



# ANNUAL REPORT 2004 | 2005

HUMAN SCIENCES RESEARCH COUNCIL

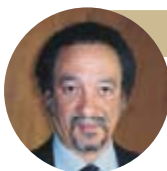
SOCIAL SCIENCE THAT MAKES A DIFFERENCE



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## HSRC COUNCIL



**Professor Jakes Gerwel (Chair)**

Chancellor, Rhodes University; Distinguished Professor, University of the Western Cape; Honorary Professor, University of Pretoria; Chair of the Nelson Mandela Foundation, the Mandela Rhodes Foundation, the African Centre for the Constructive Resolution of Disputes, the Institute for Justice and Reconciliation, South African Airways, Brimstone Investment Corporation Limited; and Director of Naspers, Old Mutual, and Goldfields.



**Dr Mark Orkin**

HSRC President and CEO; former Head of Stats SA; Professor, Faculty of Management of the University of the Witwatersrand and Director of CASE.



**Ms Nomboniso Gasa**

Independent researcher in gender and democratisation issues; Board member of the Development Bank of Southern Africa; former member of the ANC Commission on the Emancipation of Women, and on the Commission on Gender.



**Mr Enver Motala**

Independent consultant for prominent institutions such as the W.K. Kellogg Foundation, CSIR, Council for Higher Education, South African Universities' Vice-Chancellors' Association, Centre for Education Policy Development, Nelson Mandela Foundation, and the Department of Trade and Industry.



**Mr Sikkie Kajee, until March 2005**

Director of Internal Audit, KPMG; former Partner in Gobodo Associates; Chair of the Audit Committees of the Departments of Minerals and Energy, Science and Technology, and the HSRC; Member of the Accounting Authority of the State Theatre and of SAFCOL Ltd.



**Mrs Phumelele Ntombela-Nzimande**

Deputy Director-General, Postal Policy, Department of Communications; Council member of the Universities of KwaZulu-Natal and Venda; Chair of the South African Postal Regulator and the Pan Africanist Postal Union Council.



**Dr Pumla Gobodo-Madikizela**

Associate Professor, Psychology Department, University of Cape Town; Chair of the Association for Education Training; Board member of International Alert (London), the Centre for Conflict Resolution, and the Institute for Justice and Reconciliation.



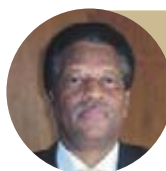
**Mr Sipho Pityana**

Executive Chair, Izingwe Capital (Pty) Ltd; Chair of the Nelson Mandela Bay Development Agency; Vice-Chair of Abardare Cables; Deputy Chair of the National Student Financial Aid Scheme; Director of Bytes Technology Group and Musuku Beneficence Systems; Board member of Boxing South Africa.



**Mr Kimi Makwetu, from March 2005**

Divisional Director (Finance), Liberty Life; former Senior Manager of Deloitte's Assurance Services; Member of the Robben Island Museum Audit Committee; Chair of the HSRC Audit Committee; and former Trustee of Zanempilo Health Trust.



**Mr Max Sisulu**

Group General Manager, Sasol; Board member of Imperial Holdings, Stocks Building Africa; Member of the Economic Advisory Council to the Premier of the Free State Province.



**Professor Wally Morrow**

Chair of the Ministerial Committee on Teacher Education of the Department of Education; former Dean of the Faculty of Education, University of Port Elizabeth.



**Professor Eddie Webster**

Professor of Sociology and Director of Sociology of Work Unit, University of the Witwatersrand; President of the Research Committee of Labour Movements for the International Sociological Association; Member of the University of the Witwatersrand Senate; top-rated National Research Foundation sociologist.



## FROM THE CHAIR



In the period under review the extended term of office of the Council appointed in 1999 finally came to an end. Council is appointed for a four-year period but as our Institutional Review took place just as the Council's term of office was approaching its end, it was requested to remain in office until after the Review and then for a further period following the appointment of a new Minister.

In October 2004 the Minister appointed a new Council, which in its composition again reflected the balance between renewal and consolidation that had characterised the thrust of the HSRC's work in the period since 1999. Of the ten appointees, five, including the Chair, were members of the outgoing Council and the other five were new additions. In the short period that it has been working together, the new Council has proved the value of this combination of constantly seeking to innovate and renew with the obligation to consolidate and build on positive gains.

Our Council's appointment in 1999 occurred at a time when, on the broader national stage, we were in the process of stocktaking, assessment and replanning after the first five years of democracy. Those first five years were of necessity largely spent on acquainting ourselves with the legacy of apartheid and the social architecture it left behind, initiating the process of undoing and abolishing the restrictive structures and practices of that legacy, and exploring the means and mechanisms for rebuilding. The explicit mandate to the bodies appointed after those first five years of reconnoitring was assertively to get down to work and start delivering.

If as the governing council of the HSRC we now look back over these six years post-1999, we can report with a fair measure of satisfaction about the manner and extent to which the science council under our jurisdiction had responded to that mandate. The product that science councils are expected to deliver is quality research in their specific fields of enquiry. In the case of the HSRC it was considered that a primary aspect or dimension of quality would be that the research done and delivered be "social science that makes a difference", as our motto now reads.

The structure of our research body was accordingly altered radically. The then newly appointed CEO and the senior research team he assembled developed a structure that

A major focus of change was the emphasis on substantially supplementing the basic Parliamentary grant with income from commissioned research.



It is to the credit of the organisation, its management and staff that it could at the same time fundamentally change and renew as it continued operating efficiently and consolidating the gains of its renewal.

departed totally from the more formalistic discipline-based organisation towards one that could respond to newly defined national needs and priorities. These New Priority Areas, as the research divisions are now called, are multi- and cross-disciplinary and because of this flexibility are able to respond to emerging needs and priorities.

The task of realigning the HSRC to the priorities and imperatives of a non-racial, non-sexist democratic South Africa called for and necessitated restructuring and rationalisation at various levels. The reconfiguration of the science structures has already been referred to. The ratio between administrative and research personnel had to be significantly altered. Offices were opened in a number of centres other than Pretoria, again as a response to the geographically diverse needs of the country. And, importantly, the entrance of women and black researchers into the organisation had to receive priority attention.

A major focus of change, and one which impacted on almost all other areas and levels of operation, was the emphasis on substantially supplementing the basic Parliamentary grant with income from commissioned research. The success achieved in this regard enabled the organisation to grow and expand its research corps also in the important area of recruiting, nurturing and developing black and women researchers. The expansion into commissioned research broadened the base of work with which the HSRC engaged, adding to its scientific interest and reach. On the other hand, it raised interesting debates within and about the organisation, touching on questions such as the relationship between so-called pure enquiry and applied research.

Amidst all these processes of change, renewal and sometimes upheaval the basic work of research had to continue. It is to the credit of the organisation, its management and staff that it could at the same time fundamentally change and renew as it continued operating efficiently and consolidating the gains of its renewal. There are many respects in which we, the Council, could recommend the HSRC as an exemplary instance of a South African institution in transition and transformation.

In the year under review the process of selecting and appointing a successor to Dr Mark Orkin as CEO got underway. Dr Orkin's contract, of which he chose not to seek an extension, terminates at the end of July 2005. We need to pay him the highest tribute for having led the transformation of the HSRC in the manner and to the extent that he did. I shall personally treasure the memory of working with him and I know that members of Council, particularly those from the Council of 1999, share that sentiment. We wish him well for the future. He has contributed to South African science, scholarship, research and enquiry in different ways and capacities over the span of his career.

The Minister and his department were always sources of great support, for which we thank them. We must, in particular, acknowledge Minister Mangena and Director-General Adam for the emphasis they put on quality scientific enquiry as integral to national growth and development.

A final word of thanks and appreciation must go to my fellow members of Council, both those retired and those on the new board. It has been a privilege working with all of them in this nationally important process of renewal and consolidation.

**Professor G.J. Gerwel, Chair**



## FROM THE CEO



The HSRC undertook some two hundred and fifty development-oriented social-scientific projects during the 2004/05 year for its many public-sector users. Several projects were very large (see p. 117); many occurred in other African countries (see p. 26); and the majority involved collaboration with other research entities.

These activities are summarised the Highlights section on pp. 18–25, with more detail in subsequent sections. As in previous years, this leaves me to consider the organisational side of the HSRC's development. Since this is my last CEO Message, as I end my five-year contract, it may be helpful to subject the HSRC's renaissance in this period to some reflection, both for its own future next development and for other entities undergoing similar change.

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.

To assess these developments, my last year's Message applied the McKinsey's "seven S" checklist from the management literature. It illustrated how the HSRC had tackled the requirements for change and growth in respect of its strategy, structure, staff, skills, style, systems, and shared values.

This perspective identified the *ingredients* of transformation, but does not comprehend the *dynamic*: what drove the process, and how one stage could lead to the next. This Message offers the complementary historical perspective, using John Kotter's analysis of how organisations achieve major change,<sup>1</sup> which Christa van Zyl has recently applied to the HSRC.<sup>2</sup>

<sup>1</sup> John P. Kotter, *Leading Change* (Boston: Harvard Business School Press, 1996), pp. 20–22.

<sup>2</sup> Christina van Zyl, "The balanced scorecard and strategy implementation in a statutory science council – a case study", MBA Research Report, Faculty of Economics and Management Sciences, University of Pretoria, 2004, ch. 4.



The guiding coalition of ten entrepreneurially minded Executive Directors of research who shared an explicit change vision for the HSRC and an unequivocal user-orientation, led the transformation by responding to the social-research needs of public-sector users who could pay.



Kotter argues that successful transformation involves eight steps, all of which are necessary if it is to succeed and be sustained. One first has to “defrost” the status quo, in four steps: “establishing a sense of urgency, creating a guiding coalition, developing a vision and strategy, [and] communicating the change vision”. Only then can one turn to transformation, in four further steps: “empowering a broad base of people to take action, generating short-term wins, consolidating gains and producing even more change, and institutionalising new approaches in the culture.”

I shall review the HSRC’s transformation in terms of this schema. The eight steps turn out to provide a handy map of the route we have travelled since 2000, though the sequence they propose is too tidy and linear. In our case – and, one might surmise, in many organisational transformations that are far-reaching – the stages overlapped, practice sometimes preceded planning, we made some mistakes, and had some lucky breaks.

Establishing a sense of *urgency*, Kotter’s first step, was straightforward. The parliamentary grant to the HSRC had been steadily shrinking, for two reasons. The government was top-slicing from science-council funds to support the Innovation Fund. And the HSRC was a tempting target, having been characterised in its Institutional Review of 1977 by its “isolation from the social science community, generally weak research staff, limited contribution to building social science capacity, imbalance in favour of administrative staff, and inadequate diversity”.<sup>3</sup> Having failed to improve its earnings despite oft-repeated intentions, the HSRC had responded with successive downsizings. Senior researchers were quickest to leave, so by 2000 there were more than two administrative members of staff for every researcher; and half of the latter were too junior to drive projects. This was evidently unsustainable.

Fresh leaders were required, prepared to embrace a change of direction. With the participation of the Chair of Council, a *guiding coalition* of ten entrepreneurially minded Executive Directors (EDs) of research was created, through recruitment and promotions, together with new counterparts on the support side. An important move in this regard was to open centres in Cape Town and Durban to accommodate people who were interested in joining our cause.

The EDs and their teams were selected not only for being academically and managerially strong, but for sharing an explicit *change vision* for the HSRC. This involved an unequivocal user-orientation: to counter the dwindling Parliamentary grant we would grow by responding to the social-research needs of public-sector users who could pay. But we would avoid the treadmill of short-term contracts by focusing on those of their research problems that had the substance to attract excellent colleagues. This strategy crystallised into an acronym, COUPE, and became the HSRC’s mantra: Contracts and grants, Outreach to collaborators, User-orientation, Performance (regarding representivity and administrative efficiency), and Excellence (regarding scientific publications and academic qualifications).

The elements of COUPE mapped onto the “balanced scorecard”<sup>4</sup> that was being adopted by the Department of Science and Technology. This helped us align our annual planning, budgeting and reporting to theirs. And we shall see below how

Crucial *quick wins* affirmed the strategic approach: research earnings, which had languished for several years, soared to R16 million within a year, and nearly doubled to R28 million in the next.

<sup>3</sup> Department of Arts, Culture, Science and Technology (DACST), “Human Sciences Research Council Review” (Pretoria: DACST, 1997), p. 56.

<sup>4</sup> Robert S Kaplan and David P. Norton, *The Strategy-Focused Organization* (Boston: Harvard Business School Publishing Corporation, 2001).

COUPE shaped important developments such as right-sizing the administration and key performance areas for staff.

An early strategic analysis of likely user needs yielded a vital breakthrough. The obvious social challenges included poverty, unemployment, skills shortages, substandard education, rural under-development, urban renewal, HIV/AIDS, fragile families, and uneven service delivery. These clearly required social research cutting across the traditional, university-style disciplines. So, as the Chair of Council recalls in his Message, early in 2001 the EDs boldly proposed to reorganise the HSRC's research activities into some ten problem-oriented interdisciplinary Research Programmes, initially called "new priority areas".

Researchers responded readily to reassigning themselves into the new structure, and to bidding for users' tenders. This reinforced the *communicating of the new vision*, Kotter's fourth step, with immediate action under the guidance of the new EDs. The flexible Research Programmes allowed the set-up of customised teams (also involving experts from outside research entities) in responding to users' problems. As a result research earnings, which had languished for several years, soared to R16 million within the year, and nearly doubled to R28 million in the next (as shown on p. 112). These were crucial *quick wins* that affirmed the strategic approach. They allowed the EDs to hire extra researchers, overwhelmingly at the level of specialists, who could drive projects. The CEO monitored the hires to ensure that they advanced the overall representivity and qualifications profile.

As soon as several EDs were in place, extensive authority was devolved to them for financial and human-resource decisions as well as identifying research priorities: the *broad-based empowerment* that Kotter identifies. The significance of this aspect has been underlined by Rosabeth Moss Kanter: "In the end, the only way a CEO can reverse a corporate decline is to change the momentum and empower people anew, replacing secrecy and denial with dialogue, blame and scorn with respect, avoidance and turf protection with collaboration, and passivity and helplessness with initiative."<sup>5</sup> In this vein, we commenced frequent "management information meetings" for staff to share news of contacts and developments; and "research business meetings" to scan for funding opportunities. Bottom-up planning and budgeting soon followed: a year-end *lekgotla* identifies strategic priorities, and a new-year *lekgotla* provides peer discussion of planned projects among the Research Programmes and possibilities for collaborations.

This implementation of the COUPE strategy on the research side occurred in interaction with a transformation of the organisation's support services. Benchmarking with comparable organisations internationally suggested having two administrative staff, rather than the

prevailing seven, for every three researchers. The Council approved a reconceived organisational chart for support services, with new positions suitable to the changed research requirements, which was then adapted in extensive discussions with the staff union. The posts were defined in terms of key performance areas derived from COUPE; and then selection was conducted among those staff members who had not chosen voluntary retrenchment, through a process of competency tests, interviews, and review. Following the rightsizing, recruitment improved representivity and qualifications.

Support services raced to keep up with the research growth, through projects such as a financial model (including charge-out rates and overhead calculations to inform ever-larger project budgeting); modernised conditions of employment; enhanced IT systems; communications by video and refurbished premises in Pretoria; and knowledge management through an intranet.

These *gains were consolidated* in various ways on both the research and the support side, enabling the growth to continue and *further changes* to be introduced. Alongside tendering, EDs increased the proportion of earnings from high-quality research foundations and development agencies; performance management in terms of COUPE-based key performance areas was extended to researchers; capacity-development through an intern programme was expanded; and collaborations with other science councils were improved. Renewed external communications yielded a near forty-fold increase in media coverage of research results, over the five years. On the support side, the intranet expanded to include a digital library and a research project management system; the burgeoning publications department found that free internet publication actually grew print sales; and so on.

These gains have gradually been taken into the *organisational culture*. A research ethics committee has achieved formal international accreditation, and screens all proposals. An Editorial Board advises the HSRC Press after commissioning external reviews of manuscripts. A vigorous research dialogue has developed, with weekly seminars of internal and external participants held across the three centres by video-conference, and an annual research conference for HSRC staff with more than a hundred papers. In all these aspects the research culture, when coupled with the need for earnings, may be experienced as quite demanding by new recruits – an impression confirmed in a recent gender audit. A staff survey has pointed to mentoring and training as key areas for improvement.

On the support side, the annual cycle of planning, budgeting, monitoring, and reporting is now tightly structured among management, the Council, the Minister and his department; financial and

<sup>5</sup> Rosabeth Moss Kanter, "Leadership and the psychology of turnarounds", *Harvard Business Review*, 81: 6 (June 2003).





human-resources policies have been modernised; the delegations of authority from Council to the CEO have been cascaded to EDs and their section heads; and an employment-equity plan is being formulated by a forum, aligned with a professional development framework.

In addition to the eight steps that we have illustrated, Kotter stresses the importance of *leadership*. In an entity like the HSRC this has to occur at several levels. We have noted the pivotal leadership role of the EDs. As a result, my own role could largely consist of fostering the COUPE strategy, facilitating the devising of collaborative solutions among the EDs, and monitoring their budgets and appointments. The Chair, Professor Jakes Gerwel, and his Council steered with a light but influential touch, setting expectations for the changes, research priorities, and reporting, and authorising management to deliver the results. The Minister and his Director-General in turn provided a supportive science-policy environment, culminating most recently in a nuanced dialogue towards a new statute for the HSRC.

The HSRC's resulting transformation has greatly improved its capacity to discharge its statutory mandate. The most obvious indication has been the near-tripling of its turnover mentioned earlier. Within this, one may distinguish the 72% average annual growth in research earnings, from March 2001 to March 2005, from the 7% average annual growth in the Parliamentary grant (including ring-fenced amounts). In the last couple of years the Parliamentary grant has been growing faster than this average, but its share of total HSRC income has nevertheless shrunk to about one-third. An increase in this proportion would help the HSRC maintain space in its work programme for some exploratory social research, and projects for which users in marginalised communities are unable to pay.

The HSRC's resulting transformation has greatly improved its capacity to discharge its statutory mandate.

**TABLE 1: HSRC COUPE INDICATORS MARCH 2001– MARCH 2005**

COUPE		%									
		20	30	40	50	60	70	80	90	05/06	
Contracts/ grants	Research earnings as a percentage of total research income		21						64		62
Outreach	Percentage of projects with external participation		22			51					55
Users	Percentage of competitive tenders that are successful		24		43						33
Performance: Equity	Percentage of black researchers (excluding interns)				40	51*					55
Performance: Efficiency	Percentage of researchers in total staff			30		53					60
Excellence: Publications	Refereed journal articles, per researcher head, as %, unadjusted		23						79		75
Excellence: Qualification	Percentage of researchers with Master's or Doctorate degrees (excluding interns)							64		92	90

\*58% including interns

More detailed quantitative indications of the HSRC's transformation are shown in the accompanying table of the main COUPE indicators, upon which I have reported each year. The table reflects the improvements over the four completed reporting years that fall within my term. We have exceeded our targets in most respects: i.e. in addition to earnings, in collaborative projects, successful tender bids, researchers with senior degrees, and published scientific articles. The Annual Reports supplement these measures with many qualitative indications. We were accordingly pleased when the institutional review of 2003 felt that the HSRC "has earned the respect given to it by the bulk of its stakeholders and collaborators by the breadth, quality and relevance of its contributions to the study and practice of social development".<sup>6</sup>

A minor reservation in the COUPE scorecard concerns the proportion of total staff in support services. Although a great improvement, this is higher than the initial benchmark because we underestimated the complexity of maintaining a country-wide infrastructure, supporting multi-country projects, and achieving effective dissemination; and one of our early mistakes was not budgeting sufficiently for it.

A more important exception is that we have managed to improve the proportion of black researchers in the organisation only by some two-

and-a-half percentage points per year, instead of the intended four (although the improvement has been much faster on the support side). Better co-ordination and further expansion of our internship programme will be central to improving this important aspect of COUPE.

Another area for improvement is the systematising of our research engagement with the rest of Africa. Our involvement is already formidable, as the map on p. 26 indicates. But it is currently largely project-based, whereas a more sustained engagement with partner institutions, e.g. in networked "centres of excellence", will allow a more comprehensive response to, for example, the research challenges posed by NEPAD.

My successor, Dr Olive Shisana (whose appointment was announced as this Report was going to press), has already set a lead in these important respects, capacity-building and networking, at the same time as having established the Cape Town office of the HSRC, built a massive research programme, and delivered path-breaking enquiries regarding the social aspects of HIV/AIDS. She is powerfully equipped to inspire and support her colleagues, and serve the Council, in taking the HSRC to new heights.

**Dr M.A. Orkin, HSRC President and CEO**

<sup>6</sup> "Human Sciences Research Council Institutional Review" (Cape Town: HSRC, 2003), Preface by the Chairperson, p. 4.

## EXECUTIVE DIRECTORS 2004/05

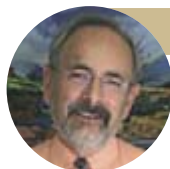


### ATEE

Assessment Technology and Education Evaluation

#### Dr Anil Kanjee

DEd, University of Massachusetts, USA  
Education change; learners' assessment;  
evaluating education systems



### IRRD

Integrated Rural and Regional Development

#### Mr Mike de Klerk

MA, University of Cape Town  
Rural development policy; land issues; agricultural  
economics



### Office of the CEO

#### Dr Romilla Maharaj

PhD, University of Cape Town  
Head of strategic functions



### KM

Knowledge Management

#### Professor Michael Kahn

PhD, University of London, UK  
Policy analysis; project design and evaluation in  
Science and Technology



### CYFD

Child, Youth and Family Development

#### Professor Linda Richter

PhD, University of Natal  
Human development; creation of safe  
environments for children, youth, and families



### SAHA

Social Aspects of HIV/AIDS and Health

#### Dr Olive Shisana

ScD, Johns Hopkins University, USA  
HIV/AIDS; public health; health systems development



### D&G

Democracy and Governance

#### Professor Adam Habib

DPhil, City University of New York, USA  
Democratisation; development; civil societies;  
higher education



### SCI

Social Cohesion and Identity

#### Dr Xolela Mangcu

PhD, Cornell University, USA  
National identity; leadership; social capital;  
media; heritage; role of intellectuals



### EEPR

Employment and Economic Policy Research

#### Dr Miriam Altman

PhD, University of Manchester, UK  
Employment policy; regional integration;  
poverty reduction



### SAMM

Surveys, Analyses, Modelling and Mapping

#### Dr Udesh Pillay

PhD, University of Minnesota, USA  
Urban studies; government reform; economic  
development; cities – global competitiveness and  
mega-events; political and electoral geography;  
public opinion analysis



### HRD

Human Resources Development

#### Dr Andre Kraak

DPhil, University of the Western Cape  
Labour markets and economic analysis; technical  
and higher education; skills development

# SPECIALIST RESEARCHERS 2004/05



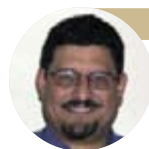
**Dr Michael Aliber**

PhD, University of Wisconsin, USA  
IRRd – Public policy; micro-finance; land reform; poverty reduction and sustainable development; small-scale farmer development; monitoring and evaluation



**Dr Mignonne Breier**

PhD, University of Cape Town  
HRD – Higher education; adult education; recognition of prior learning; curriculum in higher education; adult literacy



**Mr Adlai Davids**

MSc, ITC, The Netherlands  
SAMM – Socio-economic applications of geographical information systems (GIS)



**Professor Acheampong Amoateng**

PhD, Brigham Young University, USA  
CYFD – Family sociology and demography



**Dr Heather Brookes**

PhD, Stanford University, USA  
CYFD – Anthropological linguistics; youth development; gender violence; gesture; masculinity



**Professor Andy Dawes**

MSc, University of Cape Town  
CYFD – Child rights and well-being indicators; child and adolescent mental health; child abuse and violence; programme evaluation



**Dr Gail Andrews**

PhD, University of the Western Cape MPH, University of Wales, UK  
SAHA – Public health policy; health promotion, partnerships research and programme development; sexual/reproductive health and HIV/AIDS policy and intervention; programme management



**Dr Janet Cherry**

PhD, Rhodes University  
D&G – democratic theory and political participation; human rights and transitional justice; gender and development



**Mr Chris Desmond**

MCom, University of Natal  
CYFD – Economics of child care; impact of HIV/AIDS on education systems



**Mr Fabian Arends**

BA Hons, University of South Africa  
HRD – Education Management Information Systems; data collection; auditing, analysis and integration of quantitative and qualitative data; design of education indicators



**Professor Linda Chisholm**

PhD, University of the Witwatersrand  
CYFD – Education policy and curriculum; socialisation, education and development; gender and education



**Dr Scott Drimie**

PhD, Cambridge University, UK  
IRRd – Regional land and rural development policies; food security; HIV/AIDS



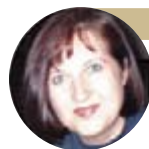
**Dr Azeem Badroodien**

PhD, University of the Western Cape  
HRD – Further education and training; enterprise and technical training; history of education



**Dr Nicolaas Claassen**

DLitt et Phil, Rand Afrikaans University  
ATEE – Development of psychological tests; educational assessment



**Dr R nette du Toit**

DLitt et Phil, University of Johannesburg  
EEPR – Career psychology; vocational identity; skills development; labour market research



**Dr Kristina Bentley**

PhD, University of Manchester, UK  
D&G – Human rights; political thought; the rights of vulnerable people; gender and peacekeeping



**Mr Michael Cosser**

MA, University of the Witwatersrand  
HRD – Higher education; quality assurance; provincial human resources development profiles and strategies; student tracer studies; SAQA and NQF; literary stylistics; discourse analysis



**Dr Johan Erasmus**

PhD, University of Potchefstroom  
EEPR – Labour market research; skills development



**Professor Arvin Bhana**

PhD, University of Illinois at Urbana-Champaign, USA  
CYFD – Adolescent development; risk-taking behaviour related to HIV/AIDS; substance abuse and other youth-related problem areas



**Ms Catherine Cross**

MA, University of Michigan, USA  
IRRd – Rural and urban development; household economy; rural finance



**Professor Melvyn Freeman**

MA, University of the Witwatersrand  
SAHA – Mental health aspects of HIV/AIDS; mental health policy; prevention and health promotion



**Mr William Blankley**

MSc, MBA, University of Cape Town  
KM – Science and Technology (S&T) policy analysis; S&T indicators; research, development, and innovation surveys; strategic planning; feasibility studies; public understanding of Science



**Professor John Daniel**

PhD, State University of New York at Buffalo, USA  
D&G – Political economy; human rights and transitional justice



**Dr Jeanne Gamble**

PhD, University of Cape Town  
HRD – Further education and training policy; curriculum and knowledge issues; interface between further and higher education

## SPECIALIST RESEARCHERS 2004/05



**Mr Logan Govender**

MA, University of Illinois at Chicago, USA  
ATEE – Education policy and teachers; school change; teacher education and development



**Mr Richard Humphries**

MA, Rhodes University  
IRRD – Sub-national government and public policy-making dynamics



**Dr John Mafunisa**

DAdmin, University of Pretoria  
D&G – Public administration ethics; professionalism in the public sector; organisational development; performance management in the public sector; leadership and governance



**Mr Adrian Hadland**

MLitt, Oxford University, UK  
SCI – Media and society; democracy; governance; political economy



**Dr Mbithi wa Kivulu**

DPhil, University of Alberta, Canada  
SAMM – Educational and psychological assessment; data management; statistical analysis and modelling



**Ms Kgobate Magome**

MSc, Colorado State University, USA  
SAHA – HIV/AIDS policy-making and implementation in the public sector; HIV/AIDS core-streaming; multi-lateral and cross-sectoral workplace interventions; programme design and management



**Dr Gerard Hagg**

DLitt et Phil, University of South Africa  
SCI – Infrastructure development in the arts sector; community participation in development; community arts centres; arts service delivery



**Ms Sharon Kleintjes**

MPhil, University of Cape Town  
SAHA – Mental health; intellectual and mental disability; substance abuse



**Dr Monde Makiwane**

DPhil, University of the Witwatersrand  
CYFD – Social science research using quantitative and demographic techniques



**Mrs Elsje Hall**

MA, Rand Afrikaans University  
EEPR – Sector skills analysis; impact of HIV/AIDS on the workplace; labour market trends; workforce needs



**Dr Pieter Kok**

PhD, University of Pretoria  
IRRD – Regional human resource flows



**Dr Kealeboga Maphunye**

DPhil, University of Essex, UK  
D&G – Bureaucratic reform; gender and human rights issues in public sector human resource management; African politics



**Mr Tim Hart**

MPhil, Stellenbosch University  
IRRD – Agricultural and rural development; indigenous knowledge; participatory research



**Dr Glenda Kruss**

DPhil, University of Ulster, UK  
HRD – Higher education policy; private higher education; higher education responsiveness; higher education and innovation



**Mr Kgabo Masehela**

MEd, Rhodes University  
ATEE – Project management; evaluation research; policy research and development; management and assessment training



**Dr David Hemson**

PhD, University of Warwick, UK  
IRRD – Public service delivery; social issues; policy impact assessment



**Mr Moeketsi Letseka**

MEd, University of the Witwatersrand  
HRD – Higher education



**Ms Marina Mayer**

MCom, University of the Witwatersrand  
EEPR – Development economics; project management; trade policy; industrial development; employment; restructuring; regional economic development



**Dr Kathleen Heugh**

PhD, Stockholm University, Sweden  
ATEE – Language acquisition; language and literacy education policy and planning; multilingualism



**Professor Jo Lorentzen**

PhD, European University Institute, Italy  
HRD – Science, Technology, and innovation



**Mrs Ntombizodwa Mbelle**

MA, Thames Valley University, UK, MPH, Medical University of South Africa  
SAHA – Project and finance management; project planning, tracking and reporting; evaluations



**Dr Gregory Houston**

DPhil, University of Natal  
D&G – Political history; democracy and governance



**Mr Mahlubi Mabizela**

MEd, University of the Western Cape  
HRD – Public and private higher education; further education and training; comparative higher education; higher education policy; human resources development and evaluation



**Professor Simphiwe Mini**

PhD, University of Fort Hare  
IRRD – Land and agrarian reforms; poverty and food security issues; environmental impact assessment; sustainable development



**Ms Percy Moleke**

MA, Georgia State University, USA  
EEPR – Labour market analysis; education and work; labour market training; skills development



**Professor Karl Peltzer**

PhD, University of Hannover, Germany  
Dr Habil, University of Klagenfurt, Germany  
SAHA – Social aspects of public health; health behaviour; behavioural health; psychology applied to health; culture and health



**Professor Thomas Rehle**

PhD, University of Antwerp, Belgium  
MD, Ludwig Maximilian's University of Munich, Germany  
SAHA – Infectious disease epidemiology; tropical medicine; HIV/AIDS intervention; survey design and analysis; programme evaluation and impact assessment



**Dr Sagren Moodley**

PhD, University of Stellenbosch  
KM – Information and communication technologies (ICTs) for development; electronic government; ICTs and public policy



**Professor Inge Petersen**

PhD, University of Cape Town  
CYFD – Risk reduction related to HIV/AIDS and sexual violence



**Ms Maxine Reitzes**

MA, University of Sussex, UK  
D&G – Civil society; migration; local governance; social transformation



**Dr Seán Morrow**

DPhil, University of Sussex, UK  
D&G – Liberation history in South and southern Africa; NGOs/civil society; education changes in South Africa; identity, culture and religion in southern Africa



**Dr Nancy Phaswana-Mafuya**

PhD, University of the North  
SAHA – Social aspects of public health; HIV/AIDS; injury prevention; substance use and misuse; social work applied to health



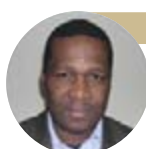
**Dr Marlene Roefs**

PhD, University of Amsterdam, The Netherlands  
SAMB – Participatory research; monitoring and evaluation; public participation; elections; public opinion surveys



**Dr Thabang I. Mosala**

PhD, University of Natal  
SAHA – Human parasites of medical importance; geohelminth endemicity and transmission patterns in slums; human gastro-intestinal parasite epidemiology; public health



**Dr Makola Phurutse**

PhD, University of the Witwatersrand  
ATEE – School reform and educational change



**Dr Stephen Rule**

PhD, University of the Witwatersrand  
SAMB – Quantitative and qualitative surveys; elections; social development; public opinion



**Ms Sanusha Naidu**

MA, Staffordshire University, UK  
IRRD – Globalisation and democratisation research; development issues in Africa; South Africa's political and economic role in the continent; relations between China and South Africa



**Professor Cheryl Potgieter**

PhD, University of the Western Cape  
CYFD – Gender and transformation in higher education; gender and transport; gender; race and sexuality; gender and HIV/AIDS; all policy issues regarding gender



**Ms Marguerite Schneider**

MA, Reading University, UK  
CYFD – Disability and health; development and poverty in relation to disability



**Dr Mcebisi Ndletyana**

PhD, University of the Witwatersrand  
SCI – Leadership; national identity; nation-building



**Dr Cas Prinsloo**

DLitt et Phil, University of South Africa  
ATEE – Assessment theory; education evaluation; factors influencing school functioning and learner performance; psychometrics; research methodology



**Mr Graig Schwabe**

BSc, University of KwaZulu-Natal  
SAMB – Spatial database development; spatial analysis; small area estimation modelling; spatial modelling



**Dr Mokubung Nkomo**

EdD, University of Massachusetts, USA  
ATEE – International and comparative education; education management; education policy; school reform



**Ms Sharmila Rama**

MA, University of Natal  
CYFD – Child well-being statistics; patterns of time use; child household work; women, children, and transport



**Professor John Seager**

PhD, University of Wales, UK  
SAHA – Human development and health; social epidemiology; social and economic determinants of health in poor communities



**Dr Andrew Paterson**

PhD, University of Cape Town  
HRD – ICT training; enterprise training; ICT applications in education; agricultural and rural education



**Dr Vijay Reddy**

DEd, University of Durban-Westville  
ATEE – Mathematics and Science education, policy and planning; large-scale Mathematics and Science assessments; equity and redress



**Professor Leickness Simbayi**

DPhil, University of Sussex, UK  
SAHA – Biological aspects of psychology; applied health psychology; HIV/AIDS and traditional healing

## SPECIALIST RESEARCHERS 2004/05



**Dr Donald Skinner**

DPhil, University of Cape Town  
SAHA – Social aspects of HIV/AIDS; social and clinical psychology; qualitative research; intervention research



**Mr Johan van Zyl**

BA Hons, University of Pretoria  
IRRD – Analytical demography; field surveys; data analysis



**Professor Roger Southall**

PhD, University of Birmingham, UK  
D&G – Democratisation; African and South African politics; political economy; foreign policy



**Ms Jocelyn Vass**

MA, University of Manchester, UK  
EEPR – Impact of HIV/AIDS on economic sectors and labour markets; workplace restructuring; survey data analysis



**Ms Carly Steyn-Pillay**

MPhil, University of Stellenbosch  
KM – Survey methodology and analysis; research and development indicators; value analysis; policy formulation



**Ms Mariette Visser**

BA Hons, University of Pretoria  
HRD – Education Management Information Systems; education indicators; data analysis



**Mrs Jarè Struwig**

MA, University of Pretoria  
SAMM – Surveys; research methodologies



**Dr Cheryl Walker**

DLitt, University of Natal  
IRRD – Land and agrarian reform; social policy; gender studies; gender policy



**Professor Leslie Swartz**

PhD, University of Cape Town  
CYFD – Disability studies; culture and mental health; community psychology; psychodynamics and health care; infant mental health



**Dr Catherine Ward**

PhD, University of South Carolina, USA  
CYFD – Exposure to violence; mental health; substance abuse; youth



**Dr Eric O. Udjo**

PhD, University of London, UK  
SAHA – Demographic analysis; HIV/AIDS impact modelling



**Ms Gina Weir-Smith**

MA, University of Stellenbosch  
SAMM – socio-economic applications in GIS; spatial aspects of unemployment; spatial and accessibility modelling



**Ms Heidi van Rooyen**

MA, University of Durban-Westville  
CYFD – HIV/AIDS risk behaviours and interventions; voluntary counselling and testing; ethics of working in developing countries



**Dr Khangelani Zuma**

PhD, University of Waikato, New Zealand  
SAHA – Statistics; survival analysis; Bayesian simulation methods and modelling infectious diseases; HIV/AIDS



## THE HSRC AND THE PARLIAMENTARY GRANT



**T**he HSRC receives a Parliamentary grant to undertake, stimulate, and promote policy-relevant, applied social science research that contributes to the development of South Africa and the region, and particularly to the advancement of its inhabitants who are poor, vulnerable, or marginalised.

More than R70 million of the Parliamentary grant of R77.7 million was directly allocated to research activities. Of this amount, R45 million was spent on research projects, while R25 million was applied to research capacity building and infrastructure support within the Research Programmes. The remaining portion is utilised for institutional costs that are specific to the HSRC's responsibilities as a public entity. More information is available in sections 4.7 and 10 of the Council's Report (see pages 122 and 130).

Here are some examples of how individual Research Programmes applied their portion of the Parliamentary grant during the 2004/05 financial year. The projects are more fully described in the sections devoted to each Research Programme.

### Assessment Technology and Education Evaluation (ATEE)

Projects supported partially or fully by the Parliamentary grant are listed to give an indication of their scope:

- additional analyses using the data gathered for the Trends in International Mathematics and Science Study (TIMSS 2003);
- trend analysis of the matriculation Mathematics performance data;
- the Matric Colloquium (and the resulting publication);
- factors promoting or inhibiting multi-lingual education in post-apartheid South Africa;
- psychological test development needs survey;
- the use of Assessment Resource Banks (ARBs) in schools; and
- a Grade 9 systemic evaluation study, which forms part of the Learner Achievement Monitoring Programme (LAMP).

More than R70 million of the Parliamentary grant of R77.7 million was directly allocated to research activities.





### Child, Youth and Family Development (CYFD)

The Parliamentary grant allocation is used to support the focal areas of the programme, specifically to:

- build collaboration with the wider research community in South Africa, on the continent, and internationally;
- network with users of our research findings;
- leverage additional external funding in CYFD's focal areas; and
- support value-adding activities, such as getting research into policy and programmes (GRIPP) and the publication and dis-semination of research findings.

Specific projects associated with Parliamentary grant-funded research include support for the Family Policy, the gendered nature of school textbooks, an overview of the state of rural education, and the development of structures and processes to improve access by disabled people to social security.

### Democracy and Governance (D&G)

All of D&G's anchor projects are funded with between 20% and 30% of its Parliamentary grant. D&G has taken a proactive stance to do research in partnership with public and statutory institutions. This has resulted in research projects with:

- the Presidency;
- Foreign Affairs;
- National Intelligence;
- Department of Provincial and Local Government;
- Centre for Public Service Innovation;
- Department of Public Service and Administration; and
- Free State, North West, and Mpumalanga provincial governments.

The grant was also used to fund public engagements, including lectureship programmes jointly hosted with national departments such as the Department of Foreign Affairs.

### Employment and Economic Policy Research (EEPR)

EEPR used its Parliamentary grant primarily to "seed" new areas, including:

- the promotion of trade in services;
- case studies on early child development; and
- initiating work on South Africa's role in Africa and employment scenarios.



All of EEPR's work on services has been presented to the Directors-General's Economic, Investment and Employment Cluster and Social Cluster, with some findings already being investigated for implementation.

The grant was also used to investigate the impact of HIV/AIDS on small firms, and how they manage it in the workplace, and to support EEPR's international roundtable on school-to-work transitions, which was seen as a timely and strategic event.

### Human Resources Development (HRD)

Parliamentary grant funding was used to fund new projects that meet one of the following two criteria:

- as "seed money" to start work in a new area of critical importance to the national development agenda, and which had not as yet harnessed the necessary

 The grant was also used to investigate the impact of HIV/AIDS on small firms, and how they manage it in the workplace, and to support EEPR's international roundtable on school-to-work transitions. 

research funding support; for example, pathway studies of learners from schooling into further or higher education or into the world of work; or

- new work that complemented contract-based research, allowing the results of contract and grant-funded research to make a larger synergistic contribution through journal and book productions; for example, two special editions of international journals on the results of the National Survey of Skills.

### **Integrated Rural and Regional Development (IRRD)**

The greater part of the Parliamentary grant funding has been used to seed projects that have then been able to attract substantial levels of external support. Notable examples include:

- a pilot study of the impact of land reform on rural livelihoods in the Elliot district, Eastern Cape;
- the most extensive study of homelessness mounted in South Africa, with Parliamentary grant funding of R1.6 million, which has now been matched by funding from the national and Gauteng provincial Department of Social Development and by the Swiss Agency for Development and Cooperation; and
- studies of migration for all three tiers of government.

### **Knowledge Management (KM)**

The present work of KM is mainly concentrated on delivering on the Centre for Science, Technology and Innovation Indicators (CeSTII) mandate. Accordingly, the Parliamentary grant is deployed in direct support of the work of CeSTII. This extends beyond conducting various surveys for the Department of Science and Technology to our advocacy role in relation to Science, Technology and innovation policy, and education policy.

### **Social Aspects of HIV/AIDS and Health (SAHA)**

The Parliamentary grant was used for research projects addressing South African public health priorities, including:

- the prevention of HIV transmission from mother to child;
- voluntary counselling and testing services;
- the role of traditional healers in HIV prevention;

- aspects of the relationship between poverty, social capital, homelessness, and health;
- interventions addressing the responsible serving of alcohol; and
- gender violence.

The grant also supported the establishment of the International Gender Institute and the hosting, for the first time in Africa, of the 7th AIDS Impact Conference. These two initiatives helped to display some of the excellent research work done by the HSRC and to identify new research partners.

### **Surveys, Analyses, Modelling and Mapping (SAMM)**

Examples of where SAMM used its portion of the Parliamentary grant:

- the South African Social Attitudes Survey (SASAS), which has yielded, over the past two years, longitudinal data on a range of public opinion issues that have enabled comparative, time-series analysis, with policy intervention in mind;
- two R&D projects in the Geographical Information Systems (GIS) Unit, namely the spatial modelling project and the geo-information capacity project;
- a book, *The state of urban policy in South Africa: Ten years on*, sponsored by the Development Bank of Southern Africa, which chronicles the formulation of South Africa's post-apartheid urban policies; and
- a longitudinal study on the urban development implications of the 2010 Soccer World Cup in South Africa.

### **Social Cohesion and Identity (SCI)**

SCI leveraged its Parliamentary grant to engage in critical areas of research cutting to the very core of what it means to be part of the new, democratic South Africa, including:

- investigations into questions of identity, diversity and heritage, leadership, empowerment, and social capital; and
- collaborations with foundations such as the Nelson Mandela Foundation and the Bill and Melinda Gates Foundation, tertiary institutions, distinguished intellectuals, statutory organisations, and corporates that have resulted in quality research exploring the very essence of national identity and character.



## RESEARCH HIGHLIGHTS

**D**uring 2004/05, 283 research projects were running in the ten Research Programmes of the HSRC, compared to 303 in the previous financial year. If one goes according to project budgets, 66 could be regarded as smaller projects, but the majority were large-scale, longer-term projects, many running over two years and more.

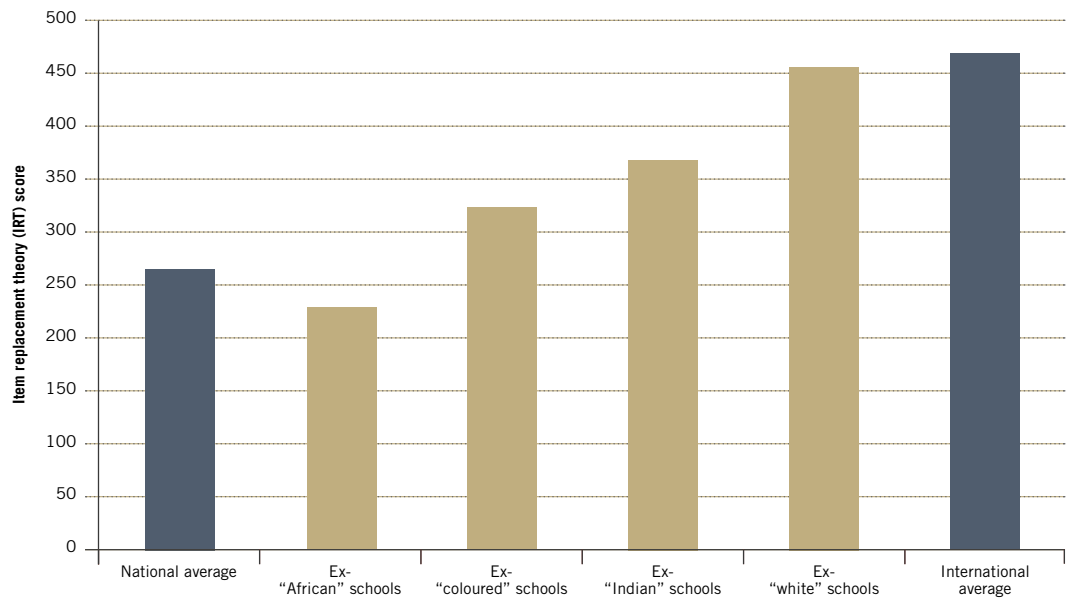
Just as impressive were the mix of funders, a selection of which appear on page 27. These varied from national and local government departments and public-sector entities to overseas and South African foundations or research collaborators.

### Assessment Technology and Education Evaluation (ATEE)

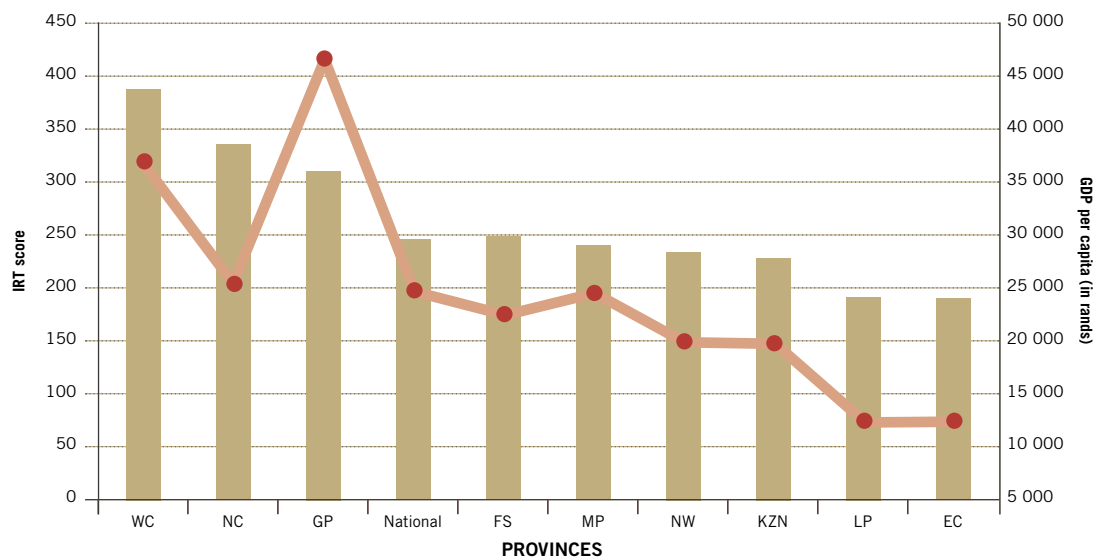
- The “AQEE (pronounced a-key) to improve learning” model, which was conceptualised by the HSRC and comprises several frameworks for each of the four policy goals of access, quality, efficiency, and equity, was adapted and finalised for the Grade 9 learner achievement study. The AQEE model is based on a systems approach to the formulation, implementation, monitoring, and evaluation of education policy and practice. This makes it possible to adapt the model to specific contexts that define national or local education systems and to focus on measures to monitor and evaluate the attainment of relevant policy goals.
- The Quality Learning Project (QLP) evaluation ended in August 2004 after five years of work by many service providers. The QLP aimed to improve learner performance through multi-level, multi-site educational interventions. ATEE collected the data for the final evaluation of the impact made by the QLP on staff and learners in 524 South African secondary schools and their district offices. The first drafts of most of the sections of the summative technical evaluation report were submitted to the client (JET Education Services) and the funder (Business Trust) for comment by the end of the year under review. The final report is due for release in June 2005 and focuses on the client’s evaluation needs. A range of policy booklets for different stakeholders and articles in academic journals will follow in 2005/06.

