margins of society, and the multimedia communication of research findings in ways that accommodate the diversity of South African society.

When Orkin's contract ended in 2005, he summarised the achievements of the organisation as follows: 'In essence, we have roughly tripled our activity in three key respects: our expenditure on research has soared to R230 million per annum; our research complement has grown to approximately 140 social scientists plus 30 interns; and our scientific output has improved to 0.8 journal articles per researcher (0.6 adjusted for multiple authorship), ahead of the figure for social science at distinguished South African universities. During this period we also became majority-black, and improved our qualifications profile.'

Figure 1: Research earnings versus Parliamentary grant (in nominal rands)

The Parliamentary grant, assigned in terms of the government's Medium Term Expenditure

Note: Ring-fenced Parl. amounts included with research earnings



The appointment of academic and entrepreneurial executive directors; the establishment of HSRC offices in Cape Town and Durban; and the strategy of unequivocal user-orientation by responding to the social-research needs of public-sector users had brought about this turnaround. The strategy also focussed on acquiring research contracts and grants, an outreach to collaborators, performance and excellence in scientific publications and academic qualifications.

The topical focus of the research was on poverty, unemployment, skills shortages, substandard education, rural under-development, urban renewal, HIV/AIDS, fragile families, and uneven service delivery.



Expanding geography: Dr Mark Orkin, Professor Olive Shisana, the then Minister of Science and Technology Dr Ben Ngubane, and HSRC Chair Professor Jakes Gerwel at the opening ceremony of the HSRC's Cape Town office.



The A Team: In 2001 the executive management team were from left: Dr Meshack Khosa, Mr Mike de Klerk, Dr Andre Kraak, Professor Olive Shisana, Dr Anil Kanjee, Professor Linda Richter and CEO Dr Mark Orkin.

The organisation could now strengthen support services and systems, improve gender and race transformation at senior levels, respond to the research needs of poor communities and groups; communicate research findings to the public; engage data preservation and intellectual property; and make a public purposes statement through amendments to the HSRC Act.

THE YEARS JULY 2005 – PRESENT

In 2005, the HSRC Council appointed Professor Olive Shisana as the first woman to lead the HSRC. Her vision was for the organisation to be strategic in its selection of research, driven by strong public purpose and national priorities rather than by funder agendas.

The pace of the implementation of the recommendations of the 2003 institutional review panel accelerated after 2005. In order to foster increased collaboration with other African countries through research projects and partnerships, a memorandum of understanding was signed with the Council for the Development of Social Science Research in Africa (CODESRIA). In addition, various research programmes established research networks with partners from various countries on the continent, for instance the Social Aspects of HIV/AIDS Research Alliance (SAHARA) which has partners in West, East and Southern Africa. In order to increase the scope and intensity of the HSRC's international collaborations an International Liaison unit was re-established in the Office of the CEO.

Four further developments were outcomes of the 2003 review – firstly, the establishment of a cross-cutting Gender and Development unit to ensure gender mainstreaming in the organisation. The activities of the unit encompassed both research and training programmes for HSRC staff. Secondly, the introduction of advisory 'implementation networks' as a requirement for all large research projects undertaken by the HSRC as a way of ensuring that the needs of all relevant stakeholders were taken into account in research design, execution and implementation of the recommendations of studies. Thirdly, the further development and deployment of the Research Management System (RMS) and the performance appraisal system. The RMS recorded and enabled access to information about income and expenditure, the progress of research projects against specified milestones, and research outputs. The performance appraisal system was aligned to strategic organisational objectives and performance targets were cascaded to all staff. Fourthly, increased investment in research infrastructure with the implementation of e-library services that allowed remote access to the HSRC's catalogue and databases of full-text journal articles.



Professor Olive Shisana, August 2007.

On 5 December 2008, the new HSRC Act came into operation. This promoted human science research of the highest quality to improve the understanding of social conditions and social change; and to engage with members of the human sciences community.

The success of the HSRC is also attributable to the way the board manages its relationship with the executive management. Unlike in some of the state entities where the role of a board and that of management are blurred, leading to conflict and frequent change of chief executive officers, the HSRC Council and later board focus on their strategic oversight role, delegating operations to management and always on tap when needed. The tenure of Professor Jakes Gerwel who served as a chair of the Council from 1999 to 2009 set a tone in defining the role of the Council vis-a-vis that of management, which was also adopted by the new chair of the newly constituted board, Mrs Phumelele Nzimande. Consequently the organisation operates in a steady environment which contributes to productivity.



Sealed with a handshake: New Minister of Science and Technology Mosibudi Mangena and HSRC Chair Professor Jakes Gerwel following the signing of the Shareholder's Compact between the HSRC and the Minister in 2008.

THE YEARS 2009 – 2013

New strategic and business plans, starting with the 2010/2011 budget year deviated from previous plans in that they strongly emphasised coordinated national planning, resource allocation and performance management.

In 2009, the government announced its Medium-Term Strategic Framework (MTSF) that defined national development priorities for the next five-year period. The 2009 MTSF highlighted ten national priorities, all of which were strongly aligned with development challenges reflected in the HSRC's research agenda. Another major development was the publication of DST's ten-year innovation plan in 2008, which identified 'Human and Social Dynamics' (HSD) as one of the grand challenges that needed to be addressed through research and development. One of the objectives set for the HSD grand challenge, was for South Africa to be recognised as a knowledge hub on social sciences in Africa, which aligned to the HSRC's vision. This made it easy to incorporate the proposed focus areas in the new strategic and business plans of the HSRC.

In response, the HSRC identified six strategic goals that relate to national priorities, global developmental goals, the grand challenges and the mandated objectives of the HSRC. These included:

- To advance knowledge of the social sciences and humanities for public use global knowledge dissemination;
- To contribute to development and social progress in Africa through research partnerships with other researchers in Africa;
- To contribute to the enhancement of a skilled and capable workforce locally and continent-wide;
- To preserve datasets collected by the HSRC and share it with others;
- To transform the staff component at senior level to reflect the demographic composition with respect to gender and race; and
- To achieve financial sustainability for the organisation.

In addition the HSRC reorganised its research into six research programmes namely, Population Health, Health Systems and Innovation; Economic Performance and Development; Education and Skills Development; HIV/AIDS, STIs and TB; Human and Social Development; and Democracy, Governance and Service Delivery.



Annual Report 2009 breakfast launch: Minister of Science and Technology Naledi Pandor with CEO Professor Olive Shisana.



HSRC Institutional Review 2010: Mrs Jurina Botha, HSRC Secretariat, shares documents with the 2010 institutional review panel member Mrs Mangwashi Victoria "Riah" Phiyega.

WHERE WE ARE TODAY

The processes of the last two decades resulted in considerable progress. The organisation implemented turnaround strategies, taking it from near demise to becoming the strong, financially stable organisation it is today, with its reach, relevance and impact receiving international recognition. Strategic planning and performance management, supported by very specific indicators and targets, played a key role in enabling and ensuring these accomplishments.

Publication record

Today, the HSRC can boast a significant publication record in international accredited journals, setting the organisation in the scientific forefront. For example, in the year 2011/2012, 57 senior researchers published 96 articles in international accredited journals. In this past financial year 65 senior researchers publishing 115 articles in international accredited journals, exceeded the previous benchmark.

In the 2012/2013 financial year, HSRC researchers produced 17 books and chapters in books published by HSRC Press, 33 books and chapters in non-HSRC published books, 143 peer-reviewed journal articles, 33 non peer-reviewed journal articles and 22 client and other research reports.

Capacity development

We also trained young researchers through a programme for Master's, doctoral and postdoctoral interns. At the end of the 2011/2012 financial year, there were 38 Master's trainees, 38 PhD trainees, and the number of postdoctoral fellows, or research associates, was 17.

Transforming the staff component

The HSRC has deepened its transformation in terms of gender and overall representivity at senior levels. In terms of senior research staff, it is important to note that African senior researchers currently stand out as the best-qualified group in this category. The CEO, Professor Shisana, has stated in this regard that: 'The publication record indicates that to bring on board more black Africans did not lower the standard as feared, but indeed raised the bar, building the leaders in research of tomorrow.'

National System of Innovation

Social sciences play a significant role in the South African National System of Innovation (NSI) and in addressing developmental issues relevant to South Africa, the African continent, and the world.

The HSRC is competent to advance this role in the NSI and its mandate is complementary to the contributions of other NSI roleplayers. The history of the HSRC demonstrates the importance of the symbiosis between research and evidence-informed policy-making, but also the need for a careful balancing act between independence and accountability.

Global player

The HSRC has received global recognition for various aspects of its research activities. The international research and policy community recognises the HSRC for its work in HIV/AIDS. The organisation is a UNAIDS Collaborating Centre on HIV Prevention Research and Policy. The global collaboration with UNAIDS involves the use of strategic information in developing regional policies. At a national level the collaboration involves working with the UNAIDS Country Office in South Africa to improve the monitoring, evaluation and reporting of the epidemic at national and provincial levels.

In March 2013, the government's appointment of the HSRC as an incubator for the South African BRICS Think Tank confirmed the organisation's role in global research and policy formulation. Working closely with the Departments of Higher Education and International Relations and Cooperation, the South African BRICS Think Tank's main role is to conduct evidence-based policy analysis aimed at informing the long-term strategy of BRICS. This entails consultations with academics, policymakers and non-governmental organisations.

The CEO, Professor Shisana, has also chaired many global committees and organisations in the last financial year. These include: the South African BRICS Think Tank, the BRICS Think Tank Council, the International Social Science Council (ISSC) and the Global HIV Prevention Working Group. In conjunction with the ISSC and the Council for the Development of Social Science Research in Africa (CODESRIA) the HSRC will host the World Social Science Forum III in Durban in 2015. Professor Shisana will also co-chair the Global AIDS Conference, which will be held in Durban in 2016.

The HSRC also undertakes research projects funded by international development agencies and research/academic institutes; these include the US-based National Institutes of Health, the universities of Connecticut, California, Kentucky and Pennsylvania, the competitive sixth and seventh European Union research framework programmes.

The HSRC is also involved in project collaborations with nearly all South African universities, thus fulfilling its mandate of fostering research collaboration, networks and institutional linkages within the human sciences research community.

Challenges

The key challenges and questions that the organisation faces pertain to the longstanding and multi-dimensional issue of building up the HSRC's resource base. These relate to optimal levels of different kinds of funding; the costs of compliance; meeting mandated objectives in the new HSRC Act; and of maintaining a national presence. It also relates to how best to source and apply for funding earmarked for innovative research and research in neglected areas including the humanities. These questions also relate to finding the correct balance between the proportions of research and support staff. The HSRC will be addressing these questions as it continues its current phase of consolidation.



Dr Heide Hackmann (right), Secretary General, International Social Science Council (ISSC). ISSC discusses the 2010 World Social Science report. To her right is Professor Adam Habib, of the University of the Witwatersrand, and Dr Temba Masilela, Deputy CEO of Research at the HSRC. Professor Olive Shisana is the current president of the ISSC.

Where our research made a difference

Research is the core of the organisation. We therefore provide an overview of the relevance, reach, and quality of the HSRC's research over the past 20 years.

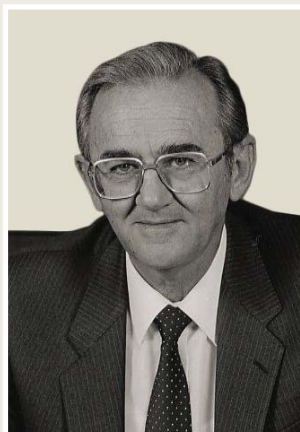
NATIONAL RESEARCH PROJECTS 1990 – 2000

During this period the HSRC was not on par with world-class organisations. Its focus on smaller, community-based projects did not lead to impact on policy or programme development. Cuts in funding reduced the organisation's ability to collaborate with external counterparts. Its reputation of association with the previous apartheid government made the HSRC an undesirable research partner of choice.

Nevertheless, the HSRC undertook a number of important projects:

A number of national research programmes launched in the 1980s continued into the 1990s following the acceptance of the South African Plan for Research in the Human Sciences produced by the HSRC. These included the Education Research Programme and the Programme on Affordable Social Security. With limited funds, a number of important studies were coordinated:

- Important work on education and training related to a national skills strategy, which contributed to the introduction of the National Qualifications Framework (NQF). This includes the formation of a single ministry of education for all population groups and the right of universities and technikons to admit students regardless of race.
- HSRC was a leading organisation during this period in terms of geo-spatial mapping and planning. The Education Research Programme mapped all the public schools in the country. This was the first round of the School Register of Needs (SRN), which now forms the backbone of infrastructure planning in the basic education sector. The HSRC assisted in the same way with the mapping of police stations and crime statistics.



JP (Pieter) de Lange, head of the HSRC commission that recommended the formation of a single ministry of education for all population groups and the right of universities and technikons to decide for themselves who should be admitted as students, regardless of race.



Police Commissioner Jackie Selebi receives the report on the mapping of police stations and crime statistics from Dr Mark Orkin. The geo-spatial mapping unit, headed by Mr Craig Schwabe (right), compiled the report

- The Affordable Social Security programme touched on various areas of work, namely affordable support for children whose parents died of AIDS, affordable community healthcare and harnessing indigenous knowledge in planning for social security.
- Work done by the Centre for Gerontology Research, co-hosted by the UCT informed the support, nutrition and health-related needs of the elderly, the disadvantaged and farm communities.
- A research centre focussing on constitutional development informed the development of the Interim Constitution. Conferences hosted by the Centre for Constitutional Analysis, and publications edited by the centre, attempted to bring together various perspectives on future developments.
- The programme on research methods hosted by the National Research Foundation (NRF) produced seminal publications that social scientists regard as key resources.

THE NEW ERA: RESEARCH 2000 – 2013

During this period the HSRC concluded literally hundreds of projects, most of them aligned to national development priorities. Here we present a selection to serve as evidence of the relevance thereof, divided into the following thematic areas:

- DEMOCRACY AND GOVERNANCE
- ECONOMIC GROWTH AND EMPLOYMENT CREATION
- IMPROVING EDUCATION QUALITY
- HEALTH OF THE NATION
- COHESIVE AND SUSTAINABLE DEVELOPMENT
- SCIENCE FOR GROWTH
- RESEARCH DISSEMINATION

Democracy and Governance

South African Social Attitudes Surveys (SASAS)
(2003 – 2013)

Since 2003, the HSRC has conducted the national and cross-sectional SASAS survey every year. The series celebrated the completion of its 10th annual round in 2012.

SASAS' primary aim is to research changes in public attitudes in South Africa, understand how these attitudes compare with those in other countries and to achieve recognition for reliable attitudinal measures to complement existing behaviour indicators of national wellbeing.

The surveys provide feedback on the change in public perceptions. SASAS is a tool for monitoring social, economic and political values among South Africans. It is also a predictive mechanism informing decision- and policy-making processes.

Examples of important public perceptions and attitudes were, among many others, attitudes towards nuclear technology; corruption; race relations; service delivery; and distrust of trade unions.

With respect to its impact, SASAS is playing an ever increasingly pivotal role in the policy domain, with SASAS data used for:

- The Presidency's macro-social review (PCAS 2006) and 15-Year Review (2009);
- The development of a social cohesion barometer for the EU-Presidency Programme to Support Pro-Poor Development (PSPPD) that is being used as input for the national social cohesion strategy;



- The determination of energy poverty and energy-related behaviour for the Department of Energy; and
- As a source of empirical evidence on financial literacy to help shape the national consumer financial education strategy being prepared by National Treasury. The Presidency also intends to draw on SASAS for the forthcoming 20-Year Review.

Key perennial topics based on SASAS data were published in the *HSRC Review* and are available at www.hsrc.ac.za

Some examples of recent findings from SASAS surveys are in the following figures:

Figure 2: Distrust in the trade unions: SASAS 2011 and 2012 data

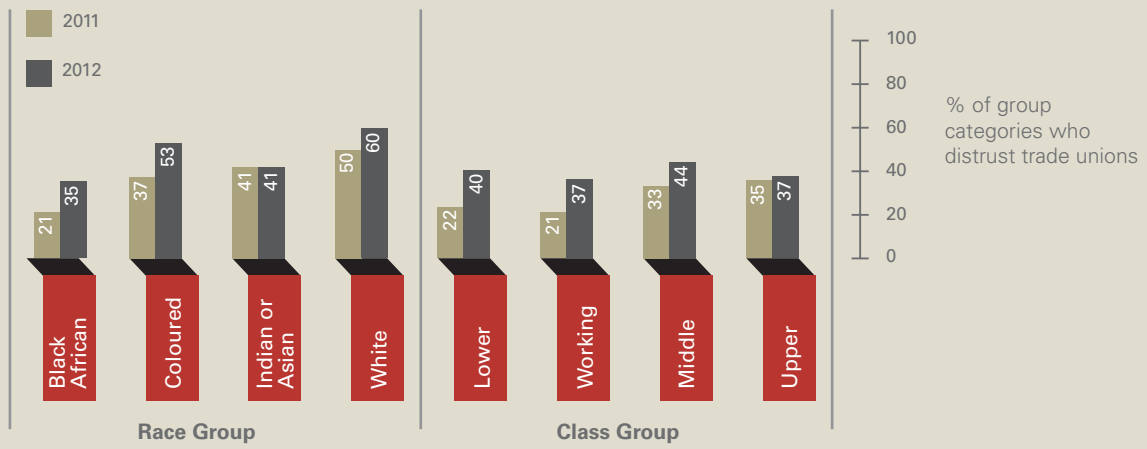


Figure 3: Fear of racial marginalisation in South Africa, 2011

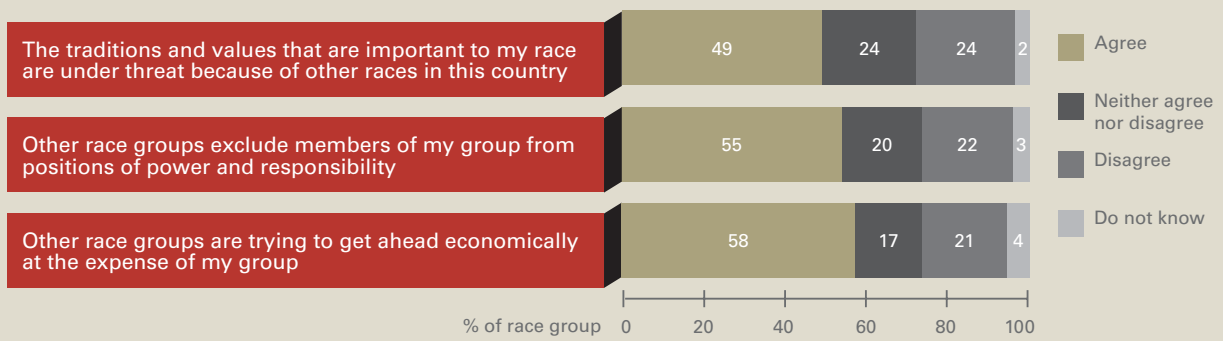
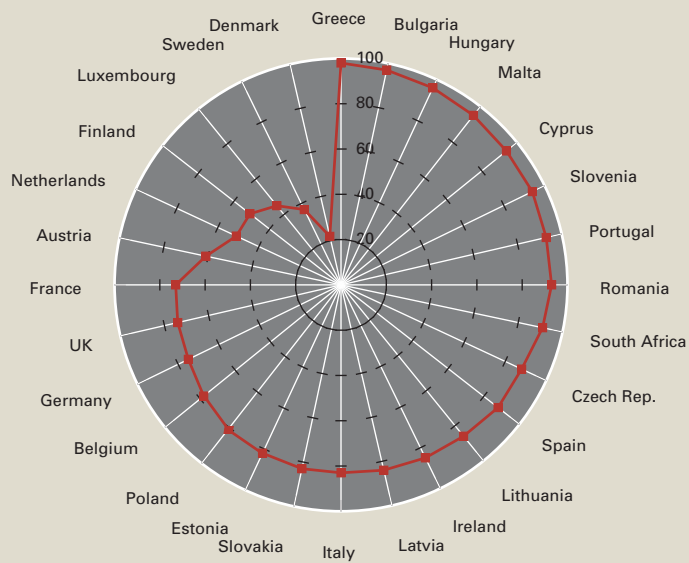


Figure 4: Percentage reporting corruption as a societal problem in South Africa and Europe



ANALYSING THE STATE OF THE NATION (2003 – 2013)

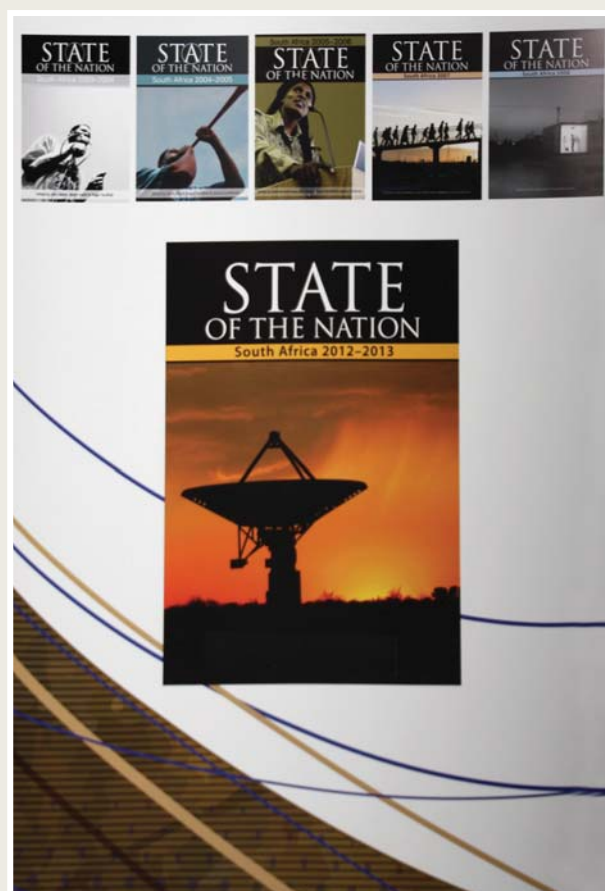
From the launch of the HSRC's flagship publication, *State of the Nation* in 2003, it has captured the attention of public intellectuals, scholars, policymakers and the media in South Africa and abroad. The latest in this series has been available since April 2013. Internationally, the series has been acclaimed as one of the most in-depth, independent analyses of the national landscape from the perspectives of various political, economic and social scholars; and has been used by university departments across the world as assigned reading for various courses on South Africa.

The 2012-2013 volume focussed on inequality and poverty, and included themes such as governance, politics, international relations, migration, poverty, unemployment, human settlements, the economy, mortality, HIV/AIDS, TB, access to quality and affordable healthcare, education and understanding the country's security environment. The 2014 volume will focus on the theme: 20 Years of Freedom and Democracy. The contributions within the thematic areas of politics, economics, society, environment, health and global context will each reflect both a 20-year review as well as an analysis of the topics in their current context. The *State of the Nation* series contributes to dissemination of knowledge, promotes an African research agenda, and provides a platform for contributions by leading scholars, many of whom are African and women.

State-owned entities (2008 – 2011)

The HSRC undertook research for the Presidential State-owned Entities Review Committee (PRC). One of the objectives was to establish a comprehensive database of SOEs across all spheres of government – this included a survey of a representative sample of 140 entities.

The study found a larger number of SOEs than expected, including commercial and non-commercial entities and their subsidiaries across all spheres of the government. National Treasury provided a list of approximately 300 entities, but at the end of the investigation the research team compiled a consolidated national database and found that there are approximately 715 SOEs (including Chapter Nine institutions).



The flagship publication, *State of the Nation*, has been published regularly since 2003.

The study also found a myriad of problems in SOE leadership/governance and in the efficacy of initiatives on crucial transformation imperatives such as broad-based black economic empowerment, the creation of meaningful employment opportunities, and comprehensive skills development. There were also inconsistencies in the legal and governance framework of the SOEs.

The impact of the research will only be evident in years to come following the recent adoption of the report and its recommendations by the Parliament of South Africa. However, there is a need to finalise the SOEs database and to make it more useful by updating the financial and non-financial information on a regular basis.

HSRC and BRICS (2013)

The South African government appointed the HSRC in March 2013 to serve as an incubator for the South African BRICS Think Tank for a period of one year. The responsible government departments are the Department of Higher Education and Training (DHET), working closely with the Department of International Relations and Cooperation (DIRCO). Professor Olive Shisana, CEO of the HSRC, is the chair of the think tank.

The appointment is based on the HSRC's extensive experience in and knowledge of the area of economic and social policy research. The organisation is therefore well-placed to anchor such a structure and provide support for BRICS-related policy dialogues at the national level. The HSRC's task is to nurture and grow the SA BRICS Think Tank, which will operate within the HSRC's legislated mandate as an independent advisor to government.

Importantly, the HSRC cooperates with various local subject matter experts and organisations to strengthen and build the analytical and scholarly capacity in this field.

The main intention of the think tank is to conduct evidence-based policy analysis aimed at informing the long term strategy of BRICS, and do so in an inclusive manner. It will be a forum to facilitate discussion among academics, policy makers and non-governmental organisations interested in the strategic economic, social and geo-political policies of the country in relation to BRICS.

Since its establishment the HSRC, together with the Department of Higher Education and Training, and international cooperation, have convened a meeting of think tanks from five other countries to establish a declaration to form a BRICS Think Tank Council, which was subsequently launched in Durban prior to the Leader's summit. The members of the BRICS Think Tank Council are:

- Institute for Applied Economic Research (IPEA), Brazil;
- National Committee for BRICS Research (NRC/BRICS), Russia;
- Observer Research Foundation (ORF), India;
- China Centre for Contemporary World Studies (CCCWS), China; and
- Human Sciences Research Council (HSRC), South Africa.

The HSRC will establish a platform for the exchange of

ideas among researchers, academia and think tanks, and will coordinate the work of BRICS Academic Forums convened prior to the Summits with the aim of informing the leaders of the BRICS Summit. The immediate task of this council is to prepare a long-term vision of BRICS, which South Africa is leading in its preparation.

ECONOMIC GROWTH AND EMPLOYMENT CREATION

The State of Skills series (2005 – 2007)

The project on scarce and critical skills involved applied research to measure the impact of labour and skills legislation on the labour market and economy, including the extent to which workers acquired skills, unemployed youth were trained and employed, and designated groups benefit from the Department of Labour's employment equity programmes.

The HSRC undertook six research projects focussing largely on the implementation of the National Skills Development Strategy (NSDS), while the Development Policy Research Unit at the University of Cape Town focussed on the impact of labour legislation relating to minimum labour legislation, and the Sociology of Work Unit (SWOP) at the University of Witwatersrand focussed on the employment equity, the informal sector and the training of Masters' interns as labour-market analysts.

This research provided vital information for government policy; the findings were shared at workshops with government officials, followed by numerous research reports, monographs, and peer-reviewed journal articles.

This project monitored and informed government policy and government thinking about intermediate skills as well as the value of the further education and training (FET) sector. Articles in peer-reviewed journals increased understanding of the issues involved in skills development. The project also provided support for postgraduate training and internship programme at the SWOP.

Employment scenarios (2006 – 2013)



Reports on the supply and demand for medical doctors and engineers.

In partnership with the Department of Trade and Industry and the directors-general of the Economic and Employment Cluster, this project conducted studies to outline possible employment growth paths for South Africa.

Table 1: Growth does help - Youth unemployment came down over the period of economic growth up to 2008.

