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Department: Science and Technology
REPUBLIC OF SOUTH AFRICA



HSRC
Human Sciences
Research Council



PATHWAYS TO RESEARCH EXCELLENCE AND TRANSFORMATION

Under the visionary leadership of chief executive Professor Olive Shisana, the HSRC has been expertly steered onto “Pathways to research excellence and transformation” the past ten years. During her term as the first female chief executive, the HSRC continued to go from strength to strength as a research organisation proudly reflecting the values and aspirations of a democratic South Africa. As such, the HSRC confidently stands as a respected member among peer institutions from all over the world. Professor Shisana leaves a legacy that will be hard to improve on, but easy to build on.

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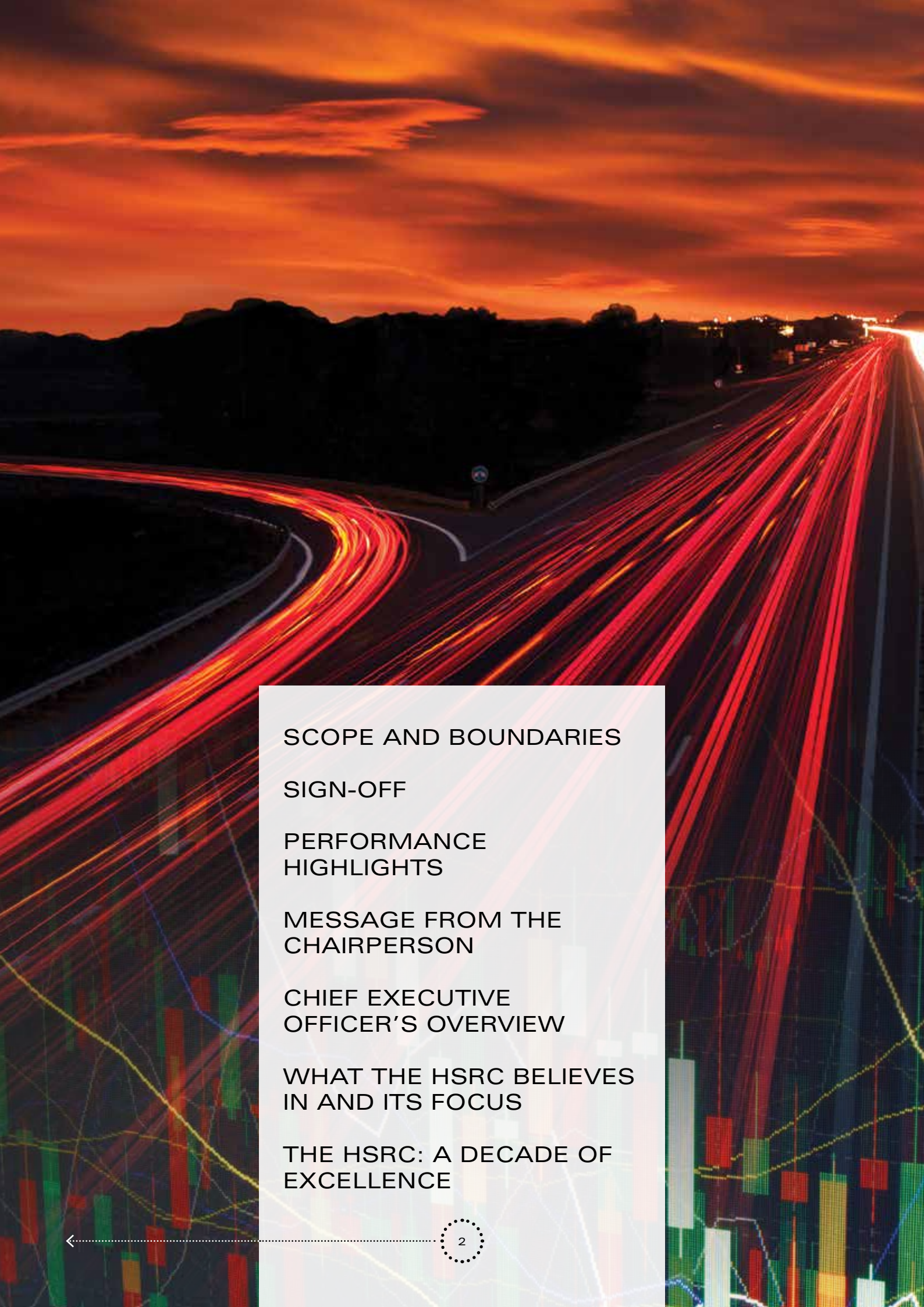
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ORGANISATIONAL OVERVIEW

SCOPE AND BOUNDARIES

The integrated annual report covers the activities and results of the Human Sciences Research Council (HSRC) for the period 1 April 2014 to 31 March 2015.

The integrated annual report has been prepared according to Generally Recognised Accounting Principles (GRAP), the requirements of the Public Finance Management Act (No.1 of 1999, as amended by Act No. 29 of 1999) (PFMA) and the recommendations of the King III report. Management has also considered the guidelines published by the Integrated Reporting Committee of South Africa. The report aims to assist stakeholders in their assessment of the HSRC's ability to create and sustain value.



This icon refers to further information within the report.



This icon refers to further information on the HSRC website and other websites.



SIGN-OFF

It is hereby certified that this integrated annual report:

- was developed by the management of the HSRC under the guidance of the HSRC board;
- takes into account all the relevant policies, legislation and other mandates for which the HSRC is responsible; and
- accurately reflects performance against the strategic outcome-oriented goals and objectives, which the HSRC committed to achieve over the 2014–2015 period.

Prof. Olive Shisana
Chief executive officer

Ms Nasima Badsha
Chairperson of the board
(Accounting authority)

PERFORMANCE HIGHLIGHTS



KNOWLEDGE ADVANCEMENT

88%

of targets were met (7 out of 8).

The HSRC surpassed its target of publishing 13 scholarly books by publishing 16. Researchers published 54 book chapters against a target of 52. The council held 58 seminars against a target of 50. The target for policy briefs was 19, and 23 were published. The HSRC had 47 active memoranda of understanding against a target of 35.



CONTRIBUTION TO DEVELOPMENT AND SOCIAL PROGRESS IN AFRICA

75%

of targets were met (3 out of 4).

The HSRC produced 49 research reports, far exceeding the target of 26. It had a target of 16 research projects and completed 35. Twenty eight structured collaborative research projects were completed against a target of 14.



SKILLS ENHANCEMENT

40%

of targets were met (4 out of 10).

The HSRC met its target of appointing 39 master's interns. It had a target of six completed PhDs, and nine candidates successfully completed their studies. In terms of the new objective of engaging with schools in its outreach programme, it exceeded the target, conducting 191 visits against a target of 180.

THE HSRC SEEKS TO SERVE AS A KNOWLEDGE HUB TO BRIDGE THE GAP BETWEEN RESEARCH, POLICY AND ACTION, THEREBY INCREASING THE IMPACT OF RESEARCH.



PRESERVED DATA AND KNOWLEDGE



100%
of targets were met (3 out of 3).

The HSRC had a target of preserving and archiving 23 research data sets and this target was met.



TRANSFORMATION



67%
of targets were met (4 out of 6).

The HSRC met its targets for producing its annual employment equity reports. The target of hosting one diversity awareness event for all staff, as well as one gender awareness event, was met.



FINANCIAL SUSTAINABILITY



80%
of targets were met (8 out of 10).

The HSRC exceeded the target set for securing multi-year grants. It achieved the goal of an unqualified external audit report. The target of four compliance reports was met.



WHAT THE HSRC BELIEVES IN AND ITS FOCUS

VISION

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

MISSION

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

VALUES

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

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

CONSTITUTIONAL FRAMEWORK

The Constitution of the Republic of South Africa (No. 108 of 1996) specifically applies to the work of the HSRC in

terms of Section 12(2)(c), which highlights the right of not being subjected to medical or scientific experiments without informed consent, and section 16, which addresses freedom of expression, including the right to academic freedom and freedom of scientific research. The HSRC Code of Research Ethics addresses the way in which these rights are applied. An active and internationally accredited research ethics committee reviews all HSRC research proposals to ensure that HSRC researchers, as well as project collaborators, adhere to the highest ethical standards. This service is also available to non-HSRC researchers. The HSRC media policy addresses the way in which freedom of expression is aligned with principles of scientific integrity and accountability.

LEGISLATIVE FRAMEWORK

The HSRC is a Schedule 3A national public entity in terms of the Public Finance Management Act (No. 1 of 1999) reporting to the Department of Science and Technology. As such the Minister of Science and Technology is the executive authority. The HSRC is governed by a board appointed by the minister as the accounting authority.

The HSRC operates in terms of the HSRC Act (No. 17 of 2008). The Act outlines the functions of the HSRC board and mandates the HSRC to:

- initiate, undertake and foster strategic basic and applied research in human sciences;
- address developmental challenges in South Africa, Africa and globally by gathering, analysing and publishing data relevant to such challenges, by means of projects linked to public sector programmes;
- inform the effective formulation and monitoring of policy, as well as to evaluate the implementation thereof;
- stimulate public debate through the effective dissemination of fact-based research results;
- help build research capacity and infrastructure for the human sciences;
- foster research collaboration, networks and institutional linkages;

- respond to the needs of marginalised groups in society through research and analysis of developmental issues, thus contributing to the improvement of their lives;
- develop and make available datasets underpinning research, policy development and public discussion of developmental issues; and
- develop new and improved methods for dataset use.

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

POLICY FRAMEWORK

The HSRC is committed to the outcomes approach as developed by government. It will contribute towards achieving outputs listed in the performance agreement between the Minister of Science and Technology and the president of South Africa. It is also recognised as an important role-player in a number of delivery agreements aimed at supporting the achievement of the 12 outcomes that were agreed to for the 2009–2014 electoral period. Delivery agreements where specific reference is made of the HSRC include those for outcome 1 (improved quality of basic education), outcome 2 (a long and healthy life for all South

Africans), and outcome 5 (a skilled and capable workforce to support an inclusive growth path). The HSRC also contributes towards other research-based outcomes that are clearly articulated in the delivery agreements between other ministers and the president of South Africa.

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

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

The HSRC is listed as one of the sources of data on health for monitoring the delivery agreement for outcome 2. This encompasses outcomes related to combating HIV/AIDS and decreasing the burden of tuberculosis, of infant, child and maternal mortality, and of chronic lifestyle diseases.



FOREWORD BY THE HSRC CHAIRPERSON

I am pleased to present you with our integrated annual report that provides a record of the activities and output of the HSRC for the period 1 April 2014 to 31 March 2015.



THESE ACHIEVEMENTS
ARE A TESTAMENT TO
THE COMMITMENT OF
THE MANAGEMENT,
RESEARCHERS AND
STAFF OF THE HSRC.

The HSRC has again met the vast majority of the targets that were set in the organisation’s annual performance plan and embodied in the Shareholder’s Compact that we signed with the Minister of Science and Technology. Once again, the HSRC has achieved a clean unqualified financial audit for the period under review.

These achievements are a testament to the commitment of the management, researchers and staff of the HSRC to producing excellent, applied and socially relevant research. The record of scholarly outputs is impressive, alongside numerous policy briefs and commissioned reports. The HSRC is also proud of its involvement in training the next generation of scholars and researchers through its internship programme – 42 master’s level trainees and 45 PhD trainees participated in the year under review – and through the supervision of 21 post-doctorates. The research undertaken in the programmes of the HSRC is focused on supporting the government, civil society and other stakeholders to tackle the key development challenges, especially poverty and inequality, facing the country and the African continent.

One such project is on ‘The missing link in overcoming violence, inequality and poverty’ a two-year project now in its final year. The study focusses on Cape Town and Rio de Janeiro and yielded data to map the relationships between poverty, inequality, violence, fear of crime and social cohesion. Other projects include the ‘Accelerating sustainable water services delivery through technological innovation initiative’ – a partnership between the HSRC, the CSIR, the Water Research Commission, the Independent Development Trust and implementation agencies to accelerate the provision of water and sanitation services in historically disadvantaged areas in a sustainable manner – and the ‘Livelihood study’ which is aimed at gaining an enhanced understanding of the impact of poverty and inequality on the livelihood of South Africans.

The HSRC has been able to achieve good results despite the challenges it faces, which include financial and other constraints, such as the increasing competition for the limited pool of experienced researchers. In the coming period, the board and management of the HSRC will continue to reflect on how limited resources can be most effectively utilised and will engage with the Department of Science and Technology, as well as other key partners, on the future strategic focus of the organisation. This includes reflection on the strengthening of our partnerships with universities and other related bodies such as the National Institute for the Humanities and Social Sciences, and cognate science councils.

The HSRC board and its statutory committees continue to function well and is supportive of the King III recommendations on good governance and sustainability within the broader context of the HSRC Act (No. 17 of 2008), the Public Finance Management Act (No. 1 of 1999) and other applicable governance codes and procedures. The work of the board is ably supported by a highly professional and efficient secretariat.

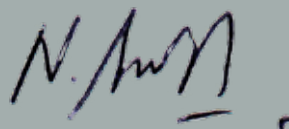
At the end of July 2015, we bid farewell to Prof. Olive Shisana who retires from the HSRC having completed two terms as its chief executive officer. The board would like to take this opportunity to pay tribute to Prof. Shisana and to thank her for her dedication to the work of the organisation over the past decade. In this time, she has proven to be an excellent institutional leader and manager, while still continuing to be a lead researcher. In particular, she has been

central to the many achievements of the HIV/AIDS, STIs and TB (HAST) programme of the HSRC. Some highlights of Prof. Shisana's tenure are outlined in this annual report. We wish Prof. Shisana well for the future.

The board has appointed Prof. Crain Soudien, deputy vice-chancellor at the University of Cape Town, as its new chief executive officer and we look forward to welcoming him on 1 September 2015 when he assumes office. The board, management and staff look forward to working with Prof. Soudien.

The HSRC continues to enjoy the support of the Ministry and Department of Science and Technology. In particular, the board wishes to thank Minister Naledi Pandor for her unstinting commitment to furthering the humanities and social sciences in South African and for her support and guidance to the board.

Finally, I wish to thank my fellow board members for their invaluable contributions and I join them in thanking the chief executive officer, her executive management team, the board secretariat, the researchers and all the staff for their commitment to the work of the HSRC.



Ms Nasima Badsha
Chairperson of the HSRC board



CHIEF EXECUTIVE OFFICER'S OVERVIEW

I am pleased to present this year's integrated annual report on the activities of the HSRC during the 2014/2015 financial year. It will be my last integrated annual report as I am leaving the HSRC after 14 illustrious years, 10 of which were spent as the chief executive officer.



I wish to thank our board's chairperson, Ms Nasima Badsha, and the board members for having played a vital role in the effective governance and management of the HSRC over the last year.

For this year's report we have chosen the theme 'Pathways to research excellence and transformation' to highlight the HSRC's work over the last decade. It will showcase some of our groundbreaking work in the fields of HIV, health, governance, family and nutrition and several flagship studies.

The integrated annual report will not only reflect work done over the last decade, but will also present our financial situation and performance, corporate governance, research outputs and the highlights of our research in the context of the performance targets we set for 2014/2015.

Performance measurements against targets (ADEPTS)

The performance measurements and quantifiable performance targets for the reporting period are in five areas, summarised by the acronym **ADEPTS**:

- Knowledge **Advancement** through peer-reviewed publications, policy briefs, collaboration and public communications.
- Contributing to **Development** and social progress in Africa.
- Creating and **Enhancing** a skilled and capable workforce.
- **Preserving** and archiving research data as a resource for future use by researchers and other users.
- Contributing to ongoing institutional **Transformation**.
- Developing and implementing strategies for financial **Sustainability**.

General financial review

The HSRC has achieved unqualified audit opinions for the past twelve years. This demonstrates the stringent financial and internal controls maintained within the organisation to ensure compliance with the Public Finance Management Act (No. 1 of 1999, as amended by No. 29 of 1999) (PFMA), the national treasury regulations and prescripts, and other applicable regulations.

For the past three years, we have been awarded 'clean audit' status by the Auditor-General. The HSRC received its second clean audit award from the Minister of Science and Technology in February 2015. During the 2014/15 financial year we consistently produced financial statements free of material misstatements, and I am proud to report that we have made no adjustments to the set of statements presented to the Auditor-General, which is indicative of excellence in the management of finances.

The HSRC has continued to adhere to government's austerity measures for public entities by ensuring that resources were utilised with the utmost care and responsibility. In addition, we set ourselves targets to receive positive audit outcomes in the area of supply chain management, both from internal and external audit assignments. This demonstrates our continued excellence in using funds – from parliament as well as external sources – in a transparent and compliant manner.

In the same breath, the chief financial officer started to report to my office directly during 2013/14. This has helped to streamline our financial processes. Transparent and efficient sourcing through supply chain management has enhanced accountability.

Budget trends

The HSRC continues to receive an annual grant from parliament amounting to approximately 60% of our budget, the balance being raised from local and international funders. Our 2014/15 annual budget amounts to R431 million. Our extra-parliamentary income (i.e. income raised from external sources) was R162 million (39.7%) of the total income of R407.9 million raised for the financial year.

We have significantly improved our funding streams from the public sector over the last few years, but more is needed to correct the imbalance between public financial support and privately secured funding. Having to secure private funding to fund research has put pressure on researchers.

To ensure that we streamline our operations and research priorities we have started to focus more on generating and securing multiyear contracts with funding agencies. Emphasis was placed on positioning the HSRC as a preferred international research partner. For this to be realised, our professional support services and the leaders of the research programmes supported by the chief executive officer's office had to further increase their efforts to secure partnerships and funding opportunities in a highly competitive global environment.

The HSRC furthermore had to adhere to strict financial regulations and systems that international partners and collaborators instituted, while also ensuring that the organisation complied with the PFMA. This has been masterfully managed by our support service units together with the various directors and executive directors.

The HSRC also continued to procure services in line with the treasury regulations by complying with the Preferential Procurement Policy Framework Act (No. 5 of 2000). Strict controls are applied to all our bidding processes and committees are constituted from staff who have the necessary competencies.

Capacity constraints and challenges

While continuing the drive to appoint key research staff, the HSRC placed a moratorium on the recruitment of administrative support staff. At the same time we are grateful to our professional and competent support staff members who have contributed substantially to the wellbeing of the organisation.

In executing our mandate of 'building a skilled and capable workforce', we have yet to achieve our target of attracting senior African Research Fellows. We hope to continue attracting the best talent from Africa to the HSRC through collaboration with research institutions and universities on the continent.

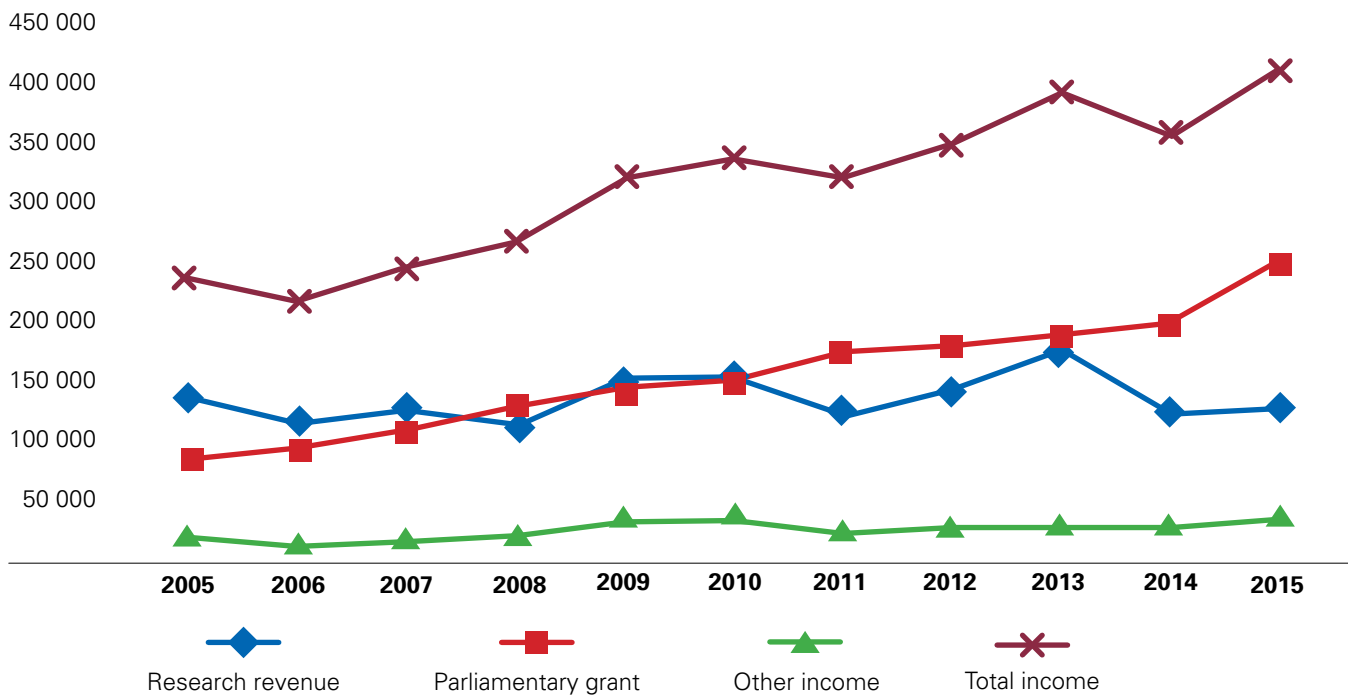
Plans to address financial challenges

Realising that the HSRC had financial challenges in 2005, as the new chief executive officer, I introduced a target for multiyear grants to sustain the HSRC. The strategy has paid off and now the financial challenges have been addressed and the organisation is sustainable.

As mentioned before, we strived to secure multiyear grants in making the HSRC a viable entity. To do this, we had to become proactive in the way we brand ourselves as a preferred global research partner in social sciences and humanities always delivering quality outputs that meet global standards.

The HSRC has proven itself as a financially sustainable organisation with the skills and ability to raise external income to augment the funding received from the parliamentary grant allocation.

FIGURE 1: ANALYSIS OF INCOME SOURCES



In our efforts to reduce administrative costs, the HSRC continues to analyse its spending trends and implement a wide range of cost-saving measures which are beneficial to the organisation and the environment. In this way, we ensure that the organisation is able to operate within the available resources from government while still delivering on its mandate as outlined in the HSRC Act.

These cost-saving initiatives include using video conferencing facilities instead of travelling, energy-saving measures and reduction of printed documents. These initiatives have ensured that more funds are channelled towards core research activities. In the long run these measures will ensure that the HSRC remains a sustainable organisation that minimises fixed costs. At the same time, more resources will continue to be channelled towards external income generation activities, thereby ensuring financial viability.

Research highlights

This report has a chapter in which our major research achievements over the last decade are presented, but allow me to highlight a few key points.

In 2005, I started out my term as the new chief executive officer with research focused on topics that were subsequently referred to by way of our new approach, which was called **Public** purpose, ensuring an **Africa** focus, supporting **Implementation** networking, ensuring ongoing

Transformation, research **Excellence**, **Capacity** building, and institutional as well financial **Sustainability** (PAITECS). I would say the HSRC did well in achieving these. ‘Public purpose’ and ‘public benefit’ and ‘implementation networks’ helped to align the HSRC research with national priorities and needs. In terms of ‘sustainability’, there was a strong drive to make research leaders responsible for fundraising, which focused the research agenda on viable projects with significant policy and programme impact.

The drive to focus on multiyear, multimillion rand projects, rather than smaller projects that require the same management and administrative support efforts, enhanced our sustainability.

In 2010, and after the institutional review process, I started to focus on new imperatives brought about by the promulgation of the HSRC Act in 2008 and the need to expand the HSRC’s global reach and impact. A strong case in point is the introduction of a performance target around preserved data sets. The HSRC became a leader in placing curated data in the public domain for secondary analysis.

Our focus on Africa intensified through our Social Aspects of HIV/AIDS Research Alliance (SAHARA), and our collaborative partner in Africa, the Council for the Development of Social Science Research in Africa (CODESRIA). With the incorporation of the Africa Institute of South Africa (AISA) in 2014 our Africa reach expanded.