 This type of research has not been done before, and confirms the importance of investments in strengthening schools in terms of resources, infrastructure, improvement in teacher qualifications, and learning cultures. 

**Figure 1:**  
TIMSS 2003 mean Mathematics scores of schools categorised by ex-racial departments



**Figure 2:**  
TIMSS 2003 mean Mathematics scores by province (bars) and GDP per capita (line)



- A model was developed to identify emerging schools in the system, based on a trend analysis of Matric Mathematics performance data. The research provides a tool for identifying schools with the potential to succeed and recommends a strategy on investing in these schools. This type of research has not been done before, and confirms the importance of investments in strengthening schools in terms of resources, infrastructure, improvement in teacher qualifications, and learning cultures. An increase in the conceptual and cognitive demands placed on students to improve Mathematics and Science in the country is just as important.
- The results of the Trends in International Mathematics and Science Study (TIMSS) 2003 were released in December 2004. South Africa came last, which was not unexpected, considering the massive curriculum changes over the past few years. The interesting dimension of the study was in the disaggregation of the data, revealing the different patterns of performance of learners

attending the different school types. The scores also revealed that learners in the former white schools performed close to the international mean, reflecting the inequalities in the country, as illustrated in Figure 1. The study again raised the intensity of the debates about performance in Mathematics and Science and the Minister of Education responded to the results with strategies to be implemented in Mathematics and Science teaching.

### Child, Youth and Family Development (CYFD)

- Gender enjoyed a special priority in CYFD, both as a cross-cutting emphasis in CYFD's work and as a specific focus of research that included fatherhood, culture and human rights, and transport as a conduit for women's social and economic participation.
- Research to support the development of the Department of Social Development's Family Policy during the 10th Anniversary of the International Year of the Family involved desk reviews and



secondary analysis of available data sets, including the Census and the national household and labour surveys. The policy was released at the International Conference on Families in Durban in March 2005.

- The Nelson Mandela Foundation-supported project on rural education entitled *Emerging voices: A report on education in South African rural communities* resulted in a richly illustrated publication that focuses on education, democracy, and development in KwaZulu-Natal, the Eastern Cape, and Limpopo. Particular barriers to participation that girls face in schooling were highlighted, including gender-differentiated domestic labour and responsibilities, sexuality, teenage pregnancy, HIV and AIDS, bullying, sexual abuse and violence, and gender differences in the formal and hidden curricula.
- The completion of research commissioned by UNICEF in New York on indicators of the psychosocial well-being of young children and the development of a framework for monitoring children's well-being in seven countries was an effort to monitor children's development and assist countries to report on children's progress. The development of standards of children's psychosocial development in early childhood formed part of a UNICEF initiative, "Going global with indicators of child well-being."
- CYFD reviewed the evidence of family and community interventions for children affected by AIDS, a programme evaluation of the Regional Psychosocial Support Initiative for children affected by HIV/AIDS (REPSSI), and conducted two intervention trials to reduce young people's risk for HIV infection – one directed at families and the other delivered in schools.
- Subsequent to developing an assessment tool for use by community-based panels to determine eligibility for social security, CYFD has continued to support the Departments of Social Development and Health through studies to assist with the implementation of the eligibility assessment process.
- The completion of a *State of the youth* report for the Umsobomvu Youth Fund, which consisted of a comprehensive review of literature on young people during the last decade, a secondary analysis of available data, and a survey of young people 18–35 years of age. The results demonstrate the significant gains achieved in access to education, especially for previously marginalised groups, but unemployment presents a substantial barrier to young people's economic participation, with almost two-thirds of 18- to 35-year-olds remaining unemployed.

### Employment and Economic Policy Research (EPR)

- Support to the Directors-General's Economic, Investment and Employment Cluster and Social Cluster to improve the government's leveraging of services for growth, employment, and equity focused on policy to promote trade in services, employment through government programmes, and improved access to essential services.
- The launch of national case studies on early child development as an approach to job creation focused on the promotion of trade in services and employment creation through government programmes, and on improving access to essential services. Much could be done in "care" services such as early child development and community-based care.

 The launch of national case studies on early child development as an approach to job creation focused on the promotion of trade in services and employment creation through government programmes, and on improving access to essential services. 

- The final draft of EEPR's main report on the state of employment statistics, to be reviewed by Stats SA, will be published in 2005. This collaborative effort focuses on a realistic assessment of employment trends since 1996 and brings together major users and experts such as Stats SA, COSATU, the SA Reserve Bank, the National Treasury, the Office of the Presidency, the Department of Labour, the Department of Trade and Industry, and others.
- EEPR is deepening its research work on labour-market dynamics in co-operation with the Swedish International Development Cooperation Agency (Sida). The aim is to support a forward-looking, dynamic labour-market research agenda, in co-operation with global experts, the University of KwaZulu-Natal (UKZN) and the University of Cape Town (UCT).
- EEPR held an international roundtable on school-to-work transitions and labour market intermediation involving participants from Thailand, Brazil, India, Botswana, the International Labour Organisation (ILO), the Departments of Education and Labour, the South African Management Development Institute (SAMDI) as well as major South African private stakeholders.
- To mitigate the impact of HIV/AIDS in the workplace, EEPR aims to improve the availability of information and to do realistic assessments of different public and private interventions.

### Human Resources Development (HRD)

- Memoranda of Understanding were signed between the CEO of the HSRC and seven university Vice-Chancellors in November 2004, specifying the conditions under which the HSRC would gain permission to use graduation and throughput data from these higher education institutions. The national Department of Education required the permission of the institutions before allowing access to the data.
- An important contract to deliver a report on the viability of establishing a "foundation college", funded by the Johannesburg City Council, sought to improve the number of school learners entering higher education with improved Mathematics and Science grades. The client report, completed in April 2005, has cautioned the City about the risks entailed in starting a brand new college of this kind and has advised that it should rather join hands with academic support initiatives already in place at the two universities in Johannesburg.
- HRD undertook research for three provinces on developing a human resources development strategy for each province, reporting directly to the Premier's Offices in Gauteng and KZN and to the Department of Finance and Economic Affairs in the Western Cape.
- The Minister of Labour, Mr Membathisi Mdladlana, released the results of the HSRC's National Survey of Skills, conducted in 2003,



at the launch of the second phase of the National Skills Development Strategy at the Department's National Skills Summit held on 3 and 4 March 2005.

- In November/December 2004 the HRD and EEPR Research Programmes received an urgent request for assistance from the Offices of the Directors-General of the Department of Public Service and Administration (DPSA) and the South African Management Development Institute in late 2004. The task involved helping the government to produce a focused desktop assessment of skills in the public service, skills in short supply, and ways in which skills shortages could limit or facilitate the achievement of a "developmental state" as conceived by the government.

### Integrated Rural and Regional Development (IRRDR)

Increasingly, the role being played by IRRDR is one of architect, consortium-builder, manager, synthesiser, and reporter, with only a proportion of the research being undertaken internally – a role from which the client, the broader research community, and the HSRC are all seen to gain, in keeping with the institution's declared public purpose. Two large-scale projects that were completed in 2004/05



realised the extraordinary potential of inclusiveness:

- The design and testing of a Food Insecurity and Vulnerability Information and Mapping System (FIVIMS) for the Department of Agriculture is the most multi-disciplinary project undertaken by IRRD to date. Under Dr Scott Drimie's leadership, a team of GIS mappers, computer modellers, agricultural scientists, nutritionists, geographers, sociologists, economists, and others built and integrated the components of a prototype for Sekhukhuneland. The project involved the HSRC, the Council for Scientific and Industrial Research (CSIR), the Agricultural Research Council (ARC), the Universities of Cape Town, the Western Cape and the Witwatersrand, and the private sector. It is hoped that this will form the basis of the development of a national system. The initiative drew the attention of the Minister of Finance in his Budget speech.
- The Science and Technology for Poverty Reduction (SATPOR) project, commissioned by the Department of Science and Technology in 2003 and designed by IRRD, was managed in conjunction with the two other major institutional role-players, the CSIR and the University of Fort Hare (UFH). The objective was to document and evaluate small-scale initiatives displaying significant elements of innovation in agriculture, mining, energy, and health in South Africa to distil the lessons for improving policy in order to reduce poverty. The project involved more than 40 participants drawn from almost every historically disadvantaged university and carried a substantial budget of R6 million. The nature and scale of the exercise, the breadth of participation, and the inclusive management structure are seen as providing a model for greater programmatic collaboration between the HSRC and tertiary educational institutions.

### Knowledge Management (KM)

- The design and completion of the 2003/04 National Survey of Inputs to Research and Experimental Development, performed for the Department of Science and Technology, was undoubtedly the major highlight of the financial year. This is the second such survey that KM has conducted. Newly appointed research staff had to be inducted, trained, and then allocated field responsibilities, with the goal of performing a more inclusive and comprehensive survey than its predecessor had been.
- The 2001/02 Survey database included valuable demographic data that falls beyond the scope of standard R&D surveys; this additional data has proved to be a useful research resource.

### Social Aspects of HIV/AIDS and Health (SAHA)

- A ground-breaking study, funded by the Education Labour Relations Council (ELRC), was conducted among 21 000 educators to examine factors determining educator supply and demand in South African public schools, taking into account the health and HIV/AIDS status of educators. Six reports were launched in March 2005 at a media conference that included the Department of Education, heads of the South African Democratic Teachers Union (SADTU), the National Professional Teachers Organisation of South Africa (NAPTOSA), the Suid-Afrikaanse Onderwysersunie (SAOU), and the National Teachers Union of South Africa (NATU). The research consortium consisted of the HSRC, the Medical

 The design and completion of the 2003/04 National Survey of Inputs to Research and Experimental Development was undoubtedly the major highlight of the financial year. 



Research Council (MRC), and the UKZN's Mobile Task Team (MTT) on the Impact of HIV/AIDS on Education.

- Another ground-breaking study, *HIV risk exposure in children aged 2–9 years served by public health facilities in the Free State*, commissioned by the Nelson Mandela Foundation with support from the Free State Department of Health and the Nelson Mandela Children's Fund, yielded a previously unreported mode of HIV transmission, namely breastfeeding by surrogate mothers. The study revealed serious lapses in infection control in dental, maternity, and paediatric hospital units and found that HIV-positive expressed breast milk could inadvertently be fed to the wrong child. A consortium comprising the HSRC, the University of Stellenbosch, the MRC, and the Centre for AIDS Development Research and Evaluation (CADRE) undertook the study.
- As part of its efforts to mainstream gender in its research, SAHA has joined the International Institute on Gender and HIV/AIDS and elucidated how the construction of gender in some of the Southern African Development Community (SADC) countries influences vulnerability to HIV infection. Gender-based violence, women's subordination to men and male children, and the expected roles of men and women all play a role in increasing the risk of HIV acquisition. Cultural traditions and customary laws contribute to gender inequity, yet many countries in our

Mr Daya Govender, General Secretary, Education Labour Relations Council, addressing the media at the launch of the ELRC-commissioned study on factors determining educator supply and demand in South African public schools.







sub-region have not repealed these laws. The implications include the key one that members of government and civil society, ranging from traditional leaders to the judiciary, need to join hands to create a social environment that will change social norms leading to high-risk behaviour.

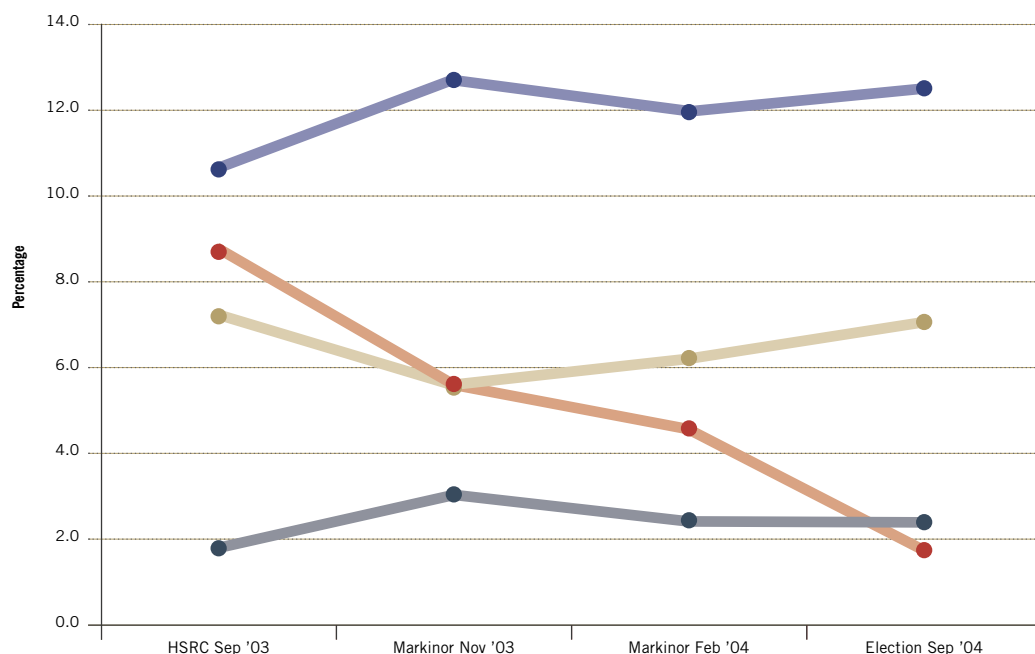
- The New Partnership for Africa's Development (NEPAD) and the HSRC's Africa-wide Social Aspects of HIV/AIDS Research Alliance (SAHARA) have signed a Memorandum of Agreement to support sub-Saharan African efforts to meet the Millennium Development Goal (MDG) of halting the spread of HIV/AIDS by 2015. The partnership involves convening conferences that bring together African policy-makers, researchers and academics, non-governmental organisations (NGOs), and donors. It also involves assisting NEPAD with answering key research questions; communicating issues related to the MDGs through the *Journal of Social Aspects of HIV/AIDS* (produced by SAHARA); providing technical support to NEPAD for continental analysis and policy briefs; and linking the SAHARA website ([www.sahara.org.za](http://www.sahara.org.za)) to the NEPAD website ([www.nepad.org](http://www.nepad.org)) in order to facilitate access to evidence-based research that informs policy-making.

### Surveys, Analyses, Modelling and Mapping (SAMM)

- The annual South African Social Attitudes Survey (SASAS), which yields public opinion responses from a nationally representative sample of 5 000 adults selected from the HSRC Master Sample, enters its third wave in 2005. Results from a voting module in the 2003 SASAS allowed the HSRC to predict, with a strong measure of accuracy, results for the 2004 national election six months ahead of the poll itself. The baseline publication, drawing on the 2003 data, is about to be released.
- Five government departments participated in SAMM's "client" tracking survey, and other departments and agencies have shown great interest. The survey helps government departments track aspects of their service delivery over time. Two other formidable surveys conducted by the Surveys Unit included an impact study on a representative sample of 7 000 social grant beneficiaries, in partnership with Geospace, on behalf of the Department of Social Development (DSD); and a Department of Home Affairs survey to determine the location and extent of unregistered South African citizens.
- The Geographical Information Systems (GIS) Unit used a combination of the 2001 Census data, household surveys, and poverty and economic indicators to map this information to a municipality level. The information was released via the media and several government departments have used the information to inform their strategies.
- The GIS Unit participated in several projects, including the Eastern Cape land claims and the Food Insecurity and Vulnerability Information and Mapping System (FIVIMS) projects. The accessibility modelling of pension pay points provided critical information regarding the spatial optimisation of these facilities in each of the nine provinces. The information will be used to assist the DSD in locating new facilities and making appropriate budget allocations for their maintenance.
- Given the important developmental role of South African cities as drivers of economic growth and human development and the HSRC's mission of conducting

The visit of the first contributor to SCI's distinguished lecture series on identity, renowned Ghanaian writer Ayi Kwei Armah, launched an exciting range of projects that focus on identity and leadership.

**Figure 3:**  
Surveys done over time vs  
election: minority parties



research in areas of national priority with a strong focus on poverty relief, the Urban Renewal and Development (URD) Unit was established on 1 September 2003. The URD has, in its short life, embarked on a series of research projects that address issues of urban renewal and poverty, local economic development, urban transportation, globalisation and city competitiveness, urban policy, and the impact of hosting mega-sporting events. The aim of the URD is to embark on a coherent programme of urban research with urban policy intervention in mind.

### Social Cohesion and Identity (SCI)

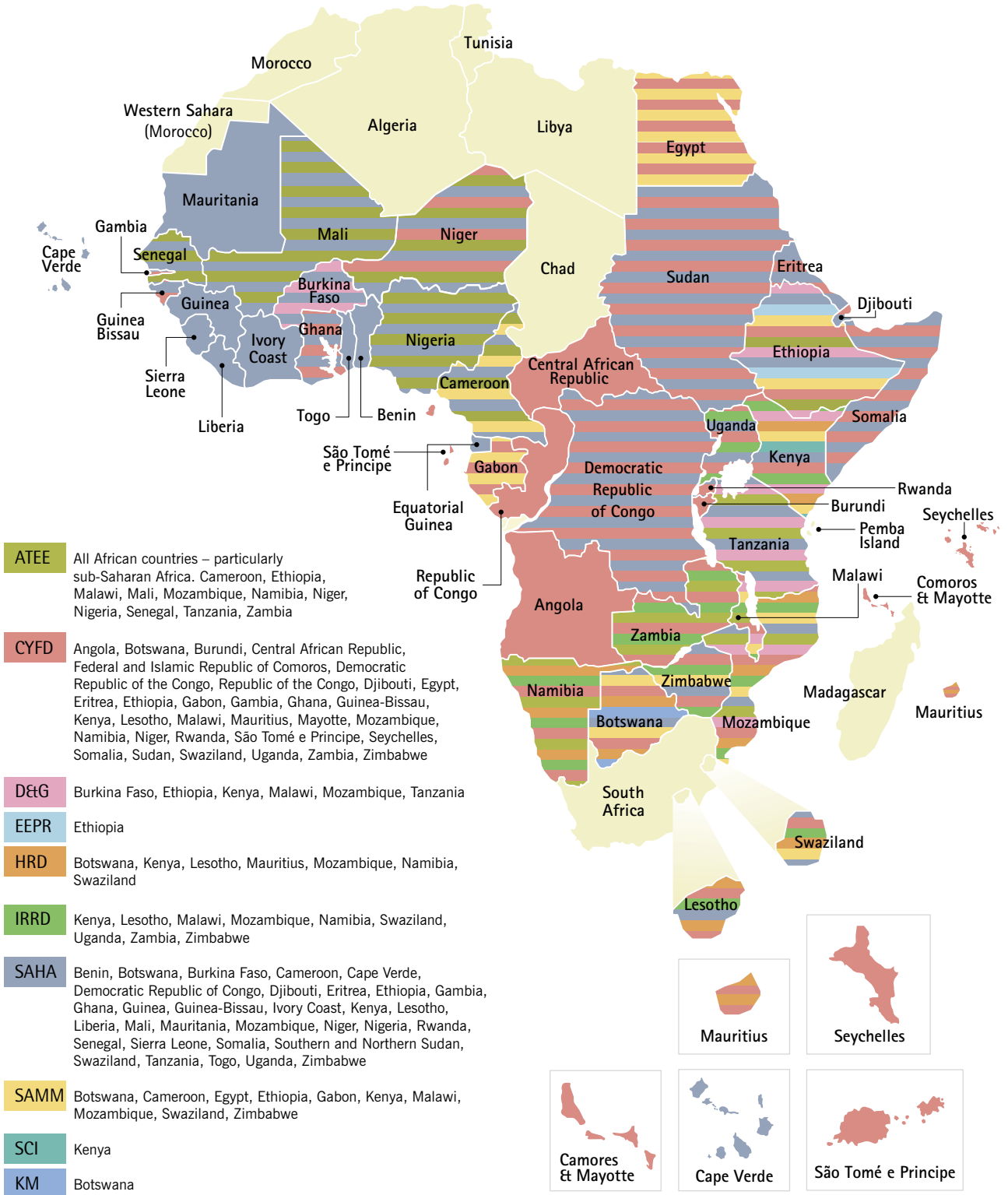
- Research on the impact of genomics on Africa, previously a key area of work for SCI, has been successfully concluded with a major international conference on genomics in Africa, held in Nairobi in March 2005. The African Genome Education Institution will in future function autonomously. Almost R2 million was raised during the year for this work, the largest grant coming from the Bill and Melinda Gates Foundation.
- The first phase of a key research report on social capital for the Department of Arts and Culture's Community Arts Centres has been completed and the team is co-operating with provinces and local government to implement the findings, which vary depending on location. The training of arts centre managers has started in two arts centres.
- The visit of the first contributor to SCI's distinguished lecture series on identity, renowned Ghanaian writer Ayi Kwei Armah, took place in February, launching an exciting range of projects that focus on identity and leadership: Identity, Africa, and the World Distinguished Lecture Series.



Ayi Kwei Armah, the internationally acclaimed Ghanaian scholar, novelist and poet, was the first of an illustrious group of leading scholars, authors and intellectuals to participate in the SCI Distinguished Lecture Series, Identity, Africa and the World. From left: Professor Ayi Kwei Armah and Dr Xolela Mangcu, Executive Director of SCI.



# COLLABORATION IN AFRICA



## A SELECTION OF RECENT USERS AND FUNDERS

Advisory Services for Economic Research	Film and Publications Board	Organisation for Economic Cooperation and Development
Atlantic Philanthropies	Finmark Trust	Organization for Social Science Research in Eastern and Southern Africa
British Council	Food and Agriculture Organisation for the United Nations	Pennsylvania State University
Brystol-Myers Squibb Foundation	Ford Foundation	President's Economic Advisory Council
Canadian International Development Agency	Foundation for Human Rights	Regional Psychosocial Support Initiative
Centre for the AIDS Programme of Research in South Africa	Gauteng Institute for Educational Development	Rockefeller Brothers Fund
Centre for Development Support	Gauteng Provincial Government	Royal Danish Embassy
Centre for Public Service Innovation	Gauteng Provincial Legislature	Royal Netherlands Embassy Development Co-operation
Charles Kendall and Partners Ltd – iSeluleko Consulting	Georgetown University	Southern African Development Community
Charles Stewart Mott Foundation	GOPA Consultants	Save the Children Sweden
Chemical Industries Education and Training Authority	Government Communication and Information System (South Africa)	Services SETA
City of Johannesburg	Graduate Institute of Development Studies, Geneva	Sociology of Work Programme
City of Tshwane	Independent Electoral Commission	SOS Children's Villages Association of South Africa
Commonwealth Secretariat	International Food Policy Research Institute	South African Local Government Association
Community Agency for Social Enquiry	International Labour Organisation	Sport and Recreation South Africa
Co-operative for Assistance and Relief Everywhere	International Labour Research and Information Group	Statistics South Africa
Council on Higher Education	JET Education Services	Swedish International Development Agency
Dalhousie University – Atlantic Centre of Excellence for Women's Health (Canada)	Khanya Rural Management Change	Swiss Agency for Development and Co-operation
Department for International Development (UK)	Konrad Adenauer Foundation	Tourism, Hospitality and Sport Education and Training Authority
Department of Agriculture	London School of Hygiene and Tropical Medicine	Training and Resources in Early Education
Department of Arts and Culture	Macro International Inc.	Unesco Conference, Workshop and Cultural Initiative Fund
Department of Defence	Medical Research Council	United Nations Children's Fund
Department of Education	Molteno Project	United Nations Development Programme
Department of Environmental Affairs and Tourism	Mpumalanga Department of Health and Social Services	United Nations Educational, Scientific, and Cultural Organisation
Department of Health	National Advisory Council on Innovation	United Nations Office on Drugs and Crime
Department of Home Affairs	National Film and Video Foundation	United Nations Programme on HIV/AIDS
Department of Labour	National Institute of Crime Prevention and the Reintegration of Offenders	United States Diplomatic Mission to South Africa
Department of Provincial and Local Government	National Institute of Mental Health	University of California
Department of Public Service and Administration	National Lotteries Distribution Trust Fund	University of Connecticut
Department of Public Works	National Prosecuting Authority	University of Kentucky Research Foundation
Department of Science and Technology	National Research Foundation	University of KwaZulu-Natal
Department of Social Development	National Smallholder Farmers' Association of Malawi	University of Pretoria
Department of Trade and Industry	National Treasury	University of the Witwatersrand
Department of Water Affairs and Forestry	Nelson Mandela Children's Fund	Water Research Commission
Deutsche Gesellschaft für Technische Zusammenarbeit	Nelson Mandela Foundation	Wellcome Trust
Development Bank of Southern Africa	Nemai Consulting CC	Wenner Gren Foundation
Durban Metro Water Services	Netherlands Government	Western Cape Provincial Government
Education Labour Relations Council	Nordic Africa Institute	W.K. Kellogg Foundation
Eskom Holdings Limited	Office of the Presidency, Policy Co-ordination and Advisory Services	World Bank Group
European Molecular Biology Organisation	Office of the Public Service Commission	World Health Organisation
European Union		
Family Health International		



## ASSESSMENT TECHNOLOGY AND EDUCATION EVALUATION

**A**ssessment Technology and Education Evaluation (ATEE) provides relevant and timely information for decision-makers at all levels of the system (national, provincial, district, school, classroom, and community) on the policy and practices of educational change and school reform. ATEE's research focuses on the key policy goals of access, quality, efficiency, and equity in education, not only in South Africa, but also in the Southern African Development Community (SADC) countries and the wider region. ATEE also develops instruments and techniques for assessing individuals in the world of work.

Our innovative research comprises large-scale efforts to offer empirically sound analyses and the ability to identify and anticipate emerging trends. In response to national, regional and international developments within the education and training sector, ATEE has identified the following priority areas for future research:

- education change and diversity;
- monitoring and evaluation of education systems;
- assessment, certification, and selection;
- teacher education and development;
- curriculum change, implementation, and impact;
- learning in the early years;
- community involvement and participation; and
- impact of information and communication technology.

During 2004/05, ATEE continued consolidating its unit structure by strengthening its research capacity in the following focus areas.

The **Language and Literacies Studies (LLS) Unit** researches language and literacies both nationally and in Africa. It contributes to debates on language and literacy policy and implementation and provides innovative research into language policy development, including models of multi-lingual schooling. It offers expertise in literacy development, language acquisition, teacher education, programme design, curriculum development and management, and assessment.

 ATEE's research focuses on the key policy goals of access, quality, efficiency, and equity in education. 



The Science, Mathematics and Technology Education (SMTE) Unit undertakes research to provide information to policy-makers to plan for outlay in Science, Mathematics and Technology education at school level. The unit focuses on the assessment of performance in Mathematics and Science; trend analysis of school-level Mathematics and Science performance; and out-of-school programmes for Mathematics and Science.

The School Reform and Policy Analysis Unit seeks to understand the functioning of the education system and how to bring about and track change in that system. A key aspect is monitoring and evaluating policy processes (i.e. policy-making, implementation, analysis, and evaluation) and practices for improving the quality of education and making policy recommendations.

The Psychological Assessment Unit concluded a needs-analysis survey to determine its future research agenda and is now designing a collaborative national strategy to validate, maintain, and develop relevant assessment products.

The Methodology, Modelling and Analysis Unit plays a cross-cutting, supportive role for the other units by providing technical assistance for data collection, management, and analysis.

To consolidate the knowledge and experiences obtained from various projects, two programmes have been established:

- **Programme for Monitoring Trends in Education Quality (PROMOTE)**, which focuses on research to support efforts for implementing effective policy and practices for improving the quality of education, with specific emphasis on developing nations;
- **Learner Achievement Monitoring Programme (LAMP)**, which focuses on the development of methods and techniques for analysing learner performance data and reporting it to key decision-makers.

In March 2005 ATEE's staff complement was 22, with 12 full-time and three part-time researchers, four research interns, and three support staff.

### Recently completed projects

A case study commissioned by the Khanyisa project (sponsored by the UK Department for International Development (Dfid) and managed by JET Education Services) was conducted on **admission and language policies in Limpopo schools**. The study, conducted in collaboration with the University of the North, interrogated the extent to which schools' language and admissions policies were being used as gate-keeping mechanisms to exclude particular groups of learners from schools. Evidence of this was found in many cases. An innovative characteristic of this research was the policy dialogue component, which attempted to break barriers between researchers, practitioners, bureaucrats, politicians, and civil society. It also seemed as if the department in some cases pressurised schools (e.g. ex-Model C schools) to admit African-language speaking learners without fully taking into account and supporting the integration dynamics.

A study on **factors promoting and inhibiting multi-lingualism in South African schools** explored the extent to which multi-lingual education as envisaged by the new language-in-education policy was implemented in linguistically heterogeneous schools in South Africa. The study's primary finding is that the language-in-education policy was not being implemented at national or provincial departmental level, or by school governing bodies. While school governing bodies are responsible for language education policy, they lack the expertise to assume this responsibility. The research offers the beginnings of a



new theoretical perspective on language and cognition which could better inform teacher education, curriculum development, and assessment.

The work on the **Trends in International Mathematics and Science Study (TIMSS)** continued, with specific focus on reporting the results. The emphasis of the analysis was to use the data to provide information to South African policy-makers and practitioners rather than a league table ranking (for further information see the Research Highlights section). Secondary data analysis also incorporated an examination of how issues of poverty affected achievement scores.

The Director of the SMTE Unit, Dr Vijay Reddy, chaired a ministerial task team that investigated the decline in the 2003 Grade 10 results over the previous year's. ATEE also led a retrospective study, initiated by the CEO, that focused on the **Matric examinations** and examined the various questions and concerns raised in the media about the results of the Matric examination. In this project, in-depth debate and discussion were held around issues of the Matric examination, quality in the educational system and the future Further Education and Training Certificate (FETC). ATEE also hosted a colloquium that comprised participants from the national and provincial Departments of Education, Umalusi, and universities, which resulted in a book, *Matric: Retrospective and prospective*, edited by Vijay Reddy. The project informed future actions on issues such as an exit-level certificate for school-leavers.

The **evaluation of the Quality Learning Project** entered its final phase and is covered in the Research Highlights section.

The analysis of the **Grade 9 learner performance trends: 1996 to 2002** report was completed and the final report is due in June 2005. The "AQEE (pronounced a-key) to improve learning" was adapted to the data for this study. The AQEE model, which is based on a systems approach to account for the key policy objectives of access, quality, efficiency, and equity, is used to develop relevant indicators for monitoring and evaluating the functioning of the education system.

Other projects include a colloquium on **school integration** and the **effective communication and utilisation of research projects**.

To determine the future research direction of the **Psychological Assessment Unit**, a research project, **Psychological test development: A needs assessment**, was undertaken. This included a survey of the practices and needs of psychological practitioners and key stakeholders regarding psychological assessment instruments, a national survey by questionnaire, focus-group interviews with practitioners, and individual interviews with key stakeholders. The report provided useful information to enable management to determine how the HSRC should be involved in this area.

### Impact of research

All the projects in ATEE are conceptualised and structured in such a way as to ensure maximum collaboration with stakeholders in policy and management positions in order to increase the relevance of findings and the likelihood that recommendations and solutions will be implemented. This thrust is seen as appropriate in view of the Framework for Action in Sub-Saharan Africa, part of UNESCO's Education For All (EFA) initiative, which has prioritised the need to ensure successful education if the twenty-first century is to become "the truly African century". This orientation includes, but also goes beyond, the Millennium Development Goals (MDGs).

It was found that, in many cases, schools' language and admissions policies were being used as gate-keeping mechanisms to exclude particular groups of learners from schools.

## Ongoing research projects

Various projects in the units have a longer-term horizon, extending into the next financial year. Greater collaboration with the government and other stakeholders in the educational system is pursued throughout.

The Grade 3 component of the **Impact Study of the Molteno Programme**, a repeated cross-sectional cohort evaluation study, assesses the impact of the Molteno literacy intervention programme at the Foundation Phase in a selected district in the Free State Province. The formative evaluation investigates the impact, over a three-year period, of the programme on learners' aural and oral skills; reading, comprehension, and writing skills; and the competence of learners in other learning areas of the curriculum.

A **South Africa country report**, based on the 2003 TIMSS, will augment the December 2004 international comparative report. It will comprise many additional, locally relevant analyses.

The study on **Schools' Performance in Mathematics and Science** continues. We are currently researching **Supplementary Tuition in Mathematics and Science** for the Department of Science and Technology, a new research area in South Africa. Supplementary tuition has traditionally been available to those with financial resources but the government now wants to use it to help the most disadvantaged learners improve their performance in Mathematics and Science.

Other activities are:

- the **final LAMP** report comparing learning performance trends between 1996 and 2002 in English, Mathematics, and Science, which is expected to be completed soon, and in which relevant methods for developing performance standards will be proposed;
- **PROMOTE**, which comprises a model and best practices for evaluating education systems, will be finalised;
- the **Systemic Evaluation of Grade 6** project evaluates the functioning of the teaching and learning system, with special emphasis on learner performance trends and the factors influencing them;
- the compilation by ATEE of a set of items covering **aspects of access, quality, efficiency, and equity** in the second round of the South African Social Attitudes Survey (SASAS II). The 2004 data will be analysed and will constitute a chapter on attitudes among members of the public concerning a range of education issues in the report, due for release in 2005; and
- the **School Integration** study, which explores best practice and innovation in teaching/learning, jointly with the University of Pretoria.

## Future developments

New studies cover a range of aspects and are pursued to establish greater focus and coherence in, and consolidation of, the work of ATEE. The following projects illustrate this thrust:

- To develop numeracy and literacy skills, these concepts need to

start in the early school years; a new project will examine practices in these areas in the Foundation Phase classrooms.

- A project on the maintenance and validation of psychological instruments in pursuing the development of a new collaborative model is being planned. The model would accelerate the development of new and the validation of existing instruments appropriate to the cultural diversity in South Africa.
- To ensure the best possible entry experience for children into the world of learning, there is a need to develop a school-readiness instrument that could assist learners, parents, and teachers.
- The development of a model for monitoring performance trends in Matric, across levels and learning areas, in a comprehensive and coherent way, has commenced.
- The development of classroom-assessment resource tasks for teachers (CARTTs) that will extend the much-in-demand previous work on assessment resource banks (ARBs) is being planned.
- A policy-relevant project on teacher education and development to enhance education under difficult conditions is being planned.
- The use of education research to facilitate delivery of quality education will inform the current focus, policy, and actions of the government and in particular the Department of Education (DoE).
- A project to contribute to theory development on education quality and policy in South African schools, drawing on findings from a number of previous evaluation projects but specifically those of the Quality Learning Project, is being planned.
- A project evaluating the role of language and literacy acquisition/learning theories in relation to cognition and the curriculum in South Africa and the region is in preparation.
- A comparative evaluation of the language levels and proficiency requirements of the language and other learning areas will be undertaken in order to make language development, the curriculum, learner resources, and assessment more compatible.
- A comparative study of language education and companion teacher education models in the SADC and sub-Saharan region will contribute to a UNESCO-ADEA (Association of Development of Education in Africa) stocktaking report. This will help ATEE foster co-operation within Africa and with other R&D agencies in the region.
- ATEE will contribute towards the DoE's efforts to establish the FETC in 2008 by convening a consultative workshop to address challenges to planning and implementing the new system.

Executive Director

Dr Anil Kanjee

Tel: +27 12 302 2302 / Fax: +27 12 302 2304

Email: [akanjee@hsrc.ac.za](mailto:akanjee@hsrc.ac.za)





## CHILD, YOUTH AND FAMILY DEVELOPMENT

The main focus of the Child, Youth and Family Development (CYFD) Research Programme is on children, youth, and families affected by difficult circumstances. CYFD has eight priority research areas, each intersected by a number of cross-cutting concerns, as illustrated in Table 1.

**TABLE 1:** CYFD PRIORITY RESEARCH AREAS

CROSS-CUTTING CONCERNS	PRIORITY RESEARCH AREAS
POVERTY HIV/AIDS VIOLENCE AND ABUSE GENDER MEDIA AND DISSEMINATION	<ol style="list-style-type: none"> <li>1. <b>Early child development and the care environment</b>, including nutrition; psychosocial development; health and illness; pre-school education</li> <li>2. <b>Education policy and learning</b>, including socialisation and learning; language and literacy; schools and neighbourhoods; social identity</li> <li>3. <b>Disability studies</b>, including identity and representation; social exclusion; access to social security; HIV/AIDS</li> <li>4. <b>Child rights and protection</b>, including violence and abuse; child labour; children and youth in care; law and justice as it affects children, youth and families</li> <li>5. <b>Youth development, risk and resilience</b>, including civic engagement; work; livelihoods and life skills; subcultures and networks; risk behaviours; prevention and intervention to reduce high-risk conditions and behaviours</li> <li>6. <b>Sexuality and reproductive health</b>, including HIV/AIDS; teenage pregnancy and parenthood; sexual violence; gender; relationships</li> <li>7. <b>Families and household structures and functions</b>, including family formation and security; dissolution and coping; roles and responsibilities; culture and values; the impact of HIV/AIDS</li> <li>8. <b>Child and adolescent mental health</b>, including determinants; prevalence; the evaluation of policy and programme options</li> </ol>



CYFD employs 16 full-time senior researchers in the three HSRC offices in Durban, Pretoria, and Cape Town, as well as five interns and about 40 contract staff on projects. Most senior CYFD staff have minor time appointments at universities and four university professors have 10–20% time appointments with CYFD.

### A selection of recently completed projects

The development of standards of children's psychosocial development in early childhood as part of a UNICEF initiative "Going global with indicators of child well-being" is a seven-country initiative involving South Africa, Ghana, Brazil, Paraguay, Jordan, Turkey, and the Philippines. It aims to monitor children's development and assist countries to report on children's progress. CYFD conducted a desk review of recent developments; a targeted situation analysis of the South African environment to assess government commitment and currently available measures; and fieldwork to ascertain understandings of and priorities for children's development and well-being among stakeholders, including programme and service personnel, caregivers, parents and children.

An overview of rural education, *Emerging voices: A report on education in South African rural communities*, commissioned by the Nelson Mandela Foundation and conducted in collaboration with the Education Policy Consortium, was widely publicised in a 16-page Special Feature of the *Mail & Guardian* (11–17 February 2005). A survey and in-depth participatory research in KwaZulu-Natal, the Eastern Cape, and Limpopo provinces were combined, resulting in a richly illustrated publication that focuses on education, democracy, and development. Particular barriers to participation that girls face in

schooling were highlighted, including gender-differentiated domestic labour and responsibilities, sexuality, teenage pregnancy, HIV and AIDS, bullying, sexual abuse and violence, and gender differences in the formal and hidden curricula. Nelson Mandela wrote in his foreword to the book: "This study ... acknowledges the voices of members of rural communities across South Africa, and ensures that policies undertaken to improve the quality of rural education are informed by the powerful insights of the people in those communities."

Early in 2004, the HSRC and the British Council brought together key government activists, researchers, and teacher unionists to reflect on what has been achieved and what challenges remain to achieving gender equity in education. In response to the conference, the Minister of Education, Ms Naledi Pandor, established a committee to make recommendations on how gender equity could be strengthened in key areas.

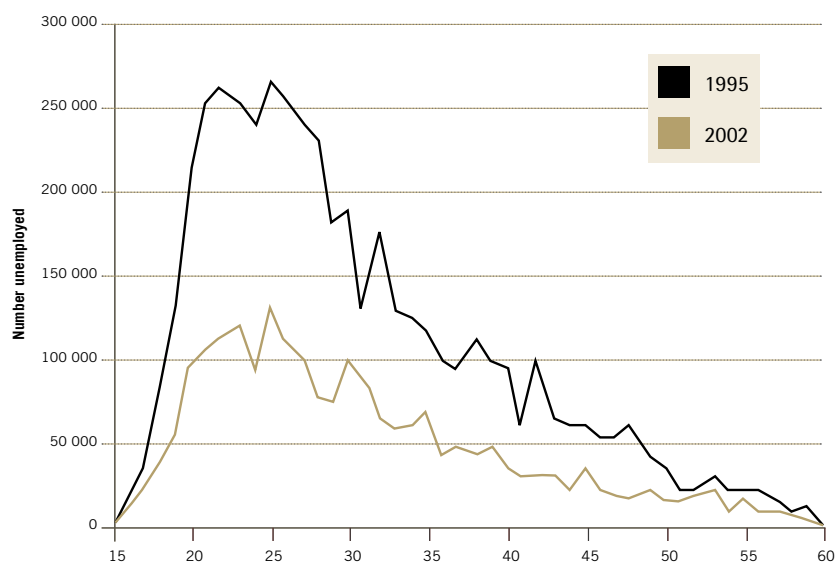
Work in the area of children affected by HIV/AIDS included research to improve communication about feeding in Prevention of mother-to-child transmission (PMTCT) programmes as well as a costing of PMTCT programmes. It also covered a comprehensive review on family and community programmes to assist children affected by AIDS, subsequent to which the World Health Organisation (WHO) in Geneva commissioned CYFD to conduct a global review of psychosocial support programmes for children affected by AIDS. The effect of the epidemic on children was reviewed for a monograph compiled by the Institute for Security Studies. CYFD conducted the mid-term evaluation of the Regional Psychosocial Support Initiative for Children affected by HIV/AIDS (REPSSI) in three countries – Kenya, Botswana, and South Africa. CYFD embarked on two longitudinal intervention projects in



families and schools, beginning respectively in 2001 and 2002, in collaboration with American colleagues. The interim results from both studies and one of the projects have led to the establishment of a not-for-profit organisation (NPO) to continue to assist children and families after the completion of the research.

A *State of the youth* report has been compiled for the Umsobomvu Youth Fund. It consists of a comprehensive review of literature on young people during the past decade, secondary analysis of available data, and a survey of young people 18–35 years of age. The results demonstrate the significant gains achieved in access to education, especially for previously marginalised groups. However, unemployment presents a substantial barrier to young people's economic participation, with almost two-thirds of 18- to 35-year-olds being unemployed.

**Figure 1:** Number of unemployed people by age, 1995 and 2002



Source: Woolard and Altman (2004), calculated from Stats SA: October Household Survey 1995 and Labour Force Survey September 2002.

**TABLE 2:** PERCENTAGE OF YOUNG PEOPLE, 18–35 YEARS OF AGE, WHO HAVE EVER HAD A JOB

EVER HAD A JOB	DISTRIBUTION FOR ALL		RACE DISTRIBUTION (%)			
	N	%	African	Coloured	Indian	White
Yes	1 145	32.3	26.7	39.2	50.4	65.2
No	2 396	67.7	73.3	60.8	49.6	34.8
Total	3 541	100.0	100.0	100.0	100.0	100.0

Source: Umsobomvu Youth Fund national survey 2003.

This study ... acknowledges the voices of members of rural communities across South Africa, and ensures that policies undertaken to improve the quality of rural education are informed by the powerful insights of the people in those communities.

– Nelson Mandela



The HSRC and the National Prosecuting Authority (NPA) have signed a memorandum of understanding (MoU), in terms of which the HSRC will embark on various research projects as commissioned by the NPA. Advocate Bulelani Ngcuka, former National Director of the NPA, signs the MoU, with Professor Cheryl-Ann Potgieter, Head of the HSRC's Gender Unit, awaiting her turn.

### Impact of research

**Support for families:** The year 2004 was the 10th Anniversary of the United Nations International Year of the Family. From late 2003 and for most of 2004, a team from CYFD met on a regular basis with the responsible group of officials in the Department of Social Development (DSD) to provide research support for the background documents to the Family Policy. This involved desk reviews and secondary analysis of available data sets, including the Census and the national household and labour surveys. The policy was released at the International Conference on Families in Durban in March 2005. As a follow-up to this work, the Western Cape Government has commissioned CYFD to produce a similar set of data to support the development of family programmes in the province.

**TABLE 3: IF ONE PARENT HAS DIED, IS THE SURVIVING PARENT IN THE HOUSEHOLD?**

SURVIVING PARENT IN THE HOUSEHOLD	%
Mother not alive, percentage of surviving fathers present	30
Father not alive, percentage of surviving mothers present	71

Estimates based on the 2002 General Household Survey.

### Development of norms for child and adolescent mental health care and rehabilitation:

Prior to this study, there were no South African norms for Child and adolescent mental health services (CAMHS). On commission to the Department of Health (DoH), CYFD surveyed international approaches to the development of CAMHS norms. Fieldwork was conducted in all nine provinces on which a computerised model for the calculation of minimum and full-cover, full-time equivalent staff norms was developed and norms calculated for all facilities (from primary to specialist level) for each province. The staffing levels produced by the norms were also costed. Manuals to facilitate service planning and costing were developed for training managers in the provinces.

**Disability – eligibility and access to social security:** Subsequent to developing an assessment tool for use by community-based panels to determine eligibility for social security, CYFD has continued to support the DSD and the DoH through studies to assist with the implementation of the eligibility assessment process. This included harmonising the DSD's assessment tool with a tool developed by the DoH for assessing eligibility for free health care. CYFD has also assisted the National Treasury as part of a study to determine the causes of the high increase in uptake of Disability and Care Dependency Grants.

**Public representations of disability:** Given the stigma attached to disability, accurate mainstream portrayals of disabled people and disability issues can go a long way not only to reducing the stigma,



but also to informing disabled South Africans of their rights and services and to increasing their participation in social and economic life. On behalf of SABC Education, a study was undertaken into the **representation of disabled people on the national broadcaster**. The question of stigma is also addressed in the upcoming publication, *Zip Zip My Brain Harts: Photography, disability and hidden lives*, which features the work of award-winning Durban photographer, Angela Buckland, and focuses on experiences of parenting disabled children.

### Ongoing research projects

**Women and transport:** Access to health care, jobs, and opportunities for social and economic participation plays an important but under-appreciated role in perpetuating women's disadvantaged position in society.

In focusing on gender and transport, CYFD aims to explore the gender-based dimensions of rural women's travel activities. To date, an in-depth audit of women's travel activities, patterns, and needs in a rural area in the Eastern Cape has been completed; a gender and transport network has been established; and a Gender and Transport conference is planned for May 2006. Partners for the conference are the South African National Roads Agency and the CSIR.

