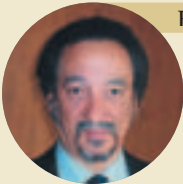




HSRC COUNCIL



Professor Jakes Gerwel (Chair)

Chancellor, Rhodes University;
Distinguished Professor,
University of the Western Cape;
Board member of Naspers,
Old Mutual and Goldfields;
Chair of the Nelson Mandela
Foundation



Dr Mark Orkin

HSRC President and CEO;
former Head of Statistics
South Africa



Dr Nolulamo Gwagwa

Chief Executive Officer of the
Independent Development Trust;
former Deputy Director-General,
Department of Public Works



Mr Enver Motala

Attorney and independent
consultant for institutions
such as the W.K. Kellogg
Foundation, CSIR, CHE,
SAUVCA, CEPD, Nelson
Mandela Foundation and dti



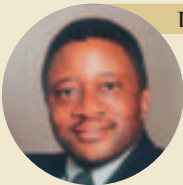
Ms Nonhlanhla Jordan

CEO of the Women's
Development Foundation;
former Senior Lecturer,
Department of Sociology,
University of the Transkei



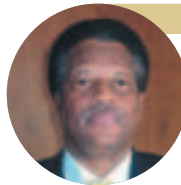
Ms Phumelele Ntombela-Nzimande

Deputy Director-General,
Postal Policy, Department of
Communications; Member
of the University of Natal
Council; Former Deputy
Chair of the Commission on
Gender Equality



Dr Vincent Maphai

Director Corporate Affairs,
SA Breweries Ltd;
Chair of SABC Board



Mr Max Sisulu

Deputy Chief Executive
Officer of Denel (Pty) Ltd;
ANC National Executive
Committee; Director of
Harmony Gold Mining



Professor Wally Morrow

Dean of the Faculty of Education,
University of Port Elizabeth;
Currently seconded to the
National Department of
Education as the Chair of the
Ministerial Committee on
Teacher Education



FROM THE CHAIR



This is the last Annual Report in this Council's term of office. We can look back on four years of significant, decisive and tangible progress by the HSRC in transforming itself into an organisation of the new democratic South Africa. Some of the major developments in this regard are summarised in the CEO's message and on pages 81 to 83 of this Report.

As a country, we are about to mark the first decade of democratic rule. In spite of some serious capacity deficiencies at certain levels of Government, our political dispensation is solid and stable. The support institutions established by the Constitution are nearly all functioning; the independence of the judiciary and the integrity of the Constitutional Court are widely recognised; and democracy has consolidated and deepened beyond the formal political architecture.

It does not require blind and uncritical patriotism to recognise South Africa as one of the exemplary constitutional democracies, not only in the developing world but also in the world generally.

As we enter the second decade of democracy-building, the challenge will increasingly be for civil society to understand and play its role in the establishment of a pervasive and profoundly rooted democratic culture.

The science councils, including the HSRC, have themselves gone through a period of redefinition of role and function. Science and scholarship are not above and indifferent to the social and political turbulence of societies and countries. The HSRC in particular experienced the damaging consequences of making social science subservient to the national priorities of the apartheid state.

The challenge was to transform the organisation to respond to the new national priorities, arrived at by a democratic government in recognition of the needs of the entire

population. The Council also recognised that democracy demanded that a science council, even though primarily funded by Parliament, should not continue the slavishly uncritical relationship that its predecessor had with the government of the day.

This Report details the ways in which the HSRC responded to the challenges of democratic transformation. That response is encapsulated in a credo of "social science that makes a difference". The identification of what have been termed new priority areas of research was a major part of this response.

The HSRC's transformation has gone beyond the necessary but ultimately preliminary measures of participation and process towards an understanding that its core activities should meet the demands of a democratic society, one in which the social needs themselves are fundamentally democratised to serve the needs of every citizen.

We believe that the organisation has moved significantly in that direction.

One of the most consistent and persistent debates in Council as well as between Council and the research executives of the organisation revolved around the balance between research consciously seeking to serve defined national priorities and fundamental social science enquiry, scientifically indifferent to the demands of immediacy. Once more, we believe that we have kept alive the awareness of that necessary tension in a society that must combine developmental imperatives with the sometimes competing demands of democracy-building and civil liberties.

We thank Minister Ben Ngubane for the opportunity and privilege to have been involved in this process of transformation of a key area of our society. The support we received from him, the Deputy Minister, the Director-General and the Department was a highly encouraging signal of how seriously this Government takes scientific enquiry in the reconstruction and development of our society.

Dr Mark Orkin and his senior management have worked very hard at ensuring transparent and accountable corporate governance in the organisation. The quality of reporting to Council has been exceptional and exemplary, helping Council to execute its fiduciary and oversight functions.

As a Council we wish to convey our thanks, appreciation and congratulations to the entire staff of the HSRC for moving the organisation into its new mode and function.

My thanks, finally, to the members of Council for the enthusiasm with which they approached their task, and the time and energy they put into it.

Professor G.J. Gerwel, Chair



FROM THE CEO



The HSRC has undergone a metamorphosis during the four-year term of its current Council. This message is an overview of the process and its effect on the organisation's output and impact. It also includes my annual report on how we have fared with the targets for the last year.

The need for fundamental change was posed in 1997, a couple of years before this Council took office, by an external review commissioned by the Department of Science and Technology (DST). The review described the HSRC of the time as inward-looking, bureaucratically overweight, inadequately representative of the population, and producing work of uneven quality and relevance.

The management team addressed the challenge in phases, guided by the Council and its Audit Committee, and encouraged by the Minister, Deputy Minister and their officials.

The first phase involved restructuring and downsizing through retrenchments or voluntary severance packages, to achieve cost-savings and a reconfiguration of activities. A further phase of restructuring after I took office in August 2000 re-shaped and modernised the functions of the support services, while specifically aligning the research components to development priorities. The process involved consultation with the staff association, which subsequently amalgamated into the Public Servants Association (PSA) after negotiation of a recognition agreement.

By focusing research on users' needs, research earnings have multiplied ten-fold: from R6m to R61m between March 2000 and March 2003. This was accomplished in the face of a

Parliamentary grant that was shrinking in real terms. In addition to energetic tendering, foundation grants, which support more fundamental and long-term research than tenders, now comprise half of the research earnings. Half of the grants are now from foreign sources, often to support work in the southern African region as well as South Africa.

The complement of researchers has doubled since the restructuring, to 150 at July 2003, and the research share of total staff has risen from 30% to 56%. The proportion of researchers with masters or doctoral degrees increased from 68% to 91% (excluding interns on short contracts) between March 2000 and March 2003, and the proportion of researchers who are black increased from 36% to 48% in the same period. For the first time in the history of the HSRC black staff are now an overall majority. The proportion of women at the rank of director and above has edged up from 27% to 32%. From trailing way behind other major South African science councils (for which published evidence is available), the HSRC is now not far from the respective leaders, regarding earnings as a share of revenue and representivity.

Performance targets

The process has been guided by our COUPE strategy: **C**ontracts and grants, **O**utreach to collaborators, focus on **U**ser, **P**erformance regarding equity and efficiency, and scientific **E**xcellence. The strategy shapes the key performance areas and annual personal objectives for all research and support staff, and is monitored with suitable indicators for the organisation, as discussed below.

The shorter-term picture in regard to these aspects of our strategy may be seen in the table on page 5. One first sees that we considerably exceeded our Contracts and Grants target: research earnings now slightly exceed the HSRC's Parliamentary grant. Council will be wary of greatly further increasing earnings until the grant increases, lest the organisation becomes unduly driven by market pressures – a warning usefully sounded in the DST's national R&D strategy document.

The table also shows that, while our representivity improvement may have been impressive compared to other councils, it has been slower than we ourselves hoped, specifically regarding black researchers (our chosen indicator for Performance – Equity). There is room for improvement, especially at senior research levels.

Representivity quotas have therefore been set in assigning each Programme's vacancies, and Council has approved frameworks for accelerating both equity and capacity-building.

COUPE key performance indicators	2000/01 baseline	2001/02 achievement	2002/03 achievement	2002/03 target
Contracts and grants:				
Research earnings as a percentage of income	21	31	50	42
Outreach:				
Percentage of projects with external participation	22	62	51	60
User-orientation:				
Percentage of competitive tenders that are successful	24	32	33	34
Performance – Equity:				
Percentage of black researchers in research complement	40	45	48	54
Performance – Efficiency:				
Percentage of researchers in total staff	30	52	56	60
Excellence:				
Refereed journal articles, per researcher head, as percentage	23	23	55	50

Measures in this regard are improved provisions for study leave, a rapidly expanding research internship scheme and the reserving of researcher time for professional development.

Among the other four sentinel indicators in the table, a pleasing development is the surpassing of our target for Excellence, i.e. refereed journal publications per researcher. The organisation was close to two other targets – the proportions of tenders won, and of researchers in the total staff. It was short on projects involving outside collaborators only because of over-ambitious lifting of the target after last year's improvement.

The support services of the organisation have had to modernise in order to assist with all these developments with reduced staff. For instance, to be able to expand its capacity by recruiting researchers countrywide, the HSRC has opened additional offices in Cape Town, Durban, Bloemfontein and Port Elizabeth. These are linked by video-conferencing, share management information and research documentation on an intranet, and have increasingly "virtual" access to scientific literature. The next step, for which tendering has been completed, is to combine these advances into an integrated information system on a countrywide platform.

At the level of policies and procedures, modern and unified terms and conditions were negotiated with the new Union in a year-long process. A structured annual cycle is in place for prioritising, budgeting and reporting. The delegation of authority to the CEO and Executive Directors has been established, as required by the Public Finance Management Act. Risk management is being addressed through projects to establish a fraud prevention policy, audit IT and review corporate governance.

Research for development

This transformation has enabled the HSRC to tackle its goal of "social science that makes a difference". At the **macro-level** the central challenge faced by our country and our continent, as President Thabo Mbeki has emphasised, is poverty. It requires informed and co-ordinated Government intervention on half a dozen fronts: fostering employment and rural development; improving the skills and education of the population; combating HIV/AIDS and other widespread diseases; delivering social and infrastructural services to families and communities; and enhancing democratic participation.

Moreover, these advances need to be achieved in concert, among African countries linked by exchanges of goods, finance and people, and facing the harsh environment of globalisation. This is the core of NEPAD, and of our regional community, the Southern African Development Community (SADC).

To respond to these challenges, the HSRC radically restructured its research components and re-deployed its existing researchers. The organisation's research is now organised in ten (previously eleven) flexible interdisciplinary Programmes that work with one another as well as with science councils, tertiary institutions, NGOs and international agencies. This has enabled the organisation to develop the multi-project, multi-year and increasingly multi-country research endeavours demanded by the scale of the problems. Only 18 large projects, each worth R1m or more, accounted for two-thirds of all earnings during the last financial year. (At the same time, more than 130 medium or small projects were completed, indicating our accessibility to a range of users.)

The most conspicuous example of large-scale collaboration

concerns HIV/AIDS. The HSRC recently completed a pioneering R5m survey that measured HIV *prevalence* country-wide, with assistance from a fellow science council, a specialist NGO and international agencies. The survey drew on a special geo-referenced sample, to allow tracking of the households over time in subsequent research. Technical assistance will be provided to three neighbouring countries to do similar surveys, as a start to assembling the regional picture.

The *impact* of AIDS is being examined across several HSRC Research Programmes. Work is being done on the impact on service-provision by, and employees of, the health and education systems; on population projections; on the livelihoods of rural families and on land-tenure systems; and on employment in various economic sectors.

Other projects are researching viable *responses*: such as a massive project conducted by the HSRC with the involvement of NGOs and universities in three countries, to examine family and community strategies regarding orphans and vulnerable children; a similar project targeting pre- and early adolescents in KwaZulu-Natal; and several other studies on the efficacy of projects to prevent mother-to-child transmission of HIV.

Finally, all these efforts are *networked* to others in South Africa and the region through SAHARA, the Social Aspects of HIV/AIDS Research Alliance, recently funded for five years by an international agency. This articulation yields results that are applicable locally, but are also more broadly comparable, as required by SADC and NEPAD. The Highlights section mentions the contributions of the particular HSRC Programmes.

A second example of large-scale collaboration concerns education, skills development and employment. One Programme has complementary projects covering pupil inputs, post-school educational processes, industry linkages and student outputs. The results are shared through a web-accessible data warehouse. This Programme then engages with other Programmes in the HSRC conducting international comparative studies of maths and science school performance, labour-market forecasts of skills gaps in various sectors, the mobility of R&D workers and local government managerial capacity. Several of the projects will be replicated for users elsewhere in Africa.

The other priorities listed by President Mbeki are similarly covered by integration and collaboration among Programmes. This also allows important *themes* to be addressed. For example, gender researchers are networked so that the HSRC can take up topics as diverse as the experiences of female school pupils studying science, or suffering violence; and the needs of women

teachers, or women-headed households. Monitoring and evaluation is another theme: nearly all the Programmes have several projects at any time that are tracking and interpreting socio-economic trends, policy impact or implementation.

At the **meso-level** the HSRC participates in the DST's R&D strategy. One of the "missions" of the strategy covers science and technology for poverty reduction, for which the HSRC is one of three lead organisations. We collaborate with a fellow science council on a second mission, resource-based technology clusters; and our African Genome Project partnership informs a third, on biotechnology. We are assisting with the research framework for the Presidential National Commission on ICTs, which relates to a fourth mission.

Finally, at the **micro-level**, the HSRC specifically seeks to assist with the planning-information needs of DST itself, its sister department, Arts and Culture, and the Minister's National Advisory Council on Innovation: for example, recently completing a survey of the R&D sector, researching community arts centres and cultural heritage, updating the volume of biographies on South African women in science and exploring the mobility of knowledge workers.

Dissemination for impact

All these outputs need to reach not only the users who commissioned or funded them but also the HSRC's stakeholders and the wider public. Encouraged by the Parliamentary Portfolio Committee on ACST, the HSRC has improved its dissemination to increase its impact. Public reports are now available without charge on the web, as well as in print for a nominal fee. The bimonthly *HSRC Review*, summarising new projects and findings, is distributed to 8 000 stakeholders and high schools. Summaries are prepared for the opinion-pages of leading newspapers, and results are dissected at seminars with users and collaborators.

Does all this have impact where it counts? Various of our findings have been taken into departmental strategies or legislation, noted at Cabinet, and used to support or challenge Ministers. Our results are prominently covered in the newspapers every week. We are handling evaluations or impact assessments from small case studies to entire sectors. We increasingly receive special commissions, as "first port of call". Perhaps our soaring earnings, often from repeat funders and users, are the surest indication that, in helping them further democracy and development, our research is helping to "make a difference".

Dr Mark Orkin, President and CEO



EXECUTIVE DIRECTORS 2002/03



ATEE

Assessment Technology
and Education Evaluation

Dr Anil Kanjee

DEd, University of Massachusetts
Education assessment techniques, policy
development and school improvement strategies



HRD

Human Resources Development

Dr Andre Kraak

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

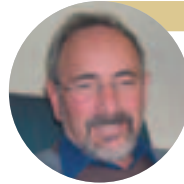


CS

Corporate Services

Ms Roshani Rampersadh

BSc, University of Natal
BCom, University of South Africa
Financial, business, human capital and
information management



IRRD

Integrated Rural and Regional Development

Mr Mike de Klerk

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



CYFD

Child, Youth and Family Development

Professor Linda Richter

PhD, University of Natal
Child and youth development as applied to
health, education, welfare and social
development



KM

Knowledge Management

Dr Michael Kahn

PhD, University of London
Policy analysis, project design and evaluation in
science and technology



D&G

Democracy and Governance

Professor Roger Southall

PhD, University of Birmingham
MA, University of Manchester
Political studies, labour analysis,
development strategy and policy assessment



SAHA

Social Aspects of HIV/AIDS and Health

Dr Olive Shisana

ScD, Johns Hopkins University
HIV/AIDS, reproductive health and transformation
of health care systems



EEPR

Employment and Economic Policy Research

Dr Miriam Altman

PhD, University of Manchester
Employment policy, industrial development and
labour market policy

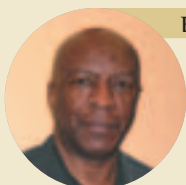


SAMM

Surveys, Analyses, Modelling and Mapping

Dr Udesh Pillay

PhD, University of Minnesota
Urban and political geography, local government
reform and economic development, and electoral
geography



EPR

Education Policy Research

Dr Mokubung Nkomo

DEd, University of Massachusetts
Education policy development, especially
international comparative education, multi-
cultural education and the political economy of
education in South Africa



SCI

Social Cohesion and Integration

Professor Wilmot James

PhD, University of Wisconsin-Madison
Comparative race relations, democratic politics
and migration patterns



SPECIALIST RESEARCHERS

June 2003



Dr Michael Aliber

PhD, University of Wisconsin
IRRD – Public policy, micro-finance, land reform, poverty reduction and sustainable development, and small-scale farmer development



Dr Yaw A. Amoateng

PhD, Brigham Young University
CYFD – Family sociology and demography



Mr Fabian Arends

BA Hons, University of South Africa
HRD – Education management information systems; analysis and integration of quantitative and qualitative data, and education indicators



Dr Doreen Atkinson

PhD, University of Natal
D&G – Local governance, integrated government relations, rural development, water sanitation, institutional studies and integrated development planning



Dr Azeem Badroodien

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



Dr Kristina Bentley

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



Professor Arvin Bhana

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



Mr William Blankley

MSc, MBA, University of Cape Town
KM – Science and technology (S&T) policy analysis, S&T indicators, R&D and innovation surveys, strategic planning, and public understanding of science



Dr Oumar Bouare

PhD, Pierre Et Marie-Curie University
PhD, New School University
SAHA – Economics of globalisation and HIV/AIDS



Dr Heather Brookes

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



Professor David Chidester

PhD, University of California
SCI – Comparative religion, religion education, and religion, ethics and society



Professor Linda Chisholm

PhD, University of the Witwatersrand
EPR – Education policy development implementation, including research, analysis and evaluation of education policy development and implementation



Dr Nicolaas Claassen

DLit et Phil, Rand Afrikaans University
ATEE – Development of psychological tests and educational assessment



Mr Michael Cosser

MA, University of the Witwatersrand
HRD – Higher education, quality assurance, student tracer studies, SAQA and NQF



Ms Catherine Cross

MA, University of Michigan
IRRD – Rural and urban development, household economy and rural finance



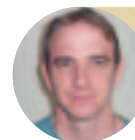
Professor John Daniel

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



Professor Andy Dawes

MSc, University of Cape Town
CYFD – Intervention research, child abuse and violence against children



Mr Chris Desmond

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



Mr Rubby Dhunpath

MEd, University of Durban-Westville
EPR – Critical language literacies, organisational behaviour and identity, and life history research



Ms Efua Dorkenoo OBE

MSc, University of London
SAHA – Women and community health, socio-cultural practices and health, violence against girls and women, gender and human rights, and HIV/AIDS



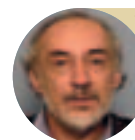
Dr Scott Drimie

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



Dr Rènette du Toit

DLit et Phil, Rand Afrikaans University
EEPR – Career psychology, vocational identity, skills development and labour market analysis



Dr Tony Emmett

PhD, University of the Witwatersrand
CYFD – Social and development issues, youth risk behaviour, crime prevention, disability and participatory development



Dr Johan Erasmus

DPhil, University of Potchefstroom
EEPR – Labour market research and skills development



Professor Melvyn Freeman
MA, University of the Witwatersrand
SAHA – Mental health policy, traditional practitioners and youth



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



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



Ms Jeanne Gamble
MPhil, University of Cape Town
HRD – Technical education and skills development, vocational knowledge, further education and training



Dr Mbithi wa Kivilu
DPhil, University of Alberta
SAMM – Educational and psychological assessment, data management and statistical analysis and modelling



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



Dr Mthobeli Guma
PhD, University of North Carolina
SAHA – Anthropology and sociology related to HIV/AIDS, indigenous knowledge systems, traditional healing and maternal and child health



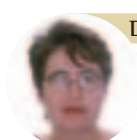
Dr Pieter Kok
DPhil, University of Pretoria
IRRD – Regional human resource flows



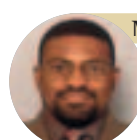
Mr Kgabo Masehela
MSc, Rhodes University
ATEE – Project management, evaluation research and assessment theory



Professor Adam Habib
PhD, University of New York
D&G – Politics, democratic transitions, state-civil society relations and institutional information



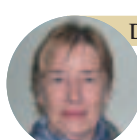
Dr Glenda Kruss
DPhil, University of Ulster
HRD – Higher education policy, responsiveness and change



Mr Xola Mati
MA, University of Stellenbosch
ATEE – Language policy, planning and implementation strategies in education



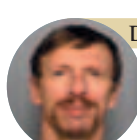
Mr Adrian Hadland
MLitt, Oxford University
SCI – Media and society, democracy, governance and political economy



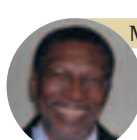
Dr Jane Kvalsvig
PhD, University of Natal
CYFD – Early child development, problems of children living in poverty: nutrition, parasite infections and early education



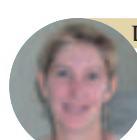
Dr Simon McGrath
PhD, University of Edinburgh
HRD – Education and training policy, vocational education and training, skills development in SMMEs, and aid policy and practice



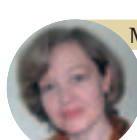
Dr Gerard Hagg
DLit et Phil, University of South Africa
SCI – Infrastructure development in the arts sector, community participation in development, community water supply and arts service delivery



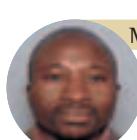
Mr Moeketsi Letseka
MEd, University of the Witwatersrand
HRD – Higher education



Dr Caroline McKinney
PhD, University of London
EPR – Language in education, race and gender in education, and identity



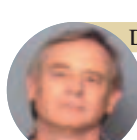
Ms Elsje Hall
MA, Rand Afrikaans University
EEPR – Labour market trends, workforce needs, changes in the workplace, sector skills analysis and the impact of HIV/AIDS on the health sector



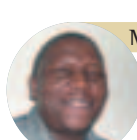
Mr Kakoma Luneta
MA, University of Sussex
ATEE – Mathematics and science education, teacher education and mentorship, and research methodologies in education and assessment



Professor Simphiwe Mini
PhD, University of Fort Hare
IRRD – Land and agrarian reforms, poverty and food security issues, and environmental impact assessment



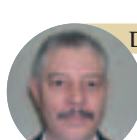
Dr David Hemson
PhD, University of Warwick
IRRD – Public service delivery, social issues and policy impact assessment



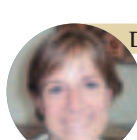
Mr Mahlubi Mabizela
MEd, University of the Western Cape
HRD – Public and private higher education, comparative higher education, higher education policy and human resource development



Mr Sagren Moodley
MPhil, University of Sussex
KM – Information and Communication Technologies (ICTs) for development, electronic government, and ICTs and public policy



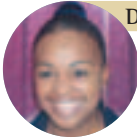
Dr Gregory Houston
DPhil, University of Natal
D&G – Political history, democracy and governance



Dr Hayley MacGregor
MBChB, University of Cape Town
PhD, Cambridge University
CYFD – Medical anthropology: mental health, the anthropology of the body, disability studies and social security issues



Dr Seán Morrow
DPhil, University of Sussex
EPR – Education policy and SA's historical inheritance, especially education in the ex-homelands, HBUs and education in exile



Dr Thabang Mosala
PhD, University of Natal
SAHA – Human parasites of medical importance, transmission patterns in slums and community epidemiology



Ms Maxine Reitzes
MA, University of Sussex
D&G – Civil society, migration, local governance and social transformation



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



Ms Sanusha Naidu
MA, Staffordshire University
IRRD – Globalisation and democratisation research and the political economy of Africa



Dr Marlene Roefs
DPhil, University of Amsterdam
D&G – Public participation, political transformation, local governance and methodology



Mr Hilton Trollip
MSc, University of the Witwatersrand
KM – Project direction and management



Dr Andrew Paterson
PhD, University of Cape Town
HRD – ICT applications in education, higher education links to regional technology clusters, rural education and EMIS



Dr Stephen Rule
PhD, University of the Witwatersrand
SAMI – Quantitative and qualitative surveys, elections, social development and public opinion



Dr Eric Udjo
DPhil, University of London
SAHA – Statistical techniques and demography



Professor Karl Peltzer
PhD, University of Hanover
DrHabil, University of Klagenfurt
SAHA – Social aspects of public health, health behaviour, behavioural health, psychology applied to health, culture and health



Dr James Sakwa
PhD, University of Pretoria
SCI – Comparative genomics and molecular evaluation



Mr Arjen van Zwieten
MSc, University of the Witwatersrand
HRD – Web and database solutions development



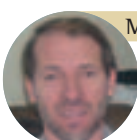
Mr Makola Phurutse
MEd, University of the Witwatersrand
ATEE – School improvement



Professor Leickness Simbayi
DPhil, University of Sussex
SAHA – Biological aspects of psychology, applied health psychology, HIV/AIDS and traditional healing



Mr Johan van Zyl
BA Hons, University of Pretoria
IRRD – Analytical demography, field surveys and data analysis



Mr Cas Prinsloo
MA, University of South Africa
ATEE – Assessment theory, education evaluation, psychometrics and research methodology



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



Dr Christine Varga
PhD, University of Pennsylvania
CYFD – Reproductive health issues, adolescent sexuality, HIV/AIDS, gender-based abuse, mother-to-child HIV transmission and AIDS-related stigma



Dr Moses Ralinala
DPhil, University of Cape Town
D&G – Public policy and service delivery, liberation history and South Africa's regional politics



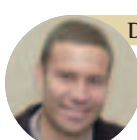
Dr Hilary Southall
PhD, University of Birmingham
SAHA – Social aspects of HIV/AIDS and health, operation research, health systems and statistics



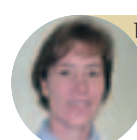
Ms Jocelyn Vass
MA, University of Manchester
EERP – Labour market analysis, income distribution, workplace changes and survey data analysis



Professor Jairam Reddy
DPhil, University of Cape Town
EPR – Higher education



Dr Grové Steyn
DPhil, University of Sussex
EERP – Industrial analysis, economic regulation, reform of infrastructure industries, energy policy and science and technology policy



Ms Mariette Visser
BA Hons, University of Pretoria
HRD – Education management information systems, education indicators and data analysis



Dr Vijiyaluxmi Reddy
DEd, University of Durban-Westville
ATEE – Science education policy and planning research, life history methodology and equity



Ms Jaré Struwig
MA, University of Pretoria
SAMI – Surveys and research methodologies



Dr Ingrid Woolard
PhD, University of Cape Town
SAMI – Poverty, inequality and labour markets



A SELECTION OF RECENT USERS AND FUNDERS

Alexandra Renewal Programme	KwaZulu-Natal Department of Economic Development and Tourism
Botswana Department of Lands	LoveLife
Carnegie Foundation	Medical Research Council
Commonwealth Secretariat	Mining Qualifications Authority
Danida	Molteno Project
Department for International Development (UK)	National Advisory Council on Innovation
Department of Agriculture	Nelson Mandela Children's Fund
Department of Arts and Culture	Nelson Mandela Foundation
Department of Communications	Northern Cape Department of Housing and Local Government
Department of Education	Ntsika Enterprise Promotion Agency
Department of Health	Office of the President
Department of Labour	Research Triangle Institute
Department of Local and Provincial Government	Road Accident Fund
Department of Public Service and Administration	Royal Danish Embassy
Department of Science and Technology	Royal Netherlands Embassy
Department of Social Development	Services SETA
Department of Trade and Industry	South African Community Chest
Department of Water Affairs and Forestry	South African National Literacy Initiative
Development Bank of South Africa	Swiss Development Co-operation
ETDP SETA	Tourism, Hospitality and Sport SETA
eThekweni Unicity	UNESCO
EU Parliamentary Support Programme	UNICEF
FASSET	Umsobomvu Youth Fund
Ford Foundation	Universal Service Agency
FOSAD	USAID, via the Research Triangle Institute
Gauteng Department of Housing	US Center for AIDS Intervention Research
GTZ	US Centers for Disease Control
IICBA	US National Institute of Health
Independent Electoral Commission	US Nida
International Labour Organisation	W.K. Kellogg Foundation
Institute for the Advancement of Journalism	Wellcome Trust
JET Education Services	World AIDS Foundation
Johns Hopkins University	World Bank
Joint Center for Political and Economic Studies	World Health Organisation

HIGHLIGHTS



The eleven Research Programmes of the HSRC are engaged in a wide variety of projects in South and southern Africa. In delivering "social science that makes a difference" some two hundred projects were underway at one or another stage in 2002/03. They serve diverse users, particularly in the public sector. This section is a selective overview of this diversity. Additional examples and details can be found in the section for each Research Programme, as well as on the HSRC website at www.hsrc.ac.za, which provides information on ongoing projects and initiatives and their outputs.

Assessment Technology and Education Evaluation (ATEE)

- The Quality Learning Project is a five-year school intervention programme to improve learner performance by providing relevant skills and expertise to district officials, school management teams and teachers. The HSRC is conducting the evaluation component.
- The Assessment Modelling Initiative is funded by the US Research Triangle Institute. It evaluates the performance of Grade 3 learners and supports educators with assessment resource banks.
- ATEE's involvement in the international Trends in International Mathematics and Science Study (TIMSS) has been significantly expanded, and ATEE is planning technical workshops to share the resources emanating from this research.

Child, Youth and Family Development (CYFD)

- The Birth to Twenty study is the largest longitudinal study of children in Africa and one of the few large ongoing prospective studies of child development in the world, focusing on the health and well-being of three thousand children and their families.
- A study for UNICEF on school responses to violence and harassment of girls identified the factors that create the conditions for, and sustain violence against girls in schools. UNICEF has since commissioned the HSRC to assist with five major initiatives resulting from the study.
- A survey of Gauteng schools to determine youth civic engagement in a period of transition in South Africa focused on a range of issues, including civic responsibility, involvement in community organisations, tolerance of social differences,

Dr Ben Ngubane, MP, Minister of Arts, Culture, Science and Technology, at the launch of the 2001/02 HSRC Annual Report in Pretoria, with the CEO Dr Mark Orkin and Her Excellency the German Ambassador Ms Anna-Margareta Peters





social trust, civic knowledge and skills, altruism and commitment to the common good.

- CYFD provided the national Department of Social Development with research to support the development of a family policy. CYFD has reviewed the state of families in South Africa, including conditions that affect the quality of family life and the capacity of families to support dependants.

Democracy and Governance (D&G)

- Together with the Africa Institute of South Africa, D&G and IRRD submitted a report to the National Assembly on the identification and analysis of economic strategies in Africa and proposals on an appropriate strategy for the African Union. The report identified that the success of the newly launched African Union and NEPAD presumes a significant deepening of both political and economic unity.
- The convening of a two-day workshop of some of South Africa's top social scientists will result in the publication in September 2003 of the first annual review of events and developments in South Africa, called *The State of the Nation: South Africa 2003/04*, including the assessments of governmental and societal performance over the ten years since 1994.
- D&G has launched a local government research focus under the leadership of Dr Doreen Atkinson and, based in Bloemfontein, a new regional centre of the HSRC. An initial study examined challenges in serving the needs of farm workers.
- Various publications on Lesotho reviewed the impact of a changed electoral system on the outcome of the general election in 2002.