Factors that contributed to the HSRC's global status include my presidency of the International Social Science Council (ISSC), the April 2015 hosting of the first ever Gender Summit Africa meeting and the HSRC co-hosting the upcoming World Social Science Forum (WSSF 2015). Also of significance in this regard is our key work in the BRICS Think Tank, BRICS Think Tank Council, BRICS Academic Forum, BRICS Civil Society, and Indian Ocean Rim Association, as well as being a UNAIDS Collaborating Center on HIV/AIDS.

Since my appointment as chief executive officer in 2005, I set out to make the HSRC a knowledge hub that independently researches, analyses and informs public policy debate on current and future challenges and proposed solutions. I like to think that this has been achieved.

I also set out to make the role of the HSRC different from that of government, political parties, NGOs, advocacy groups and from the media, in that it would fulfil a non-partisan role informing all these various role-players. Indeed, we succeeded in providing independent information, free from political, religious and racial bias to all role-players.

None of the successes we achieved would have been realised without the support and guidance of the chairpersons of the former HSRC boards: the late Prof. Jakes Gerwel, Ms Phumelele Nzimande, and the new board chairperson, Ms Nasima Badsha. We sincerely appreciate the

support of the former Ministers of Science and Technology, Mr Mosibudi Mangena, Mr Derek Hanekom, and the current minister, Ms Naledi Pandor, as well as that of the director-general, Dr Phil Mjwara, and his staff at the Department of Science and Technology.

The HSRC is grateful for funding and other support received from various government departments, local as well as international funding agencies and development partners. My staff and I are humbled by the trust vested in the HSRC by all donors and grant providers.

I would like to say a big thank you to my family, the entire staff complement of the HSRC and to my executive team for their continued support over the years. I look forward to seeing the HSRC go from strength to strength under the leadership of the incoming chief executive officer, Prof. Crain Soudien, and his executive team.



Prof. Olive Shisana

Chief executive officer
HSRC





THE HSRC: A DECADE OF EXCELLENCE

The HSRC was established in 1968 by an act of parliament (Human Sciences Research Act, No. 23 of 1968) as South Africa's statutory research agency. Now functioning in terms of the HSRC Act (No. 17 of 2008), it has grown to become the largest dedicated research institute in the social sciences and humanities on the African continent conducting cutting-edge research in areas crucial to development.

The HSRC is required to conduct policy-relevant research to inform the work of public sector users, NGOs, the broader academic community and international development agencies.

Another large research area covers the behavioural and social aspects of health, including HIV/AIDS, sexually transmitted infections, tuberculosis, nutrition and health systems.

The HSRC's collaborative approach to research enables productive and beneficial interaction with research experts in South Africa, the Southern African Development Community (SADC), elsewhere in Africa, and globally. Its mandate is to:

- undertake and promote strategic basic and applied research in the human sciences and to gather, analyse and publish data relevant to developmental challenges;
- inform the effective formulation and monitoring of policy and to evaluate the implementation of policy;
- stimulate public debate through the effective dissemination of research-based data and fact-based research results;
- foster research collaboration; and
- help build research capacity and infrastructure for the human sciences.

The organisation employs about 500 staff members, all dedicated to supporting or conducting social science and humanities research. Its 150 dedicated professional researchers, located in four provinces (Gauteng, the Western Cape, KwaZulu-Natal and the Eastern Cape), are supported by a strong physical and institutional infrastructure, including technical and support positions, to enable the organisation to respond efficiently to research needs.

During the 2014/15 financial year, several different research

projects were underway. The HSRC's research capability enabled it to testify in parliament regarding:

- the capacity of government departments to spend budgets allocated according to their business and annual performance plans;
- the creation of decent work and sustainable livelihoods;
- national health insurance;
- HIV/AIDS service delivery;
- education; and
- the fight against crime and corruption.

On another level, the HSRC seeks to serve as a knowledge hub to bridge the gap between research, policy and action, thereby increasing the impact of research.

This role is implemented through collaboration with key constituencies, including government and other research organisations, multinational agencies, universities, and non-governmental, donor and developmental organisations.

These relationships are being strengthened by the fact that many of the HSRC's leading researchers serve on international scientific bodies such as:

- the Global Fund to Fight HIV/AIDS, Tuberculosis and Malaria;
- the International AIDS Society;
- the International Social Science Council;
- the HIV Prevention Trials Network (HPTN);
- the Trinity International Development Initiative (TIDI);
- the director-general of UNESCO's High Panel on Science Development;
- the World Social Science Forum (WSSF); and
- the Gender Summit Africa 2015.

The HSRC also conducts monitoring and evaluation of policies and programmes providing objective information for assessing the country's progress.

Examples are the organisation's contributions to South Africa's national HIV/AIDS strategic plans and policies; assessments of numeracy and literacy in education; and conducting an annual research and development (R&D) survey that informs the national R&D strategy.

The HSRC has a strong footprint in other African countries through its affiliation with the Council for the Development of Social Science Research in Africa (CODESRIA), participation in the SADC and the New Partnership for Africa's Development (NEPAD), the incorporation of the Africa Institute of South Africa (AISA) into the HSRC, as well as the hosting of African research fellows in four of its six research programmes.

The HSRC's integrated research programmes provide a firm foundation for the undertaking, promoting and coordinating of research efforts in the social sciences and humanities. They also allow the HSRC to provide single points of entry – complete with a critical mass of researchers – for interdisciplinary and problem-orientated research in the following area units:

- Democracy, Governance and Service Delivery (DGSD)
- Education and Skills Development (ESD)
- Economic Performance and Development (EPD)


- Social Aspects of HIV/AIDS, STIs and TB (HAST)
- Human and Social Development (HSD)
- Population Health, Health Systems and Innovation (PHHSI)
- BRICS Research Centre
- Africa Institute of South Africa (AISA)

Research Use and Impact Assessment (RIA), a crosscutting entity, seeks to extend and enhance the use and impact of scientific research from the HSRC and other sources of research, and to manage the HSRC's relationships, reputation and brand.

The council's research outputs include reports for users, occasional papers and scholarly articles in peer-reviewed journals, books and a news magazine that allows it to improve the public understanding of science. These are disseminated in print through the HSRC Press, through policy briefs aimed at government and policy-makers, and through the media, including social media, the HSRC website, conferences and extensive research networks.

THE HSRC HAS A STRONG FOOTPRINT IN OTHER AFRICAN COUNTRIES THROUGH ITS AFFILIATION WITH CODESRIA, PARTICIPATION IN THE SADC AND NEPAD, THE INCORPORATION OF AISA INTO THE HSRC, AS WELL AS THE HOSTING OF AFRICAN RESEARCH FELLOWS.

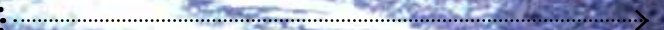


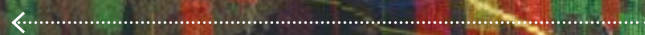


DURING PROF. OLIVE SHISANA'S TENURE AS CHIEF EXECUTIVE OFFICER, NUMEROUS MoUs WERE SIGNED TO HELP ESTABLISH THE HSRC AS A SOUGHT AFTER GLOBAL RESEARCH PARTNER.



PATHWAYS TO RESEARCH EXCELLENCE AND TRANSFORMATION





LOOKING BACK ON A DECADE OF MEANINGFUL CONTRIBUTIONS

Prof. Olive Shisana became the first woman to lead the HSRC in 2005, when she replaced outgoing chief executive officer Dr Mark Orkin. She joined the HSRC in 2001, looking to fill the research gap that existed in the area of social aspects of HIV. It was due to Prof. Shisana's efforts that an HSRC office was established in Cape Town. Proving exceptionally successful at raising research funds, she won 16 out of the 18 grants she applied for. Through establishing the Social Aspects of HIV/AIDS programme at the HSRC, she started a new research thrust for the organisation. The first ever population-based survey on HIV in South Africa was initiated by Prof. Shisana with funding received from the Nelson Mandela Foundation.

She immediately set herself the task of consolidating the accomplishments of Dr Orkin and energising the HSRC brand. (A more detailed narrative about the past 20 years of the HSRC, including the period under the leadership of Prof. Shisana appears in the Annual Report of 2012/13. [Go to www.hsrc.ac.za/uploads/pageContent/4259/10675%20HSRC%20AR%20std2.pdf](http://www.hsrc.ac.za/uploads/pageContent/4259/10675%20HSRC%20AR%20std2.pdf))

Prof. Shisana worked alongside three Ministers of Science and Technology during her tenure as chief executive officer, namely Mr Mosibudi Mangena, Mr Derek Hanekom and Ms Naledi Pandor (current minister).

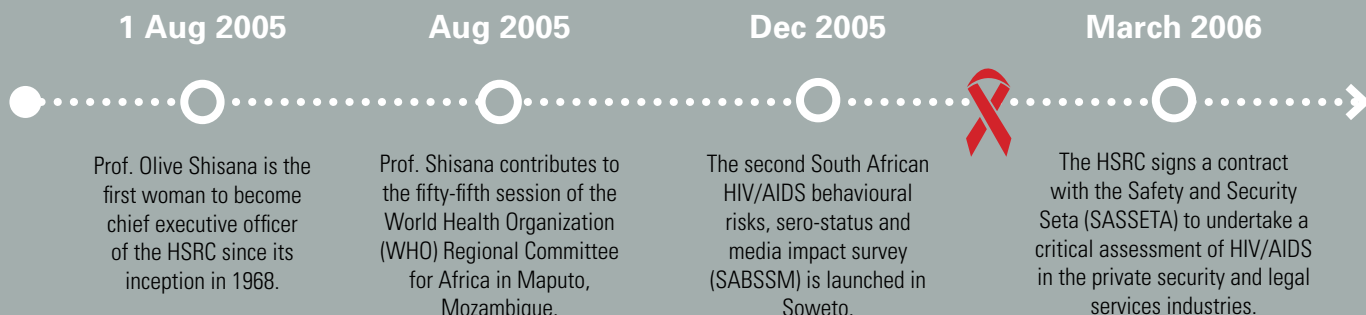
She also served under three board chairpersons, namely Prof. Jakes Gerwel, Ms Phumelele Nzimande and Ms Nasima Badsha (the current chairperson).

In previous years, researchers at the HSRC worked in silos, carrying out more than 200 smaller projects. This fragmented approach has now made way for a much larger degree of coordination, with many researchers working on large grants to address the various major challenges facing the country. Placing emphasis on alignment with national priorities, Prof. Shisana implemented a strategy of undertaking large longitudinal studies and insisted on obtaining rigorous evidence-based findings that would more directly inform policy interventions. She required all researchers to write policy briefs that could translate research into policy.

Prof. Shisana was keen on getting the HSRC to collaborate with various stakeholders and encouraged all her staff to forge relationships. She was a firm believer in establishing memoranda of understanding (MoUs) that would bring about actual change and deliverables. In her tenure as chief executive officer, numerous MoUs were signed to help establish the HSRC as a sought after global research partner.

Here are a few of her strategic achievements:

- Supported the Department of Science and Technology (DST) in the reaffirmation of the mandate of the HSRC through the promulgation of the HSRC Act (No. 17 of 2008).



WITH ITS VARIOUS RESEARCH PROJECTS THE HSRC AIMS TO IMPROVE THE WELLBEING OF SOUTH AFRICANS IN ALL SPHERES OF LIFE.

- Changed the perception of the HSRC as a fourth estate to an independent institution committed to providing evidence to inform policy options.
- Ensured that the HSRC provided credible support to the Appropriations Committee in parliament in its preparations for engaging with the national budget.
- Introduced and facilitated the South African Health and Nutrition Examination Survey with Demetré Labadarios, Leickness Simbayi and Thomas Rehle (an idea inspired by the USA 50-year National Health and Nutrition Examination Survey).
- Requested the support of the director-general of the DST to finance longitudinal studies, eventually leading to the financing of 24 mobile clinics to be used for the South African National Health and Nutrition Examination Study (SANHANES) and the South African National HIV, Behaviour and Health Survey (SABSSM V), etc.
- Continued to obtain unqualified audits from the Auditor-General.
- Improved the performance of the HSRC by ensuring alignment between national priorities and organisational goals, objectives and targets and putting in place systems to ensure achievement of goals.
- Improved the quality of publications of the HSRC by insisting on publication in internationally accredited journals.
- Introduced policy briefs to link research with policy.
- Established policies and systems to lay the foundation for a well-run HSRC.
- Hired highly competent and committed staff.

There were national accomplishments such as:

- Member of the South African National AIDS Council (SANAC) as chair of the research sector.
- HIV advisor to the Nelson Mandela Foundation and also previously advised Nelson Mandela on the introduction of ARVs in South Africa.
- Member of the Ministerial Committee on Transformation and Racism in Higher Education Institutions.
- Chairperson of the Ministerial Advisory Committee on National Health Insurance, 2009–2014.
- Member of the Economic Advisory Panel, Ministry of Economic Development, 2010–2011.
- Chairperson of the Committee of Heads of Organisations of Research and Technology (Cohort), July 2010–2014.
- Member of the 20-year Review Committee on Health, convened by the South African presidency, 24 June 2013.
- Chairperson of the Interim Council of the Sefako Makgatho Health Sciences University, May 2014–May 2015.

She served on various scientific committees:

- The organising committee of the 2nd African Conference on HIV/AIDS, 2004.
- A conference with the US National Institute of Health on Substance Use and HIV/AIDS, June 2003 in Cape Town as convener.
- The International Advisory Board of the AIDS Impact conference, 2005.
- The Africa-wide Social Aspects of HIV/AIDS Research Alliance (SAHARA) as chairperson.
- The five-country meeting to undertake behavioural and sero-surveillance studies with the SADC, UNAIDS and the WHO.



Sept 2006



Nov 2006



Sept 2007



Oct 2007

To foster increased collaboration with other African countries through research projects and partnerships, the HSRC signs an MoU with the Council for the Development of Social Science Research in Africa (CODESRIA), headquartered in Dakar, Senegal.

An MoU is signed between the HSRC and Unisa as part of the HSRC's mandate to foster collaboration networks within the human sciences research community.

An MoU is signed by the HSRC with the World Bank.

The HSRC signs an MoU with the University of Fort Hare.

- The WHO/UNAIDS HIV/AIDS surveillance group for Africa.
- The session on the 5th international conference on the scientific basis of health services, held in Washington DC, 20–23 September 2003 as chairperson.
- XIV International AIDS Conference in Barcelona, 2002, as scientific reviewer.
- XV International AIDS Conference in Bangkok, 2004 as scientific reviewer.
- The Swiss National Centre of Competence in Research (NCCR) North-South, as scientific programme reviewer until 2010.
- XVI International AIDS conference in Toronto, 2006 as scientific reviewer.
- The South African AIDS conference, 2007 as chairperson.
- American Journal of Public Health as scientific reviewer.
- The International Social Science Council: executive board member, 2006–present.
- The United States Institute of Medicine Advisory Committee on Methodological Challenges in HIV Prevention Trials, January 2007.
- The Scientific Programme Committee, AIDS 2012, Washington DC.

In addition, she served on community structures and was involved in community development:

- Member of the board of Emseni Resources, 2004–present.
- Funded projects on HIV Trusts.
- Member of the board of 46664, Nelson Mandela’s HIV/AIDS campaign: It’s in our hands, 2007–present. Appointed chairperson in 2013.
- Met with secretary-general of the UN as part of lobbying for the institutionalisation of Mandela Day.



Dec 2007

An MoU is signed between the HSRC and the Tshwane University of Technology (TUT).



Feb 2008

Collaboration is established between the HSRC and the ABEHE (Association for Black Empowerment in Higher Education) for student retention and graduate destinations study.

March 2008

An MoU is signed between the HSRC and Stellenbosch University.

Prof. Shisana is a guest of the Georgia Institute of Technology in Atlanta, Georgia.



Prof. Shisana is elected president of the International Social Science Council (ISSC) and also serves on the UNESCO Director-General’s High-level Panel for Science and Technology for Development, both in Paris, France.

Oct 2008

Aug 2009

At the Mandela Day launch in New York, Prof. Shisana meets the UN secretary general Ban Ki-moon.



Aug 2008

The HSRC enters into an MoU with the City of Tshwane.

July 2011

June 2010

Prof. Shisana signs an MoU with the New Partnership for Africa’s Development (Nepad), an economic development programme of the African Union.

During 2010

Prof. Shisana changes the course of the way the HSRC conducts its business through the ADEPTS approach to measuring the HSRC’s performance against targets.

During 2010

The HSRC receives a gold Public Sector Excellence award for Best Reputation: Training and Development Sector.



Sept 2008

CEO magazine awards Prof. Shisana a certificate of recognition in its Most Influential Women’s awards.

Prof. Shisana is a speaker at the XVII International AIDS Conference in Mexico City, Mexico.

July 2008

Aug 2011

The HSRC enters into an MoU with Morehouse College in Atlanta, USA.

Nov 2011

Prof. Shisana is the opening keynote speaker at the SAHARA (Social Aspects of HIV/AIDS Research Alliance) conference in Port Elizabeth. She established the SAHARA network ten years earlier.



Jan 2013

An MoU with UNAIDS, the joint United Nations programme on HIV/AIDS, is signed. Globally this collaboration involves the use of strategic information in developing regional policies. Locally the aim is to improve monitoring, evaluation and reporting of the AIDS epidemic at national and provincial level.

March 2013

The South African government appoints the HSRC to serve as an incubator for the South Africa BRICS (Brazil, Russia, India, China and South Africa) Think Tank, that will conduct evidence-based policy research and analysis to help inform the BRICS group's long-term strategy.



June 2013

Prof. Shisana is a speaker at the South African AIDS (SAAIDS) conference in Durban.



June 2013

City Press recognises Prof. Shisana as one of 100 World Class South Africans, celebrating some of the country's most extraordinary men and women for their outstanding achievements.

Prof. Shisana's contribution was widely recognised, for instance through the following awards:

- US Congressional Black Caucus Annual Legislative Conference: given Certificate of Recognition in appreciation for participation at the 'Global HIV/AIDS Update 2002; Together We Can, Together We Will', Washington DC, 12 September 2002 (presented by members of the US congress: Donna M Christensen and Barbara Lee).
- Sekunjalo Investment Group's Social Entrepreneurship and Service to Country Award in recognition of work done in public health and HIV/AIDS, 2003.
- Department of Health: 10 years of democracy: recognition for contribution to South Africa's public health by the Minister of Health, September 2004.
- National Science and Technology Forum 2004 Dr TW Kambule Senior Black Researcher Award over the last 5–10 years; sponsored by the National Research Foundation Category of Outstanding Contribution to the Science, Engineering and Technology (awarded in 2005).
- Winner in the Public and Utilities Sector of the *CEO Magazine's* South Africa's Most Influential Woman in Business and Government awards, 2008/9.
- The HSRC was awarded the 2009 Gold Award for Public Sector Excellence in the category for Best Reputation: Training and Development Sector (under Prof. Shisana's leadership).
- Named as one of the 100 World Class South Africans by *City Press* in association with Xstrata.
- Appointed honorary professor, University of Cape Town, in the Psychiatry and Mental Health Department.
- Winner of the Academy of Science of South Africa's 'Science for Society' Gold Medal award, 2013.
- Awarded the degree of Doctor of Laws honoris causa by Monash University in 2014.
- Top Female Public Sector Leader Award: Human Sciences Research Council (HSRC) by the 11th Standard Bank Top Women awards.



Oct 2013

Prof. Shisana attends a World Social Science Forum (WSSF) meeting in Barcelona, Spain.



Oct 2013

The Academy of Science of South Africa (ASSAf) awards Prof. Shisana a Science-for-Society Gold Medal for her contributions in the campaign to understand and contain HIV/AIDS in South Africa.

SHE WAS A FIRM BELIEVER IN ESTABLISHING MEMORANDA OF UNDERSTANDING THAT WOULD BRING ABOUT ACTUAL CHANGE AND DELIVERABLES.



Her personal international involvement was aligned with her commitment to forging research partnerships and promoting internationalisation:

- President of the International Social Science Council, 2010–2013 and chairperson of the World Social Sciences Forum, 2015.
- Cochairperson of the Global HIV Prevention Working Group, 2011–2012.
- Member of the UNESCO Director-General’s High-Level Panel on the Sciences, 2011.
- Established and chaired the South African BRICS Think Tank, 2013–2015.
- Founding member of the BRICS Think Tanks Council, 2013–2015.
- Member of the BRICS Academic Forum.
- Leader of South African delegations to Brazil and Russia.
- Member of the advisory board for the Centre for Sustainability Science, Academia Sinica, 2013.

What follows are a few of the many projects that formed part of the HSRC’s research programmes over the past decade under Prof. Shisana’s leadership. The report will outline some of the most strategic collaborations formed with stakeholders and show how research conducted by the HSRC has impacted communities in South Africa, Africa and beyond. Over the last decade, the research programmes changed names to reflect new research objectives and strategic thrusts in line with the vision of the chief executive officer. Not every research project, outcome or impact could be highlighted in this report as there are simply too many. For more information, contact any of the research programmes reported on below.



Jan 2014

The HSRC receives the Auditor-General award for a clean audit for this year.



June 2014

The Africa Institute of South Africa (AISA) is incorporated into the HSRC, with AISA functioning as a strategic research programme within the HSRC.



July 2014

Prof. Shisana is a speaker at the international AIDS conference in Melbourne, Australia.



Aug 2014

At the Standard Bank Top Women’s awards ceremony Prof. Shisana receives the Top Female Public Sector Leader Award.




April 2015

Prof. Shisana champions the hosting of the first ever Gender Summit Africa conference.

Please note: Several MoUs have been signed over the years. The ones included in this timeline are typical of MoUs signed over the last decade.



RESEARCH EXCELLENCE



DEMOCRACY, GOVERNANCE
AND SERVICE DELIVERY
(DGSD)

ECONOMIC PERFORMANCE
AND DEVELOPMENT (EPD)

HUMAN AND SOCIAL
DEVELOPMENT (HSD)

THE BRICS (BRAZIL, RUSSIA,
INDIA, CHINA AND SOUTH
AFRICA) RESEARCH CENTRE
(BRC)

HIV/AIDS, STIs AND TB (HAST)

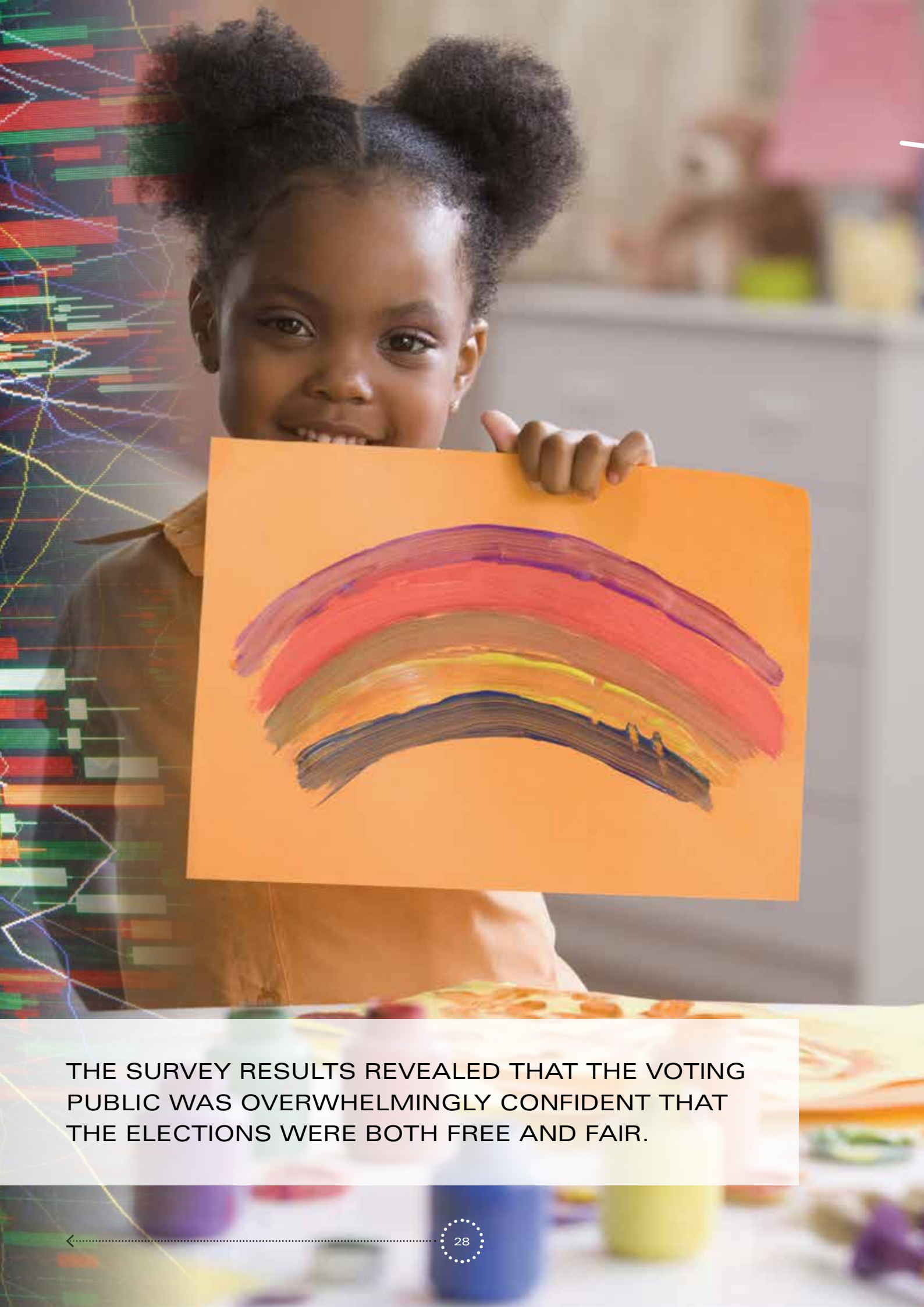
THE AFRICA INSTITUTE OF
SOUTH AFRICA (AISA)

EDUCATION AND SKILLS
DEVELOPMENT (ESD)

POPULATION HEALTH, HEALTH
SYSTEMS AND INNOVATION
(PHHSI)

RESEARCH USE AND IMPACT
ASSESSMENT (RIA)

CENTRE FOR SCIENCE,
TECHNOLOGY AND
INNOVATION INDICATORS
(CeSTII)



THE SURVEY RESULTS REVEALED THAT THE VOTING PUBLIC WAS OVERWHELMINGLY CONFIDENT THAT THE ELECTIONS WERE BOTH FREE AND FAIR.