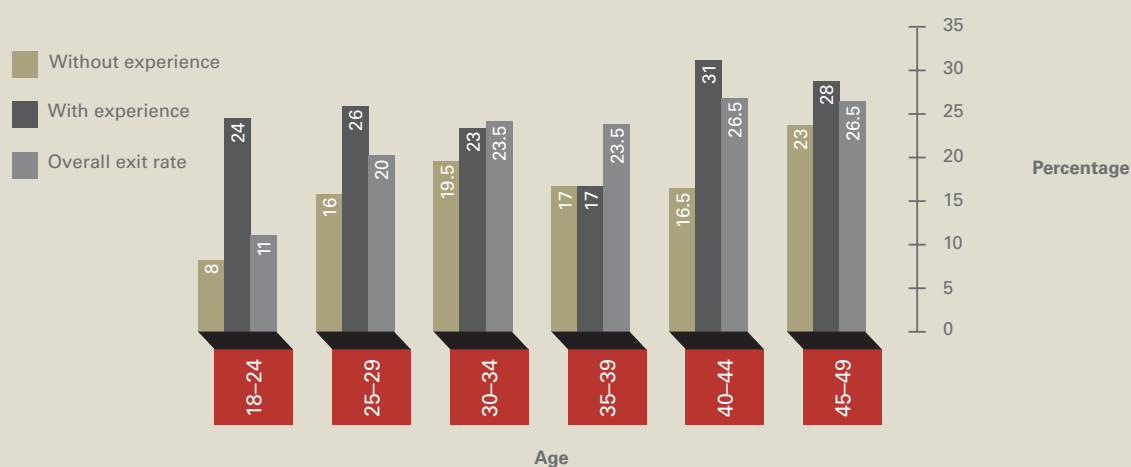
AGE COHORT	2002	2004	2006	2008	2010
15 - 24	55.9	51.8	50.2	46.6	51.3
25 - 34	34.1	28.8	28.5	26.2	29.1
35- 44	21.0	18.2	18.2	16.6	17.8
45 - 54	16.1	11.9	12/4	9.3	12.4
55 - 65	10.0	7.2	6.9	6.5	7.3
TOTAL	30.4	26.2	25.5	23.2	25.4

Research-based information about government policy was discussed in workshops, followed by debates in the media. The scenario generation process resulted in a forum for dialogue amongst leading opinion and decisionmakers from government, business and labour organisations, enabled open thinking about policy balance and the kinds of decisions that needed to be made by different stakeholder groupings to dramatically reduce unemployment and poverty over the long term.

The research methods were regarded as relevant for government and national strategic planning and the Economic Cluster adopted the scenarios to feature in its own programme of work. The modelling and scenario development on economic policies anticipated the needs of the economy and identified areas requiring enhanced coherence and alignment.

Figure 5: First work experience critical to employment prospects

A first work experience is critical to employment prospects



IMPROVING EDUCATION QUALITY

Health of educators (2003)

This was the first-ever comprehensive study on the supply of and demand for teachers and the impact of HIV/AIDS on the teaching profession in South Africa. The study mapped out the epidemiological profile of educators (HIV/AIDS, TB, health status), reviewed work place policies and addressed the human resources issues in the education sector. The study found a high prevalence of HIV among educators and that single educators were 2.7 times more likely to be HIV positive when compared to married teachers.

It raised concerns regarding placement of teachers in remote areas without their families because it increased the risk of HIV. It also projected that a large number of teachers were absent from school due to AIDS and were also dying of AIDS in large numbers. The Prevention, Care and Treatment Access Project (PCTA) was subsequently initiated in three South African provinces with the highest HIV and AIDS prevalence rates.

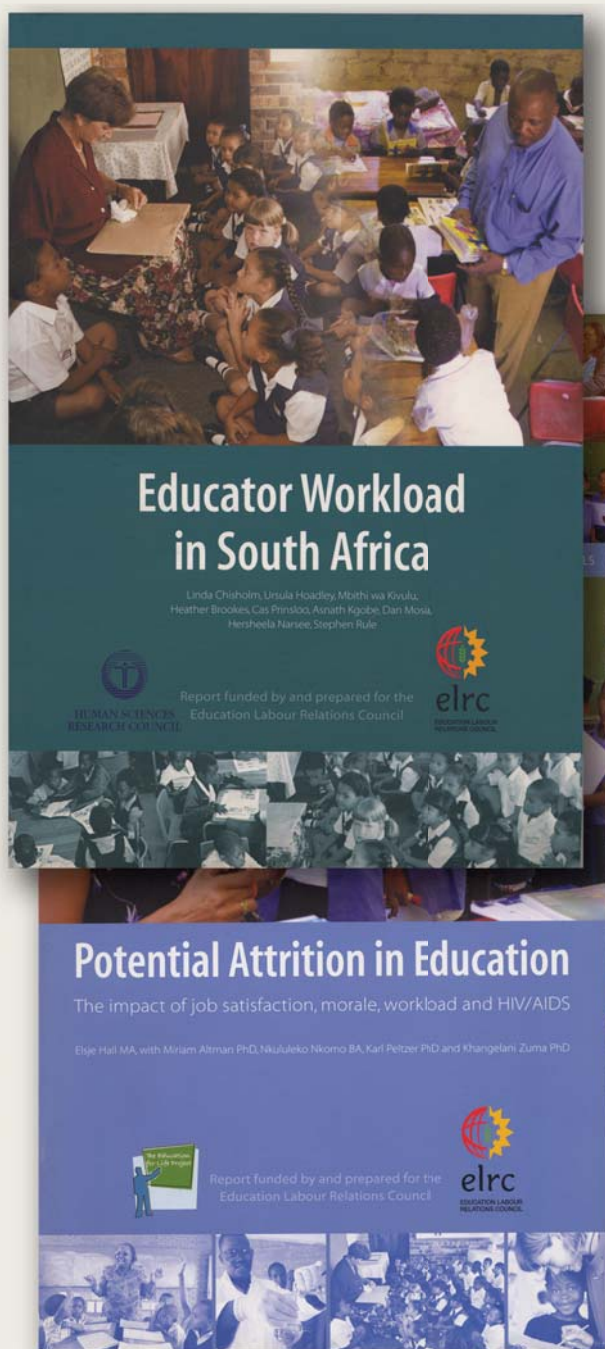
The project provided the basis for the first comprehensive effort to deliver various HIV/AIDS programmes dedicated exclusively to educators living with and affected by HIV/AIDS. It highlighted the plight of educators infected and affected by HIV/AIDS and the fact that the relatively high HIV/AIDS infection rate among educators has an impact on the quality of education.

Building on the lessons learned, and in an effort to ensure indigenous ownership and leadership, the Education Labour Relations Council (ELRC), who commissioned the research, implemented the next phase of the project nationwide through its HIV/AIDS Intervention Programme. During this phase of the project, ELRC aimed to reach all primary and secondary educators in South Africa's government schools with information on HIV prevention, healthy living, HIV testing, counselling and care as well as access to confidential anti-retroviral treatment.

Educator supply and demand (2005)

The study on the determinants of demand and supply of educators based in schools and FET colleges yielded useful information to assist the ELRC in planning teacher supply and demand. What emerged was that the resignations, death and the ageing of the 2005 educator force were likely to have significant effects on replacement over the following years.

The findings of the HSRC report were extensively quoted in the 2006 National Policy Framework for Teacher Education and Development in South Africa. This was followed by the production of scholarly journal articles, published in international peer-reviewed journals.



Three of the reports that emanated from the Education Labour Relations Council (ELRC) study.

Teacher workload (2005)

In this study commissioned by ELRC the aim was to establish to what extent outcomes-based education (OBE), continuous assessment (CASS) and other factors might contribute to educator workload and influence the number of hours they spend on various activities.

Based on a nationally representative questionnaire-based survey in 900 schools and case studies in ten schools, it was found that teachers spend slightly less time on their activities overall, but much less time on teaching than what policy requires. There is a serious erosion of instructional time in the majority of schools, but it is worst in rural and semi-rural African schools.

Reasons for the shorter teaching time, among others, range from large classes and all that that implies, increased workload due to lack of administrative support in schools, and increased administrative demands placed on them by outcomes-

based education (OBE) assessments. Many teachers are also expected to do the work of clerks and also fundraise at the same time.

A review of this study, posted on the Education Rights website, states: 'Although all these reports make grim reading they are an essential corrective to the ill-informed (and reckless) views held about teachers and policy prescriptions pushed through without adequate data. Hopefully, they will be studied closely and built upon so that we can appreciate and support our teachers, encourage students to join the profession, develop the full potential of our students (as the preamble to our constitution insists we should) and through them our country'.

Teacher education (2007)

Over a four-year period, the HSRC worked in a consortium focussing on aspects of the teacher education system in South Africa. A series of 12 publications were produced.

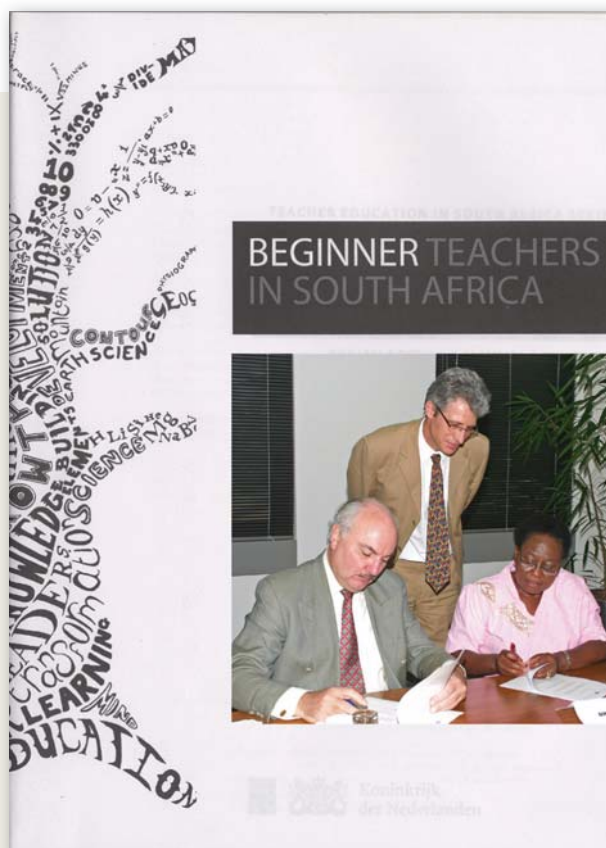
The research provided in-depth, original information about the impact of restructuring teacher education – especially teacher education curriculum, and relationships between universities nationally and between universities and education departments.

Important contributions were made to the Department of Education's National Policy Framework for Teacher Education and Development of 2007. The differentiated analysis of trends in supply and demand data for teachers provided information needed by the Department of Education to develop a systematic national teacher upgrading plan, including piloting a process to obtain useful data on teacher qualifications.

Trends in International Mathematics and Science Study (1995 – 2011)

The Trends in International Mathematics and Science Study (TIMSS), allows for the comparison of performance with about 60 other countries. These surveys collect educational achievement data to provide information about trends in performance over time, together with extensive background information to address concerns about the quantity, quality and content of instruction. The first of the series of mathematics and science assessments was TIMSS 1995. This study was conducted soon after the integration of the South African education system and thus provided valuable baseline information to measure progress over time. Following TIMSS 1995 the HSRC also conducted the three subsequent studies, namely TIMSS 1999, TIMSS 2003, and TIMSS 2011.

Participation in the four rounds of TIMSS provides invaluable and reliable data on factors directly linked to learning that can improve learner outcomes. TIMSS measures the intended and implemented curriculum model at school level and relates this to performance, showing the relationship between learner achievement and the impact of national education policy, teacher and classroom practices, and the learner's home environment.



Professor Olive Shisana and Ambassador Frans Engering of the Royal Netherlands Embassy sign the contract for the comprehensive study on improving the quality of education in South Africa: the literacy and numeracy challenge, while Mr Cornelius Hacking, the First Secretary Education, looks on.



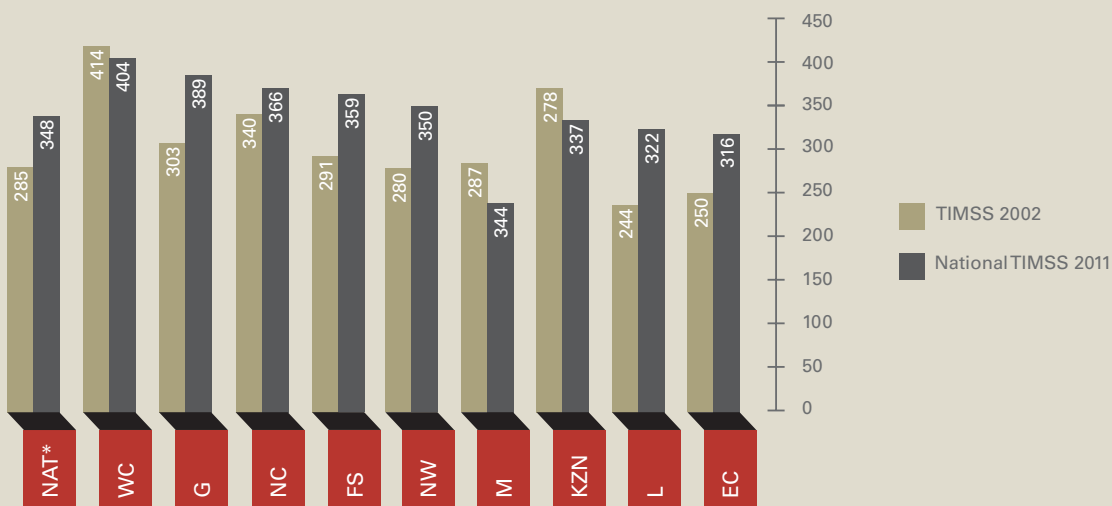
TIMSS: Attentive listening: deputy Minister Enver Surty and Minister of Basic Education, Angie Motshekga, at the announcement of the South African leg of TIMSS 2011.



Dr Vijay Reddy, the principal investigator of the South African TIMSS 2011, presents the results of the study.

TIMSS provides important information for policy development, fosters public accountability, allows the identification and monitoring of progress or decline in achievement, and addresses equity concerns. In 2011, the Department of Basic Education funded the South African participation in TIMSS, and The Presidency has included TIMSS achievement scores as part of its monitoring tools of educational quality in South Africa.

Figure 6: Change in achievement by province between 2002 and 2011



*National Stats

Table 2: TIMSS Stats

GROUPS	ADVANCED BENCHMARK (%) >625	HIGH BENCHMARK (%) >550	INTERMEDIATE BENCHMARK (%) 475	LOW BENCHMARK (%) >400	LESS THAN 400 POINTS
Gr 8 TIMSS 1995	0.3	2	6.6	13.6	87%
Gr 8 TIMSS 1999	0.2	1.5	5.7	13.2	86.8%
Gr 9 TIMSS 2002	0.6	1.5	2.8	10.5	89.5%
Gr 9 TIMSS 2011	1	3	9	24	76%
BOTSWANA	0	2	15	50	50%

HEALTH OF THE NATION

Orphans and vulnerable children in Botswana, South Africa and Zimbabwe (2002 – 2006)

In 2002 the HSRC was commissioned to develop and implement a five-year intervention project focussing on orphans and vulnerable children (OVC) in southern Africa. The project focussed on how children, families and communities in Botswana, South Africa and Zimbabwe are coping with the impact of HIV/AIDS. The aim of the project was to develop models of best practice so as to enhance and improve support structures for OVCs and to reduce HIV infection in those countries.

The models and practices that were identified showed that good practice could enhance and improve support structures for OVC in the region and reduce HIV infection in those countries.

The study on OVC informed both the South African and Southern Africa Development Community (SADC) OVC Care and Support Strategy. Some of the recommendations from the study were incorporated into the 2007 – 2011 HIV/AIDS National Strategic Plan for South Africa. Furthermore, the OVC census methodology developed from the study and tested successfully in South Africa, Botswana and Zimbabwe has attracted much interest as an innovative strategy for studying this serious problem in other countries.

National HIV household surveys (2002 – 2012)

In 2001 there was little known about the social epidemiology of HIV/AIDS in South Africa. Today, the HSRC has developed a strong programme that addresses social aspects of HIV and AIDS and produces on a regular basis a population-based report on the state of the South African HIV epidemic. The National HIV Prevalence, Incidence and Communication surveys cover the following topics: HIV prevalence, HIV incidence, use of antiretroviral drugs, sexual behaviour, perception of risk, stigma, family planning and the impact of HIV/AIDS on health, education and economy.

Four of these household surveys have been conducted in South Africa; the first in 2002, followed by surveys in 2005, 2008 and 2012. In 2012 a total of 14 500 households were approached to participate. Close to 40 000 individuals completed the questionnaires,



A selection of OVC reports produced for this project.



The first in the series of household surveys in 2002, supported by the Nelson Mandela Children's Fund, was announced with the former South African President himself attending. With him is the team who undertook the study.

and 29 000 gave blood specimens for HIV testing. These samples will provide surveillance of HIV infection and risk behaviour in South Africa and assist in obtaining a better understanding of factors driving the HIV epidemic. The prevalence of HIV was found to be 12.7%.

The inclusion of novel laboratory methodologies in the survey protocol has enabled direct estimates on HIV incidence and exposure to antiretroviral treatment (ART). The 2008 survey was the first in the world to include testing for antiretroviral drugs (ARVs) in HIV positive samples. Increased access to ART has increased the survival time of people living with HIV, with the effect that HIV prevalence was expected to increase in the age groups who are predominantly receiving ART. Hence, measuring the impact of antiretroviral treatment on age-specific HIV prevalence is critical for the interpretation of HIV prevalence trends.

These distinctive surveys have made a significant contribution to the knowledge about the course of the HIV epidemic in South Africa. The focus of the 2012 survey has been expanded to include a wide range of health information, for instance, the health of infants and mothers, and child health. It also included emerging interventions, such as male circumcision, and issues around psychological health and behavioural risk, for example, alcohol abuse and drug use.

From the beginning, these surveys have had a significant impact, nationally, in the sub-region, and internationally and have provided crucial information to develop policies, strategies and improve practice in the area of HIV/AIDS in South Africa. The surveys have served as the major sources of information for measuring the progress of the National Strategic Plan (NSP) for HIV/AIDS and STIs for 2007-2011. The data from the 2012 survey will serve as benchmark figures for the evaluation of the National Strategic Plan 2012-2016 and will provide the baseline information for tracking the progress and impact of the next programming cycle.

Health and nutrition survey (2012 – 2013)

With the first South African National Health and Nutrition Examination Survey (SANHANES), South Africa will be following in the footsteps of the US, China, Canada and countries in Europe where National Health and Nutrition Examination Surveys (NHANES)



Taking research to the people. Professor Olive Shisana, a principal investigator of the 2005 household survey, with children in Soweto where she and others explained the results of the study to school children and adults.

take place on a regular basis. SANHANES aims to assess selected aspects of the health and nutritional status of the South African population. The information generated from the survey addresses the health indicators that the National Department of Health (NDoH) regards as priorities to improve the health status of the population.



Getting ready: For the SANHANES study hundreds of fieldworkers needed to be trained to conduct the survey questionnaires and escort participants to be tested to determine the general status of their health.

The study, of which the fieldwork survey started

in February 2012, was conducted by the HSRC in conjunction with NDoH, the Medical Research Council, the United Nations Children's Fund (UNICEF), and the Department for International Development (DFID), as well as with the support from the universities of the Free State, Limpopo, Nelson Mandela Metropolitan University, North West, Stellenbosch and Western Cape.

Utilisation of the information from SANHANES will greatly facilitate both the detection and tracking of the extent of current and emerging health concerns and the associated risk factors in the South African population. This data will provide key national and provincial information essential to the monitoring of diseases, health planning and subsequent health service delivery.

SANHANES provides contemporary information for determining national standards for weight, height, and blood pressure. It will also help South Africa to determine the health literacy of the nation, information that is vital for planning disease prevention and health promotion intervention programmes. Data from this survey will be used in epidemiological studies and health sciences research, which will help in the development of sound public health policy, in the design of health programmes and services, and in the expansion of knowledge about health in the country.

Phaphama Bammelwane: neighbourhood watch

This project addressed the observation that informal drinking establishments, particularly small venues known as shebeens, offer unique opportunities for reducing HIV risks among men who drink. This project involved conducting a randomised community-level HIV prevention intervention over 4-5 years using a multi-level (individual behaviour and social structures) HIV prevention intervention for men who drink in shebeens.

Men in the HIV prevention workshops demonstrated greater condom use, more HIV prevention-oriented conversations, and greater perceptions of safer sex norms than men in the matched control intervention workshops.

The Phaphama Bammelwane (Neighbours) interven-

tion suggests that multi-level interventions that target men who drink in shebeens may help reduce risks for HIV and other sexually transmitted infections. An important finding was that changes at the community-level paralleled the results for men in the workshops, suggesting that the intervention could spread through social networks.

National Health Insurance (NHI) (2007 – 2012)



Dr Bill Hsiao, Professor of Economics, Department of Health Policy and Management, Harvard School of Public Health, USA and Dr John King, former executive vice-president and chief administrative officer, St. Michael's Hospital, Canada, sharing their experiences in implementing NHI in different countries at the conference.

The HSRC made initial contributions to the debate on National Health Insurance (NHI) policy by hosting a colloquium in 2007 and subsequently conducted background research for the development of an NHI plan. This focussed on key policy design issues such as a single or multi-payer system; South African's attitudes towards universal coverage and social solidarity; the development of databases and GIS mapping of facilities and health professionals; and costing of an NHI plan. It also involved the design of revenue analysis models and human resources modelling of norms and standards. In addition, experiences from other countries that could contribute towards the design, planning and the effective and efficient implementation of the NHI in South Africa were examined.

The majority of financial and human resources for

healthcare are located in the private health sector, serving a minority, particularly the 16% of the population who are members of medical schemes. In contrast, the public health system struggles to meet the healthcare needs of the vast majority of the population with extremely limited resources. The Ministerial Advisory Committee on National Health Insurance, chaired by Professor Olive Shisana, is comprised of domestic and international scientists, clinicians in the public and private sectors, health economists, pharmacists and many other professionals. This team contributed to the development of the policy on national health insurance, including the plan, which were handed over to the Minister of Health Dr Aaron Motsoaledi.

NHI is a critical policy for South Africa that can improve access to health for the large number of South Africans who currently lack access due to financial constraints. The debate in the media and across the country helped to raise awareness of the need to introduce better health provision for all and to popularise the concept of an NHI.

Birth to twenty study (1990 – 2010)

Birth to twenty (Bt20) is Africa's largest and longest running study of child and adolescent health and development, and one of the few large-scale longitudinal studies in the world. It is housed at the University of Witwatersrand, but the HSRC played a strategic role in the multidisciplinary research team, bringing considerable research expertise and also financial investment to the study.

The study began to track the development of 3 273 newborn infants in 1990. As the name suggests, the study continued to monitor its subjects until they are twenty years old (2010). The study has obtained data from between 50% - 65% of the original cohort of 3 273 children. During 2009/2010 the HSRC took leadership to ensure the preservation of research data for this study.

By late 2003 Bt20 study findings had been presented at over 250 conferences or workshops worldwide. Over 100 scientific documents have been published, and 150 media releases on Bt20 have appeared in newspapers, magazines, or on radio and television programmes. A book on the first seven years of the Bt20 children's lives by Oscar Barbarin and Linda Richter entitled *Mandela's Children - growing up in*

Post-Apartheid South Africa was published in New York by Routledge.

Bt20 had an impact on government policy in the way routine data about children's births are collected at hospitals and clinics; the mandatory school enrolment age, tobacco control legislation and the reduction of environmental lead exposure linked to fuel emissions.

COHESIVE AND SUSTAINABLE DEVELOPMENT

The Fatherhood project (2004 – 2006)

The Fatherhood Project aimed to recognise, encourage and support men's care and protection of children. It sought to gather and provide information about men, fathers, family life and child development; inform social experiences and perceptions about men and their care for children; rally peer professional support to enable men to be more involved in children's lives; create a sense of shared responsibility for children's development among men and women; engender broad-based and long-term commitment to men's involvement with children; identify and address barriers to men's engagement with and protection of young children; and embark on focussed research around fathers and caregiving with a view to developing community-based interventions.



Good fathers - Professor Linda Richter opens a photographic exhibition on 24 March 2004 that formed part of the larger Fatherhood project.

The materials developed during this study, focussed on themes of fatherhood and caregiving, masculinity, gender-based violence, sexual risk and HIV/AIDS. One main outcome of the project was increased attention to these themes in various mass media channels. The project also enhanced networking with a variety of organisations that advocate men's care and protection

of children, as well as with organisations concerned with HIV/AIDS. These included Men's Trust and the KZN Youth Empowerment Project.



Sharing a joke: the Fatherhood project included strong, positive photographs of fathers with their children.

Academic scholarship related to fatherhood formed an important focus of the Fatherhood project. Two books by the HSRC Press, *BABA: Men and Fatherhood (2006)* and *Teenage Tata: Voices of young fathers in South Africa (2009)* were both best-sellers of the HSRC Press in their own right. The project received wide publicity, and generated radio interviews and in-depth discussions on the importance of the father figure in a family.



Young people at the launch of the book, *Teenage Tata*.

Monitoring of women, children and people with disabilities (2012 – 2013)

The overall aim of the study, commissioned by the Department of Women, Children and People with Disabilities (DWCPD), was to critically assess the existing government-wide monitoring and evaluation

mechanisms with regard to how these interlocking mechanisms contribute to the DWCPD fulfilling its mandate as a coordinating ministry for women, children and people with disabilities in the country. As part of the study, a draft framework for monitoring and evaluation (M&E) related to women, children and people with disabilities was prepared.

The study provided a consolidated review of the strengths, weaknesses, opportunities and threats related to M&E aspects of policy and programme development for women, children and people with disabilities.

This study provided a foundation for the development of indicators on programme outcomes for women, children and people with disabilities. It ultimately will contribute to strengthening the DWCPD's coordinating role in mainstreaming issues affecting women, children and people with disabilities within service delivery departments.

Transforming spaces: South African cities (2012 – 2013)

South Africa inherited extremely distorted and dysfunctional cities as a result of colonial and apartheid planning. This project examined the distinctive circumstances and progress made by the nine largest city municipalities in promoting spatial transformation. It involved visits to each city for wide-ranging interviews with decisionmakers, a review of municipal reports and original analysis of the 2011 Census and other data. Several workshops were held to discuss the conclusions with policymakers.

The main finding was that there have been undoubted achievements in service delivery over the last decade. However, there has also been limited progress in relation to the long-term goal of spatial restructuring. In addition, there has been widespread policy ambiguity and indecision in relation to informal settlements.

The overriding message was that the metros need to step up a gear from their current preoccupation with incremental change to pursue a bold agenda of transformation. There are three aspects to this, including building stronger municipal institutions, developing a long-term growth management strategy aimed at urban integration, and adopting a more positive and pro-active approach towards informal settlements.

A global dialogue on cities and sustainable development (2012 – 2013)

South Africa, like many other African countries, has seen recent unprecedented rates of urbanisation resulting in rapid urban expansion beyond the control of local authorities and central governments with undesirable outcomes in many cases such as: mushrooming urban slums and informal settlements, rising informality and rapidly increasing inequality; land degradation; pollution; and marginalisation of the poor. This project gathered the voices of the poor and marginalised living in urban slums and informal settlements and the global dialogue on cities and sustainable development was informed by field interviews from Gauteng and Western Cape provinces.

The expressed needs articulated by members of the interviewed communities included the need for improved and better access to economic opportunities for a secure and sustainable future; food, healthcare and education for their children; and a more responsive and accountable government that works to create opportunities for all, regardless of ethnicity or economic class.

This study is a first step in a larger effort to address the underlying causes of the difficult circumstances afflicting poor, disempowered, marginalised people living in urban slums and informal settlements across the country.

Benefits of the child support grant reforms (2012)

The Child Support Grant (CSG) was introduced in April 1998 to replace the child maintenance grant. However, it is estimated that two million children currently do not receive the CSG. Several questions arise regarding future changes to the child support grant (CSG). Can further increases be accommodated? Is enough effort being made to include all eligible children in the system?

With the recent deterioration in the fiscal position of the country, it is tempting to shelve plans to enhance the CSG and to focus on maximising take-up. The purpose of this study was to understand the impact of CSG reforms on children, households and the rest of the country including the fiscus. The results showed that increasing expenditure on CSG, and/or including excluded children into the social assistance net, can have large benefits for children as well as the wider economy. Poverty and inequality fall due to the

reforms.

Contrary to what might be expected, the results show that there is a positive link between the CSG and the probability of parents participating in the labour force, although there is a reduction in government savings and thus investment. The study shows that even modest reforms have a significant impact by allowing poor households to increase their consumption of essential goods. Nevertheless, poverty among beneficiary children is so widespread that the reforms may have to go beyond piecemeal reforms.