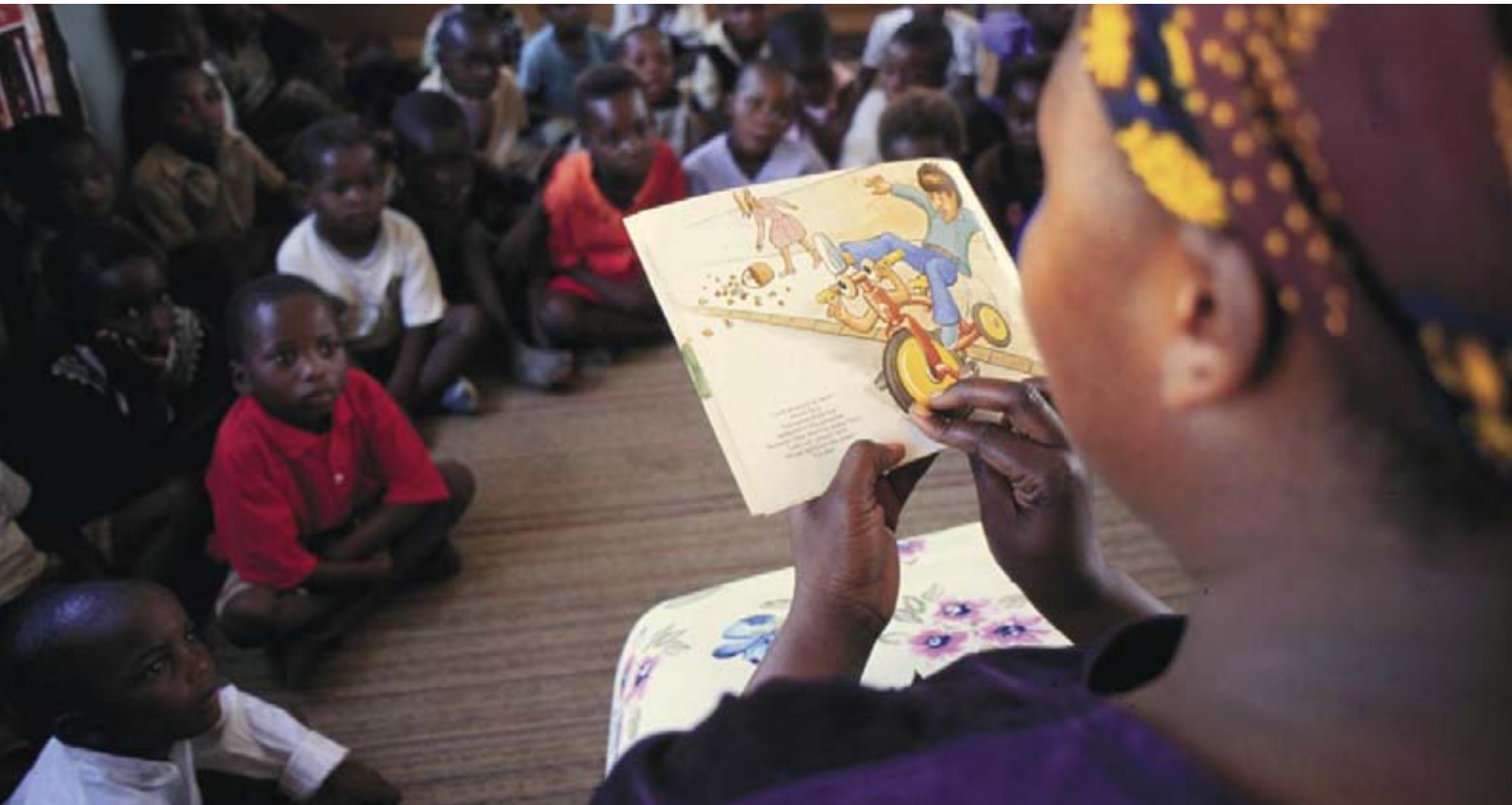
**Birth to Twenty (Bt20) – 2nd generation parenthood and young fathers:** Bt20 has followed up more than 2 000 children and their families in Soweto-Johannesburg, from before birth to close to the young people's 15th birthdays. In the original parent cohort, five women gave birth to their first child before their 15th birthday and, of the child cohorts, several young girls have given birth, or are about to give birth, to the cohort grandchildren. Bt20 is enrolling the fathers of teen pregnancies into a new sub-study that has highlighted the need for assistance programmes for young fathers, a project that is being supported by UNICEF South Africa.

**Care environments for children affected by AIDS:** Supported by the Norway–South Africa Programme on Research Co-operation, CYFD, in collaboration with colleagues at the University of Oslo, is conducting research on the care environments of very vulnerable children affected by AIDS. The focus is on three groups of children – orphans taken into family foster care (this project is also being supported from Parliamentary grant funds as an extension of the CHAMP (Collaborative HIV/AIDS and Adolescent Mental Health Project) study funded by the National Institutes of Health); young children in residential institutions and orphanages; and sick children in hospital environments.

**Educator workloads:** A study commissioned by the Education Labour Relations Council (ELRC) focuses on the time educators spend on activities such as teaching, preparation, guidance and counselling, professional development, and pastoral work. This study will strengthen the findings of the ELRC-commissioned HSRC study on educators and HIV/AIDS.

**Development of child and adolescent rights and well-being indicators:** This ongoing project is supported by Parliamentary grant funding and Save the Children, Sweden. In consultation with the governmental and non-governmental sectors, a conceptual model has been developed for a child rights and well-being monitoring system at local, provincial, and national levels. Thus far, a range of expert papers on indicators and measures for a range of domains has been completed on child abuse and neglect; child injury and exposure to violence; education; special education;

The image of transport need and provision in South Africa is not the over-crowded mini-bus taxi, but a woman with a load on her head and a child on her back.



disability; health and HIV/AIDS; mental health and substance abuse; early childhood development; and children in trouble with the law. Field testing of the system will commence in 2005 in the Western Cape Province, at the request and with the support of the provincial government.

### Future developments

**Children affected by AIDS:** CYFD is spearheading an initiative to take steps to support children and caregivers to scale in collaboration with a number of government departments, international donors, and local experts. We aim to test the feasibility, effectiveness, and cost of a large-scale demonstration project to compare the educational, social, health, and psychological benefits of keeping children in school through one of two mechanisms – conditional grants to families; or financial, teaching, and service support to schools.

**Youth:** CYFD will guest edit a special issue on “Youth in Africa” for *Africa Insight* that aims to chronicle the successes achieved, obstacles encountered, and challenges still facing young people across the African continent. CYFD is also expanding its research portfolio on youth risk behaviour, including teen pregnancies, young people exposed to violence, substance use in early adolescence, and youth in conflict with the law.

**Disability:** Parliamentary grant funds have been allocated to a collaborative project with Stats SA to develop and test a set of questions on disability for inclusion in the Census in 2011. The project is linked to an international effort run by the United Nations Statistics Division to develop cross-country comparable methods for measuring disability.



The book, *Changing Class*, was launched by HSRC Press in Cape Town in 2004. The editor, Professor Linda Chisholm (middle), is seen here with Ms Gertrude Fester (left), of the Gender Commission, and Adele Gordon, an independent consultant.

Executive Director  
Professor Linda Richter

Tel: +27 31 242 5512 / Fax: +27 31 242 5401

Email: [lrichter@hsrc.ac.za](mailto:lrichter@hsrc.ac.za)



## DEMOCRACY AND GOVERNANCE

The Democracy and Governance (D&G) Research Programme set as its annual objectives for 2004/05 the achievement of financial sustainability, the enhancement of its national profile, the continuation and establishment of high-quality research projects, and the continued publication of a significant number of peer-reviewed publications.

Other objectives were increased networking with government and other public users so as to maximise our research impact, the establishment of a greater number of research partnerships with academic institutions and research NGOs so as to assist in the rejuvenation of the knowledge production sector, and the enhancement of our demographic representivity.

To achieve these goals, a new strategic plan was adopted which included managerial restructuring, prioritisation of research interests, and a reorganisation of D&G's suite of research projects and how they operate. As at the end of the first financial year after these reforms were initiated, a number of significant successes can be recorded, a summary of which is detailed below.

Provisional financial information at our disposal indicates that D&G broke even financially for the 2004/05 financial year. This is worth noting, since the Research Programme has continually been in an annual financial deficit since its inception in 2002. Figure 1 (opposite) demonstrates that the financial turnaround has been achieved because of a dramatic increase in external earned income.

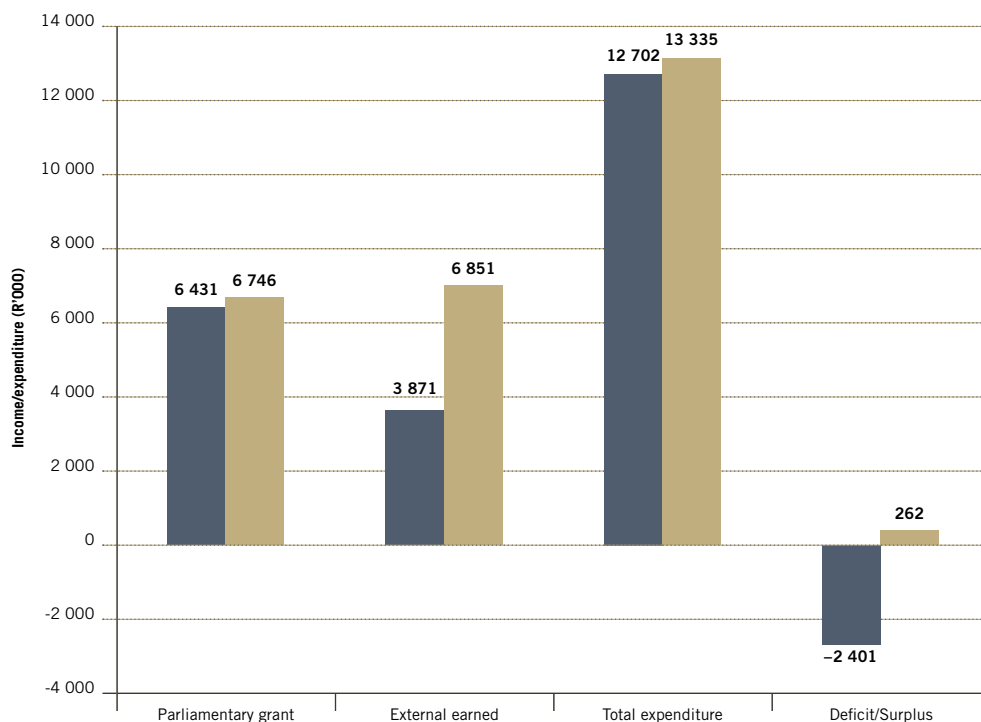
Moreover, it can be assumed that the financial turnaround is sustainable because it is founded on multi-year research projects. All of the newly established research projects are organised over a three-year period, with Parliamentary funds contributing between 20% and 30% of their total costs. External income on these projects is thus intended to ensure the financial sustainability of the Research Programme over a multi-year period.

D&G employs 15 full-time senior researchers, of whom one is a Distinguished Research Fellow and two hold appointments at universities. Some, although not

The financial turnaround has been achieved because of a dramatic increase in external earned income.

**Figure 1:** Financial performance of D&G in 2004/05 compared to previous financial year

■ Year 03/04  
■ Year 04/05



enough, progress has been made on representivity in the 2004/05 financial year, increasing our percentage of black researchers from 40% to 50%. While there has been demonstrable progress in this respect, D&G has not realised the HSRC's 2004/05 equity target of 60% black researchers, but is in the process of correcting this deficit in the current round of new appointments.

### Recently completed projects and publications

A number of the projects reported in last year's annual report were concluded in this 2004/05 financial year.

The project on the **Burundi peace process** culminated in the publication of *An African peace process: Mandela, South Africa and Burundi*.

A second volume of the *State of the Nation 2004–2005* was produced to much acclaim.

The project on **education in the ANC camps** culminated in the publication of *Education in exile: SOMAFCO, the ANC school in Tanzania 1978–1992*, by Seán Morrow *et al*.

The South African component of the **METAGORA comparative project on land reform** was brought to a conclusion in this financial year, as was the **Schedule Four and Five project on the restructuring of local government** for the Department of Provincial and Local Government.

A number of other projects were undertaken and completed in the course of the year. The largest of these was a project assessing the successes and failures of **Overcoming discrimination in South Africa**, undertaken on behalf of the Office of the Presidency as a component of its Ten Year Review initiative. This research undertook a macro-assessment of government initiatives to address discrimination since 1994 and included an investigation of, among other things, the public



The launch of the book, *Education in exile: SOMAFCO, the ANC school in Tanzania 1978–1992*, published by the HSRC Press, was attended by hundreds of former students of the college, and other dignitaries. The book examines the establishment, difficulties, curriculum, and teaching methods of the Solomon Mahlangu Freedom College (SOMAFCO). From left are: Mr Merndi Msimang, the Treasurer-General of the ANC, Mrs Martha Mahlangu, mother of freedom fighter Solomon Mahlangu, Mr Kader Asmal, the former Minister of Education, and the keynote speaker, Fr Smangalis Makatshwa, Mayor of the City of Tshwane.





sector, Chapter 9 institutions, the economy, and social inclusion and exclusion among the citizenry.

In addition, a number of other smaller research initiatives were undertaken and completed for public institutions as diverse as the Free State Provincial Government, the Gauteng Legislature, and the Centre for Public Service Innovation.

During the past financial year, D&G produced 30 books and chapters in books, 18 articles in journals, ten reports and nine book reviews. This indicates a per capita publication rate of five, which is much higher than the HSRC's target, and highly competitive in relation to the most highly rated university-based Political Science departments in the country.

### Impact of research

Greater stress was placed on the public utility of all D&G's research undertakings for the 2004/05 financial year. This involved a greater number of projects undertaken on behalf of, or in partnership with, national and provincial departments, and it entailed a proactive stance on the establishment of partnerships on projects not commissioned by government departments.

All anchor projects, which are conceived by D&G and funded through our Parliamentary grant and support from private foundations, have established partnerships with government departments such as the Office of the Presidency, statutory institutions such as the Human Rights Commission, and civil society organisations. In addition, public engagements, including lectureship programmes, have been jointly hosted with national departments such as the Department of Foreign Affairs. These initiatives will be further strengthened with the launch of a new public lecture series on Human Rights in partnership with the Foundation for Human Rights, the Centre for Policy Studies and the Centre for Conflict Resolution.

The net outcome of this proactive stance on partnerships with public institutions is that our work has been undertaken on behalf of, or in engagement with, many institutions. These include the Office of the Presidency, Foreign Affairs, National Intelligence, the Department of Provincial and Local Government, the Centre for Public Service Innovation, the Department of Public Service and Administration, and the Free State, North West and Mpumalanga provincial governments.

D&G supplemented this by engagements with a number of civic associations, among them the Nelson Mandela Foundation, the Human Rights Commission, the Gender Commission, the Commission on the Rights of Linguistic, Cultural and Ethnic Communities, the Ford Foundation, and the Mott Foundation. It also included partnerships with Atlantic Philanthropies, the Foundation for Human Rights, the Centre for Conflict Resolution, the Africa Institute of South Africa, the Centre for Policy Studies, and the Institute for Democracy in South Africa.

Extensive networking has also been undertaken with academia and research NGOs. Research partnerships involved institutions such as the Sociology of Work Programme at the University of the Witwatersrand, the Centre for Civil Society and School of Development Studies at the University of KwaZulu-Natal, and academics in almost all universities in the country. This is important to note, especially since it is increasingly being recognised that academia is in crisis, with national research productivity having declined annually over the last decade. D&G's partnerships with universities are thus intended to assist in the rejuvenation of academia by

D&G's partnerships with universities are thus intended to assist in the rejuvenation of academia by establishing partnerships with academic institutions and involving their scholars in research.



establishing partnerships with academic institutions and involving their scholars in, and providing them resources for, research.

### Ongoing research projects

Perhaps the largest amount of D&G's collective energy was deployed to lay the groundwork for three anchor research projects. The first of these involves an extensive and detailed investigation into **redress mechanisms established in South Africa** with a view to understanding their intended and unintended effects, and their impact on the establishment of national identity. This investigation is focused on the public sector, economy, education, and sport.

The second project involves a longitudinal investigation into the **impact of the Communal Land Rights Act and the Traditional Leadership Act on the rights of rural women**.

The third project, conceived in partnership with IRRD and EEPR, investigates the **impact of South Africa's engagement with the continent**, incorporating the **corporate mapping project** that tracks South African companies' investment into the continent. The new project, however, has been broadened extensively to track investment and to assess its developmental impact. The project also investigates the outcome of the South African Government's initiatives to build institutions and to negotiate and sustain peaceful outcomes to conflicts across the continent.

Activities on all three projects involved writing proposals, establishing partnerships, and fund-raising. Resources have already been raised for the first two projects, which formally began towards the end of the financial year. The third, which involves a partnership with the Africa Institute, CODESRIA, and the African Economic Consortium, is a long

way down the path of finalising a proposal, and will in all likelihood formally begin in the 2005/06 financial year.

### Future developments

In sum, a notable start to the restructuring of D&G has been made. The programme achieved its financial targets for the year, and the multi-year character of its new suite of projects suggests that the Research Programme is on a more financially sustainable path. In order to consolidate these initiatives, an additional two multi-year anchor research projects in national priority areas are in the process of being launched. These will focus on the integration of immigrant communities and the skills capacities of a development state. Already both projects are being conceived as partnerships with public users such as the Human Rights Commission and government departments.

In order to sustain this range of research projects, a number of new appointments will be made in the coming months. It is hoped to appoint researchers on merit and with the capability of enabling us to undertake our suite of research projects, but also to address what is a deficient equity profile of D&G.

Executive Director  
Professor Adam Habib

Tel: +27 12 302 2802 / Fax: +27 12 302 2803

Email: [ahabib@hsrc.ac.za](mailto:ahabib@hsrc.ac.za)



## EMPLOYMENT AND ECONOMIC POLICY RESEARCH

Expanding access to economic opportunity and participation is a continuing challenge in South Africa and the region. The problem of unemployment, under-employment and slow employment growth is a critical policy priority, requiring research and strategic support. The Employment and Economic Policy Research (EEPR) Programme, in collaboration with other HSRC Research Programmes and its wider network, seeks to improve and disseminate an understanding of the nature and causes of persistent unemployment and under-employment. This work feeds directly into positive strategy and action by enabling public and private interventions. To ensure relevance and uptake, each new step involves critical stakeholder groupings and government departments.

EEPR's priority areas include:

- **labour market analysis** – skills development, regional labour market studies, the economic impact of HIV, and the design of active labour market policies;
- **sector strategies**, with an emphasis on employment creation; and
- **integrated employment studies**, including our “evidence-based employment scenarios” and in-depth analysis of employment statistics.

EEPR has a multi-disciplinary staff complement of 11 researchers and four support staff. The Research Programme also works with a wide research network in universities and private companies, and has devoted particular attention to expanding its links with emerging researchers and companies. In 2004, for instance, Professor Rob Davies, formerly from the Department of Economics, University of Zimbabwe, became a close working associate.

### Current and recently completed projects

Labour market information is critical to the ability to track employment, unemployment, under-employment, and skills gaps. Skills mismatches and poor information are among the major contributors to slow growth and unemployment in South Africa. EEPR's work focuses on asking whether the labour market is functional to South

 Skills mismatches and poor information are among the major contributors to slow growth and unemployment in South Africa. EEPR's work focuses on asking whether the labour market is functional to South Africa's development objectives. 



Africa's development objectives. Our projects in 2004/05 included:

- Our work on human resource studies was further developed. For example, we completed our update and deepening of methodologies for the forecasting of skills demand and supply and skills gaps, commissioned by the national Department of Labour, that builds on the HSRC's previous projections of high-level skills gaps.
- A forecast of middle-level skills in Ethiopia, to support planning for the expansion of its vocational training system, was completed for the Deutsche Gesellschaft für Technische Zusammenarbeit GmbH (GTZ) on behalf of a committee that comprised key Ethiopian ministries, the Statistical Agency, the Chamber of Commerce, and the Confederation of Trade Unions (CETO).
- Sector studies on skills demand and supply included a study on small-scale mining in cement and limestone for the Mining Qualifications Authority; studies on forestry and related industries for the Forestry SETA; a review of intermediate ICT skills; a review of the Services SETA Learnership Academy model aimed at reaching smaller firms; and a review of skills gaps in the public sector for the Department of Public Service and Administration (DPSA) in co-operation with the HRD and D&G Research Programmes. EEPR worked with HRD to produce a report on the "State of Skills" for the Department of Labour. EEPR also co-operated with HRD in the development of a human resource strategy for KwaZulu-Natal. EEPR supported the Tshwane Metropole to review poverty indicators and frame a human development strategy. This complemented our work on survival strategies of homeless people in Tshwane, particularly focusing on related city strategies. Our broader work on *labour market institutions and dynamics*

expanded in 2004/05, and will carry over into 2005/06:

- EEPR reviewed the state of knowledge on the labour market in South Africa, in a global context. Our aim was to support a forward-looking, dynamic labour market research agenda. This project is funded by the Swedish International Development Cooperation Agency (Sida) and EEPR is working with global experts as well as the Universities of KwaZulu-Natal (UKZN) and Cape Town (UCT).
- EEPR is leading an investigation into wages and working conditions in the hospitality sector for the national Department of Labour. This complements our work in the services industries and should offer unique insights into a poorly understood sector.
- EEPR held an international roundtable on school-to-work transitions and labour market intermediation involving participants from Thailand, Brazil, India, Botswana, the International Labour Organisation (ILO), the Departments of Education and Labour, the South African Management Development Institute (SAMDI) as well as major South African private stakeholders. We have also contributed to the ILO's career guidance handbook.
- EEPR continued its work on impact analysis of HIV/AIDS on industries and the workforce. There is a concern that HIV could act as a disincentive to employment. Moreover, industrial restructuring has led to an increasing prevalence of small firms that are less able to offer support for education and treatment to vulnerable workers. To mitigate the impact of HIV/AIDS in the workplace, EEPR aims to improve the availability of information and understanding of the effectiveness of different public and private interventions.



To this end, a number of studies were done in 2004/05, including:

- case studies of six small and medium-sized firms which reviewed the impact of HIV/AIDS and their approach to managing it in the workplace;
- an evaluation of the Chemical Industry Education and Training Authority's HIV/AIDS interventions in the chemical industry was completed; and
- EEPR worked with SAHA on its review of determinants of demand and supply of educators, with a focus on morale, behaviour, and workplace stress.

EEPR's work on industrial analysis focuses on the promotion of economic diversification and on the promotion of employment through meeting basic needs. The emphasis is on contributing to an understanding of where and how jobs could be created.

EEPR has a particular interest in **services industries**, not only because they facilitate economic growth, but also because they are key employment generators. EEPR supported the Directors-General's Economic, Investment and Employment Cluster and Social Cluster to identify central gaps in the government's approach to "leveraging growth, employment and equity" in the services sector. EEPR focused on the **promotion of trade in services, employment creation through government programmes, and improving access to essential services.**

EEPR believes substantial employment would be created as a result of meeting basic needs through social welfare services (or "care" services). The government has done well to expand its spending and intensify labour use in infrastructure. However, much could be done in the area of "care" services such as Early child development (ECD) or community-based home care. For the Directors-General's Social Cluster, EEPR reviewed the budget implications and employment potential of meeting basic needs in key scalable services. EEPR is also involved in a series of local ECD case studies. In a complementary project, EEPR are evaluating SAMDI's Community Development Workers pilot project in Gauteng.

Industrial growth and employment will partly depend on South Africa's ability to promote continuous innovation. **Resource Based Technology Clusters (RBTC)** is a joint project of the HSRC and Mintek, in support of the Department of Science and Technology's (DST) National Research and Development Strategy. The project posits that the resource base offers avenues for innovation and diversification because each situation is unique and requires problem solving. If this can be nurtured, technology and know-how can be built in a range of products that feed the resource cluster – inputs, services, or downstream products. This is important in developing countries, which find it difficult to attract or build a sizeable R&D base.

In 2004/05 the HSRC completed a **set of case studies to explore the RBTC thesis for mining inputs and energy-related industries.** The DST has commissioned a second set of local and global case studies to develop the "*lateral migration*" thesis further. This focuses on how technologies from resource-based industries migrate into other higher growth applications and industries.

Growing demand for South African value-added goods and services has depended substantially on the rest of Africa. While the past period has shown rapid growth, is this demand sustainable? South Africa's economic fate is fundamentally intertwined with that of the region. Does the behaviour of South Africa's corporates reflect this truth? Is this behaviour developmental? EEPR is in the process of developing a **project to investigate the economic impact of South African trade and investment in**

EEPR will continue to pursue its agenda in deepening an understanding of employment and unemployment, with an eye to critical policy options.

Africa, in co-operation with Integrated Rural and Regional Development (IRRD), D&G, and the Africa Institute of South Africa (AISA). Most importantly, the project will be implemented through African partnerships to include local nuances and impacts: it aims to influence public and private behaviour positively for regional development and growth.

**Integrated Employment Analysis** brings together statistical work and market studies to understand wider employment dynamics. Most of these projects are ongoing, as the HSRC seeks to build long-term institutional strength in these areas. This work contributes to an overarching understanding of South Africa's development path and its alignment to employment and poverty-reduction objectives.

EEPR is developing the capability to produce **evidence-based employment scenarios**. These scenarios are aimed at, first, assessing what employment and unemployment trends could reasonably be expected in the next ten years using the best possible evidence and, secondly, testing the possible impact of interventions. The process draws together our work in other areas and uses cross-economy modelling to draw together the linkages. The primary question now focuses on the government's stated goal of halving unemployment by 2014.

To address unemployment and promote employment, it is necessary to enumerate it properly. EEPR has been engaged in **reviewing the employment statistics** since 2002. This collaborative effort brings together users and experts such as Stats SA, COSATU, the Reserve Bank, the National Treasury, the Office of the Presidency, the Department of Labour, and the Department of Trade and Industry. They form a reference group guiding the first major output and focus on a realistic assessment of employment trends since 1996, to be issued in 2005.

### Impact of recently completed projects

EEPR was deeply involved in promoting stronger policies regarding services, in both commercial and social sectors. This supports strategy and policy formulation for trade in services, employment through social welfare services, and considering the balance between the public and the private sectors in social delivery. This project has supported both the Cabinet's *Iekgotla* and Directors-General's Cluster processes.

We have been active in promoting dialogue on the employment statistics, which will culminate in a significant review of them.

### Future developments

EEPR will continue to pursue its agenda in deepening an understanding of employment and unemployment, with an eye to critical policy options. Some important directions include:

**Labour market dynamics:** there will be a greater emphasis on institutional design and labour market transitions. EEPR believes that the South African labour market is still in a developing phase and so will review the institutional underpinnings required for a well-functioning labour market. On the skills front, we plan to perform a second skills

forecast, deepen our understanding of skills gaps of middle-level workers, and strengthen insights into institutional delivery models.

**HIV/AIDS in industry:** EEPR will continue to focus on vulnerable workers and firms and evaluating industry-level interventions. In 2005/06, we will seek partnerships with implementation agents.

**Sector strategies:** promoting trade and competitiveness in services industries will be a continuing emphasis, as we believe this is where most jobs will be created. Increasing attention will be given to the potential role of services industries in promoting growth in related industries such as manufacturing. Our project on the services sector revealed barriers to employment intensification and EEPR will be following up on these themes in 2005/06.

In particular, EEPR has established projects to explore the employment impact of exchange rates and reforms in the transport and telecommunications sectors and to review both impacts and policy options. EEPR will also investigate support for non-traded, domestic-oriented services industries, focusing on business and personal services, and artisans. Finally, EEPR continues its work with DST to promote the lateral migration of technology from the resource base.

**South Africa's role in Africa:** This project will be formally launched. It will focus on South Africa's developmental integration into the region as an essential ingredient of sustainable growth.

**Employment and basic needs:** EEPR's projects to review options for employment creation and intensified social delivery via social welfare services will continue, emphasising early childhood development, community and home-based care, and community development workers.

Employment scenarios will be launched with the first baseline projections produced, and first set of policy options reviewed. High-level macro-economic trade-offs may require deeper social dialogue, and possibly social accords; EEPR will therefore launch an investigation and dialogue to review models of social accords, stakeholder views and possible scenarios in South Africa.

EEPR will also launch roundtables on topical issues, alongside a working paper series. This will run parallel to EEPR's main themes: labour market transitions, HIV/AIDS in industry, exchange rates and employment, promoting services industries, and social dialogue. We will collaborate with the University of the Witwatersrand to host the WORK Conference in September 2005.

### Executive Director

Dr Miriam Altman

Tel: +27 12 302 2173 / Fax: +27 12 302 2994

Email: maltman@hsrc.ac.za



## HUMAN RESOURCES DEVELOPMENT

The key focus of the Research Programme on Human Resources Development (HRD) is the study of pathways of learners from school to institutions of further and higher learning and to the world of work. There are three critical stages in the unfolding of these pathways:

- the transition to school;
- the transition from school and first-time entry into the labour market; and
- traversing the labour market throughout working life.

The four institutional subsystems – Early childhood development (ECD), the youth labour market, the world of work, and the National System of Science and Innovation – provide a powerful conceptual lens through which the vast and bewildering array of HRD can be grasped and interpreted.

Expressed diagrammatically, the key focus of the Research Programme is to study the processes of education and training that occur in social institutions two, three, and four (illustrated below), with the CYFD Research Programme doing the bulk of research work on ECD.

Figure 1: Four social subsystems in the life cycle of human development





Institutions are at the centre of our research work, because they play a critical role in the formation of human resources and should comprise the centre of any theory on HRD. They also require large-scale investments in social infrastructure way beyond the means of any single employer, government department, or market mechanism, and also the participation of the State and its multiple agencies, employers, and other social agencies involved in HRD (schools, colleges, universities, science councils, and R&D laboratories).

HRD is never the outcome of discrete, mono-dimensional policy actions of single government departments acting alone, but always the outcome of co-ordinated efforts on the part of several cognate departments acting simultaneously in a “joined-up” State policy – a critical prerequisite for the attainment of effective HRD. The departments involved are Education, Labour, Science and Technology, Trade and Industry, and Finance.

The staff component of the Research Programme in 2004/05 comprised 16 researchers, four administrative staff, and two interns.

### Recently completed and ongoing projects

Staff within the Research Programme have had a very active year, with 52 workshop and conference presentations internally, nationally, or internationally. Research output has been equally impressive, with 22 peer-reviewed journal articles, book chapters or contributions to conference proceedings having been published. The Research Programme has also published six HSRC monographs and completed 12 client reports.

The actual output figures are detailed in Table 1.

TABLE 1: HRD'S RESEARCH OUTPUTS 2004/05

ITEM	NUMBER	SUB-TOTALS
Peer-reviewed journal articles	15	
Chapters in peer-reviewed books	5	
Peer-reviewed conference proceedings	2	
<b>Sub-total</b>		<b>22</b>
Journal articles not peer-reviewed	2	
HSRC monographs	6	
HSRC occasional and other working papers	4	
Client reports	12	
<b>Sub-total</b>		<b>46</b>
Book reviews in journals	4	
Chapters in monographs	12	
Chapters in client reports	14	
HSRC review pieces	3	
<b>Total research outputs</b>		<b>79</b>

As stated above, the research work of the Research Programme falls into the following institutional subsystems: the youth labour market, the world of work, and the National System of Science and Innovation.





### The Youth Labour Market

The bulk of our education institutions fall within the youth labour market. These include schools, colleges, and universities. Here we highlight six of our most important projects in this area.

The purpose of the **Learner throughput** project is to investigate the age profile of Grade 1 to 12 learners and the recent changes in the enrolment of Grade 12 learners in the Senior Certificate Examination in KwaZulu-Natal (KZN) schools, as well as expected learner enrolment in the next five years. Data was collected on the number of learners who are repeating, dropping out, or dropping in, and how long it takes learners to complete their schooling.

The **Further Education and Training (FET) curriculum** project examines the shape and character of the envisaged curriculum which seeks to link FET secondary schools to FET colleges and work-based learning to provide three learning pathways in further education and training: general academic, general vocational, and occupational. The initial stages of the project centred on a research fellowship of four months' duration that allowed Professor Michael Young of the Institute of Education, University of London, to work in South Africa in collaboration with South African and HSRC experts. A series of specialist papers was commissioned and an internal workshop was held where the authors presented their work. The first phase concluded with a colloquium in Pretoria to share some findings and to engage with public opinion. The key academic output of the project, an edited collection entitled *Knowledge, curriculum and qualification frameworks*, will be completed shortly.

A study on **Building responsive FET colleges** interrogates the structures and key functions of the newly established specialised units, called Linkages and Programme Units (LPUs), within four FET colleges in the Western Cape and KZN. The project aims to understand the extent to which these units have tried to make college education and training more relevant to the workplace; to improve the employability of college graduates; and colleges' ability to interact with local communities, other educational institutions, and local industries and business.

**Graduate retention and destination** studies investigate the factors that influence the pathways of students as they progress through the higher education (HE) system into the labour market, looking at those factors that influence students' "choices" of fields of study, and unpacking notions of student dropout, retention, graduation rates, and throughput.

*The business of higher education: A study of public-private partnerships in the provision of higher education in South Africa* analyses empirical data on **partnerships between public higher education institutions and private providers of higher education** between 2002 and 2003. The existence of these partnerships is largely due to demand from students who are unable to study full-time, but who require face-to-face contact teaching. Private providers fulfil this specific need and serve as mediators between public institutions and their students.

A project on the City of Johannesburg College entailed a feasibility study, commissioned by the City of Johannesburg, regarding the **viability of a Foundation College**, the aim of which would be to increase the number of matriculants with improved Mathematics and Science grades. The client report, completed in April 2005, has cautioned the City of the risks entailed in starting a brand-new "Foundation College" and has advised that it should rather join hands with

HRD is never the outcome of discrete, mono-dimensional policy actions of single government departments acting alone, but always the outcome of co-ordinated efforts on the part of several cognate departments acting simultaneously.



academic support initiatives already in place at the two universities in Johannesburg.

### The World of Work

Several projects were undertaken in 2004/05 in this broad theme, of which we highlight some in this section.

To assess the impact of the National Skills Development Strategy (NSDS) and its underlying legislation on training in South African workplaces, the Department of Labour commissioned a national survey of the current state of skills development in private enterprises in South Africa – the **National Skills Survey 2003**. This survey provides a perspective on how enterprise training in South Africa addresses the skills needs created by the poor general education of many people in the workforce, a consequence of apartheid.

Through funding for the National Skills Survey 2003 and separate support from the National Skills Fund, the Research Programme led two studies which explored the **state of skills development for very small and micro-enterprises (VSMEs)** – those with 2–10 employees. The studies provide new evidence about the complexity of the VSME sector and the mixed performance of State attempts to engage with it in the area of skills development.

Three background papers and a synthesis report informed the first phase of the development of a **Micro-economic strategy for the Western Cape** for the provincial Department of Economic Development and Tourism. The background papers were on the schooling foundation, intermediate skills provision, and the contribution of higher education to a regional system of innovation. The synthesis report argued for joined-up strategic interventions at multiple skills levels.

An **HRD strategy for KZN** was a collaborative venture between two HSRC Research Programmes, HRD and EEPR, the Sizanang Centre for Research and Development (under the leadership of economist Dr Pundy Pillay), five companies headed by previously disadvantaged individuals, and the HRD section in the Premier's Office in KwaZulu-Natal.

Recognising the importance of skills development in the public sector, and the limited publicly available analyses of this sector, the Department of Labour commissioned this Research Programme to investigate the **main features of government training through the analysis of available data**, such as workplace skills plans and case studies of the skills development activities in five national departments. This work culminated in the report *Government skills development in South Africa: Achievements and challenges*.

An urgent request for assistance from the offices of the Directors-General (DGs) of the Department of Public Service and Administration (DPSA) and the South African Management Development Institute (SAMDI) in late 2004 resulted in the government producing a **focused desktop assessment of skills in the public service**. This included skills in short supply, and ways in which skills shortages could limit or facilitate the achievement of a “developmental state”, as conceived by the government. An HSRC task team, headed by Dr Andrew Paterson, completed a report entitled *A current skills profile and the future skills needs of the public sector* for use by the DGs and their Ministers in the formulation of public-sector skills development policy and planning.

### The National System of Innovation

The National Advisory Council on Innovation (NACI) commissioned a study aimed at providing an overview of existing databases on human



resources in the National System of Science and Innovation and identifying key policies and variables influencing the provision of such human resources. The study is part of a larger endeavour by NACI to understand the dynamics of appropriate human resources for a productive NSI in South Africa.

### Impact of research

It is difficult to find definitive and independent measures of our impact and success, particularly with regard to our primary user, the government. The following points raise some of our finer accomplishments in this regard:

- The *HRD Review 2003* has generated an extremely positive reaction from users, ranging from requests for additional copies from the Policy Co-ordination and Advisory Services Office of the Presidency to requests for specific data from the National Treasury and from the Higher Education Task Team set up by the President in March 2005 to advise him on critical issues in the sector.
- Our continued emphasis on the importance of *intermediate skills* (qualifications targeted at occupations such as artisans, technicians and accounting clerks) has made a major impact on government policy speak. Whereas in the past this message was absent, being overshadowed by the larger emphasis on high-skill shortages, its importance is now recognised in many Department of Education and Department of Labour memoranda, speeches and documents.
- Results from the *National Skills Survey 2003*, commissioned by the Department of Labour, have been used in a keynote speech by the Minister of Labour at the opening session of the National Skills Summit in March 2005. We were also commissioned to write an update of the department's *State of skills* publication, using data from the survey. The update will be released in the second semester of 2005.
- Our report on the skills needs of the public sector, which formed part of the National Skills Survey 2003 project, was so favourably received by the government that it approached us to assist it in a task team on public sector skills established by the Minister of Public Service and Administration, Ms Geraldine Fraser-Moleketi, in November 2004. This report formed part of a briefing to the President on public sector skills and contributed to the ongoing investigation into ways of improving public sector delivery.
- HRD has persisted in its work on private provision of education, even though it has not always received enthusiastic support from some quarters in the government or in the higher education community. We have always maintained that the research community must objectively evaluate the potential contribution of private providers to HRD. This question has now also been posed by the Policy Co-ordination and Advisory Services Office of the Presidency, which has asked for copies of all of our work on private provision.

### Future developments

The three-year R&D programme into Teacher education in South Africa, funded by the Royal Netherlands Embassy, will be conducted by a consortium of five organisations: the HSRC, the Centre for Education Policy Development (CEPD), the South African Institute for Distance Education (SAIDE), the Education Foundation Trust, and the Centre for Evaluation and Assessment at the University of Pretoria. Nine of

Our continued emphasis on the importance of intermediate skills has made a major impact on government policy speak.



the projects, to start in April 2005, will be managed by the HSRC, of which eight will be guided by this Research Programme and one by ATEE.

Studies to be undertaken by the Research Programme, to mention but a few, include the staff composition of, and student throughput in, faculties/schools of education; the employment status of qualified teachers; school-based drivers of teacher demand; Grade 12 learner aspiration to enter initial teacher education; the institutional culture and governance of faculties/schools of education; and perceptions of beginner teachers and their academic preparedness for teaching.

The overall aim of the R&D programme is to contribute to the know-

ledge and information base for policy formulation and implementation regarding the organisation and practice of teacher education, with particular emphasis on initial teacher education and the professional development of school leaders and managers.

**Executive Director**

**Dr Andre Kraak**

Tel: +27 21 466 8082 / Fax: +27 21 461 2696

Email: [ahkraak@hsrc.ac.za](mailto:ahkraak@hsrc.ac.za)



## INTEGRATED RURAL AND REGIONAL DEVELOPMENT

Since its inception in 2001, the Integrated Rural and Regional Development (IRR) Research Programme's activities have been organised into four broad sub-programmes under the over-arching theme of poverty reduction, each co-ordinated by a senior member of staff. Over time, the respective research foci and the corresponding skills composition have evolved to reflect the changes in users' needs driven by shifts in the national and international political, social, and economic landscape. Currently, the four sub-programmes are:

- land and agrarian reform (co-ordinator: Dr Cheryl Walker);
- rural infrastructure and service delivery (co-ordinator: Dr David Hemson);
- regional migration, investment, and trade (co-ordinator: Sanusha Naidu); and
- poverty and inequality (co-ordinator: Dr Michael Aliber).

In accordance with the HSRC's mission to conduct policy-relevant research, these sub-programmes are designed to respond to national priorities addressed by the government's Social, Economic, Investment and Employment, and International Relations, Peace and Security Clusters. They are intended specifically to push back the frontiers of poverty; to bring the benefits of growth to the "second economy"; to improve service delivery; to mitigate the effects of HIV/AIDS; and to mobilise Africa to achieve the Millennium Development Goals (MDGs).

Government clients in 2004/05 included the Departments of Agriculture, Environmental Affairs and Tourism, Health, Land Affairs, Provincial and Local Government, Science and Technology, Social Development, Trade and Industry, Water Affairs and Forestry, and the Public Service Commission, at national level, as well as a number at provincial and local level, and parastatal organisations.

Regionally, research has been done in Lesotho, Malawi, Mozambique, Swaziland, Zambia, and Zimbabwe for, among other things, the British Department for International Development (Dfid) and the International Food Policy Research Institute (IFPRI). Other international clients and funders included CARE, the UN Food and Agriculture Organisation (FAO), the International Labour Organisation (ILO), the Swiss Agency

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for Development and Cooperation, the World Bank, and World Vision.

Permanent research staff currently number 16 and contract research staff five (including four interns), all of them located in either Pretoria or Durban. The number of permanent support staff was increased from two to three during the year to provide the Research Programme with the specialist project management capacity to service the growing number of large-scale, multi-partner projects.

### Recently completed projects

More than 30 projects directed and registered in IRRD were completed during the year, some of which are highlighted here.

The design and testing of a **Food Insecurity and Vulnerability Information and Mapping Systems (FIVIMS)** for the Department of Agriculture, which was the most multi-disciplinary project undertaken by IRRD. Under Dr Scott Drimie's leadership, a team of GIS mappers, computer modellers, agricultural scientists, nutritionists, geographers, sociologists, economists, and others built and integrated the components of a prototype for Sekhukhuneland. The project involved the HSRC, the Council for Scientific and Industrial Research (CSIR), the Agricultural Research Council (ARC), the Universities of Cape Town, the Western Cape, and the Witwatersrand, and the private sector. It is hoped that this will form the basis of the development of a national system. The initiative drew the attention of the Minister of Finance in his Budget speech.

The **Science and Technology for Poverty Reduction (SATPOR)** project, which was commissioned by the Department of Science and Technology and designed by IRRD. It was managed in conjunction with the two other major institutional role-players, the CSIR and the

University of Fort Hare (UFH). The project leader was Dr Michael Aliber of IRRD. The objective was to document and evaluate small-scale initiatives displaying significant elements of innovation in agriculture, mining, energy, and health in South Africa so as to distil the lessons for improving policy in order to reduce poverty. The project involved more than 40 participants drawn from almost every historically disadvantaged university and carried a substantial budget of R6 million. The nature and scale of the exercise, the breadth of participation, and the inclusive management structure are seen as providing a model for greater programmatic collaboration between the HSRC and tertiary educational institutions.

The **Southern African Regional Poverty Network (SARPN)**, which became fully independent early in 2005. Begun in February 2001 as an IRRD project, led by Mr Richard Humphries and funded largely by Dfid, SARPN has sought to "connect people, ideas, and information to fight poverty" in southern Africa. This was done primarily through its widely used website – which attracts more than 300 000 hits in most months – and its influential large and small events. In response to the consensus reached at a watershed meeting of stakeholders from around the region in April 2003, the decision was made to transform what had already become a highly successful project into an independent body with its own constitution, Board of Governors – drawn from almost every country in the Southern African Development Community – and Director. June 2004 saw the first meeting of the Board, chaired by Mr Trevor Ncube; in September 2004 the Director, Ms Sue Mbaya, took office; in February 2005 an agreement was signed between the HSRC and SARPN, giving SARPN ownership of key intellectual property and "goodwill"; and in March 2005 the



secretariat was relocated to new offices. After the difficult process of separation, it is expected that SARPAN will grow to fulfil its potential to contribute to poverty reduction in the region.

A three-year project to understand and model the **determinants of migration within and across South Africa's borders**, which had as its objective to derive recommendations for industrial strategy, housing and infrastructure development and local poverty reduction initiatives. With the growing awareness of the influence of migration on development and stability, it has been gratifying that users from all three tiers of government – the Department of Trade and Industry, the Gauteng Provincial Government, and the City of Johannesburg – have commissioned studies that build on this intellectual capital.

Among others, the national study of homelessness (see below) will benefit from – and add to – the insights of these models of migration. The project leader is Dr Pieter Kok.

**Research on “the social wage”**, which is conducted for the Cabinet's Social Cluster. As one of the three legs of the government's “comprehensive social security framework”, the composition and value of the various forms of subsidy on public services – known collectively as “the social wage” – have been poorly understood. Dr Michael Aliber's study, commissioned by the Department of Water Affairs and Forestry, broke substantial new ground in this field. He was subsequently called upon to synthesise his findings with those of parallel studies carried out by the Department of Provincial and Local Government and the National Treasury to prepare a report for Cabinet, which, it is understood, was well received and should lead to a tender for further research.

### Impact of research

Although almost all of the research carried out by IRRD is policy-related and much of it is commissioned explicitly by users in the public sector to help improve policy, strategy, and practice, effective methods of monitoring and evaluating the impact of the Research Programme's work remain elusive. Though it is probable that research does inform policy improvements, it is seldom that one can attribute the latter directly to the former, especially given the time lags usually involved.

One instance in 2004/05 in which the influence of the findings of IRRD research has been clearly visible in policy is in respect of work conducted in 2003/04 for the Lesotho Government on land policy. Further expected instances can be inferred in respect of the SATPOR and social wage projects, where it is understood that the government plans to commission the drafting of policy in the wake of the reports.

An express purpose of SARPAN – and one of the reasons why the HSRC can be expected to retain a close relationship – is to facilitate the translation of research into policies that are more effective in reducing poverty.

### Ongoing research projects

Among the 17 projects in IRRD continuing from 2004/05 into 2005/06 and beyond are:

- The pilot study of the **impact of land reform on rural livelihoods in the Elliot district**, Eastern Cape (see the Research Highlights section) has been extended to municipalities in other provinces in collaboration with the University of the

An express purpose of SARPAN – and one of the reasons why the HSRC can be expected to retain a close relationship – is to facilitate the translation of research into policies that are more effective in reducing poverty.

Western Cape and two NGO partners and with the assistance of the National Treasury (project leader: Dr Michael Aliber).