DEMOCRACY, GOVERNANCE AND SERVICE DELIVERY (DGSD)



Read more about
DGSD at
[www.hsrc.ac.za/
en/departments/
democracy-
governance-and-
service-delivery](http://www.hsrc.ac.za/en/departments/democracy-governance-and-service-delivery)

A SELECTION OF RESEARCH STUDIES PUBLISHED OVER THE PAST DECADE

Research on state-owned enterprises

The 2010 Presidential State-owned Enterprises Review Committee (PRC) reviewed all state entities and made recommendations on aligning entities in all spheres of government to South Africa's developmental objectives. DGSD conducted research that sought to define state-owned enterprises (SOEs) and their roles in the developmental state, and to evaluate the state of SOEs in relation to developmental objectives.

It produced 31 broad recommendations which had policy implications in the short and long term such as the establishment of an SOE reform committee to take the reform process forward. Short-term reforms include the development of an overarching strategy for SOEs; medium-term reforms involve the introduction of an SOE act; and long-term reforms would be the development of a standardised performance management system.

South African Social Attitudes Survey (SASAS) with regard to the Financial Services Board (FSB) and the Independent Electoral Commission (IEC)

SASAS is a nationally representative, longitudinal survey series that has been administered annually since 2003. There were a number of key highlights for the survey series in the 2014/15 financial year:

1. Official IEC pre-election surveys were conducted in the months prior to the 2009 and 2014 national and provincial elections, as well as the 2011 municipal elections, using the SASAS infrastructure. These examined electoral attitudes and behaviour and over time provided insight

into the South African voting age public. The studies were followed by election satisfaction surveys, conducted on election day among a representative sample of voters around the country.

The survey results revealed that the voting public was overwhelmingly confident that the elections were both free and fair. This viewpoint was broad-based, irrespective of age, population group, sex, disability status or educational level of voters. The study was used by the IEC as one of the inputs in declaring the elections free and fair.

2. In 2010 the FSB commissioned the HSRC to include a module in the annual SASAS round as part of a cross-national investigation into financial literacy. This was coordinated by the Organisation for Economic Cooperation and Development (OECD) International Network on Financial Education (INFE). In 2011, the FSB commissioned a more comprehensive baseline survey to examine financial literacy using a multidimensional framework. This study informed the development of a measurement tool for charting change in financial literacy in the country on aggregate and in different dimensions. These measures subsequently informed the targets included in the National Consumer Financial Education Strategy (NCFES), which was approved in July 2013. In 2012 and 2013, short modules were included in SASAS to provide updates on the financial literacy measures and plans are under way for further refIELDING in 2015.
3. The SASAS programme was awarded a prestigious UK-SA Newton Fund grant in 2014, with matching funds from the Department of Science and Technology (DST), to deepen collaboration with the European Social Survey (ESS). The grant supported the inclusion of three ESS modules on the themes of health inequality, the understanding and evaluation of democracy, and confidence in the criminal justice system.

Other highlights include surveys examining domestic energy related attitudes and behaviour for the Department of Energy in 2011 and 2012, as well as increasingly including topics relating to the public understanding of science as a core component of SASAS. These comprised commissioned modules on attitudes towards nuclear energy and technology for the Nuclear Energy Corporation SA (Necsa), astronomy and the square kilometre array for DST, and the forthcoming 2015 SASAS round with a focus on attitudes towards biotechnology for the South African Agency for Science and Technology Advancement (SAASTA).

The missing link in overcoming violence, inequality and poverty (2013–2015)

The DGSD programme is in the final year of a 32-month international comparative study on the role of social cohesion in understanding the link between inequality, poverty and urban violence, entitled 'Social Cohesion: The missing link in overcoming violence, inequality and poverty?' The study focuses on two cities in the global south – Cape Town and Rio de Janeiro. The International Development Research Centre (IDRC) in Canada funds it. DGSD is working in partnership with the Laboratory for the Analysis of Violence at the State University of Rio de Janeiro in Brazil, the Centre for the Analysis of South African Social Policy (CASASP) in Oxford in Britain and the Institute for Security Studies (ISS) in South Africa.

The main objective of the research was to test the hypothesis that social cohesion is a factor in understanding why violence occurs in some contexts of poverty and inequality and not in others. Both Rio de Janeiro and Cape Town are characterised by high levels of violence and inequality and therefore provide an ideal comparative framework for research. Both have implemented significant interventions to combat violent crime in specific geographic territories, namely Violence Prevention through Urban Upgrading (VPUU) in Khayelitsha, Cape Town, and Pacifying Police Units (PPU) in designated *favelas* (slums) in Rio de Janeiro.

The study has yielded unprecedented sets of data from South Africa and Brazil to map relationships between poverty, inequality, violence, fear of crime and social cohesion. The qualitative research used an ethnographic approach to understanding social cohesion, violence and violence prevention in Khayelitsha and two *favelas* in Rio de Janeiro – Tabajaras and Cidade de Deus.

Expected products from the research include a peer-reviewed edited book, a special edition of the journal *South African Crime Quarterly* and policy briefs for South Africa and Brazil.

Assessment of the impact of the decisions of the constitutional court and supreme court of appeal

The DGSD research programme together with its partner, the Nelson R Mandela School of Law of the University of Fort Hare, were appointed by the Department of Justice and Constitutional Development to assess the impact of the two highest courts, the constitutional court and the supreme court of appeal, on the lived experiences of all South Africans.

The research focused particularly on the adjudication and implementation of socio-economic rights within the context of a capable and developmental state, and pertinent issues relating to access to justice and delivery of basic services with a view to addressing inequality and the eradication of poverty.

THE IMPACT OF RESEARCH ON LOCAL COMMUNITIES

Accelerating Sustainable Water Services Delivery (ASWSD) through technological innovation initiative

This project set out to provide practical application of the DST's strategy to introduce measures that make an impact by putting science and technology to work. The aim was to accelerate the provision of water and sanitation in historically disadvantaged areas in a sustainable manner. This was one of the first outputs of the initiative, which aims to find innovative ways (i.e. 'business unusual') to ensure that the targets for access to basic water and sanitation facilities are met in South Africa.

This project included focused interventions, and extensive networking with municipalities with the team acting as a catalyst for change to meet the huge development backlog in the Eastern Cape in particular. The team comprised the CSIR, the HSRC, the Independent Development Trust, the Water Research Commission and implementation agencies.

DGSD initiated innovative mechanisms to engage district municipalities which have considerable backlogs in workshops on implementation models. The strategy has been adopted and proposals for the implementation of safe drinking water projects in Amathole and OR Tambo District Municipalities were concluded.

A partnership was entered into with the Council for Scientific and Industrial Research (CSIR) to ensure coordination of the social and technical aspects of the research.

The project gained national significance as a research intervention in accelerating delivery to remote rural areas.

The work of DGSD in social mobilisation and hygiene promotion has been completed in the OR Tambo and the Amathole district municipalities. The project is seen as highly innovative with a good prospect for replication in other municipalities and provinces.

National Alliance for Community Advice Offices (NADCAO) study (2014/15)

South Africa has a community-based sector that is ailing, primarily as a result of resourcing challenges. The NADCAO study implemented a cost-benefit analysis which showed that serious and urgent consideration had to be given to the fiscal funding of CAOs as a means of enhancing access to justice. A major highlight of the study was the presentation of the findings at the first national symposium on the community advice office sector in South Africa held in Johannesburg on 24 to 25 November 2014.

Profiling livelihoods in South Africa (2014/15)

The livelihoods study is funded by the Programme to Support Pro-poor Policy Development (PSPPD). The livelihoods study utilises the National Income Dynamics Study (NIDS) and South African Social Attitude Survey (SASAS) data sets to gain an enhanced understanding of the impact of poverty and inequality on the livelihoods of South Africans. This study makes a unique contribution because it used the Sustainable Livelihoods Framework (SLF) of the UK Department for International Development as an analytical tool to examine the livelihoods of South Africans using national representative survey data from the SASAS series.

INTERNATIONAL PARTNERS: MEMORANDA OF UNDERSTANDING, COLLABORATIONS, PARTNERSHIPS AND OUTCOMES

Programme/Partner

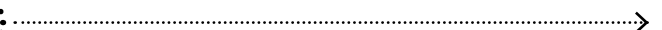
- City University of New York (CUNY), School of Business at Medgar Evers College
- International Development Research Centre (IDRC)
- State University of Rio de Janeiro, Brazil – Laboratory for the Analysis of Violence (LAV)
- University of Oxford
- International Social Survey Programme (ISSP)
- Indian Ocean Rim Association (IORA)
- Chinese Academy of Social Sciences (CASS)

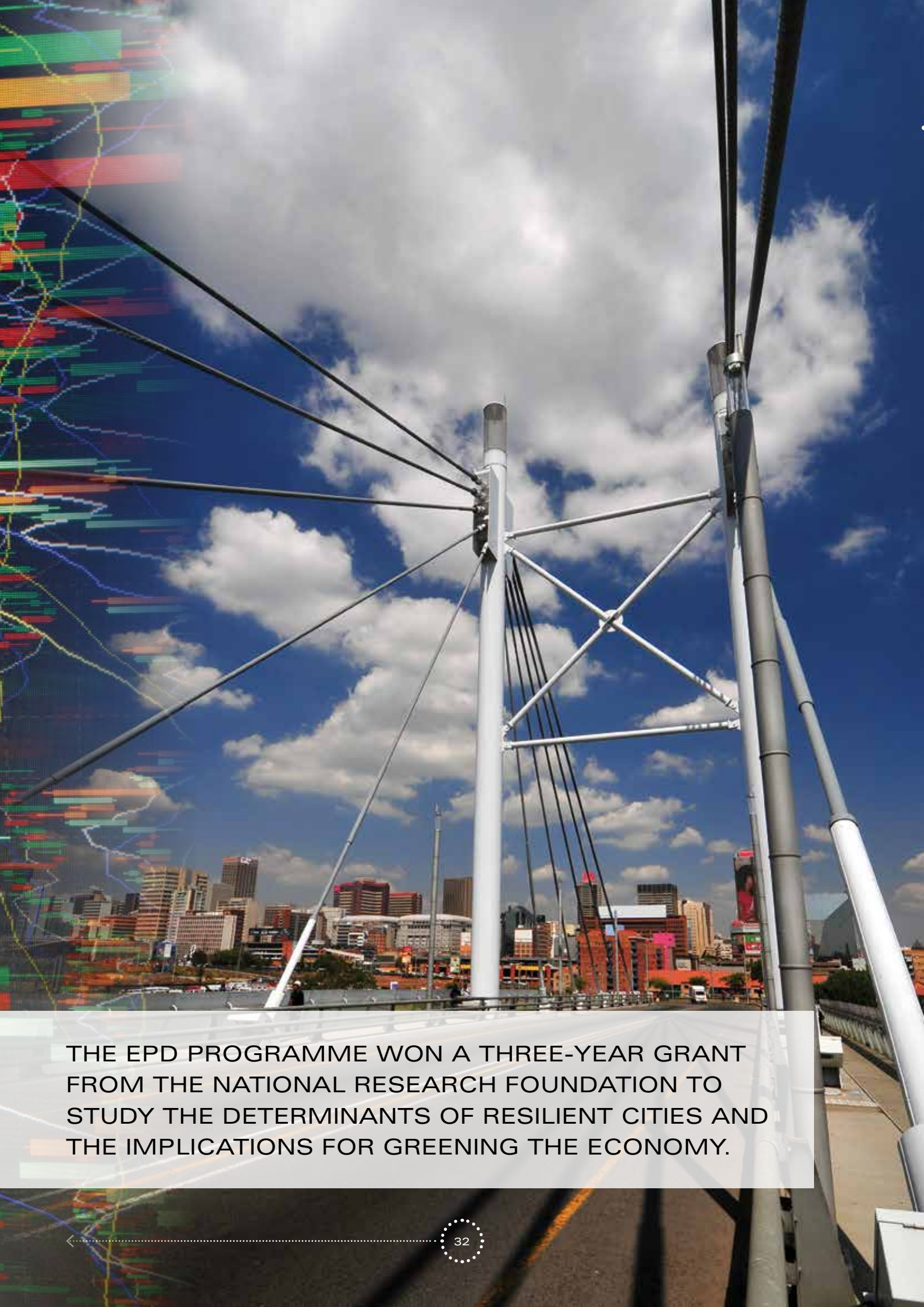


Prof. Narnia Bohler-Muller talks about her study on the assessment of the constitutional court and the supreme court of appeal



Minister of Science and Technology Ms Naledi Pandor, and some of the authors at the launch of the 2014 State of the Nation book





THE EPD PROGRAMME WON A THREE-YEAR GRANT FROM THE NATIONAL RESEARCH FOUNDATION TO STUDY THE DETERMINANTS OF RESILIENT CITIES AND THE IMPLICATIONS FOR GREENING THE ECONOMY.



ECONOMIC PERFORMANCE AND DEVELOPMENT (EPD)



Read more about the EPD programme at www.hsrc.ac.za/en/departments/economic-performance-and-development

RESEARCH EXCELLENCE

Resilient cities

Urbanisation in Africa has the potential to transform socio-economic conditions and reduce human vulnerabilities, depending on how well the process is planned and managed. The EPD programme won a three-year grant from the National Research Foundation to study the determinants of resilient cities and the implications for greening the economy.

The research found that the physical form of urbanisation is particularly important in promoting sustainability and urban resilience because of its far-reaching implications for the production and consumption of land, resources and energy.

Five academic papers were published in international journals, including:

- Environment and Planning
- Environment and Urbanisation
- Environmental Policy and Governance

Different papers focused on:

- informal settlements;
- the governance of cities;
- transport-housing interactions;
- employment and population trajectories;
- property development; and
- renewable energy.

The conclusions were highly supportive of Chapter 8 of the National Development Plan (NDP) to promote sustainable human settlements through more compact and integrated urban development.

City of Johannesburg (CoJ) audit of early childhood development (ECD) centres in 17 of the most deprived wards

The CoJ in partnership with the Hollard Foundation (HF), has committed itself to enhancing outcomes for children of 0–5 years in 17 of the most deprived wards in the City in recognition of the key role that access to quality ECD plays in children’s cognitive and social development.

EPD was commissioned by the CoJ and the HF to conduct an audit of ECD centres in these wards, with the expectation that this evidence would inform the development of an intervention strategy.

The audit was aimed at generating information on the level of compliance of ECD centres with the regulatory environment, to assess the quality of ECD service provision and, importantly, to identify vulnerable ECD centres.

The audit generated unique evidence about the nature and levels of vulnerability of ECD centres in the targeted wards through the construction of three fit-for-purpose composite indices, a vulnerability index, a regulatory and compliance index and an overcrowding index.

The process of developing these indices has revealed how ECD audits and the development of indices can be utilised in a fit-for-purpose approach to feed into and align with the strategic interventions of local government.

ENGAGEMENTS WITH AND IMPACT ON PERTINENT COMMUNITIES

The Expanded Public Works Programme (EPWP) Phase 2, KwaZulu-Natal – socio-economic impact assessment study

Public works programmes are a key policy instrument in South Africa for transferring social protection benefits to poor and unemployed able bodied adults. EPD undertook an impact evaluation study of the EPWP Phase 2 (2009–2014) on behalf of the KZN Department of Transport with the aim of generating evidence of the programmes' contribution to poverty alleviation for beneficiaries and their impact on economic growth in the province. The research generated evidence towards enhancing the impact of the EPWP on programme beneficiaries from poor and marginalised communities, particularly women and the youth. To this end two of the studies' recommendations were adopted by the Economic and Infrastructure Cluster Committee in March 2015.

The first policy recommendation was for the province to review the implementation of the 'Siyazenzela Food for Work' programme as a form of wage transfer. Study findings revealed that although the programme does to a limited extent address the food consumption smoothing needs of households, it was also associated with poorer socio-economic outcomes when compared to EPWP programmes that offered a cash transfer.

The second policy recommendation called for a review of the current indicator for measuring EPWP outcomes which focuses on the 'cost per work opportunity' with targets being framed around the number of work opportunities created. This indicator appears to incentivise the creation of work opportunities of a duration less than the recommended 100 days per year. The study proposed that a cost per person work day and the number of person days be adopted as a more accurate measure. This would encourage the maximisation of work days in the EPWP towards meeting full time work equivalent targets, with the goal of promoting sustained poverty impacts.

Enhancing active citizenry engagement in South Africa

This study investigated local and international best practices in engaging and enhancing active citizen participation in democratic processes and development in South Africa, as intended in the NDP, and in accordance with the Freedom Charter's postulation, that 'the people shall govern'. The study was commissioned by the National Development Agency (NDA).

The main purpose of this project was to find constructive and proactive ways of mitigating the frequency of violent protests in South Africa, which have emerged as the only

means by which the citizenry register their grievances with government or manage to get government to pay attention to their concerns. This highlights the fact that existing structures of communication or citizenry participation in governance and development processes such as the ward and ward councillor system, have failed to play their required role or achieve desired outcomes.

The output from this study was a community development framework within which the NDA can establish workable structures across the nine provinces in South Africa. These will serve as a key link between communities and government structures to foster inclusive development and citizens' participation in governance processes. A capacity development framework was also designed for the NDA to inform their capacity building approach and programmes required to make these structures functional and effective.

Rural innovation networks (the Ganyesa Wild Silk Enterprise case)

New techniques of harvesting and producing wild silk can yield significant benefits for rural communities. One example is the wild silk enterprise located in Ganyesa in North West. This example of how a rural innovation network operates formed part of the Rural Innovation Assessment Toolbox (RIAT) project, a multiyear Department of Science and Technology (DST) initiative.

This enterprise was set up to overcome inefficient methods and low volumes of silk production. New buildings were erected and a degumming plant was installed. The wild silk innovation network also helped the community-based enterprise to employ an innovative management and operational structure. Community members have been trained to improve their cocoon harvesting skills.

The textile technology division of the Council for Scientific and Industrial Research (CSIR) in Port Elizabeth has been instrumental in the design of the harvesting technologies and training of local people. Support from government departments was also critical for the early success of this venture. This illustrates the role of formal and informal innovation networks in improved sharing of knowledge and other innovations in rural areas.

ENGAGEMENTS WITH INTERNATIONAL PARTNERS

Emerging economies

The unit chaired an 'emerging economies' economic policy forum in China, on behalf of AISA (Africa Institute of South Africa) in November 2014. The theme was 'Emerging economies and the global economy-dynamic interactions and impact'.

The forum was hosted under the auspices of the government of China, the BRICS countries (Brazil, Russia, India, China and South Africa), GIZ (the German Federal Enterprise for International Cooperation) and the EFP (Employers' Federation of Pakistan) within the GIZ.

The evolution of national urban policies: a global overview

Recognising that 21st century urbanisation has enormous potential to help or hinder development in the global south, the United Nations is putting much effort into supporting governments to introduce national urban policies. EPD was commissioned by UN-Habitat to review the experience of such policies in 20 countries to distil lessons with a view to developing a new generation of urban strategies.

The report produced by EPD ('The evolution of national urban policies: a global overview') found countries to be aware of the heightened risks of social and environmental dislocation from poorly-managed urbanisation, but also more open to the potential of cities to generate prosperity. The most successful policies combine a deliberate political process to align decision-making across different stakeholders with a technical process. This combination is required to create the legal foundations, institutional capabilities and financial instruments to plan and develop functional cities.

The report was presented at the 25th governing council of UN-Habitat in Nairobi in 2015. It is also directly relevant to South Africa's new Integrated Urban Development Framework, which Prof. Ivan Turok coauthored.

Research study on the state of immigration in South Africa

South Africa's relatively higher level of economic development compared to other countries in the South African Development Community (SADC) region makes it an attractive destination for cross-border migrants. In 2014, the Department of Home Affairs commissioned the HSRC to assemble baseline evidence about the country's cross-border migrant profile.

The study discussed South Africa's position regarding international laws and conventions on cross-border migration, as well as regional migration and mobility-related policies in the SADC. South Africa has neither signed nor ratified some crucial conventions, for example the statelessness treaties, and has no dedicated domestic legislation in place to deal with statelessness.

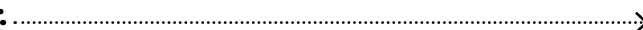
Key challenges and problems with regard to immigration management systems or measurement range from operational and capacity matters to organisational culture and data inconsistencies. For South Africa to reap the full economic benefits from cross-border migrants, a holistic approach to all economic aspects of international migration remains a critical first step, in contrast to current piecemeal approaches. Better monitoring of immigration patterns and comprehensive measurement of the economic contributions of international migrants to South Africa requires investment in a customised international migration barometer – a rigorous evidence-based tool to inform immigration policy decisions.