Employment and Economic Policy Research (EEPR)

- EEPR has been actively involved in improving the availability

of information that enables Government, institutions and individuals to make effective decisions for skills development. This has included work for SETAs, processes to ensure continuous innovation in analysis and the production of forecasts.

- EEPR has started to develop methodologies and gather empirical information on the impact of HIV/AIDS on industries and the economy. This should ultimately inform industry-wide strategy to combat HIV/AIDS.
- Mintek and the HSRC are collaborating in the Resource Based Technology Cluster (RBTC) in the Department of Science and Technology's national R&D strategy. This programme involves exploration on how innovation and diversification in inputs industries are leveraged off the needs of large resource-based companies.
- The development of employment and unemployment scenarios under different conditions over five to ten years will be a flagship in the EEPR. This is a multi-disciplinary project looking at the labour market, demand conditions and the character of economic linkages. It is developing a tool that should enable the assessment of policy interventions and policy balance.

Education Policy Research (EPR)

- A project on rural schools commissioned by the Nelson Mandela Foundation is examining how teachers, learners and parents experience education in a context of rural poverty.
- EPR has examined the harmonisation of the disparate teacher and school evaluation instruments that have been developed over the last ten years in negotiated processes between the Unions and the Department of Education. This study will now be implemented.
- The video *Colouring in Our Classrooms*, produced by the HSRC and Wits Education Policy Unit, traces the first generation of school-going children in post-apartheid South Africa, documenting their schooling experiences and views on issues such as race, class, gender, poverty, inequality and violence. It provides an informative and entertaining insight into South Africa's new generation across class, colour and gender.

Human Resources Development (HRD)

- The HSRC provided monitoring and evaluation support to a major Danish Government initiative in the Further Education



and Training (FET) College sector. This longitudinal study will draw empirical conclusions about the nature of donor-supported organisational and curriculum change in the FET sector, as well as about issues of sustainability.

- The HRD project, funded by the Department of Science and Technology, will be launching its biennial analytical review and associated data warehouse at the end of 2003, analysing developments in education and training, with labour market indicators.
- A national survey of current training practices in South African firms is being undertaken for the Department of Labour, in association with the Bureau for Market Research from UNISA. The Department will use information from the study to support and co-ordinate training and human resource development across the economy.
- Over eighty Government and college leaders, as well as academic researchers, gathered to discuss the results of the HSRC's Tracer Study of College Graduates. The findings of the survey and the conference proceedings highlighted the complex nature of institutional responsiveness involving multiple stakeholders.

- The report of the first phase of the Student Choice Project, *From School to Higher Education?* was released in January 2002 and received wide publicity. The study investigated Grade 12 learners' choices among qualifications at technicians and universities with regard to higher education.

Integrated Rural and Regional Development (IRR)

- Nine larger and smaller HSRC studies were done for the Government's ten-year review of delivery on its mandate to reduce poverty. Others for the Presidency's scenario building programme were conducted.
- A three-year project to predict urban migration in South Africa has been undertaken. The objective is to describe, analyse and interpret population migration patterns in South Africa, including cross-border migration. The resulting models will provide valuable policy-making and planning tools for a wide range of users in Government and the private sector.
- IRRD's investigation for the Minister of Water Affairs and

Forestry into water and sanitation to the rural poor, and related issues for sustainability and poverty eradication, focused on the functionality of 23 schemes in KwaZulu-Natal. It identified obstacles to sustainability and sources of "institutional stress".

Knowledge Management (KM)

- The National Research and Development (R&D) Survey and the Study on the Mobility of R&D Workers for the Department of Science and Technology are informing government planning of the science and technology system.
- An early indication from the former study is that the science councils have undergone a remarkable transformation over the last decade with the proportion of research staff from designated groups now at around 50%.
- The latter study puts into context the discussions on mobility and highlights the need for a co-ordinated approach across Government. After presentation to the Minister of Arts, Culture, Science and Technology, the report will be disseminated more broadly.

Social Aspects of HIV/AIDS and Health (SAHA)

- The *Nelson Mandela/HSRC Study of HIV/AIDS: South African National HIV Prevalence, Behavioural Risks and Mass Media Household Survey 2002* was a pioneering nationwide survey which has yielded invaluable primary data and has changed national HIV surveillance methodology.
- The project on strategies for the care of orphans and vulnerable children (OVC) in Botswana, South Africa and Zimbabwe, which started in April 2002, involves the implementation of intervention programmes over a five-year period to assist children, families and communities affected by HIV/AIDS in Botswana, South Africa and Zimbabwe.
- SAHA's initiative for developing and mentoring young researchers in the field focuses on training eleven people from historically disadvantaged groups each year. Supported by a Pennsylvania State University project, it also caters for students from other countries, including minority students from the United States.
- SAHA conducted a national survey on the impact of HIV/AIDS on the health sector, including health personnel, ambulatory and hospitalised patients, on behalf of the Department of Health. The results of the survey inform human resource and the broader management of HIV/AIDS in public and private health facilities.

Social Cohesion and Integration (SCI)

- SCI and its partners convened a conference on the Human Genome and Africa in March 2003. The conference brought together 350 delegates from Africa and around the globe to discuss the implications for Africa of sequencing the human genome. 23 young scholars from under-resourced institutions in Africa were awarded fellowships to attend the conference.
- The study on the Petrol Station 5 received major media coverage and has already led to some important safety interventions in the industry. The investigation into the safety and security at South African petrol stations conducted by a SCI-led team was launched at the Civic Centre, Grassy Park, in December 2002.
- SCI commissioned a paper on the connections between South Africa, Israel and Palestine from renowned historian Dr Heribert Adam. It was launched at the London School of Economics in September 2002 and was followed up in March 2003 with an historic meeting of Israelis, Palestinians and South Africans near Hermanus in the Western Cape.





Surveys, Analyses, Modelling and Mapping (SAMM)

- On behalf of the Department of Health, SAMM conducted an analysis on Minimum Data Sets (MDS) on ageing in South Africa in order to identify accurate information to evaluate indicators associated with issues related to the aged population. Data sets were archived and placed in GIS format and recommendations informed the submission to the WHO MDS project.
- An Urban Studies Unit, established within SAMM, will give expression to the National Urban Research Initiative (NURI) baseline project and will fill a research gap at the HSRC.
- During the 2002/03 financial year, a rigorous longitudinal South African Social Attitudes Survey (SASAS) was established. SASAS will explore a wide range of value changes, including the distribution and shape of racial attitudes and aspirations, attitudes towards democratic and constitutional issues, and the redistribution of resources and power.

Corporate Services

- In September 2002, Project Phoenix was implemented by Corporate Services to improve service delivery to internal users in several areas: IT infrastructure, intranet and Internet, and management information. A further feature of Project Phoenix was the creation of a virtual library, permitting researchers to access information online from all HSRC offices.
- Project Phoenix also undertook initial systems development towards the intended HSRC management information and project management system, to support the delivery of large-scale, multi-year, multi-country Research Programmes.
- The Audit Committee has developed a three-year audit plan to monitor risk management in the HSRC. The plan encompasses a fraud prevention plan, a corporate governance review and an information technology audit.
- Following discussions between management, the Union and

the Council, four frameworks for implementation were developed to enhance HSRC labour relations and employment practices: a forum for researcher representation; the expansion and updating of the HSRC's employment equity policy; the professional development of research and administrative staff; and improved internal communication.

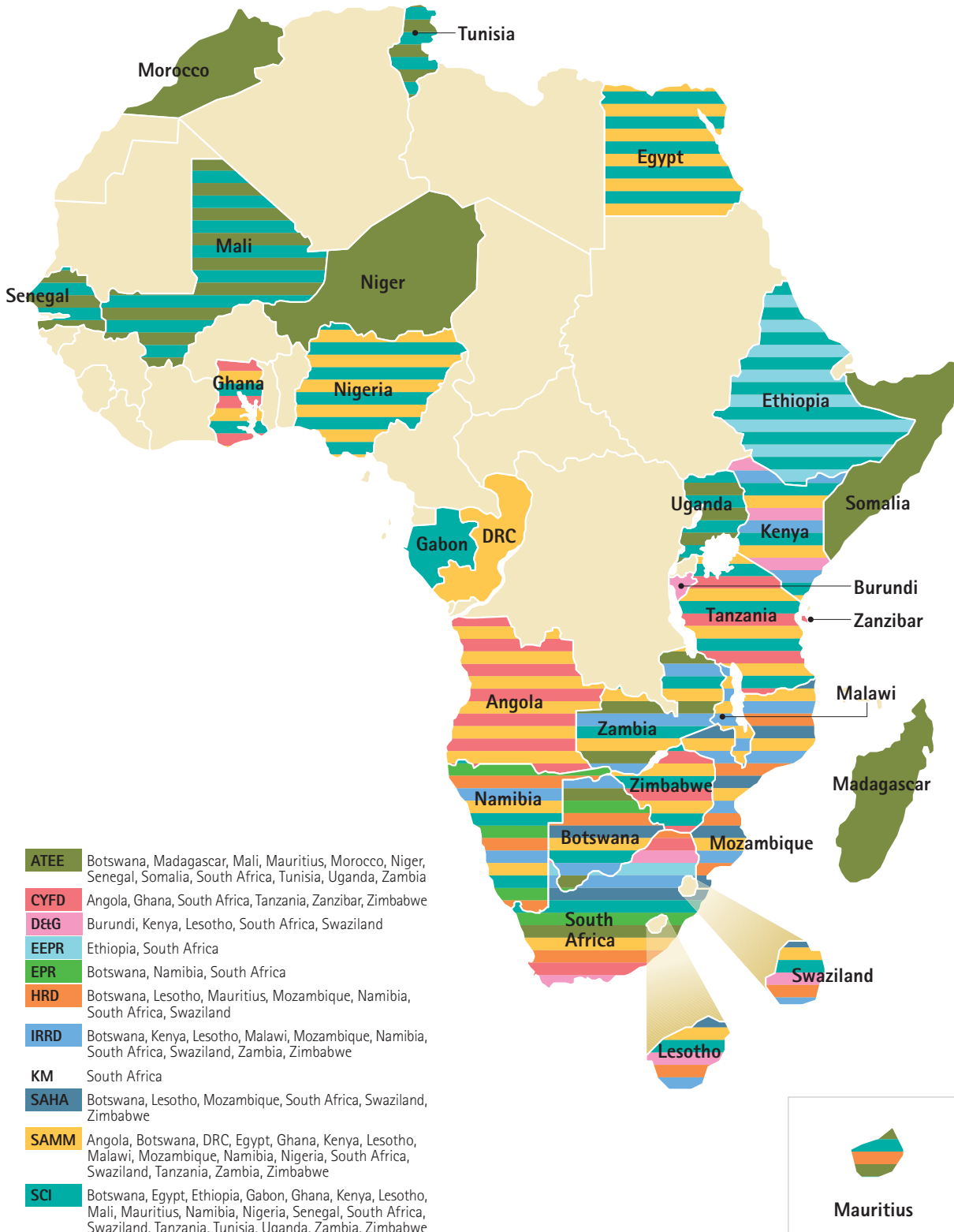
Office of the CEO

- The HSRC Business Development unit assisted research leaders in their selection, preparation and submission of funding proposals and tenders to a broad range of potential users and funders. For a third consecutive year, a dramatic increase in external research income was achieved, to R61m in 2002/03. For the first time in the history of the HSRC, its external research income equalled the Parliamentary grant.
- The HSRC's Research Ethics Committee was established on 27 November 2002 with a leading research ethicist as chairperson and a broad-ranging membership including internal representatives and external stakeholders. The Committee examines and approves all research projects in advance, assisted by guidelines of similar bodies such as the Medical Research Council.
- HSRC Publishers implemented its not-for-profit electronic dissemination strategy and generated sales of print copies from around the world and especially Africa. The Publishers produced twelve occasional papers, nine client reports, three research monographs and eighteen books (new and reprints) during the financial year.
- In March 2003, Corporate Communications produced the first edition of the bimonthly news bulletin, *HSRC Review*, mailed or electronically distributed to 8 000 members of national, provincial and local government, Parliamentary committees, media, and secondary schools in South Africa, as well as collaborators and funders nationally and internationally.



COLLABORATION IN AFRICA

This map illustrates some of the key projects in which the HSRC is involved throughout Africa



ASSESSMENT TECHNOLOGY AND EDUCATION EVALUATION



This Research Programme focuses on the monitoring and evaluation of education change at the national, provincial, district, school and classroom levels. It also develops instruments and techniques for assessing individuals in the worlds of work and play. ATEE provides valuable information to address quality, equity, access and redress issues for transforming the education and training sector in post-apartheid South Africa. The staff complement of ATEE comprises 15 researchers and three interns.

Current and recently completed projects

The **Quality Learning Project (QLP)** is a five-year school intervention programme to improve learner performance by providing relevant skills and expertise to district officials, school management teams and teachers. The QLP focuses on 514 schools located in 17 districts selected from all nine provinces. In 1999, the HSRC was awarded a contract to conduct the evaluation component of this project. In 2000, the baseline study (Phase 1) was conducted, while the mid-term evaluation (Phase 2) was conducted in 2002. The project runs over five years and is scheduled for completion in April 2005.

The **Monitoring Learning Achievement (MLA II)** project is a follow up on the MLA I. It focuses on learner achievement in mathematics and science after eight years of school. The project was initiated in November 2001 in Rabat for francophone African countries and has since been extended to anglophone countries. As it did for the MLA I project, the HSRC provides technical assessment and evaluation assistance to participating countries.

The R7.5 million **Assessment Modelling Initiative (AMI)**, funded by the Research Triangle Institute, is one component of the District Development Support Programme. The AMI is based on a two-pronged strategy to evaluate the performance of learners at the end of the Foundation Phase (Grade 3), and to provide support to Foundation Phase educators through the application of Assessment Resource Banks (ARBs). The model for this project was developed by the HSRC and is currently implemented in the Eastern Cape, KwaZulu-Natal, Limpopo Province and the Northern Cape. The project was scheduled to end in March 2003. However, due to the overwhelming success of the ARBs, this component has been extended to the Intermediate Phase (Grades 4 to 6) for 2003.

The **Molteno Project** (a longitudinal study focusing on literacy improvement) commissioned ATEE to evaluate the





impact of its intervention programme on a cohort of Foundation Phase learners over a four-year period. This project tracks the performance of and contextual factors relating to a sample of learners from 28 schools profiled in the Molteno Project and 10 control schools from 2002 to 2005. A single district in the Free State Province was selected for the study. The baseline assessment for the Grade 1 group was conducted in November 2002, and the final assessment will be conducted at the end of 2005.

Trends in learner performance and policy changes at the end of compulsory schooling (Grade 9) were developed by the **Grade 9 Longitudinal Study**. Data was collected from a nationally representative sample of Grade 9 learners, teachers and principals in 1996 and 2002. The study aims to identify factors affecting learner performance; propose a model and best practices for implementing systemic evaluation studies in South Africa; identify relevant techniques for reporting findings to different role-players in the system; and establish a baseline at the Grade 9 level. Data was also collected to evaluate the pilot implementation of the Common Tasks for Assessments (CTAs). The results will be released in mid-2004.

The **Trends in International Mathematics and Science Study 2003** (TIMSS 2003) is an international study to ascertain the performance levels of Grade 8 learners in mathematics and science across more than 50 countries. It determines trends in learner performance and explains performance by relating it to contextual factors. Data for this project was collected in 2002 and the results will be released in December 2004. In South Africa, the study was expanded from the one that was reported in 1999. Due to the new curriculum structure, with band qualification, Grade 9 learners have been included in the study.

In addition, secondary analysis will be carried out on the 1995 and 1999 data sets as well as qualitative studies to determine how learners are making sense of science and mathematics concepts. In order to enrich the quality of the study, a steering committee will be set up to assist in shaping the study. TIMSS is also a powerful academic resource, and technical workshops are planned with the academic community to share the resources.

Future developments

Future developments will focus on strengthening and consolidating the five units recently defined in the Programme (Monitoring and Evaluation; Science, Mathematics and Technology Education; Language and Literacy Studies; Methodology, Modelling and Analysis; and Psychological Assessment).

Particular emphasis will be placed on:

- improving ATEE's ability to respond to the needs of users, especially as related to advanced analysis;
- strengthening current partnerships to make better use of available data;
- implementing a mentoring and professional development programme for all staff;
- improving ATEE's publications profile; and
- actively pursuing improvement in relationships with key role-players within South Africa, Africa and the international arena.

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CHILD, YOUTH AND FAMILY DEVELOPMENT



The Child, Youth and Family Development (CYFD) Research Programme is dedicated to national social development through innovative research that has significant intervention and policy implications.

CYFD works in seven priority areas:

- **Early child development and intervention**, including nutrition, psycho-social development, health and illness and pre-school education;
- **Rights and protection**, including violence and abuse, child labour, children and youth in care, and law and justice as it affects children, youth and families;
- **Socialisation and learning**, including language and literacy, schools and neighbourhoods, and social identity;
- **Youth development**, including civic engagement, work, livelihoods and life skills, subcultures and networks;
- **Risk and resilience**, including context and determinants, risk behaviours, prevention and intervention to reduce high-risk conditions and behaviours;
- **Sexuality and reproductive health**, including HIV/AIDS, teenage pregnancy and parenthood, sexual violence, gender and relationships;
- **Families and households**, including family formation and security, dissolution and coping, roles and responsibilities, culture and values and the impact of HIV/AIDS.

CYFD is made up of a multi-disciplinary team of 17 researchers working out of Pretoria, Durban and Cape Town. In 2002/03, CYFD opened up new research areas in child sexual abuse, youth civic participation and families through Parliamentary-funded activities.

Current and recently completed projects

In the spirit of co-operation with other African countries, CYFD's Dr Jane Kvalsvig is working with a multi-national team on Pemba Island, Zanzibar, to **measure the effects of zinc or iron supplementation** on the motor and language development of young children. CYFD's role is, firstly, advisory given its experience of field conditions in Africa and, secondly, investigative as a collaborator in the scientific work. CYFD is responsible for a sub-study on the possible long-term effects of impaired communication between young children and their caregivers, which might result from the poor health of either the mother or the infant. This project is funded by Johns Hopkins University and will be completed in 2004.





A commissioned technical review of **the importance of caregiver-child interactions for the survival and healthy development of young children** forms part of a series on child development. This series is published by the Department of Child and Adolescent Health and Development at the World Health Organisation in Geneva. The review is a summary of the theory and findings that link interactions between caregivers and children to the survival, growth and healthy development of infants and young children under the age of three years. The principal investigator was Professor Linda Richter. The project has been completed and reviewed internationally. WHO intends to disseminate the report widely as part of a programme area entitled Care for Development.

In 2002, the CYFD expanded its research efforts to promote youth development through a number of projects.

The aim of the **Collaborative HIV/AIDS and Adolescent Mental Health Project** (CHAMP) is to apply a community collaborative partnership model to the adaptation, implementation and evaluation of a family- and community-based HIV preventive intervention in South Africa, targeting pre-adolescents and early adolescents. The aim of the intervention is to delay the onset of sexual initiation and HIV-risk behaviours by improving family communication and involvement. One of the project's outputs is innovative cartoon-based material designed by local artists. The focus on strengthening families is also expected to impact on the ability of caregivers to deal with other issues related to young people in high-risk environments, including substance abuse and non-accidental injury. This project is headed by Professor Arvin Bhana and funded by the

National Institute of Mental Health. It will be completed in 2007.

The **HIV and Alcohol Prevention in Schools (HAPS)** project focuses on delivering an alcohol and HIV prevention programme based on two successful curricula: Amazing Alternatives (a peer-focused alcohol prevention curriculum), and a modified version of the Reducing the Risk curriculum (a skills-based HIV prevention programme). A combined classroom and media intervention, designed to be novel and participatory, is used to reach adolescents, particularly those most likely to engage in sexual risk-taking. The project also pays attention to the social environment, and psychological mediating variables, that are related to alcohol use and risky sexual behaviours among urban South African adolescents. The principal investigator is Professor Arvin Bhana. The National Institute of Alcohol and Alcohol Abuse (NIAAA) funds this project which will be completed in 2008.

CYFD's study on **preventing substance use among rural African American and South African youth** is a supplement to a parent study by Dr Murelle Harrison of Southern University in Baton Rouge, Louisiana, in the United States. It is funded by the National Institute of Drug Abuse. The study compares baseline data of rural African American families with data from rural South African families. The aim is to determine similarities and differences in areas such as the role of routine in family environments, supportive mother-child relationships, monitoring of child behaviour outside of the home, maternal involvement in education and participation in church. It also examines mechanisms through which family processes are linked with individual self-regulatory processes that contribute to academic

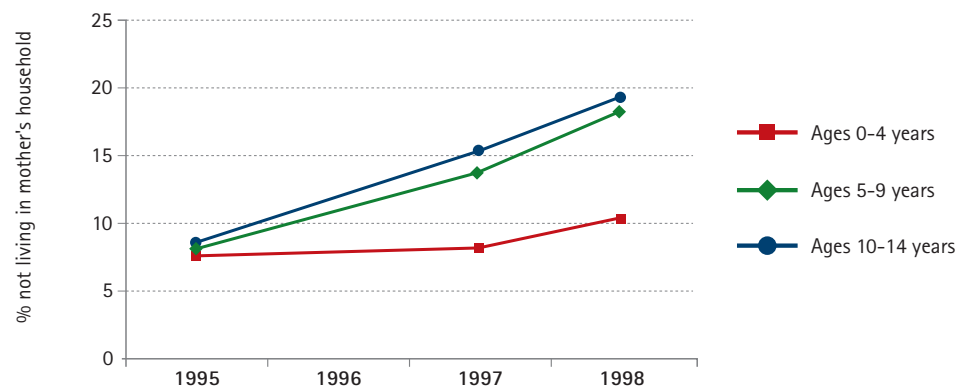


Figure A: Increase in the percentage of children informally fostered, by age, from 1995 to 1998, from the recent study of trends in orphaning and fostering between 1995 and 1999 (as determined from OHS and Census data)

competence, psycho-social competence and avoidance of substance use. Professor Yaw Amoateng is conducting the study in the Limpopo Province and initial baseline data has been collected from about 200 rural families in the province. This is an ongoing project and will be completed in 2008.

Birth to Twenty is the largest and longest-running birth cohort study in Africa and one of the few longitudinal studies of its kind in the world. From before birth, more than 3 000 children and their families have participated in a long-term study of health and psychological well-being. Dubbed Mandela's Children, because the cohort was born just weeks after Nelson Mandela was released from prison, they are the first generation of children growing up in a democratic South Africa. The current focus of the project is the manifestation of sexual and lifestyle risk behaviours during puberty. Professor Linda Richter is the principal investigator, and the project is funded by the Wellcome Trust, the Human Sciences Research Council, the Medical Research Council, Anglo American Chairman's Fund and the University of the Witwatersrand. It is hoped that the project will continue until 2010 and beyond.

Dr Heather Brookes led a **study into gender-based violence in schools and communities**, initially funded by UNICEF. The research involved conducting a series of case studies of South African schools' responses to violence against girls. The study, which was completed in 2002, found that understanding and acknowledgement of gender violence, clear communication of policy and consistent implementation, as well as school culture, were key factors that predicted levels of violence against girls in schools. The results of this research received national publicity in the media. UNICEF has commissioned the HSRC to assist with some of the activities resulting from this research. These include:

- collaboration between UNICEF and national and provincial departments of education as well as the South

African Council of Educators and NGOs;

- a campaign to raise awareness among learners and parents in their communities;
- the establishment of a South African Council of Educators (SACE)/UNICEF Project Office to address gender-based violence;
- the development of databases of public and private service providers and funders; and
- the facilitation of provincial working groups to build partnerships between Government, funders and schools.

CYFD investigated **school and community networks** that protect children from abuse to identify the links that either protect children from abuse or make children vulnerable to abuse. Craig Higson-Smith was the principal investigator of this project, which was completed in 2003 and funded by Parliamentary grant funds. Focus groups with learners, teachers, support staff and parents were conducted in six schools in Gauteng and six in KwaZulu-Natal. Findings indicate that there is a need for educators to be trained in dealing with child abuse cases, as almost all schools surveyed are struggling with cases involving sexual abuse of children. Most schools struggle with a lack of parental participation and, in this context, questions of child protection are often seen as interference by the school in the private affairs of the family. The study found that supervision was key: where children are collected from school by parents or through carefully monitored lift schemes, they are exposed to fewer dangers. Avoiding discussion with children about abuse or sex, for fear of prematurely heightening their awareness of these issues, is misguided, given that even the Grade 1 children included in the study had a clear understanding of sexual abuse. The study also found that children need to know the difference between "good secrets" and "bad secrets", given that the first person in whom a child confides about sexual abuse is often another child who is then sworn to secrecy.



A survey of Gauteng schools to determine **youth civic engagement in a period of transition in South Africa** focused on a range of issues, including civic responsibility, involvement in community organisations, tolerance of social differences, social trust, civic knowledge and skills, altruism and commitment to the common good. The purpose of the project was to determine the current status of civic engagement of various social categories of youth in Gauteng, and to investigate the major factors determining current levels of civic engagement among various segments of the population and their implications for youth development. Preliminary findings reveal a number of areas of concern. Dr Tony Emmett was the principal investigator for this project, which was funded through Parliamentary grant funds and will be completed in 2003.

CYFD's focus on families in studies of infants and young children, as well as of youth development, was further developed by projects on strengthening families.

Dr Yaw Amoateng led an examination of the social and demographic conditions that influence family life in South Africa. The project aims to develop a conceptual framework that will be used as a basis for **strengthening families**. The study is based on analyses of secondary Census and survey data sets, spanning the period of the country's transition. It looks at family-related issues such as the incidence and timing of marriage, divorce, childbearing, family dissolution and displacement, care of dependents, and social assistance for families. The goal of the project is to publish a book on families and households in post-apartheid South Africa. The study, which is funded by a Parliamentary grant, will be completed in 2004.

The national Department of Social Development has commissioned CYFD to provide the Department with **research to support the development of a family policy**. CYFD has reviewed the state of families in South Africa, including conditions that affect the quality of family life and the capacity of families to support dependants. Information has been fed back to the Department at monthly meetings of an advisory group, and a document has been prepared for dissemination and comment in preparation for the publication of the Family Policy. Professor Linda Richter leads this project, which will be completed in 2004.

Future developments

In 2003/04, CYFD will initiate three new areas of research. One focuses on men and masculinity, in response to a need to understand the role of male identity in the context of gender oppression and health. An associated intervention study focuses on promoting caring and responsive relationships between men and children, called the Fatherhood Project. Disability studies, a neglected area of research, is an important new focus, with research planned to investigate cross-cutting issues such as disability and AIDS. Lastly, CYFD has initiated a long-term project to develop and test child and adolescent indicators.

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DEMOCRACY AND GOVERNANCE



Democracy and Governance (D&G) is a Research Programme that explores contributions to and constraints upon democratisation in South Africa and throughout the African continent. Researchers evaluate the policies, institutions and impact of government, business and civil society with regard to their capacity to reduce inequality and poverty, whilst empowering communities to promote local, national and regional sustainable development. The Programme has three major thrusts, namely democratisation, local government and delivery, and public service and development.

At present, D&G has a complement of 14 full-time and 2 part-time researchers distributed among the HSRC's centres in Pretoria, Durban and Bloemfontein.

Current and recently completed projects

During the course of the 2002/03 year, D&G was involved in approximately 30 research projects: large and small, with and without external partners, some exclusive to South Africa and others Africa-centred, and funded from internal and external sources.

External funders included:

- the Nelson Mandela Foundation;
- the Department of Provincial and Local Government;
- the South African Development Education Trust;
- the Electoral Task Team;
- the National Assembly;
- the Department for International Development (DFID) in the United Kingdom; and
- the United States Agency for International Development (USAID).

Research partners included various individual scholars from universities, Khanya Consulting, Paradigm Consulting, the Africa Institute of South Africa and other Research Programmes from within the HSRC.

The State of the Nation: South Africa 2003/04, edited by John Daniel, Adam Habib and Roger Southall, to be published in 2003, is the first publication of an annual review of events and developments in South Africa. It is modelled on the seven editions of the *South African Review*, which appeared in the 1980s and early 1990s. The first volume sets an agenda of promoting sympathetic yet critical assessments of South African Governmental and societal performance over the ten years since 1994.





In collaboration with Professor Robert Mattes of the University of Cape Town, D&G undertook a survey for the Electoral Task Team on **popular attitudes towards the South African electoral system**. The report indicated that South African voters had welcomed the high levels of representivity, inclusiveness and fairness provided by the national list system of proportional representation, and had no wish to return to a first-past-the-post system. However, there was considerable dissatisfaction about the failure of the present system to provide adequate accountability of elected politicians to voters, or to foster the emergence of independent-minded representatives.

Together with the Africa Institute of South Africa, D&G and IRRD submitted a report to the National Assembly on the identification and analysis of **economic strategies in Africa and proposals on an appropriate strategy for the African Union**. Noting that economic integration in Africa is imperative if the continent is to achieve its potential, the report observed that the continent's present regional institutions (such as the East African Community, the Common Market for Eastern and Southern Africa, the Southern African Development Community and the Southern African Customs Union) were characterised by considerable overlap and required greater co-ordination. African integration was also hindered by uneven development and patrimonial sovereignties. The success of the newly launched African Union and NEPAD therefore rests upon

a significant deepening of both political and economic unity.

A report titled ***A Passion to Govern: Third-Generation Issues Facing Local Government in South Africa*** was prepared by D&G and other contributors for the Centre for Development Enterprise. It recorded how South African local government has proceeded through three stages since 1994. The first-generation issues concerned the racial amalgamation of councils; second-generation issues looked at constitutional and normative questions about "what developmental local government should do"; and third-generation issues examined questions of practical development management within the context of national policy. The report raised critical issues concerning the need for sustained and coherent policy debates about practical questions of municipal service delivery.

Mandela, South Africa and Burundi, undertaken on behalf of the Nelson Mandela Foundation, examined the role played by Mr Nelson Mandela, and subsequently by the South African Government more generally, in forging the Arusha Peace Agreement. The Peace Agreement sought to bring to an end the intermittent but brutal civil war between ethnic (minority) Tutsi and (majority) Hutu coalitions that had raged since a post-election coup in 1993. After reviewing the role played by the contingents of the South African National Defence Force, which served as bodyguards for Burundian politicians participating in continuing negotiations, it offered a guarded assessment about

the prospects for peace following the transition from a Tutsi President to a Hutu one on 1 May 2003.

A project on **civil society organisations and service delivery to farm workers** examined the challenges faced by Government Departments and municipalities in serving the needs of farm workers, who are among the most marginalised social groups in South Africa. With the drift of population to urban areas, combined with the recent amalgamation of municipalities, basic service delivery to farm workers has tended to decrease. The report, which focused on the Free State, noted how non-state bodies are increasingly taking up the responsibility of filling service delivery gaps.

The **review of the Department of Provincial and Local Government (DPLG) donor co-ordination and management** addressed the pivotal role of DPLG in co-ordinating capacity-building in the local government sphere. The report noted that the DPLG's role appears to be shifting steadily from a "co-ordination organisation" (creating the framework for local government by drafting policies, legislation and regulations) to that of an "implementation organisation" (devising and implementing specific capacity-building programmes in its own right). Consequently, DPLG has become increasingly less suitable to serve as the primary co-ordinator of donor programmes, which means that an alternative body should be found to co-ordinate the activities of the numerous stakeholders in the local government arena.