Mrs Cheryl Carolus, political activist, business woman and board member in various civic organisations, address a workshop on teenage pregnancies. This workshop was one of a series on youth, hosted by the HSRC. On her right is Professor Linda Richter, past head of the Child, Youth, Family and Social Development programme at the HSRC.

Views of young unemployed graduates on development (2012 – 2013)

Although there has been significant progress in a number of areas, the country still struggles with excessively high levels of unemployment, poverty and growing inequality. The project aimed to generate an alternative youth-driven model of development, spearheaded by a group of young unemployed graduates. Social media was used as a research tool where participants discussed development issues.

Young people believe government has a role to play in development and that policies are crucial in addressing development challenges. However, the effectiveness

of government is seen as being hampered by corruption. These findings were fused with four conceptual frameworks to create a non-prescriptive, alternative principle-based model of development.

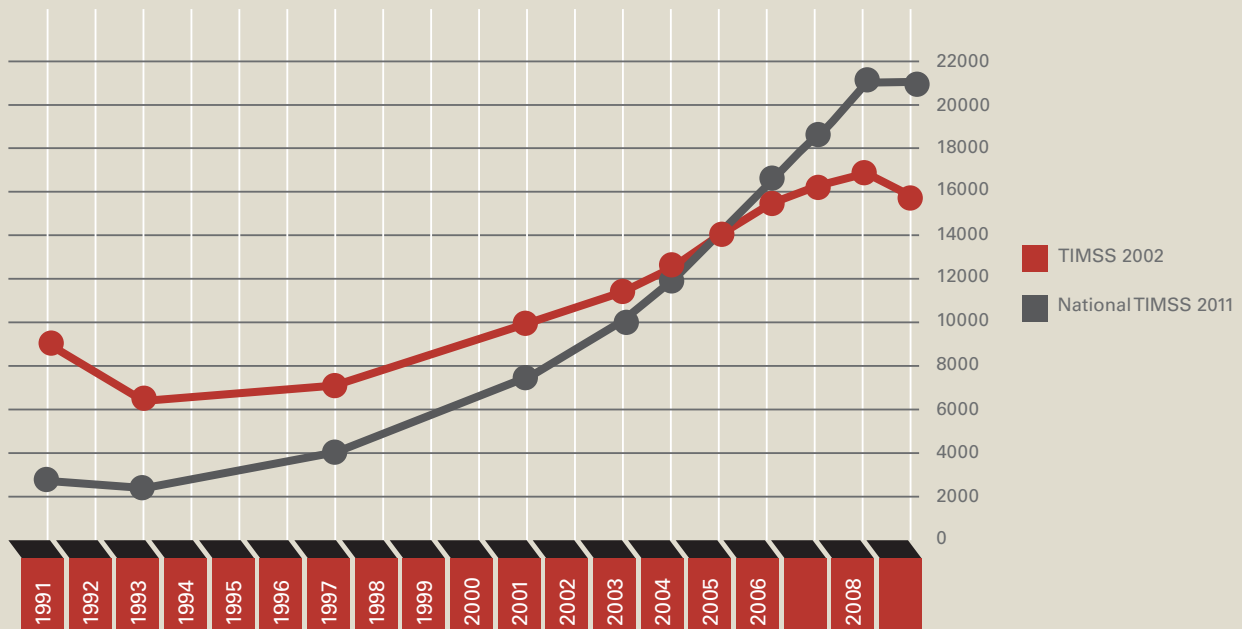
This study gives policymakers a new inclusive development framework that can be used to guide policy formulation. Given the central role young people ascribe to government in development, policymakers need to understand the expectations of young people when developing policies. This is important since failures are generally attributed to the lack of consultation.

South African national R&D surveys (2004 – 2013)

This one-of-its-kind survey is conducted annually by the HSRC on behalf of the Department of Science and Technology and collects input data on expenditures and personnel in businesses, government departments, higher education institutions, NGOs and science councils in South Africa involved in R&D. The outputs of the survey are deemed to be official statistics, as defined in the Statistics Act No 6 of 1999.

SCIENCE FOR GROWTH

Figure 7: R&D Graph



Annual detailed submissions of South Africa R&D data to the Organisation for Economic Cooperation and Development (OECD) on behalf of DST mean that South Africa now appears with an increasingly stronger data series in the OECD Main Science and Technology Indicators each year.

This allows DST to properly benchmark South Africa's R&D and innovation performance, something that was not yet available to the country when the R&D strategy was formulated in 2002. It also allows South African data to appear in other prestigious publications such as the OECD Science, Technology and Industry Scoreboard.

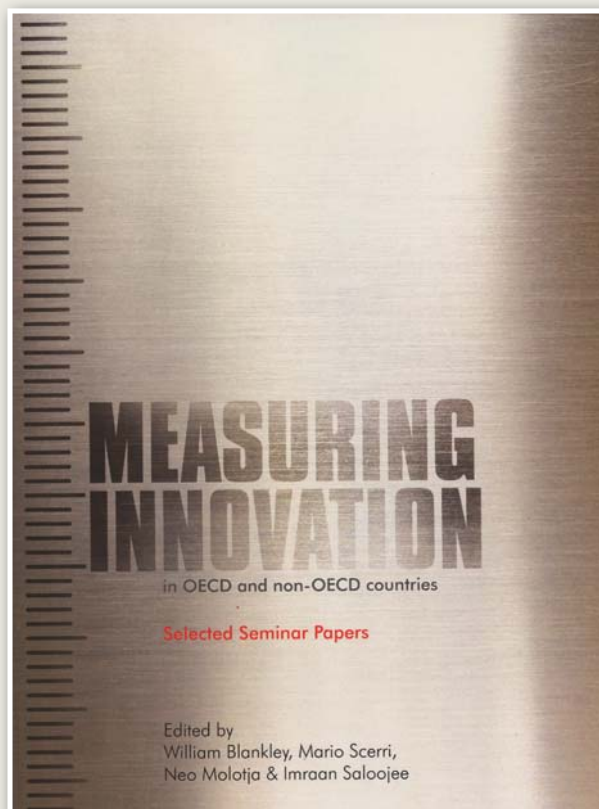
Utilisation of R&D indicators can assist strategic direction, policy development and organisational planning, thus add value and promote competitiveness. The information is also used for the development of science policy in areas such as: the setting of research priorities, government research funding levels, science education and the development of incentive schemes for R&D and innovation in the private sector.

Understanding innovation in an increasingly competitive world (2005, 2008)

The Centre for Science, Technology and Innovation Indicators (CeSTII) is commissioned by the Department of Science and Technology to conduct the official South African Innovation Survey as part of the department's effort to establish a baseline set of science and technology indicators for monitoring, reporting on, and fine-tuning the National System of Innovation. The national survey of the business sector aims to measure and record all commercial innovation activities in South Africa as well as related aspects of innovation, such as barriers and promoters of innovation and sources of information and funding for innovation. The first survey was conducted in 2005 and released in 2008, the second followed in 2008 and was released in October 2011.

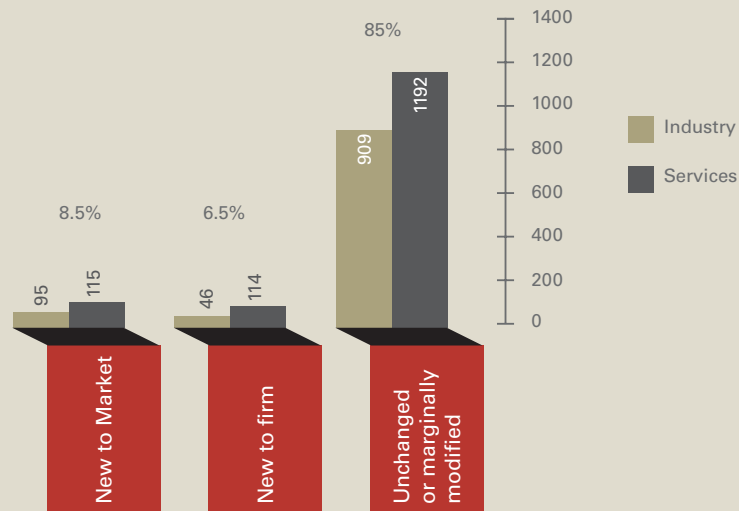
To be competitive in the global economy, it is critical for organisations, industries and countries to innovate. Firms need to be aware of and be able to respond quickly to the needs of their customers, and they should be able to use technological, social and other changes to their advantage. Innovation is invariably identified as a key driver of long-term economic growth, competitiveness and a better quality of life.

The importance attached to innovation is evident in South Africa's 10-year plan 'Innovation towards a knowledge-based economy' (2008 – 2018).



Reports produced by CESTII.

Figure 8: Product (goods and services) innovators - breakdown of turnover by product type, 2007



CESTII participates in the NEPAD African Science, Technology and Innovation Indicators (ASTII) Initiative and the South African Innovation Survey has been used as a model for implementing innovation surveys in a number of African countries. As part of its role in the NEPAD ASTII initiative, CESTII provides training to survey personnel from other African countries that plan to conduct innovation and R&D surveys.

The benefits of innovation to innovating companies are obvious from Figure 7. Figure 7 shows that increasing the range of goods and services, and improving the quality of goods or services are the most important benefits of innovation for South African enterprises. Firms also rate increasing the capacity of production or service provision as important outcomes of innovation efforts.

RESEARCH DISSEMINATION

HSRC Press

The HSRC Press publishes relevant and innovative research-based books which impact on South Africa, Africa and the world. HSRC Press is the leading scholarly publisher in Africa and has a strong global presence, with direct representation on three continents and online representation worldwide,

enabling it to effectively meet both its public purpose and business objectives. Its books cover the social sciences and humanities in South Africa and Africa, and are peer-reviewed through an independent editorial board to ensure the highest quality content, and world-class research publications. HSRC Press also has a strong footprint in African countries through collaborations with organisations such as the Council for the Development of Social Science Research in Africa (CODESRIA).



Documenting history: CEO Professor Olive Shisana officially hands over the book, *The meaning of Timbuktu*, to Professor Adebayo Olukoshi, the former executive director of the Council for the Development of Social Science Research in Africa (CODESRIA). The book was a combined effort between HSRC Press and CODESRIA.

Our books focus on critical issues affecting society, such as inequality and poverty, climate change, rural development, education, labour and employment; and the topics we address lead to research innovations. The widespread dissemination of research outputs influences policymaking. Our readers cut across all levels of society: from public officials, public intellectuals, and foreign ministries to political scholars, trade unions, the media, civil activists and medical scientists. We have a formal and rigorous peer-review process in place that assures academic quality, resulting in strengthening the research voice from the South as well as the credibility of African-based research publications and scholars. In this regard we collaborate with other institutions on and outside of the African continent.

We have a high citation factor of 11.49 and our open-access model is pioneering and enables us to measure the impact of our books globally, as well as to influence research questions across the world. We distribute on three continents and have online readers from over 212 countries, with a million page views annually. Our flagship titles, such as *State of the Nation* and *Voices of Liberation* series are recognised across the world as being leaders in the field. Recently we have launched a pilot e-Book strategy, enabling us to reach even wider readerships in Kindle, Apple and e-Reader formats across the world.

HSRC Review

The *HSRC Review* is a quarterly news magazine-type of publication, reflecting the research and other activities of the organisation. It is written in popular, easily digestible style and in plain English with a strong news angle. The publication emanated from a request to disseminate our research to the public more effectively. The first edition appeared in March 2003 and up to 31 March 2013 we have published 40 editions.

This is the only publication that on a regular basis tells the public about the interesting work the HSRC does. Articles are based on what we believe the public and our readers might want to know about our research and how this research could be of value to them. We have a wide distribution of 3 700 hard copies per edition, which is distributed to Parliamentarians, heads of government departments, donors and funders, embassies, NGOs, organisations involved in development, universities, other research organisations, and last but not least, secondary schools. We also send out an electronic newsletter, which reaches another 2 300 readers. During 2012/2013, we produced 45 articles.



HSRC Press stand at the Cape Town International Book Fair 2012.



The articles have potentially significant policy impacts and although it is difficult to quantify, we have testimonies from various authors of articles for requests for the full report or background documents for their research, and we even have a few examples where government Ministers contacted authors of our articles for further information or for discussions. One specific example is an article on research analysing the time teachers spend in classrooms teaching. The editor received at least 30 requests for the full report on which the article was based.

SEMINARS, WORKSHOPS AND DIALOGUES

The new Science Communication unit focusses on promoting the uptake and utilisation of research and encourages a policy environment where evidence-based policy-making is seen as key to making better decisions and achieving better outcomes. This unit consists of two distinct sections: Science Communication Research and Science Communication Dissemination.

Activities were undertaken to ensure that key interest groups, such as decisionmakers, policymakers, heads of departments and civil society, understand the policy implications of research and factor that into their work. We do this by acting as 'knowledge intermediaries'; facilitating the exchange of knowledge between the producers (researchers) and users (policymakers, practitioners and civil society groups) of research, through several activities.

HSRC Seminar Series

In the HSRC Seminar Series, we organised 45 lunchtime seminars during 2012/2013 with topics in all

areas of research that are of interest to not only our own researchers, but also to the general public. The seminars bring together a wide range of interested parties to discuss issues of common interest.



Where do we come from?: Professor Himla Soodyall, director of the Human Genomic Diversity and Disease Research Unit, University of the Witwatersrand, related the mapping and modelling of the genetic history of people of South Africa in a seminal presentation. On her right is Professor Vasu Reddy, who is the driving force behind the HSRC's humanities project.



Sustaining the 'platteland': Mr Tim Hart and Dr Peter Jacobs from the Economic Performance and Development programme, HSRC, presented findings at a seminar on sustainable rural development in South Africa.

DST policy workshops, science seminars and dialogues

During the 2012/2013 financial year, the HSRC organised and hosted the Department of Science and Technology's (DST) Human and Social Dynamics Science Seminars and Government Cluster Policy Workshop series and the DST's policy dialogues series.

We hosted six government cluster policy workshops, four science seminars, plus two policy dialogues, all drawing on international expertise. During this process we hosted 18 representatives from the UK, the USA, Canada, USA, Australia, Singapore, Paris and Taiwan.



Dr Ian Goldman, head of Evaluation and Research, SA Presidency, and Professor Ben Turok, ANC Member of Parliament, at a Government cluster policy workshop on the developmental state, hosted by the HSRC.

Policy Briefs and Policy > Action

Network (P>AN)

The HSRC produced eight policy briefs in 2012/2013 and managed the website of the Policy > Action Network. P>AN supports the policy community by sourcing information on social policy with the aim of contributing to rigour in policy-making and greater participation in policy processes. This site contains a range of resources including case studies, policy briefs, research reports, events information and 'how-to' information on getting research into policy, and getting policy into action. The HSRC also produced four From Policy to Action newsletters for the network.



UNICEF South Africa country representative, Mrs Aida Girma, Commissioner Mrs Lindiwe Faith Mokate of the Human Rights Commission, and senior policy specialist at UNICEF, Mr Andre Viviers.

The P>AN Children website, funded by UNICEF, is an online knowledge hub complemented by dialogue and capacity building activities. It provides timely and up-to-date information on child rights and equity. A partnership between the HSRC and UNICEF, this platform aims to provide a consolidated digital repository on the situation of children in South Africa.

International conference: The re-emergence of astronomy in Africa

The HSRC held its 2012 Social Sciences Research Conference on the *Re-Emergence of Astronomy in Africa – a transdisciplinary interface of knowledge systems* at the Maropeng conference centre at the Cradle of Humankind from 10 to 11 September 2012. The conference was co-hosted with the HSRC's social partners, including the Department of Science and Technology (DST), the Council for the Development Social Science Research in Africa (CODESRIA), the

National Research Foundation (NRF), the Freedom Park Trust, the Academy of Science for South Africa (ASSAf), the Africa Institute of South Africa (AISA), the Department of Arts and Culture (DAC) and the Mapungubwe Institute for Strategic Reflection (MISTRA).

The conference was opened by the Minister of Science and Technology, Mrs Naledi Pandor, and served as an opportunity to showcase Africa's expertise and a long history of engagement with astronomy from various perspectives. The conference also served as a scholarly celebration of the successful bid to host the Square Kilometre Array (SKA) in South Africa and other parts of Africa.

The premise for the conference was that the re-emergence of astronomy in Africa should not be pursued in isolation from the humanities and social sciences. The conference had numerous international and local speakers.



HSRC Chair, Mrs Phumelele Nzimande, former Minister of Science and Technology Mrs Naledi Pandor, CEO Professor Olive Shisana, and Dr Andrew Kaniki, executive director of Knowledge Fields Development at the National Research Foundation (NRF) at the opening of the conference.

What we believe in and our focus

VISION

Our vision is to develop the HSRC to serve as a knowledge hub for research-based solutions to inform human and social development in South Africa, Africa and globally.

MISSION

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

VALUES

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

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

CONSTITUTIONAL MANDATES

The Constitution of the Republic of South Africa Act, (Act No 108 of 1996) specifically applies to the work of the HSRC in terms of Section 12(2)(c) which highlights the right of not being subjected to medical or scientific experiments without informed consent, and section 16 which addresses freedom of expression, including the right to academic freedom and freedom of scientific research. The HSRC Code of Research Ethics addresses the way in which these rights are applied. An active and internationally accredited Research Ethics Committee reviews HSRC research proposals to ensure that HSRC researchers, as well as project collaborators adhere to the highest ethical standards.

This service is also available to non-HSRC researchers. The HSRC media policy addresses the way in which freedom of expression is aligned with principles of scientific integrity and accountability.

LEGISLATIVE MANDATES

The HSRC is a Schedule 3A national public entity in terms of the Public Finance Management Act, Act No 1 of 1999 (PFMA) reporting to the Department of Science and Technology; as such the Minister of Science and Technology is the Executive Authority. The HSRC is governed by a board appointed by the Minister as the Accounting Authority of the HSRC.

The HSRC operates in terms of the HSRC Act (No 17 of 2008). 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 South Africa, Africa and globally by gathering, analysing and publishing data relevant to such challenges, by means of projects linked to public sector programmes;
- Inform the effective formulation and monitoring of policy, as well as to evaluate the implementation thereof;
- Stimulate public debate through the effective dissemination of fact-based research results;
- Help build research capacity and infrastructure for the human sciences;
- Foster research collaboration, networks and institutional linkages;
- Respond to the needs of marginalised groups in society through research and analysis of developmental issues, thus contributing to the improvement of their lives;
- Develop and make available datasets underpinning research, policy development and public discussion of developmental issues; and
- Develop new and improved methods for dataset use.

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

POLICY MANDATES

The HSRC is committed to the outcomes approach as developed by government. It will contribute towards achieving outputs listed in the performance agreement between the Minister of Science and Technology and the President of South Africa. The HSRC is recognised as an important roleplayer in a number of delivery agreements aimed at supporting the achievement of the twelve outcomes that had been agreed to for the 2009-2014 electoral period.

Delivery agreements where specific reference is made of the HSRC include those for Outcome 1 (improved quality of basic education), Outcome 2 (a long and healthy life for all South Africans), and Outcome 5 (a skilled and capable workforce to support an inclusive growth path). The HSRC also contributes towards other research-based outcomes that are clearly articulated in the delivery agreements between other Ministers and the President of South Africa.

In the delivery agreement for Outcome 1, the HSRC is listed as an agency whose work will contribute towards knowledge in the area of quality basic education, and is described as having been at the forefront of educational research in South Africa. Furthermore, the document suggests that on-going collaboration with the HSRC and other statutory bodies is critical in supporting this outcome.

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

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

Our people

HSRC BOARD



Mrs Phumelele Nzimande

B SocSc (Hons), University of Natal. HSRC Chairperson. Commissioner: Office of the Public Service Commission. Former deputy chair of the Commission on Gender Equality and presently member of the University of KwaZulu-Natal (UKZN) Council and board member on the Media Diversity and Development Agency Board.



Professor Olive Shisana

ScD, Johns Hopkins University. HSRC CEO. Former positions held: executive director of the HSRC's Social Aspects of HIV/AIDS and Health research programme; professor of Health Systems, Medical University of South Africa (MEDUNSA); Executive Director, Family and Community Health, World Health Organisation (WHO), Switzerland; director-general, Department of Health, South Africa; group manager, South African Medical Research Council; and acting chief of Research and Statistics Division, District of Columbia Local Government (USA); chair of the Ministerial Advisory Committee on National Health Insurance, member of the Economic Advisory Panel, and president of the International Social Science Council.



Professor Lulama Qalinge

PhD, North-West University (NWU). 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 (NWU). Board member of Lesotho Highlands Development Authority and serving in the sustainable development subcommittee. Board member of the Health Professions Council of South Africa (HPCSA).



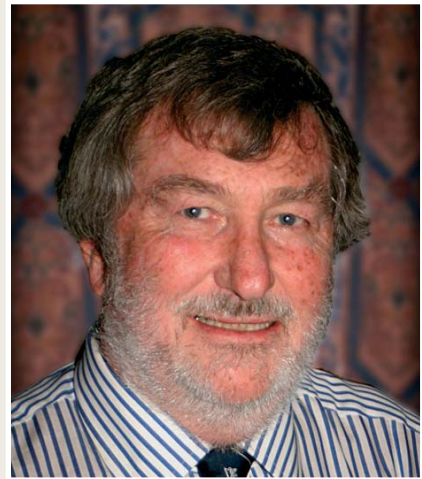
Professor Amanda Lourens

PhD, University of Pretoria.
Vice-rector: Research and Planning at North-West University (Potchefstroom Campus). Member of the National Research Foundation THRIP Advisory Board and the Higher Education South Africa (HESA) Research and Innovation Strategy Group. Appointed on the ministerial committee for the Development of a National Integrated Cyber-Infrastructure System (NICIS). Past president of the Southern African Research and Innovation Management Association and the South African Statistical Association. Past chairperson of the Southern African Association for Institutional Research.



Professor Paulus Zulu

PhD, University of Natal.
Director and senior research fellow, Maurice Webb Race Relations Unit: UKZN, Board chairperson of McCord Hospital Durban, member of the Pontifical Academy of Social Sciences (Vatican City, Rome).



Professor Edward Webster

PhD, University of the Witwatersrand.
Visiting professor Development and Decent Work, Kassel University. Professor of Sociology and past director of Sociology of Work unit, University of the Witwatersrand (Wits); past president of the research committee of Labour Movements for the International Sociological Association; board member of the Development Bank of Southern Africa; top-rated National Research Foundation sociologist; senior Fulbright scholar (USA).



Dr Botlhale Tema

PhD, University of Reading (UK).
Managing director: African Creative Connections, member of the Advisory Panel of the Network for the Coordination and Advancement of sub-Saharan Africa EU Science and Technology, chairperson of the Board of Programme for Technological Careers, former ex-officio member of the AU Steering Committees on Education, Science and Technology, ICT and the Youth Programme, former ex-officio member of the South African National Commission of United Nations Educational, Scientific and Cultural Organisation (UNESCO).



Professor Tahir Pillay

PhD, University of Cambridge (UK).
Professor of Chemical Pathology, University of Pretoria and University of Cape Town, Discipline Editor, *Journal of Clinical Pathology*, London; Editor; Fellow of the Royal College of Pathologists, London; Fellow of the College of Pathologists, South Africa. Editor, *IFCC eNews*; board member, World Federation of Chinese Medicine Societies; Health Professions Council, SA; member of the Corporate and Publications Division Executive committee, International Federation of Clinical Chemistry and Laboratory Medicine. Former positions: deputy vice-chancellor and head of College of Health Sciences, UKZN and Professor of Chemical Pathology, UKZN. deputy director, Institute of Cell Signalling, University of Nottingham; member of the board of directors, KwaZulu-Natal Research Institute for TB/HIV.



Professor Enrico Uliana

PhD, Stellenbosch University. CA (SA).
Executive director: Finance – University of Cape Town (UCT). Visiting professor at the Graduate School of Business (UCT), the Department of Accounting – Nelson Mandela Metropolitan University, the Department of Accounting Rhodes University, Rotterdam School of Management – Erasmus University, Bologna University, Milano-Bicocca University. Editor of *South African Journal of Accounting Research* and on the editorial team of several international journals. Co-author of three textbooks (eleven editions), including the biggest-selling financial management textbook in South Africa for 25 years.



Professor Adebayo Olukoshi

PhD, Leeds University (UK). Executive director, United Nations African Institute for Economic Development and Planning (IDEP) and interim executive director, Africa Governance Institute (AGI), both in Dakar, Senegal. Professor of International Economic Relations and former executive secretary, CODESRIA. Previously served as director of research at the Nigerian Institute of International Affairs, senior research fellow/research programme coordinator at the Nordic Africa Institute and a senior programme staff at the South Centre in Geneva.



Professor Fulufhelo Netswera

(Since November 2012). D Phil, Stellenbosch University. Director of the Turfloop Graduate School of Leadership (TGSL) of the University of Limpopo (UL). Editor of the *Commonwealth Youth and Development Journal* and board member of the Limpopo Local Economic Development Resource Centre.

EXECUTIVE MANAGEMENT



Dr Temba Masilela

PhD, University of Iowa (USA). HSRC Deputy CEO: Research. Former executive director of the Policy Analysis and Capacity Enhancement (PACE) unit at the HSRC. Board member of the Archie Mafeje Research Institute at the University of South Africa. He previously served as a special adviser to the Minister of Social Development, Programme Manager at the Centre for Corporate Citizenship at UNISA, executive for corporate Communication at Telkom SA, and senior lecturer in the School of Journalism and Media Studies at Rhodes University.



Professor Margaret Chitiga-Mabugu

PhD, University of Gothenburg (Sweden). Executive director for Economic Performance and Development (EPD) research programme at the HSRC. She also serves as board member on the AERCS training subcommittee, a steering committee member of the Southern African Development Research Network (SADRN) and is an associate editor for the *Environment and Development Economics Journal*, published by Oxford University Press (UK). She previously served as lecturer in the Department of Economics at the University of Pretoria. She also delivered lectures in public finance at the Joint Facility for Electives at the African Economic Research Consortium (AERC) and at the Collaborative MSc in Agricultural and Applied Economics.



Dr Vijay Reddy

DEd, University of Durban – Westville. HSRC Executive Director: Education and Skills Development (ESD). Previously responsible for graduate programmes, UKZN. Worked as a school science teacher in non-governmental organisations (NGOs) involved in in-service education for science teachers. Taught chemistry in university bridging programmes, and worked for an evaluation and monitoring NGO.



Professor Leickness Simbayi

DPhil, University of Sussex (UK). HSRC Executive Director: HIV/AIDS, STIs and TB (HAST). Previously taught in social science research and in biological psychology undergraduate and postgraduate levels at five universities in Zambia and South Africa. Past academic head of the department or departmental chairperson. Associate editor of two peer-reviewed academic journals, namely *AIDS and Behaviour* and *Journal of Psychology in Africa*. Member of the International Advisory Board of Vulnerable Children and Youth.



Professor Arvin Bhana
 PhD, University of Illinois at Urbana-Champaign (USA).
 HSRC Executive Director: Human and Social Development (HSD).
 Registered clinical psychologist (HPCSA). Adjunct associate professor in the School of Psychology, UKZN. Previous director of the School of Psychology at the then University of Durban – Westville.



Professor Demetré Labadarios
 PhD, University of Surrey (UK).
 HSRC Executive Director: Population Health, Health Systems and Innovation (PHHSI). Previous head of the Department of Human Nutrition, founder and director of the Nutrition Information Centre of the Stellenbosch University (NICUS), director of the African Micronutrient Research Group, Stellenbosch University and director of the Nutrition Support Team at the Tygerberg Academic Hospital. Previously served as consultant to the WHO, the United Nations Children's Fund (UNICEF) and International Atomic Energy Authority (IAEA) and provided technical support to national surveys sponsored by the Global Alliance for Improved Nutrition (GAIN).



Dr Udesch Pillay
 PhD, University of Minnesota (USA).
 HSRC Deputy CEO: Management Support. Former Executive Director of the Democracy, Governance and Service Delivery research programme at the HSRC. Past general manager of Delimitation and Planning Directorate of the Independent Electoral Commission (IEC). Previously served as senior manager at the Centre for Development and Enterprise (CDE). Past lecturer at the University of Natal and Durban–Westville. Co-editor of *South African Social Attitudes: Changing Times and Diverse Voices*; *Democracy and Delivery: Urban Policy in South Africa*; and *Development and Dreams: The urban legacy of the 2010 football World Cup*. Current fortnightly Business Day columnist.