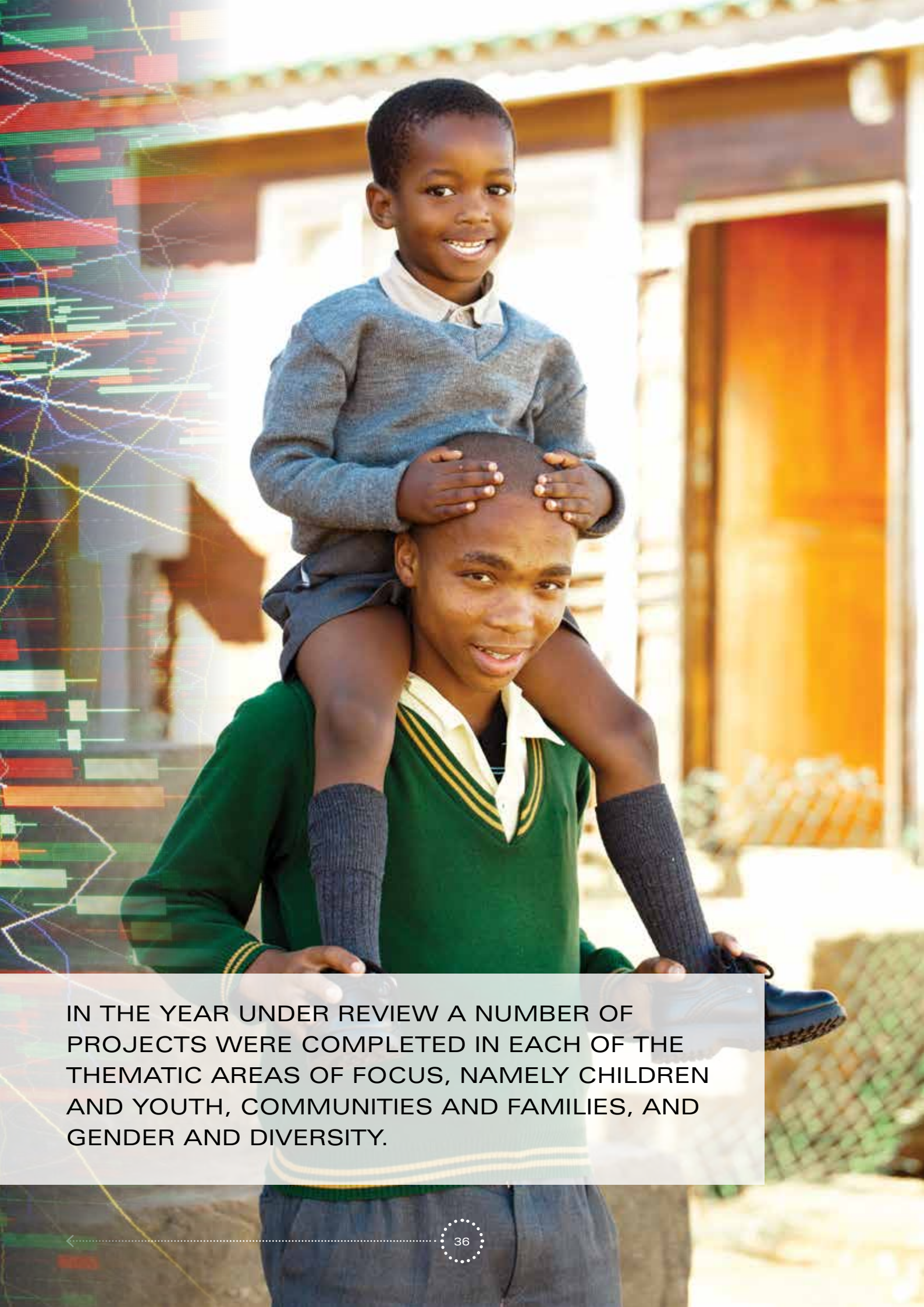


Dr Peter Jacobs addresses a seminar on rural development in South Africa



Delegates at an urbanisation discussion hosted by UN-Habitat





IN THE YEAR UNDER REVIEW A NUMBER OF PROJECTS WERE COMPLETED IN EACH OF THE THEMATIC AREAS OF FOCUS, NAMELY CHILDREN AND YOUTH, COMMUNITIES AND FAMILIES, AND GENDER AND DIVERSITY.



Read more about HSD at www.hsrc.ac.za/en/departments/human-and-social-development

HUMAN AND SOCIAL DEVELOPMENT (HSD)

The HSD programme has been in existence for the past five years and was formed largely out of the former Child, Youth, Family and Social Development programme and the Gender and Development unit.

The work of the HSD programme addresses two key priorities of the National Development Plan (NDP):

1. The social protection of those individuals and communities who are vulnerable to the shocks and consequences of life lived in the midst of poverty and inequality.
2. The ongoing task of nation building and social cohesion in a society fragmented by a history of racial discrimination, gender inequality and a poor record of protecting the rights of minorities – as evidenced by ongoing homophobic and xenophobic violence.

In the year under review a number of projects were completed in each of the thematic areas of focus, namely children and youth, communities and families and gender and diversity. HSD reports on these below, tracing some of its ten-year achievements and highlighting research excellence in some, and international and community engagement in others.

Research excellence in gender and diversity

Since 2005 HSD's focus on gender and diversity has resulted in institution-wide training in gender mainstreaming becoming an annual performance criterion for all HSRC staff. The result has been the widespread adoption of gender analytical tools to design and implement diversity-sensitive policies and research.

The quality and relevance of HSD's overall institutional research has been enhanced by this focus and outputs include studies on sexuality, HIV/AIDS, and gender-based violence, intersecting with broad human and social domains such as poverty, transport, affirmative action, equity, the millennium development goals, ageing, and agriculture.

In 2008 a gender and women audit in the National Department of Transport confirmed the need for mainstreaming gender in the transport sector. In the same year the study on the impact of gender policies and interventions on the commitment and attitude of teachers toward achieving the millennium development goals, showed that girls and women were underrepresented in science, engineering and technology courses at tertiary level.

In 2009, a fellowship programme together with Columbia University and the University of California, Los Angeles (UCLA) funded by the MAC AIDS Fund (MAF), was implemented to respond to the complex challenges of promoting leadership through gender equality in HIV prevention. To date, over 70 fellows have been trained.

The first pioneering conference on gender, same-sexuality and HIV/AIDS in South Africa focused on making visible the role of homosexual transmission in the broader epidemiological picture and led to the publication, *From Social Silence to Social Science*.

Funding from the American Foundation for AIDS Research (AmFar) led to a study on minority stress and social support among men who have sex with men (MSM) in Tshwane. This was followed by a multiyear study, funded by the US National Institutes of Health (NIH), with Columbia University on sexual risk in African MSM.

Funding in 2010 for a multicountry Southern African study on women who have sex with women (WSW) and their health needs, led to collaboration with civil society organisations in Botswana, South Africa, Namibia and Zimbabwe.

Several high impact papers and policy briefs have since been published using data from MSM and WSW research. The same year saw the publication of *The Country we want to live in: Hate Crimes and Homophobia in the lives of black lesbian South Africans* giving attention to the prevalence of gender-based violence and the lack of attention to non-normative sexualities.

In 2009 a special edition of *Agenda* focused on gender and poverty reduction. Aspects of this work was then developed into 'South African Women as Champions of Change' that also addressed early childhood development, violence against women, the coordination of civil society initiatives, and employment creation.

In 2014 work on care and gender across domains such as policy, theory and material life resulted in the book *Care in Context: Transnational Gender Perspectives*.

Engaging with international and national partners concerning children and youth

During the last ten years the HSRC has contributed to research and policy-making relating to children and youth, both domestically and internationally. Child, Youth, Family and Social Development played a leading role in the 2007–08 joint learning initiative on children affected by HIV/AIDS. This international initiative, coordinated by Harvard University, helped shape the policy approach of a number of the largest donors in the field.

The fatherhood project worked closer to home and encouraged a re-examination of how the role of fathers in the care of children was portrayed. It included a photographic exhibition and the publication of two influential volumes *Baba: Men and Fatherhood in South Africa* (2006) and subsequently *Teenage Tata: Voices of young fathers in South Africa* (2009).

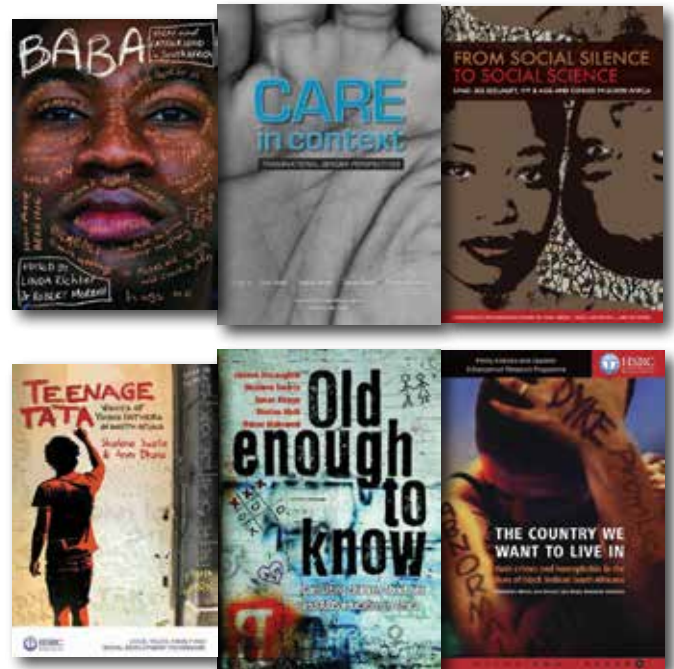
A long-running theme of the HSRC's work in relation to children has been Early Childhood Development (ECD). More recently (2013–14) the HSRC led the team responsible for the drafting of the national ECD policy and programmes and continues to support the Department of Social Development (DSD) in moving the draft forward.

Work on children affected by HIV/AIDS continued in the HSD programme. *Old Enough to Know* (2012) was the result of a long-term collaboration with the University of Cambridge. It focused on how children are taught about sex and HIV prevention in African countries that included South Africa, Botswana, Swaziland, Ghana, Kenya and Tanzania.

In the 2014/15 financial year the HSRC led an initiative funded by the United States Agency for International Development (USAID) and the President's Emergency Plan for AIDS Relief (PEPFAR), to examine the long-term negative impacts of adult HIV on affected children.

In the course of working with the youth, various reports on the state of the youth (most recently in collaboration with the National Youth Development Agency) have been written. HSD also partnered with Harvard University, Centers for Disease Control and Prevention (CDC), and the Global Fund in furthering the science of peer education as a tool for promoting young people's health and wellbeing in and out of school.

In 2015 HSD produced a policy brief 'Ensuring an optimal environment for peer education in South African schools: Policy options for healthy and effective learning' summarising research findings over 13 years and making strong recommendations regarding the what, how and when of peer education.



Selected book titles produced by HSD researchers over the past ten years

Provoking change and engaging communities and families

In the past decade the HSD programme also focused attention on changes in communities and family structure. It has made significant contributions towards a new South African family policy including a policy brief 'Towards the development of a family policy for South Africa (2013)', intersectoral workshops with government and civil society, and numerous academic papers.

In 2014 HSD completed a baseline study on families in Mpumalanga that employed in-depth focus groups and interviews, alongside an analysis of existing literature and quantitative analyses of general household survey data between 2002 and 2009.

Two key findings were that the size of families changes across generations:

1. Young adults tend to head smaller families compared to ageing parents who tend to be responsible for large multigenerational families.
2. The role of the extended family is being diminished with the result that support is often obtained from elsewhere including neighbours and churches.

Recommendations from this study highlighted the importance of intergenerational care in families along with the need for family policy to simultaneously address psycho-social and material support as equally critical components of family wellbeing. A dissemination seminar was held in Nelspruit which included government officials and civil society.

A further study impacting families and communities was completed this year – focusing on migration in the Eastern Cape. The study included a review of the history of migration in the province, the extent and nature of migration trends and the overall impact of migration in the province.

It was found that more people migrate out of the Eastern Cape than from any other province – the Western Cape and Gauteng are their main destinations. Most are lower-skilled professionals who leave the Eastern Cape due to a lack of jobs and poor amenities – including poor schooling, roads and health facilities.

It was also found that the Eastern Cape is ill prepared to attend to a large number of return migrants who suffer from occupation-related illnesses. This is especially the case for lung-related illnesses that are common in people who have worked in mines.

Recommendations made based on this study included setting up centres for lung examinations of former miners in the province (this has subsequently been implemented by the DSD in Bisho); and revising budget allocations to the Eastern Cape taking into account the circular nature of migration.

The Eastern Cape population varies seasonally and over years as people leave and return. The province has been receiving a progressively lower share of the national budgetary allocation from Treasury. This is due to the perceived decline in the population that does not take into account the return of workers over time, and the need for additional resources to take care of them since many return home due to ill health.




Members of the migrant population in Marikana, North West province



Prof. Tamara Shefer (UWC) and Prof. Vasu Reddy (executive director) and the HSRC Press director Mr Jeremy Wightman, at the Care in context book launch



Delegates attending the HSD seminar on primary animal healthcare



GIVEN THE ANTICIPATED ONGOING DEMAND FOR BRICS RELATED RESEARCH IN SOUTH AFRICA, THE HSRC BOARD RESOLVED TO SET UP AN HSRC BRICS RESEARCH CENTRE DEDICATED TO COORDINATING, FACILITATING AND UNDERTAKING BRICS RESEARCH.



THE BRICS (BRAZIL, RUSSIA, INDIA, CHINA AND SOUTH AFRICA) RESEARCH CENTRE (BRC)



Read more about the BRC at www.hsrc.ac.za/en/departments/brics-research-centre

BACKGROUND

The BRICS research centre (BRC) was set up in August 2014 in response to the growing demand for BRICS related research within South Africa and abroad. In March 2013 the South African BRICS Think Tank (SABTT), led by the HSRC chief executive officer, Prof.Olive Shisana, drew on the HSRC's capacity to fulfill her obligations and responsibilities as the first chairperson of the BRICS Think Tanks Council (BTTC). Through involvement with the SABTT, the HSRC identified the possibility of an increased demand for BRICS related research associated with South Africa's membership of the BRICS group of countries. Given the anticipated ongoing demand for BRICS related research in South Africa, the HSRC board resolved to set up an HSRC BRICS research centre dedicated to coordinating, facilitating and undertaking BRICS research.

RESEARCH EXCELLENCE

In the 2013/14 financial year the SABTT played the leading role in developing the BRICS long-term strategy that was endorsed by the BRICS heads of state summit in Fortaleza, Brazil in July 2014. The current head of the BRC was the lead author and coordinator of the long-term strategy document.

The long-term strategy is axed around five key pillars that will drive BRICS long-term goals, policy objectives, targets and instruments. These pillars are:

1. promoting cooperation for economic growth and development;
2. peace and security;
3. social justice, sustainable development and quality of life;

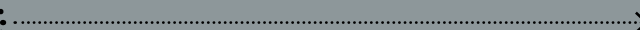
4. political and economic governance; and
5. progress through knowledge and innovation sharing.

In endorsing the long-term strategy, the BRICS heads of state commissioned the BTTC to further analyse each of the pillars. Each BTTC member country was assigned a specific pillar for analysis, assessment, and to provide a set of recommendations for the final submission to the heads of state.

The BRC has spearheaded SA's contribution to the third pillar identified in the BRICS long-term strategy, viz. social justice, sustainable development and quality of life. The research identified that, while the BRICS countries have managed to sustain considerable economic growth, they continue to face significant challenges in ensuring social and economic justice at national and regional levels.

Various policy areas were expanded in the document which informed the recommendations that the BTTC made to the BRICS heads of state summit in Russia in July 2015. This was done in pursuit of an agenda to exchange ideas and learn from each other in policy areas such as extreme poverty, inequality, unemployment and protection of the vulnerable.

Another research initiative of the BRC was the development of the paper 'Post-apartheid South Africa: A review of policy and financial interventions for the edges of housing provision and ownership 20 years into democracy'. This paper paid particular attention to the neglected edges of home ownership and housing provision in South Africa, and to consider a more inclusive and sustainable financing mechanism for public housing.



In particular, the review offered an analysis identifying why a segment of households in the housing gap market for affordable housing is caught between inaccessibility of mortgages because they do not earn enough, and inaccessibility of public subsidised housing because they earn too much.

The assessment revealed that government's current housing policy targets and prioritises unsustainable subsidised home ownership for the most vulnerable, at the expense of the affordable housing gap market. The net result of this approach is a backlog in the supply of affordable housing in general and social housing in particular.

In the paper 'Looking beyond South Africa: inequality, urgency for the BRICS and the post-2015 agenda', the BRC outlined the basic elements that define inequality and examined the manifestation of inequality in South Africa and other BRICS countries. The post-2015 BRICS agenda is informed by the UN's sustainable development goals and is captured in the five pillars of the BRICS long-term strategy. Of the five pillars, social justice, sustainable development and quality of life, speak directly to the way BRICS countries wish to address inequality, poverty and unemployment.

With respect to wider public policy research, the BRC was seconded to the Presidential Public Service Remuneration Review Commission (PPSRRRC) to conduct a baseline study for the commission's review of public service remuneration and conditions of employment. The study focused on the constitutional and legal context, definition of key terms, principles, best practices, data and information to guide the investigation of the commission.

Given the broad remit and scope of the enquiry, the baseline research will unpack the nature of the public service and public entities. This will be done with reference to the Public Finance Management Act (PFMA), with particular consideration to the remuneration of educators and their terms and conditions of employment. With respect to the latter, the research reviewed the relationship to:

- organisational development;
- job evaluation and grading;
- recruitment;
- appointment and promotion;
- human resource planning and utilisation; and
- performance management systems, policies and practices.

The engine that drives the BRC research effort is its BRICS data warehouse. The centre has identified the creation of a data warehouse as the comparative advantage necessary to set apart the BRC and SABTT from other BRICS research institutes. Through the successful collection, analysis and storage of multidisciplinary BRICS related data and indicators from South Africa and other BRICS countries, research

outputs could be produced based on BRICS produced data rather than data from external sources such as the World Bank, United Nations Development Programme (UNDP), etc.

Socio-economic indicator data in the data warehouse will be used by the BRC to construct a series of composite indicators that can be used to measure progress in attaining the objectives and targets of the five pillars of the BRICS long-term strategy and will inform future research priorities.

ENGAGEMENTS WITH AND IMPACT ON PERTINENT COMMUNITIES

The BRC on behalf of SABTT and the Department of International Relations and Cooperation (DIRCO), in particular, coordinated three regional civil society consultative workshops for a review of South Africa's BRICS strategy. The aim was to solicit the views of civil society, academics, labour and business on South Africa's strategic goals for BRICS participation in the medium to long term.

The HSRC BRICS research centre also hosted an SABTT/ StatsSA exploratory workshop on social indicators to discuss issues raised in the Fortaleza Declaration of the BRICS heads of state summit in Fortaleza, Brazil, in July 2014.

The workshop explored the modalities for taking forward the call from the BRICS heads of state with respect to the indicators and datasets for South Africa and those reported in the BRICS joint statistical publication.

A major achievement for the BRC and SABTT was the hosting of a BRICS seminar series. The programme included 14 presentations intended to stimulate interest in BRICS related issues and to involve BRICS stakeholders from other institutions and the public at large.

ENGAGEMENTS WITH INTERNATIONAL PARTNERS

The BRC together with the Department of Higher Education and Training (DHET) coordinated arrangements for South Africa's participation in the seventh BRICS academic forum and the annual BTTC meetings held in Moscow in May 2015.

The academic forum brought together a multidisciplinary group of BRICS academics presenting research papers on a wide range of BRICS related themes. South Africa's participation at the academic forum was preceded by a pre-academic forum workshop the BRC organised in Pretoria on 15 March 2015.

The workshop provided a platform for South African academics to present and engage with their peers before final presentation in Moscow. This preparatory phase ensured South Africa's successful participation at the VII Academic Forum in Moscow.

The BRC contributed to various international conferences in 2014/15. This included the international seminar on the edges of home ownership in Delft, the Netherlands, the Indian Ocean Rim Association (IORA) Renewing Maritime Trade and Civilizational Linkages in Bhubaneswar, India, the IORA Blue Economy in Dhaka, Bangladesh and IORA Blue Economy Core Group Workshop in Durban. The BRC's submissions to these conferences positioned the BRC among its international peers.

CONCLUSION

The BRC will continue to conduct multidisciplinary BRICS-related policy research related to the five pillars identified in the BRICS long-term strategy. Although the research is focused on the challenges that face the BRICS countries, these challenges and the strategies also relate to the targets discussed in the National Development Plan (NDP). For example, if the BRC considers the universal right to shelter, it

notes that these concerns pertain both to the pillar on social justice, sustainable development and quality as well as to the NDP chapter on transforming human settlements.

In an in-depth review of the NDP's objectives for transforming human settlements, the BRC notes various interrelated factors which have a bearing on BRICS-related research concerns such as spatial planning, upgrading settlements, employment opportunities, access to transport and basic services as well as access to quality education and suitable healthcare.

The linkages between the NDP and the BRICS pillars provide opportunities for future BRC research to address the many objectives of the NDP. This research will contribute towards policies for immediate, concrete impact on the strategic economic, social and geo-political planning of the country, relevant to the objectives of the NDP as well as the wider BRICS concerns.

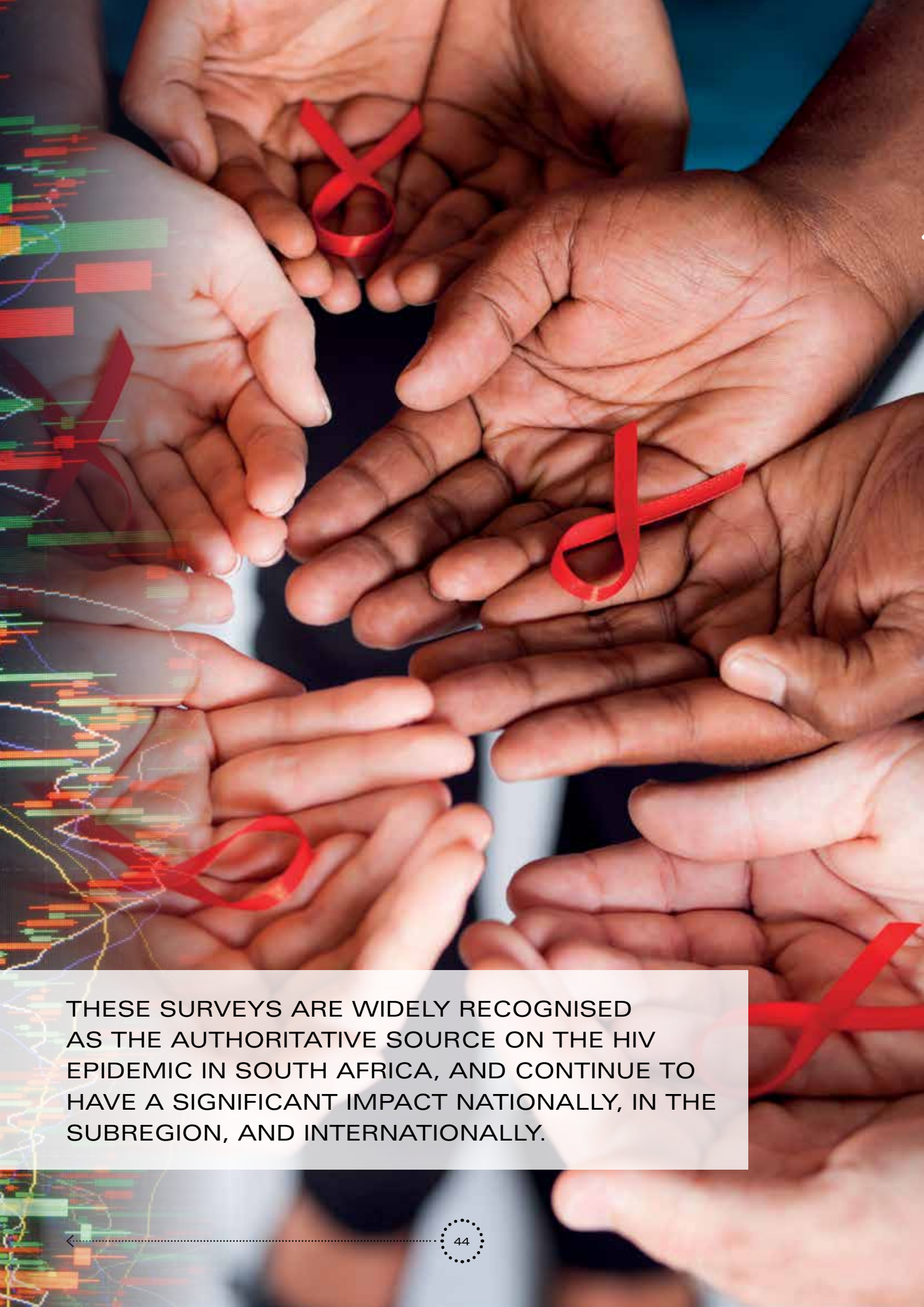
Feedback on BRICS research is given to HSRC staff in Pretoria



The BRICS Think Tank meeting held at the University of Durban Westville



Prof. Olive Shisana with the South African delegation at the BRICS Think Tank seminar



THESE SURVEYS ARE WIDELY RECOGNISED AS THE AUTHORITATIVE SOURCE ON THE HIV EPIDEMIC IN SOUTH AFRICA, AND CONTINUE TO HAVE A SIGNIFICANT IMPACT NATIONALLY, IN THE SUBREGION, AND INTERNATIONALLY.