Various publications on **Lesotho politics** reviewed the impact of the introduction of a mixed-member proportional electoral system for the general election of 2002, to replace the previous first-past-the-post (FPTP) system. FPTP had produced highly unbalanced outcomes in the general elections of 1993 and 1998, and had precipitated acute political instability. Analysis indicated how South Africa's military intervention into the country in 1998, although highly criticised, had provided a framework for military as well as electoral reform, providing a much sounder platform for political stability.

A **review of Schedules 4 and 5 of the Constitution**, which outlines the powers accorded to local government, argued that there is a *prima facie* case for reviewing the powers and functions of local government *vis-à-vis* the provincial and national spheres of Government. It provided a methodology for undertaking such a review of the two Schedules, which were linked to the imperatives for redistribution and development, and how this impacts on duplication and overlapping functions between the three spheres of Government. The report will be taken up by Cabinet in its deliberations around reform of the constitutional powers and functions as presently formulated in Schedules 4 and 5.

Other reports included:

- good governance surveys of Swaziland and the Eastern Cape;
- a compilation of information regarding the award of honours to Mr Nelson Mandela;

Business Day 20 September 2002





- a review of municipal commonage administration (and how municipalities can promote the role of emergent farmers); and
- a study of the potential for the demarcation of Ward 20 of the Manguang Municipality as an historical precinct.

A further important study was undertaken on behalf of DFID for the **Local Government Support and Learning Network**, which focused on several areas of municipal functioning, including infrastructure management, local economic development, environmental health, budgetary reform and organisational design.

In September 2001, a joint workshop of the HSRC, French National Centre for Scientific Research (CNRS), and National Research Fund on **governance and democracy in South Africa and France** was held in Bordeaux, France. The proceedings were edited during 2002 and will be published in 2003 by HSRC on CD-Rom. In October 2002 a follow-up workshop was organised by D&G in Pretoria on public policy implementation in South Africa and France. The papers presented by scholars from the two countries are currently being edited.

Project reports were accompanied by a substantial rise in D&G's rate of academic publication. Two members of the Research Programme completed their PhDs during the year, and overall the Programme's researchers produced one authored

book, two edited books, thirteen chapters in edited books and ten articles in refereed journals, as well as a host of articles in newspapers, popular journals and websites. There are also numerous items accepted for publication that are as yet forthcoming.

Future developments

Future research includes exciting ventures on such topics as children's rights, strengthening human rights, service delivery, the political economy of South Africa and a survey of the political attitudes of members of COSATU. The writing of an historical biography of South African women will be undertaken for the Department of Arts and Culture. As part of a multi-country project a survey is to be undertaken (in collaboration with IRRD) concerning the human rights implications of South Africa's land policies.

D&G is also active in conducting workshops with users, as well as regular seminars, and also in publishing occasional papers designed to disseminate research and stimulate public debate.

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EMPLOYMENT AND ECONOMIC POLICY RESEARCH



With more than a third of the labour force out of work, unemployment and low levels of economic participation are among the major challenges facing South Africa. The Employment and Economic Policy Research (EEPR) Programme, in collaboration with other HSRC units 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 strategy and action by enabling public and private interventions. To ensure relevance and uptake, each new step involves critical stakeholder groupings and Government Departments.

The Research Programme focuses on integrated employment studies, building and co-ordinating labour market and industry analysis.

EEPR presently has a staff complement of two administrators and eleven researchers, four of whom have PhDs. The 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.

Current and recently completed projects

Labour market analysis focuses on supporting the Skills Development Framework, improving labour market information and promoting active labour market policy. EEPR and the HSRC's HRD Research Programme support the HRD Co-ordinating Committee, led by the Departments of Labour and Education, as part of the HSRC's role as designated by Cabinet. Most recently, EEPR has also established a programme to investigate HIV/AIDS in industry.

Labour market information is critical to the ability to track employment, unemployment, underemployment and skills gaps. To this end, EEPR has completed a **forecast of skills demand and supply and skills gaps**, building on the HSRC's previous projections of high-level skills gaps, to 2003. The methodology is being updated and will incorporate projections of mid-level skills.

EEPR has also investigated **employment statistics**, starting with Stats SA's Labour Force Survey. This is a collaborative effort, bringing together major users and experts such as Stats SA, COSATU, the Reserve Bank, the National Treasury, the Office of the Presidency, the Department of Labour and others.

Skills mismatches are one of the major contributors to slow growth and unemployment in South Africa. EEPR is there-





for actively involved in **supporting the Skills Development Framework** in the following ways:

- updating and upgrading of the skills forecast for the SA economy;
- leading a project to forecast middle-level skills in Ethiopia, commissioned by GTZ. EEPR reports to a committee comprised of key Ethiopian ministries, the Statistical Agency, the Chamber of Commerce and the Confederation of Trade Unions (CETO);
- offering specific support to a variety of sectors in the analysis of skills demand and supply. Examples include support to the Financial Services and Management Sector Education and Training Authority (FASSET), services falling under the Services SETA and also information and communication technologies (Department of Communications), chemicals (Chemical Industries Education and Training Authority, or CHIETA), and the Department of Trade and Industry), as well as small-scale mining and jewellery (Mining Qualifications Authority). In an important initiative, the Services SETA commissioned an impact assessment of its programmes;
- supporting the HRD Research Programme in the production of the HRD Data Warehouse. EEPR has taken a leading role in the sector skills analysis, particularly focusing on doctors and nurses, information and communication technology (ICT) professions, and engineers. EEPR also revised its skills forecast and contributed papers on the implications of industrial policy and HIV/AIDS for human resource development; and
- reviewing for Government the extent to which public sector bursaries effectively meet skills gaps in Government.

EEPR continues to support the work of the Department of Labour to strengthen its labour centres and employment services generally.

EEPR produces reports on the **remuneration and employment experiences of graduates**. The findings in a forthcoming report will point to poor returns on education from the historically black universities; continued gender and racial discrimination, even in the context of a skills shortage; and the important role of career guidance, where a large portion of black graduates regret their choice of study.

In a context of skills shortages and stagnant employment,

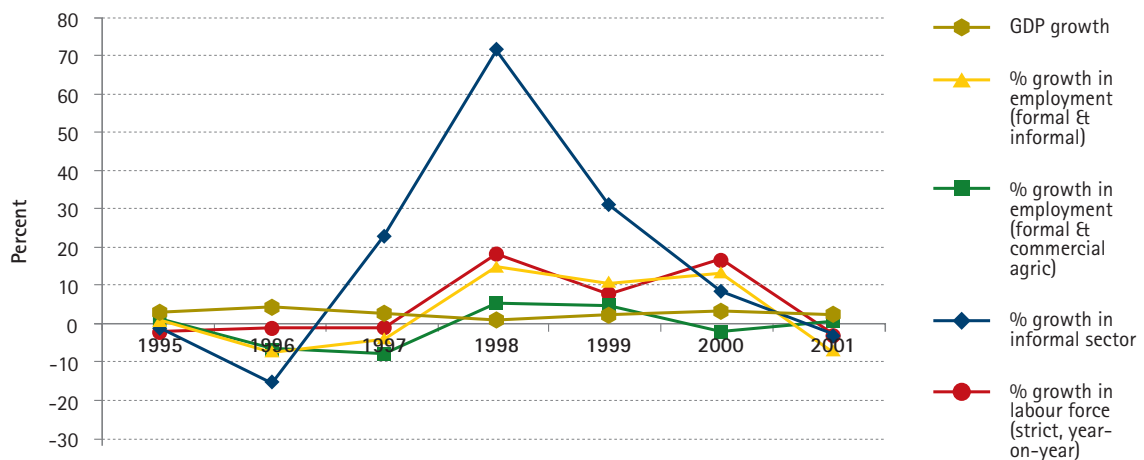


Figure B: Employment and GDP growth (% annual) from The State of the Nation: South Africa 2003/04

HIV/AIDS may offer a further disincentive to employ people. To mitigate the **impact of HIV/AIDS on industry and workers**, EEPR aims to improve the availability of information and the realistic assessment of different public and private interventions. There is a critical gap in knowledge of actual HIV/AIDS prevalence in the workforce, and how it plays out by level of vulnerability, sector and region. The HSRC aims to deepen the economic modelling work by linking into its knowledge of how labour markets and industry are organised. More importantly, EEPR plans to survey economic sectors, including saliva testing, to obtain figures that are more realistic and sensitive to the character of sectors. The Joint Centre for Political and Economic Studies supports this programme.

In 2002, EEPR supported the Social Aspects of HIV/AIDS Research Programme in leading a survey of the **impact of HIV/AIDS in the health sector**.

EEPR's work in industrial analysis focuses on the promotion of economic diversification and on the promotion of employment through basic needs. In 2002 EEPR was active in the programmes identified below, many of which continue into the new year.

EEPR assisted the **Mpumalanga Provincial Department of Economic Affairs and Tourism** in the development of its strategy to promote steel and petrochemicals clusters. This project was done in co-operation with Blueprint Associates. The aim was to promote local linkages around key investments, whether in manufacturing or services. The outcomes of the project pointed to the important role of co-ordinated urban development, large firm and para-statal procurement and the alignment of education and training institutions to the needs of business. Using private procurement to promote local economic linkages and black economic empowerment was an important theme.

Resource Based Technology Clusters (RBTC) are a joint project of the HSRC and Mintek, in support of the Department

of Science and Technology's National Research and Development Strategy. The project puts forward the idea that the resource base offers opportunities for innovation and diversification; a "nursery" for generating new ideas, simply because each situation is unique and requires problem solving. If this can be nurtured, technology and know-how can be built in a whole range of products that feed the resource cluster, whether in inputs, services or downstream products. This is important to developing countries that generally have difficulty attracting or building a substantial R&D base. The initial focus will be on goods and services industries that supply mining, energy and renewable biological resources. In 2002, Mintek and HSRC led a study tour with DST and the dti to Sweden and Finland to learn about their success in resource-based industrial innovation: this was made possible with the support of the Finnish and Swedish embassies.

The Tourism and Hospitality Education and Training Authority (THETA) commissioned **socio-economic profiles of communities** surrounding all the major ecotourism sites nationally. This study will underpin efforts to promote training and small-, medium- and micro-enterprise (SMME) development, associated with investment in these parks. In this project, EEPR worked with four black-empowerment research firms in each of the relevant provinces.

EEPR produced a review of performance of the **KwaZulu-Natal provincial economy** and related institutions. This was commissioned by the Provincial Department of Economic Development and Tourism. The report is supporting its efforts to frame industrial strategy and a common vision amongst its associated institutions.

EEPR has a particular interest in **services industries**, because they facilitate economic growth, but also because they are important employment generators. One example of this work is EEPR's support of Government in the framing of policy towards services industries, with a framework document, and



particular inputs towards ICT sectors. EEPR also works in collaboration with Trade and Industrial Policy Strategies (TIPS) to explore the way that administered prices are determined. EEPR's particular project focuses on energy prices.

There was considerable public debate in 2002/03 about how Government can create jobs quickly. EEPR believes that **unmet basic needs offer an opportunity for employment generation**. There are a range of non-traded goods and services that could be stimulated with increases in effective demand. These in turn would underpin a long-term growth trajectory. This area of work focuses on the promotion of food consumption, social and personal services, and construction. EEPR is investigating how to efficiently deliver and expand the consumption of these critical goods and services to maximise potential employment effects and minimise negative macro-economic effects.

EEPR initiated a process to build the technical capability to draw **employment scenarios**. These scenarios are aimed at, firstly, assessing what employment and unemployment trends could reasonably be expected in the next five to ten years, and secondly, testing the possible impact of interventions on employment and unemployment. The process draws together EEPR's work in a range of other areas, and will use input-output analysis to draw together the linkages.

EEPR has also been assisting the Micro Finance Regulatory

Council in **assessing changes in levels of indebtedness** in 2000, as compared to 1995. The report will rely mainly on a comparison of data in *Statistics South Africa's Income and Expenditure Survey*.

Although employment and unemployment are essentially macro-economic problems, they are generally impacted by micro-economic phenomena. The EEPR is looking to develop its macro-economic research, never losing sight of the micro-macro links.

Future developments

Into 2003/04, EEPR will begin exploring the institutional underpinnings of the unemployment-inflation relationship. Given high levels of structural unemployment, any stimulatory policy in South Africa is likely to be inflationary. Likely questions to be answered will include: What is required to enable stimulation, without also incurring the cost of high inflation? What are the institutional blockages? What forms of stimulation would substantially release and enable wider and deeper economic participation?

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EDUCATION POLICY RESEARCH



Education in South Africa is complex and contentious, marked by a past that entrenched race, class and gender divisions. The Education Policy Research (EPR) Programme contributes to understanding and surmounting this inheritance, in collaboration with other HSRC Programmes, and with colleagues in Government, universities and NGOs. EPR takes a broad-based approach to education, using a range of critical investigative methods drawn from the human sciences, seeking to understand education socially, politically and economically.

EPR addresses the impact of the new policies introduced since 1994 that focus on the historical inequalities and injustices in education. As in other spheres, South Africa is now playing a crucial part in the region and continent, and EPR is positioned to play a role in this broader African educational environment.

EPR was established late in 2001 and a core team was appointed early in 2002. At the end of 2002, Dr Mokubung Nkomo, the Executive Director, was 80% seconded to the University of Pretoria. Professor Linda Chisholm became Acting Executive Director. By early 2003, EPR comprised four researchers, two research fellows and an intern.

Current and recently completed projects

A study into the role of NGOs in education in South Africa was completed for the Academy for Educational Development at the end of 2002. The project complements research in Ethiopia, Guinea, Mali and Malawi. The project leader was Dr Seán Morrow.

EPR designed and developed instruments for educator appraisal and classroom observation. The Department of Education commissioned EPR to harmonise disparate appraisal instruments and procedures. Working with the Department and teacher unions, Professor Linda Chisholm and Dr Rubby Dhunpath completed the project in March 2003. It is currently being implemented in all schools.

UNESCO commissioned Professor Linda Chisholm, with Dr Carolyn McKinney, to review, from the perspective of gender equality, reforms, innovations and approaches used with teachers in different countries. Strengths and limitations of different approaches, their impacts and lessons learned, were highlighted in the **UNESCO Education for all Monitoring Report: Report on Teachers**. The review was completed in May 2003.

The **Rural Schools and Education study**, commissioned and funded by the Nelson Mandela Foundation, profiles rural





schools and education in South Africa, placing education and poverty on the public agenda. The HSRC and the Education Policy Consortium, the main research partner, employ an innovative combination of qualitative and quantitative methods aiming to illuminate how teachers, parents and learners experience education in the context of rural poverty. The project is due for completion in December 2003.

A study of **information and communication technologies (ICTs) and curriculum** in SADC explores the capacity of ICTs to assist effective learning. The study is taking place in Namibia, Botswana and the Seychelles, in collaboration with the Southern African Comparative and History of Education Society and SADC. Funded by the Netherlands Embassy, it is due for completion in October 2003.

Drawing on scholars locally and internationally, a project entitled **Education and Social Change in South Africa: The Challenge of Policy** attempts to explain change and stasis in education since 1994, pointing towards new research and policy revision. This project, funded by the HSRC's Parliamentary grant, is due for completion at the end of 2003.

EPR is investigating **integration in South African schools**; the unfolding role and character; connections to historical, international and contemporary social patterns; and how teachers, texts, managers and policy-makers understand and address these challenges. The study also focuses on best practice in terms of innovation and alternatives. The first phase will be completed at the end of October 2003. The Mott Foundation provided seed funding.

The video **Colouring in Our Classrooms** traces the first

generation of school-going children in post-apartheid South Africa, documenting their schooling experiences and views on issues such as race, class, gender, poverty, inequality and violence. It provides an informative and entertaining insight into South Africa's new generation across class, colour and gender. Funded by Sida and the Mott Foundation, the HSRC and the Wits Education Policy Unit are producing and researching the video, which is due for completion in November 2003.

EPR is investigating **historically black universities (HBUs) in the context of the National Plan on Higher Education and the Integrated Development Strategy**. This project investigates a developmental framework linking two rural universities – Fort Hare and the North – to their socio-economic habitats. It seeks to identify conditions that will enable these institutions to respond creatively to their isolation and structural dislocation. This pilot project, funded by the Ford Foundation, is due for completion at the end of 2003.

EPR is compiling a **development trajectory for further and higher education** in the Zululand area. This project will investigate how the University of Zululand (UZ) and the Umfolozi College of Further Education and Training (UCFET), rooted in apartheid, can be involved in the development of the Zululand area as they undergo reconfiguration. Fieldwork is expected to commence in July 2003.

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HUMAN RESOURCES DEVELOPMENT



In October 2000, the South African Cabinet appointed the HSRC as the official agency responsible for undertaking and providing Government with research support services in the field of human resources development (HRD). Shortly thereafter, the Department of Science and Technology awarded the HSRC a substantial ring-fenced grant over three years to undertake research work in the area of HRD, orientated largely towards the creation of an improved information and analysis infrastructure to support Government decision-making in the arena of HRD. The Research Programme on HRD was established in 2001 to meet these objectives.

There are now over 20 projects registered in this Research Programme, covering a wide array of topics relevant to HRD.

The HRD staff complement stood at 22 at the end of the financial year, including 9 researchers.

Current and recent projects

The following research projects were completed in the 2002/03 financial year, and several new publications will be released in the 2003/04 financial year:

The new Further Education and Training (FET) policy framework emphasises preparation for the world of work for both school leavers and mature learners. HRD is currently completing a **dual curriculum mandate for FET colleges in a future South Africa**. This study focuses on current curriculum practices in FET colleges to identify factors that enable best practices in respect of intermediate "skilling" for employment and/or self-employment in a wide range of economic sectors. Ten FET campuses were studied as exemplars of best practice. The final report is currently under preparation. Two research monographs will be published, aimed at FET policy-makers and practitioners.

The HSRC began providing **monitoring and evaluation support to the Support to Education and Skills Development Project**, a major initiative in the FET college sector supported by the Danish Government. The project involves a three-year cycle of monitoring and evaluation of Danish support of education and skills development in selected FET colleges in KwaZulu-Natal, North West and Western Cape provinces. A baseline study has just been completed by the HSRC. It is to be followed at six-monthly intervals by formative evaluations and by a summative evaluation. It is anticipated that this longitudinal study will offer the opportunity to draw valid empirical





conclusions about the nature of donor-supported organisational and curriculum change in the FET sector, as well as about issues of sustainability.

The project on **Student Choice Behaviour, Phase 2** sought to confirm the study choices of those Grade 12 learners who participated in the Phase 1 survey in 2001, and subsequently enrolled in higher education institutions in 2002. It also investigated the factors that had led learners either to enroll or not enroll in higher education. In late 2002 – one year after the Phase 1 survey was administered – 14% of respondents were repeating all or part of Grade 12, 22% were unemployed, 28% were employed (14% full-time), 4% were not economically active, and 55% were studying (46% full-time). While 73% of Grade 12 learners in the 2001 survey had indicated their intention of entering higher education within three years, only 23% enrolled in higher education institutions in 2002 – 21% in public and 2% in private institutions. The Phase 1 survey revealed that more learners wanted to study in technikons (61%) than in universities (39%); but in 2002 more learners enrolled in universities (60%) than in technikons (40%). Business, Commerce and Management Studies was the most popular field of study at both intention and enrolment stages (26% of aspirant students wanted to study in this field; 28% did so). Natural and

mathematical sciences attracted 20% of students (compared to the 10% who intended doing so). A monograph on Phase 2 of the project will be published in 2003.

The book project ***Shifting Understandings of Skill: Moving Beyond a Low Skills Regime in Post-apartheid South Africa*** analyses the prospects for a successful "upskilling" of a population whose paths of learning and work have been profoundly shaped by the imprint of apartheid. As the first major study of the current international debate on high skills in the African context, it serves as an important and original contribution to the international literature, as well as a major addition to the literature on South African education, training and development. This book reflects the range of historical and sociological analysis that the HSRC is bringing to bear on the skills development challenge of post-apartheid South Africa, married with contributions of senior staff from the University of Leicester's Centre for Labour Market Studies, an international centre of excellence in this field. Edited by Dr Simon McGrath, Dr Azeem Badroodien, Dr Andre Kraak and Lorna Unwin, this book will be published in late 2003.

In January 2003, the Department of Labour commissioned HRD, in association with the Bureau for Market Research from UNISA, to undertake a **national survey of current training**

practices in South African firms. This is the second time the HSRC has undertaken such a national survey for the Department of Labour, the first being in 2000. The aim of the 2003 survey is to analyse and track training trends in South African workplaces over time and to compare the data with the results of the 2000 survey. Information from the study will be used by the Department of Labour in its efforts to support and co-ordinate training and human resource development across the economy.

HRD's study into **public-private partnership in the provision of higher education in South Africa** enquires into the objectives behind partnerships between certain public higher education institutions and private higher institutions. The roles and responsibilities of institutions in these partnership arrangements are poorly understood. Thus, the study seeks to

provide analytical information on how partnerships between public higher education institutions and local private institutions contribute to higher education in South Africa more widely. A report is being compiled for the Ford Foundation, the funder of the project, and will be published as a monograph in October 2003.

HRD also undertook a quantitative study on **the nature of private post-school technical and vocational education and training (TVET)**, located within the FET band in South Africa. It provided information regarding the participants, location, ownership, programmes offered, and modes and forms of delivery of private TVET provision. This information has been either speculative or non-existent until now. Results show that the sector is responsible for serving a learner enrolment headcount of 706 884 learners for the 864 providers pre-registered with the Department of Education (DoE) in 2001. The sector is characterised by a majority black learner enrolment, with a large proportion of learners older than 25 and employed. A significant proportion of providers offer programmes in contact mode, which are of shorter duration than those of their public counterparts. Programmes are offered in areas that do not require excessive capital investment and infrastructure, i.e. in education, computer science and business studies. Significantly, while the sector is arguably responding to employer and user demand, the quality of these short, modular courses delivered by part-time personnel has not yet been determined. An occasional paper publishing the key results is due in late 2003.

The first comprehensive **survey of the South African independent schooling sector** was also undertaken. The aim of the survey was to establish the size and shape of the sector. Findings from the survey suggest major growth since 1994 and that there are significantly more schools and learners than estimated by some key sources. The survey dispels popular myths about the profile of the sector, for example, that it is predominantly white and elitist. More than half of all independent schools charge low to average school fees and white learners constitute less than 30% of all learners in the sector. The survey does, however, point out that there appears to be a two-tier system in the sector characterised by better-performing, more expensive and largely white independent schools, as opposed to less expensive and largely African independent schools with mixed performances. An occasional paper publishing the key results is due in late 2003.

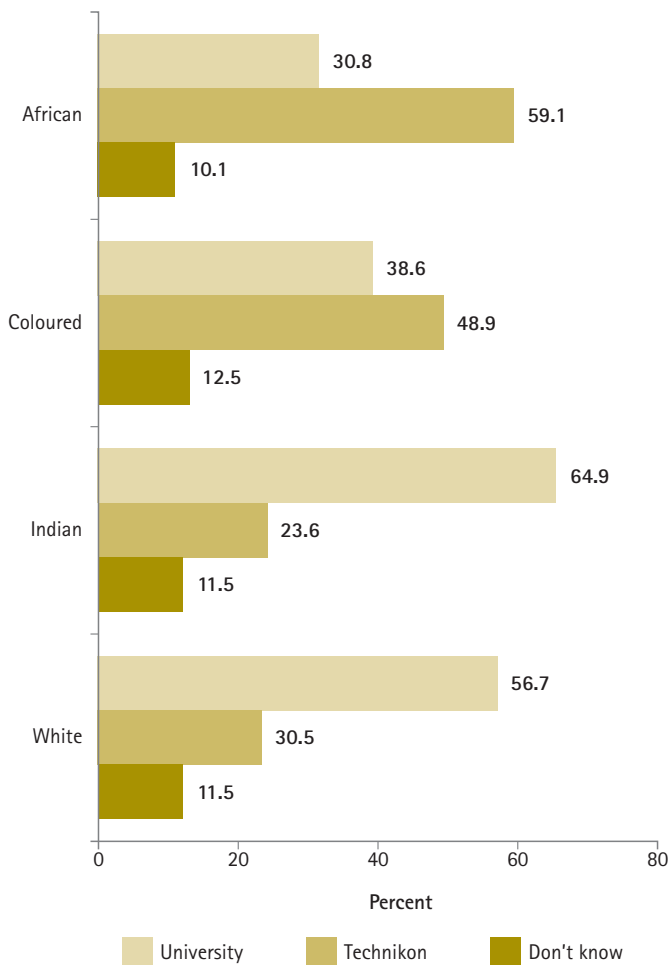


Figure C: Learner choice of institution type, by population group from the Student Choice Behaviour Study, Phase 1

Future developments

A new project funded by the Parliamentary grant is a **tracer study of higher education graduates**. The project seeks to



ascertain throughput rates of selected higher education institutions as a measure of the higher education sector's efficiency. The study will survey the extent of employment rates of graduates, the extent of satisfaction of these graduates with their work situations, and the extent to which graduates perceive their higher education programmes to have sufficiently prepared them for the workplace. Four institutions will be selected: a private higher education institution; a technikon; an historically advantaged institution; and an historically disadvantaged institution. The survey results are due in March 2004. They will prove invaluable to the Department of Education, as it has identified the launching of pilot tracer studies in higher education as one of its key strategic objectives for 2003/04.

In December 2003, the HSRC will launch the **HRD Review 2003** and **HRD Data Warehouse**. This ongoing project, funded by the Department of Science and Technology, has two linked components. The first is the publication of the *HRD Review 2003*, which will provide Government and other decision-makers in

HRD with comprehensive analyses of key education and training, labour market and macro-economic indicators. A team of experts in the field was commissioned to write chapters for this publication. The chapters produced will cover both demand (education) and supply (employment) sides of the labour market as well as skills development, the national system of innovation, and industrial and technology policy. Second, the Data Warehouse website will contain every chapter from the HRD Review and all the statistical tables, primary data sets, and other documentation that authors assembled in writing their contributions to the *HRD Review 2003*. Over time, more content and links relevant to the field of HRD will be added to the Data Warehouse. This website infrastructure will be maintained by the HSRC and updated on a regular basis.

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INTEGRATED RURAL AND REGIONAL DEVELOPMENT



Integrated Rural and Regional Development (IRR) is a multi-disciplinary Research Programme, with the primary objective of promoting rural development in South and southern Africa. It does this through user-driven policy, monitoring and evaluation and problem-orientated research. With poverty reduction as the unifying, overarching theme, the Programme's objectives, orientation and activities are designed specifically to address key national, regional and Africa-wide policy priorities.

Four distinct, but interlocking, sub-programmes operate:

- **Land and Agrarian Reform**, under Professor Simphiwe Mini, which investigates land tenure, land use, land redistribution and restitution, agricultural input and output markets, farm labour and employment and related issues
- **Rural Non-farm Development**, under Dr David Hemson, which investigates rural livelihoods, rural infrastructure and service delivery, rural micro-enterprise support, ecotourism and related issues
- **Regional Resource Flows**, under Dr Pieter Kok, which investigates human resource, trade and financial flows within and across borders in southern Africa, in part to assist regional integration
- **Poverty Reduction**, of which the major component is the Southern African Regional Poverty Network (SARP), co-ordinated by Mr Richard Humphries. This project is a real and virtual platform for debate, and gathers and disseminates information aimed at enhancing the impact of policy, strategy and practice on poverty reduction in the region.

Located in the Pretoria and Durban offices, full-time staff at year-end numbered nineteen researchers, three support staff and three one-year contract employees, supported by several part-time and temporary staff, with one vacancy still to be filled.

Internal and external collaboration – both within and outside the HSRC – has been extensive and excellent. Among international partners have been Oxford Policy Management, Futures Group Europe, the University of Michigan and, among local partners, the CSIR, the University of Pretoria and the Surplus Peoples Project. Internal partners cover almost all of the HSRC's other Research Programmes.

Funding has been sourced both from clients and from offshore Government funding agencies, such as the British



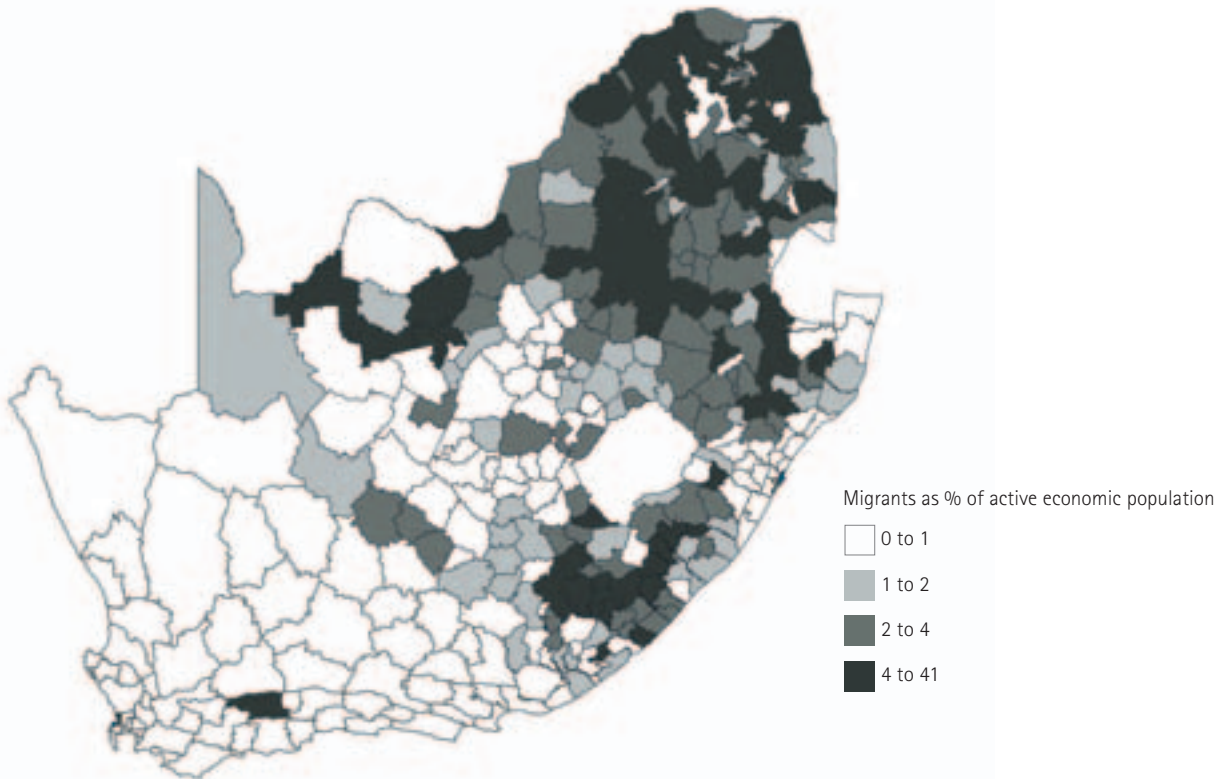


Figure D: Origin districts of migrants to Gauteng (1992/96) from Post-Apartheid Patterns of Internal Migration (2003)

Department for International Development (DFID), the German Agency for Technical Co-operation (GTZ) and the Swiss Development Corporation. In a number of instances, this funding was used for research conducted for Government and other clients in Botswana, Kenya, Lesotho, Malawi, Mozambique, Swaziland, Zambia and Zimbabwe.

Current and recently completed projects

More than 20 research projects directed by and registered in IRRD were completed during 2002/03 or were still in progress at the year-end.