Ms Judith February
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 HSRC Executive director: Democracy, Governance and Service Delivery research programme (DGSD). Former head: Institute for Democracy in Africa (Idasa) - Political Information and Monitoring Service Programme. Regular media politics commentator and served on an ad hoc Parliamentary effectiveness evaluation panel. Awarded Freeman Spogli Institute for Democracy Development and the rule of law at Stanford University, California summer fellowship.

Research Outputs 2012/2013

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Villar-Loubet, O.M., Cook, R., Chakhtoura, N., Peltzer, K., Weiss, S.M., Shikwane, M.E. & Jones, D.L. (2012) HIV knowledge and sexual risk behavior among pregnant couples in South Africa: the PartnerPlus project. *AIDS and Behavior*. November: Online.

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Internationally accredited journal articles for all other categories of HSRC staff (ISI and/or IBSS listings) not counted for ADEPTS (12)

Alli, F., Maharaj, P. & Vawda, M.Y. (2012) Interpersonal relations between healthcare workers and young clients: barriers to accessing sexual and reproductive healthcare. *Journal of Community Health*. July: Online.

Gastrow, M. (2012) A review of trends in the global automotive manufacturing industry and implications for developing countries. *African Journal of Business Management*. 6(19):5895-5905.

Haupt, G. & Koch, E. (2012) The argument for evaluating monolingual language tests for equivalence across language groups. *Southern African Linguistics and Applied Language Studies*. 30(1):65-76.

Jacobs, L.J., Naidoo, A. & Reddy, P. (2012) Crossing the invisible line: exploring women's secretive alcohol dependence and barriers to accessing treatment. *Journal of Psychology in Africa*. 22(3):453-457.

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Moolman, B. (2013) Rethinking 'masculinities in transition' in South Africa considering the 'intersectionality' of race, class, and sexuality with gender. *African Identities*. March: Online.

Nyoka, B. (2012) Mafeje and 'authentic interlocutors': an appraisal of his epistemology. *African Sociological Review*. 16(1): Online.

Phiri, M.Z. (2012) The political economy of Mozambique twenty years on: a post-conflict success story? *South African Journal of International Affairs*. 19(2):223-245.

Roomaney, R.A., Ehrlich, R. & Rother, H-A. (2012) The acceptability of rat trap use over pesticides for rodent control in two poor urban communities in South Africa. *Environmental Health*. 11: Online.

Sanger, N. (2013) Imagining possibilities: feminist cultural production, non-violent identities, and embracing the other in post-colonial South Africa. *African Identities*. January: Online.

Sanger, N. (2013) Living ancestors: Gabrielle le Roux in conversation with Nadia Sanger. *Agenda: Empowering Women for Gender Equity*. 94(26.4):1-9.

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- Chisholm, L. (2012) Apartheid education legacies and new directions in post-apartheid South Africa. *Storia Delle Donne*. 8:81-103.
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- Kanyane, M.H., Houston, G.F. & Sausi, K. (2013) State of South African public service in the context of macro socio-economic environment. *Journal of Public Administration and Governance*. 3(1):126-141.
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- Maluleke, T.X., Manganye, B.S. & Lebese, R.T. (2012) Perceptions of professional nurses in rural hospitals of the Limpopo. *AIDS & Clinical Research*. 3(8): Online.
- Manganye, M.R. & Maluleke, X.T. (2012) Health status of elderly citizens at Siyandhani village of the Limpopo province, South Africa. *African Journal for Physical, Health Education, Recreation and Dance (AJPHERD)*. 18(3):465-475.
- Mchunu, G.G. (2012) Proposed guidelines for a workplace health promotion policy and implementation framework. *Occupational Health Southern Africa*. 18(2):5-12.
- Nestadt, D.F., Alicea, S., Petersen, I., John, S., Myeza, N.P., Nicholas, S.W., Cohen, L.G., Holst, H., Bhana, A., McKay, M.M., Abrams, E.J. & Mellins, C.A. (2013) HIV+ and HIV- youth living in group homes in South Africa need more psychosocial support. *Vulnerable Children and Youth Studies*. January: Online.
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- Peltzer, K. & Pengpid, S. (2013) Intimate partner violence, mental problems and behavioural problems among pre-school children in Vhembe district, South Africa. *Child Abuse Research: A South African Journal*. 14(1):14-21.

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Chitiga-Mabugu, M., Ngandu, S. & Mbanda, V. (2012) Examining viable options for state procurement of services. *HSRC Review*. 10(3):10-11.

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Gordon, S., Roberts, B. & Struwig, J. (2013) The state of the union?: attitudes to South African trade unions. *HSRC Review*. 11(1):7-9.

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Hart, T., Aliber, M., Letty, B., Msibi, M., Baiphethi, M. & Nxele, Z. (2012) Technology helps put food on the table. *HSRC Review*. 10(3):12-15.

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- Makiwane, M. & Chimere-Dan, D. (2012) The people matter: poverty, population dynamics and policy. *HSRC Review*. 10(2):28-29.
- Mbatha, N. (2013) Relationships drive success in the land redistribution process. *HSRC Review*. 11(1):5-6.
- Mnkeni-Saurombe, N. & Zimu, N. (2012) Community libraries tackle inequalities in South Africa. *HSRC Review*. 10(3):3.
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- Motala, S. & Jacobs, P. (2012) Food for thought: the community work programme. *HSRC Review*. 10(2):22-24.
- Msengana-Ndlela, L. (2012) Facing Marikana: inequality, fragmentation, violence and challenges for leadership. *HSRC Review*. 10(4):12-13.
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- Peltzer, K. (2012) Post-traumatic stress prominent in TB and HIV patients. *HSRC Review*. 10(4):14-15.
- Reddy, V. & Juan, A. (2013) What census 2011 taught us about the state of education. *HSRC Review*. 11(1):20-21.
- Reddy, V. (2012) For humanity's sake let's restore the humanities. *HSRC Review*. 10(4):16-17.
- Roberts, B. & Struwig, J. (2013) The nation states: the most important issues that preoccupy the nation. *HSRC Review*. 11(1):10-11.
- Sanchez-Betancourt, D. (2012) Evidence and lessons from Latin America. *HSRC Review*. 10(4):28-29.
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- Shadung, M. (2012) Land restitution: the price of choosing money over land. *HSRC Review*. 10(4):26-27.
- Struwig, J. & Roberts, B. (2012) Heart of the matter: nuclear attitudes in South Africa. *HSRC Review*. 10(2):8-11.
- Turok, I. (2012) Linking growing African economies and mushrooming cities. *HSRC Review*. 10(2):25-27.
- Turok, I. (2012) Transforming excluded communities into inclusive cities. *HSRC Review*. 10(4):10-11.
- Van der Linde, I. (2012) Reconciling the irreconcilable: the traditional courts bill. *HSRC Review*. 10(2):7.
- Van der Linde, I. (2012) Science and the public: building trust for development. *HSRC Review*. 10(4):18-19.
- Viljoen, J. (2013) Lending a hand: state-owned enterprises can assist small business development. *HSRC Review*. 11(1):27-28.
- Vivier, E. & Wentzel, M. (2012) Infrastructure and service delivery - lessons from SA and China. *HSRC Review*. 10(4):24-25.
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- Kruss, G., Visser, M., Haupt, G. & Aphane, M. (2012) *Academic interaction with external social partners: investigating the contribution of universities to economic and social development*. Cape Town: HSRC Press.
- Nyamnjoh, F., Pillay, U., Hagg, G. & Jansen, J. (eds). (2013) *State of the Nation: South Africa 2012-2013*. Cape Town: HSRC Press.
- Skutnabb-Kangas, T. & Heugh, K. (eds). (2012) *Multilingual education and sustainable diversity*

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Steyn, N.P., Parker, W. & Labadarios, D. (2012) *Vitamin B3 deficiency*. (BMJ Point-of-Care 2012).

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Heugh, K. (2012) Cost implications of the provision of mother-tongue and strong bilingual models of education in Africa. In: Ouane, A. & Glanz, C. (eds). *Optimising learning, education and publishing in Africa: the language factor: a review and analysis of theory and practice in mother-tongue and bilingual education in sub-Saharan Africa*. Hamburg: UNESCO. 255-289.

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Hart, T. & Aliber, M. (2012) Inequalities in agricultural support for women in South Africa. (HSRC Policy Brief, November).

Jacobs, L., Steyn, N. & Labadarios, D. (2013) 'Mind the gap': observations in the absence of guidelines for alcohol abstinence among expectant women in South Africa. (HSRC Policy Brief, March).

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Prinsloo, C.H. & Heugh, K. (2013) The role of language and literacy in preparing South African learners for educational success: lessons learnt from a classroom study in Limpopo province. (HSRC Policy Brief, March).
Steyn, N.P. (2012) Community service dieticians delivering an effective nutrition service: what are the policy options?. (HSRC Policy Brief, August).

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Yu, K. & Frempong, G. (2013) Fast-tracking value-added analysis to ensure fairer assessment: a South African perspective. (HSRC Policy Brief, March).



GOVERNANCE REPORT



Ethical leadership

The conduct of board members and employees of the organisation is governed by the HSRC code of ethics and the code of conduct, which has been approved by the board and circulated to all employees. The HSRC abides by the following ethical values that underpin ethical behaviour across the HSRC:

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

The fundamental objective has always been to do business ethically while building a sustainable organisation that recognises the short and long-term impact of its activities on the economy, society and the environment.

CORPORATE ETHICS

The 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 ethical risks across the HSRC. It also makes provision for protected disclosure of corrupt activities such as theft, fraud, dishonesty, harassment or any other unethical behaviour reported through the Ethics Hotline (0800 212 123) and the Fraud Hotline (0800 212 124).

The HSRC has prioritised the management of conflict of interest risks in its research and day-to-day business activities as the regulation Financial Conflict of Interest (FCOI) requires the HSRC to maintain an appropriate written enforced 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 (CRO) has been entrusted with the responsibility to facilitate management of conflict of interest's risks by ensuring that board members and eligible employees declare their business interests annually. Declared business interests are recorded in the register of interests, which is also utilised in the development of related transactions report. Declaration of interests is done at all HSRC engagements such as interviews, bid adjudication, bid evaluation and other management meetings. Any related parties transactions for the period under review are reported in the annual financial statements section, disclosure Note 27.

As part of its Anti-Corruption Campaign, the HSRC

commemorates the international anti-corruption day on 9 December every year since 2010. HSRC staff are encouraged to pledge their commitment to act against corruption and to commit themselves to serve the institution and its stakeholders with respect, dignity, integrity and consistently apply the values and principles outlined in the HSRC code of conduct.

During the period under review, the HSRC Anti-Corruption Campaign focussed on empowering staff to act against corruption and this included presentations by specialist researchers from the DGSD unit and case study by the ERM team.

In an effort to strengthen its contribution towards building an ethical South Africa, the HSRC has partnered with the Ethics Institute of South Africa (EthicsSA). This partnership puts an obligation on HSRC management to lead by example and ensure that their decisions are based on moral principles, transparent and beyond reproach. It also 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 HSRC offices.

The HSRC is a multi-national organisation operating in a multi-cultured environment and it has acknowledged the requirements of being an ethical global organisation by ensuring compliance with the Human Rights Act.

RESEARCH ETHICS AND INTEGRITY

The HSRC is committed to undertake high-quality research. It has systems and structures in place to promote the responsible conduct of research and integrates principles of research ethics and research integrity into the way research is planned, reviewed, conducted and communicated. During 2012/2013 a new unit for research ethics and integrity, reporting to the Deputy CEO for Research, was established to consolidate institutional support for this work.

Research ethics

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

The REC has a current Federalwide Assurance (FWA) registration (registration number FWA 00006347) to confirm that it complies with regulations of the US-based Department of Health and Human Services regarding the protection of human subjects. The committee is also registered with the South African National Health Research Ethics Council (NHREC No 290808-015). Towards the end of 2011/2012, the NHREC audited all registered RECs. The outcome of the audit conducted on the HSRC REC was very positive.

The mandate of the HSRC REC is to review all HSRC research proposals from the perspective of research ethics. Research programmes within the HSRC are not allowed to execute any project until ethics approval has been granted. The REC grants exemption from ethics review to research meeting certain criteria, for example literature reviews and secondary analysis of data that is freely available in the public domain. The REC may recognise the authority of other registered RECs at other institutions to avoid duplication of review processes. 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 administration fee.

The HSRC REC consists of internal as well as external members, and 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, appointed by the executive directors concerned. External members are selected for their acknowledged expertise in required areas of work, in accordance with 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. The current external members of the REC, whose term expires at the end of October 2014, are:

- Professor Doug Wassenaar (Chair) – School of Applied Human Sciences, University of KwaZulu-Natal, Pietermaritzburg;
- Professor Anne Pope (Deputy Chair) – Department of Private Law, University of Cape Town;
- Professor Peter Cleaton-Jones – Steve Biko Centre for Bioethics, University of Witwatersrand;
- Mrs Shirley Mabusela (Deputy Chair Designate) – community representative;
- Mrs Nicole Mamotte – UKZN/UNAIDS African AIDS Vaccine Programme's Ethics, Law and Human Rights Collaborating Centre;
- Dr Theresa Rossouw – Faculty of Health Sciences, University of Pretoria;
- Professor Jerome Singh – Centre for the AIDS Programme of Research in South Africa, Doris Duke Medical Research Centre, Nelson R Mandela School of Medicine, University of KwaZulu-Natal, Durban;
- Adv Ann Strode – Faculty of Law, University of KwaZulu-Natal, Pietermaritzburg;
- Mrs Nothemba Vusani – community representative;
- Dr Reidar Lie (International Advisor) – Professor of Bioethics, University of Bergen, Norway; and
- Dr Mokhantso Makoae of the Population, Health, Health Systems and Innovation (PHHSI) research programme of the HSRC serves as HSRC-based deputy chairperson of the REC.

The REC exercises oversight over the needs and concerns of potential participants and beneficiaries of research. REC members are trained to review research proposals to ensure that principles of autonomy, non-maleficence, beneficence and justice are adhered to. They review the proposed approach to be followed to inform potential research participants of the purpose, potential benefits and risks of participation, and the process of obtaining informed consent from participants. The HSRC REC therefore serves as a guardian of the interests of people participating in research projects. It has a system in place to deal with complaints and adverse events. The HSRC has a unique toll-free hotline for participants and other parties to register any ethical concerns about HSRC approved research projects.

Prior to written or verbal consent being sought from participants, the HSRC requires that potential research participants be handed a participant information sheet written in a language understandable to them (or guardian) detailing what the research will involve and what will be expected.

During 2012/2013 the HSRC REC paid particular attention to requirements for research involving children, and ensured that HSRC guidelines were updated to reflect requirements implemented when Section 71 of the National Health Act came into effect.

This important area of work also received attention in a research programme of the HSRC, when research-based guidelines and training tools dealing with the legal, ethical and counselling issues related to HIV testing of children was developed and published by a team housed in the HAST research programme.

Between 1 April 2012 and 31 March 2013, the REC met 10 times via video- and teleconference. A total of 61 new applications were considered of which 36 were internal to the HSRC and 25 external. Applications for exemption of ethical review totalled 7. There were 16 requests for amendments, extensions and additions to approved studies. Such requests are mainly triggered by a change in the scope of work, extension of scope and coverage area. There were 5 applications for the renewal of protocols. Annual renewal of approvals is mandatory and researchers are urged to comply with this to avoid violation of ethics requirements.

Ten members of the REC and HSRC researchers attended an orientation-training workshop on ethical issues in social science research, held on 16 October 2012 at the HSRC. The workshop presenter was Professor Wassenaar. The workshop was based on a recent chapter published by two HSRC REC members (Wassenaar & Mamotte, 2012). Workshop attendance was recognised by the Health Professions Council of South Africa (HPCSA) for purposes of Continuous Professional Development (CPD) credits.

Research integrity

Building on the HSRC Board-approved policy on research integrity, a workshop to promote awareness of research integrity alongside its negative counterpart, research misconduct, was presented on 18 March 2013. The workshop included case studies and discussions on aspects of research misconduct, namely plagiarism, falsification and fabrication. It also addressed good research practice around authorship, data management and financial conflict of interest.

The work done during 2012/2013 provided a sound framework to promote the responsible conduct of research, while also strengthening approaches to prevent or deal with possible cases of research misconduct. The issue of financial conflict of interest in research was brought to the fore by changes in the US regulatory context, and is reflected in the most recent version of the HSRC Fraud Prevention Strategy. For research funded by the US Department of Health and Human Services (DHHS), the HSRC is required to submit an annual report on cases of research misconduct reported, investigated or acted on. The report submitted in February 2013 fortunately reflected a clean record for the year in relation to these research projects.

The HSRC remains committed to implementing progressive research ethics and research integrity policies and procedures and has invested considerable resources into ensuring high quality ethical research that protects and promotes the dignity and welfare of the thousands of people who participate in research projects.

Sustainability report

FINANCIAL SUSTAINABILITY

The HSRC is a public entity and relies on funding from both government, as well as external donor institutions to fund research aligned to its mandate and strategic objectives. In order to ensure that the institution maintains its 'going concern' status, the HSRC is increasing its efforts to obtain funding for multi-year research projects including longitudinal studies. During the year, greater diversity in terms of the donor community was achieved with South African government departments, the Department of Higher Education and the Department of Science and Technology, concluding multi-year contracts with the HSRC. The external income target set for the organisation, as well as the multi-year grant objective were both met for the year, giving a strong indication of the HSRC's ability to secure funding, which supports the contention of financial sustainability.

SOCIAL RESPONSIBILITY REVIEW

As a research institution, guided by research ethics that ensure fair treatment of human participants in research projects, the HSRC is driven by and aspires to maintain a positive social impact through its research outputs and its process of conducting research. As a social science research institution, the HSRC is a major roleplayer in the social development of South Africa, Africa and globally.

Research activities presented in this annual report, reflect the HSRC's commitment to conduct its research in a socially responsible and beneficial manner. In executing the HSRC's public-purpose research mandate, all staff members are required to be sensitive to developmental issues and to the special needs of marginalised and vulnerable groups.

Distinctive research approach

The HSRC has employed additional avenues of disseminating information to improve the uptake of its research by the public and possible beneficiaries. This is done, for instance, by making publications available free of charge through the Internet, the use of other media such as videos and photographic exhibitions, and the distribution of the quarterly news magazine the *HSRC Review* to all high schools, which contains accessible presentations of recent research outputs. Regular engagement with decisionmakers, including Parliamentary portfolio committees, also remains

a priority. Web-based dissemination strategies are increasingly receiving attention. HSRC research is underpinned by values of respect, honesty, quality and integrity.

Considering the human factor

The needs of vulnerable communities and respondents are taken into account when formulating research questions for research proposals or projects. Before any data collection may commence, research protocols and data preservation plans must be reviewed and approved by the research ethics committee (REC) of the HSRC.

Where possible, community members are recruited and trained for survey research work, to ensure local capacity development and employment creation alongside local cultural sensitivity and language proficiency. Research projects are undertaken in a context of teamwork and collaboration, with opportunities for learning and growth for emerging and established researchers alike.

Collaboration with internal as well as external team members are well managed through Memoranda of Understanding (MoUs) or contractual agreements. Research participants sometimes express unsolicited appreciation for the benefits gained by responding to the research (e.g. access to free health screening for SANHANES).

Bridging the gaps

HSRC researchers and research managers are committed to bridging the gaps between theory and practice and between research, policy and public discourse. This commitment allows for various forms of engagement with journalists, policymakers, educators, students and members of the public, always guided by the HSRC's code of research ethics and media policy.

The HSRC has established a dedicated, cross-cutting unit for research use and impact assessment. This unit promotes effective research communication through publication, workshops, seminars, media communication and increasing use of electronic and social media. The 'new look' HSRC website, launched in 2012/2013, provides a platform for communication via Twitter, Facebook and other interactive modes of communication.

Research teams bring perspectives from various disciplines and are solution-oriented in their work. For instance, introducing perspectives from the humanities alongside that of the social sciences, and addressing social and behavioural questions alongside assessment of health-related matters.

Large research projects are required to have good governance and management structures in place, with oversight by advisory structures such as project steering committees or implementation networks.

Commitment to research quality and capacity development

Research trainees participate in projects to allow for exposure to, and involvement in, critical elements of the research process.

The commitment to capacity development also extends to researchers, research counterparts, government officials and external stakeholders.

Data as well as research outputs are made available in an accessible and well-managed environment. This serves as critical resource for further research as well as research capacity development.

Community-oriented activities

The HSRC has, through several research projects, instituted initiatives aimed at addressing the developmental needs of communities. For example, community-based counsellors were appointed to ensure that people involved in research focussing on the social aspects of HIV/AIDS, have access to appropriate counselling and support services. Research projects involving considerable fieldwork components create employment opportunities for people serving as fieldworkers and field managers.

Business activities

In its procurement policy and practice, the HSRC is committed to the promotion of Broad-Based Black Economic Empowerment (BBBEE) and the advancement of black-owned small and medium-sized enterprises (SMEs). During the period under review,

the HSRC achieved a level 3 BBBEE certification. Implementation of the Supply Chain Management (SCM) policies and procedures across the organisation enabled the disposal of assets and inventory in a socially responsible way.

The HSRC is involved in research capacity development through its research intern scheme and other forms of short-term appointments. Support service units such as the HSRC Library and the HSRC Press also provide workplace experience to students.

ENVIRONMENTAL IMPACT REVIEW

Through its operations, the HSRC activities impact on the environment through:

- Printing of documents and research instruments;
- Travelling by car and air;
- Waste generated through activities;
- Smoke emission from the back-up generator; and
- Electricity and water usage.

The HSRC is committed to sustainable development and its drive to reduce its carbon footprint is consistently communicated to all staff by encouraging them to identify ways of saving and effectively utilising resources such as energy and paper. The following table illustrates goods and services that have an impact on the environment and measures to reduce the carbon footprint:

Goods and services	Existing measures to reduce consumption
Electricity	<ul style="list-style-type: none"> Automatically switching off lights and air conditioning units in Pretoria building after-hours, using the Building Management System (BMS). Digital control system was installed on 140 AC fan coil units on 2nd and 3rd floor during 2011/2012 to improve temperature control and reduce electricity consumption on both heating and cooling cycle. Where electronic control units are installed in the building, a saving of up to 5% in electricity consumption on air conditioning units was achieved. Air conditioning units in the building are rippled at 10:00; 13:00 and 16:00 to ensure air conditioning units are switched off when not in use to further reduce energy consumption. Air conditioning units are also rippled off when the building reaches a pre-determined maximum demand, to ensure that no penalties are paid to the authorities for exceeding the building's maximum demand target. The HSRC installed digital light control in the Auditorium 310 in 2011/2012 and in the Auditorium 150 in 2012/2013, in order to connect to the BMS to further improve on energy consumption.
Waste management	<ul style="list-style-type: none"> Used fluorescent tubes are no longer dumped at rubbish dumps, but are stored until a full load is collected for recycling.
Paper	<ul style="list-style-type: none"> Paper and boxes are collected from the HSRC buildings for recycling. HSRC publications are made available on the website and on CDs distributed to stakeholders. Through the data curation process and the HSRC virtual library, stakeholders are provided with online access to research information.
Water	<ul style="list-style-type: none"> All hand washbasins in the building have now been fitted with push type metering taps to supply approximately three seconds of water each time the tap is pushed. This initiative together with closer monitoring of water usage in general contributed to a saving of approximately 50% in water consumption.
Travel	<ul style="list-style-type: none"> Meetings where participants are required from the various HSRC offices, are held via video-conference facilities as far as possible.
Emergency stand-by generator	<ul style="list-style-type: none"> The replaced stand-by generator, which has the latest generation fuel efficiency and low gaseous emission mechanisms, significantly reduces the HSRC's carbon footprint and complies with international standards. It has proved to be very efficient.

Status report on electricity consumption

Consumption of electricity during the financial year 2012/2013 was 4,122,184 KWH compared to 4,302,176 KWH in 2011/2012 which represents a saving of about 4.3%. The targets for installation of speed drives on 3-phase electric motors, the installation of electronic control on 150 fan coil units and upgrade to BMS could not be achieved due to lack of funds for capital expenditure (CAPEX). Unfortunately the HSRC was unsuccessful with its MTEF request to DST for CAPEX funding. Although we could not install the speed drives we still managed to install electronic dimmers on the lights for Auditorium 150.

The installation of electronic dimmers together

with more stringent controls in all other areas has contributed to the saving of 4.3% in electricity consumption achieved. Since the installation of the BMS in 1996 the HSRC has managed to significantly reduce its electricity consumption over the years. The HSRC committed to implement measures to reduce consumption over a five-year period from 2012/2013 to 2016/2017. The HSRC prides itself on the low usage of electricity in the HSRC Building at only R10.91m² per month, compared to most other commercial buildings that consume in excess of R15.00m² per month.

HSRC Board

ROLE AND FUNCTION OF THE HSRC BOARD

The HSRC operates in terms of the HSRC Act No 17 of 2008 (the Act) and as a Schedule 3A public entity, performs within the statutory guidelines of the Public Finance Management Act (PFMA) and the associated Treasury Regulations. In adhering to the requirements of the executive authority, the HSRC Board has adopted the King III principles of good governance.

The board is appointed to provide governance oversight 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, defines the board's responsibilities and duties as follows:

Corporate governance

To ensure that the HSRC's activities, performance and values are in line with the statutory objects and functions as specified in Section 3 and 4 of the Act;

- (i) To determine, monitor and evaluate the implementation of the HSRC's strategic and business plan in conjunction with the CEO, and to conclude a shareholder's agreement with the executive authority (the minister) setting out mutual rights and obligations;
- (ii) 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 the 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.
- (iii) To ensure that HSRC practices comply with legislation relating to transformation, labour relations and occupational safety;
- (iv) To ensure that the HSRC complies with all other relevant laws, regulations and codes of best business practice; and
- (v) To exercise leadership, enterprise, integrity and judgement in directing the affairs of the HSRC.

Other responsibilities

- (i) To appoint the chief executive officer (CEO) of the HSRC in accordance with the procedures set out in Section 10 of the Act;
- (ii) To monitor the performance and effectiveness of the HSRC, the CEO and 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;
- (iii) 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;
- (iv) To approve acquisition and alienation of HSRC assets in accordance with the Act, and to regulate the commercialisation of the HSRC's inventions; and
- (v) To establish policies and guidelines for the functioning of the HSRC.

STRUCTURE OF THE HSRC BOARD

Section 5 of the HSRC Act outlines the composition of the board. Members are selected and appointed by the Minister from a short list of candidates approved by the National Assembly:

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

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 HSRC. 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 HSRC Board between 1 April 2012 and 31 March 2013:

- Mrs Phumelele Nzimande (Chairperson);
- Professor Lulama Qalinge;
- Professor Amanda Lourens;
- Professor Paulus Zulu;
- Professor Edward C. Webster;
- Dr Bothale Tema;
- Professor Tahir Pillay;
- Professor Enrico Uliana;
- Professor Adebayo Olukoshi;
- Professor Fulufhelo G Netswera; and
- Professor Olive Shisana (CEO).

BOARD MEETINGS AND ATTENDANCE

In its commitment to ensure that the board remains effective in its role as custodians 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 to be met. The board determines the procedures for its meetings, which is contained in the Board Charter and reviewed from time-to-time.

During the year under review, the following meetings were held by the board:

Board member	Meetings held			
	May 2012	August 2012	November 2012	February 2013
Mrs Phumelele Nzimande (Chairperson)	A	P	A	A
Professor Lulama Qalinge	P	P	A	A
Professor Amanda Lourens	P	P	P	P
Professor Paulus Zulu	P	P	P	A
Professor Edward C. Webster	P	A	P	P
Dr Bothale Tema	P	P	A	P
Professor Tahir Pillay	P	P	A	P
Professor Enrico Uliana	P	P	P	P
Professor Adebayo Olukoshi	P	P	A	P
Professor Fulufhelo G Netswera ¹	N/A	N/A	P	P
Professor Olive Shisana (CEO)	P	P	P	P

P: Present

A: Member absent with an apology

¹ Member appointed with effect from 1 November 2012

INDUCTION AND ORIENTATION

Formal induction of the board as a collective is conducted at appropriate intervals, ie at the beginning of each new board term. The induction programme is structured to provide an overview of the organisational mandate and legislative framework, but also to provide an opportunity to board members to critically assess and inform the HSRC's strategic alignment in the prevalent environment. Informal induction of individual (new) members is conducted as necessary.