HIV/AIDS, STIs AND TB (HAST)



Read more about
HAST at
[www.hsrc.ac.za/en/
departments/hiv-aids-
stis-and-tb](http://www.hsrc.ac.za/en/departments/hiv-aids-stis-and-tb)

THE SOUTH AFRICAN NATIONAL HIV PREVALENCE, INCIDENCE AND BEHAVIOUR SURVEYS – 2005, 2008 AND 2012

In 2012 HAST continued implementing its flagship national population-based household HIV survey series, which was started under the old SAHA (Social Aspects of HIV/AIDS and Health) research programme in 2002 and was also repeated in both 2005 and 2008.

South Africa is the first country to have done such a survey so many times with the fifth instalment scheduled for 2015–2016. These HSRC surveys are widely recognised as the authoritative source on the HIV epidemic in South Africa, and continue to have a significant impact nationally, in the sub-region, and internationally. The data from the surveys provide crucial information for developing policies and strategies and improve practice in the area of HIV/AIDS.

The recently released 2012 survey report has served both as a benchmark for the evaluation of the National Strategic Plan (NSP) for HIV and STIs for 2007–2011 and also as a baseline for tracking progress and impact of the next programming cycle based on the current South African NSP for HIV/AIDS, STI and TB for 2012–2016.

Reports and/or publications:

Rehle, T.M., Hallett, T.B., Shisana, O., Pillay-van Wyk, V., Zuma, K., Carrara, H. & Jooste, S. (2010) A decline in new HIV infections in South Africa: estimating HIV incidence from three national HIV surveys in 2002, 2005 and 2008. *PLoS One*. 5(6):Online.

Johnson, L. F., Rehle, T. M., Jooste, S. & Bekker L. (2015) Rates of HIV testing and diagnosis in South Africa: successes and challenges. *AIDS*. 2015. 29:1401-1409.

Shisana, O., Rehle, T., Simbayi, L.C., Parker, W., Zuma, K., Bhana, A., Connolly, C., Jooste, S., Pillay, V., et al. (2005) *South African National HIV Prevalence, HIV incidence, Behaviour and Communication Survey, 2005*. Cape Town: HSRC Press.

Shisana, O., Rehle, T., Simbayi, L.C., Zuma, K., Jooste, S., Pillay-Van Wyk, V., Mbelle, N., Van Zyl, J., Parker, W., Zungu, N.P., Pezi, S. & SABSSM III Implementation Team. (2009) *South African National HIV Prevalence, incidence, Behaviour and Communication Survey, 2008: a turning tide among teenagers?*. Cape Town: HSRC Press.

Shisana, O., Simbayi, L.C., Rehle, T., Zungu, N.P., Zuma, K., Ngogo, N., Jooste, S., Pillay-van Wyk, V., Parker, W., Pezi, S., Davids, A., Nwanyanwu, O., Dinh, T.H. & SABSSM III Implementation Team. (2010) *South African National HIV Prevalence, Incidence, Behaviour and Communication Survey, 2008: the health of our children*. Cape Town: HSRC Press

Shisana, O., Rehle, T., Simbayi, L.C., Zuma, K., Jooste, S., Zungu, N., Labadarios, D. & Onoya, D. (2014) *South African National HIV Prevalence, Incidence and Behaviour Survey, 2012*. Cape Town: HSRC Press.

RANDOMISED COMMUNITY-LEVEL HIV PREVENTION INTERVENTION TRIAL FOR MEN WHO DRINK IN SOUTH AFRICAN ALCOHOL-SERVING VENUES

South African alcohol-serving establishments like shebeens, offer unique opportunities to reduce HIV risks among men who drink. A study using a randomised control trial (RCT) design was undertaken to test an HIV prevention intervention at the level of the individual as well as the social structure for men who drink in shebeens.

Twelve matched pairs of township neighbourhoods in Cape Town were randomised to receive either:

1. an HIV prevention intervention (guided by the Social Action Theory) to reduce sexual risk and increase risk reduction communication in social networks; or
2. an attention-matched control intervention that focused on the prevention of relationship violence.

At the individual level, the interventions delivered skills building workshops focused on sexual risk reduction. At the social structural level, the intervention aimed to increase conversations about safer sex among men in shebeens.

Men in the HIV prevention workshops demonstrated greater condom use, more HIV prevention-oriented conversations and greater awareness of safer sex norms than men in the comparison workshops.

It was concluded that multilevel interventions that target men who drink in South African shebeens may help reduce risks for HIV and other sexually transmitted infections.

Publication

Kalichman, S.C., Simbayi, L.C., Cain, D., Carey, K.B., Carey, M.P., Eaton, L., Harel, O., Mehlomakhulu, V. & Mwaba K. (2013) Randomised community-level HIV prevention intervention trial for men who drink in South African alcohol-serving venues. *European Journal of Public Health*. 24(5), 833-839.

THE NATIONAL INSTITUTE OF MENTAL HEALTH (NIMH) PROJECT ACCEPT: MOVING FROM INDIVIDUAL CHANGE TO STIMULATING HIV PREVENTION IN ENTIRE COMMUNITIES (2004–2012)

After 1994, HIV was largely hidden with only certain target groups – such as women – being reached by a predominantly clinic-driven approach to HIV counselling and testing. Project Accept was the first community-randomised trial in the world to test a combination of social, behavioural, and structural approaches for HIV prevention and its impact on HIV incidence.

The study was conducted in 34 communities in Africa and 14 communities in Thailand. In South Africa, the trial was conducted through the HSRC’s rural field office in KwaZulu-Natal.

Project Accept demonstrated that an intervention comprising of community mobilisation, mobile HIV counseling and testing and post-test support:

1. improved rates of testing in communities among both men (45%) and women (15%);
2. produced an almost four-fold increase in the detection of previously undiagnosed HIV cases;
3. reduced HIV risk behaviours, especially among HIV positive men; and
4. resulted in an overall reduction in incident HIV infections of 13.9%.

This groundbreaking study showed that it is possible to implement and evaluate interventions in entire communities, that men can be effectively engaged in community-based HIV testing programmes and that HIV positive men can change their risk behaviours.

Project Accept provides a benchmark for other large community-level interventions that are currently being implemented.

Publication

Coates, T.J., Kulich, M., Celentano, D.D., Zelaya, C.E., Chariyalertsak, S., Chingono, A., Gray, G., Mbawambo, J.K.K., Morin, S.F., Richter, L., Sweat, M., Van Rooyen, H., McGrath, N., Fiamma, A., Laeyendecker, O., Piwowar-Manning, E., Szekeres, G., Donnell, D., Eshleman, S.H. & NIMH Project Accept Study Team (2014). Effect of community-based voluntary counselling and testing on HIV incidence and social and behavioural outcomes (NIMH Project Accept; HPTN 043): a cluster-randomised trial. *Lancet Global Health*. 2:267-277.

THE SOUTH AFRICAN MARANG MEN’S PROJECT: HIV BIO-BEHAVIOURAL SURVEYS USING RESPONDENT-DRIVEN SAMPLING CONDUCTED AMONG MEN WHO HAVE SEX WITH MEN (MSM)

The Marang Men’s Project was a biological and behavioural survey (BBS) that used respondent-driven sampling (RDS) to recruit MSM in Cape Town, Durban and Johannesburg. The cross-sectional survey assessed HIV risk behaviours. Dried blood spot (DBS) specimens were collected as a biomarker test for the prevalence of HIV among MSM. In total, 925 MSM were found to be eligible for survey participation and were included in the analysis.

Survey respondents were predominantly young (median age: 24 years), black African, self-identified as gay and unemployed. HIV prevalence estimates were found to be high among MSM in all three cities studied.

Two predictors of HIV infection found in all three cities were age (i.e. 25 and older) and self-identification as gay. However, self-reported condom use at last sex with a man was found to be high in all three cities. In addition, self-reported transactional sex differed per study city, with 52.6% of the study sample in Cape Town self-reporting selling sex to other men in the last six months.

It was concluded that the Marang Men’s Project has demonstrated that there is an urgent need for management of not only the heterosexual HIV epidemic, but also HIV among MSM in the three cities. This survey provides valuable information to the South African National AIDS Council to advocate for improved programmes for the health of MSM.

Report

Cloete, A., Simbayi, L.C., Rehle, T., Jooste, S., Mabaso, M., Townsend, L., Ntsepe, Y., Louw, J., Naidoo, D., Duda, T., Naidoo, P. & Marang Project team. (2014) *The South African Marang men’s project*. Cape Town: HSRC Press.

COMMUNITY-BASED HOME HIV COUNSELING AND TESTING (HCT) AND LINKAGE STRATEGIES IN SOUTH AFRICA AND UGANDA

Early antiretroviral therapy (ART) initiation significantly decreases HIV associated morbidity and mortality, and HIV transmission.

In high HIV prevalence settings such as South Africa and Uganda, efficient and effective HIV testing and linkage strategies are needed to find asymptomatic HIV positive persons and link and retain them in HIV care. An observational cohort study was conducted in South Africa and Uganda on the impact of the following factors on ART uptake and viral load suppression:

- Community-based HCT
- Point-of-care CD4 count testing
- Linkage to care
- Follow-up visits
- Viral load counseling

In total 3 393 adults were tested for HIV (96% coverage), of whom 635 (19%) were HIV positive and of those 229 (36%) were newly diagnosed. By month six, 611 (96%) of HIV positive persons had visited an HIV clinic. By month 12 among ART eligible participants 76% and 90% of newly identified and known HIV positive persons, respectively, have initiated ART.

A high convergence was found between community-based HCT delivered by lay counselors at home and testing and

linkages to care in rural South Africa and Uganda. This indicates high adherence and reduced infectiousness at population level, a necessary prerequisite for successful ART for prevention.

Publication

Van Rooyen, H., Barnabas, R.V., Baeten, J.M., Phakathi, J., Joseph, P., Krows, M., Hong, T., Murnane, P.M., Hughes, J. & Celum, C. (2013) High HIV Testing Uptake and Linkage to Care in a novel programme of home-based HIV counselling and testing with facilitated referral in KwaZulu-Natal, South Africa. *Journal of Acquired Immune Deficiency Syndrome*. 64:e1-e8.

COMMUNITY IMPACT

HAST worked for a period of eight years on the NIMH Project Accept, a community-based trial, in an area affected by HIV and AIDS, poverty and unemployment. During this time, close to 150 staff members were employed.

Up to 60 community volunteers were also involved in the project. All volunteers were put through skills building processes (e.g. CV and job interview training; learner drivers courses, computer literacy, etc.), which increased their employability following their involvement in the project.

Conducting community-based research in contexts where poverty, unemployment and other social problems are prevalent is not easy. Through careful examination of one's role and the process it is possible to make a difference to the lives of participants and to their communities.



Prof. Olive Shisana and Dr Aaron Motsoaledi, Minister of Health, at the HAST SABSSM launch



Field workers receive HAST project training



AISA WILL INTENSIFY STUDIES ON FOOD SECURITY STRATEGIES ACROSS THE CONTINENT AND INVESTIGATE NATURAL RESOURCE MANAGEMENT IN AFRICA THAT POSITIVELY IMPACTS ON ECONOMIC GROWTH AND SUSTAINABLE LIVELIHOODS.



THE AFRICA INSTITUTE OF SOUTH AFRICA (AISA)



Read more about
AISA at
[www.hsrc.ac.za/en/
departments/aisa](http://www.hsrc.ac.za/en/departments/aisa)

Since AISA's incorporation into the HSRC as of April 2014, it continued to conduct research. This is based on its research agenda for 2011–2015 that clearly articulates research themes that are in line with the national government priority of 'a better Africa and a better world'. The research agenda is entitled: 'Seeking solutions for Africa's developmental challenges'.

The key drivers of AISA's research agenda were as follows:

- The South African government priorities (2009–2015).
- The National Development Plan.
- The vision of the African Union, which seeks 'the actualisation of human dignity, development and prosperity for the entire African people... anchored on a vision of an integrated, prosperous and peaceful Africa... driven and managed by its own citizens... and representing a dynamic force in the international arena'.
- The Department of Science and Technology's research strategy, ten-year innovation plan and human capital development plan for a knowledge-based economy.

The research agenda had three broad thematic priorities, which address challenges common to African states:

1. **Engendering developmental states in Africa:** concentrating on improvement of public services, healthcare, access to quality education, poverty reduction, governance and democracy issues as well as an analysis of the effectiveness and impact of African multilateral and global governance regimes.
2. **Building cohesive and sustainable communities void of conflict, crime and corruption:** focusing on fragile states and human security as well as examining the effectiveness of safety and security programmes across the continent.

3. **Sustainable resource management and use, rural development, food security and land reform:** AISA will intensify studies on food security strategies across the continent and investigate natural resource management in Africa that positively impacts on economic growth and sustainable livelihoods.

AISA'S RESEARCH 2014/15

The fieldwork undertaken in all projects was aimed at collecting empirical and primary data. The projects were:

1. The principle and practice of subsidiarity and protection of civilians in armed conflicts: prospects and challenges in the eastern Democratic Republic of the Congo. This project was undertaken in Goma, Democratic Republic of the Congo.
2. Azerbaijan as a regional economic driver: opportunities and challenges.
3. Health and safety impacts of socioeconomic conditions and other matters relating to living conditions in the South African mining industry. This project was funded by the Council for Scientific and Industrial Research (CSIR).
4. Policy research work within the policy section of the newly established National Competitiveness Council of Nigeria.

AISA INTERNSHIP PROGRAMME

This programme provides an opportunity to young South African graduates to gain work exposure and experience in research. A total of six interns were hosted by the AISA research division in the current reporting year. AISA interns participate in all AISA flagship projects, which gives them practical training in project management and conference organisation.

GEO-INFORMATION SERVICES AND CARTOGRAPHY

The Geographic Information Systems (GIS) and Cartography unit continued to serve as an integral arm of AISA's research programmes. It played a pivotal role in knowledge creation and understanding of African affairs. The unit serves as a research laboratory and provides a toolkit for data collection, collation and analysis in implementing AISA's research agenda. AISA has remained a content partner of the Africa portal of the South African Institute of International Affairs, with an average of 31 000 site visits a month worldwide.

Knowledge production under GIS and Cartography

Applied geospatial technologies research includes the following:

- **Africa at a Glance:** The latest Africa at a Glance facts and figures were updated and submitted to publications for editing and publishing. This is expected to be published during the next financial year.
- **Research:** The unit's research outputs included: Mapping water vulnerability in South Africa's rural communities, satellite applications and land use change and GIS applications on electoral management systems spatial analysis of mine waste water. The first two have been presented at national and international conferences and the latter is contributing towards a book which is in progress on acid mine drainage.

Provision of services to clients

The unit continues to provide a wide range of services to its clients. Key external clients included the Department of Public Enterprises (DPE), Brand SA, and African research fellows. A number of unique thematic maps on Africa continued to be produced. Themes included land use change patterns, poverty in Africa, eco-regions, gender, and global change and migration. Other maps produced were specific flagship products such as Africa in Focus, Africa at a Glance and Africa A-Z.

PUBLISHED BOOKS

Three books were published in 2014/2015 through commissioning and engagement of AISA research fellows. These books also contain chapters contributed by AISA researchers. Details on each book can be obtained from the report by the publications division. The books are:

- *Perspectives of South Africa-China Relations at 15 Years*, edited by Yazini April and Garth Shelton.
- *Unite or Perish: Africa Fifty Years after the Founding of the OAU*, edited by Mammo Muchie, Vusi Gumede, Phindile Lukhele-Olorunju and Hailemichael Demissie.
- *Future Directions of Solid Waste Management in Africa*, edited by Romeela Mohee and Thokozani Simelane.

FLAGSHIP PROGRAMMES

1. Sixth Archie Mafeje memorial lecture

This is an annual lecture organised in collaboration with the Archie Mafeje Research Institute (AMRI) to celebrate the memory of the late Prof. Archie Mafeje, an inspiring figure who worked tirelessly to highlight the importance of being an African through self-knowledge, self control and self-emancipation. It was held on 30 March 2015 at the University of Cape Town. The annual memorial lecture is one of the many ways in which AISA is preserving the ideas and the intellectual capital of African scholars. Prof. Kwesi Kwaa Prah gave the keynote address titled 'Siblings and rivals: sociology and anthropology in Africa'. Also on the panel were Professors Lungisile Ntsebeza, Crain Soudien and Dr Sehlare Makgetlaneng. Prof. Mafeje's family was represented by Mr Sandile Swana. AMRI was represented by the member of parliament Ms Thoko Didiza, who directed the programme and also Prof. Sabelo Ndlovu-Gatsheni. The paper presentations will be published under AISA proceedings.

2. Africa Unity for Renaissance conference

The conference was held on 22–25 May 2014 in Pretoria. The theme was 'Africa on the jubilee@50 and beyond: African solutions to African problems'. The conference was hosted by AISA in partnership with the Tshwane University of Technology, the Thabo Mbeki Leadership Institute, the National Research Foundation, the Department of International Relations and Cooperation, the International Council for Science, Brand SA, the Kara Heritage Institute and the City of Tshwane. The conference brought together scholars from Africa and the diaspora, Canada, the USA and the UK. Topics presented and debated covered areas such as African development and integration.

3. AISA campus lecture series and seminars

AISA's campus lecture series seeks to share African experience with university students and members of the public who are interested in gaining knowledge about Africa. In 2014/15 a total of 579 students were reached at the Universities of Venda, Limpopo, Johannesburg and Pretoria. Lectures were also presented at the South African National Defence Force in July 2014.

4. AISA ambassadorial forums

The ambassadorial forum is one of AISA's flagship projects that provides a platform for diplomats, civil society and think tanks to define foreign policy, investment and market opportunities for their countries. It is a pivotal part of AISA's outreach strategy with the City of Tshwane as its main partner. The continued partnership with the City of Tshwane remains an important part of AISA's strategy. AISA hosted four ambassadorial forums this year – presentations were made by the embassies of Lesotho, South Korea, South Sudan and China.

5. AISA Young Graduates and Scholars' Conference

This conference took place in March 2015 and attracted 150 students representing nine African countries and ten institutions including the African Union and the World Trade Organisation. Thirty six papers were presented and 29 poster presentations made by young graduates and scholars. This year's conference was hosted in partnership with the University of Cape Town and AISA had a total of nine universities participating.

which a third volume is in production); eight policy briefs; one occasional paper and one monograph. The team also attended a number of colloquia, conferences, book launches, book fairs and lectures. The unit was able to raise close to R700 000 from book sales and memberships.

AISA PARTNERSHIPS

A network of strategic partnerships continues to be of great value in implementing AISA's strategy. These partners include:

- The City of Tshwane
- South African universities
- The International Council for Science
- The Kara Heritage Institute
- Brand SA
- The Embassy of China
- The Departments of International Relations and Cooperation; Science and Technology; Arts and Culture; Environmental Affairs; and of Public Enterprises
- The Thabo Mbeki Leadership Institute
- Statistics South Africa
- The National Research Foundation
- The University of Colorado, USA
- The South African National Defence Force
- The Embassies of Azerbaijan, USA, Lesotho, South Sudan, South Korea
- The Economic Policy Forum in partnership with CIRD and GIZ

THE PUBLICATIONS UNIT

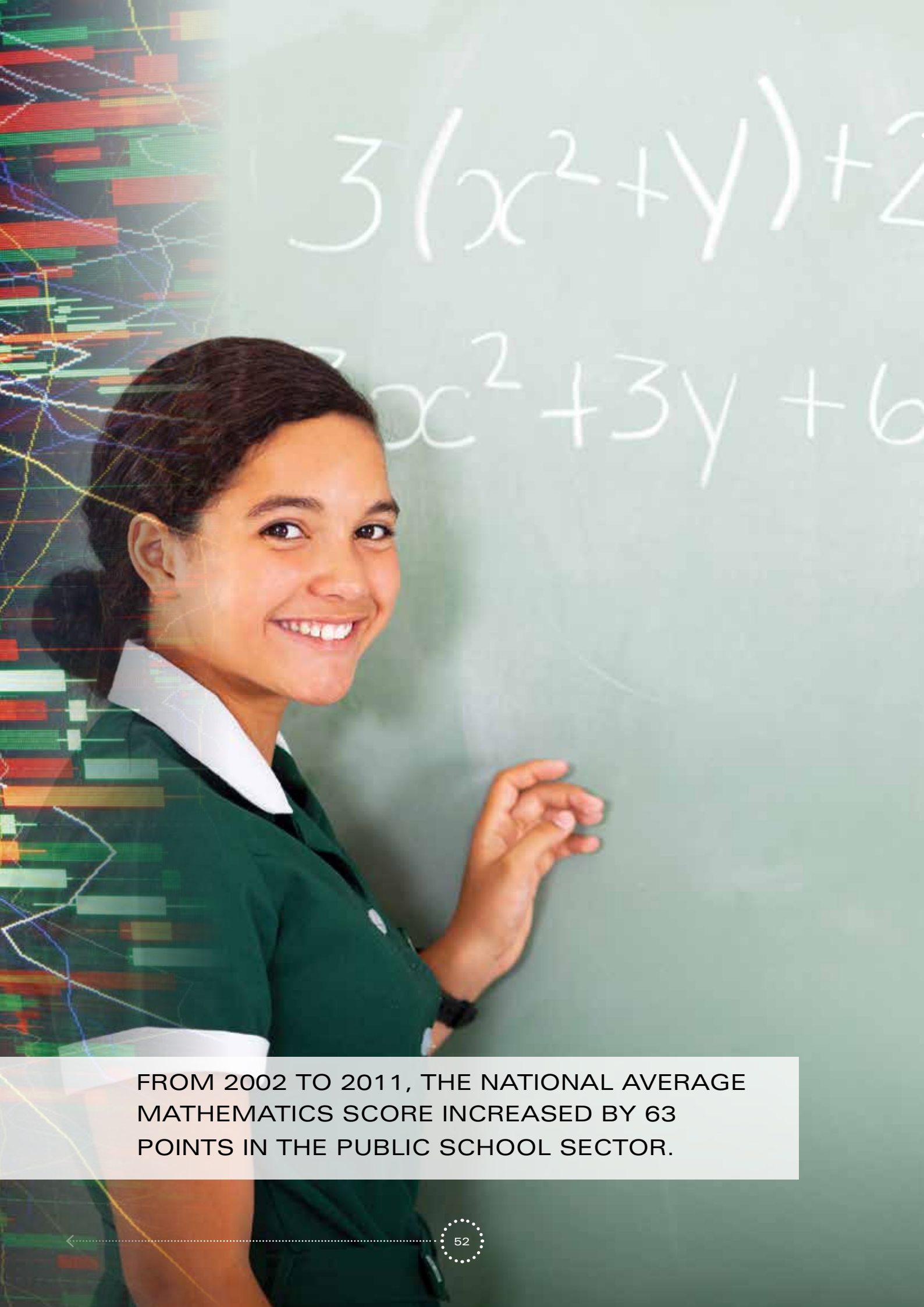
In this financial year, the publications unit was able to publish twelve books; two volumes of *Africa Insight* journal (of



Acting section head: Africa Institute of South Africa (AISA) Prof. Phindile Lukhele-Olorunju; deputy chief executive officer of the HSRC Dr Udesch Pillay; Prof. Olive Shisana; and deputy director general of Science and Technology Ms Nombuyiselo Mokoena, at the inauguration of the AISA offices at the HSRC building in Pretoria



Delegates at UCT during the 9th annual African Young Graduates Conference



FROM 2002 TO 2011, THE NATIONAL AVERAGE MATHEMATICS SCORE INCREASED BY 63 POINTS IN THE PUBLIC SCHOOL SECTOR.