Key objectives for 2002/03 for the **Southern African Regional Poverty Network (SARPN)** were twofold. On the one hand, the aim was to expand SARPN's core activities – face-to-face events and electronic information dissemination – to add further to its profile and presence in the region. A second objective was to undertake an in-depth review of activities since inception and prepare for a re-design exercise to let SARPN achieve its goals more fully and effectively. The re-design exercise incorporated extensive regional stakeholder consultation. This revealed strong support for SARPN's activities but also the need for structural and operational changes to make the network genuinely regional. A proposal for SARPN's future, which will form the basis of a campaign to secure funding for a multi-year period, is expected to be completed by the end of June 2003. This ongoing project is funded by DFID.

With the approach of ten years of democracy in South

Africa, the Presidency has commissioned a wide-ranging **review of the performance of Government**, particularly in respect to delivery on its mandate to reduce poverty. A first round of research, focused on identifying key issues for in-depth investigation, was undertaken in the second half of 2002. In collaboration with internal and external partners, IRRD contributed seven of the commissioned papers. In the second round, which commenced in the first quarter of 2003, IRRD was contracted to conduct two much larger investigations. One investigation used high-level statistical data to assess the impact of public sector programmes in eight economic sectors and the other – a methodological complement – used a group of on-the-ground studies of the impact of public sector programmes in eight localities. The research will be reported on at the July Cabinet *lekgotla*. The major funders of this project are DFID and GTZ, and the project is due for completion in the second half of 2003.

A project on **water and sanitation to the rural poor**, regarding sustainability and poverty eradication, was undertaken over more than six months, in the context of devolution of control and maintenance from the Department of Water Affairs and Forestry to local authorities and communities. The research entailed a detailed survey of 23 schemes in rural KwaZulu-Natal. It focused on the functionality of the schemes, obstacles to sustainability and sources of "institutional stress". The findings and recommendations for policy, strategy and practice received the personal commendation of the Minister.

Discussions are being held about the possibility of extending the research to other provinces. The project was completed in early 2003.

IRRD provided **technical assistance for Lesotho land policy, land law harmonisation and the preparation of the Land Sector Strategic Plan**. Co-ordinated by the Land Policy Advisor to the Government of Lesotho and carried out with a number of external partners, IRRD investigated the economic rationale, financial planning, organisation and management and human resources development aspects of policy. These are expected to form the basis of future legislation. DFID funded the project, which was completed early in 2003.

A study of the **impact of HIV/AIDS on land issues in Kenya, Lesotho and South Africa** was designed and co-ordinated by IRRD. Research was undertaken by teams located in each of the countries. On-the-ground village studies examined, *inter alia*,

- changes in tenure systems as a result of HIV/AIDS;
- strategic options for survival among affected households in terms of land and the respective sets of consequences;
- how tenure changes are affecting agricultural productivity, food security and poverty; and
- the implications of tenure turbulence for land administration.

The findings have fed into several subsequent reports,

research projects and workshops, and have been incorporated into initiatives by the Department of Land Affairs in South Africa. The FAO funded this study, which was completed in the second half of 2002.

IRRD also provided **technical assistance to the regional and national food security Vulnerability Assessment Committees (VACs)** initiated by the Southern African Development Community (SADC). The objectives of the IRRD team's assistance are:

- to ensure that the VAC data collection and analysis process provides the best possible information to evaluate the current food security situation in southern Africa;
- to assess the impact on household food security of HIV/AIDS;
- to advise on the preparation of country reports; and
- to facilitate the integration of the findings into policy and practice.

The project was funded by UNAIDS and completed during the second half of 2003.

Research on the **impact of HIV/AIDS on land tenure and land reform in Kenya** was commissioned as part of the HIV/AIDS Prevention and Care Project, a joint undertaking by the Kenyan and British Governments. The goal is to decrease





the risk of HIV transmission in Kenya. The task of the research team, augmented by HSRC Research Fellow Dr Cheryl Walker, is to carry out a study to understand the impact of the HIV/AIDS epidemic on land tenure systems and land reform in Kenya, with particular emphasis on inheritance and succession. This study was requested by the Ministry of Lands and Settlement's AIDS Control Unit. It is funded by DFID and is due for completion in the second half of 2003.

A study into **strategy formulation for the South African cotton industry** was triggered by a request for assistance from the Department of Agriculture by South African cotton growers, as a result of the wind-down of tariffs on trade in cotton products within the SADC. The initial product of the research was an in-principle set of recommendations on strategy for the South African cotton industry. A process to formulate common goals and strategy by all of the major players in the "cotton pipeline" was then designed and facilitated. The outcome was endorsed by all parties and implementation is now in progress. Historically disadvantaged producers are expected to be major beneficiaries. The process is seen as establishing a model for the sub-sectoral implementation of the national strategy for agricultural development, announced by the President in November 2001. The study was completed in early 2003.

Routine surveys of the cost of living are not framed in such a way as to give in-depth insight into the effects of rapid food price increases, such as occurred in 2001/02, on low-income households. IRRD was commissioned by the Department of Agriculture to undertake a pilot study on **the impact of food price volatility on household food security in South Africa**. It was aimed both at making an initial impact assessment and at developing methods for conducting subsequent assessments as

part of a strategy to increase household food security. The study was completed in the second half of 2002.

Due to report in mid-2003, research into **joint ventures between established and "emerging" commercial farmers and/or farm workers in South Africa** has been carried out with the Surplus Peoples Project with the assistance of the Department of Land Affairs. It documents and evaluates the growing range of joint ventures, which are gaining increasing recognition as an important component of an overall strategy to make land reform sustainable. The research is funded from within the HSRC.

A major project around **predicting urban migration in South Africa** has also been initiated. The objective of the project, spanning three financial years, is to describe, analyse and interpret population migration patterns in South Africa (including cross-border migration) in order to develop a firm basis for predicting urban migration. The extensive and difficult field data collection phase has been completed and analysis is now in progress. The resulting models should be valuable policy-making and planning tools for a wide range of users in Government and the private sector. The first of a series of research outputs is expected late in 2003.

With the CEO's Office, IRRD undertook the planning and was responsible for the co-ordination of the HSRC's participation in the **World Summit on Sustainable Development** in August 2002. The IRRD occasional paper series, launched to mark the event, currently consists of seven papers.

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KNOWLEDGE MANAGEMENT



Knowledge Management (KM) is the newest addition to the HSRC's Research Programmes and has now completed its first year of operations. The creation of the Knowledge Management Research Programme reflects an awareness of the strong interconnections between knowledge, innovation and technology. These interconnections are a vital part of societal and economic well-being.

The KM Programme has grown to include four research staff, an administrator, four junior researchers and a network of contract consultants spread across the country.

At its inception the Research Programme was conceived of as covering three overlapping domains (see Figure E): Information Society; National System of Innovation Studies; and Knowledge Intensive Research Organisations.

The Information Society component conducts research for the Presidential Commission, participates in various forums concerned with understanding knowledge management in Government and industry, and was party to the successful tender "Review of the Performance Measurement System for the Science Councils". The HSRC CEO serves as a Commissioner, with Dr Michael Kahn serving as an alternate Commissioner, on the Presidential National Commission on the Information Society and Development, established in early 2002.

There have been no fewer than five projects within the area of National System of Innovation, with studies ranging from small desk-based work to very large surveys in the field.

The final area – Knowledge-Intensive Research Organisations – has concentrated mainly on supporting the conversation around knowledge management within the HSRC but has been hindered by staff shortage.

The key users of KM's work have been Government, especially the Presidency, the Department of Science and Technology, the CSIR, National Advisory Council on Innovation (NACI), and the Presidential Commission on the Information Society and Development.

The anticipated benefits of the work are that it will enable Government to meet its strategic imperatives, namely to harness the information society, promote effectiveness and efficiency, and attain greater competitiveness and create employment.

The KM Research Programme contributed to raising awareness within the HSRC of the importance of knowledge management as an aspect of its own strategic planning. KM facilitated a workshop for senior management that examined

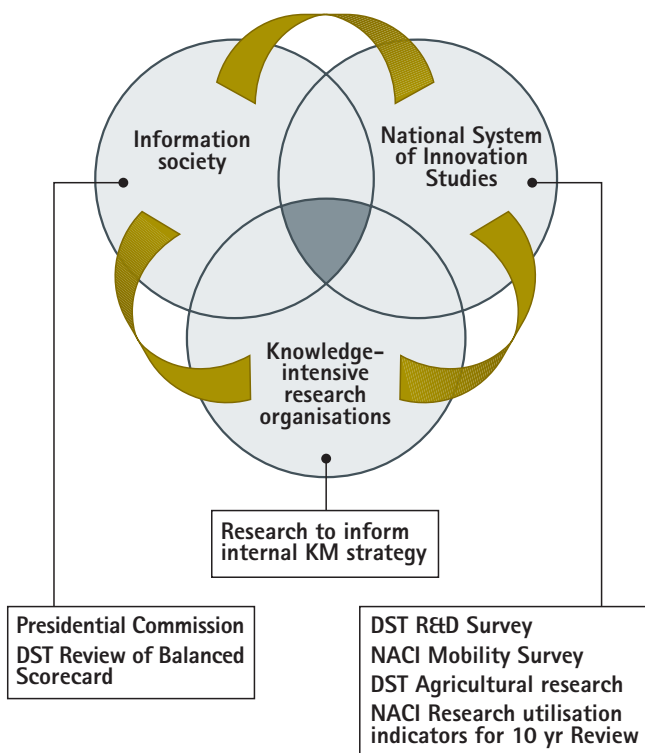


Figure E: The KM Programme



aspects of information and knowledge management and participated in the process of selecting an appropriate enterprise resource planning system for the organisation. In addition, KM participated in many national activities concerning knowledge management and collaborated with SABS, the Department of Science and Technology and the Centre for Public Service Innovation. KM also made presentations at a number of industry workshops on the topic of knowledge management.

Current and recently completed research projects

KM began working with the **Presidential Commission on the Information Society and Development** in preparation for its plenary meeting of August 2002 and scoped out a possible research agenda. Since then, the HSRC has been given primary responsibility for formulating and preparing the Interim Report of the Commission, ahead of the July 2003 Cabinet *lekgotla*.

As the transformation of the science and technology system has taken shape, it has become essential for policy to be informed and guided by evidence-based research. Such capability is essential for the National Research and Development (R&D) Strategy to enjoy solid implementation. The Research Programme supported this strategy through three major projects: the National R&D Survey; the survey on the mobility of R&D workers; and a study on the utilisation of research findings.

The **National R&D Survey** is KM's largest project and is conducted for and funded by the Department of Science and Technology. The Survey will form the baseline for the construction of a reliable and valid time series that will eventually become part of official statistics. It is concerned with quantifying the inputs to the process and conduct of research and development. This Survey is extremely complex and is thus a labour intensive activity that has involved staff of ATEE, SAMM and D&G as well as a number of external consultants and Stats SA. The information has been captured in a database that CSIR Icomtek constructed for the project. The first sector survey was completed in late February 2003.

A survey on the **mobility of R&D workers** for the National Advisory Council on Innovation (NACI) seeks to understand the scale and nature of the mobility and circulation of R&D workers. Completed in late February 2003, it provides insight into the complex nature of the availability and circulation of scarce skills. The findings contribute to both local and international understanding of this phenomenon. This study was done in co-operation with the CSIR Policy group and ATEE. The full report will be published by HSRC in September 2003.

KM participated in the NACI study on **utilisation of research findings**, in a consortium with the CSIR and the National Research Foundation (NRF). This study demonstrates the outcomes of research in the way that it is adopted or incorporated into the knowledge stock. KM's contribution entailed the careful construction of a set of case histories of 12 publicly funded research projects. The lessons from these case histories form part of a larger project that seeks to develop policy options and strategies toward research utilisation. The work was completed on schedule in December 2002.

Future developments

It is anticipated that the KM Research Programme will expand further in 2003/04 and form the basis of an innovation survey as well as completing work for the next National R&D Survey. These activities will contribute to the establishment of a National Centre of Excellence for Science and Technology Indicators.

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SOCIAL ASPECTS OF HIV/AIDS AND HEALTH



The Social Aspects of HIV/AIDS and Health (SAHA) Research Programme started in July 2001 and has grown considerably over the last two years to become both a national and Southern African Development Community (SADC) resource. SAHA conducts policy-relevant research in South and southern Africa. Its extensive regional network makes it possible to mobilise an alliance of key stakeholders, policy-makers, programme planners, researchers, NGOs and donors to tackle HIV/AIDS, using evidence arising from collaborative research. Its links with the Medical Research Council (MRC) of South Africa and Rhodes University's Centre for AIDS Development, Research and Evaluation (CADRE), as well as international partners such as the French ANRS, the Joint United Nations Program on HIV/AIDS (UNAIDS) Office in Pretoria, and some universities in the USA, have helped SAHA to undertake research studies of various sizes at national and regional level.

SAHA also formed a partnership with the Health Sector Co-ordinating Unit (HSCU) of SADC to develop a monitoring and evaluation tool for HIV/AIDS in the SADC region to help establish a flexible network of partners. This network is committed to tackling HIV/AIDS by using the same research methods to allow the generation of knowledge, which can be implemented immediately. The vehicle to facilitate implementation is the Social Aspects of HIV/AIDS Research Alliance (SAHARA), which involves jointly applying and securing funding for multi-country and multi-site studies.

SAHA offers technical support to its partners, jointly develops implementation strategies, and shares information on the monitoring and evaluation of programmes.

SAHA's funds are mainly from the Parliamentary grant (about one quarter to a third) and the rest is made up from foundation grants, including:

- the W.K. Kellogg Foundation;
- the Department for International Development (DFID) in the United Kingdom;
- the Nelson Mandela Foundation;
- the Nelson Mandela Children's Fund;
- the Ford Foundation;
- the US National Institutes of Health (both NIMH and NIDA);
- UNAIDS;
- the World AIDS Foundation; and
- the World Bank.



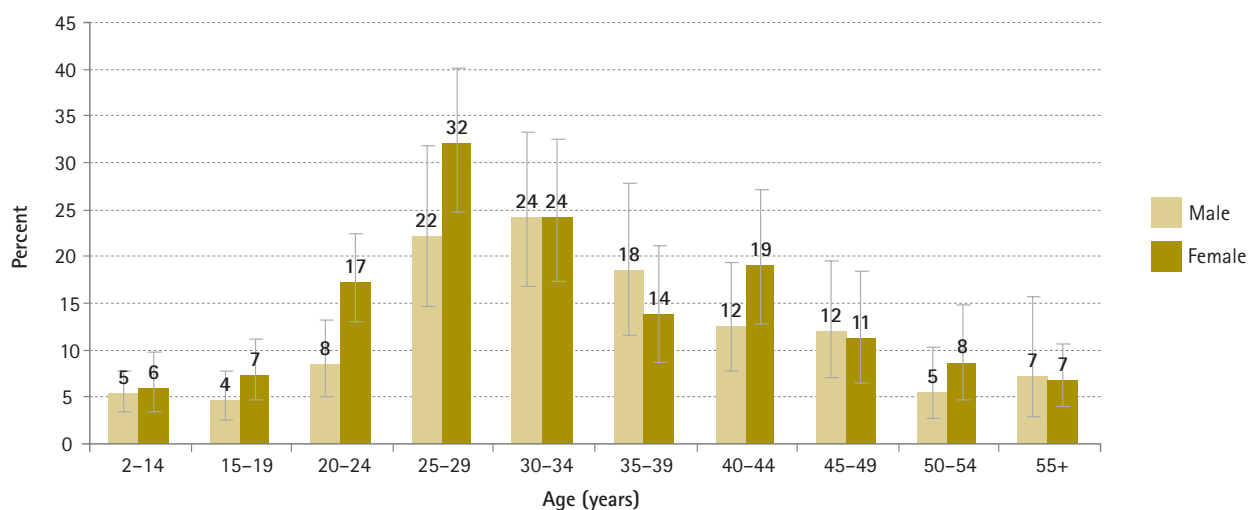


Figure F: Prevalence of HIV by sex and age, South Africa 2002 from the Nelson Mandela/HSRC Study of HIV/AIDS

The advantage of diversified sources of funding is the freedom it provides to pursue broader research agendas (investigator-initiated and commissioned) and to form partnerships with donors.

Current and recently completed projects

A major problem in South Africa and the SADC region is the shortage of highly skilled and experienced researchers and leaders in social aspects of HIV/AIDS and in public health. In order to meet this requirement, SAHA runs the following programmes:

Internship programmes for developing and mentoring young local and international researchers. In South Africa this programme focuses on training eleven people from historically disadvantaged groups each year. It also caters for students from other countries, including minority students from the United States (US). The programme is supported by a Pennsylvania State University project and funded by the US's National Institute of Mental Health's (NIMH's) Forgarty Fellowship Programme.

Technical assistance is provided to researchers in various SADC countries on conducting second-generation behavioural surveillance surveys on HIV/AIDS. It involves countries such as Botswana, Lesotho, Swaziland and Mozambique. SAHA will work closely on this initiative with both the UNAIDS Regional Office in Pretoria and SADC-HSCU. The European Union (EU) will fund the project through the SADC-HSCU.

SAHA has produced a **video on national second-generation behavioural surveillance surveys** based on the Nelson Mandela/HSRC study of HIV/AIDS 2002 (see details of the study below). The video features Mr Nelson Mandela and researchers

who took part in the study, as well as a representative from the UNAIDS Regional Office in Pretoria. UNAIDS and the HSRC will use the video in meetings and training sessions for researchers who wish to use the specific survey methodology in their HIV/AIDS research.

Building of research capacity at junior and senior level takes place in the HSRC and at other local academic institutions, such as the University of the Western Cape (UWC) and the Medical University of Southern Africa (MEDUNSA). These researchers, in collaboration with their American counterparts, will undertake research in new areas of interest. The National Institute of Health (NIH) and the National Institute of Drug Abuse (NIDA) of the US Government have recently awarded SAHA two two-year projects on substance use and HIV/AIDS for this purpose.

Several research projects have been conducted by SAHA during the past year. A notable feature is that a number of studies, driven by SAHARA, were both multi-country and multi-site projects.

The pioneering nationwide **Nelson Mandela/HSRC Study of HIV/AIDS: South African National HIV Prevalence, Behavioural Risks and Mass Media Household Survey 2002** has yielded useful data that has changed the national HIV surveillance methodology. The study was welcomed by the South African Government for providing information that would assist in planning its HIV/AIDS programme. The project was funded by the Nelson Mandela Foundation, the Nelson Mandela Children's Fund, the Swiss Agency for International Development, UNAIDS and the HSRC.

Using a rapid appraisal approach and gap analysis, the policy component of a review paper on **HIV/AIDS in southern Africa**



revealed that the six participating countries (Botswana, Lesotho, Mozambique, South Africa, Swaziland and Zimbabwe) all have HIV/AIDS policies, strategic frameworks and prevention strategy plans. There were, however, major gaps in the provision of treatment for people with HIV/AIDS and in the prevention of mother-to-child HIV transmission. The W.K. Kellogg Foundation funded the project.

A follow-up study of **HIV/AIDS policy and the implementation of programmes** in the six countries illustrated that although all six countries mentioned above have developed strategic plans to fight HIV/AIDS, most countries did not allocate adequate resources to AIDS-related services. Botswana stood out as the only country with a programme for universal access to anti-retroviral drugs. The W.K. Kellogg Foundation also funded this project.

A study on **epidemiological and demographical HIV/AIDS projections in South Africa** provides detailed information on HIV incidence, prevalence, mortality, life expectancy, orphanhood and a projection of the population growth. The Nelson Mandela Foundation funded the project.

Using the Priorities for Local AIDS Control Efforts (PLACE) method, a **follow-up study of the PLACE method** in a township in Cape Town found that the social lives of people in this township increased their risks for HIV infection. Yet, there are hardly any interventions to educate them on risks related to HIV infection. This has serious implications for the control and prevention of the spread of HIV/AIDS. The University of North Carolina at Chapel Hill's Measure Evaluation project (supported by USAID) funded the study.

SAHA conducted a national survey on the **impact of**

HIV/AIDS on the health sector. This survey of health personnel, ambulatory and hospitalised patients, and health facilities includes HIV prevalence among health workers and patients in four provinces. It provides information on human resource issues in a national sample of all public and private health facilities. The results have implications for the management of HIV/AIDS in the health sector. The study was funded by the national Department of Health.

A strategy for the **care of orphans and vulnerable children (OVC) in Botswana, South Africa and Zimbabwe** was researched. This project, which started in April 2002, involves the implementation of intervention programmes over a five-year period to assist children, families and communities affected by HIV/AIDS in Botswana, South Africa and Zimbabwe. It also includes a second-generation behavioural and biological survey and situation-analysis of orphans and vulnerable children in these three countries. This includes two separate literature reviews on evidence-based interventions to help guide revisions of existing OVC interventions at various sites in Botswana, South Africa and Zimbabwe. The first one focuses on home-based child-centred development programmes for OVC, such as health and nutrition, psycho-social care and management of inherited assets. The second review focuses on supporting families and households with OVC, who have to cope with HIV/AIDS. It also looks into community-based support systems for OVC. A third literature review, currently underway, focuses on how to increase awareness of HIV/AIDS and change risky behaviour in communities with serious OVC problems. The W.K. Kellogg Foundation funds the project.

Cabinet requested the HSRC to help develop **indicators to evaluate the performance of all Government Sectors** during the past decade. SAHA developed and populated the health sector indicators, including HIV/AIDS.

Regarding **prevention of mother-to-child transmission of HIV infections (PMTCT) studies**, SAHA is evaluating three PMTCT programmes in the Eastern Cape, Western Cape and Gauteng. The Ford Foundation funds the first study, the Department of Health the second, and the Gauteng Department of Health the third. All studies are ongoing.

SAHA researched the **history of public health in South Africa**. The research paper outlines the development of South Africa's public health system from the colonial era, through apartheid, and up to the current date. It includes a description of the evolution of legislative, policy and institutional frameworks, and sets out the country's responses to major contemporary public health challenges such as HIV/AIDS and tuberculosis. The paper forms part of a major multi-country study of



Mr Mandela with members of the research team and collaborators. **Back:** Mr Nelson Mandela, Dr Mark Orkin, CEO of the HSRC, Dr Kevin Kelly, Research Director, Centre for AIDS Development, Research and Evaluation (CADRE), Dr Leickness Simbayi, Project Director (HSRC), Warren Parker (CADRE), Julien Chauveau, French Agency for AIDS Research (ARNS), and Yoesrie Toefy (HSRC). **Middle:** Dr Olive Shisana, Principle Investigator (HSRC), Dr Heather Brookes (HSRC) and Prudence Ditlopo (HSRC). **Front:** Dr Mark Colvin (MRC)

public health, commissioned by the World Bank.

A project to determine the **costing of PMTCT of HIV/AIDS in the Western Cape, Gauteng and the Eastern Cape** consisted of three separate studies. The first study assessed the cost to administrate zidovudine (AZT) and nevirapine (NVP) to newborn babies and pregnant women at different levels of health care in the Western Cape province. The second study assessed the implementation of the components of the programme in four complexes. It included a skills audit, an analysis of the lessons learned at the pilot sites and recommendations for improvements in Gauteng. The third study is ongoing and involves assessing the costs of the Eastern Cape Department of Health's PMTCT programme in clinics in the Flagstaff district, before the implementation of interventions.

SAHA conducted an investigation into **HIV/AIDS financing in six SADC countries - South Africa, Botswana, Lesotho, Mozambique, Zimbabwe and Swaziland**. This study reviewed documentation from the Ministries of Finance, State Expenditures and the national AIDS co-ordinating structures, and interviewed relevant policy-makers. It provided an outline on how HIV/AIDS programmes are financed in the six countries. Among many other results, the study found that not enough funds are available for managing the epidemic. The project was commissioned by the W.K. Kellogg Foundation.

Another SAHA project examined **HIV/AIDS legislation in the six SADC countries**. The study reviewed legislation affecting

people living with HIV/AIDS in the six countries mentioned above. While these countries have responded to the epidemic with varying degrees of commitment and action, with the exception of South Africa, these countries have little or no legislation or jurisprudence relating directly to HIV/AIDS. The study concluded that structures must be created to monitor the implementation of legislation and conventions and to hold governments accountable. The W.K. Kellogg Foundation funded the project.

Future developments

Three major future studies are planned. The first is the repeat Nelson Mandela/HSRC Study of HIV/AIDS (2004), also known as the population-based HIV prevalence, behavioural risks and mass media survey. Secondly, SAHA will provide technical assistance to researchers on conducting second-generation behavioural surveillance surveys in various SADC countries such as Botswana, Lesotho, Swaziland and Mozambique. Finally, an investigation into the association between exposure to health service and non-health service invasive procedures, sexual abuse, and HIV among children in the Free State is planned.

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SURVEYS, 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.

The Programme was established during the latter half of 2001 and has grown to seventeen research staff - five with PhDs - and three office administrators. Three research appointments were made during 2002/03, and the appointment of another two researchers is imminent in the surveys and statistics sections respectively.

Current and recently completed projects

SAMM has developed an accurate and complete **master sample** frame, based on statistics gathered from the 2001 Census. The rationale is to establish a programme of longitudinal social survey research within the HSRC. The master sample consists of 1 000 Census enumerator areas, mapping and listing all the households in each area. Eight to ten households in each enumerator area are then identified for inclusion in the sample for a specific project, and are visited and interviewed on successive occasions. Field teams use a Geographical Information System (GIS) that provides digitised maps integrated from satellite images, aerial photography, and ground-based maps of sites to locate and reference the enumerator areas and the households. Where necessary, this is supplemented by hand-held global-positioning equipment (GPS) that allows fieldworkers to identify spatial co-ordinates to reach pre-specified dwelling units - especially in rural and informal settlements.

SAMM assisted the KM Research Programme with the **National Research and Development Survey**. The Department of Science and Technology commissioned the study. The purpose of the study was to produce a set of internationally compatible indicators for monitoring and evaluating inputs into research and development in the country. Researchers from SAMM compiled registries, survey designs, fieldwork plans and resource plans for the project.

SAMM conducted a **baseline survey of basic adult literacy programmes**. The study targeted disadvantaged communities in the Presidential nodal areas to determine literacy levels; the

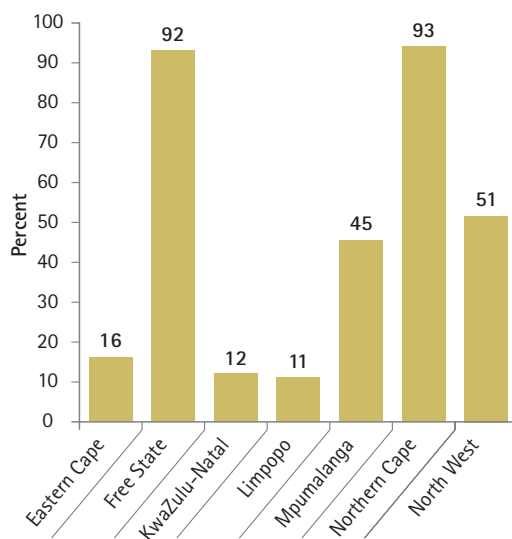


Figure G: Pay points with permanent building structures, from the Minimum Data Sets (MDS) analysis on ageing in South Africa



need for basic adult literacy; infrastructure that could be used to conduct the literacy classes; and to identify community development projects for newly literate adults. Data was collected from 59 communities and it was found that community members regarded being literate as a pathway to a better quality of life. Obstacles to attending literacy classes hinged mainly on time and financial constraints, transport problems, health and age problems.

SAMM was responsible for certain **data management** aspects of research conducted within other HSRC Research Programmes. For instance, SAMM was involved in the 2002 Nelson Mandela/HSRC study of HIV/AIDS; a study on the impact of HIV/AIDS on the health sector; the South African National Literacy Initiative (SANLI); the Independent Schools' Questionnaire; and the Quality Learning Project.

The HSRC's **public opinion surveys programme** has been significantly enhanced by the introduction of repeated, cross-sectional and panel components to the previously *ad hoc* survey designs. Started in 2002, new conceptually and methodologically robust surveys cater for the needs of HSRC researchers and external clients (especially Government). The HSRC survey programme will consist of four quarters.

Quarter A: Nelson Mandela/HSRC study of HIV/AIDS	Panel
Quarter B: South African Social Attitudes Survey (SASAS)	Sequential cross-sections/panel
Quarter C: Client modules Public sector/parastatals/private sector	Sequential cross-sections/ <i>ad hoc</i> /panel
Quarter D: Specialised modules from HSRC research components e.g. education, family, migration, poverty	Panel and/or sequential cross-sections

The Nelson Mandela/HSRC HIV/AIDS Prevalence study will become an annually conducted panel study. The first South African Social Attitude Survey (SASAS) will be conducted in 2003, and will focus on attitudinal issues, involving a combination of a sequential cross-sectional and panel design. Modules for 2003 will comprise questions on democracy, poverty, elections, education and health, communications, identity, generational and gender attitudes and domestic violence, a demographic module, and the International Social Science Programme's 2003 module on National Identity. Each survey will be designed to yield a representative sample from households geographically spread across the nine provinces. Samples will either be drawn from the HSRC's master sample, or will be drawn anew.

Together with Research Surveys and Simeka Consultants, SAMM has embarked upon a **12-month tracking study of public views** for the Government Communication and Information System (GCIS) on Government performance and service delivery, awareness of news stories, and commonly discussed issues. Findings from this study will be of particular pertinence as the first democratic Government approaches the end of its first ten years in office.

South Africa's cities are both centres of economic growth and innovation and agglomerations where poverty is rife and discrepancies stark. Strategies for the development of policies on growth and equity require serious debate and analysis by the South African research community. It is against this background that the HSRC proposed a project that will focus on urban-based research around the more specific issues of local economic development, urban renewal, transportation, poverty, HIV/AIDS, city governance and management, institutional transformation, and urban indicators. The **National Urban**



Research Initiative (NURI) is based at the HSRC.

SAMM also recently established a dedicated and coherent programme of urban research called the **Urban Studies Unit**. The unit recognised the contributions HSRC researchers can make to debates on urban development in South Africa, including policy interventions. The unit will focus on issues ranging from local economic development, to urban renewal, to local competitiveness. Four appointments to the unit were made recently, and an intense programme of research will commence in July 2003.

A study on **black economic empowerment (BEE) in the ICT sector** will determine the extent of progress in all aspects of

BEE in the information, communications and technology sector, including corporate ownership and governance, employment equity, skills development, investment in enterprise development and corporate social responsibility. The study is being conducted in collaboration with three Johannesburg-based companies: Empowerdex, Everest and MBM Change Agents.

The HSRC has been encouraged to improve its strategy to effectively disseminate research information. The intention of the **web dissemination project** was to use innovative approaches, such as the use of web interactive mapping and cross tabulation tools, new methods of analysis and modelling, and CD-Rom products to disseminate the HSRC's information. Ultimately, information emanating from research done in all HSRC Research Programmes will be catered for by this project. A democracy and governance CD-Rom forms part of this project and the atlas will aim to analyse the development of democracy and governance in South Africa, based on a pre-identified set of variables/indicators used in atlases elsewhere in the world. The project leader was Johann Fenske and the project was completed in March 2003.

The HSRC won a tender from the Department of Health (DoH) to conduct an analysis on **Minimum Data Sets (MDS) on ageing** in South Africa. This research will identify reliable information and provide input into the WHO policy on the aged. The aim of the project was to identify accurate information sources on the aged population, and to evaluate indicators associated with issues related to the aged. The findings suggested that the DoH should consider new indicators, because the original ones were too long and not definitive enough. A myriad of data sources were identified, but a lot of work still had to be done to extract the data for indicators. All of the data sets were archived and placed in a GIS format. The HSRC's GIS Centre made certain recommendations to the client, which will feed into the WHO MDS project. The project leader was Craig Schwabe and the project was completed in March 2003.