- A longitudinal study on the **impact of HIV/AIDS on land rights, land use and land administration** in the Eastern Cape, KwaZulu-Natal and Limpopo is being undertaken with the Universities of KwaZulu-Natal and the Western Cape and an NGO partner for the Department of Land Affairs and the International Food Policy Research Institute (IFPRI) (project leader: Dr Michael Aliber).
- A study on the **importance of local or indigenous knowledge** in sustaining agriculturally based livelihoods is being conducted in Mpumalanga for the Department of Science and Technology with the ARC (project leader: Tim Hart).
- The **national study of homelessness** (see The HSRC and the Parliamentary grant section), for which the qualitative fieldwork was undertaken in 2004/05 and the quantitative phase is scheduled for 2005/06, is the most extensive study of homelessness known to have been mounted in South Africa. The research is being conducted in partnership with five other HSRC Research Programmes (project leader: Catherine Cross).
- Several studies of the **impact of the delivery – or non-delivery – of piped water to rural communities** on hygiene in schools, on cholera, and on the lives of children where water still has to be carried daily are being conducted by the government or international funders (project leader: Dr David Hemson).
- An evaluation of the **impact of the national Poverty Reduction Strategy Paper (PRSP)** for the Lesotho Government is in progress (project leader: Ben Roberts).
- The **maintenance and ongoing updating of two databases** that provide essential information for a range of projects and clients is ongoing. These are the corporate mapping database (project leader: Sanusha Naidu) (see Future developments below) and the service delivery database (project leader: Dr David Hemson).
- Another development was the establishment of the **African Migration Alliance**, launched at a highly successful workshop and attended by about 40 migration scholars from around the continent in March 2005. A steering committee of representatives from the four major sub-regions has been established to oversee the publication of the proceedings and to plan and raise funds for extending the network (project leader: Catherine Cross).

## Future developments

In collaboration with the D&G and EEPR Research Programmes, momentum is steadily being generated towards the launch of an extensive, in-depth study of the impact of the political and economic role of post-apartheid South Africa in Africa. Parliamentary grant seed funding has been allocated and relationships are being developed with anchor research partners in Africa. External fund-raising is in

progress, key project management staff are being sought, and a multi-partner management workshop is planned for August 2005.

The capacity of the Research Programme to carry out research itself, and to build the capacity of its clients to do so, will be tested to the utmost with the commencement of a R5.8 million contract to develop and pilot a system for the Lesotho Highlands Development Authority to monitor and evaluate the impact of a number of recently constructed and planned dams on up- and downstream communities and to train its staff to operate the system. Work begins in June 2005 under the leadership of Johan van Zyl.

Two projects assessing the impact of environmental change on rural communities – a growing priority area – also begin in June 2005, both of them run in collaboration with the ARC. The first, funded by the FAO, focuses retrospectively on the social and economic causes and consequences of land degradation in South Africa (project leader: Professor Simphiwe Mini), and the second focuses prospectively on the expected socio-economic impact of planting genetically modified potatoes (project leader: Tim Hart).

The gender-specific impact of change is a cross-cutting research field that has also been prioritised. Two studies are in progress, with internal and external partners to monitor the impact of land reform on women and to evaluate the degree to which their rights have been substantiated. A comparative three-year study of HIV/AIDS, property rights, and domestic violence in South Africa and Uganda, undertaken with and for the International Center for Research on Women, is to start in July 2005 (project leader: Dr Cheryl Walker).

With the deadline for the restitution of land to dispossessed individuals and communities extended to 2008, Dr Cheryl Walker will be leading an initiative to review the substance and implementation of the policy. It will commence with the publication of a manuscript in the second half of 2005 and continue with a participatory research workshop and an international conference in 2006.

The collected outputs of IRRD over the past four years are to form the basis of a volume reviewing the state of the rural economy and rural society in South Africa. Almost every member of IRRD staff will contribute to the publication planned for March 2006 (project leader: Dr Cheryl Walker).

## Executive Director

Mr Mike de Klerk

Tel: +27 12 302 2704 / Fax: +27 12 302 2701

Email: mdeklerk@hsrc.ac.za





## KNOWLEDGE MANAGEMENT

The year 2004/05 represented experiential learning, consolidation, and achievement for the Knowledge Management (KM) Research Programme. KM began the year with three major tasks to address: closing out the Research and Development (R&D) survey for 2001/02; designing and conducting the R&D survey for 2003/04; and conceptualising and designing the country's first truly national innovation survey. The completion of the 2001/02 R&D survey included the compilation of reports and data in conformity with the requirements of both Stats SA and the OECD (Organisation for Economic Co-operation and Development). Perhaps the best indicator of the rapid speed with which capability and capacity have been built is that the R&D Survey for 2003/04 was essentially completed in half the time of that for 2001/02. The survey project team clearly gained experience and confidence; likewise our respondents in the various sectors also exhibited greater readiness to participate.

The researcher component of the Research Programme remained steady, with no additional appointments – the major changes arose from the relocation of staff, one to the Durban office and one to Pretoria, and one resignation. All of these movements involved middle-rank staff. Towards the end of the year KM began to augment the fieldwork capacity in anticipation of the intense interaction that the innovation survey would demand. This centred on the selection of staff for a six-person call centre installed in the Cape Town office.

In building KM we have supported postgraduate study for no fewer than five of the 12 research staff and also provided short-course training opportunities in spreadsheets, and statistical package and database programmes.

### Current and recently completed projects

The ring-fenced grant of the Department of Science and Technology served to provide the basis for growing the concept of a national Centre for Science, Technology and Innovation Indicators (CeSTII) housed within KM.

There is little doubt that staff capability with the capacity to deliver on this complex mandate has been built. CeSTII has gained both national and international recognition for its work.



The strategic objectives for the second year of CeSTII operation were as follows:

- design and execute the Survey of Research and Experimental Inputs 2003/04;
- develop the methodology, sample frame, and questionnaire for the Innovation Survey 2005;
- support the process for the declaration of the Survey of Research and Experimental Inputs 2001/02 as Official Statistics;
- prepare and submit the documentation for the recognition by the OECD of the Survey of Research and Experimental Inputs 2001/02;
- provide analysis and interpretation of the survey data to the government;
- in support of the network of excellence to build collaborative research relationships, and promote staff development and knowledge sharing;
- prepare selected outputs of the South African/OECD 2001 Innovation Seminar for a book publication; and
- generate a number of peer-reviewed journals and books.

We are delighted to report that these objectives were all attained.

There is little doubt that staff capability with the capacity to deliver on this complex mandate has been built. CeSTII has gained both national and international recognition for its work.

In addition to the above, the high-level data sets of the 2001/02 R&D survey are hosted on the HSRC website, with inward links from a number of key stakeholder websites. The data may be freely downloaded from [www.hsrc.ac.za/RnDSurvey](http://www.hsrc.ac.za/RnDSurvey).

Numerous parties are beginning to forward requests for more detailed

data to CeSTII. Responses to these requests are provided as a free service since we regard the data-mining exercise as part of our experiential learning. The limitations placed on such data access are simply that the data request must adhere to the strict confidentiality rules regarding the identity of respondents and that the data format requested conforms to the structure and content of the database.

Regarding the **National Innovation Survey 2003–2005**, this is the first large-scale Innovation Survey to be conducted in the country. Smaller innovation surveys were conducted by the then Foundation for Research Development and the Industrial Strategy Project (1996) and the University of Pretoria and University of Eindhoven (2001). These previous surveys have provided useful information for CeSTII in its new task.

The CeSTII Innovation Survey is to be conducted in collaboration with Stats SA, which has constructed the stratified random sample of firms that is essential for the survey sample frame. A CeSTII call centre is being established to ensure that we obtain the necessary high response rate for the survey. The survey is being conducted according to the European Community Innovation Survey 4 (CIS4) design and recommended methodology. By adhering to this framework we shall ensure that we provide information on country innovation that is of value to local decision-making as well as offering international comparability.

Regarding the field of knowledge management itself, the Research Programme proposed that the HSRC should conduct an **internal survey on Knowledge Management Practices** following such initiatives in the private sector in a number of OECD countries. Accordingly, KM have worked on the selection of a suitable questionnaire and shall administer



an organisation-wide survey in the first half of 2005/06. Assuming a good response rate, the survey will be of value to the executive and Research Programmes in understanding issues around knowledge sharing and management.

KM maintains other activities too: these cover **Public understanding of Science and Technology**; **Science and Mathematics education**; **Values in the workplace**; **ICT Policy**; and **SMME activity**.

### Impact of research

The impact of the R&D survey work has been to have both tangible and intangible results. The first is that the interrupted time series of national R&D survey data has been re-established with a credible, verifiable methodology. Accordingly, the government is able to use the R&D data with confidence in its planning and monitoring role. At national level we have a clear picture of R&D expenditure patterns as well as the human resources available for the task. This information is essential for the work of the government's Economic, Investment and Employment Cluster. If one subscribes to the view that technical change and economic growth march together and that R&D is a key component of technical change, then it is clear why the work of CeSTII is valued. It is for this reason that the survey data are to be declared a component of official statistics.

A second impact is on the assessment of our country's competitiveness. The ratio of gross expenditure on R&D (so-called GERD) to GDP is one of the most important measures in such international scoreboards. The fact that the country GERD/GDP data were absent for a number of years in the 1990s is unfortunate. The ability of a country to measure the ratio and its actual value are highly prized. The South African data are to be included in both the authoritative publication *OECD Main S&T Indicators* in July 2005 and the subsequent OECD S&T Scoreboard.

The intangible impact is the way that CeSTII has established credibility in its community of practice. We have participated in numerous national conferences and seminars and international conferences (Portugal, Italy, Tanzania, Argentina), international workshops (The Netherlands, France) and official visits (United Kingdom, OECD, UNESCO, and Canada).

### Future developments

CeSTII is now an established resource whose products and expertise are in high demand. We expect not only to continue with the institutionalised series of R&D surveys, but also to conduct sector-specific surveys of innovation in the future. Such surveys could include examination of innovation in the informal sector, in advanced manufacturing, in the leisure industries, and in government itself. International experience is that such work generates valuable data sets that provide a rich empirical base for academic study in the field of the economics of technological change.

Perhaps the best indicator of our growing capability is the fact that this survey was completed in almost half the time of the first such survey we performed, and it achieved much increased coverage.

Executive Director  
Professor Michael Kahn

Tel: +27 21 466 7802 / Fax: +27 21 461 1255

Email: mkahn@hsrc.ac.za





## SOCIAL ASPECTS OF HIV/AIDS AND HEALTH

**T**he Social Aspects of HIV/AIDS and Health (SAHA) Research Programme has pioneered research on the social determinants of health, not only with regard to HIV/AIDS, but also for public health in general. This research goes beyond medical interventions and strives to address health problems at their source, namely at the social and population level.

In line with the HSRC's motto "social science that makes a difference", SAHA strives to undertake cutting-edge, scientifically sound and innovative research that contributes to public policy formulation and programme development in order to improve service delivery.

The Research Programme has two primary goals: first, to conduct research that is policy relevant and responds to current challenges facing South Africa; and, secondly, to conduct assessment, monitoring, and evaluation of programmes that aim to improve the lives of South Africans.

Through its flagship programme, SAHARA, SAHA undertakes multi-country and multi-site research, which enables it to make a significant contribution to evidence-based policy formulation and practice. Through its network of researchers, policy-makers and practitioners, SAHA ensures widespread dissemination thereof through conferences, a *Journal of Social Aspects of HIV/AIDS*, and a website ([www.sahara.org.za](http://www.sahara.org.za)). A separate annual report is available on this website.

### Recently completed projects

A study entitled HIV risk exposure in children aged 2–9 years served by public health facilities in the Free State found evidence for potential nosocomial (hospital-related) HIV transmission in the Free State maternity, paediatric and dental facilities. Although only 1.4% of HIV-positive children had HIV-negative mothers (Table 1 opposite), the occurrence of any HIV-positive children who have HIV-negative mothers is cause for concern, and this was investigated in a study of risk factors. Nearly 30% of the breast milk destined for feeding children in hospital tested positive for HIV

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Dr Olive Shisana presents the results of the study, HIV Risk Exposure in Children Aged 2–9 years Served by Public Health Facilities in the Free State, South Africa, during the AIDS Impact Conference in Cape Town in April 2005.

viral RNA and there was evidence that this milk could inadvertently be fed to the wrong child.

In testing instruments used during clinical care, 47% were positive for occult or hidden traces of blood and 25% of the items that came into direct contact with the patient tested positive for occult blood. A new finding was that 1.7% of the children were reported to have been breastfed by a non-biological mother and the odds of their having been fed by a non-biological mother were 17 times higher in HIV-positive children compared to HIV-negative children.

Having had a blood transfusion, being vaccinated at public health facilities, receiving milk from a milk room, age, and sex were not significantly associated with the HIV status of the child. However, having a prior hospital admission, having seen a traditional healer and being scarified were statistically significant after controlling for age, sex, and other exposure factors.

**TABLE 1: THE ASSOCIATION BETWEEN MATERNAL HIV STATUS AND CHILD HIV STATUS, FREE STATE 2004**

MOTHER'S HIV STATUS	CHILD'S HIV STATUS		TOTAL
	POSITIVE	NEGATIVE	
Positive	477	537	1 014
Negative	7	2 450	2 457
Total	484	2 987	3 471

The project, *Theory-based HIV/AIDS risk reduction counselling in South Africa: A randomised intervention field trial*, comprised developing a brief, theory-based, HIV-prevention intervention for sexually transmitted infection (STI) clinic patients. Known as *Phaphama!* (meaning “Be wise!” or “Wise up!” in Xhosa), the project involved the assessment of 228 STI clinic patients, who received either a single, 60-minute counselling intervention, involving motivational/skills building HIV risk reduction, or a 20-minute HIV-information/education session. The 60-minute motivational/skills group reported significantly greater risk reduction practices and greater likelihood of volunteering for HIV counselling and testing. The intervention may significantly reduce HIV risk behaviours for STI clinic clients in South Africa.

The World AIDS Foundation (WAF) and the University of Connecticut funded the project through a grant from the National Institute for Mental Health (NIMH)(USA).

A study, *Guardianship in the Time of HIV/AIDS – Realities, perceptions and projections: A mental health perspective*, started from the basis that children’s mental health is best promoted when living in caring and nurturing families. It looked at the willingness and capacity of families to integrate orphaned and vulnerable children and at the factors that influence this decision.

Interviews with 1 400 people showed that adults of various “relational proximity” to children were highly motivated to take in children, but that poverty, age, and numbers of children needing integration will be major obstacles.



Women are also likely to bear the greatest burden. For most potential caregivers, the current child support grant (R170 per month) would not act as a motivation to take in a child, but the foster care grant (R530 per month) would. In addition, having the child's education paid for and having a caring person assist were regarded as important.

### Impact of research

There has been extensive reaction to the findings of the **Factors determining educator supply and demand in South African public schools** study. The principal stakeholders fully supported the findings made public at the launch and are currently reviewing plans for the implementation of the study's recommendations.

The South African Democratic Teachers Union (SADTU) published a detailed summary of the study in its newsletter, *The educators' voice*, and made various recommendations, based on the results, relating to how HIV/AIDS in schools could be addressed by its members and the Department of Education (DoE). SADTU president, Willy Madisha, said: "The more we know about HIV/AIDS and how it affects teachers, the more we will be armed to fight the pandemic."

In addition, the HSRC gave high-level briefings to the Presidency, the Education Labour Relations Council (ELRC), the Deans Forum (through the Ministerial Committee on Teacher Education), and the DoE.

When SADTU originally undertook to have this study done, it was implementing the first phase of a plan to address the needs of educators living with and affected by HIV/AIDS. This study provides the unions with the information needed to proceed with the second phase of the strategic plan – the delivery of the pilot programme in the three provinces where HIV infections among educators are the highest.

A peer-education programme in schools, addressing the specific recommendations of the study, will be delivered and the union negotiators are developing a plan for comprehensive medical aid for teachers and their dependants requiring anti-retroviral therapy (ART).

The report on the *HIV risk exposure in children served by public health facilities in the Free State* was presented to the Executive Council of the Free State, which made a commitment to address the challenges identified. The Free State Department of Health now has a clear referral strategy for children found to be HIV-positive which aims to sensitise the nurses to identify children who are HIV-positive and refer them for ARV treatment, where indicated.

Other positive results were:

- the province is better geared to manage children suffering from HIV/AIDS-related illness, and has implemented nutritional supplementation programmes for them;
- more nurses were trained in the management of infection control, following the results of the study;
- the breastfeeding policy has been revised; mothers now label expressed breast milk containers themselves, to prevent it inadvertently being fed to the wrong child, and they are encouraged to pasteurise the milk; and
- the Department of Health is busy preparing a leaflet to educate communities not to practise wet-nursing, and hospitals have discontinued the practice.

The *Phaphama!* risk-reduction counselling intervention has been adapted for use

 The HSRC has played a leading role in promoting and implementing the concept of second-generation HIV surveillance in South Africa and in other SADC countries. 

**TABLE 2: SITUATION ANALYSES FOR VULNERABLE CHILDREN (UNDER 18 YEARS) FROM CASE STUDIES IN BOTSWANA, SOUTH AFRICA, AND ZIMBABWE**

	BOTSWANA		SOUTH AFRICA		ZIMBABWE	
	Lethakeng	Palapye	Kanana	Kopanong	Bulilimangwe	Chimanimani
Both parents dead	17.5%	7.4%	8.0%	8.3%	5.1%	6.9%
Child-headed households	0.5%	0.4%	0.2%	0.4%	4.9% <sup>a</sup>	3.2% <sup>a</sup>

<sup>a</sup> Just under half the child-headed households in Zimbabwe reported having an adult assisting and providing care.

as part of the training of counsellors in voluntary counselling and testing (VCT) by the Western Cape AIDS Training, Information and Counselling Centre (ATICC), partners in the project.

An important policy link has been established with the SADC HIV and AIDS Unit in Botswana. They need multi-country research findings to prepare policy briefs for member states and are looking to SAHARA to assist them. The serious lack of sharing “best practices” in the region is another key component where SAHARA plans to take a lead.

The HSRC has played a leading role in promoting and implementing the concept of second-generation HIV surveillance (WHO/UNAIDS 2000) in South Africa and in other SADC countries. National surveys, such as *The Nelson Mandela/HSRC study of HIV/AIDS* (2002 and 2005), address the main principles of second-generation surveillance, namely using information from different sources to triangulate and calibrate estimates from these sources (e.g. survey data and antenatal clinic surveillance data).

This will result in better HIV-prevalence estimates, representative of the general population (including men and women of all age groups), and will provide an opportunity to link behavioural information with HIV status. As a result, researchers will be enabled to analyse better the dynamics of the epidemic.

In addition, UNAIDS and WHO have revised their estimates of the number of adults living with HIV/AIDS because they now have more accurate data from countries, partly resulting from these population-based surveys. Information from this analysis should lead to better programme design and planning.

### Ongoing research projects

The main aim of the five-year *Strategy for the Care of Orphans and Vulnerable Children (OVC) in Botswana, South Africa, Zimbabwe* project, funded by the W.K. Kellogg Foundation (WKKF), is to obtain evidence-based best practices of interventions to improve the conditions of OVC and to reduce HIV infection among them. The approach is to evaluate and monitor the impact of home-based, child-centred care, and family and household support programmes, as well as strengthening community-based systems for sustaining care to OVC and households.

The three funders in Botswana, South Africa and Zimbabwe are the Masiela Trust Fund, the Nelson Mandela Children’s Fund, and the Family AIDS Caring Trust (FACT). These organisations have been successfully implementing OVC interventions with community- and faith-based organisations in ten different sites in the three respective countries. This had a positive impact on the lives of several thousands of children and has been partly documented. A study involving two case studies per country is currently underway. Research has included situation analyses (Table 2 above), qualitative research, OVC censuses, HIV/AIDS behavioural risks and sero-surveillance (BSS) surveys, and OVC psychosocial surveys (PSS). The HSRC has recently secured additional funding from WKKF to provide technical support for similar projects in Lesotho, Mozambique, and Swaziland.

The Nelson Mandela/HSRC study of HIV/AIDS (*South African HIV prevalence, behavioural risks and mass media survey, 2002*) is being replicated in Botswana, Lesotho, Mozambique, and Swaziland. This two-year project, funded by the European Union, through the SADC Health Sector Coordinating Unit (now the HIV and AIDS Unit), involves an HSRC-led consortium, which includes the Medical Research Council, the Centre for AIDS Development and Research Evaluation, and the French *Agence Nationale de Recherches sur le Sida*. The consortium provides technical assistance to the four countries based on its recognised experience in population-based HIV/AIDS surveys.

The 2002 Nelson Mandela/HSRC study of HIV/AIDS is also being repeated in South Africa and fieldwork should be completed by the end of May 2005. Special efforts have been made to ensure maximum response rates, including an advertising campaign, supported by Mr Nelson Mandela personally. Final data cleaning and weighting will commence in June 2005 and analysis and report writing will commence in July and August.

A five-year project, *Capacity-building for research on AIDS in South Africa*, aims to strengthen research infrastructure and capacity at the University of the Western Cape (UWC) and the new University of Limpopo, specifically to develop and sustain cultural and gender-based interventions for the elimination of stigma associated with HIV/AIDS prevention, care, and support. The project, funded by the National Institute of Mental Health (NIMH) through Penn State





University, currently has three UWC staff members as mentors and five Master's and one Doctoral student as fellows. The preliminary results show that family and health care services are two important environments where stigma is experienced most often.

A 15-year study, *Young lives international study of childhood poverty*, intends to monitor the welfare of 2 000 one-year-olds and 1 000 eight-year-olds in four countries: Vietnam, Ethiopia, Peru, and India. Baseline data are being analysed to describe environmental conditions and some impacts on child health, including acute respiratory infections and diarrhoeal disease.

Another aspect of the first phase is to assess the efficacy of measures designed to maintain the integrity of the sample over the full duration of the study. By using multiple tracking approaches, the majority of children were found during the first follow-up visit but this proved more difficult in major urban communities.



The study is funded by the UK Department for International Development (Dfid) and managed by a consortium of UK and South African universities, the NGO Save the Children UK, and the HSRC.

SAHA evaluated a training programme for alcohol screening and brief interventions for primary care nurses in the Limpopo Province. Although the training programme showed moderate results, it prepared the ground for the implementation of a screening and brief intervention (SBI) programme. Health-care providers significantly increased their knowledge and their confidence in SBI, and were more effective in implementing SBI at nine-month follow-up. When the training is provided in conjunction with a comprehensive SBI implementation programme, it is effective in changing providers' knowledge, attitudes, and practice of SBI for at-risk drinkers. A report has been submitted to WHO and a second symposium was held on SBI for alcohol problems. Once a new grant has been finalised, SAHA plans to expand the training programme.

Fieldwork for the largest mental health prevalence study among people living with HIV/AIDS (PLWHA) in a developing country, *HIV/AIDS and mental health: Research on impact and mitigation of affect*, involving 900 subjects, was completed. In addition to assessing the extent of mental disorders in PLWHA, the study examines the "direction" of this relationship, i.e. whether mental illness increases the risk of becoming infected with HIV or whether mental illness is a *consequence* of the infection. Initial results show that being diagnosed as HIV-positive and living with the virus is emotionally very stressful. This is exacerbated by stigma and secrecy, which means that people do not receive the support they require. This in turn affects how people are able to manage their social relationships and their infection. Implications for policy have been discussed at both national and provincial levels.

A two-year project to investigate the **participation of indigenous African healers in preventing HIV infection and AIDS in KwaZulu-Natal** is funded by the Bristol-Myers Squibb Foundation and the HSRC. The study will identify the perceived needs of healers concerning HIV/AIDS prevention, care, and treatment, and will develop training materials. It aims to establish a referral system on clinical HIV/AIDS matters between indigenous health practitioners and biomedical practitioners and to monitor and evaluate the effectiveness of the interventions by indigenous healers. Training and baseline assessments have been completed. A trainer's manual has been submitted to the national Department of Health for review.

A three-year project, funded by the Ford Foundation, will research interventions for

 The more we know about HIV/AIDS and how it affects teachers, the more we will be armed to fight the pandemic. 



the prevention of mother-to-child transmission (PMTCT) of HIV in the Eastern Cape. The study involves health facility interventions, such as providing Nevirapin packs, training and evaluation of voluntary counselling and testing, HIV and PMTCT, improving clinic PMTCT monitoring, and infrastructural interventions.

The second component of the study evaluates the role of traditional birth attendants (TBAs) and conducts interventions to reduce the likelihood of mother-to-child transmission of HIV infection. A manual for TBAs has been completed and submitted to the national Department of Health for review.

The third component is a baseline survey and health education intervention for pregnant women, their mothers or mothers-in-law, and husbands or partners, entering the PMTCT programme, through delivery and into postnatal care. A postnatal interview survey, including recording from medical cards, is in progress.

A fourth task is to conduct a qualitative cohort study of mothers attending well-baby clinics that will probe their experiences, barriers and support of HIV-positive mothers and their babies. A fifth component is to conduct and evaluate community HIV interventions. Community PMTCT and HIV mobilisation has been completed and a women's peer support group was initiated at four clinics.

### Future developments

A grant from The Netherlands Government's Department of Foreign Affairs (DGIS) will allow us to extend one of our multi-country projects, Behavioural Risk Reduction in PLWHA, from four southern African

countries (Botswana, Lesotho, South Africa, and Swaziland) to eight countries throughout sub-Saharan Africa (Angola, Burkina Faso, Kenya, Namibia, Rwanda, Senegal, Tanzania, and Zambia). The aim of the project is to encourage PLWHA who are aware of their HIV status to reduce the chances of re-infection and/or infecting their sexual partners. The project involves adapting a USA-developed intervention known as *Healthy relationships* in order to provide a basis for developing new interventions targeting those already living with HIV/AIDS. The project began in March 2005 and will end in December 2006. The grant amount is €600 000.

The W.K. Kellogg Foundation is providing funding to extend our largest project, *Strategy for the care of orphans and vulnerable children (OVC)*, from three countries (Botswana, South Africa, and Zimbabwe) to six countries (adding Lesotho, Mozambique, and Swaziland). The aim is to strengthen capacity so that each country will be able to undertake national OVC surveys and to improve the social conditions, health, development, and quality of life of OVC through community-driven initiatives. The project began in November 2004 and will end in December 2006. The grant amount is US\$650 000.

### Executive Director

Dr Olive Shisana

Tel: +27 21 466 7902 / Fax: +27 21 461 0299

Email: oshisana@hsrc.ac.za



## SURVEYS, ANALYSES, MODELLING AND MAPPING

**S**urveys, Analyses, Modelling and Mapping (SAMM) is a cross-cutting entity that brings together the HSRC's capacity in surveys, quantitative and qualitative analyses, geographical information systems (GIS), statistical and econometric modelling, and data management. It supports the organisation's move from previous fixed research groups and disciplines to flexible, user-driven and responsive Research Programmes.

SAMM reinforces the HSRC's vision of more relevant and comprehensive social research. Following its annual strategic planning *lekgotla* in 2004, SAMM has reformulated its programme vision to become the choice provider of longitudinal and attitudinal surveys and analyses, as well as geo-information, in South Africa, SADC, and Africa. Its mandate to provide creative and innovative methodological and design solutions to complex Social Science research challenges in the HSRC remains unchanged.



The Research Programme was established during the latter half of 2001 and has grown to 23 research staff, and three office administrators. A new development is the recently established Urban Renewal and Development (URD) Unit, a programme of urban renewal and development research that also aims at co-ordinating existing urban research into a coherent programme of urban policy intervention. The URD Unit co-exists laterally with the Surveys and GIS Units.

Staffed by a small complement of researchers at present, URD will reach its full capacity later in the year, especially after the appointment of a Director. The Surveys Unit will also benefit from the appointment of three additional researchers in the latter half of the year.

### Current and recently completed projects

#### Surveys

The Surveys Unit is currently conducting national surveys for a number of government departments and other agencies.

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A quantitative, communication-tracking project for the Government Communication and Information System (GCIS) has been in progress since March 2003, in partnership with Research Surveys. The GCIS's mandate is to ensure that the public is informed of the government's actions in a timely and adequate manner. This project assists the GCIS with monitoring in its communication role to the nation.

The "client" tracking survey, administered primarily on behalf of government departments, is a national survey using a longitudinal design, and draws on the HSRC's Master Sample. In the last round of the survey, about 7 000 respondents answered questions on attitudes, knowledge, and behaviour in respect of education, sport, biotechnology, and defence issues. The survey was done for the Department of Education (DoE), Sport and Recreation South Africa (SRSA), the SA Agency for Science and Technology Advancement (SAASTA), and the South African National Defence Force (SANDF). Discussions are taking place with a number of government departments and other agencies about their participation in the 2005 survey.

The Education Labour Relations Council (ELRC) commissioned the Surveys Unit, in collaboration with the HSRC's Child, Youth and Family Development (CYFD) Research Programme, to conduct a survey on the workload of educators, drawn from 900 schools nationwide. The aim of the study was to determine educators' daily schedules and activities according to their diaries. The data analysis has been concluded and Professor Linda Chisholm of CYFD is compiling the final report.

Surveys assisted the HSRC's Employment and Economic Policy Research (EEPR) survey wages and conditions of employment in the hospitality industry, commissioned by the Department of Labour. The purpose of the survey is to provide the Department of Labour with information that reflects the opinions of employees on their wages and conditions of employment in their respective companies. Both employers and employees of about 900 businesses are to be interviewed.

A report on the findings of a national survey of companies and individual freelancers involved in the film and video industry commissioned by the National Film and Video Foundation (NFVF) has been completed. The email survey yielded about 92 responses, which were analysed in order to provide the NFVF with an imputation of the magnitude and skills base of the industry.

The Surveys Unit, in collaboration with Geospace, is conducting an impact study on social grant beneficiaries, commissioned by the Department of Social Development (DSD). A national sample survey of 7 000 social grant beneficiaries and a control group of 7 000 non-recipients of grants was undertaken during March to May 2005, and will be repeated during July to September 2005. Data collection on the selected grant recipients (phase 1) was completed towards the end of May and gathering information on an identified control group



(phase 2) commenced in mid-June 2005.

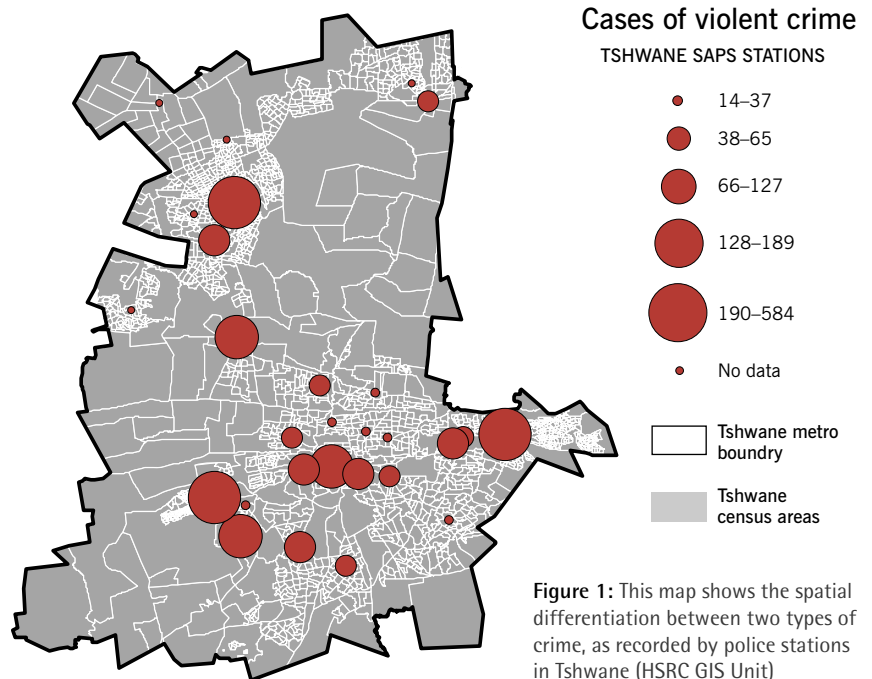
To determine the nature of barriers to participation in the national population Census, a qualitative study of 24 focus groups was conducted with representatives of groups that StatsSA has had difficulty enumerating in the past. The groups were young males of all races, residents of informal settlements, residents of wealthy suburbs, transient communities, commercial farmers, and traditional leaders. A report was compiled and submitted to Stats SA.

The Surveys Unit was responsible for conducting approximately 1 400 interviews for the South Africa land reform study, which forms part of the international METAGORA project, sponsored by the European Union and managed by the HSRC's Democracy and Governance (D&G) Research Programme. Interviews were conducted with commercial farmers, farm dwellers, and tribal, rural and urban predominantly black settlements in the Free State, Limpopo, and Eastern Cape provinces. Data collection has been completed and the report has been compiled.

A 7 000-respondent survey being conducted for the Department of Home Affairs is attempting to estimate the location and extent of unregistered South African citizens. The survey will ascertain their location and the reasons why they are not registered; obtain information regarding citizens' access to Home Affairs' services and offices; and ascertain awareness and knowledge of birth and other registration processes.

## GIS

The GIS Unit has been involved in the production of fieldwork maps for various HSRC studies, including the South African Social Attitudes



Survey (SASAS), the GCIS surveys, as well as the SAHA Research Programme’s 2005 Nelson Mandela/HSRC Study of HIV/AIDS, and the study on **Factors determining educator supply and demand in South African public schools.**

The unit has also completed the following projects:

- a poverty analysis study for the Tshwane Metro Council;
- a food insecurity and vulnerability model;
- a pension pay point study on behalf of the DSD, including accessibility modelling and web-based mapping components;
- a GIS integration project on land claims in the Eastern Cape; and
- a poverty relief programme evaluation for the Public Service Commission (PSC).

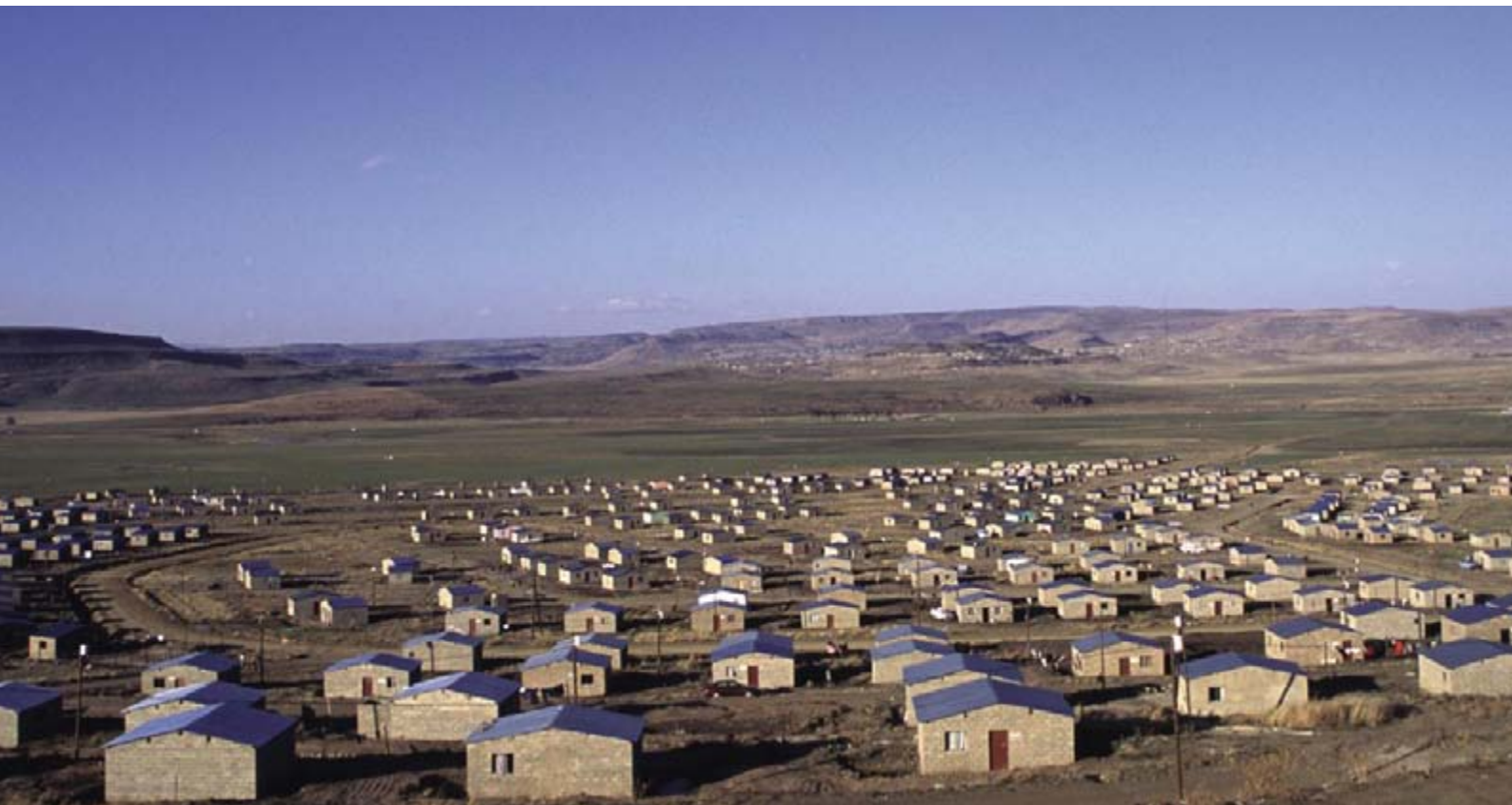
### Urban Renewal and Development

The Urban Renewal and Development (URD) Unit has identified two research thrusts. The first is a focus on **urban social and physical dimensions**, including urban form, the built environment, housing, transportation, neighbourhoods and communities, crime and grime, and identity and exclusion.

The second thrust is on **urban economic, political, and institutional dimensions**, including local government, service delivery, local economic development, institutional transformation, globalisation and city competitiveness, urban policy, and regeneration strategies. Once the unit has been fully staffed, a third focus area, namely, urban monitoring and evaluation of policies, programmes, projects, and indicator and benchmark formulation, will be introduced.

A notable contract-funded project, conducted on behalf of the Tshwane Metro Council, involved developing a “**Safer City Policy**” for the Tshwane Metropole (Figure 1). Given that large metropolitan cities across the globe are increasingly becoming prone to incidences of international terrorism, crime syndicates, and areas in which disorderly public behaviour is manifest, safer city policies and strategies have become important address mechanisms in ensuring that cities remain attractive for investment and safe

The most profound impact has been the extent to which SAMM’s longitudinal survey competence has enabled a number of government departments to track aspects of their service-delivery performance, distil trends and patterns, and monitor interventions.



for all their residents. This is especially so for vulnerable groups such as women, children, and the poor. This ongoing project resulted in collaboration and networking with the Institute for Security Studies (ISS), and the Crime Prevention Unit of the Building and Construction Division of the CSIR.

### Impact of research

SAMM's impact can be measured primarily by its methodological contribution to research projects and its reorientation as South Africa's provider of choice of longitudinal and attitudinal surveys and analyses. In relation to the former, SAMM has continued to provide innovative and methodological solutions to complex social science research problems and challenges.

In relation to the latter, the most profound impact has been the extent to which SAMM's longitudinal survey competence has allowed a number of government departments, ten years into our democracy, finally to track aspects of their service-delivery performance, distil trends and patterns, and monitor interventions.

### Future developments

SAMM continues with its plans to track national issues through longitudinal analyses. This is consistent with the Research Programme's strategic repositioning as the country's lead provider of large-scale, longitudinal surveys. The HSRC's Master Sample, completed in 2002, makes it possible to visit and interview the same households on successive occasions. The HSRC's annual public opinion survey, now called the South African Social Attitudes Survey (SASAS), incorporates this time series dimension. The third round of this survey

has recently been completed. A publication based on the findings of the survey, with useful policy insights for a range of stakeholders, is to be released soon after the survey.

In addition, since 2004 SAMM has rolled out a large repeat-visit monitoring and tracking survey for the government which, like SASAS, is conducted annually and allows government departments to track aspects of their service delivery and evaluate performance over time. A number of government departments participated in the first wave of the survey, and have recently joined the second instalment of the survey. Other government departments, requiring information that extends beyond service delivery issues, have also independently commissioned SAMM to conduct large-scale surveys on their behalf.

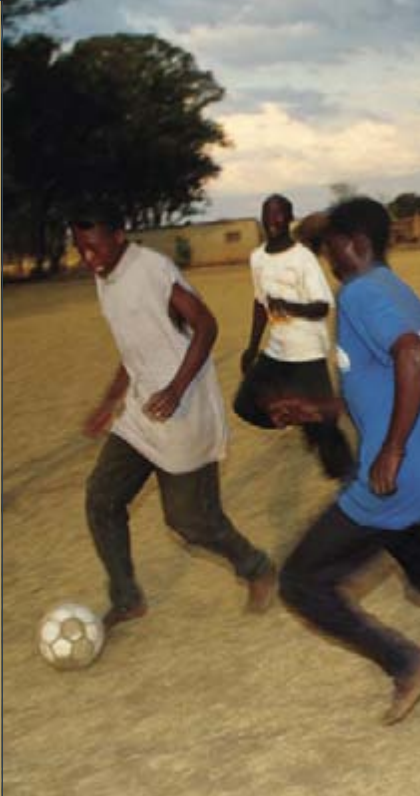
Research on urban development, identified as a national imperative by the government, is an area where SAMM intends making a considerable contribution. Under the auspices of the recently established URD Unit, the results of a co-edited publication, chronicling the evolution of urban policy in South Africa since 1994, is forthcoming. The publication aims to advance a set of policy recommendations on the future shape of our cities. A programme of multi-disciplinary research, looking at the development implications for South Africa of hosting the 2010 Soccer World Cup, has recently commenced.

### Executive Director

Dr Udesch Pillay

Tel: +27 12 302 2502 / Fax: +27 12 302 2001

Email: [upillay@hsrc.ac.za](mailto:upillay@hsrc.ac.za)



## SOCIAL COHESION AND IDENTITY

**T**he Social Cohesion and Identity (SCI) Research Programme has a new Executive Director, Dr Xolela Mangcu, at the helm, as well as new members and a new direction. While SCI will retain its work on social capital and the media, the research on genomics will in future no longer be part of the Research Programme. The science of identity will be replaced by a focus on the politics of identity. Most of the work will revolve around the question of who we are as South Africans: what the defining values are that inform our sense of South African-ness, and how, if at all, we understand our African identity.

SCI's work will also address the leadership challenges facing our nation, at community and national levels. Three key projects form the vanguard of this new direction:

- South African identity and its meanings;
- Identity, Africa and the World Distinguished Lecture Series; and
- Leadership and social cohesion.

SCI has a small staff of four researchers and two administrators.

### Current and recently completed projects

As part of the agenda to investigate the question of who we are as South Africans, SCI is currently hosting the **Identity, Africa and the World Distinguished Lecture Series** aimed at locating South Africans within the broader discourse of the African Renaissance and at exploring the place of South Africa and Africa in the world. International speakers include Ayi Kwei Armah, Cornel West, Henry Louis Gates Jr, Wole Soyinka, Mahmood Mamdani, Ntongela Masilela, Graça Machel, Nadine Gordimer, and others. Through this lecture series, and a book, we hope to bring issues of identity to the centre of the national dialogue by linking the speakers to community groups that are working around issues of identity, particularly youth groups.

The project on **South African identity and its meanings** examines the historical and contemporary interpretations of South African identity, its values, how they were generated and how they find articulation in present policy discourses. It will study



questions such as our public secular values and the relationship between those values and the plural identities. SCI will also examine the role of public intellectuals in the making of the modern South African identity, especially as that role relates to competing notions of identity and social cohesion, and the state of our public intellectual life and how it shapes national debates about identity.

A project on **Leadership and Social Cohesion** seeks to identify the leadership challenges facing South Africa in the years ahead. Part of this project will take the form of a symposium on the Meaning of Mandela: What lessons does the rich history of leadership hold for contemporary society? It will look at the role of political, business and civil society leaders in sustaining South Africa's democratic culture and social cohesion.

Often missing in the debates on **black economic empowerment (BEE)** are the social values that should underpin BEE. This project will produce a book, the first of its kind to bring sociological perspectives on BEE. The publication will be a collection of essays commissioned by and edited in collaboration with BusinessMap and the Gordon Institute of Business Science.

The first phase of the **Community Arts Centres** project, consisting of research on governance, institutional and capacity issues, has been completed and the team is co-operating with provinces and local government to implement the findings, which vary depending on location. Training of arts centre managers has started in two arts centres, and six Flemish students have worked in the centres with South African students as part of an exchange programme. A number of programmes are taking place in the centres. Client reports have been submitted and an editorial was written for the second issue of

the *South African-Flemish Newsletter*. The project provides support for the establishment of the National Federation of Community Arts Centres. One chapter for a book on Community Arts Centres has been published.

A lottery-funded project that aims to establish a database of **South African artists' signatures** for the purposes of valuing the nation's creative industries is ongoing. Sanlam is also a partner in the project, together with the South African National Art Museum.

A book of essays, *Changing the Fourth Estate: Essays on South African journalism*, is about promoting excellence in South African journalism. Edited by Adrian Hadland, it is currently in press.

A **community television project** aims to locate the HSRC at the head of a consortium of interests and stakeholders preparing to launch community television in South Africa. The project broadly promotes the notions of access to the media, information, diversity, and the consolidation of democracy within South Africa. The project includes technical, legal, and global research contributing to the creation of community television stations in South Africa.

With more than 13 million cellphones currently in use in South Africa, a project on the **impact of cellular telephony** on social capital, networks, empowerment, and employment is currently being explored with the Development Bank of Southern Africa.

Research on the **impact of genomics on Africa**, previously a key area of work for SCI, has now been spun off from within SCI to the autonomous African Genome Education Institute (AGEI). Headed by former SCI ED Professor Wilmot James, the AGEI has received considerable logistical and financial support from the HSRC. A major international conference on genomics in Africa was held in Nairobi in March 2005.





Almost R2 million was raised during the year for this work, the largest grant coming from the Bill and Melinda Gates Foundation.

The **South African Cultural Observatory**, which involved establishing a website, hosting research, and assembling resources relevant to arts and culture, was completed during 2004/05 ([www.culturalobservatory.org.za](http://www.culturalobservatory.org.za)). Commissioned by the Department of Arts and Culture (DAC), the project collected information from across the arts and culture sectors but focused specifically on six cultural industries, namely arts and craft, film, video and television, heritage, music, publishing, and print media. A detailed “handbook” on intellectual property rights as they pertain to cultural industries was published.

A major study of **South Africa’s social fabric**, commissioned by the DAC, considered the relationship between social networks, informed by trust, that enables reciprocity and social cohesion, social dialogue, social investment, social activism, and development. The project was a partnership with the University of the Western Cape, Inyathelo, NEDLAC, and the PDC. A comparative aspect to the study considers the southern African region. The final, comprehensive report was delivered to the DAC at the end of 2004.

### Impact of research

SCI continued to input key strategic research and multi-disciplinary conceptualisations at the highest level of government. Both the Office of the Presidency and the DAC were the recipients of work on the meaning and indicators of social capital, following a major SCI study.