EDUCATION AND SKILLS DEVELOPMENT (ESD)



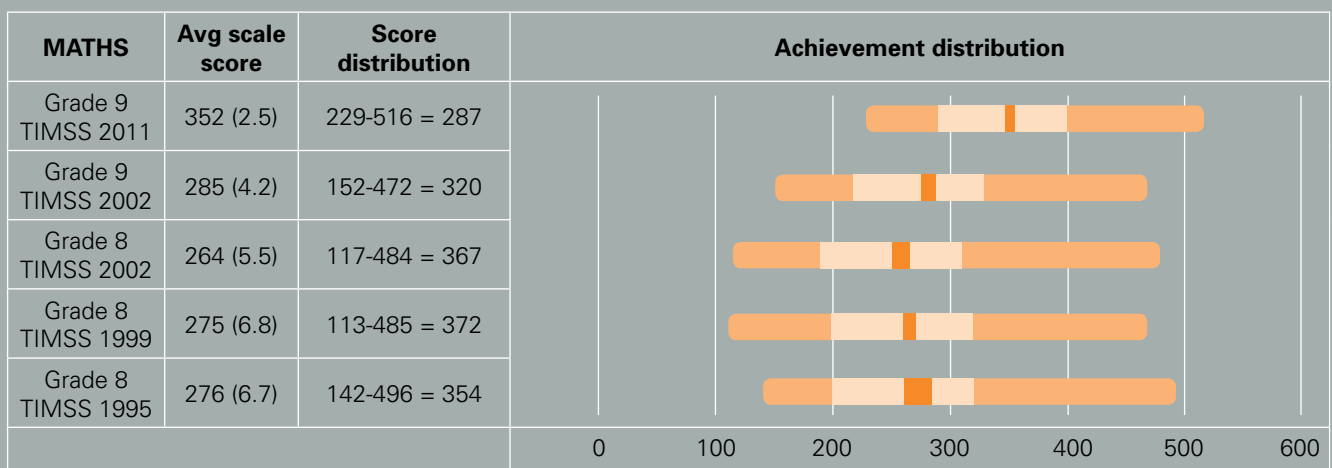
Read more about ESD at www.hsrc.ac.za/en/departments/education-and-skills-development

RESEARCH EXCELLENCE

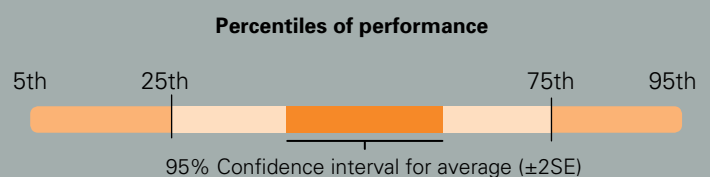
Trends in International Mathematics and Science Study (TIMSS)

South Africa participated in TIMSS at Grade 8/9 level in 1995, 1999, 2003 and 2011. The HSRC conducted these studies in collaboration with the Department of Basic Education. ESD will be participating in TIMSS 2015 at Grade 5 and Grade 9 level. This 20-year participation enables a trend analysis for mathematics performance, as well as the performance of the educational system.

Trends in mathematics achievement for TIMSS 1995, 1999, 2002 and 2011



This graph shows an overall improvement in mathematics achievement scores in TIMSS 2011. The average national mathematics scale score remained the same over the years 1995, 1999 and 2002. This is probably attributable to the structural and educational changes as the country moved from apartheid to a democratic state.



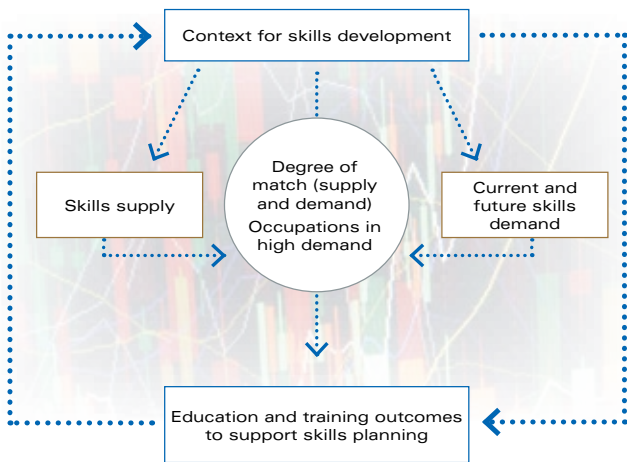
From 2002 to 2011, however, the national average mathematics score increased by 63 points in the public school sector. These increases over the last two cycles could mean that overall learner performance has improved by one and a half grade levels. However, the low average score means that South African learners continue to perform below the expected grade level.

Skills development and planning

ESD conducted studies assessing the impact of the National Skills Development Strategies I & II for the Department of Labour. These studies informed government of the successes and challenges in implementing active labour market strategies to overcome the historical skills legacies in the country.

Given the HSRC’s leadership in skills development research, the Department of Higher Education and Training (DHET) requested the HSRC in 2012 to lead a consortium to conduct research that will inform building a credible institutional mechanism for skills planning. For effective skills planning, a better understanding is required of the quantity and quality of skills demanded by the economy, and by trade and investment policies currently and in the future.

To build the skills planning mechanism, ESD proposed the following framework to provide information and intelligence to guide decision-making about where resources should be directed for skills development.



Global innovation networks (GINs)

The INGENEUS (Impact of Networks, Globalisation, and their Interaction with EU Strategies) project – a three-year international study of GINs which ended in December 2011 – included seven European countries and key developing countries Brazil, India, China and South Africa. This study found that during the past decade the global geography of knowledge has been characterised by the expansion of global innovation networks, particularly into these more advanced developing countries.

These emerging economies seek knowledge assets around the world as they strengthen their domestic innovation systems. Within this context there are differences between the global innovation networks of industrial sectors. Global innovation networks are altering the distribution of locational attractiveness for knowledge-intensive activities. They can also have an impact on national and regional innovation systems by mobilising new knowledge networks and by supporting economic development through the upgrading of human capital and the strengthening of local organisational linkages.

Language and development

A range of funders and collaborators participated with ESD in three multiyear studies, one of which has been completed. The National Research Foundation (NRF) funded a consortium study from 2011 to 2013 with the universities of Limpopo and Pretoria. The final report revealed that sub-optimal interaction in language classrooms does not provide learners in Grades 1 to 3 with the desired conceptual and cognitive development.

Two more evaluations are under way to detect whether promising new early-grade reading, literacy and language interventions indeed have the desired impact. A three-year study funded by the United States Agency for International Development (USAID), Elma Foundation and JP Morgan on regenerating conceptual processing of literacy skills and language knowledge in English (as first additional language) of Xitsonga and Tshivenda speaking learners, is coming to an end.

The impact report, that should be available by September 2015, is expected to show strong learner gains.

An impact study funded by the International Initiative for Impact Evaluation (3ie) will compare three Setswana reading interventions over two years for a 2015 cohort of Grade 1 learners in 230 schools. The latter study has a randomised control-group design.

Instructional software to improve learning

The Teacher Assessment Resources to Monitor and Improve Instruction for the Foundation Phase (TARMII-FP) project involved the development of innovative software to help South African foundation phase teachers to improve their assessment and teaching practices.

The software was piloted in schools in four provinces. ESD's data analysis and interviews with teachers suggest a high interest in the software. However, teachers, most of whom describe themselves as 'born before computers' (bbc), see the daily demands of teaching, the limited access to computers and the lack of support for technology development as major challenges to be overcome if technology is to have a significant impact on teaching and learning.

Universities for inclusive development

African universities need to renew their social compact by promoting scholarship that is socially and economically responsive to local contexts, particularly those of marginalised communities. The contribution of universities to innovation is a key driver of economic and social development, but could be more effectively harnessed to address poverty and inequality.

The 'Universities, innovation and inclusive development in Africa' initiative examines how African universities engage with the informal sector in marginalised communities to improve livelihoods through inclusive innovation. The knowledge imperatives of universities are explored in relation to the public good and social justice, and the roles of innovation and technology transfer.

Case studies provide examples of coherence between teaching, research, and community engagement, and illustrate the enablers and constraints to such interaction. These insights find policy application in the spheres of higher education, science and technology, and economic development. The analysis also provides lessons for innovation studies, pointing out the need to refine the notion of innovation so that it may be more appropriate for the developmental challenges of countries such as South Africa.

Public and science

Research into the public relationship with science forms an important part of the ESD research programme, as it provides insights into the manner in which science is embedded in society, and thus provides a context for the emergence of skills, innovation, and science capabilities.

The ESD programme has been expanding its research in this area. This includes research into:

- public attitudes towards science;
- public sources of information about science;
- representations of science in the media;
- engagements between the public and the institutions of science; and
- attitudes of learners towards science careers.

The ESD programme has mined existing data and undertaken new surveys to make novel contributions in these areas. These efforts have led to a range of stakeholder engagements and dissemination outputs, and emerging collaboration with other research centres.

Science, Engineering and Technology (SET) human capital development

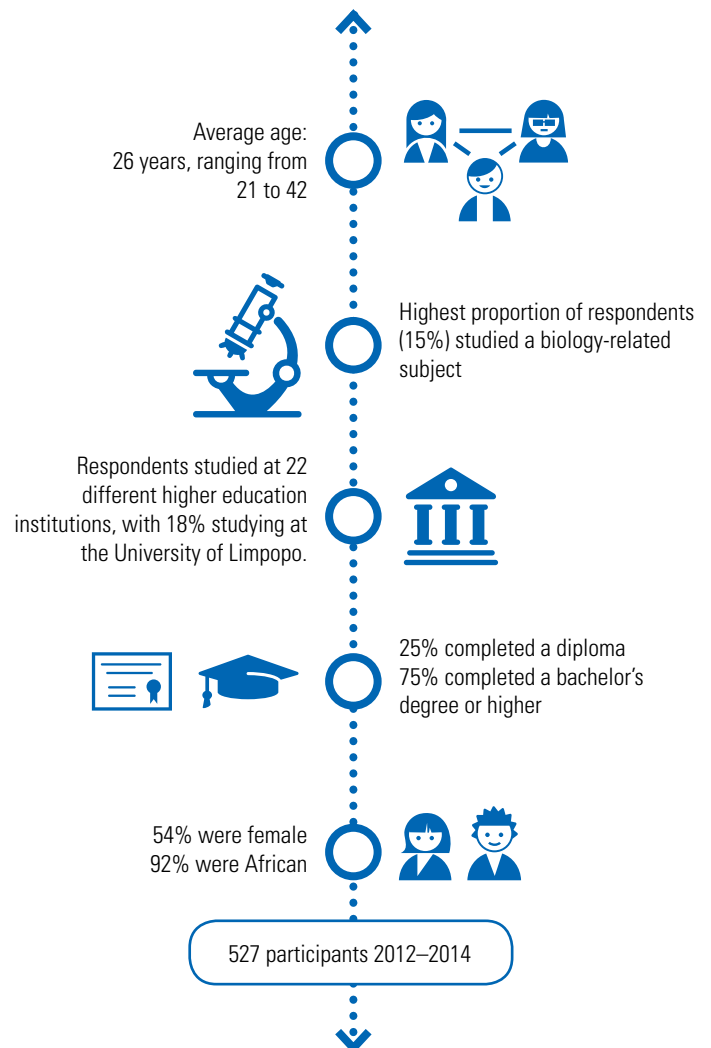
The DST launched the Youth into Science Strategy: Nurturing Youth Talent for a Stronger National System of Innovation (YiSS) in 2006 to enhance participation, performance and awareness of science and science based careers of schoolgoing youth and undergraduates in science, technology, engineering and mathematics (STEM).

YiSS aims to increase the quality and quantity of SET graduates from the schooling system by improving science and technology awareness and literacy, and recruiting more schoolgoing youth and undergraduates to pursue careers in STEM.

The key focus areas of YiSS and the research are:

1. a school focused programme;
2. a post-school programme;
3. a public awareness programme; and
4. institutional development programmes.

An interesting finding relates to who participated in YiSS as indicated by the graphic below. NYS is the National Youth Service programme initiated by government in 2007. YiSS is the DST's NYS programme.



NATIONAL AND INTERNATIONAL PARTNERS

ESD entered into a number of memoranda of understanding (MoUs) and collaborations over the past few years, including:

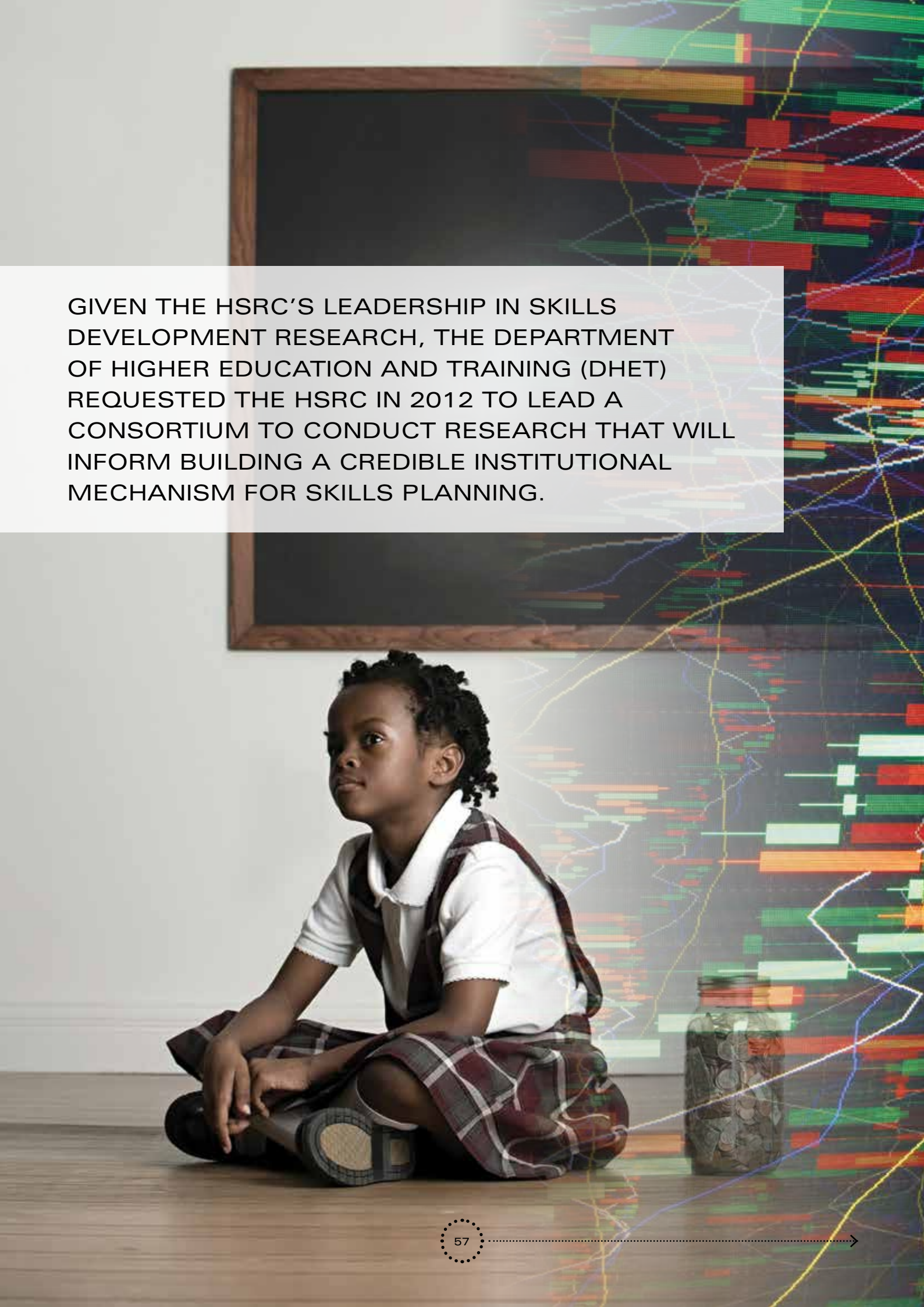
- Agricultural Research Council (ARC)
- Council for Geoscience
- MerSETA = Manufacturing, Engineering and Related Services Sector Education and Training Authority (SETA)
- South African Medical Research Council (MRC)
- Nagoya University, Japan



Higher Education and Training Minister Dr Blade Nzimande, speaks at the Labour Market Intelligence Partnership stakeholder feedback meeting



Minister Blade Nzimande and members of the ESD and Labour Market Intelligence Partnership consortium partners

A young girl with braided hair, wearing a white school shirt and a dark vest, sits cross-legged on a wooden floor. To her right is a glass jar filled with coins. The background features a white wall with a dark wooden-framed chalkboard. Overlaid on the right side of the image is a vibrant, multi-colored digital data visualization consisting of numerous horizontal bars and intersecting lines in shades of green, red, yellow, and blue, resembling a complex network or data stream.

GIVEN THE HSRC'S LEADERSHIP IN SKILLS DEVELOPMENT RESEARCH, THE DEPARTMENT OF HIGHER EDUCATION AND TRAINING (DHET) REQUESTED THE HSRC IN 2012 TO LEAD A CONSORTIUM TO CONDUCT RESEARCH THAT WILL INFORM BUILDING A CREDIBLE INSTITUTIONAL MECHANISM FOR SKILLS PLANNING.



THE DST FUNDED THE PROCUREMENT OF 24 MOBILE CLINICS. THESE CLINICS ARE EQUIPPED FOR CLINICAL EXAMINATION AND BLOOD COLLECTION, AND HAVE ON-THE-SPOT DIAGNOSTIC AND CARE FACILITIES.



POPULATION HEALTH, HEALTH SYSTEMS AND INNOVATION (PHHSI)



Read more about the PHHSI programme at www.hsrc.ac.za/en/departments/population-health-systems-and-innovation

SOUTH AFRICAN NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY (SANHANES 1)

The programme continued its efforts to disseminate the findings of SANHANES, one of the HSRC’s flagship surveys, to inform policy and further strengthen the infrastructure necessary for SANHANES 2, the next round in the series.

Acquisition of mobile clinics (R20 million grant awarded)

The current consensus in the country is that South Africa lacks the infrastructure necessary to implement longitudinal surveys – apart from the HSRC’s well-established HIV population survey – in the broader health landscape to inform policy. Hence, the Department of Health (DoH) supported and partially funded the implementation of SANHANES. The completion of the first survey in the series in 2013 (SANHANES 1) has already:

1. informed policy in health and nutrition domains such as non-communicable diseases (NCDs) and the determinants thereof, national food fortification legislation, food security, undernutrition, mental health, vision and hearing, as well as the quality of healthcare service delivery; and
2. created the opportunity to design a cohort for future longitudinal follow up for monitoring morbidity and mortality, disease progression, as well as emerging health priorities.

The Department of Science and Technology (DST), having noted this lack of infrastructure for longitudinal surveys at national level, approved the HSRC’s funding application and funded the procurement of 24 mobile clinics. These clinics are equipped for clinical examination, blood collection and have on-the-spot diagnostic and care facilities.

Tobacco policy

Since 1994, many research and policy activities were undertaken in South Africa to ensure that responsible public health legislation was enacted. The HSRC produced a policy brief providing research evidence of the progress and challenges in combating tobacco use in South Africa. Policy recommendations were made in the following areas:

- Young women and girls.
- Social media.
- Smoking, entertainment and the media.
- Cigarette smuggling and illicit trade.
- Excise duty and price elasticity and the demand for cigarettes.
- Health warning labels and plain packaging.
- Total prohibition of smoking in public places.
- Electronic cigarettes.
- Pan-African collaboration on tobacco control.
- Collaboration between BRICS countries.
- The establishment of a health promotion foundation in South Africa.



Body image

A policy research seminar on (un)healthy diets formed part of a series facilitated by the DST aimed at wider dissemination and application of research in the social sciences and humanities. This seminar sought to bring into focus the challenge of NCDs in South Africa and the likely trajectory and consequences thereof.

Panellists at the seminar expressed concern about, among other things, the possible long-term economic burden of NCDs. A variety of recommendations were made to address the problem and it was agreed that public awareness programmes should be scaled up as an intervention. These programmes should make use of relevant messages that take into consideration the diversity of cultures in the country. The recommended interventions or diet should be affordable or take socio-economic status into consideration.

NCDs

HealthRise™

Globally, chronic NCDs such as diabetes and cardiovascular disease (CVD) account for more deaths than any other cause, and for 75 percent of healthcare costs. The HSRC has partnered with the national DoH, the provincial departments of health in KwaZulu-Natal and the Northern Cape and Medtronic Philanthropy, to launch HealthRise™, a five-year, \$17 million (about R200 million) global programme.

The programme supports community-based demonstration projects specifically designed to expand access to care and management of chronic diseases such as CVD and diabetes. This is a multicountry programme focused on Brazil, India, South Africa and the United States. This initiative is also aimed at working with policy-makers to clarify the distinct social, economic and health impact that NCDs have on the people living with them, and opportunities to advance policies and resources to better support them and their families.

Analysis of NCD Prevention Policies in Africa (ANPPA) Research Fellowship

The African Population and Health Research Center (APHRC) in partnership with the International Development Research Centre (IDRC) awarded the HSRC a fellowship to build capacity and the knowledge base 'for the utilisation of multi-sectoral approaches in policy formulation and implementation for NCD prevention in the region'. The main purpose of this study is to analyse NCD policies in South Africa.

So far the study has conducted in-depth interviews (39) with stakeholders involved in the formulation and implementation of the NCD policies with a view to understanding the implementation of these policies in South Africa.

Findings from this study will be disseminated to scholars in the field of NCD policy analysis and public health, policy-

makers and practitioners through academic journals, conferences and workshops. The detailed research report will be submitted to the APHRC in 2016.

BRICS health indicators

Health has been identified as a strategic area of collaboration between the BRICS countries. The coordination of positions on issues of common interest and identification of areas for cooperation in public health have been discussed at several meetings held between BRICS health ministers. The ministers approved a preliminary BRICS monitoring and evaluation tool for universal health coverage that was developed by the HSRC. Subsequently, a full research proposal was submitted and accepted by the DoH. The HSRC collaborated with institutions in the BRICS countries to develop a universal set of indicators, as well as a core set of indicators for the assessment of universal health coverage across, and within, these countries.

UNIVERSAL HEALTH COVERAGE

Developing a framework for the long-term monitoring and evaluation of national health insurance (NHI) in South Africa

To strengthen NHI in South Africa, it is critical to monitor and evaluate the implementation thereof. This is necessary to assess whether NHI is in fact moving towards the goal of universal health coverage and realising the specific policy objectives outlined by the DoH in the Green Paper. Monitoring and evaluating the journey towards universal health coverage from the beginning phases of NHI roll-out will inform the implementation of later phases and future policy direction, provide much needed evidence to inform the scale-up of interventions, and will enable an assessment of gains achieved, lessons learnt and remaining challenges.

Civil society activism for accessible healthcare in South Africa

The Council for the Development of Social Science Research in Africa (CODESRIA) and the HSRC collaborated on comparing the effectiveness of civil society strategies in ensuring universal access to healthcare in South Africa.

It is envisaged that the findings of the study will contribute to greater theoretical understanding and knowledge of how civil society activism can contribute to increased access to healthcare.

HEALTH SYSTEMS

Future impact assessment of informal settlements

In an attempt to address the upgrading of informal settlements, the National Planning Commission in the National Development Plan (NDP), prepared and adopted by government, calls for government to build on its experience

and work proactively with people. The Upgrading of Informal Settlements Programme is aligned with the community empowerment objectives of the NDP.

MATERNAL AND CHILD HEALTH

Maternal and infant mortality surveillance

South Africa has an unacceptably high maternal and child mortality rate, which requires urgent intervention. Although progress has been made in respect of addressing maternal and child morbidity and mortality, the data used are based on varied sources and systems that sometimes yield conflicting data.

Accurate measurement of maternal and child morbidity and mortality requires comprehensive registration of births and deaths, including information on cause of death. While South Africa has a well-established Civil Registration and Vital Statistics system (CRVS), not all deaths are registered and the quality of the cause of death information is often inadequate. This project aims to strengthen the maternal and child morbidity and mortality surveillance system in South Africa employing both qualitative and quantitative methodology approaches. The system was analysed to identify gaps that result in inaccurate data, making it difficult to introduce evidenced-based approaches (Part I of the project). There have been several key preliminary findings of the gap analysis. This information can be sourced from the research programme.

Status of South African children

In South Africa, despite good child-related legislation and policy, children's wellbeing and development continue to be negatively affected by family poverty, poor living

environments, lack of programmes that support family members in their care role, as well as a lack of congruence between the law and some cultural practices.