The Universal Service Agency (USA), which regulates **access to telecommunication in South Africa**, decided on a GIS system as a decision-making tool for the effective and efficient provision of access to telecommunication facilities and services, especially in rural areas. A consortium, led by the GIS Centre, developed a GIS system which would assist in answering supply and demand questions regarding telecommunication. The information is displayed on a map. The project leader was Craig Schwabe and the project was successfully completed in December 2002.

The HSRC formed part of a consortium tasked to **develop a**



Aerial photograph of households selected for the master sample

GIS for the Telecommunication Business Unit (TBU) of the Department of Communication (DoC). A user-needs analysis identified data sets important to the establishment of the project. A database was designed and made available to the client on a server. This project has enabled the DoC to make well-informed decisions about its telecommunications rollout to schools, with the added benefit of providing thousands of schools with access to the Internet. Gina Weir-Smith and Fabian Arends worked on the project, which was completed in December 2002.

The GIS Centre identified the importance of labour centres as a source of information on supply and demand for the Department of Labour (DoL). The GIS Centre was funded by the DoC to capture the **spatial location of all labour centres, visiting points and satellite centres throughout the country**, laying the foundation for determining the catchment areas of each centre. These were captured in GIS, followed by a process of consultation with officials from the DoL in each province to align the catchment boundaries with existing administrative boundaries (for example provincial, municipal, district). This system will allow the DoL to have up-to-date knowledge of matters such as staff and visiting points in each labour centre. This will allow effective decision-making to address unemploy-

ment issues in South Africa. The project was completed in July 2003 under project leader S'bo Zama.

Future developments

SAMM plans to **track national issues through longitudinal analysis**. The national master sample, completed in 2002, now makes it possible to visit and interview the same households on successive occasions, thereby conducting longitudinal analysis. The HSRC's annual public opinion survey, now called the South African Social Attitude Survey (SASAS), will incorporate this time-series dimension. The first HSRC study to draw on the master sample was SAHA's HIV/AIDS prevalence study, conducted in 2002.

Research on urban development, identified as a national imperative by government, is an area where SAMM intends making a considerable contribution, and will be driven by the recently established **Urban Studies Unit**.

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SOCIAL COHESION AND INTEGRATION



Social Cohesion and Integration (SCI) is a Research Programme dealing with religion, arts and culture, the social aspect of science, the media and public discourse. In essence, it analyses the social fabric of a developing country. The unit was established in November 2002. It is also, in part, a response to the call by NEPAD for a greater engagement with the social sciences and humanities in the development of science and technology in Africa.

The current staff complement consists of five researchers, a visiting research fellow, an editorial specialist and three administrative staff.

Current and recently completed projects

SCI hosted the **Human Genome and Africa** conference in March 2003. The conference brought together experts, both local and international, to discuss the implications for Africa of sequencing the human genome. The conference consisted of five concurrent workshops. A major theme running across the five workshops was the influence of recent advances in genomic science on African society. More than 350 delegates participated in the conference. This included 23 young and promising scholars from under-resourced institutions in Africa, who were awarded fellowships to attend the conference. A major art competition, *What is Life?*, which invited top national artists, new artists and school-level artists to take part by providing their interpretation of the meaning of the human genome, was part of the conference. Two occasional papers and a book called *The Architect and the Scaffold: Evolution and Education in South Africa*, edited by Wilmot James and Lynne Wilson, have been published out of this project. A book reflecting on the March 2003 Africa Genome conference will be published in 2004.

After a successful conference on the theme **Spirit of the Nation: Reflections on South Africa's Educational Ethos**, an edited collection of proceedings was published in August 2002. Professor James and the Minister of Education, Professor Kader Asmal, were the editors.

A report entitled **Petrol Station 5 Safety Project**, which investigated safety and security at South African petrol stations, was conducted by an SCI-led team. It was launched at the Civic Centre, Grassy Park, Cape Town, in December 2002. The project received major media coverage and has already led to some important interventions in the industry.





Graeme Pollock and Franklin Larey, two of the individuals profiled in the Living Treasures project

SCI commissioned a paper on the connections between **South Africa, Israel and Palestine** from renowned historian Dr Heribert Adam. It was launched at the London School of Economics in September 2002. This was followed up in March 2003 with an historic meeting of Israelis, Palestinians and South Africans near Hermanus in the Western Cape.

The Department of Arts and Culture commissioned SCI to investigate the capacity within Government, the HSRC and the private sector to gather reliable indicators, data and research in the cultural industries. The ultimate goal of the **Valuing Cultural Industries: Phase 1 project** is to assist with the establishment of a Cultural Observatory for South African Arts and Culture.

A series of books, chapters and papers has been produced within SCI on **religion**, including:

- Religion Education in South Africa: Teaching and learning about religion, religions, and religious diversity, by Professor David Chidester in Lena Larsen and Ingvild T. Plesner (eds), *Teaching for Tolerance and Freedom of Belief* (Norway: Oslo Coalition on Freedom of Religion or Belief, 2003);

- Global citizenship, cultural citizenship and world religions in religion education, by Professor David Chidester in Robert Jackson (ed.), *International Perspectives on Citizenship, Education, and Religious Diversity* (London: Routledge, 2002): pages 31 to 50.

SCI has conducted a number of **studies in the transformation of South Africa's media**. An investigation of the core courses, financial viability and direction of the country's principal in-service journalism training institution, the Institute for the Advancement of Journalism, was conducted and completed in 2003. Various other media projects are underway, including a major collaboration with the newly established Media Development and Diversity Agency (MDDA) and Mediaworks. The MDDA is charged by Government to foster and encourage community media organisations in South Africa in the interests of diversity and democratic consolidation.

The **Living Treasures: Arts, Sports and Science project** commissions and publishes biographical research on South Africans who excel in the arts, sports and sciences. The project has thus far published eleven articles and has profiled, among others, artist Helen Sibidi, singer Sibongile Khumalo and writer Nadine Gordimer.

The Africa genome scientific literacy and school programme aims to spread up-to-date knowledge regarding the outcomes of the Human Genome Project among school and tertiary students and adult learners, and thus improve scientific literacy regarding the Human Genome Project and its implications for society. It hopes to incorporate new scientific knowledge into school curricula, and will undertake a pilot teacher-training workshop to deal with the teaching of molecular biology. The project will investigate the iconography of certain scientific theories and produce a set of visual teaching materials to improve old representations of concepts such as evolution, geological time and early *Homo sapiens*.

The evolution of human skin colour, something which was first thought to be immaterial, is of immense intellectual interest. From an evolutionary perspective, skin colour types evolved fundamentally as a reproductive strategy to ensure survival. It also has social interest, since skin pigmentation is one of the

most visible human characteristics, and one from which numerous other characteristics are commonly and unfairly inferred. We hope to facilitate informed public discourse on skin colour and "race" in South Africa in the interest of promoting a new national identity.

In 2002, **An I for cultural diversity and heritage** (with DACST) produced a position paper on cultural diversity and developing countries and the challenges of globalisation. *Protecting Our Cultural Capital* is the second paper of this project and is to be published as an occasional paper in 2003. The political transition of 1994 fore-grounded the debate about who we are and what sites, memories or artefacts actually constitute our common heritage as South Africans. This paper discusses the key outcomes from this debate as well as limitations in the current heritage structures that prevent other benefits from being realised.

DAC has requested a position paper from SCI on **intangible heritage** for the purposes of the International Network on Cultural Policy. "Intangible heritage" is a term coined to honour the powerful symbolic meanings that communities may associate with a site, as well as rituals, music, language, know-how, oral traditions and the cultural spaces in which these "living heritage" traditions are played out. The project will look at definitions of intangible heritage. It will also ask whether this is a special form of heritage requiring special attention and, if so, what legal and financial instruments could help protect this intangible heritage.

Early in 2002, DACST requested SCI to conduct **an audit of the community arts centres** that had been established with RDP funding between 1997 and 2001. The audit report was finalised with representatives from the community arts sector at a workshop in April 2002. The report contained an analysis of problems and solutions with regard to policies, management capacity, finding resources, service delivery and partnership development between national, provincial and local levels. The audit was extended into a strategic document with implementation plans through a second workshop in October. The research was accepted as the basis for a Flemish-South African bi-national programme on policy development and capacity-building in arts centre clusters in KwaZulu-Natal, Free State and Limpopo, with an extension of the findings to the other six provinces. SCI's Gerard Hagg has a three-year appointment as Programme Manager. The programme has led to the establishment of national and provincial steering committees for community arts centres and has increased investments by Government, NGOs and the arts sector.

Following a successful and interesting conference in 2002





between the SCI team and representatives from the National Economic Development and Labour Council (Nedlac), a book of the proceedings on **social cohesion and globalisation** is due to be published in 2003, edited by Professor David Chidester.

SCI has provided an enabling environment for producing a book, under the editorship of the Minister of Education, Kader Asmal, MP, Professor David Chidester and Professor Wilmot James, which **profiles the lasting legacy of Mr Nelson Mandela**, who remains the central icon of social cohesion in South Africa. As a thematic collection of Mr Mandela's speeches, with introductory essays by national and international leaders, *Nelson Mandela: From Freedom to the Future* is scheduled to be published in July 2003.

Future developments

SCI is currently planning a major investigation into **road safety** in South Africa.

Invested with biographical and political history, ***Ali Fataar and the Non-European Unity Movement (NEUM)*** is an account of Dr Ali Fataar, long-time leader of the NEUM of South Africa. It is being finalised by author Trevor Oosterwyk for publication in late 2003 or early 2004.

An edited collection of the published and unpublished essays of the late **Professor Jack Simons** is planned for publication

later in 2003 or early 2004.

Against the background of the HSRC-Nedlac conference of August 2002, SCI is undertaking a three-year project to **identify and measure social capital** in the spheres of Government, business, labour and community. Former Nedlac Director Phillip Dexter has joined the SCI with the principal task of overseeing this project.

Plans to turn the **international conference on the Human Genome and Africa** into an annual event begin with the follow-up event already scheduled for Cairo in 2004. The conference will again focus on genomics, vaccines and drug development. Other follow-up possibilities being investigated include establishing a journal, publishing a science magazine and the production of a documentary series on the impact of genomics on research and development in Africa.

Outcomes of the **Israel-Palestine-South African** peace-building conference include the publication of a book of conference proceedings and an expanded follow-up meeting planned for later in 2003 or early 2004.

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CORPORATE SERVICES



Corporate Services (CS) provides support to the different Research Programmes within the HSRC. It comprises human resources (HR), information technology and systems (IT), project finance, information services (IS), and building and facilities.

Building on the comprehensive restructuring during the previous reporting period, the administrative components in CS were consolidated in the current financial year and a start was made on new management systems. New senior appointments were made to fill the vacancies that existed in March 2002: directors for human resources, finance and information technology were appointed.

Current and recently completed projects

In September 2002, a planning workshop with research Executive Directors and the senior management team in CS resulted in the launch of **Project Phoenix**. This project was an integrated attempt to meet immediate internal user needs in the short-term, by significantly improving service delivery in three key areas: IT infrastructure, websites and management information.

The IT infrastructure was improved by increasing bandwidth between offices, deploying new file servers, installing new software and outsourcing elements of IT support to enhance end-user support. The HSRC's websites on the Internet and the intranet were redesigned. The websites are now easier to navigate, look more appealing, and users have access to richer and more up-to-date content. As the third aspect of Project Phoenix, the HSRC's information services were radically updated and electronically enhanced to support the high research information needs of the Research Programmes. The HSRC's new virtual library is now nationally accessible to researchers. Information management was improved by providing online access to flow diagrams of key business processes. A key new feature is the provision of projects and research outputs databases. Electronic templates, corporate stationery, and various other guides and forms were posted on the intranet to assist with the preparation of proposals, research reports and other aspects of project administration.

Project Phoenix provides a foundation for the intended HSRC **management information system**. Business processes were documented, infrastructural weaknesses identified and mechanisms put in place to improve the flow of information – prerequisites to the subsequent introduction of a new integrated system. To enhance the delivery of large-scale, multi-year socio-economic

HSRC video-conference centre in Pretoria





The hand-over of the HSRC Council's Report and Financial Statements for 2002/03 to DST was attended by (from left to right): Ms Roshani Rampersadh, Executive Director of Corporate Services, HSRC; Mr Khaalid Abdul-Kader, Director, Finance, HSRC; Ms Buyelwa Sonjica MP, Deputy Minister of Arts, Culture, Science and Technology; Mr Martin Fox, Management Accountant, Finance, HSRC; Mr Shauket Fakie, Auditor-General; Dr Mark Orkin, CEO of the HSRC; and Mr Peter Pedlar, Deputy Director-General of the Department of Science and Technology

research undertakings in the current and long-term, the HSRC envisages the installation of a project management system and a seamlessly integrated, full-featured support-services system. The main support functions are human resources (including remuneration, performance management and skills development); financial management; risk management and asset management. The investigative phases have been completed, and the tender committee is expected to finalise its decision in the 2003/04 financial year.

HSRC staff voted in favour of amalgamating the existing staff association into the **Public Services Association (PSA)** during February 2001. Following detailed negotiations with the Union, a recognition agreement was signed on 9 May 2002. Comprehensive new terms and conditions of employment were also negotiated with the PSA. The collective agreement, signed in February 2003, introduced remuneration packages for all staff on a cost-to-company basis and addressed historical imbalances in medical aid and housing subsidies. The existing performance management system has been enhanced with the definition of key performance areas for researchers, and the further refinement of administrative key performance areas. All key performance areas, in research and Corporate Services, are now aligned to the HSRC COUPE strategy.

Following Union representations and discussions with management during 2002/03, Council decided that three main elements should be developed and documented in HSRC **labour relations policy**. These are trends and measures regarding the improvement of representivity (including the expansion and updating of the HSRC's employment equity policy); arrangements for the professional development of staff; and the means for improved internal communication. Improved internal communication includes a development, previously suggested by the

Executive Directors to Council, to establish a researcher forum to enable greater involvement of the wider body of researchers in relevant aspects of HSRC decision-making.

Regarding **physical infrastructure**, the growth in research has led to an increase in accommodation in Cape Town and the relocation of the Durban office to larger premises. By the end of the 2002/03 reporting year, two new offices were opened, in Bloemfontein and Port Elizabeth. The video-conferencing centre, comprising a large conference room linking the Pretoria office with Cape Town and Durban, was completed. It has been widely used from the outset. A social area to complement the centre will be completed in the next financial year.

The Audit Committee monitors **risk management** in the HSRC on an ongoing basis. A three-year audit plan to address the risk profile has been developed, and includes the development of a fraud prevention plan, a corporate governance review, and an information technology audit. A report on the progress of these key areas is expected towards the middle of 2003.

Future developments

A telephone switchboard that spans all the HSRC sites is envisaged, and arrangements for its integration with the HSRC's national wide-area network have been discussed with Telkom. Also on the cards are proposals to refurbish the Pretoria office space to create a friendlier environment for employees, plus plans to renovate the exterior and improve safety within the building.

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OFFICE OF THE CEO



The office of the CEO consists of a small core of staff, providing strategic support to the CEO, the Council, and the organisation as a whole, and currently comprising the following components: Business Development, Corporate Communications, International Relations, Council Secretariat, Internal Audit and the HSRC Publishing Department.

The Business Development Unit enhances the capacity of the HSRC to attract outside funding, both from donors and from revenue-generating research. Its services have been central to the HSRC's greatly improved research earnings over the last three years.

At fortnightly meetings, the Director of the Unit provides the CEO, Executive Directors and their section heads with detailed information on tenders and funding opportunities. The Unit also gives administrative support on grant applications and contractual requirements, including copyright. By capturing information on submitted proposals and the external research funds achieved per Research Programme, the Unit helps the Council and research managers to monitor the overall achievement of external income targets, success rates and sources for external research funding, and to identify trends for future planning.

During the past financial year, the Business Development Unit recorded a total of 110 funding proposals, of which 50% were known to be successful by May 2003. The unit assisted in the submission of 73 competitive tender proposals of which 33% were successful by May 2003. Twenty-six proposals were prepared following a direct request from potential funders, and 81% of these proposals had been approved by May 2003. This shows a growth in the number of projects where the HSRC is seen as the "first port of call". Another eleven funding applications were submitted to international and national foundations or funding agencies in response to open calls for proposal. For this type of proposal, the HSRC had more freedom to identify the research question and associated methodologies. A remarkable 91% of these proposals were known to have been awarded by May 2003. This year-on-year improvement in successful applications to international and national foundations or funding agencies is illustrated in Figure 3 on page 90 of the Council's Report.

The Unit has also supported the CEO in the production of the periodic reports to the Minister and DST, the Minister's National Advisory Committee on Innovation, and the

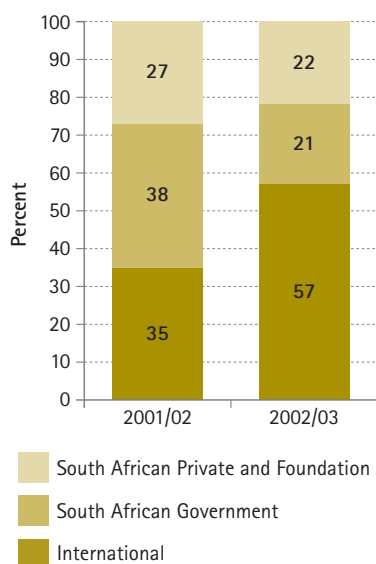


Figure H: Sources of research earnings 2001/02 and 2002/03



Moves towards achieving research co-operation between China and South Africa are part of strengthening ties. Years of discussion between the HSRC and CASS culminated in the signing of an agreement of research co-operation by Dr Mark Orkin, CEO (HSRC) and Professor Wang Luolin, Vice-President (CASS) (fifth from right) on 11 December 2002

Parliamentary Portfolio Committee, on the business plan for the annual budget and the three-year budget submission under the Medium Term Expenditure Framework.

Pending the appointment of a new Director of **International Relations**, the CEO's office has maintained networks of collaboration with research leaders and distinguished academics inside and outside South Africa. The HSRC and the National Research Foundation in South Africa, for example, convene an annual workshop with social scientists from the CNRS in France. In December 2002, the HSRC signed a memorandum of understanding with the Chinese Academy of Social Sciences (CASS). The Office of the CEO regularly hosts international visitors, including delegations to the DST and other Departments. It ensures that researchers are informed about opportunities for international collaboration, such as the EU Sixth Framework Programme.

The numerous visits of researchers to collaborators on projects and to present papers at conferences and workshops are arranged within the respective Research Programmes. Recent project-related visits together with funding partners were undertaken to international research counterparts in Finland and India. An HSRC contingent attended the 10th General Assembly of the Council for the Development of Social Science Research in Africa (CODESRIA) in Kampala, Uganda, in December 2002, and presented papers on the theme Africa in the New Millennium. Researchers at various levels also had the opportunity to participate in exchange and capacity-building programmes hosted by international counterparts.

The **Corporate Communications Unit** was re-established in

February 2002 and presented initial suggestions for the process of formulating a communications strategy to the CEO and Executive Directors in October 2002. The Marketing Manager of the HSRC Publishers assumed responsibility as part-time Acting Director of the Unit in December 2002, following the resignation of the Director.

During this reporting period, the Unit began improving communication between the various research and service divisions in the HSRC. It was heavily involved in the design of the new intranet and website. Investigations were commenced towards formulating an integrated communications strategy, including the planned "re-branding" of the organisation in 2004.

In March 2003, the first edition of the bimonthly newsletter, *HSRC Review*, was produced and mailed or e-mailed to nearly 8 000 stakeholders, members of national, provincial and local government, Parliamentary committees, media and all secondary schools in South Africa, and to collaborators and funders nationally and internationally.

Communications played a key role in several activities of the HSRC, including the HSRC exhibition at the World Summit on Sustainable Development (WSSD) in September 2002; the formal openings of HSRC offices in Durban in April 2002 and Bloemfontein in April 2003; the launch of the 2001/02 Annual Report of the HSRC; the organising and writing of material for the international conference on the Social Aspects of HIV/AIDS in September 2002 in Pretoria; and the AIDS and Fertility conference with the Department of Social Development in October 2002.

This unit also assisted in the formal announcements of new grants such as the W.K. Kellogg Foundation's Orphans and

Vulnerable Children project, and the release of the Nelson Mandela/HSRC study of HIV/AIDS in December 2002.

The Council Secretariat is responsible for arranging and documenting all matters of Council and its subcommittees, and also meetings of the CEO and Executive Directors, the Bargaining Forum of the HSRC management and Public Servant's Association and the research *lekgotlas* which take place twice a year.

The Secretariat also co-ordinates meetings of the new Research Ethics Committee, which was established in

November 2002 with a distinguished academic ethicist as chairperson. This committee examines and approves all research projects in advance, assisted by the Medical Research Council's recently published Guidelines on Ethics for Medical Research. These guidelines will be adapted to the HSRC's specific needs.

In 2002/03 the HSRC Publishing Department implemented its new not-for-profit publishing and dissemination strategy, making available the HSRC's output in both print and electronic form. A core internal staff of six were recruited, responsible for

Mrs Zanele Mbeki visited the HSRC exhibition stand in the South Africa Pavilion at the World Summit on Sustainable Development in Johannesburg in August 2002





Research outputs are disseminated both in print and electronically by the HSRC Publishers at www.hsrcpublishers.ac.za

the business management of the Publishing Department, the commissioning and quality control of all publications, and their editing, design and marketing.

Print, warehousing, distribution and sales representation functions were outsourced to three Cape-based companies. One of these was also tasked with the development and management of the Publisher's website.

In 2002/03, the Department produced 43 publications: 18 books (5 new and 13 reprints), 3 research monographs, 9 client reports and 12 occasional papers. Unless subject to client confidentiality, electronic versions – full or sample text – of the publications were produced simultaneously with the print versions and made available online. Sales of publications generated R557 000 in 2002/03. Turnover stemmed from the sale of 2 308 individual publications, sold through bookshops and ordered via the HSRC Publishing e-commerce enabled website, while an additional 3 400 units were sold by way of bulk and co-publishing deals with NGOs and overseas publishers. In total, 9 700 units were sold in 2002/03.

In the second half of the reporting year particular attention was paid to the publicising and marketing of the HSRC's research products, nationally and internationally. This included mounting exhibitor stands at the WSSD, the Zimbabwe Book Fair (finally held in Cape Town) and the conferences of a number of academic and other professional associations including CODESRIA. The HSRC was represented for the first time at both the London and Frankfurt Book Fairs as well as at the annual conference of the African Studies Association of North America. These visits facilitated the negotiation of co-publishing arrangements with international publishers and the initiation of a series

of discussions with a number of international distributors for the global distribution of HSRC publications. A finalised arrangement is anticipated in the forthcoming year.

A comprehensive list of HSRC publications is provided on pages 64 to 72 of the 2002/03 Annual Report. Statistics from the publications list are summarised in Table 4 on page 93.

The **Internal Auditor** reports directly to both the CEO and the Council's Audit Committee. The latter sets the Internal Auditor's annual work plan, which is executed with the assistance with private-sector partners.

The Treasury Regulations require that the internal audit should be risk-based. The 2002/03-audit plan is therefore based on the risk-assessment exercise conducted during 2001/02, and forms part of the three-year internal audit plan to address these risks. To implement the plan certain internal audit activities were contracted out to audit firms: the Information Technology (IT) Audit to MSGM Masuku Jeena and the Corporate Governance Review to Deloitte & Touche.

The Treasury Regulations also requires a fraud prevention plan be implemented as part of the risk-management strategy. This task has been contracted out to the Forensic Division of Deloitte & Touche. Most of the work in these focus areas has been completed.

This unit also attended to several compliance audits in the year, and *ad hoc* requests.

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HSRC INTERNAL SEMINARS SERIES

- March 2003. **Where have all the ambulances gone? The role of GIS in injury surveillance.** Mr Adlai S. Davids, SAMM.
- March 2003. **Dealing with the past in recent southern African political transitions: Comparing Mozambique, Namibia, and South Africa.** Professor John Daniel, D&G.
- February 2003. **What is the Centre National de la Recherche Scientifique (CNRS) and how can it act as a partner in international scientific co-operation and high level education?** Dr William Mourey, CNRS.
- February 2003. **Statistics and Slobodan: Using victim narratives and administrative data with demographic and multiple system estimation methods as evidence in the trial of former Yugoslav President Milosevic.** Dr Patrick Ball, Science and Human Rights Program, American Association for the Advancement of Science.
- February 2003. **Nelson Mandela/HSRC Study of HIV/AIDS.** Dr Olive Shisana, SAHA.
- February 2003. **Third generation issues in local government: What needs to be done to achieve developmental local government?** Dr Doreen Atkinson, D&G.
- January 2003. **SHARED briefing presentation.** Dr Stephen Chandiwana, SAHA.
- January 2003. **Democracy in southern Africa: Moving beyond a difficult legacy.** Professor Roger Southall, D&G.
- November 2002. **Can there be any universal children's rights? Some considerations concerning relativity and enforcement.** Dr Kristina Bentley, D&G.
- November 2002. **South Africa's further education/technical college responsiveness to the labour market.** Mr Botshabelo Maja, HRD.
- October 2002. **Who do we think we are, why do we need to know, and how can we find out? Experience from abroad for South Africa's social attitudes surveys.** Professor Roger Jowell, National Centre for Social Research, London.
- October 2002. **Seminar on fertility: Current South African issues of poverty, HIV/AIDS and youth.** Co-hosted by the Department of Social Development and the HSRC.
- October 2002. **Housing policy in a context of HIV/AIDS and globalisation.** Professor Richard Tomlinson, Graduate School of Public and Development Management, University of the Witwatersrand.
- September 2002. **The contribution of community arts centres to socio-economic development.** Dr Gerard Hagg, SCL.
- September 2002. **Is it African beer or municipal apartheid? An economic struggle in Mamelodi township.** Dr Moses Ralinala, D&G.
- August 2002. **In defence of freedom of expression: Deconstructing the case against Mbongeni Ngema.** Mr Mandla Seleokane, D&G, and Professor Kobus van Rooyen, Broadcasting Complaints Commission, South Africa.
- August 2002. **Quality education for all: UNESCO perspective.** Professor Vinayagum Chinapah, UNESCO, Paris.
- August 2002. **Alternative means of analysing cross-sectional data with time-dependent covariates: The case of age at first birth in South Africa.** Dr Acheampong Amoateng, CYFD.
- August 2002. **South African women: This far we have come.** Ms Nomboniso Gasa, writer and poet.
- August 2002. **From school to higher education? Factors affecting the choices of Grade 12 learners.** Mr Michael Cosser and Mr Jacques du Toit, HRD.
- August 2002. **Gender relations in a changing world: The UK experience.** Dr Madeleine Arnot, University of Cambridge, England.

July 2002. **More, better, different? Understanding private higher education in South Africa.** Dr Glenda Kruss, HRD.

July 2002: **Democratisation perspectives in Africa.** Professor Roger Southall, D&G.

June 2002. **Utilisation-focused monitoring and evaluation: Report-back from a seminar with Dr Michael Patton.** Mr Vinothan Naidoo, D&G.

June 2002. **The drugs-crime nexus: Issues and dilemmas in monitoring the relationship between drugs and crime in South Africa and elsewhere.** Dr Tony Emmett, CYFD, and Ms Gina Weir-Smith, SAMM.

May 2002. **Education in France: Thirty indicators on education systems.** Mr Paul Esquieu, Department for Programming on Development, French Ministry of Education.

May 2002. **Reference Manager software demonstration.** Dr Lucia Lötter, CS.

May 2002. **African Renaissance: Towards the development of a spatial information system for socio-economic development in Africa.** Mr Craig Schwabe, SAMM.

April 2002. **Understanding the structure of data when planning for analysis: Application of hierarchical linear models.** Dr Mbithi wa Kivilu, SAMM.

April 2002. **Technical workshop on analysing data from the October household survey.** Professors Barbara Anderson and John Romani, research fellows at the HSRC from the University of Michigan, Professor Heston Phillips, University of Pretoria, and Mr Johan van Zyl, IRRD.

April 2002. **Labour markets, rural development and poverty in Mozambique.** Drs John Sender and Chris Cramer, both of the School of Oriental and African Studies, London; and Mr Carlos Oya, Ministry of Planning and Finance, Department of Macroeconomic Planning, Maputo.

April 2002. **Creating and maintaining a master sample for longitudinal surveys: Some generic and HSRC-specific insights?** Dr David Stoker, consultant, and Dr Udesch Pillay, SAMM.

April 2002. **Assessment? Why and how?** Dr John James Barnard, Excel Psychological and Educational Consultancy (EPEC), Australia.

March 2002. **TEBA Development and its contribution to rural research and development.** Dr Dave Cooper and Ms Cindy Noble, TEBA Development.

March 2002. **Knowledge management: The challenges of managing large-scale data warehouse projects.** Drs Andre Kraak and Andrew Paterson, HRD.