In other areas SCI impacted on a range of policy issues, including perceptions of stigma as it pertains to HIV/AIDS and a review of legislation, policy, and research affecting the heritage sector (also for the DAC), which was acclaimed by the National Heritage Council. A study on managing intangible heritage conducted for the International Network for Cultural Policy was also recognised by the United Nations Educational, Scientific, and Cultural Organisation (UNESCO) as an important contribution to a relatively new field of work.

### Future developments

Apart from building on core areas of expertise, such as the media, culture and heritage, SCI will be devoting special attention and channelling the energies of new staff members into projects around identity, leadership, and black intellectual history.

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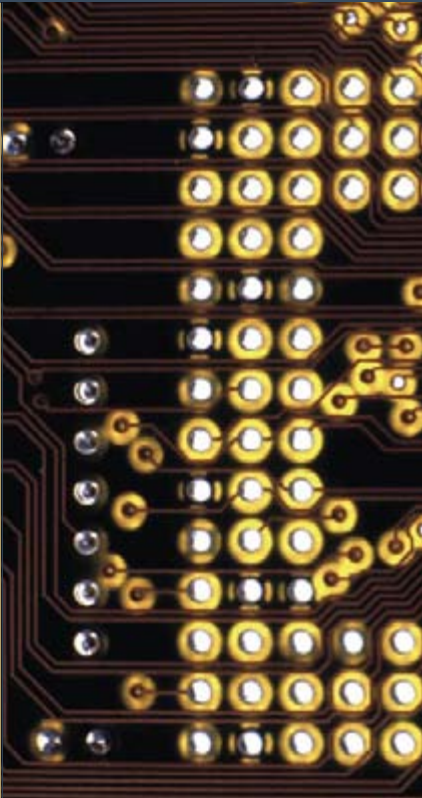
### Executive Director

**Dr Xolela Mangcu**

Tel: +27 12 302 2450 / Fax: +27 12 302 2457

Email: [xmangcu@hsrc.ac.za](mailto:xmangcu@hsrc.ac.za)





## CORPORATE SERVICES

During 2004/05, Corporate Services embarked on a process of moving beyond its traditional “back-office” functions to position itself as a strategic partner to the research process.

Financial constraints ruled out a full-blown conventional enterprise management system to support this process, so **Project Insight** was conceived as an interim solution, the high-level outcomes of which included:



- online access to the HSRC’s key performance indicators (COUPE);
- process alignment within Corporate Services and across the Research Programmes;
- an interim knowledge management solution;
- high-speed, resilient email infrastructure with increased storage capacity; and
- the creation of a safe, secure working environment.

Central to Project Insight was the integration of a number of databases to create our “**Insight Engine**”, so called because it provides insight into the information we need to manage our research projects effectively.

The flagship database is the **research management system (RMS)** that was implemented in the first quarter of 2005. The RMS is now the central point of record of all our activities in the research production process and holds detailed data of all our projects, budgets, milestones, funders, and research outputs.

The **ACCPAC** financial database has been upgraded and tightly integrated with the RMS so that project managers have access to the detailed financial information they need for budgeting and cash-flow management. The upgrade also lays the foundations for an electronic procurement facility to give project administrators the ability to procure goods and services over the network, to speed up decentralised service delivery.

As the financial year drew to a close, Corporate Services successfully implemented and tested a new human resource management system. This new **PeopleSoft** system will replace the outdated systems and, in combination with RMS, will provide the HSRC with a repository of data on our human and intellectual capital.

 Electronic communication is now a mission-critical service provided by Corporate Services. 



A document management system based on Lotus Domino.Doc was implemented and is being configured to enable the Business Development Unit in the CEO's Office to manage the life cycle of our legal and contractual documents. The system interfaces with other document management systems as well as the RMS system and will be rolled out to the whole organisation in due course.

All Corporate Services' policies and procedures have been redrafted in an informative and helpful style to reflect the decentralised nature of our working methods and to provide the organisational framework for our new streamlined business processes.

Electronic communication is now a mission-critical service provided by Corporate Services, so all old hardware was replaced with highly resilient email servers. The Lotus Notes mail system was upgraded to the next version and protected by new anti-virus and anti-spam technology.

The network infrastructure has been upgraded and bandwidth increased to carry the ever-increasing volume of data traffic.

Our new PABX telephone switchboard went live, giving us voice mail, dial-by-name, and an integrated telephone management system

to help staff keep track of calls made and costs incurred. The new Alcatel 4400 switchboard is ready for voice-over-IP, which will allow us to carry voice calls across the wide-area network, reducing costly long-distance calls between our offices.

The operations component of Corporate Services refurbished five floors of the Pretoria office of the HSRC and relocated staff to those floors. At the request of the City Council, a new perimeter fence was constructed outside the building to address the problem of homeless people sleeping under the colonnades. The HSRC, together with other stakeholders, facilitated the establishment of an overnight shelter to allow the homeless people to relocate.

Executive Director

Dr Romilla Maharaj

Tel: +27 12 302 2080 / Fax: +27 12 302 2068

Email: rmaharaj@hsrc.ac.za



## OFFICE OF THE CEO

The Office of the CEO provides strategic support to the CEO, the HSRC Council, and the organisation as a whole. It is headed by an Executive Director (ED), a position that was filled in September 2004. During 2004/05, the CEO's Office consisted of the following components: Council Secretariat, Business Development, International Relations, Corporate Communications, and the HSRC Press. The Internal Audit function, with activities overseen by the Council's Audit Committee, was outsourced in 2004/05. Before the outsourcing tender was awarded, Internal Audit services were co-ordinated by a dedicated Internal Audit Officer whose annual activities were approved and overseen by the Audit Committee, and who reported directly to the CEO.

Following the comprehensive institutional review of the HSRC, undertaken in 2003 by an international panel of experts, the HSRC Council published the review report for public comment. The Office of the CEO took responsibility for operationalising and implementing the recommendations of the Institutional Review panel, and several task teams were appointed to address review recommendations in an integrated manner. The new ED of the Office of the CEO would oversee the process, which was also integrated into the strategic plan of the HSRC.

During 2004/05, priority attention was given to the work of the newly established **Gender and Development Unit**, located in the Office of the CEO, and to the process of drafting a new Act for the HSRC. The latter process was greatly facilitated by the recommendations of the 2003 Institutional Review panel, strategic leadership and support from the Department of Science and Technology (DST), and inputs from international and local colleagues as well as internal and external stakeholders involved in a consultative process.

The focus of the Gender and Development Unit for 2004 was to conduct a gender audit of the HSRC in relation to policies, employment practices, and research activities. Additional activities of the unit for 2004 included a regular gender seminar series, establishing a reference group for the unit as well as partnering government organisa-

The year saw the further development and ongoing implementation of the HSRC Communication Strategy, primarily intended to profile and position the HSRC both internally and externally as a transformed organisation that conducts social science research that makes a difference.

tions in gender-related activities such as the 16 days of no violence against women campaign and in the National Women's Day activities.

In addition to being a champion for gender equity and ensuring transformation inside the organisation, the unit is involved in gender-based research activities. The two main research thrusts are

- gender and transport; and
- perceptions of masculinity among South African adolescent boys.

In November 2004 a new HSRC Council was appointed, with the initial major tasks of appointing a new CEO to take office on 1 August 2005 and to assist the DST with drafting new legislation. The HSRC Bill will replace the Human Sciences Research Act, 1968 (Act No. 23 of 1968), as amended, and is in line with the recommendations of the 2003 Institutional Review and new legislation promulgated in recent years. The Director-General of the DST requested inputs from the HSRC on a Draft Bill prepared by the department.

The HSRC engaged in a consultative process, with contributions and participation from a wide range of stakeholders representing the DST, Council members, the Audit Committee, Council Secretariat, HSRC staff, the higher education sector, the Institutional Review panel, science councils, the government, civil society, non-governmental organisations, and a colleague from a similar research institute in Ireland. These inputs formed the basis of the recommended changes to the Draft Bill. The Draft Bill was also substantially informed by the 2003 Institutional Review, notably the "public purposes" that were recommended.

The CEO's Office also carries overall responsibility for strategic planning, information-sharing, and consultative meetings within the HSRC. Particular attention is given to involving staff from all Research Programmes and support units as well as the various offices across the country. During 2004/05, major activities in this regard included two strategic planning *lekgotlas*, a strategic "breakaway" working session of EDs in June, and a highly successful researcher conference in July, where face-to-face meetings greatly enhanced team building. The CEO's Office also supports other regular information-sharing meetings, as well as the research seminar series, using video-conference links to relay information between participants in Cape Town, Durban and Pretoria. The popular seminars take place almost every week, and are also open to interested parties from outside the HSRC.

The Council Secretariat ensured that quarterly Council meetings, and meetings of the Audit and other Council Committees, took place in an effective manner. Major undertakings of the HSRC Council that were supported by its Secretariat included the process of recruiting and appointing a new CEO for the HSRC and the successful outsourcing of the Internal Audit function of the HSRC. Following the required public process, the Minister of Science and Technology, Mr Mosibudi Mangena, appointed a new HSRC Council to take office on 1 November 2004. The first meeting of the new Council took place on 19 November 2004;

this meeting was also attended by the Minister and the Director-General of Science and Technology. During 2004, a Council Secretary Designate was appointed to be inducted by the current incumbent, before assuming full responsibility for the position.

The Council Secretary also provided support for the Bargaining Forum involving Management and the Union, for Executive Management meetings as well as for the Research Ethics Committee. The Research Ethics Committee meets on a monthly basis to deal with the growing number of HSRC research proposals being submitted for ethical clearance; and it maintains its status as Institutional Review Board granted by the United States Office of Research Protections for Federalwide Assurance (Federalwide Assurance FWA 00006347 posted at <http://ohrp.cit.nih.gov/search/asearch.asp>).

The Business Development Office provides planning, co-ordinating and logistical support for the submission of tender and grant applications as well as advisory and drafting services for contractual agreements with clients and subcontractors.

Staff in the Business Development Office regularly scan newspapers, electronic alerting services, and tender bulletins for funding opportunities, which are then communicated to researchers and discussed at bi-weekly research business meetings. These meetings provide the forum to discuss opportunities, identify potential internal and external collaborators for specific invitations, and decide on appropriate responses. Only opportunities that fit in with the HSRC's strategic objectives, skills base, and known research capacity are responded to.

Regarding applications for external research funding, the Business Development Office also captures information on submissions and their outcomes in order to obtain an overview of the relative success rates of various types of application, and the reasons for their success or failure. During 2004/05, a management information system, which integrated information on funding opportunities and responses with the HSRC's integrated research management system (RMS), was fully implemented. This enabled the HSRC to keep better track of all proposals that had been submitted. When analysing information on proposals for external funding in the RMS, the following came to light:

- Of the 153 funding applications recorded in 2004/05, 54% were known to have been successful by May 2005. This is above the average of international standards for similar development-research organisations, and is probably attributable to the HSRC's highly selective responses to tender opportunities.
- Some 106 of these applications were recorded in response to competitive calls for proposals, of which 43% were known to have been successful by May 2005, with another 23% still awaiting feedback. If only competitive tender proposals from South African sources are taken into account, 19 out of a possible 63 proposals were known to have been successful by





May 2005 – a success rate of 30%. This confirms that the HSRC, although highly professional in its approach to applying for tenders, does not dominate the competitive research-funding scene in South Africa.

The position of **Contracts and Grants Co-ordinator** was filled in November 2003. During 2004/05, research contracts involving external clients as well as external service providers were prepared or vetted before they were signed by the HSRC. Where necessary, the redrafting of clauses was negotiated with the parties concerned. Increasing numbers of non-research contracts involving HSRC support services also received attention in the course of the year. An electronic contracts management system was designed and developed during 2004/05 to enable better management and co-ordination of all memoranda of understanding (MoU), research and non-research contracts, and subsequent amendments across the HSRC.

The position of **International Relations Director** had not been filled by the end of the 2004/05 financial year. The Office of the CEO nevertheless provided support for high-level interactions, bearing in mind the recommendations of the 2003 Institutional Review as well as the strategic objectives of the organisation. The CEO himself participated actively in this regard, with strong support from the new ED in the Office of the CEO and the Directors of Corporate Communications and Business Development. All the other research EDs also contributed to corporate international relations, while simultaneously ensuring that international collaboration in their own programmes took place in ways aligned with their research priorities. Selected examples of activities intended to support international relations are:

- Support for institutional visits to China and Iran – the former hosted by the Chinese Academy of Social Sciences (CASS), in terms of an existing MoU, and the latter facilitated by the national university of Iran, known as the Shahid Beheshti University, leading to the signing of an MoU between the two institutions. It is envisaged that subsequent exchange visits will lead to collaborative and comparative research projects focusing on issues of common interest.
- Visits by the CEO to similar social science institutions in other parts of the world, as suggested by the 2003 Institutional Review. Following a visit to the Economic and Social Research Institute (ESRI) in Ireland, several areas of common interest between the two institutions were identified. The Director of ESRI was subsequently invited to serve as international advisor at the consultative workshop to comment on the Draft Bill for the HSRC to replace current legislation. The comparative perspective obtained in this way proved to be most beneficial.
- Ongoing work of the review task teams working on inter-institutional collaboration as well as collaboration in Africa. The map on page 26 of this Annual Report provides a visual overview of the HSRC's research outreach into and collaboration with Africa.
- Attending consultative and information-sharing meetings facilitated by the DST, particularly in relation to research collaboration in Africa, forum meetings that enabled interaction with international donor organisations with an interest in South Africa, as well as work related to the scientific collaboration agreement between the European Union and South Africa – particularly as this relates to the sixth framework programme.
- Support for international visits of EDs and other senior staff, particularly when

 The HSRC Press website became a fully functioning Open Access publishing website in 2005, the first of its kind in southern Africa. Online versions of titles can be downloaded at no cost via the website. 

these are aligned with externally funded research projects, strategic research alliances or future international collaborative agreements under the auspices of the DST.

- With the help of EDs and senior researchers in all Research Programmes, hosting delegations from various institutions and countries, including those from Brazil, Canada, Cuba, Eritrea, Lesotho, Sweden, Switzerland, the United Kingdom, and the United States of America.
- Outreach, in the form of improved dissemination of annual reports, corporate communication newsletters as well as HSRC publications, to stakeholders throughout the world. The HSRC Press has an international dissemination strategy aimed at both developed and developing countries – particularly in Africa – and intends to reach stakeholders by means of improved electronic communication and free publication downloads via the Internet, as well as strategic alliances and joint ventures with distributing agencies outside South Africa.

The 2003 Institutional Review panel emphasised the importance of activities related to **Corporate Communications**. The year under review saw the further development and ongoing implementation of the HSRC Communication Strategy. This strategy is primarily intended to profile and position the HSRC both internally and externally as a transformed organisation that conducts social science research that makes a difference.

Profiling of the HSRC resulted in a number of strategic media liaison activities, some of which involved publicity on the newly established Gender and Development Unit, the release of the Trends in International Mathematics and Science Study (TIMSS), the second African Conference on Social Aspects of HIV/AIDS Research and the HSRC's own social responsibility project, the Homelessness Project.

Additional media interest was generated by three HSRC seminars, which formed part of the Ten Years of Democracy celebrations, and by the *HSRC Review*, a quarterly newsletter containing information on the latest research results emanating from HSRC studies, surveys, and reports. Furthermore, Corporate Communications facilitated the provision of commentary on the April 2005 elections by various HSRC researchers.

In recognition of increased media interest in the work of the HSRC, Corporate Communications, in collaboration with the South African Agency for Science and Technology Advancement (SASTA), arranged several media relations training sessions for scientists by international science communicators from Australia in November 2004 and from the United Kingdom in February 2005.

Print, radio, and television media coverage of the HSRC for the 2004/05 financial year was double that of 2003/04 in terms of advertising value equivalent (AVE), growing from R22.9 million in 2003/04 to R45.7 million in 2004/05. This is an indication of the

relevance the media attaches to the HSRC's research topics as well as of the validity of the institution's research findings.

The HSRC's presence was also felt at various exhibitions and conferences, such as the International Innovation, Science and Technology Exhibition (INSITE) and the African Ministerial Conference on Housing and Urban Development (AMCHUD) held in Gauteng in November 2004 and in Durban during February 2005 respectively.

The HSRC Press formally constituted its Editorial Board in May 2004. In all, there are ten members, three of whom are *ex officio*, namely, the CEO of the HSRC, the Director of Publishing, and the Chair of the Editorial Board, who is currently a contracted HSRC staff member. The rest of the membership comprises three EDs or their delegated representatives, three external academics drawn from a range of social science disciplines (currently Political Science, Anthropology, and History), and one selected from the membership of Council. Their tenure is for two years.

The Board meets quarterly and its main task is to commission works for publication and to receive and consider reviews on all works submitted to the Press for possible publication. The Board then makes a recommendation on each such work to the Director for consideration. In the financial year ending March 2005, the Board met four times. It considered reviewers' reports on 35 manuscripts, of which it recommended 14 for publication. The rest were either rejected or referred back for further work. Of the 14 manuscripts contracted for publication, eight emanated from within the HSRC.

During the year, the HSRC Press published eight new books, 15 monographs, one collection of conference papers, and four occasional papers. A further 11 titles were in production on 31 March 2005, five of which were completed and delivered during April 2005.

In line with its dissemination approach, HSRC Publishers offers free electronic publications online. After a trial period of two years, the HSRC Press website became a fully functioning Open Access publishing website in February 2005, the first of its kind in southern Africa. Online versions of titles can be downloaded (either as specific chapters or as entire publications) at no cost via the website. These downloads are being measured to assess further the dissemination of HSRC outputs among the research community and civil society.

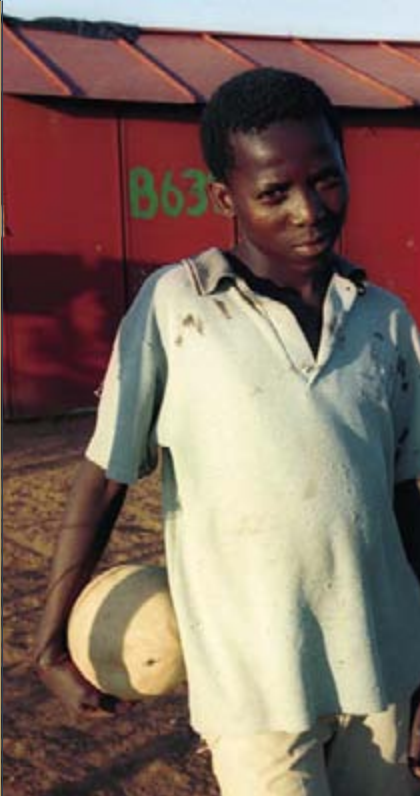
## Executive Director

Dr Romilla Maharaj

Tel: +27 12 302 2080 / Fax: +27 12 302 2068

Email: [rmaharaj@hsrc.ac.za](mailto:rmaharaj@hsrc.ac.za)





## HSRC INTERNAL SEMINARS SERIES

**A**pril 2004. Aspects of Native American acculturation with attention to music, artistic, social, and political crosscurrents, with comparison to the South African context. Dr Robert Rollin, Youngtown State University, Ohio, USA.

April 2004. Information communication technologies in SADC schools. Professor Linda Chisholm, CYFD, Dr Rubby Dhunpath, EEPR and Dr Andrew Paterson, HRD.

May 2004. Sustainable livelihoods in Cato Manor. Ms Judy Mulqueeny, private consultant.

May 2004. The nature of public-private partnerships in the provision of higher education in South Africa. Mr Mahlubi Mabizela, HRD.

June 2004. Giving form to the phenomenon: the changing landscape of private further education and training in South Africa. Messrs Salim Akoojee and Fabian Arends, HRD.

June 2004. The fatherhood project: men and fathers in the media. Chair: Mr John Perlman, SAfm. Participants: Dr David Harrison, CEO of LoveLife, Dr Jeanne Prinsloo, Department of Journalism and Media Studies, Rhodes University, and Mr William Bird, Director, Media Monitoring Project.

June 2004. Entering the next decade of SA Democracy: challenges and prospects I. Focus on governance and the economy. Chair: Dr Mark Orkin, CEO.

- From Mandela to Mbeki: The Presidency. Professor Adam Habib, D&G.
- The political party system. Professor Roger Southall, D&G.
- Employment and growth. Employment and the economy. Dr Miriam Altman, EEPR.
- The role of watchdog bodies in effective governance. Dr John Mafunisa, D&G.

June 2004. Interdepartmental domestic violence programme: beyond the Domestic Violence Act. Ms Mbali Mncadi, Director for Violence Prevention, South African Police Service.

July 2004. The Public Service and development administration. Mr Vino Naidoo, D&G.

- July 2004. **Sexual justices vs cultural justice: Canada and South Africa.** Dr Monique Deveaux, Department of Political Science, Williams College, Massachusetts, USA.
- August 2004. **Military hierarchy, race and ethnicity in the Rhodesia Native Regiment (1916–1918).** Professor Tim Stapleton, Trent University, Canada.
- August 2004. **Focus on Women's Day. A decade of democracy: national gender machinery and challenges for meaningful transformation in gender relations.** Ms Gertrude Fester, Commissioner on Gender Equality.
- August 2004. **Entering the next decade of SA democracy: challenges and prospects II. Focus on education.** Chair: Dr Mark Orkin, CEO.
  - Social cohesion and the transition from apartheid. Mr Phillip Dexter, SCI.
  - Whither the National Research and Development System? Professor Michael Kahn, KM.
  - The administration of development in South Africa: exploring institutional meanings and values. Mr Vino Naidoo, D&G.
  - Rural-based universities: albatrosses or assets for sustainable rural development? Dr Mokubung Nkomo, ATEE.
- August 2004. **Entering the next decade of SA democracy: challenges and prospects III. Focus on health, family and gender.** Chair: Dr Mark Orkin, CEO.
  - Taking a closer look at the national response to HIV/AIDS in South Africa. Dr Olive Shisana, SAHA.
  - Family: change or continuity? Dr Yaw Amoateng, CYFD.
  - Gender, democracy and freedom. Professor Cheryl Potgieter, Gender Unit.
- September 2004. **The 2004 US Presidential Elections: the candidates, the issues, the campaign.** Mr Louis Mazel, Deputy Principal Officer/ Public Affairs Officer, US Consulate-General, Cape Town.
- September 2004. **Analysis of transition into marriage in Malawi, using a Bayesian multi-level discrete time to event model.** Dr Samuel Manda, Centre for Epidemiology and Biostatistics, University of Leeds, UK.
- October 2004. **Co-operation among the Science Councils – a search for the Holy Grail?** Professor Michael Kahn, KM.
- October 2004. **How was it? Reflections on my experiences at a US research institution.** Dr Anil Kanjee, ATEE.
- October 2004. **Thinking about the relationship between the social, human, and other sciences.** Panel discussion. Chair: Professor Jakes Gerwel, HSRC Council Chair. Participants: Professor Wilmot James, SCI, Professor Michael Kahn, KM, Dr Vijay Reddy, ATEE, Mr Enver Motala, HSRC Council.
- October 2004. **From terra nullius to intelligentia nullius: traditional knowledge and intellectual property rights.** Ms Saskia Vermeylen, Centre for Environmental Strategy at the University of Surrey, UK.
- November 2004. **Afghanistan, Iraq and the New World Order.** Mr Tariq Ali, author, scholar, and a founder member of the *New Left Review*. Jointly hosted by the HSRC and the Policy, Research and Analysis Unit of the Department of Foreign Affairs.
- November 2004. **The regulation of higher education: the South African Council on Higher Education and the withdrawal of MBA accreditation.** Chair: Dr Glenda Kruss, HRD. Participants: Professor Doug Blackmur, Standard Bank Chair in Management, University of the Western Cape, Professor Mike Ward, Gordon Institute of Business Science.
- November 2004. **Focus on the International Day of Disabled People. Defining disability: a South African state of the notion.** Ms Margie Schneider and Professor Leslie Swartz, CYFD.
- November 2004. **Focus on 16 days of activism on violence against women and children.** Chair: Professor Cheryl Potgieter, Gender Unit, HSRC.
  - Motivations for acquaintance rape: a mediational analysis of the effects of sexual arousal and sexual dominance on the relationship between rape myth acceptance and rape proclivity. Dr Patrick Chiroro, Department of Psychology, University of Pretoria.
  - Gender-based violence in South Africa with reference to a global context of legislation and lobbying. Dr Desiree Lewis, independent gender consultant.
- December 2004. **International Day of Disabled Persons.** Discussion of video, *F\*\*k the disabled*. Chair: Mr Brian Watermeyer, University of Cape Town.
- January 2005. **Why should we care about unpaid care work?** Ms Debbie Budlender, independent consultant.
- February 2005. **Institutional approaches to industry–higher education partnerships: harnessing innovation potential, or a necessary evil?** Dr Glenda Kruss, HRD.
- February 2005. **The National Research Foundation (NRF) researcher rating system.** Panel discussion. Chair: Professor Andy Dawes, CYFD. Participants: Ms Gudrun Schirge, NRD Evaluation Centre, Professor Eddie Webster, Department of Sociology, University of the Witwatersrand, Dr Andre Kraak, HRD.
- February 2005. **African identity: our place in the world.** Ayi Kwei Armah, Ghanaian poet, writer, and philosopher.
- March 2005. **A Star in Hell: DaimlerChrysler (SA) in the Eastern Cape.** Professor Jo Lorentzen, HRD.
- March 2005. **Land reform and the rural economy in Elliot District, Eastern Cape.** Dr Michael Aliber, IRRD.
- March 2005. **Applying health promotion: from theories to practice.** Professor Hein de Vries, Department of Health Education and Health Promotion, Maastricht University, The Netherlands.
- March 2005. **The national framework for teacher education in South Africa.** Professor Wally Morrow, Chair of the Ministerial Committee on Teacher Education and HSRC Council member.
- March 2005. **Feminism, pacifism, and the war on terror.** Professor Drucilla Cornell, Women Studies and Comparative Literature, Rutgers University, New Jersey, USA.



## RESEARCH OUTPUTS 2004/05

### Books and chapters in HSRC books

- Akojee, S., Gewer, A. & McGrath, S. 2005. South Africa: Skills development as a tool for social and economic development. In: Akojee, S., Gewer, A. & McGrath, S. (eds) *Vocational education and training in southern Africa: A comparative study*. Cape Town: HSRC Press.
- Akojee, S., Gewer, A. & McGrath, S. (eds) 2005. *Vocational education and training in southern Africa: A comparative study*. HSRC Research Monograph. Cape Town: HSRC Press.
- Altman, M. 2005. The state of employment. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
- Bentley, K.A. & Southall, R. 2005. *An African peace process: Mandela, South Africa and Burundi*. Cape Town: HSRC Press.
- Brookes, H., Shisana, O. & Richter, L. 2004. *The national household HIV prevalence and risk survey of South African children*. Cape Town: HSRC Publishers.
- Chisholm, L. 2005. The state of South Africa's schools. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
- Chisholm, L. (ed.) 2004. *Changing class: Education and social change in post-apartheid South Africa*. Cape Town: HSRC Press.
- Cosser, M., Du Toit, J. & Visser, M. 2004. *Settling for less: Student aspirations and higher education realities*. The student choice behaviour project, phase 2. Cape Town: HSRC Publishers.
- Daniel, J., Lutchman, J. & Naidu, S. 2005. South Africa and Nigeria: Two unequal centres in a periphery. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
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- Daniel, J., Southall, R. & Lutchman, J. 2005. Part IV: South Africa in Africa: Introduction. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
- Daniel, J., Southall, R. & Lutchman, J. (eds) 2005. *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
- Deacon, H., Dondolo, L., Mrubata, M. & Prosalendis, S. 2004. *The subtle power of intangible heritage: Legal and financial instruments for safeguarding intangible heritage*. Research monograph. Cape Town: HSRC Publishers.
- Deacon, H., Stephney, I. & Prosalendis, S. 2005. *Understanding HIV/AIDS stigma: A theoretical and methodological analysis*. HSRC Research monograph. Cape Town: HSRC Press.
- Desmond, C. & Boyce, G. 2004. *Assessing the costs of a rural PMTCT pilot site in the eastern Cape*. Cape Town: HSRC Publishers.
- Dlamini, P.K. 2004. *A description selected interventions for the care of orphans and vulnerable children in Botswana, South Africa and Zimbabwe*. Research monograph. Cape Town: HSRC Publishers.
- Dlamini, P.K., Skinner, D. & Zungu-Dirwayi, N. 2004. *Projects funded by the W.K. Kellogg Foundation on HIV/AIDS in southern Africa: Report of the colloquium, 26–27 November 2003*. Cape Town: HSRC Publishers.
- Foster, D., Haupt, P. & De Beer, M. 2005. *The theatre of violence: Narratives of protagonists in the South African conflict*. Cape Town: HSRC Press.
- Gibson, J.L. 2004. *Overcoming apartheid: Can truth reconcile a divided nation?* Cape Town: HSRC Press.
- Hall, E., Altman, M., Nkomo, N. & Zuma, K. 2005. *Potential attrition in education: The impact of job satisfaction, morale, workload and HIV/AIDS*. Cape Town: HSRC Press.
- Hemson, D. & Owusu-Ampomah, K. 2005. A better life for all? Service delivery and poverty alleviation. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
- Herbstein, D. 2004. *White lies: Canon Collins and the secret war against apartheid*. Cape Town: HSRC Press.
- Human Sciences Research Council & Education Policy Consortium. 2005. *Emerging voices: A report on education in South African rural communities*. Cape Town: HSRC Press.
- James, W. 2004. *Africa in the age of biology*. Africa Genome Initiative Series; No. 3. Cape Town: HSRC Publishers.
- James, W. (ed.) 2004. *Intellectual property streetwise: What people in the creative industries need to know about intellectual property*. Cape Town: HSRC Publishers.
- Mabizela, M. 2005. *The business of higher education: A study of public–private partnerships in the provision of higher education in South Africa*. HSRC research monograph. Cape Town: HSRC Press.
- Mabizela, M. 2005. Namibia: Repositioning vocational education and training. In: Akojee, S., Gewer, A. & McGrath, S. (eds) *Vocational education and training in southern Africa: a comparative study*. Cape Town: HSRC Press.
- Magau, T. 2005. Lesotho: The uphill journey to development. In: Akojee, A., Gewer, A. & McGrath, S. (eds) *Vocational education and training in southern Africa: A comparative study*. Cape Town: HSRC Press.
- Martinussen, J. 2004. *Society, state & market: A guide to competing theories of development. 4th impression*. Pretoria: HSRC Publishers.
- McGrath, S. 2005. Key issues and challenges for transformation. In: Akojee, S., Gewer, A. & McGrath, S. (eds) *Vocational education and training in southern Africa: A comparative study*. Cape Town: HSRC Press.
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- McKinney, C. 2005. *Textbooks for diverse learners: A critical analysis of learning materials used in South African schools*. Cape Town: HSRC Press.



- Morrow, S. & Wotshela, L. 2005. The state of the archives and access to information. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
- Morrow, S. 2004. Don't bite the hand that feeds you: South African education NGOs in a period of change. In: Chisholm, L. (ed.) *Changing class: Education and social change in post-apartheid South Africa*. Cape Town: HSRC Press.
- Murray, M.J. 2004. *The evolving spatial form of cities in a globalising world economy: Johannesburg and Sao Paulo*. Democracy and Governance Research Programme Occasional Paper No. 5. Cape Town: HSRC Publishers.
- Naidoo, V. 2005. The state of the public service. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
- Naidu, S. & Roberts, B. 2004. *Confronting the region: A profile of southern Africa*. Integrated Rural and Regional Development Research Programme Occasional Paper No. 8. Cape Town: HSRC Publishers.
- Nkomo, M., McKinney, C. & Chisholm, L. (eds) 2004. *Reflections on school integration: Colloquium proceedings*. Cape Town: HSRC Publishers.
- Orkin, M. 2005. Foreword. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
- Phurutse, M.C. 2005. *Factors affecting teaching and learning in South African public schools*. Report funded by and prepared for the Education Labour Relations Council (ELRC). Cape Town: HSRC Press.
- Rehle, T. & Shisana, O. 2005. *The impact of antiretroviral treatment on AIDS mortality: A study focusing on educators in South African public schools*. Cape Town: HSRC Press.
- Rehle, T., Shisana, O., Glencross, D. & Colvin, M. 2005. *HIV-positive educators in South African public schools: Predictions for prophylaxis and antiretroviral therapy*. Cape Town: HSRC Press.
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- Shisana, O., Mehtar, S., Mosala, T., Zungu-Dirwayi, N., Rehle, T., Dana, P., Colvin, M., Parker, W., Connolly, C., Dunbar, R. & Gxamza, F. 2005. *HIV risk exposure among young children: A study of 2–9 year olds served by public health facilities in the Free State, South Africa*. Cape Town: HSRC Press.
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- Simbayi, L.C., Skinner, D., Letlape, L. & Zuma, K. 2005. *Workplace policies in public education: A review focusing on HIV/AIDS*. Cape Town: HSRC Press.
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## RESEARCH OUTPUTS 2004/05

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- Southall, R. & Daniel, J. 2005. *The state of parties post-election 2004: ANC dominance and opposition enfeeblement*. In: Daniel, J., Southall, R. & Lutchman, J. (eds) *State of the nation: South Africa 2004–2005*. Cape Town: HSRC Press.
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- Zungu-Dirwayi, N., Shisana, O., Udjo, E., Mosala, T. & Seager, J. (eds) 2004. *An audit of HIV/AIDS policies in Botswana, Lesotho, Mozambique, South Africa, Swaziland and Zimbabwe*. Research monograph. Cape Town: HSRC Publishers.
- Du Toit, J.L. 2004. *Independent schooling in post-apartheid South Africa: A quantitative overview*. Research Programme on Human Resources Development Occasional Paper No. 1. Cape Town: HSRC Publishers.
- & Maphunye, K.J. (eds) *Participatory development in South Africa: A development management perspective*. Pretoria: Van Schaik.
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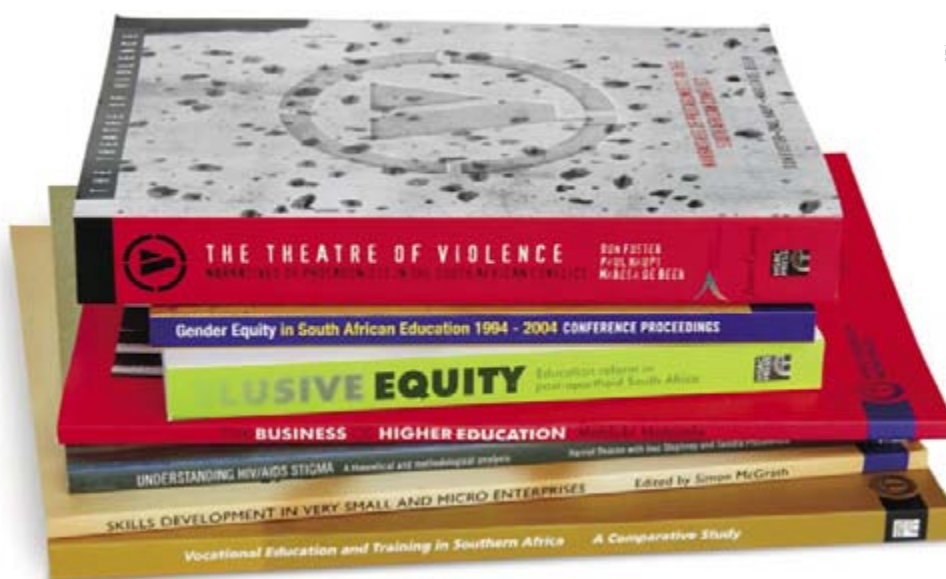
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## ABBREVIATIONS

<b>ADEA</b>	Association of Development of Education in Africa	<b>FOSAD</b>	Forum for South African Directors-General
<b>AEIN</b>	Africa Environment Information Network	<b>FET</b>	Further Education and Training
<b>AGI</b>	Africa Genome Initiative	<b>FETC</b>	Further Education and Training Certificate
<b>AISA</b>	Africa Institute of South Africa	<b>FIVIMS</b>	Food Insecurity and Vulnerability Information and Mapping Systems
<b>AMASA</b>	Assessment of Maths and Science in Africa	<b>FSA</b>	Financial service access
<b>AMCHUD</b>	African Ministerial Conference on Housing and Urban Development	<b>FSDP</b>	Free State Developmental Plan
<b>AMI</b>	Assessment Modelling Initiative	<b>GCIS</b>	Government Communication and Information System
<b>ANRS</b>	<i>Agence Nationale de Recherches sur le Sida</i>	<b>GERD</b>	Gross expenditure on R&D
<b>ARB</b>	Assessment Resource Bank	<b>GGP</b>	Gross Geographic Project
<b>ARC</b>	Agricultural Research Council	<b>GIS</b>	Geographical Information System
<b>ART</b>	Anti-retroviral therapy	<b>GRIPP</b>	Getting research into policy and programmes
<b>ATEE</b>	Assessment Technology and Education Evaluation	<b>GTZ</b>	Deutsche Gesellschaft für Technische Zusammenarbeit GmbH
<b>AVE</b>	Advertising value equivalent	<b>HDI</b>	Historically Disadvantaged Individual(s)
<b>BEE</b>	Black economic empowerment	<b>HE</b>	Higher education
<b>CADRE</b>	Centre for AIDS Development Research and Evaluation	<b>HEI</b>	Higher Education Institution
<b>CAMHS</b>	Child and adolescent mental health services	<b>HEMIS</b>	Higher Education Management Information System
<b>CAPRISA</b>	Centre for AIDS Programme of Research in South Africa	<b>HIV/AIDS</b>	Human immunosuppressive virus/acquired immune deficiency syndrome
<b>CARTTs</b>	Classroom-assessment resource tasks for teachers	<b>HR</b>	Human Resources
<b>CASS</b>	Chinese Academy of Social Sciences	<b>HRD</b>	Human Resources Development
<b>CDC</b>	Centre for Disease Control and Prevention	<b>HSRC</b>	Human Sciences Research Council
<b>CEPD</b>	Centre for Education Policy Development	<b>ICT</b>	Information and communication technology
<b>CeSTII</b>	Centre for Science, Technology and Innovation Indicators	<b>IDC</b>	Industrial Development Corporation
<b>CETO</b>	Confederation of Trade Unions (Ethiopia)	<b>IEC</b>	Independent Electoral Commission
<b>CGE</b>	Computable general equilibrium	<b>IFPRI</b>	International Food Policy Research Institute
<b>CHAMP</b>	Collaborative HIV/AIDS and Adolescent Mental Health Project	<b>ICBA</b>	International Institute for Capacity-Building in Africa
<b>CHE</b>	Council on Higher Education	<b>ILO</b>	International Labour Organisation
<b>CHIETA</b>	Chemical Industry Education and Training Authority	<b>INSITE</b>	Innovation, Science and Technology Exhibition
<b>CIDA</b>	Canadian International Development Agency	<b>IIKSSA</b>	Institute for Indigenous Knowledge Systems in South Africa
<b>CMIP</b>	Consolidated Municipal Infrastructure Programme	<b>IRDP</b>	Integrated Rural Development Programme
<b>CNRS</b>	<i>Centre National de la Recherche Scientifique</i> (French National Centre for Scientific Research)	<b>IRRD</b>	Integrated Rural and Regional Development
<b>CODESRIA</b>	Council for the Development of Social Science Research in Africa	<b>IS</b>	Information Services
<b>COSATU</b>	Congress of South African Trade Unions	<b>ISS</b>	Institute for Security Studies
<b>CS</b>	Corporate Services	<b>ISSC</b>	International Social Science Council
<b>CSG</b>	Child Support Grant	<b>IT</b>	Information technology
<b>CSIR</b>	Council for Scientific and Industrial Research	<b>IUCN</b>	World Conservation Union
<b>CYFD</b>	Child, Youth and Family Development	<b>IYF</b>	International Year of the Family
<b>D&amp;G</b>	Democracy and Governance	<b>JET</b>	Joint Education Trust
<b>DAC</b>	Department of Arts and Culture	<b>KM</b>	Knowledge Management
<b>DANIDA</b>	Danish Agency for Development Assistance	<b>LAMP</b>	Learner Achievement Monitoring Programme
<b>DBSA</b>	Development Bank of Southern Africa	<b>LED</b>	Local economic development
<b>Dfid</b>	Department for International Development (UK)	<b>LIEP</b>	Language-in-education policy
<b>DLN</b>	District Learning Network	<b>LLS</b>	Language and Literacies Studies
<b>DMA</b>	District Management Area	<b>LMA</b>	Labour Market Analysis
<b>DoC</b>	Department of Communications	<b>LRAD</b>	Land Redistribution for Agricultural Development
<b>DoE</b>	Department of Education	<b>MDDA</b>	Media Development and Diversity Agency
<b>DPLG</b>	Department of Provincial and Local Government	<b>MDG</b>	Millennium Development Goal(s)
<b>DPRU</b>	Development Policy Research Unit	<b>MEDUNSA</b>	Medical University of South Africa
<b>DPSA</b>	Department of Public Service and Administration	<b>MoU</b>	Memorandum of understanding
<b>DSD</b>	Department of Social Development	<b>METAGORA</b>	Measuring Democracy, Human Rights and Good Governance
<b>DST</b>	Department of Science and Technology	<b>MRC</b>	Medical Research Council
<b>DTI</b>	Department of Trade and Industry	<b>MTEF</b>	Medium Term Expenditure Framework
<b>ECD</b>	Early childhood development	<b>MTT</b>	Mobile task team
<b>ECSECC</b>	Eastern Cape Socio-Economic Consultative Council	<b>NACI</b>	National Advisory Council on Innovation
<b>ED</b>	Executive Director	<b>NAPTOSA</b>	National Professional Teachers Organisation of South Africa
<b>EFA</b>	Education For All	<b>NATU</b>	National Teachers Union
<b>EEPR</b>	Employment and Economic Policy Research	<b>NEDLAC</b>	National Economic Development and Labour Council
<b>ELRC</b>	Education Labour Relations Council	<b>NEPAD</b>	New Partnership for Africa's Development
<b>EMIS</b>	Education Management Information System	<b>NEUM</b>	Non-European Unity Movement
<b>EPR</b>	Education Policy Research	<b>NFVF</b>	National Film and Video Foundation
<b>ESRI</b>	Economic and Social Research Institute	<b>NGO</b>	Non-governmental organisation
<b>ETDP SETA</b>	Education Training and Development Practitioner Sector Education and Training Authority	<b>NIH</b>	National Institutes of Health
<b>EU</b>	European Union	<b>NIMH</b>	National Institute for Mental Health (USA)
<b>FAO</b>	Food and Agriculture Organisation (UN)	<b>NMF</b>	Nelson Mandela Foundation
<b>FASSET</b>	Financial Services and Management Sector Education and Training Authority	<b>NPO</b>	Not for profit organisation
		<b>NQF</b>	National Qualifications Framework

## ABBREVIATIONS

<b>NRA</b>	National Roads Agency	<b>SASAS</b>	South African Social Attitudes Survey
<b>NRF</b>	National Research Foundation	<b>SATPOR</b>	Science and Technology for Poverty Reduction
<b>NSDS</b>	National Skills Development Strategy	<b>SBI</b>	Screening and brief intervention
<b>NSI</b>	National System of Innovation	<b>SCI</b>	Social Cohesion and Identity
<b>OECD</b>	Organisation for Economic Cooperation and Development	<b>SDC</b>	Swiss Development Corporation
<b>OSSREA</b>	Organisation for Social Science Research in Eastern and Southern Africa	<b>SETA</b>	Sector Education and Training Authority
<b>OVC</b>	Orphans and vulnerable children	<b>SETI</b>	Science, Engineering and Technology Institution
<b>PDC</b>	Provincial Development Council	<b>Sida</b>	Swedish International Development Cooperation Agency
<b>PEAC</b>	President's Economic Advisory Council	<b>SITES</b>	Second Information Technology in Education Study
<b>PF</b>	Project Finance	<b>SMEs</b>	Small to/and medium enterprises
<b>PFMA</b>	Public Finance Management Act	<b>SMMEs</b>	Small, medium and micro enterprises
<b>PLWHA</b>	People living with HIV/AIDS	<b>SMTE</b>	Science, Mathematics and Technology education
<b>PMTCT</b>	Prevention of mother-to-child transmission	<b>SOCIP</b>	State of our Cities Project
<b>PNC-ISAD</b>	Presidential National Commission for the Information Society and Development	<b>SoE</b>	State of the Environment
<b>PRAESA</b>	Project for Alternative Education in South Africa	<b>SSP</b>	Sector Skills Plan
<b>PROMOTE</b>	Programme for Monitoring Trends in Education Quality	<b>Stats SA</b>	Statistics South Africa
<b>PRSP</b>	Poverty Reduction Strategy Paper	<b>STI</b>	Sexually transmitted infection
<b>QLP</b>	Quality Learning Project	<b>SWOP</b>	Sociology of Work Programme
<b>R&amp;D</b>	Research and Development	<b>TBA</b>	Traditional birth attendant
<b>RBSD</b>	Resource-based sustainable development	<b>TENET</b>	Tertiary Education Network
<b>RBTC</b>	Resource Based Technology Clusters	<b>THETA</b>	Tourism and Hospitality Education and Training Authority
<b>REC</b>	Research Ethics Committee	<b>THRIP</b>	Technology and Human Resources for Industry Programme
<b>REPSSI</b>	Regional Psychosocial Support Initiative for Children affected by HIV/AIDS	<b>TIMSS</b>	Trends in International Mathematics and Science Study
<b>RMS</b>	Research Management System	<b>TIPS</b>	Trade and Industrial Policy Strategies
<b>S&amp;T</b>	Science and Technology	<b>TRC</b>	Truth and Reconciliation Commission
<b>SAASTA</b>	South African Agency for Science and Technology Advancement	<b>TVET</b>	Technical and Vocational Education and Training
<b>SABS</b>	South African Bureau of Standards	<b>UCT</b>	University of Cape Town
<b>SADC</b>	Southern African Development Community	<b>UFH</b>	University of Fort Hare
<b>SADET</b>	South African Democratic Education Trust	<b>UKZN</b>	University of KwaZulu-Natal
<b>SADTU</b>	South African Democratic Teachers Union	<b>UNAIDS</b>	United Nations HIV/AIDS Programme
<b>SAHA</b>	Social Aspects of HIV/AIDS and Health	<b>UNDP</b>	United Nations Development Programme
<b>SAHARA</b>	Social Aspects of HIV/AIDS Research Alliance	<b>UNECA</b>	United Nations Economic Commission for Africa
<b>SAIDE</b>	South African Institute for Distance Education	<b>UNESCO</b>	United Nations Educational, Scientific, and Cultural Organisation
<b>SALGA</b>	South African Local Government Association	<b>UNICEF</b>	United Nations Children's Fund
<b>SAMDI</b>	South African Management Development Institute	<b>UNIFEM</b>	United Nations Programme for Women
<b>SAMM</b>	Surveys, Analyses, Modelling and Mapping	<b>UNISA</b>	University of South Africa
<b>SANE</b>	South African New Economics	<b>URD</b>	Urban Renewal and Development
<b>SANGOCO</b>	South African NGO Council	<b>USAID</b>	United States Agency for International Development
<b>SANLI</b>	South African National Literacy Initiative	<b>UWC</b>	University of the Western Cape
<b>SANRIC</b>	South African National Research Information Consortium	<b>VCT</b>	Voluntary Counselling and Testing
<b>SAOU</b>	Suid-Afrikaanse Onderwysersunie	<b>VFR</b>	Visit family or relatives
<b>SARPN</b>	Southern African Regional Poverty Network	<b>WAF</b>	World AIDS Foundation
<b>SARS</b>	Severe acute respiratory syndrome	<b>WHO</b>	World Health Organisation
		<b>WKKF</b>	W.K. Kellogg Foundation
		<b>WRC</b>	Water Research Commission
		<b>WSSD</b>	World Summit on Sustainable Development



# NOTES

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# ANNUAL FINANCIAL STATEMENTS

31 MARCH 2005

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# ANNUAL FINANCIAL STATEMENTS

31 MARCH 2005

## Introduction

The maintaining of accounting and other records as well as an effective system of internal control is the responsibility of the Council's CEO. In the opinion of the Council of the HSRC, this requirement has been complied with.