The findings indicate that the structure of most beneficiary families predisposed them to internal instability due to conflict between some parents, foster parents or guardians and the children. There is a disjuncture between primary caregivers' and parents' beliefs on the one hand, and what policy stipulates on the other, regarding whose basic needs should be prioritised when using grants. Children who did not have relevant documents to support application for their birth certificates and children with disabilities whose disability assessments had not been processed timeously, were ultra-vulnerable.

Policy seminar on the first 1 000 days of life

The DST and the HSRC hosted a research seminar on 'Food, nutrition and care security during the first 1 000 days' in Pretoria on 27 March 2015. The seminar aimed to assess the situation of South African women and their children during the first 1 000 days and to map a way forward for new or improved interventions designed to address their care and nutritional status.

Attention should be given to care during and even before pregnancy, as well as during the first 1 000 days. The NDP 2030 proposes to introduce a nutrition programme for pregnant women and young children.

The SANHANES data point to the fact that overnutrition and obesity start early in life but have long-term health effects. Obesity has increased worldwide and is becoming as much of a problem as undernutrition.



Prof. Demetré Labadarios speaks at the DST HSD seminar on (un)healthy diets

Delegates interacting at the DST workshop on nutrition

ADOLESCENT HEALTH

LoveLife: using sport as an intervention for substance abuse reduction among youth and young adults in South Africa

This collaborative project between the HSRC and LoveLife adopted a holistic approach to enhancing the lives of young individuals in South Africa by addressing drug use and abuse in high burden communities.

A new concept of prevention, namely an extreme sport exercise intervention, was introduced to reduce drug use and abuse among the youth in targeted communities. A methodology with a longitudinal design will be used, the first phase of which will include a skateboarding intervention package.

Focus group interviews will be conducted both at the pre-intervention and post-intervention stages among the adolescents and young adults participating in the study.

Investigating barriers to and enablers of healthy behaviours among adolescents receiving mental healthcare

This project was conceptualised based on the increasing prevalence of NCDs worldwide.

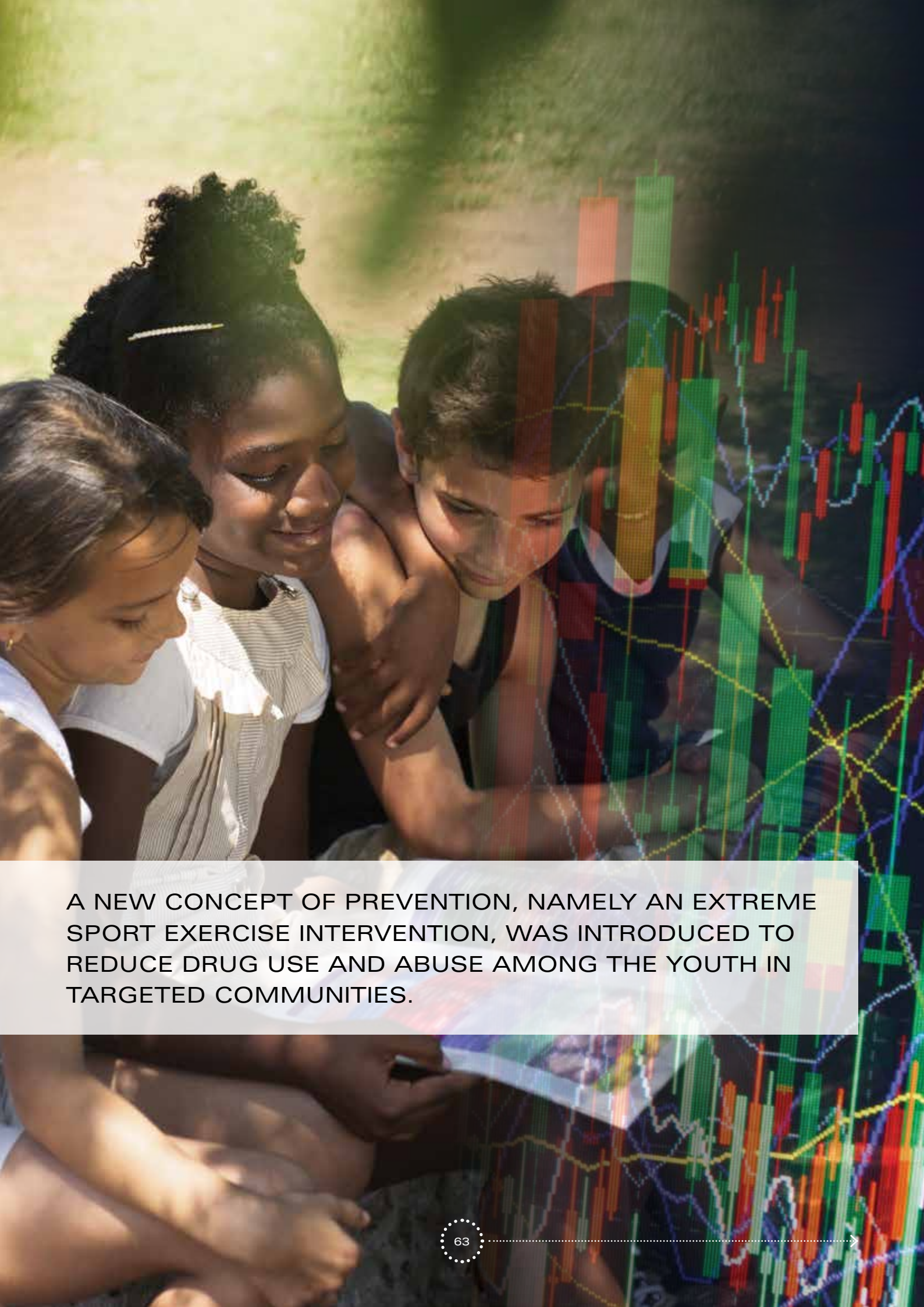
This study, which is a collaboration between the HSRC and Stellenbosch University, therefore focused on health behaviours – such as smoking, alcohol use, drug use, sexual risk-taking behaviour – and environmental exposure – such as parents smoking indoors, trauma and violence exposure – of children and adolescents receiving mental healthcare in the Western Cape.

Substance abuse harm reduction and harm prevention research agenda seminar

This workshop, which was a joint initiative between the DST and the HSRC, brought together various stakeholders across sectors and from civil society. The DST and the HSRC made a joint decision to formulate a research agenda with a view to conducting a longitudinal national epidemiological survey every three to four years. The aim of the survey is to establish the prevalence of the various forms of substance use and abuse of licit and illicit drugs at all ages and life stages in order to inform policy.



Prof. Pamela Naidoo (left) with other PHHSI staff members. From left are Dr Taskeen Khan, Prof. Neo Morejele, Dr Paul Seale, Dr Zaino Petersen, Dr Anam Nyembezi, Dr Katherine Sorsdahl, and Dr Anesh Sukhai



A NEW CONCEPT OF PREVENTION, NAMELY AN EXTREME SPORT EXERCISE INTERVENTION, WAS INTRODUCED TO REDUCE DRUG USE AND ABUSE AMONG THE YOUTH IN TARGETED COMMUNITIES.



THE HUMAN AND SOCIAL DYNAMICS RESEARCH SEMINARS BRING GROUPS OF INTERNATIONAL AND LOCAL RESEARCHERS INTO DIALOGUE AND ALLOWS THEM TO SHARE RESEARCH FINDINGS.



RESEARCH USE AND IMPACT ASSESSMENT (RIA)



Read more about the RIA programme at www.hsrc.ac.za/en/ria

The HSRC has established a dedicated, cross-cutting unit for Research Use and Impact Assessment (RIA). This unit promotes effective research communication through publication, workshops, seminars, media liaison and increasing use of electronic and social media. The HSRC website provides a platform for communication via Twitter, Facebook, LinkedIn and other interactive modes of communication.

The HSRC has been adopting extra avenues of disseminating information to improve the uptake of its research by the public and possible beneficiaries: for instance, the issuing of publications free of charge on the internet, the use of other media such as videos and photographic exhibitions, and the distribution to all high schools of the quarterly news magazine, the *HSRC Review*, containing accessible information on recent research outputs.

Regular engagement with decision-makers, including parliamentary portfolio committees, also remains a priority. Web-based dissemination strategies are increasingly receiving attention.

Research teams bring perspectives from various disciplines, and are solution-oriented in their work.

Large research projects are required to have good governance and management structures in place, with oversight by advisory structures such as project steering committees or implementation networks. Here are some of the many programmes, projects, seminars, and books published at the HSRC which have been managed by the RIA unit.

1. Human and Social Dynamics (HSD) research seminars

The Department of Science and Technology (DST) contracted the RIA unit at the HSRC to host the Human and Social Dynamics research seminars over the period of 2015–2017. The series provides a forum for learning about cutting edge

research in the social sciences and humanities and helps identify new directions for research agendas pertinent to the DST's Human and Social Dynamics in Development Grand Challenge (HSDD GC), which is one of five 'grand challenges' underpinning the DST's 10-year innovation plan.

The series brings groups of international and local researchers into dialogue and allows them to share research findings. The seminar series aims to:

- disseminate scientific research findings and transmit a body of new knowledge through an interactive process of critical dialogue and collegial critique to the social sciences and humanities (SSH) research community and other interested actors in the National System of Innovation (NSI);
- provide an avenue for rated and other researchers, including researchers from rural-based universities to engage in knowledge dialogues across faculties and with other interested actors in the NSI;
- present and discuss new and ongoing research, identify research gaps, and suggest new research agendas in SSH with a view to forging closer links between the research communities in these fields;
- reinforce the visibility of SSH research to the higher education and science council sector;
- enhance wider public understanding of the SSH, including the value and status of both individual and team-based research; and
- strategically promote, develop, and coordinate collaborative and interdisciplinary research within and between higher education institutions and science councils.

The seminars aim to extend dissemination strategies of high-quality research with policy dimensions. The objective is to foreground the work that is being done at a particular university, enhancing dialogue between various disciplines on a particular topic.

A research brief is produced that can be taken forward in terms of policy implications following a particular seminar. Seminar themes are driven by partner institutions and derived from pertinent issues and research competencies within these institutions.

The numbers attending the workshops are restricted with total attendance set at a maximum of 50 people.

Some interesting seminars held over the 2014–15 period include:

- Indices of multiple deprivations. Prof. Michael Noble, Oxford University (17 October 2014, HSRC, Cape Town).
- The current state of the HIV/AIDS epidemic in South Africa: Research findings and implications for programme development (2 December 2014, Tsogo Cape Sun, Cape Town).
- Critical perspectives on the Academy of Science of South Africa (ASSAf) humanities consensus report research seminar (9 December 2014, CSIR Conference Centre, Pretoria).
- Substance abuse, harm reduction and harm prevention: setting a research agenda (2 March 2015, Townhouse Hotel, Cape Town).
- Spatial inequality at the small area level in South Africa research seminar (3 March 2015, HSRC, Cape Town).
- The role of the social sciences and humanities in science engagement (10 March 2015, CSIR Conference Centre, Pretoria).
- Public engagement for good governance: the role of the humanities (11 March 2015, CSIR Conference Centre, Pretoria).
- (Un)healthy diets – a tale of misinformation or competing interests? (24 March 2015, CSIR Conference Centre, Pretoria).
- Food, nutrition, and care security during the first 1 000 days (27 March 2015, Casa Toscana, Pretoria).

2. Policy Action Network (PAN)

PAN supports the policy community by sourcing information on social policy with the aim of contributing to rigour in policy-making and greater participation in policy processes. Its website contains a range of resources including case studies, policy briefs, research reports, events information and 'how-to' information on getting research into policy, and getting policy into action.

Over the past year, PAN has become more integrated into DST processes around government cluster policy workshops, the research seminars and the innovation series of seminars. Summaries are circulated to workshop participants via the PAN website and a wider readership is achieved through Twitter and alerts to subscribers. This has been highly

beneficial for PAN, as it ensures wider dissemination of workshop outcomes to researchers, both within and outside of the HSRC. With some restructuring, the portal could also provide more visibility to DST activities.

The most read documentation in the DST series of workshops was that of a workshop organised in collaboration with the Mapungubwe Institute for Strategic Reflection (MISTRA) with the topic 'Public engagement for good governance: the role of the humanities'. The second most read was that of a workshop on 'Substance abuse, harm prevention and harm reduction: setting a research agenda'. The workshops produce substantial documentation and it is hoped that PAN can continue to play a role in disseminating workshop reports and other synthesis products. Where the topic is appropriate, as with the 'First 1000 days' workshops, the online knowledge hub PAN: Children is an important platform for disseminating information.

3. Policy briefs

The policy briefs in the 2014/15 financial year related to policy focusing on different social problems or aspects thereof. The majority addressed health issues such as the accessibility of health services and the prevalence of HIV/AIDS. Others addressed issues about employment and skills development with particular emphasis on innovation and agriculture as agents of development. There were also policy briefs focusing specifically on the education sector.

Following is the full list of policy briefs:

1. Tobacco control and health (Priscilla Reddy et al.)
2. The South African child protection system needs multi-sectoral prevention programmes (Mokhantso Makoa)
3. National language in health policies (Konosoang Sobane)
4. Gender issues in education (Jane Rarieya and Nadia Sanger)
5. HIV prevalence among Gauteng government employees (Geoff Setswe et al.)
6. Rural Innovation Assessment Toolbox (RIAT) (Tim Hart et al.)
7. Changes to artisanal identity and status in SA: implications for policy (Angelique Wildschut et al.)
8. No failure, just 'not yet': applying growth mindset training to improve learner achievement (Ke Yu)
9. HIV testing of children – the legal, ethical and psycho-social implications (Heidi van Rooyen)
10. Declining research and development expenditure in South Africa between 2009 and 2010: implications for innovation and global competitiveness (Nazeem Mustapha et al.)

11. Ensuring an optimal environment for peer education in South African schools: policy options for healthy and effective learning (Sharlene Swartz and Benita Moolman)
12. Foreign matters: attitudes towards foreign policy in South Africa (Ben Roberts et al.)
13. Assessment of discrimination practices inherent in learner teacher support materials used in South African public schools (Cyril Adonis)
14. The gendered dimensions of small-scale livestock farming in Marble Hall and Rhenosterkop: policy perspectives from a pilot study (Vasu Reddy, Safiyya Goga et al.)
15. How open are innovations among user-innovative South African firms? (Moses Sithole)

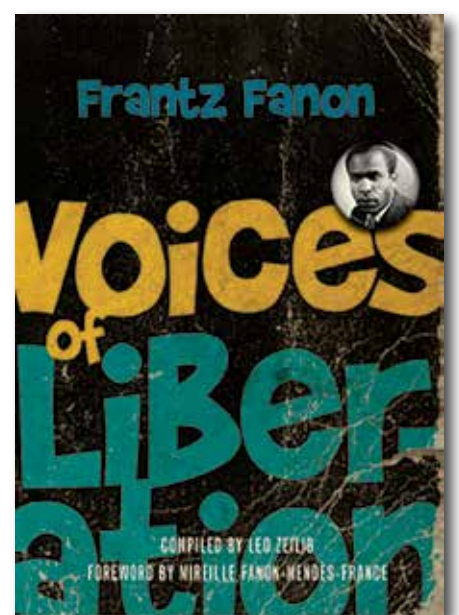
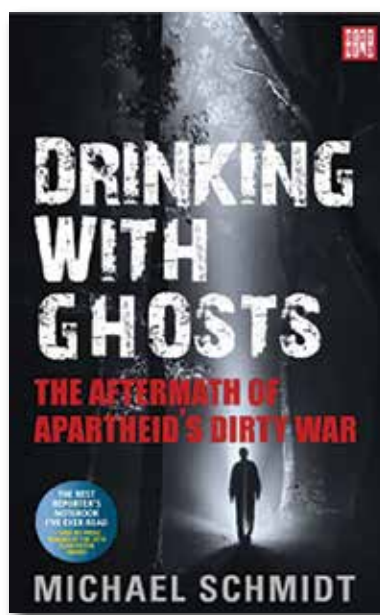
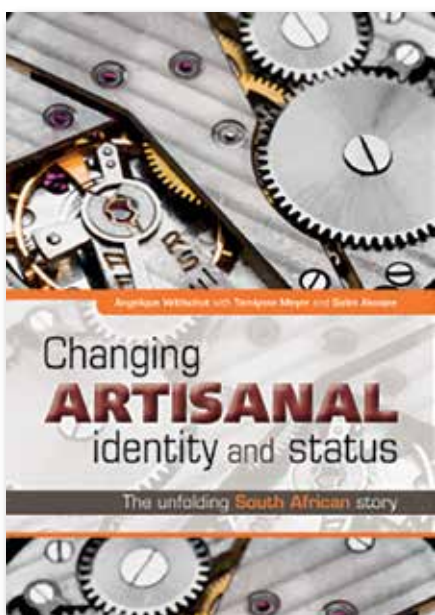
4. HSRC Press

HSRC Press published 16 new titles in the 2014/15 financial year. Four books were published under the new imprint, Best Red, and 12 titles were published under HSRC Press imprint. The new imprint, Best Red, caters for the general non-fiction or trade book readership. The imprint is a registered trademark of the HSRC. Although Best Red is a new brandname, it gained a strong foothold in the highly contested general non-fiction market when one of the new titles was long-listed in December 2014 for the Alan Paton Awards for non-fiction.

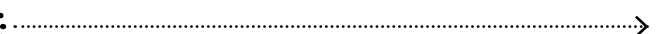
All four of the books under the new imprint received good publicity and critical acclaim in the mainstream media, and

were well received by the market. Six scholarly books that were approved by HSRC Press independent editorial board were published under HSRC Press imprint. In addition, two monographs and three research survey reports and one new book in the Voices of Liberation series were published under HSRC Press imprint. The new books are:

1. *State of the Nation 2014* (scholarly book)
2. *Care in Context: Gender Perspectives* (scholarly book)
3. *Congress Movement Volume 1* (scholarly book)
4. *Congress Movement Volume 2* (scholarly book)
5. *Congress Movement Volume 3* (scholarly book)
6. *Ethical Quandaries in Research* (scholarly book)
7. *Drinking with Ghosts: Apartheid's Aftermath* (new imprint)
8. *Assata: The FBI's Most Wanted Woman* (new imprint)
9. *Capitalism and its Alternatives* (new imprint)
10. *Rogue State* (new imprint)
11. *Voices of Liberation Frantz Fanon* (Voices of Liberation series)
12. *TIMSS Report* (monograph)
13. *Changing Artisanal Identity* (monograph)
14. *Marang Men's Report* (survey report)
15. *South African National Prevalence, Incidence and Behaviour Survey 2012* (revised edition)
16. *South African National prevalence, Incidence and Behaviour Survey 2012* (online edition)



Some of the publications from HSRC Press and its imprint, Best Red



In Open Access, there were over 23 000 downloads and 200 000 page views of HSRC Press titles for the year, across 200 countries, with Africa being the biggest growth centre. In terms of sales by unit for 2014/15, 3 886 units sold into Africa, 473 into the USA and 252 into Europe, with a total of 4 611 units worldwide. The new imprint showed success in terms of the strategic goal of increasing dissemination and impact, as, for example, it accounted for 70% of sales income in December 2014; whereas the HSRC Press imprint accounted for roughly the same percentage in January 2015. The two top-sellers for the year were *State of the Nation* (HSRC Press) and *Drinking with Ghosts* (Best Red). Overall, HSRC Press has therefore expanded in terms of both market presence and readership, and therefore also increased the impact of research published in this manner. In addition, while retail sales shrunk overall in South Africa by around 20%, HSRC Press increased its sales income by 15%. Approximately 3 000 books were distributed to stakeholders and 2 000 books were donated to libraries and institutes.

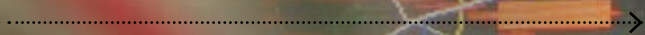
Co-publishing or rights agreements were concluded for six new books, and the partnership base of HSRC Press was extended through the establishment of MoUs with the Botswana International University of Science and Technology, the International Council for Science (ICSU),

and the university presses of South Africa. A publishing letter of intent was formalised with China Social Sciences Press, the largest social science publisher in the world and part of the Chinese Academy of Social Sciences. A publishing agreement was formalised with the Council for the Development of Social Science Research in Africa (CODESRIA) to extend collaboration and publishing plans for the next five years.

HSRC Press attended the London Book Fair in April 2014, and was represented through full displays at three other important international events. HSRC Press also exhibited at 40 local events to showcase its books and build relationships with partners and authors.

A highly successful year for the Press can perhaps best be summarised by the success of one title. Following the well-attended launch of the 2014 edition of *State of the Nation* in August 2014, it was reported in the mainstream media that the Minister of Science and Technology sang the praises of HSRC Press. In January 2014, the book sold out and had to be reprinted (the first time in the history of HSRC Press that a book had to be reprinted within six months) following its adoption by the University of Johannesburg as prescribed reading for first-year students.

A HIGHLY SUCCESSFUL YEAR FOR THE PRESS CAN PERHAPS BEST BE SUMMARISED BY THE SUCCESS OF ONE TITLE – THE 2014 EDITION OF *STATE OF THE NATION*.





GROSS EXPENDITURE ON RESEARCH AND DEVELOPMENT (GERD) INCREASED BY 2,6% BETWEEN 2011/12 AND 2012/13.



CENTRE FOR SCIENCE, TECHNOLOGY AND INNOVATION INDICATORS (CeSTII)



Read more about the CeSTII programme at www.hsrc.ac.za/en/departments/cestii

CeSTII has been a specialist research centre within the HSRC for the past thirteen years. It is dedicated to producing policy-relevant research and statistical analysis of data from the research and development (R&D) and innovation surveys.

IMPACT

The key users of CeSTII's work are various government departments and agencies, especially the Department of Science and Technology (DST), the Department of Education, the national treasury, the National Advisory Council on Innovation (NACI), and the Presidential National Commission on Information Society and Development.

Over the past two years a steady stream of CeSTII's projects has reached maturity and the list of publications has grown apace. Of particular significance is the way in which the research outputs that have been produced are increasingly finding their way into the deliberations of policy-makers.

By 2015 the centre had successfully completed eleven national R&D surveys and was in the process of producing the reports for the latest in the series, 2013/14. Two microdata analysis reports based on data extracted from the South African Business Innovation Survey (BIS) 2010–2012 database are currently being finalised. Further analytical research products will be produced from the data.

COLLABORATIONS

CeSTII's work largely focuses on the national R&D survey, South African business innovation survey and other science, technology and innovation (STI) related work. The work also extends to a broad collegiate, and dialogues with researchers and practitioners around the globe. As CeSTII is now established in the business of science and technology (S&T)

surveys, measurement and indicators, it enjoys extensive interaction with peers nationally and internationally. The unit works closely with the National Experts in Science and Technology Indicators (NESTI), S&T offices in other African countries, the NEPAD S&T Secretariat, UNESCO, and other international agencies.

PROJECTS

CeSTII delivers high quality products such as the national Research and Experimental Development (R&D) surveys, and the South African business innovation surveys, as well as commissioned projects, which include work on technology commercialisation, internationalisation of R&D, R&D expenditure and innovation patterns in the agricultural sector, and innovation in the bio-economy.

NATIONAL RESEARCH AND EXPERIMENTAL DEVELOPMENT SURVEY

The R&D survey is undertaken on an annual basis. It follows the Frascati manual guidelines developed by the Organisation for Economic Cooperation and Development (OECD). The survey comprises a census across higher education institutions, science councils and government departments and purposive surveys for the not-for-profit and business sectors.

The R&D survey results are published in the annual R&D survey statistical report and the R&D survey main analysis report. These results comprise official data and indicators that are also submitted to the OECD for publication in the biannual Main Science and Technology Indicators and the biennial Science, Technology and Industry Scoreboard. The data is also submitted annually to the United Nations Educational, Scientific and Cultural Organisation (UNESCO)

CENTRE FOR SCIENCE, TECHNOLOGY AND INNOVATION INDICATORS (CeSTII) continued

for Statistics, NEPAD African Science, Technology and Innovation Indicators (ASTII) Initiative and to the International Institute for Management Development (IMD) World Competitiveness Yearbook.