In addition to formal and informal induction processes, the HSRC Board is continually kept abreast of significant developments, changes and risks through comprehensive reports at the quarterly board meetings. Board members are also invited to participate in the annual organisational strategic planning session.

BOARD SECRETARIAT FUNCTION

The HSRC Board is assisted by a board secretary that provides secretariat and administrative support to the board, its sub-committees and various other forums such as the executive directors' meetings and HSRC Bargaining Forum.

The board secretary's role and function particularly includes acting as liaison between the board and the organisation, providing comprehensive support and guidance to the executive management, compiling and filtering board papers, ensuring compliance with appropriate standards of ethics and good governance and performing project management pertaining to the activities of the various committees.

The board secretary has embarked on a succession plan through identifying and mentoring a successor, to ensure the continued integrity of the board secretariat function.

ANNUAL BOARD EVALUATION

King III recommends annual evaluation of the board. Clause 9 of the HSRC Board Charter gives effect to this recommendation, whereby the board agreed that it would conduct an annual self-assessment or self-evaluation to assess its performance. The evaluation is based on a pre-determined criteria, starting with a review of the board's responsibilities to ensure that board members have a firm understanding thereof.

The evaluation tool as agreed upon by the board is based on a self-diagnostic instrument from the Institute of Directors Southern Africa (IoDSA) and was adapted to suit the needs of the HSRC Board members. The self-evaluation questionnaire covers 11 focus areas, namely the board role and agenda setting; size, composition and independence of the board; board members orientation and development; board leadership, teamwork and management relations; board meetings; board evaluation and continuous improvement; management evaluation; compensation and ownership; succession planning; code of conduct and ethics; and stakeholder management and board secretary.

The self-evaluation for the year under review confirmed that the board was satisfied that it was properly constituted to perform its duties and responsibilities as contained in the HSRC Board Charter. It was successful as a coherent team that functioned independently from management, while maintaining a healthy relationship with the HSRC executive and key stakeholders.

Board members received sufficient and relevant information to assess the organisation's performance and management, and to keep abreast of and influence the strategic direction of the organisation.

BOARD COMMITTEES

Audit and risk committee

The HSRC Board established an audit and risk committee (ARC), which is constituted in terms of Treasury Regulation 27.1 and Section 51 (1)(a)(ii) of the PFMA. The committee has an independent role and is accountable to the board.

The ARC also incorporates the functions of the finance committee and the combined roles and responsibilities are encapsulated in the Audit and Risk Committee Charter, which is approved by the board and reviewed annually.

The committee comprises six members, three of which are members of the HSRC Board and three independent non-executive members.

Human resources and remuneration committee

The aim of the human resources and remuneration committee, in its dual role, is 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 necessary to measure the performance of the HSRC executive. It also reviews HR policies and reports including employment equity and skills development, information on performance management in the HSRC, as well as 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 standing invitations to all meetings. The committee met four times in the year under review:

Meeting attendance	Meetings held			
	May 2012	August 2012	November 2012	February 2013
Mrs P Nzimande (Chairperson)	A	P	A	A
Professor Lulama Qalinge	P	A	A	A
Professor Edward Webster	P	A	P	P
Professor Olive Shisana (CEO)	P	P	P	P
Professor Amanda Lourens	A	P	P	P
Professor Paulus Zulu	P	P	P	P
Dr Bothale Tema	P	P	A	P
Professor Tahir Pillay	P	P	A	P
Professor Enrico Uliana	P	P	P	P
Professor Adebayo Olukoshi	P	P	A	P
Professor Fulufhelo Netswera ²	N/A	N/A	P	P

P: Present

A: Member absent with an apology

RESEARCH COMMITTEE

The research committee contributes to the development of the overall research portfolio and approach of the HSRC by engaging with management and staff around critical developments in the research arena. Members of the research committee are invited to attend and contribute to the HSRC's annual strategic planning lekgotla. Four members of the research committee attended and contributed to the HSRC's annual strategic planning lekgotla, on 16 November 2012, ie Mrs Phumelele Nzimande, Dr Bothale Tema, Professor Lulama Qalinge and Professor Fulufhelo Netswera.

² Member appointed with effect from 1 November 2012

The Governance of Risk

MANDATE FOR RISK MANAGEMENT

Risk is the uncertainty of an event being influenced by internal and external factors that make it uncertain to determine whether an organisation will achieve its objectives, making it an essential and unavoidable aspect of any organisation. Management of risk includes identifying, analysing, evaluating and treating/controlling the risk as it may have reputational, financial and operational impact on the organisation. Effective management of risk provides reasonable assurance that organisational and strategic objectives will be achieved.

The HSRC has a legal mandate to develop and implement effective and efficient systems of risk management and internal control in accordance with the PFMA, Treasury Regulations and King III. Treasury Regulation 272.1 requires the HSRC to conduct risk assessments regularly and develop a risk management strategy that includes a fraud prevention plan and management capacity required to manage the identified risks.

RISK MANAGEMENT OVERSIGHT AND COMBINED ASSURANCE

The HSRC Board is responsible for risk governance and is accountable to the Department of Science and Technology to ensure that the HSRC maintains an effective, efficient and transparent financial management, risk management and internal control system.

The audit committee and the risk management committee ensure combined assurance to address significant risks, consider the risk management policy and plan, and monitor the risk management process, respectively. Monitoring is an integral part of the risk treatment plan in order to provide assurance that the measures taken remain effective. The HSRC Enterprise Risk Management (ERM) unit will continue to monitor the strategic risks and identify emerging risks.

The HSRC has appointed an internal audit function which is responsible for providing assurance services on the effectiveness and adequacy of risk management activities to assist management in improving internal controls. A risk management review was conducted by the internal auditors during the 2012/2013 financial year and their audit findings incorporated in the action plan for addressing risk management audit findings.

RESPONSIBILITY FOR RISK

MANAGEMENT

Managers are responsible for the management of risk in their day-to-day activities and are encouraged to take calculated risks and take risk-informed decisions. The chief risk officer (CRO) has been delegated the responsibility of developing a risk management policy and plan which is approved by the CEO and the board. The risk management policy which is included in the ERM strategy has been distributed throughout the organisation. The CRO oversees and coordinates all risk management activities throughout the HSRC and is the custodian of the ERM strategy.

RISK MANAGEMENT MATURITY

The HSRC has an Enterprise Risk Management (ERM) strategy which outlines risk management responsibilities, activities, and methodology. The identification and management of risk is a fundamental part of the HSRC strategy in protecting its employees and stakeholders interests. The HSRC Risk Management Plan is a tool utilised to communicate with stakeholders on the risk management process. The full implementation of the risk management plan targets and activities are translated into the performance agreement of the chief risk officer.

The National Treasury has developed a risk management capability maturity model that outlines six maturity levels that public-sector institutions should aim to achieve in terms of risk management, internal audit and financial management, which are as follows:

- Level 1 – Start up
- Level 2 – Development
- Level 3 – Control
- Level 4 – Information
- Level 5 – Managed
- Level 6 – Optimising

The HSRC risk management maturity had reached level 5, as at 31 March 2013, compared to level 3.6 in March 2012.

In implementing King III recommendations on good corporate governance, formal processes of ERM are incorporated to achieve effective and efficient business practices.

Legislative Compliance

Compliance with applicable legislation and prescripts is mandated by the PFMA in Section 51(1)(h) which requires the HSRC Board to comply and ensure compliance by the HSRC with the provisions of the PFMA and any other applicable legislation. Management of compliance risk is part of the HSRC approach to enterprise risk management (ERM). The chief risk officer (CRO) as the compliance officer is tasked with the responsibility of monitoring compliance with applicable prescripts and report to the CEO on the status of compliance. In protecting the organisation's reputation and ensuring financial sustainability, the risk of non-adherence to regulatory requirements is addressed through compliance assessments conducted on a quarterly basis. A compliance culture is encouraged by ensuring that management is aware of the legislative prescripts affecting their areas of responsibility.

COMPLIANCE REPORTING

The HSRC reports to the Department of Science and Technology (DST) on a quarterly basis on the level of compliance to relevant legislation and prescripts. Issues of compliance are a standing item in meetings of the board, audit and risk committee and management committees.

The HSRC continues to identify legislative prescripts in order to ensure compliance and promote good corporate governance.

RISK POLICY STATEMENT ON COMPLIANCE

The principles and commitment of the HSRC Board to the management of compliance risk are included in the risk policy statement. The risk policy statement provides insight on the HSRC's perspective on integrity, fair dealing, accountability and transparency of the organisation's processes. Management of compliance risk forms part of the risk management process of the HSRC and is guided by the risk management policy statement which forms part of the risk management framework. One of the principles of the risk management policy statement is ensuring that risk awareness, control and compliance are embedded in the day-to-day business activities of the HSRC.

COMPLIANCE LEVELS WITH APPLICABLE LEGISLATION AND PRESCRIPTS

During the period under review, compliance assessments were conducted and action plans were developed to address gaps where applicable.

The compliance focus areas for the period ending include 31 March 2013 include:

NO	SHORT NAME	FULL DESCRIPTION OF PRESCRIPT	COMPLIANCE LEVELS
1	PFMA	Public Finance Management Act, (Act No 1 of 1999) as amended	* 100%
2	PPPFA	PPPFA Preferential Procurement Policy Framework Act, (Act No 5 of 2000)	* 100%
3	HSRC ACT	Human Sciences Research Council Act, (Act No 17 of 2008)	* 100%
4	BCEA	Basic Conditions of Employment Act, (Act No 75 of 1997)	* 100%
5	COIDA	Compensation for Occupational Injuries and Diseases Act, (Act No 130 of 1993)	* 100%
6	IPR	Intellectual Property Rights from Publicly Financed Research and Development Act, (Act No 51 of 2008)	* 100%
7	LRA	Labour Relations Act, (Act No 66 of 1995) as amended	* 100%
8	EEA	Employment Equity Act, (Act No 55 of 1998)	* 100%
9	KING III	King Code of Governance Principles for South Africa, 2009	97%
10	GCIS	Government Communication Information Security Regulation	85%
11	OHS	Occupational Health and Safety Act, (Act No 85 of 1993)	93%
12	PHS FCOI	Financial Conflict of Interest (FCOI) regulations, United States 53256 federal register volume 76, no 165	**89%

* No incidents of non-compliance with legislation and prescripts were identified or reported.

** The Anti-Corruption Strategy has been reviewed to incorporate the requirements of the PHS regulations to ensure 100% compliance by end of the financial year 2013/2014. The HSRC has been listed in the FDP Clearinghouse and has an Institutional Certification of Compliance with PHS FCOI Regulations.

IT Governance

The HSRC Information Technology Governance Framework ensures that the HSRC has appropriate levels of computing, network services and technical support to allow it to achieve its strategic goals and objectives. The IT director is responsible for implementation and management of the computing resources and information facilities of the HSRC to create an environment conducive to excellence in academic research and management.

King III – The PriceWaterhouseCoopers self-assessment on the thirteen IT governance focus areas and the seven King III Governance Principles was completed during the period under review. The outcome of the King III IT governance self-assessment was compared with other organisations in the same category and the HSRC showed an above average maturity level. Areas of improvement were identified and a roadmap was drawn up to address these areas.

Some of the key HSRC key IT projects undertaken during the 2012/2013 financial year include:

- **Broadband Connection** – Successfully connected to the South African National Research Network (SANReN) backbone that connects universities and public research organisations at speeds of between 1 and 10 gigabit-per-second. This broadband connectivity has substantially enhanced the ability to easily collaborate with other research institutions locally and internationally, run international video-conferencing, transfer large-scale data and also provide fast access to the Internet.
- **IT Information Security** – Developed and reviewed information security practices, policies and standards for the organisation in order to improve the network's resistance to threats. IT awareness activities were initiated to achieve appropriate information security levels through education of internal users.
- **Systems Optimisation and Integration** – This is an on-going exercise carried out to increase productivity, lower costs and reduce duplication of systems to support the delivery of quality services to all employees of the council.
- **Virtualisation** – The HSRC implemented strategies to improve effectiveness and efficiency, reduce the risks of IT systems outages and data loss, increase application availability, performance and business continuity. The virtualisation project reduced the organisation's cost of ownership of IT systems and also played a part in reducing the negative impact on the environment.
- **IT Governance Framework** – The IT Governance Framework was developed in order to ensure that the IT function effectively supports implementation of the organisation's strategic objectives and assist in measuring IT resources and performance.
- **Research Management System (RMS)** – Our research management system has been revamped in order to meet the organisation's evolving needs. Included in this system are the finance, interns, MoU, and research ethics modules. These modules enable the organisation to easily track and report on internal activities.

Stakeholder Engagement

ENGAGEMENT WITH KEY STAKEHOLDERS

If an organisation is to survive and prosper, it must pay attention to the interest of its stakeholders. The success of communication and marketing efforts will hinge on the appropriate identification of target groups or individuals. This leads to the concept of stakeholder relationship management.

Stakeholders are those individuals or groups that have a vested interest in the performance of the HSRC and its research outputs. They have a greater influence over the long-term role and nature of the HSRC.

Included in this group are all persons at the primary point of delivery for the research outputs and have significant influence over the current business; industry partners; provincial and national government departments; international research interest groups and funders; universities and other interest groups.

Our primary relationships are with the following groups and individuals:

- International community (donors/funders, research institutions, foreign governments, foreign universities);
- Department of Science and Technology;
- Other government entities and Parliament (national, provincial, local);
- HSRC staff;
- HSRC Board and its subcommittees;
- Other researchers (strategic partners, customers);
- Community (NGOs, traditional leaders, women groups, churches, schools);
- Tertiary education sector (not only universities);
- Private/business sector (strategic partners and customers);
- Unions;
- The South African public;
- External and internal auditors;
- Media; and
- Other science councils.



Success

Solution

Business

- Innovation
- Branding
- Solution
- Marketing
- Analysis
- Ideas
- Success
- Management

- Innovation
- Branding
- Solution
- Marketing
- Analysis
- Ideas
- Success
- Management

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May

Jun

Jul

Aug

Sep

Oct

Nov

Dec

PERFORMANCE AGAINST PREDETERMINED OBJECTIVES



Performance Against Predetermined Objectives

PERFORMANCE HIGHLIGHTS

87% (48/59) of the HSRC's performance against annual targets for the 2012/2013 financial year is summarised on pages 86 to 97 of this annual report. During this period, the HSRC achieved the following performance against ADEPTS targets as set out in the Annual Performance Plan:

A-Advance	70% (Out of 10 targets: 1 achieved and 6 exceeded)
D-Develop	83% (Out of 35 targets: 29 achieved)
E-Enhance	100% (Out of 3 targets: 1 achieved and 2 exceeded)
P-Preserve	100% (Exceeded targets by one preserved dataset [22/21])
T-Transform	70% (Out of 5 targets: 3 targets achieved)
S-Sustain	100% (Out of 5 targets: 1 achieved and 4 targets exceeded)

PREDETERMINED OBJECTIVES

The mandate of the HSRC as per the HSRC Act has been translated into strategic priorities for the period 2012/2013 to 2016/2017 and the following strategic objectives contribute to the delivery of this mandate:

A - Knowledge Advancement

Strategic objective 1.1	Dissemination of knowledge through public dialogue, policy briefs and publications
Objective statement:	The HSRC will have disseminated knowledge globally by hosting public dialogue, publishing policy briefs; peer-reviewed journal articles in internationally accredited scientific journals; recognised books and book chapters with at least one HSRC researcher listed as author or co-author by the end of 2016/2017.
Strategic objective 1.2	Institutional collaboration
Objective statement	The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by working closely with government, universities, non-governmental organisations and donor organisations by end of the financial year 2016/2017.

D - Contribution to Development and social progress in Africa

Strategic objective 2.1	Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives
Objective statement	By end of the financial year 2016/2017 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.
Strategic objective 2.2	Promoting an African research agenda
Objective statement	The HSRC will have promoted an African research agenda through knowledge and research partnerships elsewhere in Africa and by encouraging comparative work and the involvement of expert participants and reviewers from other parts of Africa by 2016/2017.

E - Enhanced skills

Strategic objective 3.1	Skilled and capable workforce
Objective statement	The HSRC will have provided opportunities for Masters' and doctoral candidates as well as postdoctoral fellows on attachment from universities to do research at the HSRC in order to grow an echelon of suitable qualified and experienced social scientists and strengthened its capacity building programme focussing on expanding the coaching skills initiative for managers; career growth and succession planning by 2016/2017.

P - Preserved data

Strategic objective 4.1	Data curation
Objective statement	The HSRC will have expanded the number of data sets already available in the public domain and established standards for the management and preservation of research data by end of the financial year 2016/2017.

T - Transformation

Strategic objective 5.1	Transformation
Objective statement	By end of the financial year 2016/2017, the HSRC will have implemented strategies to improve the on-going transformation of the organisation.

S - Financial Sustainability

Strategic objective 6.1	Financial sustainability
Objective statement	By end of the financial year 2016/2017, the HSRC will have developed and implemented strategies to ensure financial sustainability.

PERFORMANCE AGAINST TARGETS 2012/2013

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
Objective 1.1: Dissemination of knowledge through public dialogue, policy briefs and publications								
Objective statement: The HSRC will have disseminated knowledge globally by hosting public dialogue, publishing policy briefs; peer-reviewed journal articles in internationally accredited scientific journals; recognised books and book chapters with at least one HSRC researcher listed as author or co-author by the end of 2016/2017.								
1.	1.68 [96/57]	1.6	1.77 [115/65]	1.7	1.8	1.9	2	Annual target exceeded.
2.	1	-	n/a	-	-	-	-	n/a
3.	4	5	8	5	7	8	10	Annual target exceeded.
4.	1	-	n/a	-	-	-	-	n/a
5.	20	13	39	13	16	18	20	Annual target exceeded.
6.	1	-	n/a	-	-	-	-	n/a
7.	2	-	n/a	-	-	-	-	n/a
8.	8	8	10	8	-	-	-	Annual target exceeded.
9.	40	40	45	40	40	40	40	Annual target exceeded.

PERFORMANCE AGAINST TARGETS 2012/2013 (CONTINUES)

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
10. The number of policy briefs produced and published by the HSRC during the period under review.	6	10	8	14	20	28	36	Annual target not achieved.
11. The number of reports on Rapid Evidence Assessment (REA) produced during the year under review.	1	2	0	2	4	4	5	Annual target not achieved.
12. The number of titles published under the new imprint.	New	New	n/a	5	10	15	20	n/a
13. The number of <i>HSRC Review</i> publications produced during the year under review.	4	4	4	4	4	4	4	Annual target achieved.
14. The number of <i>From Policy to Action</i> newsletters published during the period under review.	5	5	4	5	5	5	5	Annual target not achieved.
Objective 1.2: Institutional collaboration								
Objective statement: The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by working closely with government, universities, non-governmental organisations and donor organisations by end of the financial year 2016/2017.								
15. The number of active Memoranda of Understanding (MoUs) with other research institutions or associations in place during the period under review.	25	12	27	18	20	-	-	Annual target exceeded.
Objective 2.1: Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives								
Objective statement: By end of the financial year 2016/2017 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.								
16. The number of Youth In Science Studies (YISS) reports produced during the period under review.	1	2	2	2	2	1	2	Annual target achieved.

PERFORMANCE AGAINST TARGETS 2012/2013 (CONTINUES)

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
17. The number of Youth In Science Studies (YISS) surveys conducted during the period under review.	4	2	2	1	1	2	2	Annual target achieved.
18. The number of MP3 Phase II reports produced during the period under review.	1	1	1	1	1	1	1	Annual target achieved.
19. The number of MP3 Phase II surveys conducted during the period under review.	0	1	1	1	1	1	1	Annual target achieved.
20. The number of South African Behavioural risks, Serostatus, and Media impact (SABSSM) reports produced during the period under review.	0	-	n/a	-	2	-	-	n/a
21. The number of South African Behavioural risks, Serostatus, and Media impact (SABSSM) surveys conducted during the period under review.	New	-	n/a	1	-	1	-	n/a
22. The number of South African Social Attitudes Survey (SASAS) reports produced during the period under review.	7	1	1	1	1	1	1	Annual target achieved.
23. The number of South African Social Attitudes Survey (SASAS) surveys conducted during the period under review.	1	1	1	1	1	1	-	Annual target achieved.
24. The number of South African National Health and Nutrition Examination Survey (SANHANES) reports produced during the period under review.	1	1	1	-	-	-	-	Annual target achieved.
25. The number of South African National Health and Nutrition Examination Survey (SANHANES) surveys conducted during the period under review.	3	1	1	-	-	-	-	Annual target achieved.

PERFORMANCE AGAINST TARGETS 2012/2013 (CONTINUES)

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
26. The number of R&D; Innovation and Biotechnology surveys reports produced during the period under review.	1	1	1	1	1	1	1	Annual target achieved.
27. The number of R&D; Innovation and Biotechnology surveys conducted during the period under review.	1	1	1	1	1	1	1	Annual target achieved.
28. The number of reports produced on assessment of impact of R&D and Innovation during the period under review.	1	1	1	1	1	1	1	Annual target achieved.
29. The number of surveys conducted on assessment of impact of R&D and Innovation during the period under review.	New	1	1	1	1	1	1	Annual target achieved.
30. The number of reports on Support for Youth Employment produced during the period under review.	1	1	1	1	1	-	-	Annual target achieved.
31. The number of reports produced on National Skills Development during the period under review.	1	1	1	1	1	1	1	Annual target achieved.
32. The number of surveys conducted on National Skills Development during the period under review.	1	1	1	1	1	1	1	Annual target achieved.
33. The number of reports produced on Changing Spatial Economy during the period under review.	1	-	n/a	-	-	-	-	n/a
34. The number of surveys conducted on Changing Spatial Economy during the period under review.	1	-	n/a	-	-	-	-	n/a
35. The number of reports produced on municipal performance during the period under review.	1	-	n/a	-	-	-	-	n/a

PERFORMANCE AGAINST TARGETS 2012/2013 (CONTINUES)

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
36. The number of surveys conducted on municipal performance during the period under review.	1	-	n/a	-	-	-	-	n/a
37. The number of reports produced on strategies for job creation during the period under review.	New	1	1	1	3	1	-	Annual target achieved.
38. The number of surveys conducted on strategies for job creation during the period under review.	1	-	n/a	1	-	1	-	n/a
39. The number of reports produced on Africa's institutions of governance during the period under review.	2	-	n/a	-	-	-	-	n/a
40. The number of surveys conducted on Africa's institutions of governance during the period under review.	0	-	n/a	-	-	-	-	n/a
41. The number of reports produced on state-owned enterprises during the period under review.	1	-	n/a	-	-	-	-	n/a
42. The number of surveys conducted on state-owned enterprises during the period under review.	1	1	1	-	-	-	-	Annual target achieved.
43. The number of reports produced on informal sector innovation activity during the period under review.	0	1	1	1	1	1	1	Annual target exceeded.
44. The number of surveys conducted on informal sector innovation activity during the period under review.	New	1	1	1	1	1	-	Annual target achieved.
45. The number of reports produced on women's reproductive health during the period under review.	1	2	2	1	1	1	1	Annual target achieved.

PERFORMANCE AGAINST TARGETS 2012/2013 (CONTINUES)

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
46. The number of surveys conducted on women's reproductive health during the period under review.	New	1	1	-	-	1	1	Annual target achieved.
47. The number of reports produced on the self-help wellness programme during the period under review.	1	1	1	1	1	-	-	Annual target achieved.
48. The number of reports produced on health inequalities among people with TB during the period under review.	0	1	1	1	-	-	-	Annual target achieved.
49. The number of reports produced on the African Task-force on Obesity Research (AfriTOR) during the period under review.	0	1	1	1	-	-	-	Annual target achieved.
50. The number of reports produced on health inequalities in South Africa during the period under review.	New	New	n/a	-	-	-	1	n/a
51. The number of reports produced on the Strengthening the Youth's Life Experience (STYLE) HIV prevention programme during the period under review.	0	1	1	1	-	-	-	Annual target achieved.
52. The number of surveys conducted on the Strengthening the Youth's Life Experience (STYLE) HIV prevention programme during the period under review.	0	1	1	1	1	-	-	Annual target achieved.
53. The number of reports produced on alcohol use disorders among TB patients during the period under review.	1	1	1	-	-	-	-	Annual target achieved.
54. The number of surveys conducted on alcohol use disorders among TB patients during the period under review.	1	-	n/a	-	-	-	-	n/a

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
55. The number of reports produced on the health of educators in public schools and FET during the period under review.	New	5	0	5	-	-	-	Annual target not achieved.
56. The number of surveys conducted on the health of educators in public schools and FET during the period under review.	New	1	0	-	-	-	-	Annual target not achieved.
57. The number of reports produced on land reform and urbanisation during the period under review.	New	1	0	1	-	-	-	Annual target not achieved.
58. The number of surveys conducted on land reform and urbanisation during the period under review.	New	New	n/a	1	1	-	-	n/a
59. The number of reports produced on national reconciliation and transformation during the period under review.	New	New	n/a	-	-	-	1	n/a
60. The number of surveys conducted on national reconciliation and transformation during the period under review.	New	1	0	1	1	1	-	Annual target not achieved.
61. The number of reports produced on Sports and Recreation of South Africa (SRSA) schools sports programme during the period under review.	New	1	0	2	-	-	-	Annual target not achieved.
62. The number of surveys conducted on Sports and Recreation of South Africa (SRSA) schools sports programme during the period under review.	1	1	0	2	-	-	-	Annual target not achieved.
63. The number of surveys conducted on human and social sciences in the Global South during the period under review.	New	New	n/a	1	-	-	-	n/a

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
64. The number of reports produced on Knowledge-based Economy (KBE) during the period under review.	1	1	1	1	1	1	1	Annual target achieved.
Objective 2.2: Promoting an African research agenda								
Objective statement: The HSRC will have promoted an African research agenda through knowledge and research partnerships elsewhere in Africa and by encouraging comparative work and the involvement of expert participants and reviewers from other parts of Africa by 2016/2017.								
65. The number of international conferences attended.	13	-	n/a	-	-	-	-	n/a
66. The number of research fellows from elsewhere in Africa at the HSRC.	7	7	10	7	9	11	13	Annual target exceeded.
67. The percentage of completed work in the development of policies on recruitment African Research Fellows.	100%	-	n/a	-	-	-	-	n/a
68. The number of Africa conferences where HSRC researchers presented papers.	10	-	n/a	-	-	-	-	n/a
Objective 3.1: Skilled & capable workforce								
Objective statement: The HSRC will have provided opportunities for Masters' and doctoral candidates as well as postdoctoral fellows on attachment from universities to do research at the HSRC in order to grow an echelon of suitable qualified and experienced social scientists and strengthened its capacity building programme focusing on expanding the coaching skills initiative for managers; career growth and succession planning by 2016/2017.								
69. The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC.	38	30	41	30	34	38	42	Annual target exceeded
70. The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC.	38	30	42	34	35	36	37	Annual target exceeded.
71. The number of postdoctoral fellows (research associates) appointed at the HSRC.	17	22	22	22	24	25	26	Annual target achieved.

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
72. Norms and standards for postdoctoral document finalised and approved.	100%	-	n/a	-	-	-	-	n/a
Objective 4.1: Preserved datasets								
Objective statement: The HSRC will have expanded the number of data sets already available in the public domain and established standards for the management and preservation of research data by end of the financial year 2016/2017.								
73. The number of HSRC datasets that were preserved (archived/curated) during the period under review.	19	21	22	21	22	22	23	Annual target exceeded.
Objective 5.1: Transformation								
Objective statement: By end of the financial year 2016/2017, the HSRC will have implemented strategies to improve the ongoing transformation of the organisation.								
74. The percentage of all researchers at senior level (SRS/SRM and above) who are African.	43.86% [25/57]	50%	35.38% [23/65]	53%	54%	56%	-	Annual target not achieved.
75. Annual employment equity report to Department of Labour.	100%	100%	100%	100%	100%	100%	100%	Annual target achieved.
76. Quarterly employment equity reports to the HSRC Board.	4	4	4	4	4	4	4	Annual target achieved.
77. The number of diversity awareness events hosted during the year under review.	1	1	1	1	1	1	1	Annual target achieved.
78. The number of gender awareness events hosted during the year under review.	1	1	0	1	1	1	1	Annual target not achieved.
Objective 6.1: Financial sustainability								
Objective statement: By end of the financial year 2016/2017, the HSRC will have developed and implemented strategies to ensure financial sustainability.								