The preparing of Financial Statements that fairly present the state of affairs of the HSRC as at year-end and the operating results for the year is the responsibility of the Council of the HSRC. The Auditors are expected to report on the Annual Financial Statements. The HSRC's Annual Financial Statements are prepared on the basis of the accounting policies set out therein. These policies have been complied with on a continuous basis.

## Approval and post-balance sheet events

The 2004/05 Annual Financial Statements, set out on pages 100 to 153, were approved by the Council of the HSRC on 26 May 2005. In the Council's opinion, the Annual Financial Statements fairly reflect the financial position of the HSRC at 31 March 2005 and the results of its operations for the period then ended. No material facts or circumstances have arisen between the date of the balance sheet and the date of approval, which affect the financial position of the HSRC as reflected in these Financial Statements.

The Council is of the opinion that the HSRC is financially sound and operates as a going concern, and it has formally documented the facts and assumptions used in its annual assessment of the organisation's status.



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Professor G.J. Gerwel  
Chair: HSRC Council



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Dr F.M. Orkin  
President and CEO

Pretoria, 26 May 2005



# REPORT OF THE AUDITOR-GENERAL

to Parliament on the Financial Statements of the Human Sciences Research Council for the year ended 31 March 2005

## 1. Audit assignment

The Financial Statements as set out on pages 100 to 152, for the year ended 31 March 2005 have been audited in terms of section 188 of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996), read with sections 4 and 20 of the Public Audit Act, 2004 (Act No. 25 of 2004), and section 13(3) of the Human Sciences Research Council Act, 1968 (Act No. 23 of 1968). These financial statements, the maintenance of effective control measures, and compliance with relevant laws and regulations are the responsibility of the accounting authority. My responsibility is to express an opinion on these financial statements, based on the audit.

## 2. Nature and scope

The audit was conducted in accordance with Statements of South African Auditing Standards. Those standards require that I plan and perform the audit to obtain reasonable assurance that the Financial Statements are free of material misstatement.

An audit includes:

- examining, on a test basis, evidence supporting the amounts and disclosures in the Financial Statements;
- assessing the accounting principles used and significant estimates made by management, and
- evaluating the overall Financial Statement presentation.

Furthermore, an audit includes an examination, on a test basis, of evidence supporting compliance in all material respects with the relevant laws and regulations which came to my attention and are applicable to financial matters.

The audit was completed in accordance with Auditor-General Directive No. 1 of 2005.

I believe that the audit provides a reasonable basis for my opinion.

### 3. Audit opinion

In my opinion the Financial Statements fairly present, in all material respects, the financial position of the Human Sciences Research Council at 31 March 2005 and the results of its operations and cash flows for the year then ended in accordance with generally accepted accounting practice, and in the manner required by the Public Finance Management Act, 1999 (Act No. 1 of 1999) (PFMA).

### 4. Emphasis of matter

Without qualifying the audit opinion expressed above, attention is drawn to the following matter:

#### **Supply chain management (SCM)**

According to section 12 of the SCM, if an institution to which the SCM applies lacks the capacity to comply fully with these regulations, the institution may continue to make use of existing procurement processes through the relevant tender boards or other provincial procurement authorities, subject to any instructions of the relevant treasury. The Human Sciences Research Council did inform the Department of Science and Technology and the National Treasury, in a letter dated 31 March 2005, regarding their non-compliance with certain sections of the SCM and to date no reply has been received.

### 5. Appreciation

The assistance rendered by the staff of the Human Sciences Research Council during the audit is sincerely appreciated.



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N. Manik for Auditor-General

Pretoria

14 July 2005



A U D I T O R - G E N E R A L



# COUNCIL'S REPORT

## FOR THE PERIOD ENDING 31 MARCH 2005

### 1. Mandate and objectives of the Human Sciences Research Council

The mandate of the Human Sciences Research Council (HSRC) is derived from the Human Sciences Research Act, 1968 (Act No. 23 of 1968) as amended.

The following summarise some of the main functions of the Council provided in the Act:

- (a) to undertake or cause to be undertaken research on behalf of the State or any person or authority;
- (b) to advise the Minister in respect to the undertaking and promotion, of social scientific research and its utilisation for the benefit of the country;
- (c) to effect co-ordination of research;
- (d) to co-operate with departments of state, universities, technikons, colleges of education, training colleges, schools and other persons and authorities for the promotion and conduct of research;
- (e) to co-operate with persons and authorities in other countries conducting or promoting research in the human sciences; and
- (f) to publish or cause to be published the publication of the results of research.

The Act also mandates the HSRC to undertake contract research on any subject in the field of the human sciences and to charge fees for research conducted or services rendered.

The Council's Report for 2003/04 contains reference to plans to revise the 1968 Human Sciences Research Act. The Department of Science and Technology (DST) initiated a process for redrafting this Act. A Draft Bill prepared by the Department was reviewed by the HSRC with inputs from the Council and internal and external stakeholders. The draft, which draws on the recommendations of the HSRC Institutional Review undertaken in 2003, focuses more specifically on the public purposes of the HSRC and is in keeping with the current legislative framework within which the Council operates.

### 2. Governance of the HSRC

#### 2.1 The Council

Strictly speaking, "the HSRC" or "Council" refers to the group of up to ten people, including a chairperson, appointed for a period of four years by the Minister of Science and Technology. Appointees have distinguished themselves in the field of the human sciences or possess special qualifications in relation to some aspect of the functions of the Council. The Council appoints the President and Chief Executive Officer (CEO) of the HSRC, on a five-year contract, and s/he serves as a further, ex officio member on the Council.

More colloquially, and in this report, "the HSRC" is taken to refer to the wider organisation – including approximately 290 employees in three centres – and "the Council" to the abovementioned group of people, who are the governing body of the wider HSRC.

The Council receives its annual Parliamentary grant from, and also reports to, the DST.

#### 2.2 Members of the Council

In 2004 the Minister of Science and Technology appointed a new Council following due consultation and approval by Cabinet. The four-year term of office of the new Council started on 1 November 2004 and expires on 31 October 2008.

Members of the Council during the 2004/05 period were:

From 1 April 2004 to 31 October 2004:

- Professor G.J. Gerwel (Chair)
- Dr N.N. Gwagwa
- Mrs N. Jordan

## COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

Professor W.E. Morrow  
Mr M.E. Motala  
Mrs P. Ntombela-Nzimande  
Mr M.V. Sisulu  
Dr F.M. Orkin (President and CEO of the HSRC)

From 1 November 2004 to 31 March 2005:

Professor G.J. Gerwel (Chair)  
Ms N. Gasas  
Dr P. Gobodo-Madikizela  
Mr S.A.H. Kajee (until 8 March 2005)  
Mr T. Makwetu (from 10 March 2005)  
Professor W.E. Morrow  
Mr M.E. Motala  
Mrs P. Ntombela-Nzimande  
Mr S.M. Pityana  
Mr M.V. Sisulu  
Professor E.C. Webster  
Dr F.M. Orkin (President and CEO of the HSRC)

Following the appointment of KPMG Services (Pty) Ltd as the outsourced Internal Auditors of the HSRC, Mr S.A.H. Kajee, a director in the firm, who would lead the provision of the function, resigned as Council member and Chair of the Audit Committee. The Minister of Science and Technology appointed a new Council member, Mr T. Makwetu, who also chairs the Audit Committee.

The Council met on 20 May 2004, 26 August 2004, 19 November 2004, and 7 February 2005.

### 2.3 Responsibilities of the Council

In terms of the Public Finance Management Act (PFMA), the Council is the accounting authority for the HSRC. The Act sets out the fiduciary requirements, corporate governance duties and a range of general responsibilities of the accounting authority.

The Council is responsible *inter alia* for preparing financial statements that accurately reflect the HSRC's position and results at the end of a financial year, which is set at 31 March. The Office of the Auditor-General is responsible for reporting on the financial statements of the organisation.

In the year under review applicable accounting standards were adhered to and adequate accounting records and an effective system of internal control maintained in the organisation. Appropriate accounting policies, supported by reasonable and prudent judgements and estimates, were applied on a consistent basis.

The PFMA requires organisations funded with public money to formalise delegations. Council approved written delegations to the CEO on 15 August 2002. These in turn provide the framework for delegations from the CEO to the Executive Directors (EDs), which were approved on 29 May 2003. The onward delegations from the EDs to Directors and other senior levels of staff were approved on 20 May 2004.

The HSRC is currently listed as a national public entity, under Schedule 3A of the PFMA. In the wake of the recent growth of the organisation, largely funded from external sources, a number of practical constraints related to its Schedule 3A listing became evident. Following a period of consultation by the HSRC management, Council agreed that the HSRC should submit a request to be relisted as a national government business enterprise, under

## COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

Schedule 3B of the PFMA. This request was lodged in April 2005.

On the basis of the Annual Financial Statements for 2004/05 and information regarding the forthcoming financial year, Council has every reason to believe that the HSRC will remain a going concern. It continues to receive substantial Parliamentary grant funding via the Science Vote (increased to R83,6 million plus a R4,5 million ring-fenced grant for 2005/06, set to increase to a total of R105,6 million for 2007/08). External research income targets for 2005/06 are likely to be met or exceeded, based on historical evidence and a substantial amount of external income already secured in the form of longer-term research contracts or grants (approximately R77 million in external income for the 2005/06 budget year was already secured by February 2005 in the form of signed contractual agreements).

### 2.4 Sub-committees

On 31 March 2005 the Council had four sub-committees: an Executive Committee, a Human Resources and Remuneration Committee, a Research Committee and an Audit Committee.

#### 2.4.1 Executive Committee

From 1 April to 31 October 2004 the Executive Committee comprised the following members:

Professor G.J. Gerwel (Chair)

Mr E. Motala

Dr F.M. Orkin (President and CEO)

From 1 November 2004 to 31 March 2005 the Executive Committee comprised the following members:

Professor G.J. Gerwel (Chair)

Mr T. Makwetu (Chair of the Audit Committee) (from 10 March 2005)

Dr P. Gobodo-Madikizela (Chair of the Research Committee)

Dr F.M. Orkin (President and CEO)

Mr S.A.H. Kajee was a member of the Executive Committee until 8 March 2005.

It was not necessary for the Executive Committee to meet during the year under review.

#### 2.4.2 Human Resources and Remuneration Committee

From 1 April to 31 October 2004 two separate sub-committees, the Human Resources Committee and the Remuneration Committee, comprised the following members:

Human Resources Committee

Mrs N. Jordan

Dr F.M. Orkin (President and CEO)

Remuneration Committee

Professor G.J. Gerwel (Chair)

Mr M.E. Motala

Dr F.M. Orkin (President and CEO)

The Human Resources Committee met jointly with the Remuneration Committee on 20 May 2004, 26 August 2004, and 19 November 2004.

On 19 November 2004 the Council constituted a joint Human Resources and Remuneration Committee.

On 31 March 2005 the Human Resources Committee and Remuneration Committee comprised the following members:

Professor G.J. Gerwel (Chair)

Professor E.C. Webster

Mrs P. Ntombela-Nzimande

Dr F.M. Orkin (President and CEO)

The Human Resources and Remuneration Committee met on 7 February 2005.



### 2.4.3 Research Committee

From 1 April 2004 to 31 October 2004 the Research Committee comprised the following members:

Professor G.J. Gerwel (Chair)  
Mrs N. Jordan  
Professor W.E. Morrow  
Mr M.E. Motala  
Dr F.M. Orkin (President and CEO)

From 1 November 2004 to 31 March 2005 the Research Committee comprised the following members:

Dr P. Gobodo-Madikizela (Chair)  
Professor G.J. Gerwel  
Ms N. Gasa  
Professor W.E. Morrow  
Mr M.E. Motala  
Mr S.M. Pityana  
Mr M.V. Sisulu  
Dr F.M. Orkin (President and CEO)

The Research Committee met on 21 January 2005. Members of the Research Committee also monitored and contributed to the HSRC Research Conference in July 2004.

### 2.4.4 Audit Committee

The members of the HSRC Audit Committee are appointed for a calendar year. During 2004/05 the Audit Committee comprised three specialist external members and two members of Council.

The specialist members were:

Mr S.A.H. Kajee, BCompt (Hons) CIA AGA (SA) MBA (Chair) (until 8 March 2005)  
Mr T. Makwetu (from 10 March 2005)  
Mr R.J. Page-Shipp, MSc  
Ms R. Xaba (from 6 June 2004)

The members of Council on the Audit Committee were:

Dr N.N. Gwagwa (until 31 October 2004)  
Mr S.A.H. Kajee (from 1 November 2004 until 8 March 2005)  
Mr T. Makwetu (from 10 March 2005)  
Professor W.E. Morrow (from 1 November 2004)  
Dr F.M. Orkin (President and CEO)

The Audit Committee functions in accordance with the PFMA and associated Treasury regulations. The Audit Committee adopted formal terms of reference (Audit Committee Charter) on 27 January 2005 in accordance with requirements of the King II Report. The Committee structures its activities and reporting according to a comprehensive planned schedule, with target dates. It reviews the following documents, and reports on them to the ensuing meetings of the Council: annual internal audit plan, the external audit plan; periodic internal audit reports, the proposed budget for the year, quarterly and Annual Financial Statements, quarterly compliance reports to DST in terms of the PFMA, debtors reports and the annual external audit report of the HSRC.

The Audit Committee submits a summary of its activities to the Council on a regular basis. It also submits a report of its work for inclusion in the HSRC Annual Report.

Under the guidance of the Audit Committee, a strategic assessment of the HSRC's risk areas during its transition was conducted in 2001/02. This will be periodically revisited, with an initial follow-up exercise undertaken in April 2004. The Committee monitors risk management in the organisation on an ongoing basis (see section 7).

During 2003, a corporate governance review was undertaken by co-sourced internal audit partners. The report



## COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

of this review was noted by Council and points for follow-up action were identified. In accordance with the requirements of the PFMA, a draft fraud prevention plan was prepared and a finalised version will be considered for approval by Council in May 2005. The Audit Committee also supervised an Information Technology audit, undertaken by co-sourced internal audit partners, and receives quarterly reports on the implementation of the recommendations.

The Audit Committee met on 13 May 2004, 23 July 2004, and 27 January 2005.

### 2.5 Research Ethics Committee

Council approved the establishment of a Research Ethics Committee (REC) in 2002, with the mandate to review all HSRC research proposals from the perspective of research ethics. The REC aims to promote a culture of ethical conduct and research integrity in the HSRC, and reports annually to Council. It has ten internal representatives from the Research Programmes and six external members. It is empowered to recognise the authority of ethics committees at other institutions to approve proposals on behalf of the HSRC where necessary. The REC began functioning in 2003. The REC successfully applied to the US Office of Research Protections for Federalwide Assurance within its first year of operation and was granted Institutional Review Board status (Federalwide Assurance FWA 00006347 posted at <http://ohrp.cit.nih.gov/search/asearch.asp>).

In the financial year under review it met nine times and considered some 51 project proposals. Of these, 49 proposals had been approved by May 2005, some following incorporation of feedback from the Committee and re-submission. From 2005/06 it will be mandatory for all HSRC research projects to have ethical clearance.

An academic expert was commissioned to revise the HSRC Code of Research Ethics that was updated in 2003/04 and the REC will review this draft. In fulfilling its mandate of increasing awareness of research ethics in the organisation, members of the REC as well as external experts invited to serve on a discussion panel, participated in a plenary discussion at the July 2004 Winter Research Conference. This debate was followed by an internal seminar at the HSRC. Both occasions stimulated lively discussions.

During 2004/05 the external REC members were:

Professor Peter Cleaton-Jones – Dental Research Institute, University of the Witwatersrand (Chair)

Professor Christa van Wyk – Department of Jurisprudence, UNISA

Dr Doug Wassenaar – School of Psychology, University of KwaZulu-Natal, Pietermaritzburg  
(from 25 February 2005)

Dr Jerome Singh – Centre for the AIDS Programme of Research in South Africa – CAPRISA,  
Doris Duke Medical Research Centre, Nelson R. Mandela School of Medicine, Durban  
(from 9 September 2004)

Dr Mantoa Mokhachane – Chris Hani Baragwanath Hospital, Soweto (from 25 February 2005)

Dr Martin Bulmer – University of Surrey, United Kingdom

Professor Martin Prozesky – Unilever Ethics Centre, University of Natal (until 18 October 2004)

Dr Percy Mahlali – Senior Technical Advisor to the Director-General of the Department of Health  
(until 13 October 2004)

Ms Khanyisha Nevhuthalu – Ethics Institute of South Africa (until 13 October 2004)

On 31 March 2005 the deputy chairperson of the Ethics Committee was Professor Linda Richter, a research Executive Director in the HSRC.

### 2.6 Council members' remuneration

Council members who are not HSRC staff members or government officials receive honoraria for the services they render to the Council in accordance with the relevant determination by the National Treasury.

Non-HSRC members of the Audit Committee are reimbursed on an hourly claims basis, according to professional fee schedules.

Where Council members are requested to provide additional advisory services to the HSRC on the basis of their



professional specialities, they are reimbursed in accordance with the professional advisory fees recommended by the Auditor-General. These services include requests for a member of Council to serve on interview panels for EDs, in accordance with an agreement reached with the Union in 1998. During 2003/04, and prior to her becoming a member of the HSRC Council, Ms N. Gasa was appointed as lead consultant for an HSRC contract project dealing with women's role in transforming South Africa. Payments made for this service during 2004/05 are reflected in Note 6 of the audited Annual Financial Statements.

## 2.7 Council members' interest in contracts

No contracts involving Council members' interest were entered into in the year under review.

Prior to the tendering process leading to the appointment of KPMG (Pty) Ltd as the outsourced Internal Auditors of the HSRC, Mr S.A.H. Kajee, a director in the firm, who was a Council member and Chair of the Audit Committee at the time, declared a potential conflict of interest and was accordingly entirely excluded from deliberations dealing with this tender. Mr Kajee resigned from the Council and Audit Committee following the appointment of KPMG.

## 2.8 Losses, irregularities and other matters

Losses or irregularities are referred to in Section 55(2)(b) of the PFMA, and defined in the Materiality Framework developed and agreed in terms of Treasury Regulations 28.1.5.

The Framework, adopted by Council on 29 May 2003, contains detail on fiduciary duties of the accounting authority in terms of Section 50 of the PFMA, matters that must be reported in the Annual Report and Financial Statements (Section 55) and information to be submitted to the accounting authority (Section 54). In terms of Section 55, matters that must be reported on in the Annual Report and Financial Statements, the following were specified:

- (i) any material losses through criminal conduct and any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year. Materiality is defined as follows: In terms of losses through criminal conduct, any identified loss should be reported. Losses through irregular, fruitless, and/or wasteful expenditure should be reported if the combined total exceeds the planning materiality figure used for the year under review, in this case R1,2 million or 0,25% of the overall budget for 2004/05;
- (ii) any criminal or disciplinary steps taken consequence of such losses or irregular expenditure or fruitless and wasteful expenditure;
- (iii) any losses recovered or written off;
- (iv) any financial assistance received from the state and commitments made by the state on its behalf; and
- (v) any other matters that may be prescribed.

Two instances of fraud were uncovered in the organisation during the past financial year. The joint sum amounted to R380 000 of which R130 000 has been recovered. If the payment from the insurance claim is taken into account, the total loss will be about R100 000.

In both cases a full investigation of the circumstances that led to the fraud was conducted. The HSRC is satisfied that it has reliable measures in place quickly to detect any such occurrences. Regarding the one incident, a thorough and extended disciplinary hearing was held, chaired by an attorney experienced in labour matters, and her recommendation that the staff member be dismissed has been implemented. Criminal charges have subsequently been lodged with the police. In the other instance, the full amount of R40 000 was recovered, and the staff member resigned before a disciplinary hearing could be instituted. The relevant ED decided not to take further action.

## 2.9 Review of the Human Sciences Research Council

Following the 1997 System-wide Review of the science councils and national research facilities in the country, it was recommended that Institutional Reviews be undertaken on a five-yearly cycle to evaluate progress and implementation of earlier recommendations. During 2003/04 the DST entrusted to Council the responsibility of

## COUNCIL'S REPORT

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providing terms of reference for and to oversee the process of an independent Institutional Review of the HSRC. An independent Institutional Review Panel submitted their report to Council in November 2003, following which the report was published and widely distributed for public comment.

Several high-level proposals and recommendations were made, addressing matters such as the following:

- engaging with stakeholders on the role and public purposes of the HSRC, towards incorporating these in a new Act to be prepared in conjunction with the DST;
- institutionalising and systematising its numerous collaborations with research partners, especially in higher education institutions;
- further extending its outreach into the rest of Africa through projects and organisational partnerships, under the New Partnership for Africa's Development (NEPAD) rubric;
- deepening and widening transformation in the organisation and its research activities taking into account gender, disability and race and marginalised communities and individuals;
- improving its management information systems and updating its policies and procedures; and
- addressing issues of data preservation, intellectual property and information sharing.

The recommendations of the Review Panel, and Council's response to these recommendations, fed into the subsequent strategic planning process of the HSRC. Council approved an ongoing process for implementing the main recommendations of the Review which is led by 13 task teams. These task teams are progressing with putting in place plans for implementation over the next two years, a process that is being overseen by the new ED in the office of the CEO.

During 2004/05, priority attention was given to preparations that will lead to the promulgation of a revised HSRC Act governing the HSRC. A draft HSRC Bill received from the DST was reviewed by the HSRC together with a broad range of stakeholders including Council representation. Representatives from fellow science councils, including an international peer, the South African Universities Vice-Chancellors Association (SAUVCA), government departments and the NGO sector participated in a consultative workshop providing comments on the Draft HSRC Bill. Comments and inputs from the public were also invited through advertisements in two national newspapers. The suggested amendments were synthesised, and submitted to the DST. The legislative process is expected to be completed during the 2005/06 financial year under the stewardship of the DST.

A particular outcome of the recommendations of the Review has been the establishment of a Gender and Development Unit in 2004. This Unit is located in the Office of the CEO, but with a research "home base" in one of the Research Programmes. It has a dual role in that it primarily undertakes gender-based research but also helps to facilitate transformation relating to gender and disability. In 2004, the unit conducted a gender audit of the HSRC which will inform improved policies, employment practices and research activities.

A specific recommendation of the Review Panel was that the HSRC, together with other science councils, should participate strongly in one of the five DST missions, "Technology and Innovation for Poverty Reduction". The task team responsible for the project on Science and Technology for Poverty Reduction (SATPOR) has made good progress. This project was commissioned by the DST in 2003 and was designed and managed by the HSRC's Integrated Rural and Regional Development (IRRDR) Research Programme in conjunction with two other major institutional role-players, the University of Fort Hare and the CSIR. The research components of the complex commission were completed successfully and a final report was submitted in November 2004. A national workshop is planned to seek stakeholder feedback on the findings and, at the request of the Department, the project leader and another member of the steering committee have drawn up terms of reference for the drafting of policy.

### 2.10 Recruitment of a new Chief Executive Officer

One of the functions entrusted to Council in terms of the HSRC Act, is the selection and appointment of a CEO and President of the HSRC. When the current incumbent indicated his wish to step down at the conclusion of his five-year contract on 31 July 2005, the outgoing Council adopted a succession process to ensure that the process



of recruiting a new incumbent would commence, and that the new Council could continue with the process in a seamless manner. Advertisements were placed in national newspapers in October 2004. After initial shortlisting and searching – the latter with the help of professional advisers, to ensure the integrity of the process – interviews were set up for 11 April 2005. External stakeholders, candidates and members of staff were kept informed about progress by the Chair of Council.

## 2.11 Appreciation

Council wishes to express its appreciation to Dr F.M. Orkin, outgoing President and CEO, for the strategic leadership role he played in transforming the Human Sciences Research Council in the period 2001 to 2005.

He introduced and steered the COUPE strategy to redirect, rebuild and grow the organisation, through his recruiting or promoting a team of highly competent and committed research leaders and managers, and providing the environment and systems in which they could assume responsibility and introduce creative initiatives, the organisation has been able to meet or exceed performance targets set in terms of each aspect of COUPE:

- undertaking research supported by contracts and grants, trebling the turnover and researcher complement;
- through outreach to collaborators in a majority of projects, ensuring the best possible teams to undertake large-scale research projects;
- in focusing on the needs of users meeting the needs of policy-relevant research especially of government departments;
- with performance management, emphasising the reaching of equity targets and improving efficiencies; and
- by commitment to excellence in research, tripling the per capita output of peer-reviewed scientific publications to a level comparable with the social science faculties at good South African universities.

The HSRC, in the words of the 2003 Review panel, “is a different and much better organisation in many respects than the HSRC in 1997”. Council is proud to be associated with an organisation that is committed and empowered to do social science research of high quality for public benefit.

## 3. Organisational developments

Following the fundamental restructuring of the administration of the HSRC during 2001/02, and the subsequent re-alignment and extension of its ten research components, the ensuing years have seen a rapid expansion of activities from the various HSRC offices in South Africa as well as beyond its borders. This expansion has required continuous improvements in the support infrastructure. However, since most of the growth in the HSRC’s income for this period has derived from earnings made in a competitive environment, the improvements have had to be won within financial constraints, requiring efficiencies through better organisational systems or use of technology. Some of these developments in the last financial year are described below.

### 3.1 Consolidation of the organisation’s administration and infrastructure

The rapid ontake of new research staff, more research projects, and more complicated contracting arrangements for national and international projects, coupled with the reality that the HSRC operates from different sites, necessitated the provision and improvement of organisation-wide information and communication technologies (ICTs) and communications support.

It was initially hoped to procure an integrated “enterprise resource planning” software system, but accurate scoping of the project indicated that it would be at least twice as costly as had been budgeted. Project Insight was conceived and undertaken instead. It is the HSRC’s home-grown response to the funding constraints on the one hand, and on the other hand to the need for better alignment with internal user needs, using new “intelligent” packages that draw upon and integrate rather than replace existing software.

As one aspect of Project Insight, the 2004/05 budget year saw the development and implementation of an integrated database known as the research management system (RMS). The RMS is now the central point of record of all activities in the research production process and holds detailed data of all projects, budgets,

## COUNCIL'S REPORT

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milestones, funders, and research outputs.

Another aspect concerns the ACCPAC financial system, which has been upgraded and tightly integrated with the RMS so that project managers have access to the detailed financial information on each project they need for budgeting and cash-flow management. The upgrade also lays the foundations for an electronic procurement facility to allow project administrators the ability to procure goods and services over the network, to speed up decentralised service delivery.

A new human resources management system was chosen and implemented. This system will replace outdated information and payroll systems and in combination with RMS will provide the HSRC with a repository of data on our human and intellectual capital.

Electronic communication is now a mission-critical service provided by Corporate Services, and a task team consisting of users at ED level was appointed to drive and oversee critical developments in this regard. Old hardware was replaced, including new and resilient email servers, and the mail system was upgraded with improved protection by new anti-virus and anti-spam technology. The network infrastructure was enhanced and bandwidth increased to carry the ever-increasing volume of data traffic.

A new telephone switchboard system spanning all HSRC offices went live during 2004. The temporary inconvenience of changed telephone numbers was more than offset by improved features such as voice mail, dial-by-name and an integrated telephone management system to keep track of calls made and costs incurred. The new switchboard will also allow the carrying of voice calls across the wide-area network, so that the costs of long-distance calls between HSRC offices will be greatly reduced.

Technology to support document management was configured to enable the Business Development Unit in the CEO's Office to manage the life cycle of contractual documents. The system, which will be implemented in 2005/06, will interface with other document management systems as well as the RMS.

Also as part of Project Insight, simplified policies and procedures to guide financial, operational and human resources management in the HSRC are being developed and updated in consultation with internal stakeholders, while ensuring that government regulatory frameworks are adhered to.

The optimal functioning of management structures to support research within a rapidly-expanding organisation received ongoing attention. The annual strategic working session involving EDs and the CEO took place in June 2004, and this year focused on the development of a new model of calculating and allocating overhead costs based on a better understanding of cost drivers in the HSRC. It was recognised that the typical ratio of support to research staff would need to be adjusted now that several large-scale research projects involving substantial external collaboration were underway at any time. The number and nature of transactions, for example tenders and invoices submitted, international payments received or made, and contractual engagements with individuals as well as institutions placed a strain on corporate support functions such as Finances, Human Resources, and Business Development, as well as the administrators.

In addition, the ED of Corporate Services also led a series of consultations with research and support programmes in the HSRC, leading to the identification of priorities for improved service delivery by corporate service departments.

In the year under review, a number of changes took place at managerial level in the corporate support components. The Directors of Finance and of Human Resources took up promotions in other organisations at the end of August and September 2004 respectively. However, continuity was not jeopardised. An internal candidate was briskly promoted to the former post, and a new recruit to the latter on 1 November 2004. The ED of Corporate Services left at the end of October 2004. An initial round of careful recruitment yielded a possible candidate, who was, however, retained in his organisation. The CEO has carried the responsibility of leading Corporate Services since then, pending further recruitment by the new CEO. In the Office of the CEO, a new ED took office from 1 September 2004 to manage the strategic functions of Corporate Communications, Publishers, Business Development, International Relations, and the Council Secretariat.



### 3.2 Management, communication and monitoring systems

The cycle of regular meetings to ensure ongoing communication and sharing of information among research managers and their counterparts in support services has been sustained during the review period.

Executive Directors held monthly “ED workshops” according to a structured agenda that specifically provides for discussions on major policy issues; periodic reports including financial statements and projections; shared organisational learning; and matters requiring co-ordination.

There were also fortnightly sessions involving senior staff representing every Research Programme: to share new contacts, review tender opportunities, and consider the volume of work and other organisational demands on the Research Programmes.

Well-attended research seminars were held almost weekly, with video-conference and telephone links among the centres, many also attended by interested staff from government departments, NGOs and higher education institutions.

Two large *lekgotlas* involving EDs, members of senior research and support staff, as well as representatives on the Researcher Forum, were held before the end of the financial year. The November *lekgotla* identified broad research strategies and concerns, by paying particular attention to priorities identified by key stakeholders, including the “State of the Nation” address of the President to Parliament and suggestions made during engagements with the Minister of Science and Technology, the Portfolio Committee on Science and Technology as well as the National Council of Provinces. Research Programmes presented outlines of intended work plans for 2005/06 and beyond, with opportunities for responses and debate from the floor.

The January *lekgotla* focused in more detail on funding allocations and targets, proposed project portfolios of the Research Programmes, methodological issues and identification of potential areas of overlap and collaboration between the various Research Programmes. Each programme’s planned activities and budget received comment. Corporate support functions also presented strategic objectives for the forthcoming budget year, and a discussion session was dedicated to researcher capacity-building and internship programmes.

Members of the Council’s Research Committee attended one or both days of the January *lekgotla*, and then interacted with HSRC staff on some of the themes emerging from group and plenary discussions during a special concluding session of the *lekgotla*. These discussions informed the setting of some broad parameters of the work programme for 2005/06. The CEO thereafter finalised Parliamentary grant allocations, external income targets, and vacancies for appointments with representivity quotas, for the individual Research Programmes. Each programme then convened a review panel, with outside experts, to scrutinise major projects drawing upon the Parliamentary grant.

The second HSRC Research Conference was held over two days, on 27 and 28 July 2004, at a conference centre near the Johannesburg airport. The conference was opened by the new Minister of Science and Technology, Mr Mosibudi Mangena. HSRC researchers and interns, as well as external collaborators involved in HSRC projects, read or heard approximately a hundred papers in several parallel streams, providing complementary research topics, methodologies and insights. Plenary panel discussions focused on critical questions for researchers including quality, research implementation and impact, as well as research ethics issues. Exhibits by the HSRC Press, Library, academic publishers, and the service providers for the new HSRC switchboard system allowed for informal interaction on research-critical support issues.

The arrangement of a “happy hour” at the close of business on the first Friday of the month was sustained, at which information was shared on recent achievements of the organisation. The annual event to recognise the achievements of colleagues receiving doctoral degrees or long-service awards took place in November 2004.

By the end of the review period four of the ten Research Programmes were headed out of the Cape Town and Durban offices, which continue to grow. By contrast, the Bloemfontein and Port Elizabeth offices were closed during the year, and replaced by the research presence of an individual in a “virtual office”. These offices proved not to be financially and logistically sustainable. However, the HSRC retains its commitment to research to support development in all parts of the country, as illustrated by the broad range of projects with a provincial or

## COUNCIL'S REPORT

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national focus undertaken from different offices, and with external partners in many centres across South Africa.

The HSRC continued its policy of concentrating on its core function, namely policy-relevant social research, and spinning off of non-core activities and assets. A vibrant policy-discussion network, the Southern African Regional Poverty Network (SARPN), which was conceived and housed in the IRRD Research Programme of the HSRC, grew rapidly into a regional resource that received donor funding and also many accolades from policy-makers and development organisations involved in the region. After an exhaustive stakeholder consultation, SARPN was spun off the HSRC to become an independent organisation governed by a trust, so that it could assume a regional identity and tap a broader range of funding sources. Likewise, and following negotiations, the HSRC transferred its intellectual property rights to the PRODDER database of development non-governmental organisations (NGOs) to the South African NGO Coalition (SANGOCO). This forms part of a SANGOCO-led initiative to build new information systems and databases that will be freely available to users in an organisation called Sangonet, thereby helping to bridge the so-called "digital divide" in terms of development information needs.

The HSRC's second building, dating from the time of its move to the present main building, situated in Riviera, Pretoria, was successfully sold off on the recommendation of Council's Audit Committee, after two public calls for offers.

HSRC staff have access to collective bargaining in terms of the recognition agreement between Management and the Public Services Association (PSA) signed on 9 May 2002. The salary negotiations for 2004/05 were finalised after six months on 3 December 2004, following industrial action involving picketing, strike action for one afternoon, and eventually mediation. It was agreed that the annual salary increase for inflation would be 5,9% across the board backdated to 1 July. An increase of 4,9% had already been implemented on 1 August 2004. The further adjustment was implemented during the December payroll. Issues referred for discussion include industrial relations policies on disciplinary and grievance procedures.

### 3.3 Judicial proceedings filed during the year

No judicial proceedings were filed during 2004/05. In terms of labour relations, two legal matters were requiring resolution at the onset of the reporting period. The one, a dispute regarding the amount of payment for a severance in 1999, was resolved. The other, contesting a retrenchment during the 2001 restructuring, was heard in the Labour Court and judgement is expected.

### 3.4 Developments in the Research Programmes

The structure and leadership of the ten Research Programmes is shown in Table 1.

**TABLE 1: RESEARCH PROGRAMMES**

RESEARCH PROGRAMME	LABEL	EXECUTIVE DIRECTOR
Assessment Technology and Education Evaluation	ATEE	Dr Anil Kanjee
Child, Youth and Family Development	CYFD	Professor Linda Richter
Democracy and Governance	D&G	Professor Adam Habib
Employment and Economic Policy Research	EEPR	Dr Miriam Altman
Human Resources Development	HRD	Dr Andre Kraak
Integrated Rural and Regional Development	IRRD	Mr Mike de Klerk
Knowledge Management	KM	Professor Michael Kahn
Social Aspects of HIV/AIDS and Health	SAHA	Dr Olive Shisana
Social Cohesion and Identity	SCI	Dr Xolela Mangcu
Surveys, Analyses, Modelling and Mapping	SAMM	Dr Udesch Pillay



During 2004/05, two new appointments were made at the level of research Executive Director. Professor Adam Habib was appointed as ED in the Democracy and Governance Research Programme from 1 April 2004. His predecessor, Professor Roger Southall, remained in the service of the HSRC as a Distinguished Research Fellow. Professor Wilmot James resigned from his position as ED of the Social Cohesion and Integration Research Programme. Dr Xolela Mangcu took office as the new ED on 1 November 2004. A new focus on issues of identity and leadership was introduced in the Research Programme, and its name changed to Social Cohesion and Identity.

During 2004/05, research EDs further developed and consolidated their Research Programmes. Three senior appointments were made at director level: two were internal promotions, in the IRRD and HRD Research Programmes, and the third was a new appointment in SAHA. The next section contains more information on trends and developments in the research activities of the programmes, and several pages of Highlights are covered near the beginning of this Annual Report.

As mentioned earlier, gender issues received more focused attention from 1 April 2004, with the appointment of a gender expert to establish and lead the Gender Development Unit. Its dual function is primarily to undertake and promote research on gender issues while also helping to facilitate transformation relating to gender and disability in the HSRC.

By the end of the reporting period, the number of researchers in the HSRC had remained relatively constant, at 154 in March 2005 compared to 156 in March 2004, having previously grown from 130 in March 2003. At the same time, appointments made at support levels showed a net increase of 25, up to 136. Approximately half of the support appointments were in support services, replacing people who had been supplied on a temporary assignment since the restructuring; and half were in Research Programmes, half of these in turn being one-year contract appointments against funds from large research projects. The overall result of this was a drop in the sentinel indicator measuring the ratio of research staff to total staff in the HSRC, from approximately 57% in 2003/04 to 53% in 2004/05. If research interns are excluded altogether from the analysis, the ratio of research staff to total staff in the HSRC is down to 49%. While recognising that the nature of large-scale research projects does require increased capacity in support positions, it remains a strategic priority to recruit, nurture, and retain research talent, especially at the critical specialist levels.

Junior researchers were appointed mainly in contract positions, of one to three years' duration, in new project-based research-internship programmes that were started in several of the Research Programmes. They were involved in research projects and benefited from mentoring from experienced researchers while pursuing their formal studies at universities. Funding for some of the internship positions was obtained from international foundations.

By 31 March 2005, the overall researcher complement of the HSRC comprised 25 research interns and 129 other research staff, 93 of whom were at specialist and research management levels. More detailed discussion on human resources and changes in representivity is provided in section 6.

The ten Research Programmes were originally set up to be multi-disciplinary, cross-cutting and flexible, and oriented to development problems and user needs. They are proving to function well in terms of intra-institutional collaboration. Recent examples of collaboration between Research Programmes in the HSRC include D&G, EEPR, HRD, and SAMM in a study aiming to determine the skills profile of the public sector (funded by the Department of Public Service and Administration); CYFD, D&G, HRD, and KM working on education studies (supported by the Swedish International Development Agency); CYFD, HRD, SAMM, and ATEE on poverty reduction, information and communication technology, and curriculum change (supported by the Parliamentary grant); ATEE, CYFD, HRD, SAHA, and SAMM in studies dealing with educator workload and the impact of HIV/AIDS on educators (both funded by the Education Labour Relations Council); D&G, SAMM, and SCI in a social fabric study (funded by the Department of Arts and Culture) and D&G, EEPR, IRRD, and SAMM in a project entitled "the state of our cities" (supported by the Parliamentary grant). Special collaborative projects involving several Research Programmes and supported from the Office of the CEO include a project on homelessness, a study focusing on the current



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school-leaving examination, “the matric”, and work on the history of the HSRC.

Extensive collaboration with other research institutions, notably universities, has also been maintained, and is discussed subsequently.

### 4. Review of research activities

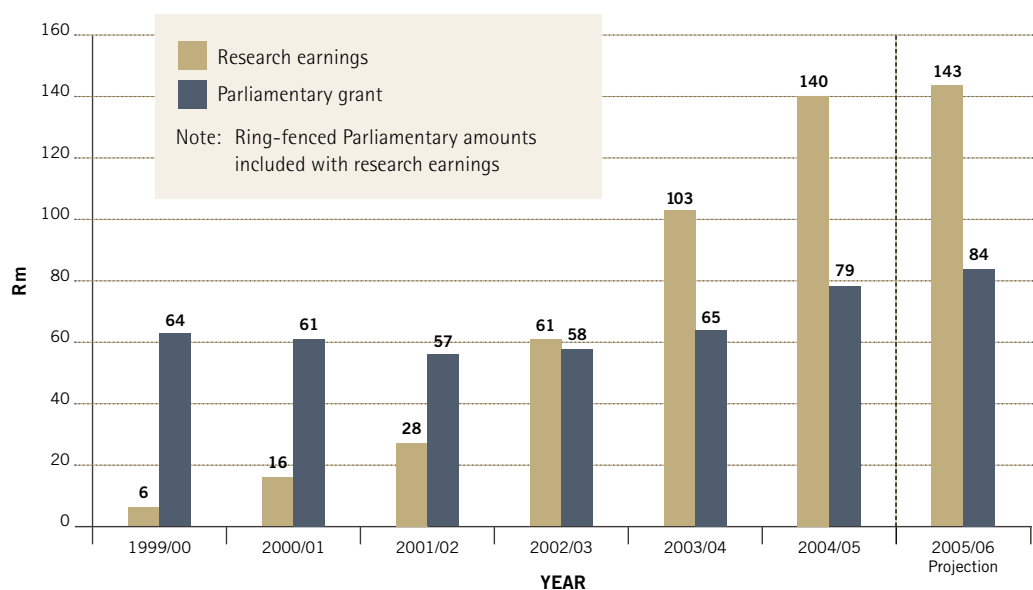
Many of the research projects carried out by the ten Research Programmes of the HSRC are summarised in the Research Highlights near the beginning of the Annual Report. More details on the purpose, activities, users and impact of the research are provided in the sections devoted to each of the programmes. This part of the Council's Report concentrates instead on the financial and other aspects of the HSRC's research process and systems: the relationship of the Parliamentary grant to external earnings, trends in the composition of research earnings, information on projects by size and funding sources, outreach to research collaborators, the enhanced publication and communication of results, and investments in research infrastructure to ensure its sustainability.

#### 4.1 Earnings from research contracts and grants

Aspects of the COUPE strategy, briefly mentioned in section 2.11, seek to assure the financial sustainability of the HSRC by focusing on tenders and grant applications for large-scale applied social research projects. The level of earnings from the resulting contracts and grants is a key indicator of the HSRC's progress (among the many measures covered below in section 10). The growth in this indicator has been dramatic since the CEO introduced the COUPE strategy and corresponding organisational developments on taking office in mid-2000/01.

Annual earnings from research contracts and grants, i.e. from activities that were invoiced to users before the end of the respective financial year, have risen in nominal terms from R6 million in 1999/2000, through R16 million in 2000/01 – when COUPE was initiated – to R140 million (including the ring-fenced grant from DST for a centre for science and technology indicators) in 2004/05, the year under review. The gold bars in Figure 1 illustrate the trend of five consecutive years of strong growth in research earnings. The projected research-earnings target for 2005/06 is also shown [including the R4,5 million ring-fenced grant from DST for a Centre for Science, Technology and Innovation Indicators (CeSTSII)]. The recent moderate growth in Parliamentary grant funding is also evident in the gray bars in Figure 1. The assigned Parliamentary grant for 2005/06 is also shown.

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





The Parliamentary grant, assigned in terms of the government's Medium Term Expenditure Framework (MTEF), was R78,3 million for 2004/05 (plus the abovementioned further R4,5 million ring-fenced amount), compared to R65 million in 2003/04 (plus a further R5 million ring-fenced amount for HRD research). In other words, the Parliamentary grant for 2004/05 increased appreciably in real terms, i.e. after allowing for inflation, compared to the previous year.

As shown in Table 5 in section 5, these figures then have to be adjusted for deferred income regarding depreciable assets at financial year-end. Adjusted in this way, the Parliamentary grant for the year 2004/05 is R79,2 million, shown in the top row of Table 2 below (and compared there to R65,6 million for 2003/04). The adjusted figures are also shown in Figure 1, above.

The HSRC uses Parliamentary grant funding to undertake projects that anticipate research needs, handle tasks for sectors or communities of users that cannot afford to commission work, and leverage donor funds in shared undertakings, as well as to create infrastructure, build external networks and internal capacity, and update technology.

The research income from contracts and grants of approximately R140 million for 2004/05, mentioned above, appears in Table 2 as separate lines: contract income totalling approximately R136 million (from South African government departments, other South African sources, and international funding sources including foundation grants), and the ring-fenced S&T indicators grant. In addition, other lines in Table 2 show the HSRC's income from various other sources: notably profit from sales of R8,5 million, as well as commercial services and royalties, interest and rent.

When all these revenues from sources other than the Parliamentary grant are summed, and taken as a share of total HSRC revenue, the resulting proportion, for each of the past five years, continued to grow: from 31% in 2000/01 to 65% in 2003/04 and now 67% in 2004/05 – from less than one-third, to around two-thirds of the total revenues of the HSRC.

This increased reliance on income sources other than the Parliamentary grant enabled the HSRC to expand its researcher capacity and be able to respond to a broader range of current and anticipated user needs. However, the HSRC remains mindful of the risks of financial exposure and changes in the organisational research climate that might be associated with setting too-large external income targets.

For instance, it will be seen in section 4.2 below that the HSRC wins only a proportion of the tenders it applies for; and it is selective about those it does choose to apply for, in requiring that they display substantial social-scientific content. Even so, the size of the likely market for applied or policy-relevant social-scientific research is not limitless, and other parties such as tertiary institutions are expanding their interest in it. Over the next two to three years the HSRC will develop a firmer idea of the sustainable balance between funding from the Parliamentary grant and the various forms of external income. In the meanwhile it is moderating the growth in its permanent payroll by the appropriate use of contract appointments. These aspects of risk will continue to be closely managed.

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**TABLE 2: HSRC INCOME FOR 2004/05 AND 2003/04**

FUNDING SOURCE	2004/05				2003/04	
	BUDGET	ACTUAL	VARIANCE BUDGET VS ACTUAL	% OF TOTAL	ACTUAL	ACTUAL 2004/05 VS ACTUAL 2003/04
	R 000	R 000	R 000	%	R 000	%
Parliamentary grant – core funding	78 336	79 198	862	3%	65 562	21%
Utilised for research	0	73 701	73 701	250%	62 267	18%
Utilised for institutional costs	0	6 359	6 359	22%	3 838	66%
Deferred income	0	(862)	(862)	-3%	(543)	59%
Project-specific (ring-fenced) Parliamentary grant	4 500	4 000	(500)	-2%	5 000	-20%
External contract funding	117 078	135 705	18 627	63%	97 578	39%
Income from intellectual property (patents, royalties, etc.)	100	117	17	0%	111	5%
Commercial services	500	902	402	1%	2 824	-68%
Non-operational income – rent received	7 000	8 501	1 501	5%	8 515	0%
Non-operational research income – profit from sales	0	8 527	8 527	29%	4 403	94%
Non-operational research income – investment income	400	458	58	0%	3 160	-86%
<b>Total</b>	<b>207 914</b>	<b>237 408</b>	<b>29 494</b>	<b>100%</b>	<b>187 153</b>	<b>27%</b>

Other income includes income from the sale of assets (including the investment building) as well as income from sales. The latter category now only covers book sales, since the sales of test materials in which the HSRC has no research interest was relinquished to a retail agency from June 2004. This agreement was reached following a tendering process in 2003/04, and forms part of the HSRC's commitment to retaining its strategic focus on research.