Above, from left; Dr Janet Cherry (HSRC), Ms Percy Moleke (HSRC), Professor Cheryl-Ann Potgieter (University of Pretoria) and Professor Linda Chisholm (HSRC) at the HSRC's Women's Day celebrations on 8 August 2003





RESEARCH OUTPUTS 2002/03

Books, chapters in books and monographs

Published by HSRC Publishers

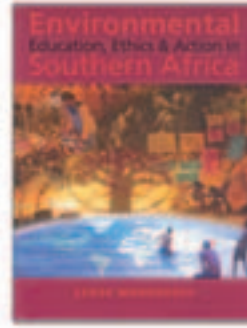
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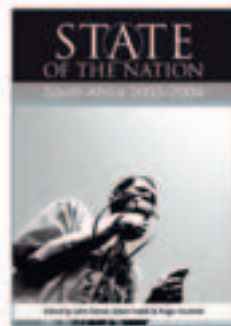
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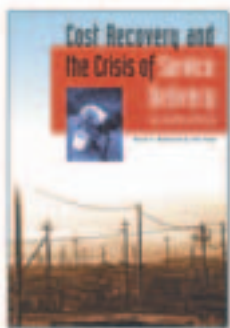
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ABBREVIATIONS

AHGI - Africa Human Genome Initiative	MEDUNSA - Medical University of South Africa
AMASA - Assessment of Maths and Science in Africa	MRC - Medical Research Council
AMI - Assessment Modelling Initiative	NACI - National Advisory Council on Innovation
ATEE - Assessment Technology and Education Evaluation	NEDLAC - National Economic Development and Labour Council
CGE - Computable general equilibrium	NEPAD - New Partnership for Africa's Development
CHIETA - Chemical Industries Education and Training Authority	NEUM - Non-European Unity Movement
CNRS - Centre National de la Recherche Scientifique (French National Centre for Scientific Research)	NGO - Non-Governmental Organisation
CODESRIA - Council for the Development of Social Science Research in Africa	NQF - National Qualifications Framework
COSATU - Congress of South African Trade Unions	NRF - National Research Foundation
CSIR - Council for Scientific and Industrial Research	NSI - National System of Innovation
CYFD - Child, Youth and Family Development	PFMA - Public Finance Management Act
D&G - Democracy and Governance	PMTCT - Prevention of mother-to-child transmission
DAC - Department of Arts and Culture	QLP - Quality Learning Project
DANIDA - Danish Agency for Development Assistance	R&D - Research and Development
DFID - Department for International Development (UK)	RBSD - Resource-based sustainable development
DPLG - Department of Provincial and Local Government	S&T - Science and technology
DoC - Department of Communications	SABS - South African Bureau of Standards
DoE - Department of Education	SADC - Southern African Development Community
DST - Department of Science and Technology	SADET - South African Democratic Education Trust
dti - Department of Trade and Industry	SAHA - Social Aspects of HIV/AIDS and Health
ED - Executive Director	SAHARA - Social Aspects of HIV/AIDS Research Alliance
EFA - Education For All	SAMM - Surveys, Analyses, Modelling and Mapping
EEPR - Employment and Economic Policy Research	SANLI - South African National Literacy Initiative
EMIS - Education Management Information System	SARPN - Southern African Regional Poverty Network
EPR - Education Policy Research	SCI - Social Cohesion and Integration
ETDP SETA - Education Training and Development Practices Sector Education and Training Authority	SETA - Sector Education and Training Authority
FAO - Food and Agriculture Organisation (UN)	SETI - Science, Engineering and Technology Institutions
FASSET - Financial Services and Management Sector Education and Training Authority	Sida - Swedish International Development Agency
FOSAD - Forum for South African Directors-General	SITES - Second Information Technology in Education Study
FET - Further Education and Training	SME - Small and medium enterprise
GTZ - Deutsche Gesellschaft für Technische Zusammenarbeit GmbH	SMMEs - Small, medium and micro enterprises
GIS - Geographical Information System	SSIP - Seychelles School Improvement Programme
HBU - Historically Black University	STD - Sexually Transmitted Disease
HE - Higher education	THETA - Tourism and Hospitality Education and Training Authority
HEMIS - Higher Education Management Information Systems	THRIP - Technology and Human Resources for Industry Programme
HRD - Human Resources Development	TIMSS-R - Third International Mathematics and Science Study-Repeat
HSRC - Human Sciences Research Council	TIPS - Trade and Industrial Policy Strategies
ICT - Information and communication technology	TVET - Technical and Vocational Education and Training
IEC - Independent Electoral Commission	UCT - University of Cape Town
IICBA - International Institute for Capacity-Building in Africa	UNAIDS - United Nations HIV/AIDS Programme
IRDP - Integrated Rural Development Programme	UNESCO - United Nations Educational, Scientific and Cultural Organisation
IRRD - Integrated Rural and Regional Development	UNICEF - United Nations Children's Fund
JET - Joint Education Trust	UNISA - University of South Africa
KM - Knowledge Management	USAID - United States Agency for International Development
LMA - Labour Market Analysis	VFR - Visit family or relatives
	WHO - World Health Organisation
	WKKF - W.K. Kellogg Foundation
	WSSD - World Summit on Sustainable Development



ANNUAL FINANCIAL STATEMENTS

31 March 2003

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ANNUAL FINANCIAL STATEMENTS

31 March 2003

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 2002/03 Annual Financial Statements set out on pages 78 to 117 were approved by the Council of the HSRC on 29 May 2003. In the Council's opinion the Annual Financial Statements fairly reflect the financial position of the HSRC at 31 March 2003 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.

A handwritten signature in black ink, appearing to read 'G.J. Gerwel', written over a horizontal line.

Professor G.J. Gerwel
Chairperson: HSRC Council

A handwritten signature in black ink, appearing to read 'F.M. Orkin', written over a horizontal line.

Dr F.M. Orkin
President and CEO

Pretoria, 29 May 2003



REPORT OF THE AUDITOR-GENERAL

to the Minister of Arts, Culture, Science and Technology on the financial statements and the performance information of the Human Sciences Research Council for the year ended 31 March 2003

1. Audit assignment

The financial statements as set out on pages 78 to 117, for the year ended 31 March 2003, 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 3 and 5 of the Auditor-General Act, 1995 (Act No. 12 of 1995) and section 13(3) of the Human Sciences Research Act, 1968 (Act No. 23 of 1968). These financial statements, the maintenance of effective control measures and compliance with the relevant laws and regulations are the responsibility of the accounting authority of the Human Sciences Research Council. My responsibility is to express an opinion on these financial statements, based on the audit.

The performance information contained in the Council's report for the year ended 31 March 2003 as set out on pages 78 to 100 is the responsibility of the accounting authority. My responsibility is to provide an assessment of the fairness and consistency of the performance information of the Human Sciences Research Council (HSRC) against the predetermined objectives set out in the Human Sciences Research Council's strategic plan. My role is not to express an opinion on the appropriateness and relevance of the performance measures themselves nor to evaluate or comment on the entity's actual performance.

2. Nature and scope

2.1 Audit of financial statements

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.

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

2.2 Audit of performance information

The Human Sciences Research Council has reported its performance on page 100 of its Council's report, under the title "Table 7: Performance targets". My assessment covers only that section, but does not include all other pages of the Council's report. To assess this additional information adequately would require a separate examination. I did review the entire report for consistency with the performance information.

I assessed the performance information against the entity's predetermined objectives set out in the Human Sciences Research Council's strategic plan.

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

3. Audit opinion

3.1 Audit of financial statements

In my opinion, the financial statements fairly present, in all material respects, the financial position of the Human Sciences Research Council at 31 March 2003 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).

3.2 Audit of performance information

In my opinion, the performance information furnished in terms of section 55(2)(a) of the Public Finance Management Act, 1999 (Act No. 1 of 1999) fairly presents, in all material respects, the performance of the Human Sciences Research Council for the year ended 31 March 2003 against predetermined objectives on a basis consistent with that of the preceding year.

4. Appreciation

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



N. Manik
for Auditor-General

Pretoria 28 July 2003



COUNCIL'S REPORT

for the period ended 31 March 2003

1. Mandate and objectives of the HSRC

The mandate of the Human Sciences Research Council (HSRC) is derived from the Human Sciences Research 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 with 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 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.

It is planned to revise the Human Sciences Research Act over the next year or two to align it with the recent strategic reorientation of the HSRC, as well as with the White Paper on Science and Technology, the national R&D strategy, other research-related policies and other relevant legislation such as the Public Finance Management Act (PFMA).

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 Arts, Culture, 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 CEO of the HSRC, on a five-year contract, and s/he serves as a further *ex officio* member.

More colloquially, and in this report, "the HSRC" is taken to refer to the wider organisation – including approximately two hundred and forty employees in five 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 Department of Science and Technology (DST).

2.2 Members of the Council

The present Council's term of office expires on 31 October 2003. The members of the Council during the 2002/03-period were:

- Professor G.J. Gerwel (Chair)
- Dr N.N. Gwagwa
- Ms N. Jordan
- Dr V.T. Maphai
- Professor W.E. Morrow
- Mr E. Motala
- Ms P. Ntombela-Nzimande
- Mr M.V. Sisulu
- Dr F.M. Orkin (President and CEO of the HSRC)

The Minister of Arts, Culture, Science and Technology appointed Professor W.E. Morrow, the Dean of Education at University of Port Elizabeth, to the Council during 2002. At the conclusion of the reporting period there were two vacancies on the Council.

In March 2003 the Minister called for nominations for suitable candidates to be considered for appointment to the next HSRC Council. The new Council's four-year term of office will start on 1 November 2003.

The Council met on 23 May 2002, 15 August 2002, 14 November 2002 and 3 February 2003.

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. On 15 August 2002 the Council accordingly approved written delegations to the CEO. These in turn provide the framework for delegations from the CEO to the Executive Directors (EDs), which will be finalised at the beginning of the 2003/04 financial year. By extension, there will be subsequent delegations from the EDs to Directors and other senior levels of staff, as appropriate.

The Council has no reason to believe that the HSRC will not be a going concern in the year ahead.

2.4 Subcommittees

The Council has five subcommittees: an Executive Committee, a Human Resources Committee, a Remuneration Committee, a Research Committee and an Audit Committee.

2.4.1 Executive Committee

On 31 March 2003 the Executive Committee comprised the following members:

Professor G.J. Gerwel (Chair)

Dr V.T. Maphai

Mr E. Motala

Dr F.M. Orkin (President and CEO)

The Executive Committee did not need to meet during the year under review.

2.4.2 Human Resources Committee

On 31 March 2003 the Human Resources Committee comprised the following members:

Dr V.T. Maphai (Chair)

Ms N. Jordan

Dr F.M. Orkin (President and CEO)

The Human Resources Committee met jointly with the Remuneration Committee on 23 May 2002, 15 August 2002, 14 November 2002 and 3 February 2003.

2.4.3 Remuneration Committee

On 31 March 2003 the Remuneration Committee comprised the following members:

Professor G.J. Gerwel (Chair)

Dr V.T. Maphai

Mr E. Motala

Dr F.M. Orkin (President and CEO)

The Remuneration Committee met jointly with the Human Resources Committee on 23 May 2002, 15 August 2002, 14 November 2002 and 3 February 2003.

2.4.4 Research Committee

On 31 March 2003 the Research Committee comprised the following members:

Professor G.J. Gerwel (Chair)

Ms N. Jordan

Dr V.T. Maphai

Mr E. Motala

Dr F.M. Orkin (President and CEO)

The Research Committee met on 5 August 2002 and 21 January 2003.

2.4.5 Audit Committee

The members of the HSRC Audit Committee are appointed for a calendar year. During 2002/03 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)

Ms P.N. Mnxasana, BCompt CA(SA) (until March 2003)

Mr R.J. Page-Shipp, MSc

The members of Council on the Audit Committee were:

Dr N.N. Gwagwa

Dr F.M. Orkin (President and CEO)

The Audit Committee functions in terms of the Public Finance Management Act (PFMA) and associated Treasury regulations. Although the Audit Committee has not yet adopted formal terms of reference as outlined in the *King Report*, it structures its activities and reporting according to a planned schedule. It reviews the periodic internal audit reports, the proposed budget for the year, quarterly and annual financial statements, the annual external audit report of the HSRC, and the annual report of key performance indicators; and reports on these at the ensuing meetings of the Council.

A strategic assessment of the HSRC's risk areas during its transition was conducted in 2001/02 under the guidance of the Audit Committee. It monitors risk management in the organisation on an ongoing basis (see section 7, below).

The Audit Committee submits a summary of its activities to the Council on a regular basis.

It met on 9 May 2002, 1 August 2002 and 24 January 2003.

2.5 Research Ethics Committee

The Council approved the establishment of a Research Ethics Committee (REC) in 2002. The REC has been mandated to approve the research ethics component of all HSRC research proposals from the start of the new financial year, that is, 1 April 2003. It will promote a culture of ethical conduct and research integrity in the HSRC and recognise the authority of Ethics Committees at other institutions to approve proposals on behalf of the HSRC where necessary. The REC has eleven internal representatives from the Research Programmes and five external members.

During 2002/03 the external Committee members were:

Professor Peter Cleaton-Jones – Wits Dental Research Institute (Chair)

Professor Martin Prozesky – Unilever Ethics Centre, University of Natal

Dr Percy Mahlali – Senior Technical Advisor to the Director-General of the Department of Health

Ms Khanyisa Nevhutalu – Ethics Institute of South Africa

Dr Martin Bulmer – University of Surrey, UK

The deputy chairperson of the Ethics Committee is Professor Linda Richter, a research executive director in the HSRC.

The HSRC's newly established Research Ethics Committee held its first meeting on 27 November 2002. It met again on 12 February 2003 and 12 March 2003.

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 were requested to provide additional advisory services to the HSRC on the basis of their professional specialities, they were reimbursed in accordance with the professional advisory fees recommended by the Auditor-General.

2.7 Council members' interest in contracts

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

2.8 Losses, irregularities and other matters

No instances occurred as referred to in Section 55(2)(b) of the PFMA. The organisation did not suffer any material losses through criminal conduct nor any irregular expenditure, fruitless or wasteful expenditure that occurred during the financial year; thus there were no criminal or disciplinary steps taken as a consequence nor were there any losses recovered or written off.

2.9 Overview of the Council's four-year term

The present Council of the HSRC was appointed on 1 November 1999, and its term of office expires on 31 October 2003. This Council, with its relevant subcommittees, carried considerably more responsibilities and accountability for the overall performance of the HSRC than its predecessors, following the promulgation of the Public Finance Management Act (PFMA) in 1999, as well as the integration of principles of the two *King Reports on Corporate Governance* into the terms of reference of governing bodies of public entities. With its emphasis on outputs and responsibilities, rather than a rule-driven approach, the PFMA and related policy documents placed an increased emphasis on improving corporate governance compliance, overall strategic guidance and risk monitoring.

When appointed, the new Council of the HSRC faced a number of strategic challenges:

- The HSRC was facing a declining trend in real Parliamentary income and a low level of research earnings as well as a sub-critical mass of researchers.
- The 1997 international review of the HSRC as well as the 1998 system-wide review of Science, Engineering and Technology Institutions under the auspices of the Department of Arts, Culture, Science and Technology had noted that the HSRC was inwardly-focused, overloaded with administrative staff, beset by cumbersome procedures and producing research of uneven quality and relevance. The corresponding recommendations needed to be operationalised, prioritised and implemented within the organisation, and in line with the broader context of S&T policy developments and national priorities.
- A new President and CEO for the HSRC needed to be appointed, following a period of uncertainty with acting and interim appointments made by the previous Council.

The 1999 Council consisted of eleven members, including the Council Chair, Professor Jakes Gerwel, and the Interim President, Dr Mokubung Nkomo. It lost three members in the course of the three years; two (Professor Colin Bundy and Professor Motsaidi Moeti) because of career moves to other parts of the world, and one because of the appointment of Dr Mark Orkin, originally serving as Council member, into the position of President of the HSRC. The Minister of Arts, Culture, Science and Technology appointed one more member of Council, Professor Wally Morrow, during 2002/03.

Despite its reduced capacity in terms of numbers, the HSRC Council set the frameworks for, achieved and monitored the achievement of, an extensive range of strategic objectives set for the HSRC during the early stages of its term of office. This was assisted by the blend of skills and experience among Council members. Although the objectives and functions of the Council are prescribed in the Human Sciences Research Act, the Council has regularly reflected on its duties and direction, as well as the appropriate execution of its mandate in the context of South Africa's development challenges as part of the responsibilities of corporate governance. It has requested a meeting with the Minister of Arts, Culture, Science and Technology to pass on lessons learned through its four-year term of office, and to indicate its commitment to support the work of the next Council of the HSRC.

Key achievements and developments during the Council's term are outlined below. More detail is available in the four annual reports produced during the Council's term.

A first-phase transformation plan approved by the Council, in response to recommendations contained in the SETI reviews and a subsequent Cabinet Memorandum, was implemented in April 2000. On the management's assessment of the employment capacity of the HSRC with a diminishing Parliamentary grant, 37 employees were retrenched from the support groups and 32 from the research groups.

Shortly after its inception, the new Council embarked on a process to appoint a permanent President of the HSRC. The position had been vacant for two years. Following a competitive selection process, including participation by HSRC stakeholders and staff, the Council appointed Dr F.M. Orkin as President and CEO of the HSRC, effective from 1 August 2000.

The HSRC thereafter accelerated its transformation, primarily by seeking to respond to the changing needs of major Government users for policy-relevant social research, and to changes in the National Science and Technology environment.

Following consultations with the HSRC's research and support divisions, as well as stakeholders represented by the Council, a new vision was clarified, "social science that makes a difference", complemented by a five-part COUPE strategy: **C**ontracts and grants, **O**utreach to collaborators, **U**ser needs, **P**erformance in terms of equity and of efficiency, as well as **E**xcellence of scientific outputs and publications. In this way the vision of the organisation could be operationalised and implemented in a captivating way. The COUPE strategy is monitored through key performance indicators, both quantitative and qualitative.

In 2000/01 the HSRC resolved upon a further three-pronged organisational transformation exercise that was implemented in 2001/02. The previous three research groups were replaced by ten problem-orientated, interdisciplinary "new priority areas", or NPAs, working in co-operation with one another. The NPAs were subsequently renamed Research Programmes. The existing sixty researchers chose locations in the Research Programmes. The recruitment or promotion of research leaders was followed by a rapid ontake of research specialists and additional junior researchers and interns, as earnings rose rapidly from the successful pursuit of tenders as well as local and international foundation grants. Suitable recruitment allowed the percentage of black researchers to increase from 36,3% in March 2000 to 47,7% in March 2003. At the same time, the percentage of research staff (excluding research interns) with masters and doctoral degrees increased from 67,8% in March 2000 to 91,2% in 2003.

This re-orientation and expansion of the research capacity has equipped the organisation to handle applied research across almost the entire spectrum of policy-relevant social science, especially for government departments and other public-sector users. It augments this capacity by extensive collaboration with other research organisations, enabling the undertaking of multi-country, multi-year, large-scale research projects.

A second aspect of the transformation was to re-open premises in the major metropolitan areas, where research leaders made themselves available to join the organisation. By March 2003, three of the Research Programmes were headed from Cape Town and one from Durban, and the offices were soon complemented with new, smaller offices in Bloemfontein and Port Elizabeth. The five centres are well placed for researchers in major metropolitan areas, as well as the supervision of fieldwork. Communication amongst centres was established by the installation of video-conferencing facilities and a wide-area computer network.

Thirdly, the Council addressed the imbalance between the proportion of administrative and research staff that had been identified by the 1997 review. A new, reduced and re-conceived administrative structure was identified in line with international benchmarks, and the reduction of the administrative staff from 140 to 93 was extensively consulted with the Staff Union. Recruitment into the vacancies allowed the representation of black staff in support services to increase from 45,5% in March 2000 to 59,8% in March 2003.

The proportion of women in management (director level and above) across the organisation increased from 27,3% to 32,1% over the same period. Representation of disabled people, however, has not yet reached the public sector target of 2%.

At its quarterly meetings, Council monitored regular performance, financial and audit reports received from the CEO and members of the HSRC's management. It debated progress, and made and requested reflection on broader organisational priorities and conceptual tensions: notably how to ensure a balance between income-generating, responsive research and reflective, pro-active, critical research; how to ensure that the imperatives of organisational development and transformation remain sustainable; how to procure access for marginalised communities; and how to rise to the challenges of NEPAD. The Research subcommittee engaged critically with these strategic issues in meetings with researchers, strategic planning *lekgotlas* and research conferences of the HSRC.

Among subcommittees required in terms of the PFMA and related legislation, the Council's Audit Committee, chaired by an external expert, Mr Sikkie Kajee, has introduced the concepts of risk management, self-evaluation and ongoing emphasis on accountability in terms of financial and institutional performance.

Council also approved the establishment of an HSRC Research Ethics Committee, to discuss and provide ethical guidance, in response to submitted research proposals involving human subjects. This independent committee consists of experts from within and outside the HSRC, and complies with international standards of institutional ethical practice.

Following the amalgamation of the HSRC's Staff Union with the Public Servant's Association (PSA), the HSRC management and the Union signed a Recognition Agreement in May 2002 to give the latter collective bargaining rights. The HSRC management and the PSA thereafter negotiated a collective agreement signed in February 2003 in respect of implementing new

integrated terms and conditions of service for HSRC staff. At the same time, remuneration packages for all staff on a cost-to-company basis were introduced.

Improved performance management documents and process, including new key performance areas for researchers, was undertaken in time for the latest appraisal of staff. Management and the Union have undertaken to discuss the overall performance system subsequently.

Early in 2003 Council, following some initiatives by management and the interventions by the Union, identified four pillars to enhance and accelerate the transformation of the organisation:

- professional development, training and support of staff;
- improvement of representivity;
- a strategy to improve internal and external communication; and
- representation and participation of researchers in decision-making forums.

Frameworks for implementation in each respect have been developed for Council's approval, after inputs from research Executive Directors and the Union.

With the foregoing measures, the Council hopes it has addressed most of the deficiencies identified in the 1997 review, and hands over to its successors a reshaped, relevant, energetic, high-quality national resource.

However, despite the large achievements of the organisation during Council's term of office, there is no reason to become complacent. Some performance targets set for the organisation have been attained. Others have been improved on but not yet fully achieved, such as the employment of black and especially African staff at the senior researcher levels of the organisation. This is a challenge facing many other research institutions and the public sector generally. Council has encouraged the HSRC management to focus strongly on development programmes that will build up representivity and participation of all population groups, and has monitored progress closely in this regard.

Both the level and choice of other targets and objectives need to be reviewed constantly, because an organisation such as the HSRC has to remain dynamic in a changing environment. For example, research quality has initially been monitored through the number of publications in peer-reviewed journals. While this has secured a necessary improvement in output, the measure can perhaps now be refined appropriately.

The Council has, itself and in engagement with seminars of researchers, periodically debated the changing balance in kinds of funding, and its possible implication for the research undertaken, the role of critical social enquiry, and the accessibility of the Council's services to different sectors of HSRC users. It has stressed the need for the organisation always to examine its own research thoroughly, to sustain work that is in the interest of long-term development as much as short-term imperatives, and also to ensure that research findings are communicated widely and to various publics.

Handover challenges to the new HSRC Council include the interpretation and implementation of recommendations from the forthcoming institutional review, the installation of a new management information system to cope with the greatly increased volumes of work, as well as updated legislation to replace the current Human Sciences Research Act, and decisions on a new name and identity for the HSRC.

To conclude its four-year term overview, Council wishes to acknowledge the outstanding work of the CEO and the energy and dedication of himself, his research and support management teams, and all the staff, which has gone into achieving the goals of the HSRC and transforming it into what it has become. It also records its appreciation for the punctilious way in which Council's secretary, Ms Jurina Botha, has discharged her work.

3. Organisational developments

Far-reaching restructuring of the administration of the HSRC and the transformation of its research components were undertaken during 2001/02, as described in the previous Council's Report. The 2002/03 reporting year has seen organisational consolidation and rapid growth in research activity, in implementing a new vision and associated strategy for the organisation. These broad developments are outlined in the remainder of section 3. The expansion of research, and the changing balance of contracts and grants, are presented in sections 4 and 5. Section 6 provides an overview of the growth and composition of the HSRC's staff complement.

3.1 Background: Strategic direction

Following the appointment of the current HSRC Council in 1999 and the CEO in 2000, the HSRC accelerated its transformation in response to the evident needs of major Government and public sector users for policy-relevant social research, and the priorities of the National Science and Technology Framework.

On taking office in August 2000, the CEO introduced the vision of "social science that makes a difference". After consultations with HSRC research and support divisions as well as the Council and other stakeholders, the HSRC's five-part COUPE strategy was developed, by which the vision was to be achieved, and financial and organisational sustainability assured. The five components of the acronym are:

- Increasing **contract** research earnings and research grants in line with annual targets – achieved especially through large-scale, multi-project, interdisciplinary research programmes – to ensure the HSRC's financial sustainability.
- Undertaking assertive **outreach** to universities, NGOs, and other research entities, locally and internationally, to secure their collaboration in these programmes and their component projects.
- Focusing the programmes on the needs of **users** – especially of public-sector entities and Government Departments at national, provincial and local level – for policy-relevant research and implementation monitoring.
- Enhancing organisational **performance** in line with key performance indicators, through capacity-building, appointing more senior and representative staff, and modernising support functions.
- Achieving **excellence** in research through scholarship, publications, debate and professional engagement.

The COUPE strategy is monitored through key performance indicators (KPIs) for the organisation, both quantitative and qualitative, developed within the "balanced scorecard" framework at the instance of the DST. The set of quantitative indicators is tabulated in section 9, and a subset of seven key indicators and associated targets is covered each year in the message from the CEO.

The relevance of the measures is scrutinised each year by the HSRC Council and its Audit Committee. Annual self-assessments on these KPIs are done, with reporting to the Minister's National Advisory Council on Innovation, via the DST.

Late in 2002/03 Key Performance Areas (KPAs) for researchers at the various levels were established, organised under the COUPE framework, for use in the performance appraisals early in the forthcoming year. KPAs for administrative staff positions had been established previously, during the restructuring. In this way, the annual setting and subsequent monitoring of objectives for staff is aligned to the strategic focuses of the wider organisation.

3.2 Consolidation of the organisation's administration and infrastructure

Building on the comprehensive restructuring during the previous reporting period, the administrative components were consolidated in the current financial year and a start was made on new management systems.

New senior appointments were made to fill the vacancies in Corporate Services that existed at March 2002. Directors for IT and Finance were appointed, as well as a new director for HR. The Marketing Manager of HSRC Publishers was seconded in a part-time capacity to act as Director of the Corporate Communications Unit, and performance-based internal promotions led to the appointment of the heads of Business Development and HSRC Publishers as Directors.

The rapid expansion of the organisation and new offices across the country required more modern, effective and IT-based service delivery from the administrative components. Following a planning workshop with research Executive Directors in September 2002, Project Phoenix was launched – a consolidated attempt to meet immediate internal user needs by significantly improving service delivery in three key areas: IT infrastructure, websites and management information.

The IT infrastructure was improved by increasing bandwidth between offices, deploying new file servers, installing new software and outsourcing elements of IT support that required a national presence. The HSRC's websites – on the Internet as well as the intranet – were thoroughly redesigned. The websites are now easier to navigate, look more appealing, and users have access to richer and more up-to-date content. Information management was improved by providing online access to financial reports extracted from the finance database, and by posting electronic templates, corporate stationery, and various other guides and forms on the intranet to assist with the preparation of proposals, research reports and other aspects of project administration.

Project Phoenix also provided a foundation for the intended HSRC enterprise management system. Business processes were documented, infrastructural weaknesses identified and mechanisms put in place to improve the flow of information

– prerequisites to the subsequent introduction of the new system.

As the third aspect of Project Phoenix, the Library and Information Services of the HSRC were radically updated to meet the changing requirements of the organisation. Introduced by the new Head and Deputy Head, the HSRC's new virtual library is now accessible to researchers working from the different research offices. An information portal was developed to provide easy access to the HSRC library catalogue, electronic databases, newspapers and other reference sources, e-journals (with over 30 000 full-text journal articles available) as well as Government publications. Other changes implemented during 2002/03 included strengthening of the social science collection in the form of printed and digitised documents, partnership arrangements with other institutions, engaging in knowledge management activities including the maintenance of the HSRC intranet and a research outputs database, applying communication technologies to enhance service delivery, and ongoing staff development.

HSRC staff voted in favour of amalgamating the existing staff association into the Public Services Association (PSA) during 2001/02. Following detailed negotiations with the Union, a recognition agreement was signed on 9 May 2002.

Thereafter, comprehensive new terms and conditions of employment of HSRC staff were also negotiated with the Union. The collective agreement in this regard, signed in February 2003, introduced remuneration packages for all staff, on a cost-to-company basis. Historical imbalances with regard to medical aid and housing subsidies were addressed in the subsequent integration of salary scales. The leave system was modernised to use calculations based on working days as opposed to calendar days, and to provide market-related sick leave. The arrangements for accumulated vacation leave were tightened to encourage staff to take this leave. At the same time, improved study leave benefits were introduced.

These changes enabled the organisation to achieve payroll equity in terms of gender as well as race, to reduce future liability in terms of potential leave pay-outs, and to ensure that institutional support for staff development was strengthened. Agreement was also reached on once-off pay-outs to affected staff *in lieu* of adjusted leave benefits, after Council, via its Audit Committee, approved both the proposed terms and conditions and the associated payments.

In terms of labour relations, three retrenched employees, retrenched during the 2001/02 restructuring, referred their case to the CCMA. Two further cases from yet earlier restructuring of the organisation are in process. A member of the research staff was dismissed on grounds of under-performance.

In response to the dismissal and the rapid changes underway in the organisation, the Union held a general staff meeting in September, where concerns with the proposed new conditions of employment, the degree of autonomy of Executive Directors, and progress on race representivity were raised, to be communicated to management. Management took up these issues in discussions with the Union, at the same time as the Union requested the Minister and Council to keep oversight of the process. An *ad hoc* committee of Council subsequently had discussions with management and Union representatives.

Council decided that documents should subsequently be submitted to it covering necessary developments, some already underway, in three main respects: trends and measures regarding the improvement of representivity, including the expansion and update of the HSRC's employment equity policy; arrangements for the professional development of staff; and means of improved internal communication. The latter would include a development previously suggested by the EDs to Council, the establishment of a researcher forum to enable greater involvement of the wider body of researchers in relevant aspects of HSRC decision-making.

3.3 Management, communication and monitoring systems

The cycle of regular meetings previously initiated among Research Managers and their counterparts in Corporate Services has been systematised and adapted during the review period.

Executive Directors held monthly ED workshops. Following a strategic planning session near Stellenbosch in June 2002 to clarify how the CEO and EDs could best organise their collaboration, the monthly agenda was specifically structured to ensure coverage and subsequent uptake of matters requiring attention. Part of the agenda is reserved for a major policy discussion, such as shaping a professional development strategy for the organisation. Another part is linked to the business of the intervening meetings of the Council and to the periodic submissions to the Minister of Arts, Culture, Science and Technology, his Department and his National Advisory Council on Innovation, and the counterpart Parliamentary Portfolio Committee. Yet other parts deal with periodic reports, such as the financial situation; and organisational learning, such as delegations.

There were also fortnightly sessions among the top thirty to forty Research Managers to share new contacts, review tender opportunities, and consider the volume of work and other organisational demands on the research sections.

Well-attended research seminars were held almost weekly, some also attended by interested staff from Government Departments, NGOs and higher education institutions.

Two large *lekgotlas* were held before year-end to review major user needs, to plan and prioritise Research Programmes' and projects' responses, and to consider the overall budget envelope. Members of the Council's Research Committee met with EDs and senior researchers in two sessions, before and at the end of this planning process, to set some broad parameters of the work programme and discuss questions related to the nature, purpose and emphasis of the HSRC's social science research. 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 review panels, with outside experts, to scrutinise major projects drawing upon the Parliamentary grant.

The CEO addressed all staff early in the year on the Business Plan for the year that had been submitted to the Minister of Arts, Culture, Science and Technology as well as on other matters of corporate interest. The presentation was repeated in the new Cape Town and Durban offices, as an opportunity for him to meet new staff there. 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 was re-introduced.

By the end of the review period, four of the eleven Research Programmes were headed out of the Cape Town and Durban offices. Further, smaller offices had been opened in Bloemfontein and Port Elizabeth. The official launch of the Bloemfontein office was envisaged for the coming year. With the Pretoria office, these locations also serve for the co-ordination of fieldwork teams for surveys using the HSRC's new master sample.

The five offices are conceived as sites of a single national HSRC presence. Video-conferencing was introduced to be able to sustain the meetings and seminars mentioned above, as well as convenient interactions among members of project teams from different sites, on a national basis but without excessive air-travel. A telephone switchboard that spans all the sites is envisaged, and arrangements have been discussed with Telkom for it to be integrated with the HSRC's national wide-area network.

3.4 Developments in the Research Programmes

The structure and leadership of the eleven Research Programmes is shown in Table 1:

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	DE&G	Professor Roger Southall
Employment and Economic Policy Research	EEPR	Dr Miriam Altman
Education Policy Research	EPR	Dr Mokubung Nkomo
Human Resources Development	HRD	Dr Andre Kraak
Integrated Rural and Regional Development	IRRD	Mr Mike de Klerk
Knowledge Management	KM	Dr Michael Kahn
Social Aspects of HIV/AIDS and Health	SAHA	Dr Olive Shisana
Social Cohesion and Integration	SCI	Professor Wilmot James
Surveys, Analyses, Modelling and Mapping	SAMM	Dr Udesch Pillay

Table 1: Research Programmes

By 1 April 2002, all eleven research Executive Directors (EDs) had been appointed. Approval was subsequently granted for Dr Mokubung Nkomo, ED for EPR, to accept a majority-time secondment to the University of Pretoria. Professor Linda Chisholm became acting ED of the Research Programme.