Strategic Objective/Performance Indicator Actual Output	2011/ 2012	2012/ 2013		2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	Remarks
	Actual Outputs	Annual Target	Actual Outputs	Annual Target	Annual Target	Annual Target	Annual Target	
79. The percentage of total income that is extra-Parliamentary.	48% [R169, 689M/ R350, 535M]	48%	52.02% [R203, 731M/ R391, 635M]	48%	48%	48%	-	Annual target exceeded.
80. The percentage of research grants that are multi-year (at least three years).	44% [31/71]	50%	51.56% [33/64]	50%	52%	56%	-	Annual target exceeded.
81. The percentage of officials attending the anti-corruption campaign.	92%	35%	39%	45%	55%	65%	75%	Annual target exceeded.
82. The percentage of eligible officials who have declared their interests.	71%	70%	73.66%	80%	90%	100%	100%	Annual target exceeded.
93. The number of compliance reports presented and approved.	2	4	4	4	4	4	4	Annual target achieved.

MAJOR VARIANCES BETWEEN PLANNED AND ACTUAL VALIDATED OUTPUTS

Performance Indicator	Annual Target	Output	Variance	Challenges	Response to Challenges/Remedial Action
Indicator 10: The number of <i>From Policy to Action</i> newsletters published during the period under review.	5	4	1	The target was not reached because there was no funding against the project to enable timeous commissioning of the 5 th newsletter.	Target is an annual target, capacity to source funding have been strengthened to ensure that all targets are met in the 2013/2014 financial year.
Indicator 11: The number of reports on Rapid Evidence Assessment (REA) produced during the year under review.	2	0	2	HR capacity constraints impacted on our ability to initiate and undertake Rapid Evidence Assessment projects. None were carried out in the quarter.	Efforts to source the required skills have been strengthened with the newly appointed deputy executive director HR and capacity enhancement taking the lead in ensuring that all units are adequately staffed (people and quality).
Indicator 14: The number policy briefs during the period under review.	10	8	2	Embargoes on manuscripts submitted. Manuscripts are with HSRC Press under embargo from data custodians.	Challenges have been addressed and the target for the 2013/2014 financial year has been aligned to available resources.
Indicator 55: The number of reports produced on the health of educators in public schools and FET during the period under review.	1	0	1	Funding for the research project was not obtained.	Only research projects with confirmed funding will be specified in the planning documents going forward.
Indicator 56: The number of surveys conducted on the health of educators in public schools and FET during the period under review.	1	0	1	Funding for the research project was not obtained.	Only research projects with confirmed funding will be specified in the planning documents going forward.
Indicator 57: The number of reports produced on land reform and urbanisation during the period under review.	1	0	1	Funding for the research project was not obtained.	Only research projects with confirmed funding will be specified in the planning documents going forward.

Performance Indicator	Annual Target	Output	Variance	Challenges	Response to Challenges/Remedial Action
Indicator 60: The number of surveys conducted on national reconciliation and transformation during the period under review.	1	0	1	Funding for the research project was not obtained.	Only research projects with confirmed funding will be specified in the planning documents going forward.
Indicator 61: The number of reports produced on Sports and Recreation of South African (SRSA) schools sports programme during the period under review.	1	0	1	Funding for the research project was not obtained.	Only research projects with confirmed funding will be specified in the planning documents going forward.
Indicator 62: The number of surveys conducted on Sports and Recreation of South African (SRSA) schools sports programme during the period under review.	1	0	1	Funding for the research project was not obtained.	Only research projects with confirmed funding will be specified in the planning documents going forward.
Indicator 74: The percentage of all researchers at senior level (SRS/SRM and above) who are African.	50%	35.38%	14.62%	Tight competition for skills in the labour market and shortage of the required expertise makes it difficult to attract senior researchers who are African. Loss of critical skills contributed to the non-achievement of this target as the HR director resigned during the second quarter of the financial year.	A deputy executive director for HR and capacity enhancement was appointed to ensure delivery on these critical areas of transformation at the HSRC.
Indicator 78: The number of gender awareness events hosted during the year under review.	1	0	1	Loss of critical skills contributed to the non-achievement of this target as the HR director resigned during the second quarter of the financial year.	A deputy executive director for HR and capacity enhancement was appointed to ensure delivery on these critical areas of transformation at the HSRC.



ANNUAL FINANCIAL STATEMENTS



AUDIT AND RISK COMMITTEE REPORT

for the year ended 31 March 2013

We are pleased to present our report for the year ended 31 March 2013.

AUDIT COMMITTEE MEMBERS AND ATTENDANCE

In accordance with the approved Audit and Risk Committee Charter, the committee meets at least three times per year. During the year under review, the committee met three times:

Meeting attendance	Meetings held		
	May 2012	July 2012	November 2012
Professor Enrico Uliana (Chairperson)	A	P	P
Professor Amanda Lourens	P	A	P
Professor Paulus Zulu	A	A	P
Mrs Crystal Abdoll	P	P	P
Mrs Maemili Ramataboe	A	P	P
Mrs Reinette van der Merwe	P	A	A

P: Present

A: Member absent with an apology

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 (PFMA) No 1 of 1999, Sections 76 and 77 of the Act and the relevant Treasury Regulations.

The committee has adopted formal terms of reference, contained in the 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.

THE 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 effective and sufficient for the organisation to achieve its goals and objectives.

In its oversight role, the committee reviewed the risk management processes and identified suggested improvements to the controls and processes. Management's commitment and effort in taking remedial action as necessary was noted, particularly in enhancing the IT controls.

In considering the various internal audit reports and the management report from the Auditor-General of South Africa, 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 committee to evaluate the effectiveness thereof. The committee is satisfied that the finance function has fulfilled its objectives for the year under review.

NOTES TO THE FINANCIAL STATEMENTS

for the year ended 31 March 2013

EVALUATION OF FINANCIAL STATEMENTS

The Committee has:

- Reviewed and discussed the audited financial statements to be included in the annual report with the auditor-general and the accounting authority;
- Reviewed the Auditor-General of South Africa's management report and management's response thereto;
- Reviewed and discussed the performance information with management;
- Reviewed changes in accounting policies and practices;
- Reviewed the entity's compliance with legal and regulatory provisions; and
- Noted that there were no significant adjustments resulting from the audit.

The audit and risk committee 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.

THE QUALITY OF IN-YEAR MANAGEMENT AND MONTHLY/QUARTERLY REPORTS SUBMITTED IN TERMS OF THE PFMA AND THE DIVISION OF REVENUE ACT

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

INTERNAL AUDIT

The committee has reviewed the effectiveness of the internal audit function in terms of Treasury Regulation 271.8 (b) and is satisfied with its effectiveness and that it has addressed the risks inherent to the HSRC in its audit. During the year under review, the internal audit function was outsourced to PWC and Sizwe Ntsaluba/Gobodo Consortium. The committee's review of the function revealed that it was effective, efficient and added value to the organisation.

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 Enrico Uliana
Chairperson: HSRC Audit and Risk Committee

ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

APPROVAL OF ANNUAL FINANCIAL STATEMENTS

I have reviewed the accompanying financial statements of the HSRC for the year ended 31 March 2013. It has been prepared in accordance with the Generally Recognised Accounting Practice (GRAP) standards 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 cashflow movements for the financial year ended 31 March 2013.



Professor Olive Shisana ScD
CEO
Date: 31 May 2013

REPORT OF THE AUDITOR GENERAL ON THE FINANCIAL STATEMENTS ON THE HUMAN SCIENCES RESEARCH COUNCIL for the year ended 31 March 2013 for the year ended 31 March 2013

REPORT ON THE FINANCIAL STATEMENTS

Introduction

1. I have audited the financial statements of the Human Sciences Research Council set out on pages 99 to 158, which comprise the statement of financial position as at 31 March 2013, the statement of financial performance, statement of changes in net assets and the cash flow statement for the year then ended and the notes, comprising a summary of significant accounting policies and other explanatory information.

Accounting authority's responsibility for the financial statements

2. The accounting authority is responsible for the preparation and fair presentation of these financial statements in accordance with Standards of Generally Recognised Accounting Practice (SA Standards of GRAP) and the requirements of the Public Finance Management Act of South Africa, 1999 (Act No 1 of 1999) (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.

Auditor-General's responsibility

3. My responsibility is to express an opinion on these financial statements based on my audit. I conducted my audit in accordance with the Public Audit Act of South Africa, 2004 (Act No 25 of 2004) (PAA), the General Notice issued in terms thereof and International Standards on Auditing. Those standards require that I comply with ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.
4. An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements 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. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.
5. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

Opinion

6. 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 2013, and its financial performance and cash flows for the year then ended in accordance with SA Standards of GRAP and the requirements of the PFMA.

REPORT ON OTHER LEGAL AND REGULATORY REQUIREMENTS

7. In accordance with the PAA and the General Notice issued in terms thereof, I report the following findings relevant to performance against predetermined objectives, compliance with laws and regulations and internal control, but not for the purpose of expressing an opinion.

REPORT OF THE AUDITOR-GENERAL TO PARLIAMENT ON THE HUMAN SCIENCES RESEARCH COUNCIL

for the year ended 31 March 2013

Predetermined objectives

8. I performed procedures to obtain evidence about the usefulness and reliability of the information in annual performance report as set out on pages 83 to 97 of the annual report.
9. The reported performance against predetermined objectives was evaluated against the overall criteria of usefulness and reliability. The usefulness of information in the annual performance report relates to whether it is presented in accordance with the National Treasury's annual reporting principles and whether the reported performance is consistent with the planned objectives. The usefulness of information further relates to whether indicators and targets are measurable (ie well defined, verifiable, specific, measurable and time bound) and relevant as required by the *National Treasury Framework for managing programme performance information*.

The reliability of the information in respect of the selected objectives is assessed to determine whether it adequately reflects the facts (i.e. whether it is valid, accurate and complete).

10. There were no material findings on the annual performance report concerning the usefulness and reliability of the information.

Compliance with laws and regulations

11. I did not identify any instances of material non-compliance with specific matters in key applicable laws and regulations as set out in the General Notice issued in terms of the PAA.

Internal control

12. I did not identify any deficiencies in internal control which I considered sufficiently significant for inclusion in this report.

Auditor-General

Pretoria
31 July 2013



AUDITOR-GENERAL
SOUTH AFRICA

Auditing to build public confidence

STATEMENT OF FINANCIAL POSITION STATEMENTS

for the year ended 31 March 2013

	Note	2013 March R'000	2012 March R'000
ASSETS			
Current assets			
Cash and cash equivalents	1	35 510	67 506
Trade and other receivables	2	41 018	29 676
Inventories	3	4 910	4 005
Prepayments and advances	4	1 299	2 767
VAT receivable	5	-	4 071
		82 737	108 025
Non-current assets			
Property, plant and equipment	6	179 727	182 260
Intangible assets	6	5 403	5 772
Prepayments and advances	4	49	64
Operating lease accrual	7	100	1 198
		185 279	189 294
Total assets		268 016	297 319
LIABILITIES			
Current liabilities			
Trade and other payables	8	25 123	29 223
VAT payable	5	838	-
Income received in advance	9	48 736	72 048
Finance lease liability	10	460	430
Provisions	12	19 340	18 504
		94 497	120 205
Non-current liabilities			
Non-current finance lease liability	10	514	974
Post-retirement medical aid accrual	13	3 240	2 985
Operating lease commitments	7	873	328
		4 627	4 287
Total liabilities		99 124	124 492
Net assets		168 892	172 827
NET ASSETS			
Reserves		154 925	154 925
Accumulated surplus		13 967	17 902
Total net assets		168 892	172 827

STATEMENT OF FINANCIAL PERFORMANCE

for the year ended 31 March 2013

	Note	2013 March R'000	2012 March R'000
Revenue		396 293	351 457
Research revenue	14.1	179 473	143 976
Parliamentary grants	14.2	187 875	180 850
Other operating revenue	15	28 945	26 631
Expenses		(400 228)	(347 885)
Administrative expenses	16	(46 418)	(46 289)
Research cost	17	(119 713)	(93 327)
Staff cost	18	(197 291)	(172 087)
Other operating expenses	19	(26 752)	(22 215)
Finance cost	20	(1 715)	(1 595)
Depreciation, amortisation and impairment expense	6 /6.2	(8 339)	(12 371)
(Deficit)/Surplus for the year	34	(3 935)	3 572

STATEMENT OF FINANCIAL STATEMENTS

for the year ended 31 March 2013

		Revaluation reserve	Total: reserves	Accumula- ted surplus/ (deficit)	Total: Net assets
	Note	R'000	R'000	R'000	R'000
Balance at 1 April 2011		144 404	144 404	14 495	158 899
(Deficit) on revaluation of property, plant and equipment		-	-	(2)	(2)
Surplus for the period (Restated)		-	-	619	619
Restated balance at 1 April 2011		144 404	144 404	15 112	159 516
Prior year restatements	28	-	-	(782)	(782)
Surplus for the period (Restated)		-	-	3 572	3 572
Revaluation on the Building		10 521	10 521	-	10 521
Restated balance at 1 April 2012		154 925	154 925	17 902	172 827
Deficit for the period		-	-	(3 935)	(3 935)
Balance at 31 March 2013		154 925	154 925	13 967	168 892

CASH FLOW STATEMENT

for the year ended 31 March 2013

	Note	2013 March R'000	2012 March R'000
CASH FLOWS FROM OPERATING ACTIVITIES			
Receipts		358 947	377 121
Payments		(384 565)	(326 650)
Net cash flows from operating activities	21	(25 618)	50 471
CASH FLOWS FROM INVESTING ACTIVITIES			
Purchase of fixed assets		(6 040)	(8 965)
Proceeds from sale of fixed assets		212	1 563
Net cash flows from investing activities		(5 828)	(7 402)
CASH FLOWS FROM FINANCING ACTIVITIES			
Repayment of finance lease liability		(550)	(3 933)
Net cash flows from financing activities		(550)	(3 933)
Net increase in net cash and cash equivalents		(31 996)	39 136
Net cash and cash equivalents at beginning of period (1 April)		67 506	28 370
Net cash and cash equivalents at end of period	1	35 510	67 506

NOTES TO THE FINANCIAL STATEMENTS

for the year ended 31 March 2013

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 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 RECOGNITION

Revenue is recognised to the extent that it is probable that the economic benefits will flow to HSRC and revenue can be reliably measured. Revenue is measured at fair value of the consideration receivable on an accrual basis. Revenue includes investment and non-operating income exclusive of value-added taxation, rebates and discounts. The following specific recognition criteria must also be met before revenue is recognised:

a. Research revenue

Revenue that resulted from the rendering of research and related services is recognised at the stage of completion, determined according to the percentage cost to date in relation to the total estimated cost of the project.

b. Other revenue

Revenue from the sale of goods is recognised when significant risk and rewards of ownership of goods are transferred to the buyer. Sale of goods includes publications, sale of food and parking. Revenue from royalties is recognised on an 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, unless another systematic basis is more representative of the time pattern in which benefit derived from the leased asset is diminished.

c. 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.

d. Parliamentary grants

Revenue from Parliamentary grants shall be measured at the amount of the increase in net assets recognised by the entity.

ACCOUNTING POLICIES

for the year ended 31 March 2013

1.5 TAXES

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

1.6 PROPERTY, PLANT AND EQUIPMENT

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. The present value of the initial expected estimate cost for the decommissioning of the asset after its use is included in the cost of the respective asset if the recognition criteria for a provision are met.

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 owner occupied 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 and taking into account 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 on artwork 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 is 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.

Depreciation is applied on a straight-line basis, as follows:

a. Freehold land

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

NOTES TO THE FINANCIAL STATEMENTS

for the year ended 31 March 2013

b. Freehold buildings

The HSRC identified the following major components of buildings:

- Lifts
- Telephone system
- Fixtures
- 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 |

c. 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 |

d. Leasehold assets

These assets are depreciated over the contract period.

All assets that were bought with donor funds or grants except freehold land and buildings and that were donated to the community, on termination of the project, are depreciated over the shorter of the lease term or the useful life of the project.

An item of property, plant and equipment is derecognised upon disposal or when no future economic benefits are expected from its use or disposal. Any gain or loss arising on derecognition 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.

The assets, residual values, useful lives and methods of depreciation are reviewed at each financial year end, and adjusted prospectively if appropriate.

1.7 INTANGIBLE ASSETS

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.

ACCOUNTING POLICIES

for the year ended 31 March 2013

An intangible asset arising from development (or from the development phase of an internal project) is recognised when:

- it is technically feasible to complete the asset so that it will be available for use or sale;
- there is an intention to complete and use or sell it;
- there is an ability to use or sell it;
- it will generate probable future economic benefits;
- there are available technical, financial and other resources to complete the development and to use or sell the asset; and
- the expenditure attributable to the asset during its development can be determined reliably.

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.

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.

Amortisation is charged to the statement of financial performance so as 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

1.8 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 it 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.

1.9 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.

Cost for the cafeteria is determined on the weighted average method.

Cost for publications is determined by using specific identification of their individual costs.

NOTES TO THE FINANCIAL STATEMENTS

for the year ended 31 March 2013

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.

1.10 LEASES

A lease is classified as a finance lease if it transfers substantially all the risks and rewards incidental to ownership. 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.

a. Operating leases – lessee

Lease agreements are classified as operating leases where substantially the entire risks and rewards incident 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 asset/liability. The asset is not discounted.

b. Finance leases – lessee

Finance leases are recognised as assets and liabilities in the statement of financial position at amounts equal to the fair value of the leased assets or, if lower, the present value of the minimum lease payments. The corresponding liability to the lessor is included in the statement of financial position as a finance lease obligation.

The discount rate used in calculating the present value of the minimum lease payments is the incremental borrowing rate for the HSRC. The lease payments are apportioned between the finance charge and reduction of the outstanding liability. The finance charge is allocated to each period during the lease term so as to produce a constant periodic rate on the remaining balance of the liability.

The depreciation policy for depreciable leased assets is as follows:

- Computer and other 3 – 5 years
- Vehicles 5 years
- User rights 20 years

c. Operating leases – lessor

Lessors shall present assets subject to operating leases in their statement of financial position according to the nature of the asset.

Lease revenue from operating leases shall be recognised as revenue on a straight-line basis over the lease term, unless another systematic basis is more representative of the time pattern in which benefit derived from the leased asset is diminished. The depreciation policy for depreciable leased assets is consistent with the lessor's normal depreciation policy for similar assets.

1.11 EMPLOYEE BENEFITS

a. Short-term employee benefits

The cost of short-term employee benefits (those payable within 12 months after the service is rendered, such as paid vacation leave, bonuses and non-monetary benefits such as medical care) are recognised in the period in which the service is rendered and are not discounted.

ACCOUNTING POLICIES

for the year ended 31 March 2013

b. Post-employment benefit costs

Pension funds

The entity contributes to a pension fund 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. Pensions are provided for employees by means of two separate pension funds to which contributions are made. With regard to the HSRC Pension Fund (HSRCPF), and with effect from 1 April 1992, previous and current service costs and adjustments based on experience and additional funding for retired employees are acknowledged in the statement of financial performance as soon as the liability is known.

With regard to the Associated Institutions Pension Fund (AIPF), only the HSRC's contributions to the respective pension fund are recognised in the statement of financial performance, thus a defined contribution plan.

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 second 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.

1.12 FOREIGN CURRENCY TRANSACTIONS

Transactions in foreign currencies are accounted for at the rate of exchange ruling on the date of the transaction. Liabilities in foreign currencies are translated at the rate of exchange ruling at the reporting date or at the forward rate determined in forward exchange contracts. Exchange differences arising from translations are recognised in the statement of financial performance in the period in which they occur.

1.13 PROVISIONS AND CONTINGENCIES

Provisions are recognised when:

- 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.

1.14 FINANCIAL INSTRUMENTS

a. 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 income statement. Trade and other receivables are classified as loans and receivables.

NOTES TO THE FINANCIAL STATEMENTS

for the year ended 31 March 2013

b. 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.

c. Cash and cash equivalents

Cash and cash equivalents in the statement of financial position comprise of 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.

These are initially and subsequently recorded at fair value.

1.15 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 national sphere of government 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 board 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.

1.16 COMPARATIVE FIGURES

When necessary, comparative figures have been adjusted to conform to changes in presentation in the current period. The note affected by prior year adjustments in the current year is Note 28.

1.17 SIGNIFICANT ACCOUNTING JUDGMENTS, ESTIMATES AND ASSUMPTIONS

The preparation of HSRC financial statements requires management to make judgments, estimates and assumptions that affect the reported amounts of revenues, expenses, assets and liabilities, and the disclosure of contingent liabilities, at the reporting date. However, uncertainty about these assumptions and estimates could result in outcomes that require a material adjustment to the carrying amount of the asset or liability affected in future periods.

Judgments

In the process of applying the HSRC accounting policies, management has made the following judgments, which have the most significant effect on the amounts recognised in the financial statements:

Operating lease commitments – HSRC as lessor

HSRC has entered into commercial property leases on buildings. 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 these properties and so accounts for these contracts as operating leases.

ACCOUNTING POLICIES

for the year ended 31 March 2013

Estimates and assumptions

The key assumptions concerning the future and other key sources of estimation uncertainty at the balance sheet date, that have significant risk of causing material adjustment to the carrying amounts of assets and liabilities within the next financial year are discussed below:

Property, vehicles, plant and equipment and intangible assets

Property, vehicles, plant and equipment and intangible assets are depreciated over their useful life 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 reassessing 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.

Impairment testing

Property, vehicles, plant and equipment and intangible assets are considered for impairment if there is a reason to believe that impairment may be necessary. The future cash flows expected to be generated by the assets are projected taking into account market conditions and the expected useful lives of the assets. The present value of these cash flows, determined using an appropriate discount rate, is compared to the current carrying value and, if lower, the assets are impaired to the present value.

Revaluation of property, plant and equipment

HSRC measures its land and buildings at revalued amounts with changes in fair value being recognised in statement of changes in net assets. The entity engaged independent valuation specialists to determine fair value as at 31 March 2012. The key assumptions used to determine the fair value of the land and buildings are further explained in Note 6.

Fair value of financial instruments

Where the fair value of financial assets and financial liabilities recorded in the statement of financial performance cannot be derived from active markets, they are determined using valuation techniques including the discounted cash flows model. The inputs to these models are taken from observable markets where possible, but where this is not feasible, a degree of judgment is required in establishing fair values. The judgments include considerations of inputs such as liquidity risk, credit risk and volatility. Changes in assumptions about these factors could affect the reported fair value of financial instruments.

Pension benefits

The cost of defined benefit pension plans and other post-employment medical benefits as well as the present value of the pension obligation 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.

Future salary increases and pension increases are based on expected future inflation rates. Further details about the assumptions used are given in Note 13.

1.18 TRANSLATION OF FOREIGN CURRENCIES

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 shall be translated using the closing rate;
- non-monetary items that are measured in terms of historical cost in a foreign currency shall be translated using the exchange rate at the date of the transaction; and
- non-monetary items that are measured at fair value in a foreign currency shall be translated using the exchange rates at the date when the fair value was determined.

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.

NOTES TO THE FINANCIAL STATEMENTS

for the year ended 31 March 2013

When a gain or loss on a non-monetary item is recognised directly in net assets, any exchange component of that gain or loss shall be recognised directly in net assets. Conversely, when a gain or loss on a non-monetary item is recognised in surplus or deficit, any exchange component of that gain or loss shall be recognised in surplus or deficit.

1.19 PREPAYMENTS AND ADVANCES

Payments made in advance to suppliers are in respect of computer warranties. There is no contractual right to receive a refund in cash or another financial instrument from the suppliers.

1.20 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, 1999 (Act No 1 of 1999); or
- The State Tender Board Act, 1968 (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 disclosed in a note to the financial statements when it has been identified.

1.21 STANDARDS ISSUED AND NOT YET EFFECTIVE

At the date of authorisation of these financial statements, the following accounting standards of Generally Recognised Accounting Practise (GRAP) were in issue, but not yet effective:

GRAP 18	–	Segment Reporting
GRAP 20	–	Related Parties (Early Adoption)
GRAP 24	–	Presentation of Budget Information in Financial Statements (Early Adoption)
GRAP 25	–	Employee Benefits (Early Adoption)
GRAP 105	–	Transfer of functions between entities under common control GRAP 106 – Transfer of functions between entities not under common control GRAP 107 – Mergers

Management believes that the adoption of these standards in future periods will have no material impact on the financial statements when they are adopted as these standards have been used to formulate and inform the current accounting policies and disclosures where applicable to the HSRC. Early adoption of some of these standards of GRAP, as indicated, will not affect the previous year's financial results as the standards have been used to formulate and inform the accounting policies adopted and disclosures made in prior years. Application of all of the above GRAP standards will be effective from a date to be announced by the Minister of Finance. This date is not currently available.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
1 Cash and cash equivalents		
Cash at bank	14 116	17 732
Cash on hand	70	48
Short-term investments*	21 324	49 726
	35 510	67 506

* Included in the short-term investments are funds received from HSRC funders, for various research projects. These funds had not yet been fully utilised as at 31 March 2013.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
2 Trade and other receivables		
Trade receivables	40 627	26 740
Other receivables	3 405	4 994
Less: Impairment allowance	(3 014)	(2 058)
Trade and other receivables	41 018	29 676
2.1.1 Trade receivables: Ageing		
Current (0-30 days)	37 331	23 605
31-60 days	281	1 191
61-90 days	-	70
91-120 days	1 367	70
+ 121 days	1 640	1 804
Balance at 31 March	40 619	26 740
Other receivables: Ageing		
Current (0-30 days)	1 671	895
31-60 days	42	397
61-90 days	39	1 463
91-120 days	430	1 985
+ 121 days	1 223	254
Balance at 31 March	3 405	4 994
2.1.2 Impairment allowance: Ageing		
Current (0-30 days)	10	-
31-60 days	228	-
61-90 days	(965)	-
91-120 days	(164)	-
+ 121 days	(2 123)	(2 058)
Balance at 31 March	(3 014)	(2 058)
2.2.1 Reconciliation of the impairment allowance		
Balance at beginning of the year	(2 058)	(5 245)
Contributions to provision	(956)	(742)
Bad debts recovered	-	3 929
Balance at 31 March	(3 014)	(2 058)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
2 Trade and other receivables		
(Continues)		
2.2.2 Trade and other receivables past due but not impaired		
Trade and other receivables which are less than 3 months past due payment period of 30 days are not considered to be impaired. At 31 March 2013, R 2159 (2012: R 5176) was past due date but not impaired.		
The ageing of amounts past due but not impaired is as follows:		
30 days past due	323	1 588
60 days past due	39	1 533
90 days past due	1 797	2 055
	2 159	5 176
2.2.3 Trade and other receivables impaired		
As of 31 March 2013, trade and other receivables of R 3 014 (2012: R 2 058) were impaired and provided for.		
the ageing of these receivables is as follows:		
0 to 180 days	891	295
Over 180 days	2 123	1 763
	3 014	2 058
<i>The fair value of trade receivables approximates their carrying amounts.</i>		
3 Inventories		
Finished goods **	4 526	3 912
Publications	4 453	3 897
Cafeteria	73	15
Work in progress *	384	93
	4 910	4 005
* <i>Work in progress consists of books in production.</i>		
** <i>Cost of goods sold.</i>		
HSRC Press (Publications)	706	579
Cafeteria	2 343	2 381
	3 049	2 960

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
4		
Prepayments and advances		
Prepayments and advances (short term)	1 299	2 767
Prepayments and advances (long term) *	49	64
Total	1 348	2 831
<i>* The long-term portion of prepayments is in respect of computer warranties.</i>		
5		
VAT		
VAT input	-	8 325
VAT output	(838)	(4 254)
VAT (payable)/receivable	(838)	4 071

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	Carrying	Carrying
	amounts	amounts
	R'000	R'000
6 Summary of property, plant & equipment		
Land	23 000	23 000
Lifts	2 015	2 148
Telephone systems	511	542
Fixtures	3 272	3 440
Buildings	125 701	126 870
Leasehold property	1 516	1 925
Artwork	1 472	1 553
Motor vehicles	2 798	3 678
Office furniture	7 990	7 925
Computer and other equipment	11 344	11 073
Medical equipment	108	105
	179 727	182 259
Summary of intangible assets		
Software	3 196	3 432
Usage rights	2 207	2 340
	5 403	5 772

For detailed disclosures refer to Notes 6.1 to 6.3

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

6.1 Property, plant and equipment

Balance as at 31 March 2013	Total	Land	Lifts	Telephone systems	Fixtures	Buildings	Leasehold property	Artwork	Motor vehicles	Office furniture	Computer and other equipment	Medical equipment	Library books and manuscripts
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Reconciliation of carrying value													
Opening net carrying amount	182 259	23 000	2 148	542	3 440	126 870	1 925	1 553	3 678	7 925	11 073	105	165
Gross carrying amount	240 214	23 000	3 335	765	4 038	135 088	4 094	1 789	5 432	10 513	45 354	2 080	4 726
Accumulated depreciation	(57 955)	-	(1 187)	(223)	(598)	(8 218)	(2 169)	(236)	(1 754)	(2 588)	(34 281)	(1 975)	(4 726)
Additions and revaluations	5 185	-	-	-	-	354	-	-	-	561	4 264	6	-
Additions	5 185	-	-	-	-	354	-	-	-	561	4 264	6	-
Revaluation	-	-	-	-	-	-	-	-	-	-	-	-	-
Disposals and adjustments	(601)	-	-	-	-	-	-	(10)	(522)	(2)	(67)	-	-
Cost of disposal	(1 124)	-	-	-	-	-	-	(11)	(844)	(2)	(267)	-	-
Accumulated depreciation of disposal	523	-	-	-	-	-	-	1	322	-	200	-	-
Depreciation	(7 116)	-	(133)	(31)	(168)	(1 523)	(409)	(71)	(358)	(494)	(3 926)	-3	-
Closing net carrying amount	179 727	23 000	2 015	511	3 272	125 701	1 516	1 472	2 798	7 990	11 344	108	-
Gross carrying amount	244 275	23 000	3 335	765	4 038	135 442	4 094	1 778	4 588	11 072	49 351	2 086	4 726
Accumulated depreciation	(64 548)	-	(1 320)	(254)	(766)	(9 741)	(2 578)	(306)	(1 790)	(3 082)	(38 007)	(1 978)	(4 726)
Historical cost would have been:	88 432	5 138	-	-	-	82 019	-	1 275	-	-	-	-	-

The land is registered as Stand 3242 Pretoria, measuring 7 655 m². Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. Buildings classification combines land, lifts, telephone systems, fixtures and buildings. This also consists of a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 13 October 2011 by an independent valuer, Mr Bryan Nvaghah of Colliers International (Pty) Ltd, using the discounted cash flow analysis (DCF) method. In addition, to determine the value of the building, the "Highest and Best Use" was ascertained. This concept is based on the notion that although two properties may have physical similarities and closely resemble one another, there may be significant differences in how they can be used. Optimal utilisation was the foundation of determining the building's market value and highest and best optimal use for the HSRC's building was identified as office/administration and conferencing purposes.