A positive trend in terms of external research income is the number of larger-scale, multi-year projects, providing more security in terms of future external research earnings. The result is that the HSRC commenced the 2004/05 and 2005/06 financial years with more than half of the target for external research earnings already under contract.

## 4.2 Changing composition of research earnings

During 2004/05, the HSRC responded to a broad range of tender and grant opportunities. Information on new funding applications submitted in this period was captured by the Business Development Unit, as well as administrators in Research Programmes benefiting from the new RMS. Some 153 proposals submitted to external sources of funding were analysed (128 in 2003/04). The overall success rate among these 153 proposals, for which an outcome was known by May 2004, was 54% (compared to 73% at a similar stage in 2003/04). The HSRC understands that these rates are well above the average of international standards for similar development-research organisations, and is partly attributable to the HSRC's selective responses to such opportunities, and partly to the quality of the submissions.

For example, of some 20 opportunities that may typically be scrutinised at the fortnightly Research Business



Meetings, perhaps three or four would be seriously considered as scientifically substantial, and in alignment with the HSRC's areas of research expertise and potential external collaborators. Following such deliberations, HSRC researchers might eventually respond to none, one, or perhaps two of the competitive tender opportunities or calls from foundations that arose during that fortnight. Opportunities discussed at these meetings are then tracked in terms of response and success rate. Other funding applications, such as those initiated by the HSRC, or where HSRC researchers are directly approached with a request for a proposal, are also recorded but are not always discussed. These opportunities tend to have a higher probability of success, and are also captured in the RMS.

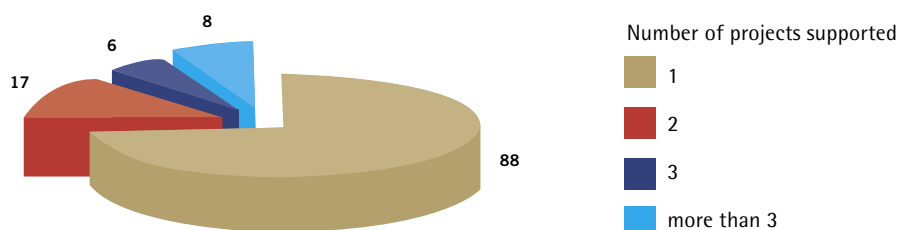
The tenders to which the HSRC responds are typically issued by South African government departments or public entities, at national, regional, or local level. International competitive tenders, i.e. defined by the users and with predetermined closing dates, are also predominantly issued by publicly funded agencies. Some 106 proposals of this kind were recorded during the 2004/05 financial year (53 in 2003/04). The success rate, on information available at May 2004, was 43% (compared to 40% in 2003/04). This rate is one of the half-dozen key indicators tracked by the CEO in his Annual Report message. If only South African competitive tender applications are taken into account, some 63 tender proposals were submitted, of which 19 were known successes by May 2005 – a success rate of 30% (compared to very similar levels of 32% in 2003/04, and 25% in 2002/03).

Over and above the regular research business meetings, funding opportunities are also identified when potential collaborators – often from international research institutions – approach HSRC research leaders directly with the request to participate in proposals. Research leaders are selective in their responses to such invitations, requiring that their participation would add competitive advantage to the proposal, and that the proposal itself should once again fit in with HSRC research priorities and the development needs of South Africa.

Potential funders are increasingly approaching the HSRC with direct requests of this kind. Some are follow-ups, after successful completion of an earlier project. Others represent “restricted tender opportunities” where a number of potential service providers are requested by the funder to submit proposals. Forty-two of the tender or grant applications recorded in 2004/05 were prepared at the request of the potential funder or collaborator (54 in 2003/04, and 26 in 2002/03). Of these, 86% (98% in 2003/04) were known to be successful by May 2004.

When analysing projects supported by external funders in 2004/05, the value of “repeat customers” becomes evident. Of 190 different projects considered, more than half (102 projects) were funded by organisations that were willing to support more than one HSRC project during the 2004/05 financial year. The range of “multiple customers” ranged from 17 funders supporting two HSRC projects each during the year under review, up to two funders supporting ten projects each – obviously varying in size, duration, and research topic – during 2004/05. Figure 2 provides a visual overview of this analysis.

Figure 2: Number of external funders supporting one or more HSRC projects



The HSRC has started to reap the benefits of submitting proposals to international and national foundations or grant-making agencies in response to their open calls for proposals. These allow applicants to determine the research problem and approach within a specified broad thematic area.

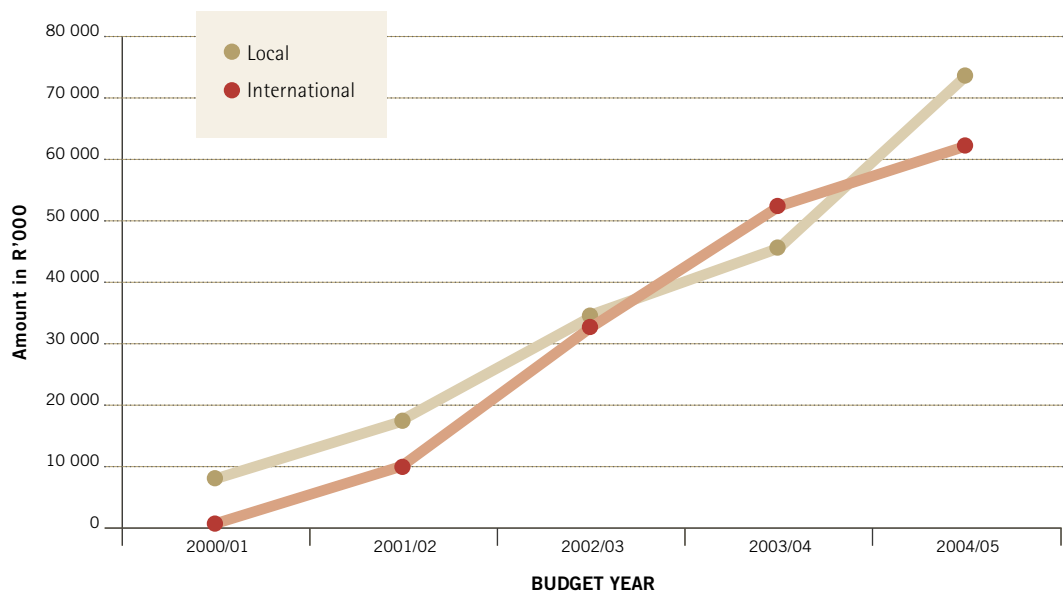
A corollary of the increase in foundation and international competitive grants is that the proportion of the HSRC's support from international sources has risen over recent years, to approximately half of all external

## COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

research income. This extends the S&T funding base of the country as a whole, and the benefits are experienced not only by the HSRC but also by its collaborators on these projects in higher education institutions and NGOs. The red line in Figure 3 shows how the level of external income from international sources has risen over the last five financial years.

Figure 3: Local versus international sources of external research funding



The increased volume of work has been handled partly by the extended complement of senior researchers, described in section 6, and also by taking advantage of partnerships with higher education institutions, research NGOs, and private sector consultancies. These relationships are described further in section 4.5.

The mix of tenders, requests and grants described in this section, and of local and international sources, has ensured the HSRC's growth and financial sustainability by ensuring the relevance of the organisation to its users, and vice versa. This has in turn enabled the HSRC to extend the range and quality of its services to its users, and thereby to its wider beneficiaries in South Africa and beyond.

### 4.3 Nature and distribution of research projects and associated earnings

During 2004/05, 283 research projects were running. Sixty-six of these projects had budgets (and associated income) of less than R100 000 each. However, the major share of research earnings continues to be accounted for by longer-term, large-scale, externally funded projects. This is illustrated in Table 3. This table displays the amounts spent on research during the reporting year, to a total of R92,4 million, for the top 20 projects funded entirely or largely by external funds or grants. (The Parliamentary grant contributed more than R10 million to these projects, all of which were undertaken in the national interest.) It is striking that the external income component of less than 7% of the research projects registered in 2004/05 contributed to almost 60% of the HSRC's external research income of R140 million for the year. Most of these projects extend over two to three years. This is a positive indication for the sustainability of the COUPE strategy.

In the funders and users of the research, the table shows an impressive mix of national and local government departments, public-sector entities, and overseas and South African foundations or research collaborators. This diversity is a product partly of the outreach element of the COUPE strategy, discussed in section 4.5 below, and partly of the excellent networks of the HSRC research leaders.



**TABLE 3: TOP 20 RESEARCH PROJECTS FOR 2004/05**

RESEARCH PROJECT	EXTERNAL FUNDER	EXTERNAL INCOME R'000	PARL. GRANT R'000	TOTAL R'000
Orphans and vulnerable children (OVC) project in three countries	W.K. Kellogg Foundation	14 810		14 810
HIV/AIDS Educators Study	Education Labour Relations Council	14 524		14 524
SAHARA Resource Network	UK Department for International Development	9 791		9 791
SABSSM II Main Study	Nelson Mandela Foundation	8 664		8 664
Project Accept	NIH, via University of California	4 254		4 254
CeSTII Development	Ring-fenced with Parliamentary grant from DST	4 000		4 000
Quality Learning Project	JET Education Services	3 930		3 930
Technology Transfer for Poverty Reduction	Department of Science and Technology	3 716		3 716
HSRC Surveys Programme (SASAS)	Subscribers	28	3 347	3 375
Birth to Twenty Study	Wellcome Trust	3 268		3 268
Towards a Policy Framework for the Promotion of Employment in the Services Sector	Department of Environmental Affairs and Tourism	2 135	1 085	3 220
Nosocomial HIV Study Free State	Nelson Mandela Children's Fund	3 021		3 021
HSRC Annual Client Survey	Departments of Defence, Education, Science and Technology, Sport and Recreation SA	2 637		2 637
Model for Food Insecurity and Vulnerability Information and Mapping Systems (FIVIMS)	Department of Agriculture	2 156		2 156
Funding for SARPN	Swiss Agency for Development and Cooperation	2 093		2 093
Frascati 2004			2 000	2 000
Homelessness Project		350	1 600	1 950
Student Retention and Graduate Destinations	Council on Higher Education	263	1 515	1 778
METAGORA	Organisation for Economic Co-operation and Development	670	999	1 668
Exit Poll of Voters	Independent Electoral Commission	1 551		1 551
<b>Total</b>		<b>81 862</b>	<b>10 545</b>	<b>92 407</b>

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FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

### 4.4 Deployment of the Parliamentary grant

The HSRC receives a Parliamentary grant in order to implement its statutory public-benefit mandate, to undertake, stimulate and promote policy-relevant, applied social science research that contributes to the development of South Africa and the region, and particularly the advancement of its inhabitants who are poor, vulnerable or marginalised.

The Parliamentary grant is the HSRC's largest single, and most predictable, source of income. However, there are limits to what can be achieved with the Parliamentary grant allocation. During 2004/05, the Parliamentary grant contributed to about one-third of the HSRC's total research turnover, so that the size of the HSRC's annual salary bill considerably exceeds its Parliamentary grant. The HSRC therefore needs to apply Parliamentary grant funds in the most strategic and beneficial way possible.

Table 2 in section 4.1 shows that more than R73 million of the Parliamentary grant of R79 million for 2004/05 was directly allocated to research activities. Of this amount, R45 million was spent on research projects, as reflected in Figure 5 below, while some R28 million was applied to research capacity-building and to infrastructure support within the Research Programmes. The remaining, relatively small, proportion of Parliamentary grant is utilised for institutional costs that are specific to the HSRC's responsibilities as a public entity. The Parliamentary grant is allocated following a series of strategic planning *lekgotlas* where emerging priorities and the overall budget targets for the HSRC are considered.

The impact and value of research capacity-building is evident in the growing number of published peer-reviewed journal articles, especially from black researchers, reflected in sections 4.7 and 10 below, and in the improving proportion of black researchers at more senior levels.

Parliamentary grant funds are spent on research projects of strategic or developmental relevance where:

- "market failure" is evident, and the proposals were able to stand the test of external peer review;
- the HSRC uses some of the Parliamentary grant to "seed-fund" a new initiative where external funding might be obtained in future;
- external funders, notably South African government departments or international donor or aid agencies, require co-funding from recipients; and
- the coverage or quality of the study may be improved, to public benefit, by co-funding – for example, increasing the size of the sample to enable policy-relevant breakdowns.

Examples of research projects in the first category include the longitudinal international Trends in Mathematics and Science Study (TIMSS), which has evidently informed the initiatives introduced by the national and provincial departments of education to prioritise Mathematics and Science education; the South African Social Attitudes Survey (SASAS), which provides longitudinal studies on public perceptions that may be conducted over time; and projects dealing with migration that are contributing to the development of a model to help identify determinants of migration choice, with benefit for development planning in South Africa and the region.

Examples of projects in the second category include a project focusing on student retention and graduate destinations, of interest to the Department of Education and the Council on Higher Education (CHE); the SAHARA network (where initial Parliamentary grant funding was provided in earlier budget years); the current Homelessness project, and the "State of the Nation" book publication.

The Birth to Twenty study, funded by the UK-based Wellcome Trust, is an example of a project in the third category, and the SABSSM survey of HIV/AIDS prevalence is an example of a study that benefited in the fourth category.

The contributions made by Research Programmes, in the Research Highlights and respective Programme sections of this Annual Report, provide more detailed discussion of projects supported by the Parliamentary grant, their importance and their impacts.

Figure 4 shows that 129 of the 283 research projects undertaken during 2004/05 were supported in full or in part by the R45 million of the Parliamentary grant assigned in this way. Figure 5 shows the relative amounts of funds allocated to the different forms of support for research projects in the HSRC.



Figure 4: Sources of project funding

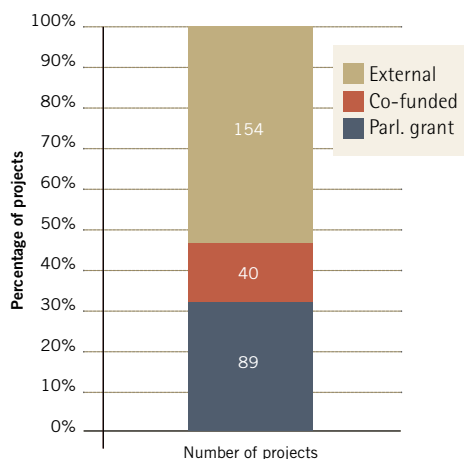
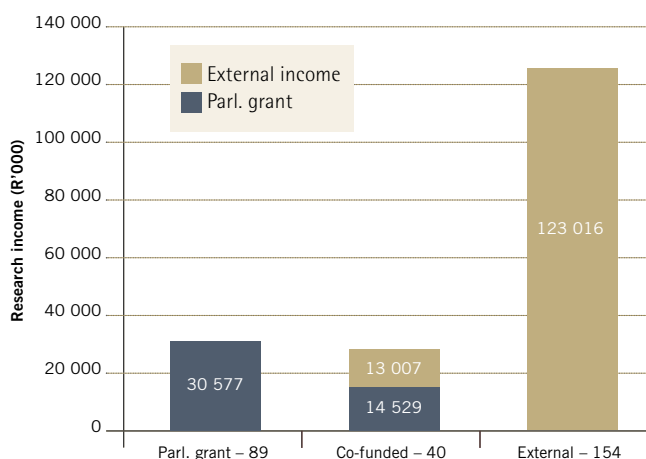


Figure 5: Utilisation of research income



#### 4.5 Outreach to collaborators and stakeholders

A recommendation in the 1997 institutional review of the HSRC for the then Department of Arts, Culture, Science and Technology (DACST) was that the organisation should reach out more vigorously to the research community locally and abroad: in higher education institutions, research NGOs, fellow-science councils and parastatals, and the private sector.

Since then, collaboration with researchers outside the HSRC has become quite frequent, in research projects with parliamentary as well as external funds. During 2004/05, 51% of 283 HSRC research projects recorded payments to external collaborators – a total of 144 projects. The relationships span South Africa, SADC, the rest of Africa and the industrialised countries. The corresponding figure reported for 2003/04 was 62% of 249 projects, or 154 research projects. HSRC projects across the range, but especially the larger ones, involved significant collaboration with outside researchers with specialised knowledge or networks in areas of mutual interest.

Collaboration with fellow-science councils in projects and planning forums has also expanded. Researchers from the Agricultural Research Council (ARC), CSIR and Medical Research Council (MRC) were involved in projects listed on the RMS for the 2004/05 budget year, for example projects on food security, technology transfer and HIV prevalence respectively. The MRC, National Research Foundation (NRF) and Water Research Commission (WRC) were also listed as funders of 2004/05 projects.

However, quantitative measures do not fully reflect the nature and depth of external research collaboration. One single project registered in the HRD Research Programme deals with the transition of students to and from higher education, retention of students within the system, and graduates' transition to labour market destinations. This study will be carried out with the support of the national Department of Education and seven participating higher education institutions. The process of soliciting broad support from these institutions required extensive negotiations through a series of meetings and workshops. HRD and the participating HEIs signed MoUs (memoranda of understanding) and received letters of authority from Vice-Chancellors to access raw data on student enrolments, dropout and graduation rates, and graduate labour market destinations; and the Department of Education has granted permission for the HSRC to access its data. Individual records and the identity of the respective institutions will be kept anonymous. But participating HEIs will have access to their own profiles and the synthesis report for comment on the drafts, and, if they so desire, to their respective institutional datasets for use in further research.



## COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

Currently the HSRC reaches out in multiple ways, and at different levels, to users, collaborators and funders. Research Programmes interface with both end-users and collaborators through contract work, specific arrangements for research services or advice, and informal networks. Some government departments and donor organisations have been invited to special meetings with the HSRC to identify common areas of interest, seek inputs with strategic planning, and plan joint approaches to obtain funding and stakeholder involvement for important research-driven initiatives.

In some of these instances, the relationship is captured in MoUs that provide for mutual input in planning processes, and support to each other in the form of financial or expert contributions. Because such agreements may have unexpected implications, particularly in terms of financial and infrastructural requirements, each case is considered at top-management level.

Outreach to users, collaborators and funders is underpinned by a number of institutional support structures:

- The burgeoning Publishing Division and Corporate Communications are covered in sections 4.6 and 4.7 below.
- The Business Development Unit now subscribes to Internet-based alerting services, and provides for structured sharing of collaborative opportunities.
- The vacant Directorship of International Relations is expected to be filled in the next financial year.
- The CEO has started following up possible peer organisations with similar mandates, identified in the 2003 Review, to consider opportunities for collaboration. The Director of one such institution, the Economic and Social Research Institute in Ireland, participated in the consultative workshop dealing with aspects of developing the new HSRC Act.

### 4.6 Publications and research outputs

The 2001/02 Annual Report mentioned the development of a new, not-for-profit publishing and dissemination strategy, emphasising the widest possible dissemination of the HSRC's output not only in print but through a website that would provide free access to and downloading of electronic versions of all HSRC publications.

Continuing the successful implementation of this strategy, the HSRC Press rapidly delivered on the goals of publishing quality social-scientific outputs for public benefit. Key organisational and marketing achievements in this regard include the following:

- an international distribution network based upon agreements with reputable distributors of academic publications;
- co-publication agreements on select titles with publishers from established academic houses;
- significant visibility for the HSRC's research output via conference exhibits, book launches, workshops developed around publications, and media coverage of publications, both locally and internationally;
- dissemination of the key findings in research and increased public debate via the media improved over the period, with significant coverage of HSRC titles and authors in the print media, and on radio, television and news-related websites;
- an increasing willingness by bookshops to stock HSRC titles, and agreement from major retail outlets such as Amazon.com to list HSRC publications; and
- consenting to be part of the eGranary Digital Library, a non-profit initiative supported by USAID, MacArthur Foundation and Microsoft which aims to overcome connectivity problems in African universities by replicating web-resources on local area networks within institutions, thus making HSRC-published research currently available to 50 universities in the rest of Africa.

The HSRC Press formally constituted its Editorial Board in May 2004. In all, there are ten members, three of whom are *ex officio*, namely, the CEO of the HSRC, the Director of Publishing and the Chair of the Editorial Board, who is currently a contracted HSRC staff member. The rest of the membership comprises three Executive Directors or their delegated representatives, three external academics drawn from a range of social science disciplines (currently Political Science, Anthropology, and History) and one selected from the membership of Council.



Their tenure is for two years.

The Board meets quarterly and its main task is to commission, receive and consider reviews on all works submitted to the Press for possible publication. The Board then makes a recommendation on each such work to the Director for consideration. In the financial year ending March 2005, the Board met four times. It considered reviewers' reports on 35 manuscripts, of which it recommended 14 for publication. The rest were either rejected or referred back for further work. Of the 14 manuscripts contracted for publication, eight emanated from within the HSRC.

During the year, HSRC Press published eight new books, 15 monographs, one collection of conference papers and four occasional papers. A further 11 titles were in production on 31 March 2005, five of which were completed and delivered during April.

In line with its dissemination approach, HSRC Publishers offers free electronic publications online. After a trial period of two years, the HSRC Press website became a fully functioning Open Access publishing website in February 2005, the first of its kind in southern Africa. Online versions of titles can be downloaded (either as specific chapters or as entire publications) at no cost via the website and these downloads are being measured to further assess the dissemination of HSRC outputs amongst the research community and civil society.

Perhaps because of rather than despite this novel approach, orders for printed publications have grown substantially. For the year under review 7 175 HSRC publications were bought. In addition, 2 800 publications were sold to co-publishers. Therefore a total of 9 975 publications produced by the HSRC entered the market during this period. The net income from publications amounted to R0,8 million (R1,4 million in 2003/04). The higher level of income in 2003/04 is attributable to a large, once-off order intended for distribution to schools.

Alongside the publications which the HSRC itself produces, important outputs are articles by HSRC researchers in scientific journals and chapters in books. A comprehensive list of HSRC publications is provided elsewhere in the 2004/05 Annual Report. Statistics from the publications list are summarised in Table 4.

The benefits of employing top-quality research staff are reflected in the number, range and quality of publications produced in the course of 2004/05. The total number of publications per average researcher head has decreased slightly from 3,2 in 2003/04 to 2,9 in 2004/05. The number of refereed journal articles per average researcher increased considerably from 0,67 to 0,79 – once again exceeding the new stretch target of 0,67 for 2004/05. If corrected for shared authorship with non-HSRC staff, this figure would decrease slightly, but it still exceeds that for social scientists at South Africa's best research universities.

**TABLE 4: PUBLICATIONS**

CATEGORY	NO. IN 2004/05	NO. IN 2003/04
Books and chapters in HSRC books	59	91
Books and chapters in non-HSRC books	50	41
Journal articles	144	115
<i>Refereed</i>	93	74
<i>Non-refereed</i>	51	41
Research reports to clients/users	92	104
<b>Total</b>	<b>345</b>	<b>351</b>

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**TABLE 4a: OF THE PUBLICATIONS LISTED IN TABLE 4: First author a black person**

CATEGORY	NO. IN 2004/05	NO. IN 2003/04
Books and chapters in HSRC books	11	14
Books and chapters in non-HSRC books	24	2
Journal articles	39	15
<i>Refereed</i>	27	6
<i>Non-refereed</i>	12	9
Research reports to clients/users	28	16
<b>Total</b>	<b>102</b>	<b>47</b>

Table 4a provides a breakdown for black researchers in the HSRC who were listed as first authors in recent publications. This table shows an even greater improvement in terms of peer-reviewed journal articles. Similar, but less spectacular, improvements were evident in the case of female researchers. Table 6 on page 132 contains a summary of indicators related to HSRC research outputs.

## 4.7 Corporate communications

The year under review saw the implementation of aspects of the HSRC communication strategy. At its core the strategy is profiling and positioning the HSRC internally and externally as a transformed organisation that conducts social science research that makes a difference. The communication strategy is undergoing further refinement following consultations with Research Programmes directors.

Profiling of the HSRC involved several media liaison activities, some of which entailed publicity on the newly established Gender and Development Unit, the release of the Trends in International Mathematics and Science Study (TIMSS), the second African Conference on Social Aspects of HIV/AIDS Research and the HSRC's own social responsibility project, the Homelessness Project.

Additional media interest was generated by three HSRC seminars, which formed part of the Ten Years of Democracy Celebrations, and by the *HSRC Review* a quarterly newsletter containing information on the latest research results emanating from HSRC studies, surveys and reports. Corporate Communications also facilitated the provision of commentary on the April 2004 elections by various HSRC researchers and, in collaboration with the South African Agency for Science and Technology Advancement (SAASTA), arranged several media relations training sessions for scientists provided by international science communicators.

Print, radio and television media coverage of the HSRC for the 2004/05 financial year rocketed to R45,7 million in advertising value equivalent (AVE) compared to R22,9 million in 2003/04, representing about 100% growth. This is some indication of the relevance the media attaches to the HSRC's research topics.

The HSRC presented displays at various exhibitions and conferences, such as the International Science, Innovation and Technology Exhibition (INSITE) and the African Ministerial Conference on Housing and Urban Development (AMCHUD), held in Gauteng and in Durban respectively.

Future developments include the production of a new publication, *Policy Digest*. The publication will provide a synopsis of research on one theme and will highlight the policy implications in a non-scientific and easily readable format.

In terms of internal communication, the staff climate survey originally planned for late 2004/05 will now be conducted at mid-year. A Wellness and HIV Awareness Day for HSRC employees is also planned.



#### 4.8 Investments in research infrastructure

The deployments of surpluses accumulated during earlier budget years were finalised during 2004/05 according to the framework approved by the Minister. Three major instances are mentioned here:

- The refurbishment of the floors occupied by the HSRC in its Pretoria building was concluded, and staff moved into their new offices during 2004/05. The shared open space and light office areas reflect the new approach of the HSRC.
- Infrastructural upgrades in terms of computer network and telephone communication facilities receive ongoing attention, now under the auspices of an ED-led user task team.
- Project Insight, described in section 3.1, was launched. Its various aspects provide an integrated management and information support structure to enhance research and research collaboration in the HSRC's devolved and decentralised milieu.

### 5. Financial results and sustainability

During 2004/05, the HSRC's turnover, i.e. total revenue, was R237,4 million, a 27% increase over the R187,2 million of 2003/04. In terms of external research income, the annual increase was 36% between the two years. (This growth is shown in the Income Statement on page 134.) As before, the increase was attributable mainly to the substantial growth in research contract and grant earnings, shown at Table 2 in section 4.1.

Total expenditure increased by 24,1% between 2003/04 and 2004/05 (compared to 27,2% between 2002/03 and 2003/04). Employee cost, the largest cost component, increased by 27,4% in 2004/05. The corresponding increase in research activity for 2004/05 was 36%. The growth of income and expenditure for 2004/05 was controlled within the context of the HSRC's strategic plan.

Overall expenditure in 2004/05 was R232,6 million. This resulted in a surplus of R4,8 million for 2004/05 (compared to a net deficit of R0,2 million at the end of 2003/04). During 2004/05 the funding of strategic infrastructure projects from previously accrued surpluses was completed, as described in section 4.8.

The HSRC provided interim administrative support for the Institute for Indigenous Knowledge Systems in South Africa (IIKSSA). It received an amount of R1,9 million, earmarked for the second phase of the Institute's activities. This is not included in the R82,8 million (R78,3 million Parliamentary grant plus R4,5 million ring-fenced for S&T indicators) received in terms of the MTEF allocation for 2004/05.

The Parliamentary grant allocation for the 2004/05 financial year is broken down in Table 5.

**TABLE 5: PARLIAMENTARY ALLOCATION**

	2004/05 R'000	2003/04 R'000
Parliamentary grant as per income statement	79 198	65 562
<b>Plus (minus):</b> Net adjustment in respect of deferred income	(862)	543
<b>Total</b>	<b>78 336</b>	<b>66 105</b>

Of the ring-fenced R4,5 million received for S&T indicator research in 2004/05, an amount of R0,5 million was rolled over to the 2005/06 budget year to provide for survey work to be completed in 2005/06.

The Balance Sheet on page 135 shows that the HSRC had total assets of R115 million at 31 March 2005, and current liabilities of R55,6 million. The HSRC continues to receive state funding – R83,6 million for 2005/06 plus a ring-fenced grant of R 4,5 million for research on S&T indicators. It starts the 2005/06 financial year with reported commitments for external income in excess of R77 million. On these three criteria, the view of Council is that it should remain a going concern.

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FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

### 6. Human resources

The HSRC's staff complement at the end of the 2004/05 financial year was 290, which is 23 more than the previous year-end total of 267. During the year, 78 new appointments were made in total, with natural attrition (contracts expiring, resignations and retirements on pension) accounting for the difference of 55.

One staff member was retrenched when the Bloemfontein office was closed and one was dismissed following a disciplinary hearing dealing with fraud.

The 2004/05 budget year saw a net increase in the proportions of black and female staff, and also of administrative staff. The latter trend reflects the impact of more large-scale projects requiring professional support within the research components, the challenges of providing support across three research centres and the gradual populating of corporate support functions since the restructuring. It also underlines the challenge of growing the number of researchers from a limited pool of available resources where firm representivity quotas in terms of race, gender, and disability are stipulated by the HSRC alongside its other requirements of qualifications, publications and experience.

The proportion of researchers in the total staff, and the proportion of researchers who are black, are among the six key indicators highlighted in the CEO's annual message.

Four research interns joined the HSRC in the year under review. These appointments are for periods ranging from one to three years, and are specifically aimed at building research capacity in an applied social science environment. Most interns are registered at universities for Master's degrees, some for Doctorates. The internship programme is based upon initiatives in Research Programmes, and it will help the HSRC to achieve its strategic objectives related to equity, excellence and future impact. An internship policy document, drawing on the lessons learned in the various Research Programmes, is to be finalised in 2005/06.

By 31 March 2005, 53% of HSRC staff were in research positions, compared to 58% at 31 March 2004 and 56% at 31 March 2003. This indicates a slippage against the strategic target of 60% research staff. As noted earlier, some of the growth reflects appointments into central administration posts filled since the restructuring with external contractors, and some represent people in Research Programmes appointed against project funds for very large research projects, to help administer them. These new developments will be further analysed and monitored in 2005/06.

The HSRC remains committed to maintaining and steadily improving representivity at all levels. Among researchers, the number of blacks remained basically constant, moving from 65 to 66 between 2003/04 and 2004/05, i.e. the percentage of researchers who are black stayed at 51%. When research interns are included in the analysis, the percentage of black researchers was 58% at 31 March 2004, marginally down from the 60% achieved in 2003/04, due to a slight decrease in the number of research interns (from 28 to 25).

Female representivity amongst research staff improved from 38% (49 persons) for 2003/04 to 43% (55 persons) for 2004/05. When research interns are included in the analysis, the corresponding figures are 44% at 31 March 2004 and 47% at the end of 2004/05. Highlighted as a possible cause for concern by the 2003 Review panel, this feature improved in the 2004/05 year and will continue to be monitored in future.

Among administrative staff, where larger numbers of qualified candidates are in the market, the percentage of blacks increased appreciably, from 61% by the end of 2003/04 to 68% by the end of this reporting period. In terms of gender, the majority of administrative staff are female: 67% at 31 March 2004, and 70% at 31 March 2005.

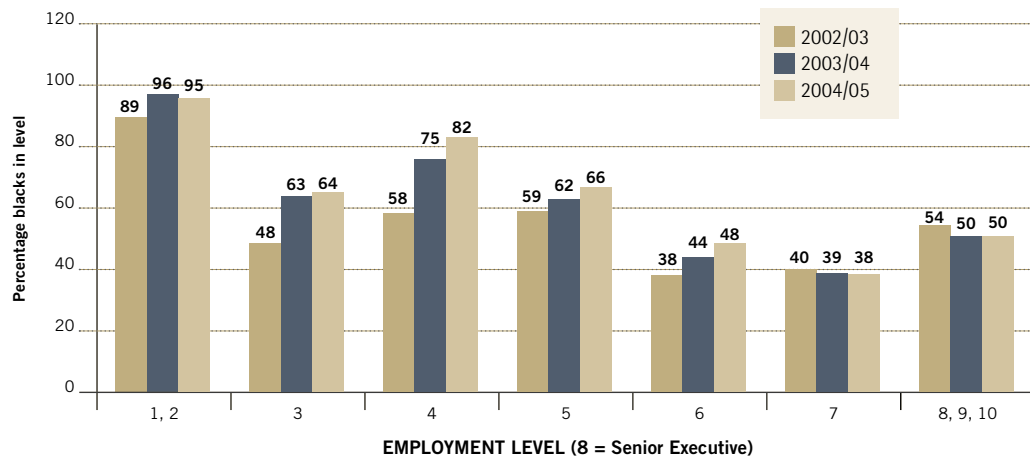
Changes in representivity at the higher levels receive particular attention, although changes tend to occur more slowly because of the small numbers of people involved and low attrition. Among administrative staff at the levels of Deputy Director and above the percentage of blacks rose notably from 49% to 54% (from 18 to 26 people). Among researchers of specialist rank and above, the percentage of blacks continued to improve, but more slowly, from 40% to 42% (from 36 to 39 people). At these higher levels, the ratio between researchers and administrative staff is well-aligned with strategic targets: 66% of all staff at these levels are researchers.

Among senior administrative staff, women increased their share from 57% in 2002/03 and 68% in 2003/04,



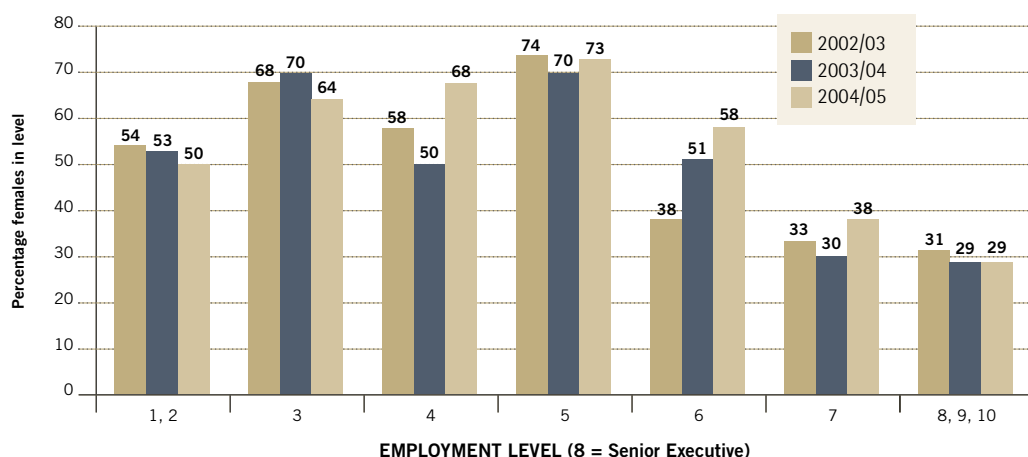
to 75% in 2004/05. Within this group, black female staff now comprise 42% of all senior administrative staff, with white males and black males taking an equal share at 12,5% each. Substantial improvement in female representation among senior researchers was achieved during the initial restructuring, from 18% in 2000/01 to 33% in 2001/02. Since then, the improvement remained on track, and reached 40% by 31 March 2005. Senior female black researchers remain a minority at 14%, with white males, black males and white females taking up relative larger shares at 32%, 28% and 26% respectively. Notwithstanding the substantial improvements, the relative positions of males at senior administrative levels and of females at senior research levels, as well as possible gender differences between research and administrative career paths, warrant specific attention.

**Figure 6:** Black employees in employment levels, 2002/03 to 2004/05



The proportions of black staff per employment level are shown in Figure 6, for the current and previous reporting periods. The proportion has improved at nearly every level, and appreciably at the middle levels 4, 5 and 6 (for example, level 5 is Assistant Director or Chief Researcher). Room for improvement remains at the highest levels, and this remains a priority of Council and the HSRC as a whole.

**Figure 7:** Female employees in employment levels, 2002/03 to 2004/05



## COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

The proportions of female staff per employment level are shown in Figure 7, for the 2002/03, 2003/04 and 2004/05 years. The most noticeable increase is among professionals, i.e. from level 6, which starts at Specialist Researcher or Deputy Director levels, and now also at level 7, which is at the level of Director. Improved levels of female representation at the topmost levels remain a priority.

Disabled people now comprise 1% of the staff (less than 1% in 2003/04), whereas 2% is the target for government departments. Research as well as administrative positions are held by disabled persons, and all are employed at senior levels.

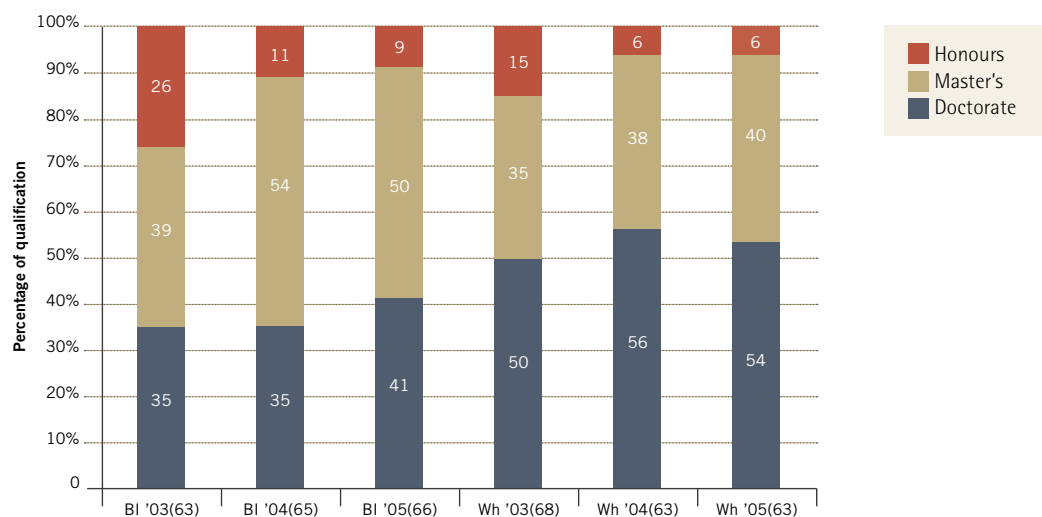
Among researchers, there have been noteworthy changes in the proportions of staff with Master's or Doctoral degrees. If all research staff are taken into account, the proportion of all research staff with either a Master's or Doctoral degree improved from 78% to 84% during this period. This overall improvement in qualification levels of research staff is related to the slightly reduced numbers of junior researchers who have been taken in as interns, and also to the fact that some interns have already obtained a Master's degree. Figure 8 shows the trend in terms of percentages for black and white researchers, if research interns are excluded from the analysis. At 31 March 2005, 92% of the research staff (the percentages are almost identical across race and gender) had a Master's or Doctoral degree, and the proportions have steadily improved. The comparative figure for 2003/04 was 91%.

During 2004/05, further attention was given to the development and approval of policy documents to support the broad aims of integrated employment equity, professional development and career pathing. The HSRC's new policy on professional development, prepared in 2004, is intended to:

- provide its employees with the opportunity to develop professionally in disciplines required by the HSRC whilst in service, thereby enhancing their own performance and that of the organisation;
- expand the pool of internal candidates who are eligible for promotion to senior positions as they become vacant;
- facilitate the capacity of the HSRC to attract and retain high-calibre employees, as a preferred employer; and
- contribute to the national pool of competent social scientists.

The consultative process to further revise and update the integrated Employment Equity plan continued in 2004/05, beginning with a workshop with the executive management and subsequently involving meetings with all staff in the organisation. In accordance with requirements of both the Employment Equity Act and the Skills Development Act, an Equity and Skills Committee was constituted in November 2004. Following the initial training of its members, the committee had to devote its attention to one of the main tasks entrusted to it, namely to review the HSRC's three-year employment equity plan.

Figure 8: Proportions of researchers (excluding interns) with Honours degrees, Master's degrees and Doctorates





In May and June 2004, the annual performance appraisals were again conducted. All qualifying staff were evaluated against objectives previously agreed with supervisors, and their supervisors' recommendations were reviewed by the respective ED and finally moderated by the CEO with the EDs. The appraisal form once again aligned the individual staff member's objectives with the COUPE framework, ensuring that strategic objectives were discussed and taken seriously throughout the organisation. This was the first year that staff with less than one year (but at least six months) of service could be considered for performance-based awards. About 71% of eligible staff received some or other form of performance-based award: a half- or full-merit award, an increase of a notch on the salary scale, or a rank promotion. The proportion in 2003/04 was 65%.

## 7. Strategic risk assessment

The Audit Committee monitors risk and risk-management in the HSRC on an ongoing basis. During the year under review, the CEO periodically reported to the Committee on progress made with actions taken to mitigate risks in the organisation. Various initiatives started in 2001 needed to be brought to a point where they could be handed over to a new outsourced internal audit service provider.

The HSRC commissioned and conducted a risk assessment in 2001, including an initial control culture assessment, because it was aware that, in initiating far-reaching transformation, it would be substantially changing its risk profile. On the basis of the report, the Audit Committee adopted a three-year audit plan that includes three undertakings: the development of a Fraud Prevention Plan, a review of Corporate Governance and an audit of Information Technology. These were completed with the help of different outsourced audit partners and internal stakeholders. Recommendations for institutional implementation were prepared and approved by the Audit Committee and referred to Council during 2003/04. Council approved the reports of the Corporate Governance review and the Information Technology audit. Following inputs from Council, the draft Fraud Prevention Plan was re-worked, and the revised document was reviewed by the Chairs of the Audit Committee and of Council. It will be tabled for adoption at the Council meeting of 26 May. Many aspects of the revised Fraud Prevention Plan have already been implemented.

The 2001 risk assessment was due to be complemented by the outcome of two related, but independent exercises, namely a follow-up control culture assessment after a year, and training in control self-assessment. The Audit Committee recommended that these exercises be postponed for a while, until the status of controls and systems in the HSRC had sufficiently stabilised following the restructuring and rapid expansion of the organisation, as well as the introduction of new policies and procedures. Accordingly, the control culture assessment among senior managers was followed up in 2004, allowing for comparison of the status of controls and systems as the scale and variety of activities has increased following the restructuring. Participating managers discussed the preliminary results in an ED workshop. A suitably qualified and experienced service provider was sought for the training control self-assessment, and possible candidates in university management faculties who would be attuned to the HSRC's research operations were identified. The selection is due to be made in the new financial year.

The HSRC has reviewed a draft internal audit charter supplied by KPMG, the newly appointed, outsourced internal audit service provider, and the Audit Committee and Council will consider it for approval in May 2005. Based on initial scoping and consultation, KPMG will submit an internal audit plan in August.

Notable aspects of risk in the day-to-day operation of the HSRC relate to research quality and to the professional management of large contracts. The latter includes changes in the environment such as currency rate fluctuations and new regulations.

- To manage risk with respect to the quality of the research process, the following systems are in place: peer-review mechanisms at various stages of research planning, execution and production; provision for ongoing professional development of research staff; scrutiny of proposals by the Research Ethics Committee and of books to be published by the Editorial Board of the HSRC Publishers and its independent reviewers. Also important is the emphasis on recruiting top-level research specialists of acknowledged professional stature to lead programmes and sections, who set and monitor professional research standards; and the provision



## COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

for mentoring and internships within Research Programmes towards sustaining research quality in future.

- With regard to contract management, all new research agreements with clients as well as with service providers are now scrutinised and finalised in consultation with the new co-ordinator of contracts and grants in the Business Development Unit, prior to signature. The unit refers large agreements to the CEO. The implementation of Project Insight is also providing systems and procedures, such as the new Research Management System described earlier, and templates for key aspects of agreements to enhance good practice.
- Other aspects of financial risk management, such as potential currency fluctuations, are referred to expert working groups for policy advice. The CEO, the ED and senior staff members in the Office of the CEO and the Finance Department monitor and attend to changes in the public-sector regulatory environment. Information sessions and workshops are held with staff members as required. The HSRC revises its insurance coverage with various service providers on an annual basis.

### 8. Corporate social responsibility

The Council conceives the HSRC's social-responsibility obligations at four levels:

- intrinsically, as a non-profit public-sector entity, in the execution of its mandate;
- in the public-benefit orientation that informs the way in which it designs and executes projects and disseminates their results;
- in the conduct of its affairs, including its relation to its staff, as a public-sector employer; and
- the additional community-oriented activities it might undertake.

At all four levels, the Council seeks to ensure that the HSRC is sensitive to the needs and interests of disadvantaged and marginalised groupings, usually by engaging with their representative organisations.

#### 8.1 Social-benefit research mandate

The HSRC has social-responsibility obligations as an intrinsic part of its mandate, which is to contribute to the benefit of all South Africans through conducting and fostering policy-relevant social research. Thus, the research activities presented throughout this annual document comprise the HSRC's reporting at the first level of corporate social responsibility defined above.

Particularly relevant are the many instances of the evident impact of project findings and their implementation by users that are recounted in the sections allotted to each of the Research Programmes.

Selected examples of research-project topics specifically focused on disadvantaged and marginalised groups are:

- Disability studies;
- The needs of the elderly;
- Positive role models of fatherhood;
- Including women in peacemaking;
- Contract farmers and small-scale agriculture;
- Poverty and development challenges in small towns;
- Food security and employment creation;
- Social exclusion and the labour market;
- Impact of HIV/AIDS on land rights and land tenure;
- Improving banking services for the rural poor;
- Tracking and analysing poverty;
- Orphans and vulnerable children affected and infected by HIV/AIDS;
- Gender violence and its relation to HIV;
- Responsible alcohol service programme for urban and rural areas;
- Community-based information systems; and
- Community arts centres.

The list illustrates how the HSRC contributes through its core social-research activities – conducted in the



national, provincial and local spheres – to the “triple bottom line” of economic prosperity, social development and environmental sustainability.

## 8.2 Distinctive research approach

At the second level, the HSRC’s Research Ethics Committee ensures that researchers provide participants in research projects with sufficient, relevant and understandable information before asking them to give or withhold consent to participation.

The recent establishment of a Gender Development Unit, and the appointment of its head at senior level, reporting both to the CEO and a research ED, has helped to “mainstream” gender considerations in the HSRC’s research activities and organisational-development priorities.

Participatory approaches in the conception, implementation and dissemination stages of research enable researchers, where it is appropriate, to obtain inputs to adapt their research, recommendations and research implementation strategies to the needs of beneficiaries and users of research.

The HSRC has been adopting extra avenues of dissemination to try to improve the take-up of its research by the public and possible beneficiaries: for instance, the issue of publications free of charge on the Internet, the use of other media such as videos and photographic exhibitions, the distribution to all high schools of the quarterly *HSRC Review* containing accessible presentations of recent research outputs, the translation of key parts of its Annual Report into official languages other than English, and the prospective *Policy Digest* that will précis findings for decision-makers and their constituencies.