During 2002/03, research EDs were able to develop and grow the New Priority Areas (NPAs) for research, subsequently renamed Research Programmes. Within some of them, substructures or units were identified, and research directors or chief research specialists were assigned to lead them. New research staff were recruited in areas requiring additional capacity. New administrators within the Research Programmes were appointed and trained to undertake the significant financial, operational and reporting activities at project and programme level. The next section contains more information on trends and developments in the Research Programmes, and their detailed activities are covered in the front section of this Annual Report.

By March 2003, the end of the reporting period, the number of researchers had grown from 99 to 130. This meant that researchers increased from 52% to 56% of all staff. The new appointments were mostly at Specialist Researcher level, improving qualification and experience levels overall.

At the same time, junior researchers were appointed in contract positions of one to three years, in new project-based research-internship programmes in several of the Research Programmes. Junior researchers were involved in research projects and benefited from mentoring from experienced researchers while pursuing their own formal studies.

The growth at Specialist level, together with the inception of the internship schemes, meant that the proportion of Specialists in the researcher complement remained at approximately two-thirds. The improvements in the proportions of black and female researchers are dealt with in section 6.

The eleven Research Programmes were set up to be multidisciplinary, cross-cutting and flexible and orientated 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 HRD and EEPR on the *Biennial Directory* (funded by the ring-fenced DST grant); CYFD, SAHA and SAMM on the SABSSM study (funded by the HSRC, Nelson Mandela Children's Fund and other donors); and EPR, SAMM and ATEE on the rural education project (funded by the Nelson Mandela Foundation). Inter-institutional collaboration has also been maintained in a majority of projects, and is discussed subsequently.

Planning for the forthcoming institutional review was the responsibility of a team consisting of a member of Council, ED and Senior Researcher representatives, the CEO and staff in the Office of the CEO. During 2002/03, the draft terms of reference for members of the review panel were approved by Council and made available to people nominated to serve on the panel. Membership of the panel was also finalised after seven of the nominees accepted their invitations. The panel will consist of experts from South Africa, elsewhere in Africa and abroad.

4. Review of research activities

The purpose, activities, users and impact of many of the research projects carried out by the eleven Research Programmes of the HSRC are given in the Highlights near the beginning of the Annual Report, and in more detail 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, improvements in the composition of the external earnings, trends in the mix of projects by size, 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 described in section 3.1 seek to assure the financial sustainability of the HSRC by focusing on tenders and grant applications for large-scale applied social research projects. It follows that a key indicator of the HSRC's progress (among the many measures covered below in section 9) is the level of earnings from such contracts and grants. 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 R6m in 1999/2000, through R16m in 2000/01 – when COUPE was

initiated – to R28m in 2001/02 and R61m in 2002/03, the year under review (including a R5m special grant for the national HRD project). The gold bars in Figure 1 illustrate the trend of three consecutive years of strong growth in research earnings.

The research earnings level of R61m for 2002/03 is noteworthy in three respects: it represents a 114% nominal increase over the previous year; it considerably exceeds the target of R45m; and for the first time it approximately equals the Parliamentary grant income. The latter is shown for recent years in nominal terms by the grey bars in Figure 1. The projected research-earnings target for 2003/04 is also shown.

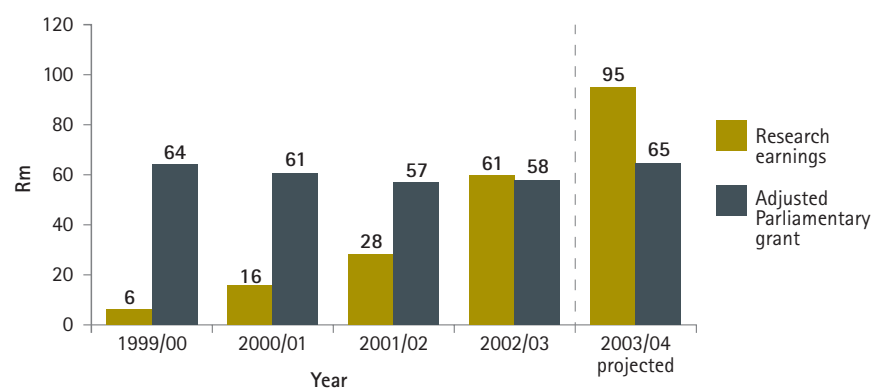


Figure 1: Research earnings vs. Parliamentary grant (in nominal rands)

The Parliamentary grant, assigned in terms of the Government's Medium Term Expenditure Framework, was R60,087m for 2002/03 (excluding the R5m ring-fenced amount for the national HRD strategy), compared to R60,492m in 2001/02. In other words, the Parliamentary grant for 2002/03 was held roughly constant in nominal terms compared to the previous year, and did not allow for inflation.

As shown in Table 6 in section 5, these figures then have to be adjusted for deferred income regarding depreciable assets and approved project roll-over.

The adjusted Parliamentary grant for the year 2002/03 is R58,505m, shown in the top row of Table 2 below (and compared there to R56,713m for 2001/02). The HSRC uses this funding to undertake projects that anticipate research needs, handle tasks for sectors or communities of users that cannot afford to commission work, leverage donor funds in shared undertakings, create infrastructure, build external networks and internal capacity, and update technology.

The research income from contracts and grants of approximately R61m mentioned above appears in Table 2 as two separate lines: Contract income (including foundation grants etc.) of R56,179m, and the special HRD project grant of R5m. In addition, Table 2 shows that the HSRC receives income from various other sources: notably commercial services of R2,537m, as well as product sales, rent and interest.

When all these revenues from sources other than the Parliamentary grant are summed, and taken as a share of total HSRC revenue, the proportion is found to have increased for each of the past three years, from 31,1% through 44,0% to 57,6%.

This increased reliance on income sources other than the Parliamentary grant enabled the HSRC to expand its researcher capacity to be able to respond to a broader range of current and anticipated user needs. However, the HSRC remains mindful of risks associated with setting unrealistic external income targets and taking on an unsustainable permanent research complement. Both aspects of risk will continue to be closely managed.

Although it will be seen in section 4.2 below that the HSRC only wins a proportion of the tenders it applies for, and does not apply for innumerable other tenders, the size of the likely market for applied social science 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.

Funding Source	2002/03			2001/02	Variance
	Budget	Actual	Variance	Actual	Actual
			Actual vs. Budget		2001/02 vs. Actual 2002/03
	R'000	R'000	%	R'000	%
Parliamentary grant	59,776	58,505	-2%	56,713	3%
Utilised for Research		51,392		24,320	111%
Utilised for Institutional Costs		8,695		36,172	-76%
Deferred Income		-1,582		-3,779	100%
National HRD Project	5,000	5,000	0%	5,000	0%
Contract Income	36,868	56,179	52%	23,158	143%
Commercial Services	1,545	2,537	64%	3,620	-30%
Rent Received	6,787	7,419	9%	6,986	6%
Profit from Sales	1,440	1,969	37%	1,674	18%
Investment Income	2,000	4,081	104%	2,816	45%
Other Income	1,584	1,147	-28%	1,236	-7%
Total Income	115,000	136,837	19%	101,203	35%

Table 2: HSRC income for 2002/03 and 2001/02

Profit from sales covered books, computerised programmes and tests. They increased compared to 2001/02. This growth rate is largely due to a new approach to publishing, discussed in more detail in section 4.5. The sales of tests in which the HSRC has no research interest are to be relinquished to retail agencies following a tendering process, as part of the organisation's sharper strategic focus.

The value of research funding newly awarded from contracts and grants during 2002/03 across the eleven Research Programmes approached R150m in value. However, many of these contracts were for multi-year projects, with amounts to be received and spent in subsequent years. The largest example is a R53m grant received from the W.K. Kellogg Foundation, to be used over five years.

Another example is the ring-fenced amount of R5m per year, for three years, granted to the HSRC by DST. The ring-fenced amount was allocated to fund a decision-support platform for the national Human Resources Development strategy, and the 2002/03 year saw its second year of funding. These longer-term contracts bode well for the meeting of future earnings targets.

4.2 Changing composition of research earnings

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 – user-defined and with predetermined closing dates – are also predominantly issued by publicly-funded agencies. Usually working in conjunction with external collaborators, the HSRC submitted 73 proposals of this kind during the 2002/03 financial year. The success rate, on information available at May 2003, was 33%. This is in line with international standards for similar development-research organisations. This rate is one of the half-dozen key indicators tracked by the CEO in his introduction to the Annual Report.

More recently, 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. Some 37 funding applications of this kind were submitted in 2002/03, of which 84% were known to be successful by May 2003.

Twenty-six of the tender or grant applications were prepared at the request of the potential funder – a clear indication that the HSRC is increasingly being considered a “first port of call” by its users. Of these, 81% were known to be successful by May 2003. The overall success rate of 110 proposals submitted during 2002/03, as known by May 2003, was 50%.

The rising blue and red lines in Figure 2 show the increases in the proportions of HSRC research earnings from researcher-initiated foundation funding, and from approaches to the HSRC by funders. (By contrast, the green line shows how income from tenders has levelled off in the latest financial year.)

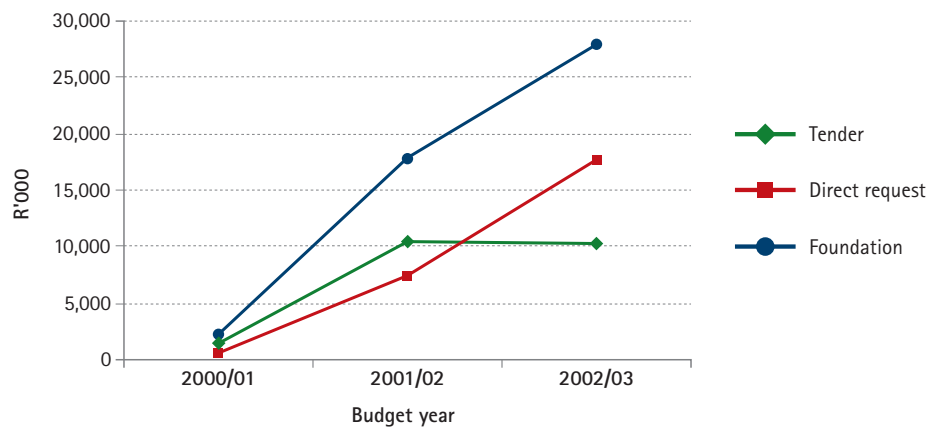


Figure 2: Categories of external research earnings

These changing proportions have helped the HSRC to maintain a sound balance, as it has expanded, between longer-term research orientated to national priorities and shorter-term consultant-type research work driven by the immediate needs of the market. The national R&D strategy issued by DST in 2002 noted the importance of maintaining this balance, at the same time as the HSRC Council’s Research Committee (see section 2.4.4) engaged HSRC management and senior research staff in deliberations on the issue in a special seminar in August 2002.

A corollary of the increase in foundation grants is that a rising proportion of the HSRC’s external research income comes from international sources. 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 in tertiary institutions and NGOs. The red line in Figure 3 shows how the level of external income from international sources has risen over the last two financial years to match that from local sources.

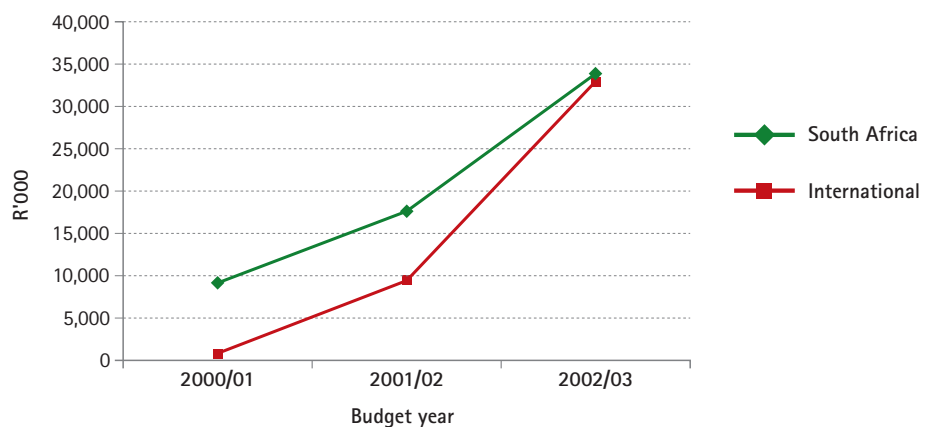


Figure 3: SA vs. international sources of external research funding

The increased volume of work brought has been handled partly by the extended complement of senior researchers, but also by taking advantage of partnerships with universities and technikons, research NGOs, and private sector consultancies. These relationships are described further in section 4.4.

At the same time as enhancing the HSRC's financial sustainability, the focus on tenders and grants described in this section helps to ensure that the HSRC's social science "makes a difference", by both assuring the relevance of the organisation to its users and enabling it to extend the range and quality of its services to them.

4.3 Nature and distribution of research projects and external earnings

During 2002/03, 250 research projects were running, compared to 137 in the previous financial year. Of these, 138 (as against 57) were completed within the year. This increase in smaller, short-term projects may be related to the large number of highly qualified new researchers joining the HSRC. Some of these smaller projects were legacy projects that needed to be completed; others represent responses to requests for short-term, specialised, policy-relevant advisory services; and yet others represent more new, extended, large-scale projects. In addition, the 2002/03 year also saw the introduction of smaller projects funded by the Parliamentary grant specifically for the preparation of scientific publications, as encouraged by the COUPE strategy to advance scientific excellence.

However, it remains the case that 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 12 largest projects funded entirely or largely by external funds or grants, initiated or continued by the HSRC during 2002/03. The total of the amounts earmarked for the year corresponded to well over half of the R61m research earnings. 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 partly a product of the outreach element of the COUPE strategy, discussed in the next section, and enabled by the excellent networks of the HSRC research leaders.

Project	Funder	Rm 2002/03
HRD ring-fenced grant from DST	Department of Science and Technology	5.0
Quality Learning Project (QLP)	JET Education Services, funded by National Business Trust	4.5
Strategy for the care of orphans and vulnerable children in Botswana, South Africa and Zimbabwe	W.K. Kellogg Foundation	4.3
Southern African Regional Poverty Network (SARPN)	Department for International Development (UK)	4.3
SABSSM Survey: HIV Survey	Nelson Mandela Children's Fund and Nelson Mandela Foundation	3.4
District Development Support Programme (DDSP) Assessment Modelling Initiative (AMI)	Research Triangle Institute, funded by USAID	3.2
National R&D survey (Frascati survey)	Department of Science and Technology	3.0
Master Sample	Swiss Development Co-operation	1.9
Birth to Twenty study	Wellcome Trust	1.8
Impact of HIV/AIDS on the Health Sector	Centers for Disease Control (CDC), via national Department of Health and Medunsa	1.5
Private Higher Education in South Africa	Ford Foundation	1.5
CHAMP (Collaborative HIV/AIDS and adolescent mental health project) in Valley of 1000 Hills	National Institutes of Mental Health (USA)	1.4

Table 3: Top 12 projects funded entirely or largely by external revenue

4.4 Outreach to collaborators and stakeholders

A recommendation in the 1997 review of the HSRC by the Department of Arts, Culture, Science and Technology (DACST), was that the organisation should reach out much more vigorously to the research community at universities and technikons, and to parastatals, NGOs and the private sector, locally and abroad. This goal is being realised in many ways.

- Several senior research leaders in the HSRC hold joint appointments at universities, NGOs or statutory councils for 10 to 20% of their time.
- Some HSRC experts are appointed to render services as Ministerial advisers, and others are requested to do so on an *ad hoc* basis.
- Several Research Leaders also serve in their individual capacities as members or chairpersons of advisory councils of local and international organisations such as Umalusi, SAQA, Stats SA, Technikon SA, the Ford Foundation, W.K. Kellogg Foundation and the World Health Organisation.
- Five HSRC research experts are on secondment to Government Departments or projects.
- HSRC-based research networks such as the Social Aspects of HIV/AIDS and Health Research Alliance (SAHARA), the Southern African Regional Poverty Network (SARPN) and the Africa Genome Project provide platforms for interchange between researchers, and with decision-makers, donor organisations and end-users of research.
- Through COHORT, the HSRC is involved in a number of collaborative initiatives. These include the Science and Technology for Poverty Reduction initiative (SATPOR) under the R&D strategy of DST, and the Great Africa Rift spatial development initiative aimed at NEPAD.
- The approval process for larger Parliamentary grant-funded projects involves external peer review. External experts are also often appointed to provide guidance or quality control in the course of the project, and major research outputs are normally peer-reviewed prior to publication.
- The newly established Research Ethics Committee consists of external and internal experts, and provides guidance on ethical issues related to planning, conducting and reporting on research involving human subjects.
- Memoranda of understanding were signed with service-orientated organisations such as the National Institute for Crime Prevention and Reintegration of Offenders (NICRO) and the Umsobomvu Youth Fund. The memoranda address ways in which the respective organisations may co-operate, share information and identify research priorities on a consultative basis, in areas of common interest.

Opportunities to collaborate with academics, consultants and colleagues from other science councils are actively pursued in the preparation of funding applications and projects. Of the total of 55 competitive tender or grant applications mentioned in section 4.2 that were successful in the review period, 34 (62%) involved external partners. (The percentage is even higher, 88%, in the case of the successful competitive tenders.) Of the 250 projects in the HSRC research portfolio in 2002/03, 51% involved external partners. This figure is slightly lower than the 61% reported for 2001/02, perhaps because of the greater researcher capacity now in-house, but much higher than the 22% of the year before.

During 2002/03, the HSRC organised a number of major research conferences in which members of the research community, major funders, users and decision-makers interacted on policy issues, thereby enhancing the possibility of research uptake. Examples include the Human Genome conference (arranged by SCI), a conference on private higher education (HRD), HIV/AIDS in the region (SAHA), fertility (CYFD), and several workshops dealing with poverty reduction and land issues in the region (the Southern African Regional Poverty Network, SARPN, which is housed in IRRD). Some of these conferences had participation at Ministerial level, from South Africa as well as other countries including Botswana, Mozambique and the UK.

International networks are also expanding, and distinguished academics from within and outside South Africa regularly participate in projects and workshops of the HSRC. As with national networks, such international relationships broaden the HSRC's pool of expertise and provide capacity-building for mid-level colleagues. Recent project-related international visits involved collaboration with international research counterparts in Finland and India. An annual workshop is convened by the HSRC and the National Research Foundation in South Africa with social scientists from the CNRS in France.

In December 2002, the HSRC signed a memorandum of understanding with the Chinese Academy of Social Sciences (CASS).

This agreement provides a framework within which exchange visits and workshops can take place, information and research materials be exchanged, and joint projects encouraged.

4.5 Publishing and publications

The 2001/02 Annual Report referred to the development in the latter part of that year of a new publishing and dissemination strategy. The new strategy emphasised the widest possible dissemination of the HSRC's output in both print and electronic form, based on the premise that publishing the HSRC's research product was a non-profit function. This strategy pointed to the development of a publishing website that would house electronic versions of all HSRC publications, with free access and free downloading of all the HSRC's public outputs.

In 2002/03 this strategy was implemented. This involved the recruitment of a core internal staff of six, responsible for the business management of HSRC Publishers, the commissioning and quality control of all publications, and their editing, design and marketing. Print, warehousing, distribution and sales representation functions were outsourced to three Cape-based companies. One of these was also tasked with the development and management of HSRC Publishers' website.

In 2002/03, HSRC Publishers produced 43 publications: 18 books (5 new and 13 reprints), 3 research monographs, 9 client reports and 12 occasional papers. Except for some confidential client reports, electronic versions of the publications were produced simultaneously with the print versions and made available online.

The series of occasional papers is an innovation designed to offer succinct and timely contributions to current debates, as well as to disseminate research findings and engage with the broader research community. The first six of these papers were produced for the IRRD Research Programme and were released to coincide with the World Summit on Sustainable Development (WSSD) in August–September 2002. Each dealt with one of the core themes of the Summit.

At the end of the 2002/03 year, a further 4 new books, 2 client reports and 5 occasional papers were in various stages of production.

Sales of the publications generated R0,557m in 2002/03. This amount was generated from the sale of 2 308 individual publications sold through bookshops or ordered via the HSRC Publishers website, while an additional 3400 units were sold by way of bulk and co-publishing deals with NGOs and overseas publishers. In total, 9 700 units were sold in 2002/03.

A feature of HSRC Publishers' operations in the second half of the reporting year was the particular attention paid to the publicising and marketing of the HSRC's research products, nationally and internationally. This included mounting exhibitor stands at the WSSD, the Zimbabwe Book Fair (finally held in Cape Town), and the conferences of a number of academic and other professional associations. The HSRC was represented for the first time at the London and Frankfurt Book Fairs and at the annual conference of the African Studies Association of North America. These visits facilitated the negotiation of co-publishing arrangements with international publishers and the initiation of a series of discussions with a number of international distributors for the global distribution of all HSRC publications. A finalised arrangement is anticipated in the forthcoming year.

A comprehensive list of HSRC publications is provided elsewhere in the 2002/03 Annual Report. Statistics from the publications list are summarised in Table 4. The benefits of employing more, and more senior, researchers are reflected in the number, range and quality of publications produced in the course of 2002/03. The number of refereed articles per researcher exceeded the target – one of the CEO's six key indicators – of 50%.

Category	No. in 2002/03	No. in 2001/02
Books and chapters in HSRC books	45	43
Books and chapters in non-HSRC books	75	24
Journal articles	74	31
<i>Refereed</i>	66	20
<i>Non-refereed</i>	8	11
Research reports to clients/users	98	50
Total	292	148

Table 4: Publications

4.6 Corporate Communications

The HSRC exhibited in the South African Pavilion for the duration of the World Summit on Sustainable Development (WSSD) in Johannesburg in August–September 2002. Corporate Communications played a key role in WSSD outreach activities, the formal opening of the Durban office in April 2002, and when the 2001/02 Annual Report of the HSRC was launched to stakeholders and the media in October 2002. The Research Programmes were assisted with the formulation and graphic design of their publicity brochures.

Initial suggestions for the process of formulating a communications strategy were presented to the CEO and Executive Directors in August 2002. The Marketing Manager of HSRC Publishers assumed responsibility as part-time Acting Director of Corporate Communications in December 2002 following the resignation of the incumbent.

In March 2003, the first edition of the bimonthly newsletter, *HSRC Review*, was produced. As well as being published on the website, this publication is mailed and e-mailed to 8 000 stakeholders, members of national, provincial and local government, Parliamentary committees, media and secondary schools in South Africa, as well as to collaborators and funders nationally and internationally.

The HSRC Internet website, accommodating access to the organisation's activities, products and services by the broader public, has been extensively revamped and restructured at the same time as the upgrade of the intranet, as part of Project Phoenix described in section 3.

The electronic media monitoring service that monitors and evaluates media, radio and television coverage, reported that the HSRC received estimated free coverage to the value of R3,3m during 2002/03, compared to R1,2m in 2001/02.

Internally, the Department began developing communication platforms between the various divisions in the HSRC and, seeking to align external and internal messages, towards resuming the formulation and implementation of an integrated communications strategy including a "re-branding" of the organisation.

Two further major activities envisaged in the meanwhile cover improved media relations, including media conferences, briefings, releases and monitoring; and the co-ordination of report launches, opinion editorials, articles, supplements and interviews.

4.7 Investments in research infrastructure

Surpluses accumulated in previous budget years began to be deployed during 2002/03 according to the framework approved by the Minister. Two major instances are mentioned here.

A video-conference facility was installed to support communication between the major centres where HSRC has offices, with associated refurbishments. It has been widely used from the outset, for management and staff meetings, project teamwork, and recruitment interviews.

Secondly, a representative master sample of 10 000 households from the whole of South Africa was created, representing a breakthrough in sampling methodology for large-scale surveys. With this resource, the HSRC is able to undertake research projects requiring longitudinal, comparative work and panel studies. Supplemented by a grant from the Swiss Development Co-operation, part of the accumulated HSRC surplus was deployed to pay for expert statistical consultancy services, aerial photography and groundwork to create the sample and its digitised database of maps and demographic profiles.

The first use of the sample was for the Nelson Mandela/HSRC survey on HIV/AIDS. The methodology employed to ascertain actual levels of HIV prevalence in South Africa had not been applied at such a large scale in the past. The investment in research infrastructure soon showed returns in the winning of other survey-based contracts using the master sample. In addition, funding was awarded to the HSRC to consult on the replication of the HIV/AIDS survey in neighbouring countries.

5. Financial results and sustainability

For the 2002/03 financial year, the HSRC's turnover, i.e. total revenue, was R136,837m (R100,537m in 2001/02). The increase was attributable mainly to the substantial growth in research contract and grant earnings shown earlier in Table 2 on page 89.

Overall expenditure was R147,314m for the year. The difference of R10,477m between income and expenditure for the year is reduced to a final net deficit of R1,462m for 2002/03 (compared to a surplus of R9,078m at the end of 2001/02), through the

approved spending of an amount of R7,433m from the surplus of the previous year. The plan for the disposal of the surplus was approved by the Minister of Arts, Culture, Science and Technology.

This approved spending is shown in Table 5. The new master sample described in section 4.7 accounted for R3m. Additional fieldwork of R1,078m was needed for the Nelson Mandela/HSRC study of HIV/AIDS, and the project had previously earmarked funds of R2,731m. The R0,624m used for accumulated leave pay-outs enabled the HSRC to place all staff on similar conditions of employment and reduce future liabilities in this regard. A further amount of R1,582m was transferred from grant income to deferred income *in lieu* of depreciable assets bought during the current financial year.

Within the totals for income and expenditures for the 2002/03 financial year, as reflected in the income statement on page 103, are various noteworthy trends, compared to the previous year. Increased spending on salaries, work farmed out and other expenses reflect the increase in research activities during the year, whereas increases in general operating costs were caused by the expanded presence of the HSRC in five national offices. The benefit of the video-conference facility is shown in the fact that travel expenses were less than budgeted.

	R'000
(Deficit) for the Year	(10,477)
Less use of approved Surplus Funds:	7,433
HSRC portion of master sample	3,000
Extra fieldwork on HIV survey	1,078
Project funds for SABSSM study	2,731
Balance of accumulated leave	624
Transferred to Deferred Income	1,582
Net (Deficit) for the Year	(1,462)

Table 5: Reconciliation of the deficit for 2002/03

The balance sheet on page 102 shows that at 31 March 2003 the HSRC had total assets of R134,868m (R95,311m in 2001/02), and current liabilities of R73,198m. The HSRC continues to receive state funding – R65,030m for 2003/04 plus the ring-fenced R5m for the HRD project – and already has firm commitments for external income in excess of R45m. It should accordingly remain a going concern.

The Parliamentary grant allocation for the 2002/03 financial year is broken down in Table 6.

	2003 (R'000)	2002 (R'000)
Parliamentary grant as per income statement	58,505	56,713
Plus: Net adjustment in respect of deferred income	1,582	3,779
Total	60,087	60,492

Table 6: Parliamentary allocation

The total Parliamentary grant of R60,087m shown for 2002/03 does not include the ring-fenced R5m for the HRD project. The HSRC received an amount of R1m, earmarked for the start-up phase for Indigenous Knowledge Systems South Africa (IIKSSA), which was administratively supported by the HSRC, and is not included in the R60,087m received in terms of the Medium Term Expenditure Framework (MTEF) allocation for 2002/03.

6. Human resources

The HSRC's staff complement at the end of the 2002/03 financial year was 232, which is 40 more than the previous year-end total of 192. Natural attrition provided space for 21 further staff members to be appointed during the year. A dual emphasis on expanding senior researcher capacity, while achieving equity targets at all levels, once again characterised the recruitment drive.

Of the 61 new staff members who joined the HSRC during 2002/03, 40 were new researchers. The strategic focus on research excellence and increased contract and grant income required that most were in the levels of specialist researchers. However, 13 junior researchers were appointed on 3-year contracts within Research Programmes, as part of the HSRC's commitment to growing research capacity internally.

The 21 new appointments made in administrative positions included new Directors of Finance, IT – vacant following the restructuring of the organisation in 2001/02 – and a replacement Director of HR. Administrative staff were installed to manage newly-established offices in Bloemfontein, Cape Town, Durban and Port Elizabeth. Because of the simultaneous researcher appointments, the ratio between researcher and administrative positions in the HSRC continued to increase, as planned. By 31 March 2003, 56% of HSRC members of staff were in research positions, compared to 52% at 31 March 2002. The end-year target of 60% should be attained in the new year, since the budgeted vacancies for research considerably exceed those in administration.

Among researchers the percentage of blacks improved from 45% to 48% over the reporting year, and among administrative staff from 58% to 60%. The former increase is below target, so firm quotas for representivity have been attached to the new researcher vacancies.

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 statement.

Changes in representivity at the higher levels occur more slowly because of the small numbers of people involved and low attrition. Among administrative staff of deputy director level and above the percentage of black staff rose slightly from 38% to 39%, and among researchers of Specialist and above, the percentage remained stable at 39%. The new quotas will accelerate progress at this level.

Among senior administrative staff, women increased their share from 46% to 57%. Among senior researchers, female representation went down to 31% in 2002/03 from 33% in 2001/02, having increased from 18% the year before. The latter stratum needs specific attention.

The proportions of black staff per employment level are shown in Figure 4, for the current and previous reporting periods. The proportion has improved at almost every level, and by around half in senior levels (5 and above, i.e. Assistant Director or Chief Researcher and above). Even so, advances at senior levels started from a low base, so there is room for further improvement.

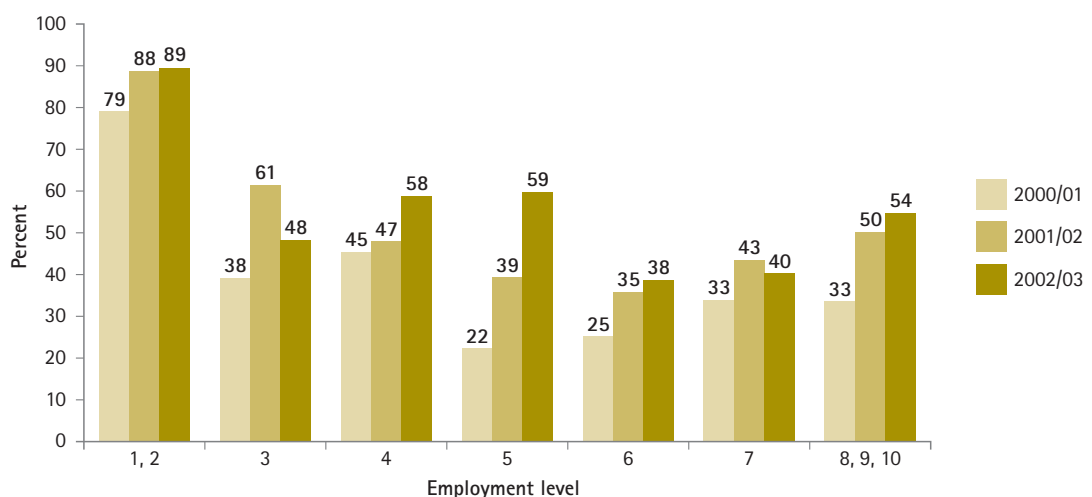


Figure 4: Percentage of black employees in employment levels, 2000/01 to 2002/03

The proportions of female staff per employment level are shown in Figure 5, for the 2000/01, 2001/02 and 2002/03 years. The most noticeable increase is at the upper employment levels, but again off a low base.