A discount rate of 16%, a cap rate of 11% and an exit cap rate of 11.25% were applied to the income flowing from the property and these rates were derived from statistical data in the then latest version of the IPD cap and discount data survey.

The building is not held as security for any obligations.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

6.1 Property, plant and equipment (Continues)

Balance as at 31 March 2012	Total	Land	Lifts	Telephone systems	Fixtures	Buildings	Leasehold property	Artwork	Motor vehicles	Office furniture	Computer and other equipment	Medical equipment	Library books and manuscripts
R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Reconciliation of carrying value													
Opening net carrying amount	175 342	23 000	2 283	577	3 785	117 471	2 334	1 913	4 097	8 242	11 640	-	-
Gross carrying amount	223 215	23 000	3 335	765	4 230	124 276	4 094	2 097	5 432	10 410	40 850	-	4 726
Accumulated depreciation	(47 873)	-	(1 052)	(188)	(445)	(6 805)	(1 760)	(184)	(1 335)	(2 168)	(29 210)	-	(4 726)
Additions and revaluations	18 834	-	-	-	-	10 812	-	-	-	200	5 742	2 080	-
Additions	8 313	-	-	-	-	291	-	-	-	200	5 742	2 080	-
Revaluation	10 521	-	-	-	-	10 521	-	-	-	-	-	-	-
Disposals and adjustments	(741)	-	-	-	(177)	-	-	(276)	-	(66)	(222)	-	-
Cost of disposal	(1 835)	-	-	-	(192)	-	-	(308)	-	(97)	(1 238)	-	-
Accumulated depreciation of disposal	1 094	-	-	-	15	-	-	32	-	31	1 016	-	-
Depreciation	(11 176)	-	(135)	(35)	(168)	(1 413)	(409)	(84)	(419)	(451)	(6 087)	(1 975)	-
Closing net carrying amount	182 259	23 000	2 148	542	3 440	126 870	1 925	1 553	3 678	7 925	11 073	105	-
Gross carrying amount	240 214	23 000	3 335	765	4 038	135 088	4 094	1 789	5 432	10 513	45 354	2 080	4 726
Accumulated depreciation	(57 955)	-	(1 187)	(223)	(598)	(8 218)	(2 169)	(236)	(1 754)	(2 588)	(34 281)	(1 975)	(4 726)
Historical cost would have been:	88 599	5 138				82 115		1 346					

The land is registered as Stand 3242 Pretoria, measuring 7 655 m², Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. Buildings classification combines land, lifts, telephone systems, fixtures and buildings. This also consists of a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 13 October 2011 by an independent valuer, Mr Bryan Nyagah of Colliers International (Pty) Ltd, using the discounted cash flow analysis (DCF) method. In addition, to determine the value of the building, the "Highest and Best Use" was ascertained. This concept is based on the notion that although two properties may have physical similarities and closely resemble one another, there may be significant differences in how they can be used. Optimal utilisation was the foundation of determining the building's market value and highest and best optimal use for the HSRC's building was identified as office/administration and conferencing purposes.

A discount rate of 16%, a cap rate of 11% and an exit cap rate of 11.25% were applied to the income flowing from the property and these rates were derived from statistical data in the then latest version of the IPD cap and discount data survey.

The building is not held as security for any obligations.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

6.2 Intangible assets**Balance as at 31 March 2013**

	Total	Software	Usage rights
Reconciliation of carrying value	R'000	R'000	R'000
Opening net carrying amount	5 771	3 431	2 340
Gross carrying amount	8 834	6 171	2 663
Accumulated depreciation	(3 063)	(2 740)	(323)
Additions	855	855	-
Additions	855	855	-
Amortisation & impairment	(1 223)	(1 090)	(133)
Amortisation	(1 223)	(1 090)	(133)
Impairment	-	-	-
Closing net carrying amount	5 403	3 196	2 207
Gross carrying amount	9 689	7 026	2 663
Accumulated depreciation	(4 286)	(3 830)	(456)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

6.2 Intangible assets (Continues)**Balance as at 31 March 2012****Reconciliation of carrying value****Opening net carrying amount**

Gross carrying amount

Accumulated depreciation

Additions

Additions

Amortisation & impairment

Amortisation

Impairment

Closing net carrying amount

Gross carrying amount

Accumulated depreciation

	Total	Software	Usage rights
	R'000	R'000	R'000
Opening net carrying amount	6 314	3 841	2 473
Gross carrying amount	8 182	5 519	2 663
Accumulated depreciation	(1 868)	(1 678)	(190)
Additions	652	652	-
Additions	652	652	-
Amortisation & impairment	(1 195)	(1 062)	(133)
Amortisation	(801)	(668)	(133)
Impairment	(394)	(394)	-
Closing net carrying amount	5 771	3 431	2 340
Gross carrying amount	8 834	6 171	2 663
Accumulated depreciation	(3 063)	(2 740)	(323)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
7 Operating leases accruals and commitments		
<i>Operating lease accruals</i>		
Opening balance 1 April	1 198	1 070
Movement for the year	(1 098)	128
Balance at 31 March	100	1 198
<i>Operating lease commitments</i>		
Opening balance 1 April	(328)	(344)
Movement for the year	(545)	16
Balance at 31 March	(873)	(328)
7.1 Operating lease arrangements as the lessee:-		
7.1.1 Future minimum lease payments		
Up to 12 months		
Cape Town lease	3 376	3 097
Durban lease	1 233	76
Port Elizabeth lease	190	175
Sweetwaters lease	97	81
CSIR - Disaster Recovery Site	47	47
	4 943	3 476
1 to 5 years		
Cape Town lease	9 793	13 169
Durban lease	1 470	-
Port Elizabeth lease	65	256
Sweetwaters lease	214	-
CSIR - Disaster Recovery Site	23	70
	11 565	13 495

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

7 Operating leases accruals and commitments (Continues)

7.1.2 Other disclosures

Cape Town lease

The HSRC has leased office space from Old Mutual Life Assurance Company (South Africa) (Pty) Ltd at Plein Street, Cape Town, portions of the 10th, 14th and 16th floors and the entire 12th and 13th floors. The contract was initially for a period of six years, effective from 1 October 2005. The agreement was renewed for an additional five years effective from 1 October 2011. The current lease payment per month is R270 414 (VAT excluded). The contract includes an annual escalation of 9% (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.

Durban lease

The HSRC has leased property in Durban from Kwazulu Natal Department of Housing portions of Pod 4, Pod 5 and Pod 6. The lease agreement is for three years effective from 1 May 2012. The contract includes an escalation clause of 10% (compounded) annually. The current lease payment per month is R94 128 (VAT included). 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 is leasing a property from the Masig Family Trust, 44 Pickering Street, Newton Park, Port Elizabeth. The lease arrangement is effective from 1 August 2011 and expires on the 30th of July 2014 with an option to renew. The current lease payment per month is R14 963 per month (VAT excluded). The contract includes an annual escalation of 9% (compounded) annually. The HSRC does not have the option to acquire the building but has an option to renew the same lease agreement for an additional two years.

Sweetwaters lease

A lease agreement was signed between 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, renewed on 1 March 2013 for an additional 3 years. The current lease payment per month is R7 320 (VAT excluded). The contract includes an annual escalation of 10% (compounded) annually. The HSRC does not have the option to acquire the building but has an option to renew the same lease agreement.

Council for Scientific and Industrial Research (CSIR) lease

The HSRC has leased property in The CSIR located in Building 14, Scientia. Total space acquired is 63 sq metres utilised as a disaster recovery site. The lease agreement is for three years effective from 1 October 2011. The contract has a fixed rental amount with no escalation clause. The lease payment per month, over contract period, is R3 882 (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.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
7 Operating leases accruals and commitments (Continues)		
7.2 Operating lease arrangements as the lessor:-		
7.2.1 Future minimum lease payments		
Up to 12 months		
Department of Public Works lease	1 246	14 855
1 to 5 years		
Department of Public Works lease	-	1 246

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 lease contract was initially for a period of three years, effective from 1 May 2007 and ended on 30 April 2010. The same lease agreement was renewed for an additional three years, effective from 1 May 2010. The current lease payment is R1 246 482 per month (VAT excluded) with an annual escalation of 9% (compounded) annually. Department of Public Works does not have the option to acquire the building at the end of the lease agreement but has a right to renew the lease for a further period to be agreed. The current agreement expires on 30 April 2013, and renewal negotiations are ongoing. Renewal of this agreement under current escalation rate of 9% will result in future minimum lease payments of R54,461,309 (Excl VAT) over a 3-year period.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
8 Trade and other payables		
Trade creditors	14 047	16 543
Accruals	11 076	12 680
	25 123	29 223

Note

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

9 Income received in advance		
Bill & Melinda Gates Foundation	3 499	3 336
City of Tshwane	537	1 057
Department of Basic Education	58	4
Department of Education	-	179
Department of Higher Education	1 384	12 980
Department of Labour	-	854
Department of Science and Technology	18 503	10 967
Department of Rural Development	4 088	-
Hilton Foundation	3 654	-
International Development Research Centre	668	-
Elma Foundation	859	-
Tides Foundation	2 439	-
Department for International Development	-	24 715
Going to Scale	3 258	3 186
Open Society Initiative	84	150
Other projects/funding agencies	7 693	9 888
Project Accept	-	347
Royal Netherlands Embassy	-	1 674
The Wellcome Trust	576	469
University of Pennsylvania	1 436	2 242
	48 736	72 048

Note

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 2013.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

10 Finance leases liability**Balance as at 31 March 2013**

	Minimum lease payment	Future finance charges	Present value of minimum lease payments
Amounts payable under finance leases	R'000	R'000	R'000
Due within one year	533	73	460
Due over one to five years	533	19	514
	1 066	92	974
Less: Amount due for settlement within 12 months (current portion)			(460)
			514

The remaining lease term is 16 months and the average effective borrowing rate is prime plus 2%. Interest rates fluctuate with the bank repo rate. Some leases have fixed repayment terms and others escalate between 10%-15% per annum. Obligations under finance leases are secured by the lessor's title to the leased asset.

Balance as at 31 March 2012

	Minimum lease payment	Future finance charges	Present value of minimum lease payments
Amounts payable under finance leases	R'000	R'000	R'000
Due within one year	551	121	430
Due over one to five years	1 065	91	974
	1 616	212	1 404
Less: Amount due for settlement within 12 months (current portion)			(430)
			974

The remaining lease term is 28 months and the average effective borrowing rate is prime plus 2%. Interest rates fluctuate with the bank repo rate. Some leases have fixed repayment terms and others escalate between 10%-15% per annum. Obligations under finance leases are secured by the lessor's title to the leased asset.

11 Capital and expenditure commitments

Approved and contracted

Total commitments

2013 March R'000	2012 March R'000
12 018	13 337
12 018	13 337

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
12 Provisions		
Annual bonus	4 038	3 527
Performance bonus	3 895	4 674
Provision for leave	11 407	10 303
	19 340	18 504

The 'provisions' balance includes leave pay, performance bonus and bonus provisions which relate to the HSRC's estimated liabilities arising as a result of services rendered by employees. Bonus provision is payable in the birthday month of the employee and leave provision reduces when an employee takes official leave days or leaves the HSRC and the leave is paid out to the employee. Performance bonus is paid annually for good staff performance after performance appraisals are completed and analysed.

Analysis of movements in provisions**Annual bonus****Opening balance**

	3 527	3 147
Additional provision	7 541	6 576
Amounts paid out during the year	(7 030)	(6 196)
Closing balance	4 038	3 527

Provision for leave**Opening balance**

	10 303	9 765
Additional provision	14 369	9 114
Amounts paid out during the year	(1 200)	(1 636)
Amounts utilised during the year	(12 065)	(6 940)
Closing balance	11 407	10 303

Performance bonus**Opening balance**

	4 674	3 495
Additional provision	3 895	4 674
Amounts paid out during the year	(4 674)	(3 495)
Closing balance	3 895	4 674

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

		2013	2012
		March	March
		R'000	R'000

13 Post-retirement medical benefits**13.1 Defined contribution plan**

As from 1 August 1997, post-retirement medical benefits were provided by membership of a provision fund administered by Liberty Group Limited.

The HSRC, for staff who did not belong to the medical aid scheme on 1 August 1997, contributes a monthly amount of R100 to the fund on behalf of the members. The HSRC, for staff who joined the service of the HSRC after 1 April 1998, irrespective of whether they joined the medical aid scheme or not, contributes an amount of R100 per month to the fund on behalf of the members.

Present value of obligation	3 240	2 985
Liability recognised in the balance sheet	3 240	2 985
Current service cost		
Present value of obligation at beginning of year	2 985	3 391
Interest cost	218	249
Current service cost	6	10
Benefits paid	(439)	(461)
Actuarial (gain)/loss on obligation	470	(204)
Present value of obligation at year end	3 240	2 985

13.2 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
- The liability in respect of members in active employment

For the members in active employment, the total liability is normally assumed to accrue evenly over the full potential period of active membership starting from the date of joining the HSRC up to the date of death, disability or retirement.

The result of these calculations is an estimate of the cost of these subsidies, based on assumptions regarding the future experience, and does not influence the actual cost of these subsidies. The actual cost will be determined by the actual experience in the future.

The previous assessment of the liability with regard to subsidies in respect of continuation member healthcare costs was done on 31 March 2012. The next assessment of the liabilities needs to be performed at the next financial year end.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

13 Post-retirement medical benefits (Continues)

13.3 Particulars of the liabilities

In respect of the members in active employment, the employer subsidises 50% of the subscription (excluding contributions towards a medical savings account) to the applicable Discovery Health Comprehensive Plan at retirement. The subsidy amount will not increase after retirement. However, at death of the member or the member's spouse, whichever occurs first, the subsidy will reduce to the same percentage of the subscription for a single life as at the date of retirement. It has been assumed that this member will belong to the Discovery Health Comprehensive Essential Plan at retirement.

Continuation members of the HSRC do not receive a certain percentage subsidy of each member's medical aid premium after retirement, but receive a fixed amount based on an actuarial calculation when the member retires. This amount does not increase annually and the full subsidy is payable to the member's dependant on death of the member or to the member on death of the member's dependant, if any.

13.4 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	
	2013	2012	2013	2012
Male members	1	1	22	21
Total/weighted average	1	1	22	21

The average age of these members was 45.6 years as at 31 March 2013, compared to 44.6 years in respect of the active members as at 31 March 2012. Average number of dependents as at 31 March 2013 was 2.0

Details of the continuation members as at reporting date:

	Number of members		Average subsidy per month – R's		Average weighted age – years	
	2013	2012	2013	2012	2013	2012
Male members	34	34	594	581	79	76
Female members	40	41	401	410	78	79
Total/weighted average	74	75	498	496	78	78

Average number of dependents is 0.4 years (Male:0.8 and Female:0.0)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

13 Post-retirement medical benefits (Continues)**13.5 Valuation results**

The results of the current valuation compared to the results as at 31 March 2013 are as follows:

13.5.1 Accrued liabilities

	2013	2012
	March	March
	R'000	R'000
Liabilities in respect of:		
Members in active employment	191	125
Current continuation members	3 049	2 860
Total	3 240	2 985

The calculation of liabilities is based on the subsidies that are to be paid in the future, and not based on the expected medical utilisation. This does not include any allowance for any potential cross-subsidy liability that may arise. The cross-subsidy liability is not required for IAS19/GRAP25 recognition purposes.

Comparison of liability results is as follows:

	2013	2012	Impact
	March	March	
	R'000	R'000	%
Total unfunded liability			
In-service members	191	125	53%
Continuation members	3 049	2 860	7%
All members	3 240	2 985	9%
Average Liability per member			
In-service members	191	125	53%
Continuation members	41	38	8%
All members	43	39	10%

Explanation of movements***In-service members***

The in-service member liability has increased by 53% over the year due to increases in the employer's subsidy in today's terms, past service and the employee's age, as well as a significant decrease in the net discount rate. The total in-service member liability has also increased by 53% as there was no change in the number of eligible in-service members.

Continuation members

The average continuation member liability has increased by 8% mainly due to the decrease in the net discount rate, partially offset by an increase in the average age.

The total continuation member liability has decreased by 7% due to the above factors being partially offset by a reduction in the number of continuation members.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

13 Post-retirement medical benefits (Continues)

13.5 Valuation results (Continues)

13.5.2 Mortality

No mortality rates have been used in respect of the period before retirement. In respect of the period after retirement, the published PA90 (ultimate) mortality tables for males and females respectively were used.

13.5.3 Key financial assumptions

The following valuation assumptions were used compared to the assumptions as at 31 March 2012 which are consistent with the requirements of IAS19:

	% per annum	
	2013	2012
Discount rate	6,00	7,87
Healthcare cost inflation rate - in service	6,39	7,47
Healthcare cost inflation rate - retirees	0,00%	0,00%
Net effective discount rate - in-service	(0,36)	0,37
Net effective discount rate - retirees	6,00	7,87

The next contribution rate increase is assumed to occur 1 January 2014. The negative discount rate implies that expected medical inflation in the short term is greater than the return on short-term government yields. The liability-weighted average term is short due to pensioner-weighted aspect of the total liability.

13.5.3.1 Key demographic assumptions

The following valuation assumptions were used which are consistent with the requirements of IAS19:

	Value
	2013
Average retirement age	60
Continuation of membership at retirement	100%
Proportion assumed married at retirement	100%
Mortality during employment	SA 85-90
Mortality post-retirement	PA90-1 ultimate
Withdrawal from service (sample annual rates)	No withdrawal assumed

13.5.4 Withdrawal from service

If an in-service member leaves, the employer's liability in respect of that member ceases. It is therefore important not to overstate withdrawal rates. Withdrawals were ignored for the one eligible in-service member.

13.5.5 Average retirement age

It has been assumed that the in-service member will retire at age 60, which allows for expected rates of early and ill-health retirement.

13.5.6 Continuation of membership and family profile

It has been assumed that the in-service member will remain on the healthcare arrangement at retirement. It has also been assumed that the in-service member will be married at retirement. Further it has been assumed that he will be five years older than his wife. For current retiree members, actual marital status was used and the potential for remarriage was ignored.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

13 Post-retirement medical benefits (Continues)

13.5 Valuation results (Continues)

13.5.7 Amount of subsidy

For the continuation members, the total monthly contributions applicable to the medical scheme arrangements for the year 2013 are as follows:

Discovery Health – Comprehensive Essential Plan

	2013
	R
Principal member	2 594
Adult dependant	2 451
Child dependant	520

13.5.8 Analysis of the movement in the liability

	2013
	R
Contribution to actuarial loss:	
Basis change: decrease in net discount rate	350 405
Average contributions higher than assumed	9 133
Changes to membership profile different from assumed	110 684
Actuarial (Gain)/Loss for the period	470 222

The above table analyses the extent of unexpected increases or decreases in the liability over the period, from the previous valuation date to the current valuation date.

13.5.9 Analysis of past year and future projected liability

	Year ending 31/03/2013	Year ending 31/03/2014	Year ending 31/03/2015
	R	R	R
Opening accrued liability	2 984 759	3 240 400	2 996 391
Current service cost	6 350	9 113	9 660
Interest cost	217 957	181 698	167 047
Contributions (benefits paid)	(438 888)	(434 820)	(434 820)
Total annual expense	(214 581)	(244 009)	(258 113)
Actuarial loss/ (gain)	470 222	-	-
Closing accrued liability	3 240 400	2 996 391	2 738 278

13.5.10 Current service and interest costs

	Year ending 31/03/2013	Year ending 31/03/2014
	R	R
In-service members		
Current service cost	6 350	9 113
All members		
Interest cost	217 957	181 698

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

13 Post-retirement medical benefits (Continues)**13.6 Valuation results (Continues)****13.6.1 Sensitivity analysis**

The liability at the valuation date was recalculated to show the effect of: (i) 1% increase and decrease in the assumed rate of health cost of inflation; (ii) One year age reduction in the assumed rates of post-retirement mortality; and (iii) One year decrease in the assumed average retirement age.

13.6.2 Sensitivity analysis on the accrued liability (R)

Assumption	Change	In-service	Continuation	Total	% change
Central assumptions		191 000	3 049 000	3 240 000	
Healthcare inflation	1%	209 000	3 049 000	3 258 000	1%
	-1%	175 000	3 049 000	3 224 000	0%
Post-retirement mortality	-1 year	195 000	3 166 000	3 361 000	4%
Average retirement age	-1 year	203 000	3 049 000	3 252 000	0%

13.6.3 Sensitivity analysis on the current service and interest costs for the year ending 31 March 2013 (R)

Assumption	Change	Current Service Cost	Interest Cost	Total	% change
Central assumptions		6 400	218 000	224 400	
Healthcare inflation	1%	6 900	218 800	225 700	1%
	-1%	5 900	217 200	223 100	-1%
Post-retirement mortality	-1 year	6 500	225 700	232 200	3%
Average retirement age	-1 year	6 800	218 600	225 400	0%

13.6.4 Sensitivity analysis on the current service and interest costs for the year ending 31 March 2014 (R)

Assumption	Change	Current Service Cost	Interest Cost	Total	% change
Central assumptions		9 100	181 700	190 800	
Healthcare inflation	1%	10 000	182 800	192 800	1%
	-1%	8 400	180 700	189 100	-1%
Post-retirement mortality	-1 year	9 300	188 900	198 200	4%
Average retirement age	-1 year	9 700	182 400	192 100	1%

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

		2013	2012
		March	March
		R'000	R'000
14	Revenue		
14.1	Research revenue		
	International funding agencies	113 491	82 768
	National and provincial funding agencies	48 718	45 594
	Private sector	5 498	2 583
	Professional services and secondment	1 657	1 014
	Public corporations	635	2 890
	Public sector	9 474	9 127
		179 473	143 976
14.2	Parliamentary grants		
	Parliamentary grants received	187 875	180 850
		187 875	180 850

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
15 Other operating revenue		
Cafeteria income	2 547	2 610
Donations and gifts	-	138
Insurance claims: Recoveries	2 691	1 563
Interest received	2 007	2 412
Profit on disposal of assets	-	-
Publication sales	1 031	995
Rental income	16 561	16 374
Royalties received	337	242
Sundry income	3 771	2 297
	28 945	26 631
16 Administrative expenses		
Annual license fees, library manuscripts and subscriptions	(8 175)	(10 522)
Audit fees	(3 276)	(4 681)
- External audit	(2 234)	(1 807)
- Internal audit	(800)	(1 874)
- Other audits	(242)	(1 000)
Bank costs/stamp duty/excise duties	(371)	(224)
Consulting fees and outsourced services	(5 927)	(5 246)
Consumable goods	(3 899)	(5 175)
Insurance	(4 462)	(1 526)
Net foreign exchange loss	(124)	(93)
Postal, telecom and delivery fees	(8 630)	(8 235)
Printing and photocopying	(4 027)	(4 651)
Publicity functions and conferences	(1 220)	(1 177)
Sundry operating expenses	(1 621)	(291)
Travel and subsistence	(4 686)	(4 468)
	(46 418)	(46 289)
17 Research cost		
Direct labour expense	(41 521)	(25 748)
Direct research cost	(78 192)	(67 579)
	(119 713)	(93 327)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
18 Staff cost		
Wages and salaries *	(178 614)	(158 147)
Defined contribution plan	(14 959)	(13 530)
Social contributions (employer's contributions)		
- official unions and associations	(159)	(144)
Post-retirement medical benefit		
- Employer contributions	(439)	(462)
- (Increase)/decrease in liability	(255)	406
Termination benefits ***	(2 865)	(210)
Total	(197 291)	(172 087)
Number of staff as at 31 March 2013		
Permanent staff	505	457
Short-term staff (12 months or less) **	62	57
Total	567	514

Note:

* Board members and executive management remuneration is disclosed separately on Note 27.3

** Short-term staff are predominantly linked to various HSRC research projects, and staff count varies with projects activities during a given period.