In addition, the HSRC tries to impart research-driven social benefits in other ways. For example, several of its senior researchers serve on governing councils or advisory boards on the basis of their specialities.

## 8.3 Organisational responsibility

The HSRC’s endeavours to meet its social-responsibility obligations as an organisation and an employer are touched upon at several junctures in this Annual Report. Some key facets are recapitulated here, for their relevance to the economic, social, and environmental aspects of the “triple bottom line”:

- In its procurement policy and practice the HSRC is committed to the promotion of Black Economic Empowerment (BEE) and the advancement of black-owned small and medium-sized enterprises (SMMEs). The HSRC has steadily widened the application of this approach, under the scrutiny of the Audit Committee on behalf of Council.
- The HSRC is involved in research capacity-development through its research intern scheme. Interns, predominantly drawn from previously disadvantaged communities, receive salaries on one- to three-year contracts. They are mentored during their engagement in HSRC projects, which furnish the material for their Master’s or Doctoral degrees at universities. Support service units such as the Library provide work-place experience opportunities to other students.
- In the coming year, as part of formulating its next three-year employment equity strategy, the HSRC is rolling out an employment equity awareness strategy that includes an awareness campaign and training. A professional development framework has been developed and documented in preparation for implementation.
- With the assistance of a service provider, the HSRC has in place a wellness programme. This contains an AIDS intervention programme for all permanent employees and their immediate family members, including informative materials on the provision of anti-retroviral drugs and medical monitoring, and a 24-hour hotline.
- On the environmental side, energy-saving initiatives are in place in the large Pretoria building, as well as refuse-recycling.

## COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

### 8.4 Community-oriented activities

A practical opportunity for the HSRC to apply its organisational or research capabilities at community-development level arose in 2003/04 when the Tshwane health authorities directed the HSRC to address the health hazard posed by the homeless people – up to two hundred per night – who were sheltering under the colonnades of the HSRC building in Pretoria. They also requested the HSRC to fence its premises.

Prompted by a well-researched profile of the homeless people by members of its Integrated Rural and Regional Development Research Programme, the HSRC took up the issue as a development project. With the help of an experienced community-organisation facilitator, it has adopted a multi-faceted approach.

The HSRC had consultations with the homeless people, and initiated a process to identify and engage the authorities responsible at national, provincial and metro level, via a series of regular and well-attended stakeholder meetings. The Johannesburg shelter run by the Sisters of Mercy in Johannesburg offered the sustainable organisational model of a well-regulated overnight facility with ablutions, and some training services during the day. The Tshwane metropolitan council made available and upgraded a set of unused public buildings nearby, and provided the beds as well as start-up management; the Sisters helped with blankets; the HSRC donated furniture and computers for the offices, and pays the rates and utilities; and local faith-based organisations have undertaken a voluntary feeding scheme.

The shelter is called GaMehlolo, which means “The place of the miracle”. The 150 beds are all used every night. The Department of Social Development made a grant to cover the first-year running costs. In order to secure ongoing funding from organisations nearby, the stakeholder group is establishing the future legal form of the facility with Tshwane Metro.

In addition, the HSRC's Integrated Rural and Regional Development Research Programme has designed and undertaken an ambitious national study of the causes and dimensions of the broader problem of homeless people in South Africa. Several other HSRC Research Programmes are participating, and they as well as the CEO's Office assigned funds from the 2004/05 Parliamentary grant to support this initiative. Additional funds were obtained from external sources to expand this project, allowing a total budget of nearly R2 million. A report is expected to be published in 2005/06.

### 9. Events between the financial year-end and the publication of this report

- Consolidated inputs and comments on the Draft HSRC Bill were forwarded to the Department of Science and Technology in April 2005. The Parliamentary process for approval of the Draft Bill is expected to commence in the latter half of 2005.
- The appointment of a new CEO for the HSRC was officially announced in June 2005. Dr Olive Shisana will take office on 1 August 2005.
- Feedback was obtained on the HSRC's request to be reclassified as a Schedule 3B public entity, and a process started to prepare a shareholders' compact.

### 10. Achievement of performance targets

The progress of the organisation against quantitative targets, as reflected in this section, is one of the ways in which its performance is monitored. The CEO, the EDs, and Council are kept informed of progress, to take corrective action when required.

The HSRC's actual performance on key indicators – as measured against previous performance and annual targets – is summarised in Table 6 on page 132.

The quantitative targets for 2004/05 were formally approved by Council in February 2005. The same indicators and targets comprise part of the Key Performance Indicator (KPI) Report of the HSRC submitted annually in July to the Minister's National Advisory Council on Innovation (NACI), via the DST. That document also includes extensive qualitative indications.

The HSRC exceeded or reached 18 of the 30 detailed indicators for which targets had been set. Some targets



have been exceeded by a substantial margin, such as the sentinel indicator of peer-reviewed journal publications per head, item 19; and the value of free media coverage, item 8. The target for female representivity, item 9b, has been exceeded – particularly in the administrative component – to the extent that corrective action to recruit more male staff may be required in future.

Of the six sentinel indicators reported upon annually in the CEO's message, three were met or exceeded: earnings as a proportion of turnover, the proportion of tenders that are successful, and journal publications mentioned above. Two more were nearly achieved. Regarding outreach, item 5, more than half of all HSRC projects involved external collaboration, although the target of 55% has not quite been met for 2004/05. This indicator perhaps insufficiently differentiates between larger projects and smaller ones related to researchers' own professional development. The indicator on improving black researcher representivity, item 10a, was also almost achieved (and the more general measures of overall staff representivity, items 9a and 9b, were exceeded).

One sentinel indicator that will receive special additional management attention during 2005/06 concerns the proportion of research staff in the total staff complement, shown in item 14. When restructuring was planned, the hope was to keep this proportion near 60%. However, the level has dropped through 56% at the end of 2003/04 to 53% in 2004/05; i.e. there are 53 researchers for every 47 members of support staff. From the research side, the difficulty of Research Programmes' meeting the representivity quotas (agreed by EDs with the CEO as part of the annual budget) has meant that the HSRC's overall research complement has not shown the net growth that was budgeted in 2004/05. However, the intended growth on the administrative side has proved possible within the representivity requirements. So the intended ratio is affected.

Some of the increased proportion of administrative staff are permanent appointments to posts that had been filled with temporary staff from agencies, who were not included in the previous statistics; and some are new administrative staff on one- or two-year contracts helping to run large research projects, and paid from those projects' funds. The original benchmark also did not envisage the degree of support required to run three offices nationwide. The suitability of the index will be revisited in the light of these new developments.

We comment below on remaining instances where targets have not been met.

- Improvements in disability representivity, item 9c, have been made, and the HSRC is determined to meet this target in the near future.
- The particular difficulty of recruiting and retaining people from designated groups to be researchers or managers at senior levels is illustrated in the shortfall of item 11. These matters remain firmly on the agenda. It was noted earlier that the CEO agrees firm quotas with EDs each year, together with the annual budget. The result has been that where such posts cannot be filled, the growth of the research complement has slowed. This matter will remain on the agenda of Council and Executive Management of the HSRC.
- The non-achievement of the target regarding payroll spent on research, item 13 of the relative proportions of research and administrative staff discussed earlier.
- The percentage of staff on study bursaries, item 20, dropped further. The majority of bursary holders currently are in administrative positions. This may partly reflect the fact that interns are on salaries at the HSRC and receive bursaries from their universities regarding their degree courses. The introduction of a new, integrated professional development programme for staff is expected to receive priority attention in 2005/06.

The fact that the HSRC has met the major performance criteria under the rubrics of contracts and excellence bodes well for its sustainability. The Council will pay ongoing attention to recruiting, growing, retaining and promoting the senior researchers who are the drivers of this sustainability, while continuing to advance the extent to which they are representative of the people of our country.

# COUNCIL'S REPORT

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

**TABLE 6: PERFORMANCE TARGETS**

No	Strategic objective	Key performance indicator	Target 2004/05	Performance 2004/05	Performance 2003/04	Performance 2002/03
	<b>Contracts and earnings</b> Increasing research earnings	("Financial Investment perspective")				
1.		Achievement of income target: Total income	R208 m	R237 m	R187 m	R137 m
2.		Achievement of income target: External research earnings (including ring-fenced funding)	R122 m	R140 m	R103 m	R61 m
3.	<b>SENTINEL INDICATOR</b>	Dependency ratio: External research earnings as a percentage of total research earnings (Parliamentary grant plus external research earnings)	61%	64%	62%	50%
4.		Variance in budgeted expenditure: Surplus or deficit for year, as percentage of turnover	5%	2%	0,1%	1,1%
	<b>Outreach</b> Assertive outreach to universities and NGOs, locally and internationally	("Stakeholder perspective")				
5.	<b>SENTINEL INDICATOR</b>	Percentage of research projects with external researcher participation	55%	51%	62%	51%
	<b>User needs</b> Focusing the research on user needs, especially of government Clusters for policy-relevant research	("Customer perspective")				
6.	<b>SENTINEL INDICATOR</b>	Known successful proportion of total competitive tender/funding applications submitted, at May	33%	43%	40%	33%
7.		"User-driven approach" – percentage of research projects that are partially or fully externally funded	60%	67%	60%	54%
8.		Free media coverage	R15 m	R46 m	R23 m	R3,3 m
	<b>Performance – equity</b>	("HR and Transformation perspective")				
9.		Overall staff representivity a. Percentage black staff b. Percentage female staff c. Percentage staff with a disability	62% 51% 1,5%	63% 58% 1%	60% 53% 0,5%	53% 51%
10.	<b>SENTINEL INDICATOR (a)</b>	Research staff representivity a. Percentage black research staff b. Percentage female research staff	53% 42%	51% (excl.interns) 58% (incl. interns) 43% (excl.interns) 47% (incl. interns)	51% (excl.interns) 60% (incl. interns) 38% (excl.interns) 44% (incl. interns)	48% 40%



No	Strategic objective	Key performance indicator	Target 2004/05	Performance 2004/05	Performance 2003/04	Performance 2002/03
11.		Executive management representivity (EDs and CEO) a. Percentage black executive managers b. Percentage female executive managers	54% 38%	50% 33%	42% 33%	
	<b>Performance – efficiency</b>	("Organisational perspective")				
12.		Productivity of HSRC investment in its employees: External research earnings per head (all permanent and longer-term contract staff)	R387 000	R486 000	R395 000	R264 000
13.		Share of payroll spent on researcher salaries	67%	62%	72%	64%
14.	SENTINEL INDICATOR	Proportion of researchers in total staff	60%	53%	58%	56%
15.		Overhead efficiency: Ratio of non-overhead costs to total costs	0,75	0,75	0,72	
16.		Salaries to total expenditure	45%	47%	44%	
	<b>Excellence</b> Achieving excellence in research	("Innovation and Learning perspective")				
17.		Human capital: Proportion of researchers with M and D degrees a. All researchers b. Black researchers c. Female researchers	90% 90% 90%	92% (excl. interns) 84% (incl. interns) 91% (excl. interns) 91% (excl. interns)	91% (excl. interns) 78% (incl. interns) 89% (excl. interns) 88% (excl. interns)	80%
18.		Number of books, journal articles, reports (per average senior researcher head) a. All researchers b. Black researchers c. Female researchers	3,0 2,5 3,0	2,9 1,8 1,5	3,2 2,1 3,8	2,4
19.	SENTINEL INDICATOR (a)	Number of refereed journal articles per average senior researcher head a. All researchers b. Black researchers c. Female researchers	0,65 0,47 0,47	0,79 0,47 0,46	0,67 0,38 0,38	0,55
20.		Percentage of permanent staff receiving study bursaries	10%	5,2%	8,5%	8,2%



## INCOME STATEMENT

FOR THE YEAR ENDED 31 MARCH 2005

	Notes	2005 R'000	2004 R'000
<b>CONTINUING OPERATIONS</b>			
Research revenue	1	136 607	100 403
Research cost	4	(63 314)	(30 762)
Gross research income		<b>73 293</b>	<b>69 641</b>
Parliamentary grants	2	79 198	65 562
Parliamentary grants ring-fenced	2	4 000	5 000
Other income	3	17 603	16 188
		<b>174 094</b>	<b>156 391</b>
Administrative expenses	5	(60 676)	(62 297)
Staff costs	6	(89 721)	(77 218)
Other operating expenses	7	(12 720)	(11 392)
Depreciation	8	(6 183)	(5 694)
<b>Surplus/(deficit) for the year</b>		<b>4 794</b>	<b>(210)</b>

# BALANCE SHEET

AS AT 31 MARCH 2005

	Notes	2005 R'000	2004 R'000
<b>ASSETS</b>			
<b>Non-current assets</b>			
Property, plant and equipment	10	49 494	51 080
Investment property	11	–	6 850
		<b>49 494</b>	<b>57 930</b>
<b>Current assets</b>			
Inventory	12	1 474	1 724
Trade and other receivables	13	33 603	27 187
Prepayments and advances	14	128	492
Cash and cash equivalents	15	30 375	48 347
		65 580	77 750
<b>Total assets</b>		<b>115 074</b>	<b>135 680</b>
<b>EQUITY AND LIABILITIES</b>			
<b>Capital and reserves</b>			
Capital and income funds		46 994	53 419
Deferred income	19	5 003	5 865
		<b>51 997</b>	<b>59 284</b>
<b>Non-current liabilities</b>			
Provisions	22	7 472	7 554
		<b>7 472</b>	<b>7 554</b>
<b>Current liabilities</b>			
Trade and other payables	20	9 899	9 716
Income received in advance	21	45 706	59 126
		55 605	68 842
<b>Total equity and liabilities</b>		<b>115 074</b>	<b>135 680</b>



# STATEMENT OF CHANGES IN EQUITY

FOR THE YEAR ENDED 31 MARCH 2005

	Income funds			Capital funds	Deferred income	Total
	Surplus funds	"Own-risk" insurance fund	General reserve			
	R'000	R'000	R'000	R'000	R'000	R'000
<b>Balance at 1 April 2003</b>	<b>(3 197)</b>	<b>400</b>	<b>16 000</b>	<b>42 059</b>	<b>6 408</b>	<b>61 670</b>
Allocated to income during the year	(1 633)				(4 514)	(6 147)
Net surplus/(deficit) for the year	(210)					(210)
Portion of Parliamentary grant utilised to acquire depreciable fixed assets for the year					3 971	3 971
<b>Balance at 1 April 2004</b>	<b>(5 040)</b>	<b>400</b>	<b>16 000</b>	<b>42 059</b>	<b>5 865</b>	<b>59 284</b>
Transfer to general reserve	(8 219)		8 219			
Net surplus for the year	4 794					4 794
Allocated from income during the year					(4 764)	(4 764)
Allocated from general reserve			(11 219)			(11 219)
Portion of Parliamentary grant utilised to acquire depreciable fixed assets for the year					3 902	3 902
<b>Balance at 31 March 2005</b>	<b>(8 465)</b>	<b>400</b>	<b>13 000</b>	<b>42 059</b>	<b>5 003</b>	<b>51 997</b>



## CASH FLOW STATEMENT

FOR THE YEAR ENDED 31 MARCH 2005

	Notes	2005 R'000	2004 R'000
<b>Operating activities</b>			
Cash utilised in operations	23	(26 756)	(9 720)
<b>Net cash used in operating activities</b>		<b>(26 756)</b>	<b>(9 720)</b>
<b>Investing activities</b>			
<b>Net cash from/(used in) investing activities</b>	24	<b>8 784</b>	<b>(7 747)</b>
<b>Net decrease in cash and cash equivalents</b>		<b>(17 972)</b>	<b>(17 467)</b>
<b>Cash and cash equivalents at the beginning of the year</b>		<b>48 347</b>	<b>65 814</b>
<b>Cash and cash equivalents at the end of the year</b>	15	<b>30 375</b>	<b>48 347</b>



## SUMMARY OF ACCOUNTING POLICIES

### FOR THE YEAR ENDED 31 MARCH 2005

#### **Basis of presentation**

The Annual Financial Statements have been prepared on the historical cost basis in accordance with generally accepted accounting practice and incorporate the following principal accounting policies, which have been consistently applied in all material respects with those of the previous financial year, unless otherwise stated.

#### **Revenue**

Revenue includes investment and non-operating income exclusive of value-added taxation. Revenue that resulted from the rendering of research and related services is acknowledged at the stage of completion, determined according to the percentage cost to date in relation to the total estimated cost of the project. Revenue from the sale of goods is recognised when significant risk and rewards of ownership of goods are transferred to the buyer. Revenue arising from royalties is recognised on an accrual basis in accordance with the substance of the relevant agreement.

#### **Parliamentary grants received**

##### **Baseline grant**

Parliamentary grants are accounted for in the period to which each grant relates.

##### **Grants for depreciable and non-depreciable assets**

###### **Depreciable assets**

Current year Parliamentary grants in respect of depreciable assets (excluding land and buildings) are allocated to income over the period of and in proportion to the depreciation, which is written off against such assets. A corresponding amount in respect of the relevant non-depreciable assets disposed of during the year is also allocated to income in the period in which it is disposed of. The balance of the Parliamentary grant not recognised in the income statement is disclosed as deferred income.

###### **Non-depreciable assets**

Parliamentary grants in respect of non-depreciable assets are allocated to income when received. A corresponding amount is then transferred from income funds to capital funds as an appropriation of accumulated funds per the statement of changes in equity. Freehold land and buildings (owner-occupied property), now subject to depreciation, was previously classified as a non-depreciable asset and was treated according to this policy.

#### **Property, plant and equipment**

##### **Freehold land and buildings**

Freehold land and buildings will be treated as owner-occupied property. Owner-occupied property will be stated at fair value less depreciation.

The owner-occupied property will be depreciated at 2% per annum.

###### **Valuation method**

A valuation of owner-occupied property will be performed every three years based on the income capitalisation method. The market value is determined from the ability of the property to produce a rental income, taking into account the expenses to produce 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 directly allocated to capital funds.

## ACCOUNTING POLICIES

FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

### Equipment

Artwork is treated as an investment and is not depreciated and carried at cost.

All other types of equipment are stated at cost and depreciated on the straight-line basis over their estimated useful lives.

The annual depreciation rates applied to the various categories of equipment are:

Motor vehicles	25%
Office furniture	20%
Computer and other equipment	33,3%
Library books and manuscripts	33,3%
Software	50%

### Investment property

Investment property is property held to earn rentals. Investment property is stated at fair value and a valuation will be performed every three years based on the income capitalisation method. The fair value is determined from the ability of the property to produce a rental income, taking into account the expenses to produce 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 revaluation of the investment property are directly allocated to the capital funds.

### Inventories

Inventories are valued at the lower of cost price or net realisable value. The net realisable value is the net of the selling price, during normal business, less any completion costs or selling costs. Cost is determined on the weighted average method. Inventories are made up of one category, namely Publications.

### Operating leases

Lease agreements are classified as operating leases where substantially the entire risks and rewards incident to ownership remain with the lessor. Lease income is recognised on a straight-line basis over the lease term. Costs incurred in earning lease income are charged against income. Initial direct costs incurred specifically to obtain the operating lease are written off when incurred.

### Post-employment benefit cost

Pensions are provided for employees by means of three separate pension funds, to which contributions are made. With regard to the Human Sciences Research Council 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 is acknowledged in the income statement as soon as the liability is known. With regard to the Associated Institutions Pension Fund (AIPF) and the Temporary Employees Pension Fund (TEPF), only the Council's contributions to the pension funds are recognised in the income statement.

### Deferred income

Parliamentary grants in respect of certain depreciable assets are allocated to income over the period of, and in proportion to, the depreciation written off against such assets. A corresponding amount in respect of the relevant non-depreciable assets disposed of during the year is allocated to income in the period in which it is disposed of.

## ACCOUNTING POLICIES

### FOR THE PERIOD ENDING 31 MARCH 2005 (CONTINUED)

The balance of Parliamentary grants not recognised in the income statement is disclosed as deferred income. Other funds, including previous year surplus funds, that are utilised in respect of the acquisition of depreciable assets are not treated as deferred income.

#### 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 accounted for at the rate of exchange ruling at the balance sheet date, or at the forward rate determined in forward exchange contracts.

Exchange differences arising from conversion are recognised in the income statement in the period in which they occur.

#### Post-retirement medical aid benefits

The HSRC does not provide for post-retirement medical aid benefits to employees with the exception of specific employees who opted to remain on the previous condition of service when the benefit was terminated.

#### Capital funds

A Parliamentary grant in respect of non-depreciable assets is allocated to income when it is received. A corresponding amount is then transferred from income funds to capital funds as an appropriation of accumulated funds per the statement of changes in equity. Freehold land and buildings (owner-occupied property) that is now subject to depreciation was previously classified as a non-depreciable asset and treated according to this policy. Other funds, including previous year surplus funds, that are utilised in respect of the acquisition of non-depreciable assets are not accounted for in capital funds.

#### Provisions

Provisions are raised when a present legal or constructive obligation exists as a result of a past event and it is probable that an outflow of resources will be required to settle the obligation and a reliable estimate can be made of the amount of the obligation.

#### Financial instruments

Financial instruments carried on the balance sheet include cash and bank balances, receivables, and trade payables. These instruments are generally carried at their estimated fair value. Receivables are carried net of the estimate of doubtful receivables.



# NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE YEAR ENDED 31 MARCH 2005

	2005 R'000	2004 R'000
<b>1 Research revenue</b>		
An analysis of the HSRC's revenue is as follows:		
Rendering of services:		
Private Sector	16 159	20 671
Public Corporations	10 777	5 283
Public Sector	30 210	19 196
International Funding Agencies	62 257	52 081
National Funding Agencies	16 302	348
Professional services	902	2 824
<b>Total</b>	<b>136 607</b>	<b>100 403</b>
<b>2 Parliamentary grants</b>		
Parliamentary grant	79 198	65 562
Parliamentary grant received	80 060	66 105
Plus: transferred from deferred income	(862)	(543)
Special Parliamentary grant	4 000	5 000
Special Parliamentary grant	4 500	5 000
Less: rolled over portion	(500)	0
<b>Total</b>	<b>83 198</b>	<b>70 562</b>
<b>3 Other income</b>		
Buildings rental income	8 501	8 515
Profit on disposal of assets	6 081	358
Product sales	998	2 327
Investment income	458	3 160
Other	1 565	1 828
<b>Total</b>	<b>17 603</b>	<b>16 188</b>
<p>The HSRC's property rental income is derived from its investment property, all of which is leased out under operating leases. Direct operating expenses arising on the investment property in the period amount to R62 100 (2004: R0,10 million).</p>		
<b>4 Cost of sales</b>		
Direct labour expense	19 825	8 775
Direct research cost	43 489	21 987
<b>Total</b>	<b>63 314</b>	<b>30 762</b>

NOTES TO THE ANNUAL FINANCIAL STATEMENTS  
FOR THE YEAR ENDED 31 MARCH 2005 (CONTINUED)

	2005 R'000	2004 R'000
<b>5 Administrative expenses</b>		
General and administrative expenses	60 312	61 074
Auditor's remuneration	751	589
Audit fees – external	751	589
Net foreign exchange (gains)/losses	(387)	634
<b>Total</b>	<b>60 676</b>	<b>62 297</b>
<b>6 Staff costs</b>		
6.1 Wages and salaries	82 564	70 841
Defined pension contribution plan expense	72	120
Defined contribution plan	6 513	5 594
Social contributions (employer's contributions)	21	72
Official unions and associations	21	72
Post-retirement medical benefit	551	591
<b>Total</b>	<b>89 721</b>	<b>77 218</b>
6.2 Non-benefit portion of salaries in cost of sales	19 825	8 775
<b>Total</b>	<b>109 546</b>	<b>85 993</b>



Council members and executive management remuneration					
		Managerial services			
	Fees for services as Council members	Basic salary	Bonuses and performance-related payments	Retirement fund and medical aid contributions	Total
2005	R	R	R	R	R
<b>Council members of the HSRC</b>					
Ms P.N. Gasa*	5 579	210 000	–	–	215 579
Professor G.J. Gerwel (Chair)	40 936	–	–	–	40 936
Dr P. Gobodo-Madikizela	6 000	–	–	–	6 000
Dr N.N. Gwagwa	2 928	–	–	–	2 928
Mr S.A.H. Kajee**	36 553	–	–	–	36 553
Professor W.E. Morrow	16 258	–	–	–	16 258
Mr M.E. Motala	30 604	–	–	–	30 604
Mr S.M. Pityana	3 586	–	–	–	3 586
Mr M.V. Sisulu	3 586	–	–	–	3 586
Professor E.C. Webster	3 990	–	–	–	3 990
<b>Executive member</b>					
Dr F.M. Orkin (President and CEO of the HSRC)	–	1 259 724	104 977	194 196	1 558 897
<b>Senior management</b>					
Executive Directors***	–	7 715 589	518 471	1 143 909	9 377 969

\* Ms P.N. Gasa had a contract on a specific project before being appointed as a Council member to the HSRC and that contract is still continuing.

\*\* Fees paid to employer; Mr S.A.H. Kajee resigned from Council with effect from 10 March 2005.

\*\*\* Executive Directors of the HSRC are listed below.

Dr Miriam Altman	Dr Romilla Maharaj
Mr Mike de Klerk	Dr Xolela Mangcu
Professor Adam Habib	Dr Udesch Pillay
Professor Michael Kahn	Ms Roshani Rampersadh
Dr Anil Kanjee	Professor Linda Richter
Dr Andre Kraak	Dr Olive Shisana



## NOTES TO THE ANNUAL FINANCIAL STATEMENTS

### FOR THE YEAR ENDED 31 MARCH 2005 (CONTINUED)

	2005 R'000	2004 R'000
<b>7 Other operating expenses</b>		
Staff training and development	1 000	841
Legal fees	1 237	573
Maintenance, repairs and running costs	8 247	8 751
– Property and buildings	2 262	1 879
– Machinery and equipment	4 126	5 104
– Other maintenance, repairs and running costs	1 859	1 768
Reversal of inventory write-down	(73)	–
Entertainment expense	173	214
Fruitless and wasteful expenditure	135	422
Other	2 001	591
<b>Total</b>	<b>12 720</b>	<b>11 392</b>

Interest paid in 2004/05 year relates to late submission of VAT returns. During the course of investigation referred to in section 2.8 of the Council Report it came to light that, despite reports that VAT returns were lodged, this had not been done by the deadline and resulted in interest being levied by SARS. The responsible person's services were terminated for reasons explained in section 2.8 of the Council Report.

<b>8 Depreciation</b>		
– Land and buildings	1 177	907
– Computer and other equipment	4 049	4 143
– Vehicles	186	55
– Software	55	186
– Office furniture and fittings	715	371
– Library books	1	32
<b>Total</b>	<b>6 183</b>	<b>5 694</b>



## 10 Property, plant and equipment

	Total	Land and buildings	Artwork	Motor vehicles	Office furniture	Computer and other equipment	Software	Library books, manuscripts
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
<b>2005</b>								
<b>Opening net carrying amount</b>	<b>51 080</b>	<b>43 479</b>	<b>236</b>	<b>180</b>	<b>1 631</b>	<b>5 497</b>	<b>57</b>	<b>0</b>
Gross carrying amount	80 820	45 786	236	371	4 417	24 910	372	4 728
Accumulated depreciation	(29 740)	(2 307)	0	(191)	(2 786)	(19 413)	(315)	(4 728)
Additions	4 642	8	4	727	1 793	2 109	0	1
Transferred to investment property	0	0	0	0	0	0	0	0
Disposal and adjustments	(45)	0	0	(24)	0	(21)	0	0
Carrying	(194)	0	0	(52)	(4)	(138)	0	0
Accumulated depreciation	149	0	0	28	4	117	0	0
Depreciation	(6 183)	(1 177)	0	(185)	(714)	(4 049)	(57)	(1)
<b>Closing net carrying amount</b>	<b>49 494</b>	<b>42 310</b>	<b>240</b>	<b>698</b>	<b>2 710</b>	<b>3 536</b>	<b>0</b>	<b>0</b>
Gross carrying amount	85 268	45 794	240	1 046	6 206	26 881	372	4 729
Accumulated depreciation	(35 774)	(3 484)	0	(348)	(3 496)	(23 345)	(372)	(4 729)
<b>2004</b>								
<b>Opening net carrying amount</b>	<b>45 928</b>	<b>36 967</b>	<b>230</b>	<b>123</b>	<b>1 056</b>	<b>7 272</b>	<b>245</b>	<b>35</b>
Gross carrying amount	70 995	38 367	230	305	3 782	23 211	372	4 728
Accumulated depreciation	(25 067)	(1 400)	0	(182)	(2 726)	(15 939)	(127)	(4 693)
Additions	11 508	7 419	6	112	1 065	2 906	0	0
Transferred to investment property	0	0	0	0	0	0	0	0
Adjustments	(660)	0	0	0	(119)	(538)	0	(3)
Carrying amount	(1 683)	0	0	(46)	(430)	(1 207)	0	0
Accumulated depreciation	1 023	0	0	46	311	669	0	(3)
Depreciation	(5 696)	(907)	0	(55)	(371)	(4 143)	(188)	(32)
<b>Closing net carrying amount</b>	<b>51 080</b>	<b>43 479</b>	<b>236</b>	<b>180</b>	<b>1 631</b>	<b>5 497</b>	<b>57</b>	<b>0</b>
Gross carrying amount	80 820	45 786	236	371	4 417	24 910	372	4 728
Accumulated depreciation	(29 740)	(2 307)	0	(191)	(2 786)	(19 413)	(315)	(4 728)

## NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 MARCH 2005 (CONTINUED)

	2005 R'000	2004 R'000
<b>11 Investment property</b>		
Opening balance at fair value	6 850	6 850
– Disposals	(6 850)	–
Closing balance at fair value	<b>–</b>	<b>6 850</b>

Riviera, Pretoria: Portion 58 (a portion of Portion 14), of the farm Rietfontein 321, measuring 2,3371 hectares, and the remaining portion of Stand 233, measuring 7 189 square metres, Registration division JR, Transvaal, situated at 185 Rose Street, Riviera, Pretoria. The property is leased out under an operating lease. An independent external valuator, Fenwick Valuations, carried out a valuation on 28 March 2002 to determine the open market value between a willing seller and a willing buyer, as on the date of valuation. The property was valued at R6,85 million. The investment property was sold in March 2005 with approval from the Department of Science and Technology and National Treasury.

<b>12 Inventories</b>		
Finished goods	1 474	1 724
<b>Total</b>	<b>1 474</b>	<b>1 724</b>

Inventory consists of publications carried at net realisable value

<b>13 Trade and other receivables</b>		
Trade receivables	35 525	26 513
Less: Provision for doubtful debts	(1 922)	(2 856)
	33 603	23 657
Other receivables – VAT	–	3 530
<b>Total</b>	<b>33 603</b>	<b>27 187</b>

<b>14 Prepayments and advances</b>		
Prepayments	128	492
<b>Total</b>	<b>128</b>	<b>492</b>

### 15 Cash and cash equivalents

Cash and cash equivalents comprise cash and short-term, highly liquid investments that are held with registered banking institutions with maturities of three months or less and that are subject to insignificant interest rate risk. The carrying amount of these assets approximates to their fair value.

Cash at bank	1 276	8 940
Cash on hand	29	55
Short-term investments	29 070	39 352
<b>Total</b>	<b>30 375</b>	<b>48 347</b>

As required in Section 7(2) and 7(3) of the Public Finance Management Act, the National Treasury has approved the local bank where bank accounts are held.



## 16 Pension funds

Pension benefits are provided by membership of the Associated Institutions Pension Fund (AIPF), the Government Employees Pension Fund (GEPF) and the HSRC Pension Fund (HSRCPF). The AIPF and GEPF are State controlled, the State having assumed responsibility for under-funding of these funds. The HSRCPF is a defined benefit and a defined contribution plan that provides lump-sum payments and pensions to retirees or their dependants as well as death benefits. The HSRCPF is registered in terms of the Pension Fund Act 1956 as amended.

The fifth statutory actuarial valuation report of the HSRCPF was completed effective from 1 October 2001. On the first day of October in each subsequent year an interim valuation will be completed. At the 1 October 2004 interim valuation date there were 201 members in the HSRCPF, consisting of 197 defined contribution members and four defined benefit members. Seven members are currently entitled to benefits from the HSRCPF, of whom five members had paid-up benefits and two are current pensioners. The administrators of the fund, ABSA Consultants and Actuaries, completed an additional interim valuation of the fund to coincide with the HSRC financial year-end, on 31 March 2005.

For the purpose of the interim valuation, the assets in respect of the defined contribution members (205 members) were taken into account at full market value as these members are now entitled to the full market value investment return achieved under the HSRCPF after the implementation of investment choices. The total value placed on the assets in respect of the defined contribution members, as at valuation date, amounted to R41,58 million.

With regard to the pensioners and the members entitled to defined benefits under the HSRCPF (three members), assumptions were made regarding the expected experience of the HSRCPF in respect of deaths, withdrawals, rates of salary increase, early retirements as well as the expected yield on the assets of the HSRCPF and operational costs. The assumptions were used to calculate the discounted value of the accrued liabilities for all the defined benefit members of the HSRCPF as at interim valuation date for comparison with the available assets of the HSRCPF. The assumptions used in this valuation differ from those used in previous valuations in respect of withdrawal, early retirement and mortality. In view of the remaining members, the assumption was made that none of the aforementioned will take place. The accrued liabilities to these members as at the interim valuation date amounted to R1,06 million.

The accrued liabilities of the five members with paid-up benefits in the HSRCPF, as at statutory valuation date, amounted to R0,34 million. The accrued liability of the two members receiving current pensions in the HSRCPF, as at statutory valuation date, amounted to R0,21 million.

### Pension fund valuation:

	Defined benefit pension fund	
	2005 R'000	2004 R'000
Present value of funded liabilities	1 282	2 021
Future value of plan assets	(5 946)	(5 513)
Funded status	(4 664)	(3 492)
Actuarial losses	184	(744)
Net asset	(4 480)	(4 236)
Number of members	4	6

The apportionment of the surplus will be completed with the next statutory valuation of the fund in October 2005, therefore the asset cannot be determined at 31 March 2005.

## NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 MARCH 2005 (CONTINUED)

### Principal actuarial assumptions:

	2005	2004
	%	%
Valuation rate	7,9	9,0
Inflation rate	4,1	5,0
Salary increase rate	5,1	6,5
Expected investment return	7,6	9,2

### Pension fund members:

	HSRC Defined Benefit Pension Fund	HSRC Defined Contribution Fund
	%	%
Members as a percentage of total employment	1,37	67,47
Contribution rate	25,80	23,43
Members	7,90	7,50
Employer	19,70	15,93

### 17 Post-retirement medical benefits

An actuarial valuation of the cost of post-retirement medical benefits due to all employees, determined in April 1997, indicated a total liability of R22,2 million. As from 1 August 1997, post-retirement medical benefits are provided by membership of a Provision Fund (Fund) administered by Liberty Life of Africa Limited, Policy Number 232193. The Fund is actuarially valued every three years, after which benefit statements are provided to members showing their and the HSRC's contributions together with the interest earned.

The membership and funding of the Fund are as follows:

The HSRC, for members of staff older than 30 years of age on 1 August 1997 who belonged to the medical aid scheme and who selected the defined contribution basis of funding, pays an actuarially calculated lump sum as well as further monthly predetermined contributions into the individual members' accounts in the Fund. Contributions are revised annually and, although likely to increase each year, the HSRC's maximum contribution increase is capped at 13% per year. The HSRC, for members of staff younger than 30 years of age on 1 August 1997 who belonged to the medical aid scheme and who selected the defined contribution basis of funding, contributes a monthly amount of R300 on behalf of each member of the Fund. These monthly contributions are kept to the same level annually.

The value of the members' accounts in the Fund for both categories of members as at valuation date, 1 September 2000, amounted to R7,50 million. For staff who did not belong to the medical aid scheme on 1 August 1997, the HSRC contributes a monthly amount of R100 on behalf of the member to the Fund. These monthly contributions are kept to the same level annually. The value of the members' accounts in the Fund at valuation date, 1 September 2000, amounted to R49 342. For staff who joined the service of the HSRC after 1 April 1998, irrespective of whether they joined the medical aid scheme or not, the HSRC contributes an amount of R100 per month on behalf of each member to the Fund. The value of the members' accounts in the Fund at valuation date, 1 September 2000, amounted to R0,12 million.

The lump sum, if applicable, and monthly contributions paid by the HSRC, represent the HSRC's total obligation in this regard towards the members' post-retirement medical costs. When a member leaves the service or dies



while employed by the HSRC, the contributions plus applicable growth are, according to a vesting scale, payable to the staff member. A reserve account has been established in terms of the Fund. The account is maintained by contributions paid from time to time by the HSRC and may, subject to the approval of the administrator, management committee and the necessary approval of the Commissioner for Inland Revenue, be used to provide for an increase in the level of benefits on retirement, in retirement, on death or on withdrawal or to stabilise the cost to the HSRC of providing future benefits under the Fund. The value of the reserve account, at valuation date, 1 September 2000, was R0,78 million. The Fund value as at 31 March 2005 was R7,7million. The next actuarial valuation will be performed on 1 September 2005.

#### 18 Uncovered foreign currency monetary items

At 31 March 2005, the HSRC had the following foreign exchange currency transactions not covered by forward exchange contracts.

Year						
2005					2004	
British pound	Australian dollar	Canadian dollar	euro	US dollar	euro	US dollar
'000	'000	'000	'000	'000	'000	'000
0,5	3	8	3	34	0	538
Rand	Rand	Rand	Rand	Rand	Rand	Rand
'000	'000	'000	'000	'000	'000	'000
6	12	41	16	207	0	3 500

#### 19 Deferred income

Government grants received, to be recognised in future accounting periods

Balance at the beginning of the year

Portion of grant used for depreciable assets

Less: allocated to Income Statement

Portion of grant used for depreciable assets

2005 R'000	2004 R'000
5 865	6 408
3 902	3 971
9 767	10 379
(4 764)	(4 514)
<b>5 003</b>	<b>5 865</b>
9 600	9 600
183	–
116	116
<b>9 899</b>	<b>9 716</b>

#### 20 Trade and other payables

Trade creditors

VAT input

Deposits

**Total**

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

NOTES TO THE ANNUAL FINANCIAL STATEMENTS  
FOR THE YEAR ENDED 31 MARCH 2005 (CONTINUED)

	2005 R'000	2004 R'000
<b>21 Income received in advance</b>		
Advances	45 706	59 126
Closing balance	<b>45 706</b>	<b>59 126</b>

Income received in advance relates to research work still to be completed in the new financial year.

	Salary and related expense provision R'000	Legal cost R'000	Total R'000
<b>22 Provisions</b>			
Opening balance	6 594	960	7 554
Utilisation of provisions during the year			
Unused amounts reversed during the year			
Provisions made during the year			
Less: current portion of provision	649	(731)	(82)
Closing balance	<b>7 243</b>	<b>229</b>	<b>7 472</b>

The leave pay and bonus provision relates to the HSRC's estimated liabilities arising as a result of services rendered by employees.

**23 Reconciliation of profit/(loss) before taxation to cash generated from/(utilised in) operations**

	2005 R'000	2004 R'000
Profit/(loss) before taxation	4 794	(210)
Adjusted for:		
– Allocation to retained earnings	(11 219)	(1 633)
– Depreciation on property, plant and equipment	6 183	5 696
– Loss on disposal of property, plant and equipment	(6 081)	(358)
– Investment income	(458)	(2 743)
– Increase in provisions	(82)	649
– Deferred income	(862)	(543)
Operating cash flows before working capital changes	(7 725)	858
Working capital changes	(19 031)	(10 578)
– Decrease/(increase) in inventories	250	(754)
– Increase in receivables	(6 052)	(11 109)
– (Decrease)/increase in payables	(13 229)	1 285
Cash utilised in operations	<b>(26 756)</b>	<b>(9 720)</b>



	2005 R'000	2004 R'000
<b>24 Net cash from/(used in) investing activities</b>		
Interest received	458	2 743
Proceeds on disposal of property, plant and equipment	(29)	1 018
Acquisition of property, plant and equipment	(4 642)	(11 508)
Disposal of investment property	12 997	–
<b>Cash from/(used in) investing activities</b>	<b>8 784</b>	<b>(7 747)</b>

#### 25 Operating lease arrangements

The HSRC has leased office space to the South African Local Government Association at 134 Pretorius Street, Pretoria for a period of 60 months effective from 1 June 1999. The lease payment is currently R70 379 per month. There is an escalation clause of 10% per year in the contract. The lease agreement expires on 30 May 2005 and will not be renewed at the end of the lease term.

	Up to 1 year		1 to 5 years	
	2005 R'000	2004 R'000	2005 R'000	2004 R'000
Future minimum lease payments	140	971	–	3 886

The HSRC has leased office space to the Department of Public Works at 134 Pretorius Street, Pretoria for a period of 60 months, effective from 1 May 2001. The lease payment is currently R0,41 million per month. There is an escalation clause of 8% per year in the contract. The lease agreement expires on 30 April 2006.

	Up to 1 year		1 to 5 years	
	2005 R'000	2004 R'000	2005 R'000	2004 R'000
Future minimum lease payments	5 339	4 606	448	6 909

#### Operating lease in respect of investment property

The HSRC has leased office space to the Department of Public Works at 185 Rose Street, Riviera, Pretoria for a period of 60 months, effective from 1 July 2003. The lease payment is currently R0,19 million per month. There is an escalation clause of 8,5% per year in the contract. The property has subsequently been sold. Refer to note 11.

	Up to 1 year		1 to 5 years	
	2005 R'000	2004 R'000	2005 R'000	2004 R'000
Future minimum lease payments	–	2 320	–	5 607



NOTES TO THE ANNUAL FINANCIAL STATEMENTS  
FOR THE YEAR ENDED 31 MARCH 2005 (CONTINUED)

	2005 R'000	2004 R'000
<b>Investment property</b>		
Rental income	2 468	2 219
Direct operating expenses	<b>62</b>	<b>100</b>
<b>26 Capital expenditure</b>		
Approved by management, but not yet contracted	<b>3 200</b>	<b>18 472</b>
The capital expenditure is to be financed as follows		
Internally generated funds	<b>3 200</b>	<b>18 472</b>
<b>27 Financial instruments</b>		
Financial instrument asset		
Bank balances	30 375	48 347
Trade receivables	33 603	27 187
Total financial instrument assets	<b>63 978</b>	<b>75 534</b>
Financial instrument liability		
Trade payables	10 596	9 716
Total financial instrument liability	<b>10 596</b>	<b>9 716</b>
<b>28 Financial risk management</b>		
Interest rate risk		
The Council invests surplus cash on fixed notice deposits for periods of 32 days. Interest rates on these deposits are fixed for the period of investment. Other funds are kept in the current and call accounts at variable interest rates.		
Liquidity risk		
The Council maintains sufficient funds available in call and current accounts to meet its three-month cash-flow requirements. Temporary surplus cash is invested in fixed deposits.		
Credit risk management		
The Council invests temporary cash surpluses with a major South African bank of high standing.		
<b>29 Contingent liabilities</b>		
Litigations and claims		
At 31 March 2005 there were pending labour-related cases between the HSRC and retrenched employees. The most recent estimate indicated that retrenched employees have instituted claims amounting to R1,11 million against the HSRC. The HSRC is of the opinion that no liability will be incurred in this respect.		

# REPORT OF THE HUMAN SCIENCES RESEARCH COUNCIL (HSRC) AUDIT COMMITTEE – 2004/05



We are pleased to present our report for the financial year ended 31 March 2005.

## Audit Committee responsibility

The Audit Committee reports that it has complied with its responsibilities arising from section 38 of the *Public Finance Management Act*, 1999. This report has been prepared according to the Treasury Regulations for public entities issued in terms of the PFMA and promulgated in Gazette 7372 on 25 May 2002. The HSRC is listed as a national public entity in Schedule 3A of the Act.

## Audit Committee members and meetings

The entity's accounting authority, the HSRC Council, appointed the present Audit Committee members on 19 November 2004. During the year under review (2004/05) the Committee consisted of Messrs S.A.H. Kajee (Council member and Chair – until 8 March 2005) and R.J. Page-Shipp (specialist member), Dr N.N. Gwagwa (Council member – until 31 October 2004), Professor W.E. Morrow (Council member – from 19 November 2004), and Ms R. Xaba (specialist member – from 6 June 2004). The accounting officer of the HSRC, Dr F.M. Orkin (CEO and Council member) is an *ex officio* member of the Audit Committee.

The Audit Committee met on 13 May 2004, 23 July 2004, and 27 January 2005. In addition to the above members, persons attending Committee meetings by standing invitation included the Internal Auditor, the Chief Financial Officer, and representatives of the Office of the Auditor-General and its agent. Where necessary, the Committee met separately with external and internal auditors.

## The effectiveness of internal control

The system of internal control is effective as the various reports of the Internal Auditors, the Audit Report on the Annual Financial Statements, the matters of emphasis and management letter of the Auditor-General have not reported any significant or material non-compliance with prescribed policies and procedures.

## Evaluation of Financial Statements

The Audit Committee has reviewed the Annual Financial Statements of the HSRC (including the Council's Report), the Report of the Auditor-General, and periodic reports submitted to the Audit Committee by the Internal Audit section of the organisation. In the context of our understanding, the Committee is satisfied that the major financial risks of the entity are appropriately managed and that the Financial Statements are a fair reflection of the HSRC's activities in the last fiscal year. The Audit Committee concurs and accepts the conclusions of the Auditor-General on the Annual Financial Statements and is of the opinion that the audited Annual Financial Statements be accepted and read together with the report of the Auditor-General.

A handwritten signature in black ink, appearing to be 'T. Makwetu', is written over a horizontal line.

T. MAKWETU

Chair of the Audit Committee  
Human Sciences Research Council  
Pretoria  
31 July 2005



Compiled by  
Corporate Communications, HSRC  
July 2005

Edited by  
John Linnegar

Designed by  
Compress  
www.compress.co.za

Printed by  
Creda Communications  
Epping, Cape Town

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RP 140/2005 ISBN 0-7969-2124-5

## HSRC addresses

Pretoria office	Cape Town office	Durban office	Port Elizabeth office
<b>Postal address</b> Private Bag X41 Pretoria South Africa 0001	<b>Postal address</b> Private Bag X9182 Cape Town South Africa 8000	<b>Postal address</b> Private Bag X07 Dalbridge South Africa 4014	<b>Postal address</b> Private Bag X40191 Walmer Port Elizabeth South Africa 6070
<b>Street address</b> 134 Pretorius Street Pretoria South Africa 0002	<b>Street address</b> 14th floor Plein Park Building 69-83 Plein Street Cape Town South Africa 8001	<b>Street address</b> 750 Francois Road Intuthuko Junction Cato Manor Durban South Africa 4001	<b>Street address</b> 133 Prospect Road Walmer Port Elizabeth South Africa 6070
Tel: +27 12 302 2000 Fax: +27 12 302 2001	Tel: +27 21 466 8000 Fax: +27 21 466 8001	Tel: +27 31 242 5400 Fax: +27 31 242 5401	Tel: +27 41 506 6700 Fax: +27 41 506 6701