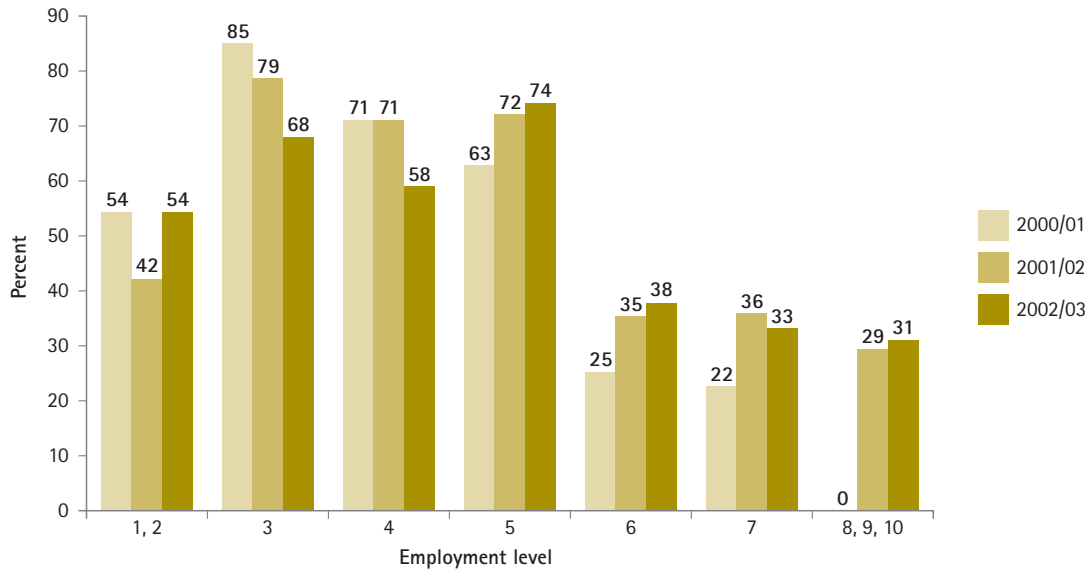


Figure 5: Percentage of female employees in employment levels, 2000/01 to 2002/03

Disabled people comprise less than 1% of the staff, whereas 2% is the target for Government Departments. The aim is to improve this proportion in recruiting for the remaining vacancies.

Among researchers, there have been noteworthy changes in proportions of blacks with masters or doctoral degrees, and of whites with doctorates over the last two years, as shown in the upper portions of the bars in Figure 6. Because of the new strategy of taking on appreciable numbers of junior researchers as interns, whose qualifications are also reflected, the targets set in 2001/02 need to be revised for the coming year.

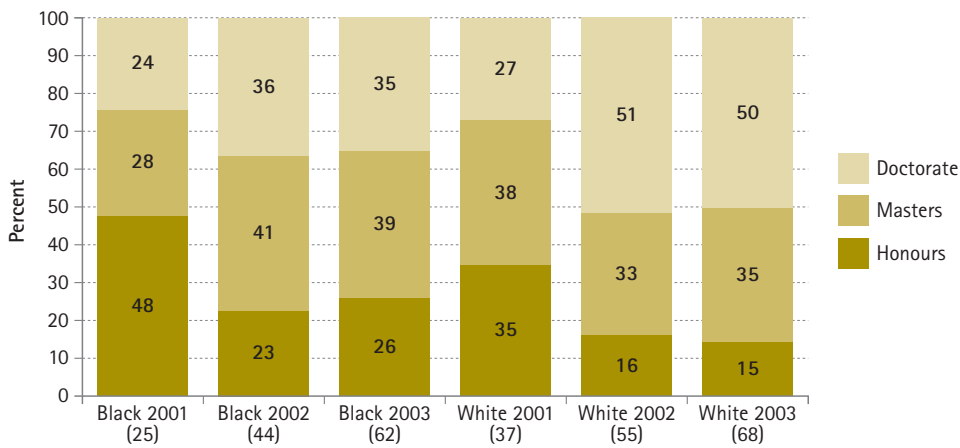


Figure 6: Proportions of researchers with masters and doctorates

During 2002/03, negotiations with the Union led to the implementation of uniform conditions of employment for all staff, as described in section 3.2. With the encouragement of Council, work started on the development of an integrated Employment Equity policy involving capacity development and career pathing, and investigations into an HIV/AIDS in the workplace policy commenced. Prior to mid-2002, performance appraisals were conducted. Some 59% of 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.

7. Strategic risk assessment

The Audit Committee monitors risk management in the HSRC on an ongoing basis. During the year under review, the CEO periodically reported on progress made with actions taken to mitigate risks in the organisation. Various initiatives, workshops and meetings were conducted during the year to create awareness of the risk profile within the organisation.

Three aspects of the three-year audit plan to address the Risk Assessment report completed in 2001 – namely the development of a fraud prevention plan, a corporate governance review and an information technology audit – were commenced in a partnership with outsourced audit partners. The initial consultative workshops have been completed for the Fraud Prevention Plan, covering a management group representative of all key areas within the HSRC, Council, the Chair of Council, and an Audit focus group. The completed Fraud Prevention Plan, Corporate Governance Review and IT Report are expected towards the middle of 2003.

The HSRC management team devoted specific attention to the financial aspects of the Risk Assessment Report, with the help of comments and guidance from specialist members of the Audit Committee. The latter identified the most general risks of assuring research quality and the knowledge management culture suitable for a research institution. In response to this the Executive Directors adopted a two-way approach. They decided at the November 2002 research *lekgotla* to assign 160 hours of development time for each researcher, to be incorporated in Research Programme budgets and work plans; and to foster the production of journal articles. The target for the latter, one of the six key indicators publicised by the CEO, has been met.

Management prepared a document to address remaining matters in the risk assessment, that was submitted to the EDs for follow up. On advice of the Chair of the Audit Committee, the fifth and final phase of the risk assessment that concentrates on the post-restructuring was postponed since it was felt that it was too soon to obtain an objective result. The final phase will now be completed in July–August 2003, in time for the HSRC's institutional review planned for late September 2003.

8. Major events between the financial year-end and the publication of this report

- The Free State office of the HSRC was officially launched on 24 April 2003. Dignitaries who attended included the premiers of the Free State and Northern Cape.
- The first HSRC internal research conference took place on 12 and 13 June 2003, intended to allow for communication and sharing of ideas between researchers from the different Research Programmes and locations. The conference was opened by the Deputy Minister of DST, and attended by approximately 180 HSRC researchers and interns. Nearly 100 papers were read and discussed in 30 parallel streams.
- The HSRC Researcher Forum was established after mid-year with the approval of Council, after consultation with researchers about its make-up. The Forum seeks to advance communication among researchers and their involvement in the shaping and improving of the policy and practice of HSRC research. Forum representatives will participate in the Executive Directors' workshop and attend meetings of the Council.
- Policy documents to enhance progress on staff equity, professional development and internal communication in the organisation were submitted to Council and then consulted with staff or Union representatives towards systematic implementation.
- Preparations continued for the external review of the HSRC, from 29 September until 10 October 2003, to be conducted by a distinguished panel of relevant sectoral representatives from South Africa, elsewhere in Africa and abroad.
- A study of the impact of HSRC research was undertaken, drawing on interviews with users, stakeholders and producers, and other sources of evidence such as media coverage and policy uptake.

- The Minister of Arts, Culture, Science and Technology received nominations for the new HSRC Council from the public and the HSRC.
- Following the conclusion of a thorough tendering process, scoping and planning began for an integrated project management and information system and associated IT infrastructure. This will provide the Research Programmes and support services with the convenient and up-to-date information required to run the increasing number of research projects, especially those extending over several years, sites and partner organisations in which the HSRC specialises.

9. Achievement of performance targets

Targets were set in the 2002 KPI report of the HSRC to the National Advisory Council on Innovation (NACI). The organisation's actual performance – as measured against previous performance and annual targets – is summarised in Table 7 (overleaf).

The HSRC was in excess of, or on target for, seven of the seventeen KPIs for which targets had been set; it was close to target, with improvement on the previous year, for a further five KPIs, and it was substantially off target in only four respects.

With regard to objectives number 6 and number 7, i.e. the percentage of projects with external researcher participation and with external funding, there was still a majority of collaborative or externally funded projects. However, the respective proportions are smaller than expected because of an appreciable number of smaller projects registered as a response to *ad hoc* user needs, and towards improving the publication of scientific articles. For objective number 8, i.e. free media coverage, the HSRC was without a Director for Communications for half of the year. The extent of media coverage of outputs is expected to improve, although the target was probably over-optimistic.

With regard to objective number 19, the percentage of staff on study bursaries, the level was maintained. It is hoped that the new intake of interns as well as the implementation of a new, integrated professional development programme for staff will boost the proportion of staff on bursaries for the reporting period. Objective number 16, the number of research staff with masters and doctoral degrees, had deteriorated slightly as a result of the intake of interns. The target will be adapted to reflect the change in approach, but performance on this indicator should also improve following the implementation of a new staff development programme and improved use of study bursaries.

The progress of the organisation against quantitative targets, as reflected in this section, is one of the ways in which organisational performance is monitored. Led by the CEO, executive management as well as the Council is kept informed of progress, and corrective action taken if and when required. However, this monitoring progress is an interactive one, where adjustments are also considered as organisational developments unfold. Qualitative indicators of progress and success are also carefully included as part of the strategic and operational management of the organisation, as will be clear when the results of the forthcoming impact study of HSRC research, and recommendations on the HSRC review are discussed and taken on board by the Council and HSRC management team.

Strategic objective	Key performance indicator	Target 2002/03	Performance 2002/03	Past performance 2001/02
Contracts and earnings <i>Increasing research earnings</i>	("Financial investment perspective")			
1.	Achievement of income target: Total income	R115m	R136.8m	R101.2m
2.	Achievement of income target: External research income	R45m	R61.179m	R28.158m
3.	Dependency ratio: External research earnings as a percentage of total research earnings (Parliamentary grant plus external research earnings)	42%	50%	31%
4.	Known successful proportion of total competitive tender/funding applications submitted, at May	34%	33%	32%
5.	Variance in budgeted expenditure: Surplus or deficit for year, as % of turnover	5%	1.1%	9%
Outreach <i>Assertive outreach to universities and NGOs, locally and internationally</i>	("Stakeholder perspective")			
6.	% of research projects with external researcher participation	60%	51%	61%
User needs <i>Focusing the research on user needs, especially of Government "clusters" for policy-relevant research</i>	("Customer perspective")			
7.	"User-driven approach" – % of research projects that are partially or fully externally funded	70%	54%	70%
8.	Free media coverage	R9m	R3.3m	R1.2m
Performance – equity	("HR and transformation perspective")			
9.	% black staff: overall	55%	53%	52%
10.	% black research staff	54%	48%	45%
11.	% female	Not set	51%	54%
Performance – efficiency	("Financial perspective" and "Organisational perspective")			
12.	Share of Parliamentary allocation spent on research	Not set	86%	40%
13.	Productivity of HSRC investment in its employees: External research earnings per head (permanent and longer-term contract staff)	R150 000	R263 702	R146 656
14.	Share of payroll spent on researcher salaries	67%	64%	62%
15.	Proportion of researchers in total staff	60%	56%	52%
Excellence <i>Achieving excellence in research</i>	("Organisational perspective" and "Innovation and learning perspective")			
16.	Human capital: Proportion of researchers with M and D degrees	85%	80%	82%
17.	Number of books, journal articles, reports (per researcher head)	2.25	2.4	1.85
18.	Number of refereed journal articles per researcher head	0.5	0.55	0.25
19.	Percentage of staff receiving study bursaries	15%	8.2%	8.3%

Table 7: Performance targets



NOTES

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BALANCE SHEET

as at 31 March 2003

	Notes	2003 R'000	2002 R'000
Assets			
Non-current assets		52,778	46,235
Property, plant and equipment	1	45,928	39,385
Investment property	2	6,850	6,850
Current assets		82,090	49,076
Inventories	3	970	1,172
Trade and other receivables	4	15,306	13,570
Cash and cash equivalents	5	65,814	34,334
Total assets		134,868	95,311
Funds and liabilities			
Capital and reserves		61,670	70,565
Income funds		13,203	23,680
Capital funds		42,059	42,059
Deferred income	6	6,408	4,826
Current liabilities		73,198	24,746
Payables and accruals		66,293	19,557
Provisions	7	6,905	5,189
Total funds and liabilities		134,868	95,311



INCOME STATEMENT

for the year ended 31 March 2003

	Notes	2003 R'000	2002 R'000
Revenue	8	136,837	100,537
Research and related income		58,716	26,112
Government grants		58,505	56,713
Special Government grants		5,000	5,000
Other operating income		14,616	12,712
Less: Expenditure	8	(147,314)	(92,125)
Employee cost		(64,731)	(37,929)
Depreciation		(4,265)	(2,037)
Sub-contractors		(31,660)	(27,416)
Other operating expenditure		(46,658)	(24,743)
(Deficit)/Surplus for the year		(10,477)	8,412



STATEMENT OF CHANGES IN EQUITY

for the year ended 31 March 2003

R'000	Income funds					Total
	Surplus funds	Own risk insurance fund	General reserve	Capital funds	Deferred income	
Balance at 31 March 2001	14,868	400		37,581	1,047	53,896
Allocated to income during the year					(1,370)	(1,370)
Net surplus for the year	8,412					8,412
<i>Previously reported</i>	9,078					9,078
<i>Correction previous year error</i>	(666)					(666)
Revaluation of land and buildings				4,478		4,478
Allocated from income to reserve for working capital during the year	(18,000)		18,000			
Portion of Parliamentary grant utilised to acquire depreciable fixed assets for the year					5,149	5,149
Balance at 31 March 2002	5,280	400	18,000	42,059	4,826	70,565
<i>Previously reported</i>	5,946	400	18,000	42,059	4,826	71,231
<i>Correction previous year error</i>	(666)					(666)
Allocated to income during the year					(3,537)	(3,537)
Net surplus for the year	(10,477)					(10,477)
Portion of Parliamentary grant utilised to acquire depreciable fixed assets for the year					5,119	5,119
Transfer general reserve to income funds	2,000		(2,000)			
Balance at 31 March 2003	(3,197)	400	16,000	42,059	6,408	61,670



CASH FLOW STATEMENT

for the year ended 31 March 2003

	Notes	2003 R'000	2002 R'000
Cash flows from operating activities			
Cash receipts from grants		63,505	61,713
Cash receipts from customers		69,077	34,827
Cash paid to suppliers and employees		(94,395)	(84,822)
Cash generated by operating activities	13	38,187	11,718
Interest received		4,081	2,816
Net cash inflow from operating activities		42,268	14,534
Net cash outflows from investing activities			
Additions to property, plant and equipment		(10,819)	(5,200)
- Motor vehicles		(112)	(51)
- Office furniture		(888)	(485)
- Computer, video-conferencing and other equipment		(6,420)	(4,627)
- Refurbishments		(3,367)	0
- Library books and artwork		(32)	(37)
Proceeds from the sale of property, plant and equipment		31	93
Net increase in cash and cash equivalents		31,480	9,427
Cash and cash equivalents at beginning of year		34,334	24,907
Cash and cash equivalents at end of year	5	65,814	34,334



SUMMARY OF ACCOUNTING POLICIES

for the year ended 31 March 2003

Basis of presentation

The annual financial statements have been prepared on the historical cost basis in accordance with the general accepted accounting practice and incorporate the following principal accounting policies below, 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 estimate 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 income statement. 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, capitalised at a market-related rate, 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.



SUMMARY OF ACCOUNTING POLICIES

for the year ended 31 March 2003 (continued)

Equipment

Artwork is treated as an investment and is not depreciated and carried at cost.

All other equipment is 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, capitalised at a market-related rate, 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 the following categories:

- Test sales*
- Reading aids*
- Publications*

Operating leases

Lease agreements are classified as operating leases, where substantially the entire risk and rewards incident to ownership, remain with the lessor. Lease income is recognised on a straight-line basis over the lease term. Cost incurred in earning lease income is 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 are 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. The balance of Parliamentary grants not recognised in the income statement is disclosed as deferred income. Other funds (included previous year surplus funds) that are utilised in respect of the acquisition of depreciable assets are not treated as deferred income.



SUMMARY OF ACCOUNTING POLICIES

for the year ended 31 March 2003 (continued)

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 income statement. Freehold land and buildings (owner-occupied property), 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 doubtful receivables.

Comparative figures

Comparative figures have been restated to show the effect of the correction of the previous year error as indicated in note 16.



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003

1. Property, plant and equipment

2003	Total	Land and buildings	Artwork	Motor vehicles	Office furniture	Computer, video-conference and other equipment	Software	Library books, manuscripts
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Opening net carrying amount	39,385	34,300	209	49	452	4,308	0	67
Gross carrying amount	60,317	35,000	209	193	2,894	17,304	0	4,717
Accumulated depreciation	(20,932)	(700)	0	(144)	(2,442)	(12,996)	0	(4,650)
Additions	10,819	3,367	21	112	888	6,048	372	11
Transferred to investment property	0	0	0	0	0	0	0	0
Adjustments	(11)	0	0	0	0	(11)	0	0
Carrying amount	(141)	0	0	0	0	(141)	0	0
Accumulated depreciation	130	0	0	0	0	130	0	0
Depreciation	(4,265)	(700)	0	(38)	(284)	(3,073)	(127)	(43)
Closing net carrying amount	45,928	36,967	230	123	1,056	7,272	245	35
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)

2002	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
Opening net carrying amount	38,629	37,372	209	0	37	962	0	49
Gross carrying amount	58,220	37,372	209	142	2,399	13,416	0	4,682
Accumulated depreciation	(19,591)	0	0	(142)	(2,362)	(12,454)	0	(4,633)
Additions	5,200	0	0	51	485	4,627	0	37
Revaluation of buildings	(2,372)	(2,372)	0	0	0	0	0	0
Adjustments	(35)	0	0	0	0	(35)	0	0
Depreciation	(2,037)	(700)	0	(2)	(70)	(1,246)	0	(19)
Closing net carrying amount	39,385	34,300	209	49	452	4,308	0	67
Gross carrying amount	60,317	35,000	209	193	2,894	17,304	0	4,717
Accumulated depreciation	(20,932)	(700)	0	(144)	(2,442)	(12,996)	0	(4,650)

Land and buildings

Freehold land and buildings consists of Stand 3242, situated at 134 Pretorius Street, Pretoria, at valuation value in 2001.



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003 (continued)

2. Investment property

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 R6,850m.

3. Inventories

Merchandise (Reading aids, Test sales, Publications)

4. Trade and other receivables

Trade debtors

Balance as at year end

Provision for bad debts

South African Revenue Service (VAT)

5. Cash and cash equivalents

Bank balances

Call deposits

Cash on hand

6. 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

	2003 R'000	2002 R'000
Opening net carrying amount	6,850	0
Transferred from property, plant and equipment	0	2,372
Fair value adjustment gain	0	4,478
Closing net carrying amount	6,850	6,850
Merchandise (Reading aids, Test sales, Publications)	970	1,172
	970	1,172
Trade debtors	12,066	11,882
Balance as at year end	17,867	14,326
Provision for bad debts	(5,801)	(2,444)
South African Revenue Service (VAT)	3,240	1,688
	15,306	13,570
Bank balances	6,789	8,516
Call deposits	58,851	25,343
Cash on hand	174	475
	65,814	34,334
Government grants received, to be recognised in future accounting periods		
Balance at the beginning of the year	4,826	1,047
Portion of grant used for depreciable assets	5,119	5,149
	9,945	6,196
Less: Allocated to income statement		
Portion of grant used for depreciable assets	(3,537)	(1,370)
	6,408	4,826



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003 (continued)

7. Provisions

Provision – Redundant stock at year end

- Balance at the beginning of the year
- Additional provision during the year
- Utilised during the year

Provision – Staff leave and bonuses

- Balance at the beginning of the year
- Additional provision during the year
- Utilised during the year

Provision – Severance packages

- Balance at the beginning of the year
- Additional provision during the year
- Utilised during the year

Provision – Legal cost

- Balance at the beginning of the year
- Additional provision during the year

8. Net deficit for the year

Net deficit is arrived at after taking into account the following items:

Research and related income

- Contract income
- Commercial services

Government grants

- Parliamentary grant
- Parliamentary grant received
- Less: Transferred to deferred income
- Special Parliamentary grant

Other income

- Sundry income
- Investment income
- Rent received
- Profit from sales
- Property, plant and equipment
- Inventories

Audit fees

- Current year provision
- Previous year under-provision

	2003 R'000	2002 R'000
Provision – Redundant stock at year end	0	751
- Balance at the beginning of the year	751	0
- Additional provision during the year	0	751
- Utilised during the year	(751)	0
Provision – Staff leave and bonuses	5,346	3,033
- Balance at the beginning of the year	3,033	3,058
- Additional provision during the year	2,313	0
- Utilised during the year	0	(25)
Provision – Severance packages	0	144
- Balance at the beginning of the year	144	6,295
- Additional provision during the year	0	144
- Utilised during the year	(144)	(6,295)
Provision – Legal cost	1,559	1,261
- Balance at the beginning of the year	1,261	0
- Additional provision during the year	298	1,261
	6,905	5,189
Research and related income		
Contract income	56,179	22,492
Commercial services	2,537	3,620
	58,716	26,112
Government grants		
Parliamentary grant	58,505	56,713
Parliamentary grant received	60,087	60,492
Less: Transferred to deferred income	(1,582)	(3,779)
Special Parliamentary grant	5,000	5,000
	63,505	61,713
Other income		
Sundry income	1,147	1,236
Investment income	4,081	2,816
Rent received	7,419	6,986
Profit from sales	1,969	1,674
Property, plant and equipment	20	58
Inventories	1,949	1,616
	14,616	12,712
Audit fees		
Current year provision	350	336
Previous year under-provision	0	404
	350	740



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003 (continued)

8. Net deficit for the year (continued)

	2003 R'000	2002 R'000
Depreciation of fixed assets		
Motor vehicles	38	2
Office furniture	284	70
Computer and other equipment	3,073	1,246
Land and buildings	700	700
Software	127	0
Library books and manuscripts	43	19
	4,265	2,037
Staff costs	59,559	33,553
Retirement benefit cost	4,609	3,498
Defined contribution plan	4,513	3,374
Defined benefit plan	96	124
Post-retirement medical benefit	606	878
Severance packages	(43)	0
Over-provision in previous year	(108)	(144)
Previous year provision	0	(6,294)
Payments on previous year provision	0	6,150
AIPF provision	65	0
AIPF payment	65	0
AIPF provision on payment due	0	0
Provision for retrenchments 2002	0	144
	64,731	37,929
Professional and consultancy fees	2,566	0,625
Foreign exchange differences included in the net deficit for the year	0,016	0



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003 (continued)

8. Net deficit for the year (continued)

Council members and executive management remuneration

2003	Fees for services as Council members	Managerial services			Total
		Basic salary	Bonuses and performance-related payments	Retirement fund and medical aid contributions	
	R	R	R	R	R
Council members of the HSRC					
Professor G.J. Gerwel (Chair)	3,044	-	-	-	3,044
Dr N.N. Gwagwa	-	-	-	-	-
Ms N. Jordan	5,396	-	-	-	5,396
Dr V.T. Maphai	-	-	-	-	-
Professor W.E. Morrow	-	-	-	-	-
Mr E. Motala	4,464	6,000	-	-	10,464
Ms P. Ntombela-Nzimande	2,682	-	-	-	2,682
Mr M.V. Sisulu	894	-	-	-	894
Executive Member					
Dr F.M. Orkin (President and CEO of the HSRC)	-	847,306	63,942	140,116	1,051,364

Rentals in respect of operating lease

The HSRC has leased office space to the South African Local Government Association (SALGA) at 134 Pretorius Street, Pretoria for a period of 60 months effective from 1 June 1999. The lease payment is currently R58 160 per month. There is an escalation clause of 10% per year in the contract. The lease agreement is renewable at the end of the lease term.

	Up to 1 year		1 to 5 years	
	2003	2002	2003	2002
	R	R	R	R
Future minimum lease payments	756,080	687,346	127,952	884,032

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 R 355 409 per month. There is an escalation clause of 8% per year in the contract. The lease agreement is renewable at the end of the lease term.

	Up to 1 year		1 to 5 years	
	2003	2002	2003	2002
	R	R	R	R
Future minimum lease payments	4,577,671	4,232,598	10,730,986	15,308,657

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 August 2002. The lease payment is currently R168 047 per month. There is an escalation clause of 10% per year in the contract. The lease agreement is renewable at the end of the lease term.

	Up to 1 year		1 to 5 years	
	2003	2002	2003	2002
	R	R	R	R
Future minimum lease payments	2,151,004	1,955,456	8,851,960	10,966,964



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003 (continued)

8. Net deficit for the year (continued)

Investment property

	2003 R'000	2002 R'000
Rental income	2,016	1,833
Direct operating expenses	0,099	0,072

9. Pension funds

Pension benefits are provided by membership of the Associated Institutions Pension Fund (AIPF), the Temporary Employees Pension Fund (TEPF) and the HSRC Pension Fund (HSRCPF). The AIPF and TEPF are State-controlled which 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 2002. On the first day of October in each subsequent year a statutory valuation will be completed. At valuation date, compared to the previous year, there were 175 members in the HSRCPF, consisting of 169 defined contribution members and 6 defined benefit members. Seven members are currently entitled to benefits from the HSRCPF of which five members had paid-up benefits and two are current pensioners. The administrators of the fund, ABSA Consultants and Actuaries, completed an interim valuation of the fund on 31 March 2003.

For the purpose of the interim valuation, the assets in respect of the defined contribution members (174 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 R23,577m.

With regard to the pensioners and the members entitled to Defined Benefits under the HSRCPF (four 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 interim valuation date amounted to R1,780m.

The accrued liabilities of the five members with paid-up benefits in the HSRCPF as at a statutory valuation date amounted to R0,253m. The accrued liability of the two members receiving current pensions in the HSRCPF as at statutory valuation date amounted to R0,203m.

Pension fund valuation:

	Defined Benefit Pension Fund	
	2003 R'000	2002 R'000
Present value of funded liabilities	1,780	1,408
Future value of plan assets	(3,975)	(5,081)
Funded status	(2,195)	(3,673)
Actuarial losses	(1,800)	-
Net asset	(3,995)	(3,673)
Number of members	4	8

The apportionment of the surplus will be completed with the next statutory valuation of the fund in October 2003, therefore the asset cannot be determined at 31 March 2003.



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003 (continued)

9. Pension funds (continued)

Principal actuarial assumptions:

	2003 %	2002 %
Valuation rate	9,1	11,5
Inflation rate	5,9	8,6
Salary increase rate	6,9	9,6
Expected investment return	9,1	11,5

Pension fund members:

	HSRC Defined Benefit Pension Fund	HSRC Defined Contribution Fund
Members as a percentage of total employment	1,75%	75,98%
Contribution rate	25,90%	23,43%
Members	7,50%	7,50%
Employer	18,40%	15,93%

10. 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 R22,2m. 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 member's 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 the 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 500 136,27.

The HSRC, for staff who did not belong to the medical aid scheme on 1 August 1997, 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 342,64. The HSRC, for staff who joined the service of the HSRC after 1 April 1998, irrespective of whether they joined the medical aid scheme or not, contribute an amount of R100 per month on behalf of the member to the Fund. The value of the members' accounts in the Fund at valuation date, 1 September 2000, amounted to R121 937,59.

The lump sum, if applicable, and monthly contributions paid by the HSRC, represents the HSRC's total obligation in this regard towards the members' post-retirement medical costs. When the member leaves the service or dies 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 of the HSRC of providing future benefits under the Fund. The value of the reserve account, at valuation date, 1 September 2000, was R785 002,11.

The Fund value as at 31 March 2003 was R6 641 560,62. The next actuarial valuation will be performed on 1 September 2003.



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003 (continued)

11. Uncovered foreign currency monetary items

At 31 March 2003 the HSRC had the following foreign exchange currency transaction not covered by forward exchange contracts.

2003		2002	
Euro	US Dollar	Euro	US Dollar
'000	'000	'000	'000
0	42	98	43
Rand	Rand	Rand	Rand
'000	'000	'000	'000
0	336	991	497

12. Contingent liabilities

Litigations and claims

At 31 March 2003 there were pending labour-related cases between the HSRC and retrenched employees. The most recent estimate indicated that claims amounting to R2 089 603 have been instituted against the HSRC by retrenched employees. The HSRC is of the opinion that no liability will be incurred in this respect.

13. Reconciliation of net (deficit)/surplus to cash generated from operations

	2003	2002
	R'000	R'000
Net (deficit)/surplus	(10,477)	8,412
Adjustments for:		
Provisions	1,716	(4,164)
Deferred income	1,582	3,779
Depreciation	4,265	2,037
(Profit) on sale of property, plant and equipment	(20)	(58)
Interest on investment	(4,081)	(2,816)
Operating (deficit)/surplus before operating capital changes	(7,015)	7,190
Working capital changes	45,202	4,528
Decrease in inventories	202	360
(Increase) in trade and other receivables	(1,736)	(4,902)
(Decrease)/increase in trade payables and accruals	46,736	9,070
Cash generated by operating activities	38,187	11,718



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2003 (continued)

14. Financial risk management

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.

15. Capital expenditure

	2003 R'000	2002 R'000
Approved by management, but not yet contracted	2,683	3,727
The capital expenditure is to be financed as follows:		
Internally generated funds	2,683	3,727

16. Correction of error

The prior year figures have been adjusted with the correction of an error relating to research income received in advance before the previous year end allocated as income in that year. The effect of the change was as follows:

Decrease in net surplus of the prior year	(666)
Increase in provisions and accruals	666

17. Spending of surplus as approved by National Treasury

Approval was obtained from National Treasury for the utilisation of surplus funds on specific projects as identified in the 2001/02 HSRC Business Plan. The Council, through the CEO, subsequently approved the application of unspent funds from certain categories to extra expenditure on prioritised research, of R1,809m. The Council consequently requested the application of more flexible categories to the surplus. The Department of Science and Technology supported the request to National Treasury. The HSRC is currently awaiting National Treasury's response.



REPORT OF THE HUMAN SCIENCES RESEARCH COUNCIL (HSRC) AUDIT COMMITTEE — 2002/03

We are pleased to present our report for the financial year ended 31 March 2003.

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.

The entity's accounting authority, the HSRC Council, appointed the present Audit Committee members on 14 November 2002.

During the year under review (2002/03) the Committee consisted of Messrs S.A.H. Kajee (specialist member and Chairperson), and R.J. Page-Shipp (specialist member), Ms P. Mnxasana (specialist member) and Dr N.N. Gwagwa (Council member). The accounting officer of the HSRC, Dr F.M. Orkin (CEO and Council member), is an *ex officio* member of the Audit Committee. There is currently a vacancy for specialist member on the Committee since Ms Mnxasana's resignation at the end of March 2003.

The Audit Committee met on 9 May 2002, 1 August 2002 and 24 January 2003. In addition to the above members, persons attending Committee meetings by standing invitation include the Head of Internal Audit, 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 Audit Committee has reviewed the Annual Financial Statements of the HSRC, the Report of the Auditor-General and periodic reports submitted to the Audit Committee by the Head of Internal Audit 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 management letter of the Auditor-General has not reported on any significant or material non-compliance with prescribed policies and procedures.

S.A.H. KAJEE
Chairperson of the Audit Committee
Human Sciences Research Council

Pretoria, 31 July 2003



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