*** Termination benefits relates to severance packages paid during the year under review.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
19 Other operating expenses		
Bad debts(written off)/recovered	(1 209)	2 857
Legal fees	(420)	(1 992)
Loss on disposal of assets	(383)	(774)
Office refreshments and client relations	(474)	(332)
Rentals, maintenance, repairs and running costs	(18 956)	(19 041)
- <i>Other maintenance repairs and running costs</i>	<i>(6 008)</i>	<i>(8 145)</i>
- <i>Property taxes and municipal rates</i>	<i>(5 723)</i>	<i>(5 078)</i>
- <i>Lease rentals (regional offices)</i>	<i>(7 225)</i>	<i>(5 818)</i>
Staff recruitment costs	(828)	(773)
Staff training	(3 747)	(1 788)
Study bursaries	(735)	(372)
	(26 752)	(22 215)
20 Finance cost		
Finance lease cost	(121)	(359)
Interest paid	(1)	-
Fair valuation cost	(1 593)	(1 236)
	(1 715)	(1 595)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
21 Reconciliation of net cash flows from operating activities to surplus		
Surplus for the year	(3 935)	3 572
Adjustment for:		
Depreciation and amortisation	8 339	12 371
Impairment loss/(gain)/movement on receivables	1 209	(2 857)
Increase in provisions relating to employee cost	836	2 099
Inventory written off	-	-
Losses on sale of property, plant and equipment	383	774
Net foreign exchange loss	124	93
Other adjustments	(37)	(93)
Items disclosed separately		
Receipts of sales of assets	(212)	(1 563)
Operating surplus before working capital changes:	6 707	14 396
Increase/(decrease) in VAT payable	838	(2 400)
(Increase) in inventories	(905)	(454)
Decrease/(increase) in other receivables	1 589	(2 727)
Decrease/(increase) in VAT receivable	4 071	(4 071)
Increase/(decrease) in post-retirement medical benefit	255	(406)
(Increase)/decrease in trade receivables	(13 887)	1 921
Decrease in prepayments	1 482	2 449
(Decrease)/increase in income received in advance	(23 311)	33 217
(Decrease)/increase in trade payables	(4 100)	8 691
Movement in lease accruals	1 098	(128)
Movement in lease commitments	545	(17)
Cash generated by operations	(25 618)	50 471

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

22 Contingent liabilities

Pending claims

All the claims are being contested based on legal advice. It is highly unlikely that any contingent liability or asset exists. The financial details of these claims are as follows:

	2013 March R
Claims being made by the HSRC (one research partner)	4 040 828
Claim against the HSRC (one service provider)	(1 176 243)
Net claims	2 864 585

23 Events after the reporting date

The Minister of Science and Technology has initiated a process to incorporate Africa Institute of South Africa (AISA) into the HSRC, with incorporation set to take place in the 2013/14 financial year, subject to all legislative approval processes. The AISA Medium Term Expenditure Framework (MTEF) Budget will be ring-fenced for three years from the date of incorporation. All staff, assets and liabilities will be transferred to HSRC on the date of incorporation.

24 Taxation

No provision has been made for taxation as the HSRC is exempt from tax in terms of Section 10 (1) (Ca)(i) of the Income Tax Act, 1962 (Act No 58 of 1962).

25 Going concern assumption

The annual financial statements have been prepared on a going concern basis.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

26 Significant accounting judgments, estimates and assumptions

The preparation of HSRC financial statements requires management to make judgments, estimates and assumptions that affect the reported amounts of revenues, expenses, assets and liabilities, and the disclosure of contingent liabilities, at the reporting date. However, uncertainty about these assumptions and estimates could result in outcomes that require a material adjustment to the carrying amount of the asset or liability affected in future periods.

Judgments

In the process of applying the HSRC accounting policies, management has made the following judgments which have the most significant effect on the amounts recognised in the financial statements:

Operating lease commitments – HSRC as lessor

HSRC has entered into commercial property leases on buildings. 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 these properties and so accounts for these contracts as operating leases.

Estimates and assumptions

The key assumptions concerning the future and other key sources of estimation uncertainty at the balance sheet date, that have significant risk of causing material adjustment to the carrying amounts of assets and liabilities within the next financial year are discussed below:

Property, vehicles, plant and equipment and intangible assets

Property, vehicles, plant and equipment and intangible assets are depreciated over their useful life 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 reassessing 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.

Impairment testing

Property, vehicles, plant and equipment and intangible assets are considered for impairment if there is a reason to believe that impairment may be necessary. The future cash flows expected to be generated by the assets are projected taking into account market conditions and the expected useful lives of the assets. The present value of these cash flows, determined using an appropriate discount rate, is compared to the current carrying value and, if lower, the assets are impaired to the present value.

26 Significant accounting judgments, estimates and assumptions (Continues)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

Estimates and assumptions (Continues)

Revaluation of property, plant and equipment

HSRC measures its land and buildings at revalued amounts with changes in fair value being recognised in statement of changes in net assets. The entity engaged independent valuation specialists to determine fair value as at 31 March 2012. The key assumptions used to determine the fair value of the land and buildings are further explained in Note 6.

Fair value of financial instruments

Where the fair value of financial assets and financial liabilities recorded in the statement of financial performance cannot be derived from active markets, they are determined using valuation techniques including the discounted cash flows model. The inputs to these models are taken from observable markets where possible, but where this is not feasible, a degree of judgment is required in establishing fair values. The judgments include considerations of inputs such as liquidity risk, credit risk and volatility. Changes in assumptions about these factors could affect the reported fair value of financial instruments.

Pension benefits

The cost of defined benefit pension plans and other post-employment medical benefits as well as the present value of the pension obligation 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.

Future salary increases and pension increases are based on expected future inflation rates. For details about the assumptions used are given in Note 13.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

27 Related parties

The HSRC is a schedule 3A National Public Entity in terms of the Public Finance Management Act (Act 1 of 1999 as amended) and therefore falls within the national sphere of government. As a consequence the HSRC is a significant number of related parties being entities that fall within the national sphere of government.

Unless specifically disclosed, these transactions are concluded on an arm's length basis. There are no restrictions in the HSRC's capacity to transact with any entity.

27.1 Transactions with related entities

The following is a summary of transactions with related parties during the year and balances due at year-end:

	Year ending 31 March 2013			Year ending 31 March 2012			Year ending 31 March 2011		
	Transactions	Balance	Amount Included in Bad Debts Provision as at 31 March 2013	Transactions	Balance	Amount Included in Bad Debts Provision as at 31 March 2012	Transactions	Balance	Amount Included in Bad Debts Provision as at 31 March 2011
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Major public entities and departments									
National Research Foundation	3 213	-	-	1 010	18	-	1 908	-	-
Department of Science and Technology	9 629	1 219	-	8 640	743	-	-	-	-
Council for Scientific and Industrial Research (CSIR)	-	-	-	171	-	-	561	146	7 496
Agricultural Research Council	-	-	-	-	-	-	13	-	-
Other Government Departments and Public Entities	63 538	1 494	102	78 105	6 176	27	3 591	412	3 753
Development Bank of Southern Africa	12	-	-	-	-	-	-	-	10
University of KwaZulu-Natal	50	-	-	82	45	-	350	-	65
University of Witwatersrand	15	-	-	53	40	-	1 977	30	270
Sub Total	76 457	2 713	102	88 061	7 022	27	8 400	588	12 002
									8 331
Other key disclosure									
(i) Board member Professor T. Pllay is employed by the University (ii) Board member Professor E. Webster is a researcher at the University (iii) Board member Professor E. Webster is a board member									

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

- 27 Related parties (continues)
 272 Fees paid to board members and executive management salaries:

	Year ending 31 March 2013				Year ending 31 March 2012	
	Gross Remuneration	Performance Bonus	Other Allowances	Total	Total	Total
	R	R	R	R	R	R
Professor R Hassan (Resigned 29 February 2012)	-	-	-	-	-	3 498
Professor A Lourens (Also serves on the audit and risk committee)	17 352	-	3 240	20 592		19 576
Mrs P Nzimande	-	-	-	-	-	23 289
Professor L Qalinge	8 676	-	-	8 676		30 687
Professor E Webster	12 564	-	427	12 991		13 990
Professor T Pillay	19 671	-	-	19 671		36 008
Dr B Tema	36 407	-	3 266	39 673		69 709
Professor O Shisana (ex officio as CEO)	2 314 291	193 247	144 000	2 651 538		2 508 747
Professor A Sawyerr (Resigned 31 August 2011)	-	-	-	-		5 958
Professor P Zulu (Also serves on the audit and risk committee)	51 997	-	-	51 997		81 116
Professor E Uliana (Also serves on the audit and risk committee)	46 786	-	250	47 036		35 739
Professor Fulufhelo Netswera (Appointed 1 November 2012)	8 676	-	1 617	10 293		-
Professor A Olukoshi	26 930	-	-	26 930		8 262
Executive Management	11 893 074	439 927	830 870	13 163 871		11 844 380
	14 436 424	633 174	983 670	16 053 268		14 680 959

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

27 Related parties (continues)**27.3 The following is a list of executive management for the years ended 31 March 2013 and 31 March 2012**

For the year ending 31 March 2013		
Name	Position	Date of Appointment
Professor O Shisana	Chief Executive Officer (CEO)	01/08/2005
Dr B S T Masilela	Deputy-Chief Executive Officer – Research (DCEO:R)	01/11/2010
Mr A P Pedlar	Deputy-Chief Executive Officer – Operations (DCEO:OPS)/ Acting CFO	01/11/2010-19/10/2012
Dr U Pillay	Deputy-Chief Executive Officer – Management Support (DCEO:MS)/ Executive Director:OCEO	01/06/2012
Ms P Singh (CA) SA	Chief Financial Officer (CFO)	01/09/2012
Professor M R Mabugu	Executive Director: EPD	01/12/2010
Dr V Reddy	Executive Director: ESD	01/07/2007
Professor L C Simbayi	Executive Director: HAST	01/07/2009
Professor D Labadarios	Executive Director: FHHSI	01/08/2008
Professor A Bhana	Executive Director: HSD	01/12/2011
Ms J February	Executive Director: DGSD	01/10/2012
Mr G Matthee CA(SA)	Chief Financial Officer (CFO)	01/06/2012-30/06/2012
Mrs S Molawa	Acting Head:Operations	01/09/2012-28/02/2013
Dr N Bohler-Muller	Acting Executive Director: DGSD	01/04/2012-30/09/2012

Human Sciences Res
NOTES TO THE
for the year ended 3

For the year ending 31 March 2012		
Name	Position	Date of Appointment
Professor O Shisana	Chief Executive Officer (CEO)	01/08/2005
Dr B S T Masilela	Deputy-Chief Executive Officer - Research (DCEO:R)	01/11/2010
Mr A P Pedlar	Deputy-Chief Executive Officer - Operations (DCEO:OPS)/ Acting CFO	01/11/2010
Mrs A Ohlson*	Chief Financial Officer (CFO)	01/07/2008-31/01/2012
Dr U Pillay	Executive Director	01/01/2002
Professor M R Mabugu	Executive Director	01/12/2010
Dr V Reddy	Executive Director	01/07/2007
Professor L C Simbayi	Executive Director	01/07/2009
Professor D Labadarios	Executive Director	01/08/2008
Professor A Bhana	Executive Director	01/12/2011
Professor A Bhana	Acting Executive Director	01/04/2011-31/05/2011
Professor V Reddy	Acting Executive Director	01/06/2011-30/11/2011
Dr N Bohler-Muller	Acting Executive Director	01/03/2012-31/03/2012

* Services terminated on 31 January 2012

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NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

28 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 28.1. 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.

28.1 Misstatement of revenue and expenditure items

Effect on financial statements	Explanation reference	Adjustment impact	R'000
Decrease in accumulated surplus (2010/2011)	1	Statement of Financial Position	782
Increase in accumulated surplus	1	Statement of Financial Position	19
Increase in administrative expenses	3	Statement of Financial Performance	695
Decrease in income received in advance	1	Statement of Financial Position	2 334
Increase in provisions	4	Statement of Financial Position	(4 675)
Increase in research cost	2	Statement of Financial Performance	60
Increase in research revenue	1	Statement of Financial Performance	(925)
Increase in staff costs	4	Statement of Financial Performance	1 180
Increase in trade and other payables	3	Statement of Financial Position	5
Increase in trade and other receivables	1	Statement of Financial Position	532
Increase in VAT receivable	3	Statement of Financial Position	(7)

- 1 Research Revenue from donors (local and foreign) was incorrectly accounted for in the previous financial years. The restatement was performed to align revenue recognition with the stage of completion method as stipulated by GRAP 9 on exchange transactions relating to rendering of services.
- 2 Research costs relating to costs incurred in the 2011/2012 financial year with corresponding supporting documentation received after conclusion of the previous year annual financial statements.
- 3 Administration costs relating to costs incurred in the 2011/2012 financial year with corresponding supporting documentation received after conclusion of the previous year annual financial statements.
- 4 Being adjustment to recognise the performance bonus provision.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
29 Irregular expenditure		
Opening balance	559	20 337
Irregular expenditure - current year	132	559
Irregular expenditure - condoned	(691)	-
Irregular expenditure - condoned	-	(3 524)
Irregular expenditure - condoned	-	(16 813)
Irregular expenditure awaiting condonement	-	559

Analysis of irregular expenditure

Irregular expenditure for the current year relates to emergency procurement necessitated by stringent project timelines which resulted in impracticability of competitive sourcing of service providers.

	2013	2012
	March	March
	R'000	R'000
30 Fruitless and wasteful expenditure		
Opening balance	201	4
Fruitless and wasteful expenditure - current year	103*	201**
Fruitless and wasteful expenditure - condoned	(304)	(4)
Fruitless and wasteful expenditure awaiting condonement	-	201

* Fruitless and wasteful expenditure relates largely to field research expenditure (travel costs) which were changed due to intense research activities which necessitated rescheduling of dates and accommodation resulting in cancellation fees being charged.

** Fruitless and wasteful expenditure was discovered after finalisation of prior year financial statements, but related to 2011/2012 financial year.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

31 Statement of comparison of approved budget to actual results
(Both annual budget and financial statements adopt Accrual Basis)

	Budget Notes	2013 R'000 Actual Results	2013 R'000 Approved Budget	Percentage Achieved	Variance
Revenue		396 293	360 206	110%	36 087
Research revenue	33.1	179 473	147 420	122%	32 053
Parliamentary grants	33.2	180 419	180 419	100%	-
Parliamentary grants - ring fenced	33.2	7 456	7 456	100%	-
Other operating revenue	33.4	28 945	24 911	116%	4 034
Expenses		(400 228)	(360 206)	111%	(40 022)
Administrative expenses	33.5	(46 418)	(52 766)	88%	6 348
Research cost	33.6	(119 713)	(92 046)	130%	(27 667)
Staff cost	33.7	(197 291)	(182 669)	108%	(14 622)
Other operating expenses	33.8	(28 467)	(24 542)	116%	(3 925)
Depreciation, amortisation and impairment expense	33.9	(8 339)	(8 183)	102%	(156)
Deficit for the year		(3 935)	(0)	(100%)	(3 935)

The budget was approved by the HSRC Board and submitted to the executive authority in terms of Section 53(1) of the PFMA.

Explanatory notes**31.1 Research revenue**

Increase in research revenue attributed to increase in research activities undertaken during the financial year, mainly the SANHANES and SABSSM IV surveys. These large surveys were undertaken during the financial year ended 31 March 2013 in all the provinces within South Africa, accounting for 51% of the total research income recorded.

31.2 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's Act No 17 of 2008, HSRC's Strategic Plan 2012/2013 – 2016/2017 and the Annual Performance Plan 2012/2013, as presented to the minister of DST and Parliament.

31.3 Parliamentary grants – Ring Fenced

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

The ring-fenced 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's Act (No 17 of 2008), HSRC's Strategic Plan 2012/2013 – 2016/2017 and the Annual Performance Plan 2012/2013, as presented to the minister of DST and Parliament. This allocation was earmarked for Science and Technology indicators and was exclusively used for that purpose.

31.4 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 bank balances. Most of these funds are utilised to augment the Parliamentary grant in the maintenance of the building and other operational costs within the HSRC.

31.5 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 has been incurred in line with budgeted costs. Austerity measures were implemented, in the financial year 2011/2012, to reduce administration costs so as to channel more funding towards research related costs and fixed operational expenses, and this initiative was continued in the financial year 2012/2013. Cost-cutting measures, which include reduction in use of consultants on administrative work, energy saving measures and conducting meetings via teleconferences are but some of the measures implemented successfully during the financial year. In addition more measures are now being instituted to reduce on postal and delivery costs as well as printing and photocopying costs.

31.6 Research cost

Research costs increase in line with increase in research revenue as a result of the HSRC attracting more research work during the 2012/2013 financial year, as noted on research revenue. Earnings on research revenue was 22% over budgeted target which correlates with 30% excess on budgeted research costs.

31.7 Staff cost

Increase in staff costs attributed to increase in research related activities which required more administration staff to complete related research work. During the 2012/2013 financial year, negotiated salary increase was 6.5%.

31.8 Other operating expenses

Increased costs of maintaining the HSRC building coupled with other fixed costs which include water and lights have resulted in the increase noted on other operating costs.

31.9 Depreciation, amortisation and impairment expense

Spending was in line with the budgeted amount. Amount in excess of budget attributed to increased additions, revaluation of the HSRC building and reassessment of leased assets useful lives.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

32 Financial instruments

32.1 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 2013 the carrying amounts and fair values for the financial assets or liabilities was as follows:

	Note	2013 March		2012 March	
		Carrying amount R'000	Fair value R'000	Carrying amount R'000	Fair value R'000
Financial assets					
Cash and cash equivalents	1	35 510	35 510	67 506	67 506
Trade and other receivables	2	41 018	41 018	29 676	29 676
		76 528	76 528	97 182	97 182
Financial liabilities					
<i>Measured at amortised cost</i>					
Trade and other payables	8	25 123	25 123	29 223	29 223
Finance lease liability	10	460	460	430	430
		25 583	25 583	29 653	29 653

In the course of the HSRC operations, the entity is exposed to interest rate, credit, liquidity and market risk. The HSRC has developed an enterprise-wide risk management 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:

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

32 Financial instruments (continues)**32.2 Interest rate risk (continues)**

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:

	Notes	Effective interest rate (fluctuating)	2013 March			2012 March		
			Less than 12 months	1 - 5 years	Total	Less than 12 months	1 - 5 years	Total
			R'000	R'000	R'000	R'000	R'000	R'000
Financial assets								
Current accounts	1	4%	14 186	-	14 186	17 780	-	17 780
Short-term investments accounts	1	5,5%	21 324	-	21 324	49 726	-	49 726
Trade and other receivables	2	0%	41 018	-	41 018	29 676	-	29 676
Total financial assets			76 528	-	76 528	97 182	-	97 182
Financial liabilities								
<i>Measured at amortised cost</i>								
Trade and other payables	8	0%	25 123	-	25 123	29 223	-	29 223
Current finance lease liability	10	10% – 13.5%	460	514	974	430	974	1 404
Total financial liabilities			25 583	514	26 097	29 653	974	30 627
Net financial assets/ (liabilities)								
			50 945	(514)		67 529	(974)	

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

32 Financial instruments (continues)**32.3 Credit risk**

Financial assets, which potentially subject the HSRC to the risk of non-performance by counter-parties 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 counter-party. Trade receivables are presented net of the allowance for doubtful debts. The HSRC manages/limits its treasury counter-party 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	2013 March Less than 12 months			2012 March Less than 12 months			
	Current	30 days and above	Total	Current	30 days and above	Total	
	R'000	R'000	R'000	R'000	R'000	R'000	
Trade and other receivables	2	39 012	2 006	41 018	24 500	5 176	29 676
		39 012	2 006	41 018	24 500	5 176	29 676
Percentage Analysis		95%	5%	100%	83%	17%	100%

32.4 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.

32 Financial instruments (continues)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

32.5 Market risk

The HSRC is exposed to fluctuations in the employment market, for example sudden increases in unemployment and changes in the wage rates. No significant events occurred during the year that the HSRC is aware of.

32.6 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:

32.6 (a) 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.

32.6 (b) 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.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013

	2013	2012
	March	March
	R'000	R'000
34 Surplus/(Deficit) reconciliation		
Prior year surplus (2011/2012 financial year) approved for utilisation in 2012/2013 by Treasury in terms of Section 53 (3) of the PFMA	4 581	-
(Deficit)/surplus for the year	(3 935)	3 572
Net surplus for the financial year	646	3 572



Human Sciences Research Council

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2013



HUMAN RESOURCES MANAGEMENT



This section of our report deals with the people aspect of the 5-year strategy of the HSRC, focussing on key challenges and highlights during the period under review.

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

According to current projections, the HSRC will have to secure a greater portion of external research income in the next few years if it is to retain its current staffing and budget levels. This pressure is bound to increase if major additional capital or research expenses have to be incurred. It should be noted that the report of the 2010 HSRC Institutional Review Panel, recommended a ratio of 65:35 in terms of research versus support staff, however, due to the compliance requirement of segregation of duties and the number of projects managed by the HSRC at a given time, this ratio is currently 44:56. Over the next five years, we aim to reach our target as recommended by the Institutional Review Panel.

EXPENDITURE

The personnel costs expressed as a percentage of total expenditure dropped by 2% from last year's reporting period. The following table summarises the overall HSRC spending on human capital during the period under review.

Total Expenditure (R'000)	Personnel Expenditure (R'000)	Training Expenditure (R'000)	Personnel cost as a percentage of total expenditure
400 226	197 291	3 747	49%

EMPLOYMENT AND VACANCIES

At the beginning of the financial year 2012/2013, the HSRC had a staff complement of 508 permanent employees. The total number of staff who joined the HSRC during the year amounted to 102 and there were 105 terminations, resulting in the final head count of 505 at end March 2013.

The following table presents the number of employees at the HSRC as at 31 March 2013.

Occupational levels	Total
Top management	17
Senior management	160
Professionals	115
Skilled	47
Semi-skilled	166
TOTAL	505

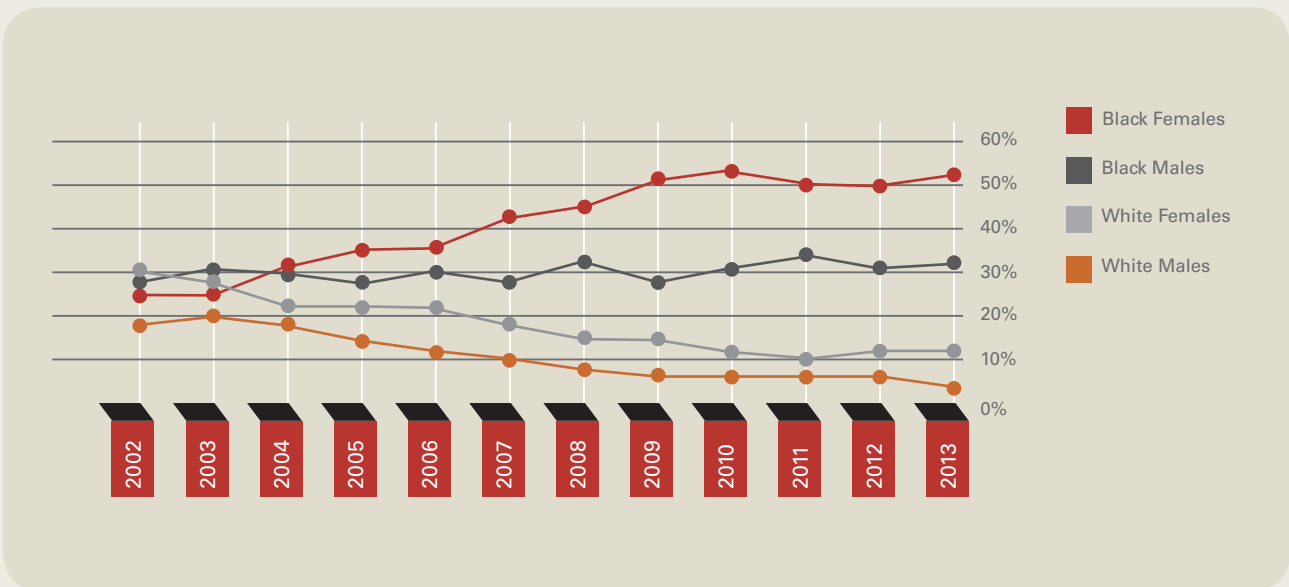
EMPLOYMENT EQUITY

The HSRC is committed to achieving transformation that reflects the demographics of South Africa and as such has set targets to monitor its progress in this regard. At the end of the financial year the HSRC managed to achieve 35.38% of senior researchers (SRS/SRM and above) who are African and 47.69% of the same level senior researchers who are female. In terms of its Employment Equity Plan (EEP), the HSRC achieved 61.39% [310/505] African representation, which compares favourably with its target of 60%.

The following table, based on the requirements of the Employment Equity Act, 55 of 1998, presents the total number of employees (including employees with disabilities) in each of the following occupational levels as at 31 March 2013.

Occupational levels	Male				Female				Total
	African	Coloured	Indian	White	African	Coloured	Indian	White	
Top management	3	-	3	2	3	1	3	2	17
Senior management	33	14	6	15	32	11	8	41	160
Professionals	20	3	3	6	37	21	8	17	115
Skilled	10	-	-	1	24	8	2	2	47
Semi-skilled	60	6	-	-	88	9	1	2	166
TOTAL	126	23	12	24	184	50	22	64	505

The HSRC continues to monitor its progress in terms of overall racial and gender representativity. The figure below shows that the HSRC should, in future, appoint more males in some categories of employment. Currently, the only categories of staff where women are not in the majority are at the level of senior research specialist and above, and senior executive management positions in the HSRC.



PERFORMANCE REWARDS

To encourage good performance, the HSRC has granted the following performance rewards during the year under review in recognition of performance for the 2011/2012 fiscal year. The information is presented in terms occupational levels.

Occupational levels	Beneficiary Profile			Cost (R)
	Number of beneficiaries	Total number of employees in group	% of total within group	
Top management	9	17	53%	684 181.59
Senior management	80	160	50%	2 469 879.23
Professionals	70	115	61%	949 148.07
Skilled	24	47	51%	209 920.53
Semi-skilled	74	166	44%	361 675.33
TOTAL	257	505	51%	4 674 804.75

FOREIGN WORKERS

The tables below summarise the employment of foreign nationals in the HSRC in terms of occupational levels. As at 31 March 2013 the total number of foreign nationals at the HSRC was 36, reflecting a 12.5% increase from the total of 35 reported in the previous financial year. This increase was mainly in the area of research due to them possessing critical skills, and the HSRC's commitment to achieve the targets it has set itself in terms of appointing African Research Fellows.

	31 March 2013	
	Number	% of total
Top management	3	8.3%
Senior management	21	58.3%
Professionals	4	11.1%
Skilled	7	19.4%
Semi-skilled	1	2.8%
Total	36	100%

LEAVE UTILISATION

Please refer to Note 12 of the audited Annual Financial Statements on page 132 of this report.

HIV/AIDS AND HEALTH PROMOTION PROGRAMMES

One of the other key focus areas for the period under review was to strengthen our employee wellness programme through various awareness campaigns, such as the HSRC employee wellness and HIV/AIDS day.

The HSRC recognises the need for greater emphasis on employee wellness, a tactic to harness a compelling employee value proposition that will give us a competitive advantage in the attraction and retention of talent. To further augment the employee wellness programme, the HSRC engaged a service provider to facilitate the implementation of an employee wellness programme. The component of HIV/AIDS disease management was also outsourced to a specialised service provider, supporting about 4% of our total staff component during the period under review. During the period under review, a total number of 41 staff members have accessed the employee assistance programme seeking interventions on issues ranging from:

- Life management;
- Child and family care;
- Stress;
- Relationship issues;
- HIV;
- Mental illness;
- Money management;
- Legal issues;
- Health and lifestyle; and
- Loss issues.

Our focus for 2013/2014 will be to raise employee awareness on the employee assistance services offered, in order to increase utilisation to above the national benchmark standard of 5% per quarter.

The HSRC has also employed an on-site occupational nurse to ensure closer monitoring and support of employee health risks. The HSRC recognises the significance of leveraging sustainable human resources through:

- A holistic approach to wellness incorporating emotional, mental, spiritual, physical, and social wellness.
- Self-responsibility on the part of the employee in shaping their own life and wellness using the supportive resources provided by the HSRC.
- A programme approach based on the HSRC wellness principles of employee risk assessment, confidentiality, equity, sensitivity and accessibility. Wellness at the HSRC forms part of a structured

approach to building human capital. Wellness specifically contributes to building capacity and relevant talent supply.

LABOUR RELATIONS

The following table summarises the outcome of disciplinary hearings conducted within the HSRC during the period under review.

Outcomes of disciplinary hearings	Number	% of total
Correctional counselling	0	0%
Verbal warning	0	0%
Written warning	1	33.33%
Final written warning	0	0%
Suspended without pay	0	0%
Fine	0	0%
Demotion	0	0%
Dismissal	0	0%
Not guilty	0	0%
Case withdrawn	2	66.67%
Total	3	100%

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