The data reported in the R&D survey 2012/13 shows that for two consecutive years, gross expenditure on research and development (GERD) has increased. When these figures are adjusted for inflation (i.e. estimates in 2005 constant rand terms), GERD increased by 2,6% between 2011/12 and 2012/13. These results show that the outlook for R&D investment in the country has been improved, which is a welcome change from the contraction reported in the 2009/10 and 2010/11 survey years.

Survey results report that all R&D-performing sectors – government, science councils, higher education institutions, business enterprises, and not-for-profit organisations – registered an increase in R&D expenditure in 2012/13, in both nominal and real terms. The largest reported increase arose from the higher education sector, which grew at 5.9% in real terms and accounted for 67.9% of the total increase.

In 2012/13, the GERD ratio was at 0,76% of GDP. This level was maintained from the 2011/12 and 2010/11 survey years. For the last three periods covered by this report, the GERD ratio has not reached the commonly accepted benchmark of 1%. This suggests that South Africa needs to intensify efforts to direct investment spending to R&D across all sectors. Nonetheless, viewed over the longer term – the sixteen-year period from 1997/98–2012/13 – South Africa’s investment efforts in R&D have been laudable and have expanded.

Having increased GERD in both 2011/12 and 2012/13, South Africa seems to have followed the general pattern of recovering global R&D expenditure. International comparisons, however, indicate that South Africa’s R&D intensity for 2012/13 was below the world average of 1.77%, the European Union average of 1.97% and the OECD average of 2.4%. Among the BRICS countries, Brazil, China and the Russian Federation had an R&D share of GDP above 1%, while this figure was below 1% for South Africa and India (2011 data). Different economic contexts must be taken into account when interpreting international comparisons.

SOUTH AFRICAN BUSINESS INNOVATION SURVEY

The South African business innovation survey design is informed by Eurostat guidelines and the structure of the Statistics South Africa business register. The South African business innovation survey results are published in the Innovation Survey Report.

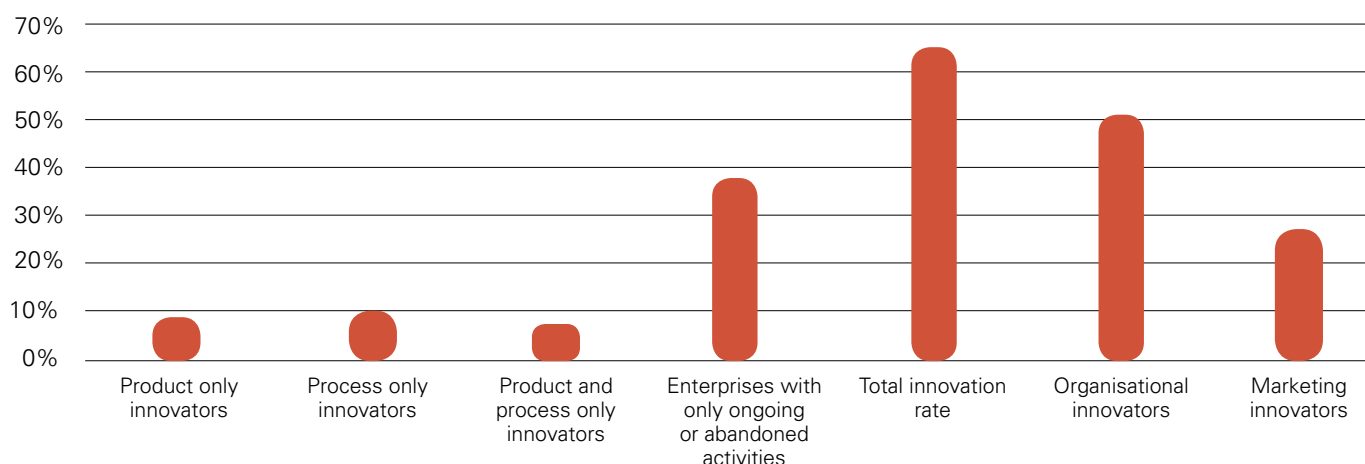
It has been observed that innovation rates can be higher in less developed economies since there are more opportunities for introducing new or changed products. A

total of 65.4% of South African enterprises had technological innovation activities comprising either product (goods and/or services) or process innovations. Of this total, 27.2% had successful innovations, meaning that they completed their product and/or process innovations, while the remaining 38.2% had ongoing and/or abandoned innovation activities. Of the total proportion of enterprises with successful innovations, 10.3% reported having process only innovations, which is slightly more than the 8.9% of innovative enterprises that reported having product only innovations. A further 7.9% of enterprises had been involved in both process and product innovations.

KEY INNOVATION INDICATORS

Indicator	Reference period	
	2002–2004	2005–2007
Innovation rate (% of enterprises that had technological innovation activities)	51.7%	65.4%
Number of enterprises that had technological innovation activities	16 264	14 934
Percentage of enterprises with successful innovation activities	47.3%	27.2%
Expenditure on innovation activities	R 27.8 billion	R 56.9 billion
Innovation expenditure (as % of turnover of all enterprises)	2.4%	1.7%
Turnover from sales of new to the market products	R 67.8 billion	R 209.5 billion
Percentage of innovation enterprises that received financial support for innovation from government sources	6.5%	4.1%

INNOVATION RATE BY TYPE OF INNOVATION (2005–2007)



At 65,4%, the South African rate of innovation for 2005–2007, is relatively high – greater than that of European Union countries. The 38.2% of enterprises that had ongoing and/or abandoned innovation activities during this period are, however, included in this figure. The performance on other indicators related to innovation such as patents, new enterprise formation, manufacturing activity and exports share of global trade, GERD as a percentage of GDP and workforce structure, is relatively weak compared to the same set of selected countries for the comparison.

INTELLECTUAL PROPERTY AND TECHNOLOGY TRANSFER SURVEY

CeSTII conducted this inaugural survey on behalf of DST, the National Intellectual Property Management Office (NIPMO) and the Southern African Research and Innovation Management Association (SARIMA). It comprises publically funded research institutions: the list of respondents is limited to those that fall within the definition of ‘institution’ as per the Intellectual Property Rights from Publicly Financed Research and Development Act (No. 51 of 2008) (IPR-PFRD). This baseline study covers the seven reference periods of 2008 to 2014. A multi-year survey is motivated by the need to obtain indicator data for as many years as possible.

The data that will be sourced via this survey instrument have been divided into three categories, one for general institutional information, and the other two along the lines of a systems framework, namely:

- A.** institutional context;
- B.** activities and inputs; and
- C.** outputs, outcomes and impacts.

The survey is at the final stages of data collection.

AFRICAN INNOVATION OUTLOOK

The African Innovation Outlook project was launched as a first of the series aimed at publishing STI indicators in Africa. CeSTII authored the second publication in the series,

the African Innovation Outlook II (2014). The publication presented R&D, innovation and bibliometric indicators. Monitoring STI indicators through these surveys is expected to assist countries with the evolution and development of their STI policies.

The results indicate that most countries in Africa have ministries of science and technology (and innovation). Most are stand-alone while some are combined with ministries of education and other ministries such as communication and finance. STI policies tend to be decided at this level with most countries having such policies although those of Lesotho and Senegal, designed in 2006, still have to be passed by the Council of Ministers or Cabinet.

There are common issues in most countries that require policy intervention. These include STI governance and capacity, human resource development, boosting R&D performance and promoting innovation. While science remains crucial to innovation, innovation goes beyond research and development. Therefore innovation policies have to move beyond science and technology to embrace the multidimensional nature of innovation.

BIO-ECONOMY WORKSHOPS

The South African bio-economy strategy was launched by the DST in 2014 in recognition of the policy landscape to drive the bio-economy through strategic investment in biotechnology competencies.

The DST embarked on a series of workshops towards identification and prioritisation of key flagship programmes for the implementation of the bio-economy strategy. The first workshop was held on 31 March 2014 to conduct an analysis of strengths, weaknesses, opportunities and threats to inform the priorities. In addition, the DST initiated the second phase of the development of the strategy implementation plan by convening two workshops with stakeholders in agriculture and industry and environment, facilitated by CeSTII. These two sectors, together with the health sector, had been identified as being the key economic sectors to contribute to and benefit from a comprehensive bio-economy strategy.



OVERVIEW OF THE HSRC'S PERFORMANCE FOR 2014/15

IT ALWAYS SEEMS IMPOSSIBLE UNTIL IT'S DONE.

Nelson Mandela





THE HSRC'S JOURNEY TO EXCELLENCE

The HSRC has continued to demonstrate excellent performance on the delivery of its mandated objectives in the 2014/15 financial year. At the beginning of the financial year annual targets were agreed and approved by the Minister of Science and Technology as contained in the Strategic Plan and Annual Performance Plan. Overall performance against these pre-determined objectives was 71% (29/41). When analysing at the strategic indicator (ADEPTS) level, the outcome for each objective was as follows:

- **A** – Advance
88% (targets for 7 out of 8 indicators achieved)
- **D** – Develop
75% (targets for 3 out of 4 indicators achieved)
- **E** – Enhance
40% (targets for 4 out of 10 indicators achieved)
- **P** – Preserve
100% (targets for 3 out of 3 indicators achieved)
- **T** – Transform
67% (targets for 4 out of 6 indicators achieved)
- **S** – Sustain
80% (targets for 8 out of 10 indicators achieved)

An in-depth analysis of the different key performance indicators supporting the performance noted above is summarised on [P](#) page 78 to page 83.

PERFORMANCE ENVIRONMENT

The HSRC is one of the statutory research councils operating in the South African National System of Innovation (NSI). As a national public entity, it reports to parliament via the Department and Minister of Science and Technology. It also has a cross-cutting responsibility, addressing priorities of several other government departments. In terms of mandated objectives listed in the HSRC Act, it is required to undertake research, inform policy, and provide data to

help monitor and evaluate the implementation of policies dealing with developmental issues, thereby contributing to the improvement of the quality of life of vulnerable communities. This cross-cutting role of the HSRC and the areas of work it addresses are closely aligned with government's Medium-term Strategic Framework (MTSF) and specified desired outcomes over the next five years.

Through research that is often large-scale, multiyear, and collaborative in nature, the HSRC provides high-quality scientific evidence to inform monitoring and evaluation, further analysis, as well as debate, advocacy and decision-making by role-players in government, the media, academia, and community-based groupings. The work of the HSRC is intended to inform policy development and good practice, thereby making a difference to the lives of people in South Africa and on the continent.

Large-scale cross-sectional and longitudinal surveys undertaken by the HSRC provide research-based data that can be used for informing government planning, monitoring and evaluation activities. By leveraging additional funding from external and international sources, the HSRC has contributed to national priorities while helping to grow the overall contribution to research and development expenditure in the country.

Other forms of support to decision-makers regarding research and the utilisation of research findings, include secondments of HSRC staff members to government departments and special appointments of HSRC staff to serve on advisory bodies or commissions.


The HSRC also undertakes research and evaluation studies in areas of national priority, and ensures that relevant stakeholders and decision-makers are informed about findings emerging from the research, and the implications of these for policy and practice. Presentations to parliamentary portfolio committees are based on scientific evidence.

The HSRC is, by virtue of its legislated objectives, also required to foster and support research, help build capacity and infrastructure in the human sciences in South Africa and elsewhere in Africa, and to foster research networks and collaboration in the human sciences. However, the HSRC is a performing research council and not a grant-making institution such as the National Research Foundation (NRF). Its own research agenda needs to be co-financed from external sources (e.g. via contracts and grants for research services rendered). Collaboration with universities and other science councils generally takes place at project level, in some cases in the context of signed memoranda of understanding developed at institutional level.

In terms of its mandated objective to inform scientific debate and disseminate research findings, the HSRC regularly hosts seminars and workshops, and publishes a range of informative documents including research reports, policy briefs and more popular reviews. In September 2015, it will co-host the World Social Science Forum, where critical issues of inequality and social justice will be explored by academics, political leaders and development agencies from across the world.

The HSRC's ability to develop long-term plans involving external collaboration, capacity enhancement and infrastructure development, remains relatively constrained by its funding model. This has led to negative perceptions from some role-players in the National System of Innovation, about a bias towards 'consultancy-driven' rather than strategy-driven collaboration.

ORGANISATIONAL ENVIRONMENT

The main function of the HSRC is research, and the effective communication of research findings. Administrative activities are carried out to provide an enabling environment for research, to support infrastructure needs and to ensure compliance with regulatory requirements. An overview of the HSRC's structure appears on  page 95. Over the next five

years, the following elements of the structure will remain stable:

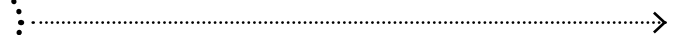
- The HSRC board serves as governing body of the HSRC.
- The chief executive officer (CEO) is an ex officio member of the HSRC board, and reports to the HSRC board.
- The office of the CEO houses key units responsible for governance and outreach activities.
- The deputy CEO (DCEO) for research reports directly to the CEO and is responsible for the research portfolio of the HSRC. The executive directors of research programmes, heads of other research units (AISA, BRICS, CeSTII and RIA), as well as the units for research coordination, ethics and integrity; ethics, research communication and utilisation; as well as research impact analysis, report to the DCEO: research.
- The DCEO: management support reports directly to the CEO and is responsible for assets and operational support functions of the HSRC, including activities related to staff and organisational development.
- The chief financial officer (CFO) reports directly to the CEO and is responsible for finance, supply chain management and institutional performance.

The HSRC currently has offices in four of South Africa's nine provinces, namely Gauteng (Pretoria – HSRC and AISA), KwaZulu-Natal (Durban and Sweetwaters), the Western Cape (Cape Town) and the Eastern Cape (Port Elizabeth).

The research agenda of the HSRC is responsive to issues identified in the external environment, including various aspects of global change. Inequality is a cross-cutting theme informing research undertaken by the HSRC. A focus on the humanities will be mainstreamed. Intra- and inter-institutional collaboration is fostered, and international research networks will involve a focus on strengthening research in geopolitical issues, the social sciences and humanities in the South, across Africa and globally.



Photo: Sean Nel/Shutterstock.com



STRATEGIC OUTCOME-ORIENTED GOALS OF THE HSRC

The strategic intent of the HSRC is aligned to the overall goals of Africa's Consolidated Plan of Action for Science and Technology (AU 2005: 10). The goals of the action plan are:

- to enable Africa to harness and apply science, technology and related innovations to eradicate poverty and achieve sustainable development; and

- to ensure that Africa contributes to the global pool of scientific knowledge and technological innovations.

The HSRC has identified the following six strategic outcome-oriented goals. These strategic business goals are informed by the mandated goals and institutional imperatives of the HSRC. These, in turn, relate strongly to national priorities, global developmental goals, the 'grand challenges' in the 10-year National Innovation Plan (in particular the Human and Social Dynamics in Development grand challenge), and to the vision of the HSRC.

Strategic outcome-oriented goal 1	A – Knowledge advancement
Goal statement:	The HSRC will have advanced social sciences and humanities for public use by initiating, undertaking and fostering basic and applied research in human and social sciences, and geopolitical issues; stimulated public debate and disseminated research results through scientific publications, seminars and institutional linkages, thereby contributing to global knowledge generation and dissemination by the end of the 2018/19 financial year.
Strategic outcome-oriented goal 2	D – Contribution to development and social progress in Africa
Goal statement:	The HSRC will have contributed to development and social progress in Africa by conducting research, analysing and publishing data that aims to address developmental challenges in South Africa and elsewhere in Africa and the rest of the world; and will have promoted an African research agenda through knowledge and research partnerships by the end of the 2018/19 financial year.
Strategic outcome-oriented goal 3	E – Enhanced skills
Goal statement:	By the end of 2018/19 the HSRC will have contributed to the development of a skilled and capable workforce in South Africa and elsewhere in Africa by providing opportunities for masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC. Thus it will have grown an echelon of suitably qualified and experienced social scientists and strengthened its capacity-building programme focusing on training unemployed graduates. It will furthermore have expanded the coaching skills initiative for managers; career growth and succession planning.
Strategic outcome-oriented goal 4	P – Preserved data and knowledge
Goal statement:	The HSRC will have preserved its library holdings through digitisation and preserved data sets from data collected by HSRC researchers and shared it with others for further analysis by the end of the 2018/19 fiscal year.
Strategic outcome-oriented goal 5	T – Transformation
Goal statement:	By the end of the 2018/19 financial year the HSRC will have transformed at senior level to reflect the national demographic composition with respect to race and gender.
Strategic outcome-oriented goal 6	S – Financial sustainability
Goal statement:	By the end of the 2018/19 financial year the HSRC will have improved and implemented effective and efficient systems of financial management and good corporate governance; and ensured sustainability of research funding through long-term research projects and longitudinal studies.

Strategic objectives, performance indicators, planned targets and actual achievements

No.	Performance indicator description	Previous financial years' audited performance			2014/15 performance		Challenges / comments	Response to challenges / remedial action
		2011/12	2012/13	2013/14	Target	Output		
Strategic outcome-oriented goal 1: A – Knowledge advancement								
Objective 1.1: Dissemination of knowledge through public dialogue and publications								
Objective statement: The HSRC will have stimulated public debate through effective dissemination of fact-based research results, thereby contributing to knowledge generation and dissemination globally by hosting public dialogues and publishing peer-reviewed journal articles in internationally accredited scientific journals; recognised books and book chapters with at least one HSRC researcher listed as author or co-author; and non-peer reviewed journal articles by the end of 2018/19.								
1	Peer-reviewed journal articles: The number of peer-reviewed publications in an internationally accredited scientific journal, per senior researcher – senior research specialist (SRS) or senior research manager (SRM) and above – during the period under review.	1.68	1.77	1.75	1.9	1.83 (121/66)	As is the trend with publications in international journals, the pipeline/ publication cycle of articles takes three to six months. The majority of articles are published and registered on the RMS (Research Management System) in the 4th quarter.	Monthly proactive research performance monitoring to ensure both a pipeline of submitted articles and better achievement of quarterly targets.
2	Scholarly books published: The number of recognised books with at least one HSRC researcher listed as author or co-author, published during the period under review.	2	8	13	13	16	Target exceeded	n/a
3	Scholarly book chapters published: The number of recognised book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review.	10	39	40	52	54	Target exceeded	n/a
4	HSRC research seminars convened: The number of HSRC research seminars hosted during the year under review.	40	45	51	50	58	Target exceeded	n/a
5	HSRC Review publications: The number of <i>HSRC Review</i> publications produced during the year under review.	4	4	5	6	6	Target met	n/a
6	New publishing imprint: The number of titles published under the new imprint.	New	New	3	3	3	Target met	n/a
Objective 1.2: Inform effective formulation of government policy and evaluate its implementation								
Objective statement: The HSRC will have informed effective formulation of government policy and evaluated the effectiveness of its implementation by conducting research and increasing the number of policy briefs published from 8 in 2012/13 to 24 by the end of the 2018/19 financial year.								
7	Policy briefs: The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review.	6	8	8	19	23	Target exceeded	n/a
Objective 1.3: Institutional collaboration agreements								
Objective statement: The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by working closely with government, universities, non-governmental organisations and donor organisations by the end of the 2018/19 financial year.								
8	Active Memoranda of Understanding (MoUs): The number of active MoUs with other research institutions or associations in place during the period under review.	25	27	41	35	47	Target exceeded	n/a

- Target
- Target achieved
- Target not achieved

OVERVIEW OF THE HSRC'S PERFORMANCE FOR 2014/15

continued

No.	Performance indicator description	Previous financial years' audited performance			2014/15 performance		Challenges / comments	Response to challenges / remedial action
		2011/12	2012/13	2013/14	Target	Output		
Strategic outcome-oriented goal 2: D – Contribution to development and social progress in Africa								
Objective 2.1: Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives								
Objective statement: By the end of the 2018/19 financial year the HSRC will have sourced funding and undertaken longer-term, longitudinal or cross-sectional projects providing critical data to inform planning or monitoring progress in relation to government outcomes.								
9	Research projects completed: The number of research projects completed during the period under review.	25	11	27	16	35	Target exceeded	n/a
10	Research reports produced: The number of research reports produced during the period under review.	22	19	45	26	49	Target exceeded	n/a
Objective 2.2: Promoting an African research agenda								
Objective statement: The HSRC will have promoted an African research agenda through knowledge and research partnerships elsewhere in Africa and by encouraging comparative work and the involvement of expert participants and reviewers from other parts of Africa by 2018/19.								
11	African research fellows: The number of research fellows from elsewhere in Africa at the HSRC.	7	10	11	15	14	Appointments deriving from project- and MoU-based collaborations need to be augmented.	Alignment of recruitment to the proposed Africa Focus research agenda (which will include the new AISA research strategy) and further recruitment efforts through continental associations.
Objective 2.3: Structured collaborative research								
Objective statement: The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by conducting research projects in collaboration with government, universities, non-governmental organisations and donor organisations; and conducting 15 collaborative research projects between its research programmes by the end of the 2018/19 financial year.								
12	Structured collaborative research projects completed: The number of completed HSRC research projects involving structured collaboration between research programmes during the year under review.	New	New	42	14	28	Target exceeded	n/a
Strategic outcome-oriented goal 3: E – Enhanced skills								
Objective 3.1: Attraction of skills for the development of a skilled and capable workforce								
Objective statement: The HSRC will have recruited masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC and strengthened its capacity-building programme focusing on recruitment of unemployed graduates, expanding the coaching skills initiative for managers; career growth and succession planning by 2018/19.								
13	Master's level interns: The number of interns (research trainees) enrolled in a Masters programme, appointed at the HSRC.	38	41	37	39	42	Target exceeded	n/a
14	PhD level interns: The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC.	38	42	43	47	45	Timely attraction and recruitment of suitable South African candidates.	Systematisation and re-doubling of early recruitment efforts.
15	Post-doctoral fellows: The number of post-doctoral fellows (research associates) appointed at the HSRC.	17	22	23	27	21	Timely attraction and recruitment of suitable South African candidates.	Systematisation and re-doubling of early recruitment efforts.
16	Students reached in the research seminars/campus lecture series: The number of students reached in the research seminars/campus lecture series during the period under review.	New	New	New	500	579	Target exceeded	n/a
17	Schools engaged in outreach programme: The number of schools engaged in the outreach programme during the period under review.	New	New	New	180	191	Target exceeded	n/a

No.	Performance indicator description	Previous financial years' audited performance			2014/15 performance		Challenges / comments	Response to challenges / remedial action
		2011/12	2012/13	2013/14	Target	Output		

Strategic outcome-oriented goal 2: D – Contribution to development and social progress in Africa continued

Objective 3.2: Research capacity for the human sciences

Objective statement: The HSRC will have provided mentorship and coaching for masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC in order to grow an echelon of suitably qualified and experienced social scientists, ensuring that research interns and doctoral fellows produce peer-reviewed publications by the end of the 2018/19 financial year.

18	Completed masters' level research internship: The number of interns (research trainees) enrolled in a masters' programme, who have completed the programme during the period under review.	New	New	8	8	6	Appointments are for two-year periods (renewable for an additional year) and cyclical variation in completion rates have to be better anticipated.	Provision of training to interns on degree/project planning; better communication with university supervisors; and regular and formalised monitoring of progress by HSRC mentors.
19	Peer-reviewed journal articles per master's intern: The number of peer-reviewed publications in an internationally accredited scientific journal, per masters' intern during the period under review.	New	New	0.08 (3/37)	0.9	0.05 (2/41)	A relatively new indicator, the accomplishment of which requires specific strategies and remedial action.	The requirement for co-publishing with interns has been written into the budget allocation letters of executive directors and will be included in the KPAs of senior researchers.
20	Completed PhD level research internship: The number of interns (research trainees) enrolled in a PhD programme, who have completed the programme during the period under review.	New	New	3	6	9	Target exceeded	n/a
21	Peer-reviewed journal articles per PhD intern: The number of peer-reviewed publications in an internationally accredited scientific journal, per PhD intern during the period under review.	New	New	0.47 (20/43)	0.9	0.38 (17/45)	A relatively new indicator, the accomplishment of which requires specific strategies and remedial action.	The requirement for co-publishing with interns has been written into the budget allocation letters of executive directors and will be included in the KPAs of senior researchers.
22	Peer-reviewed journal articles per post-doctoral Fellow: The number of peer-reviewed publications in an internationally accredited scientific journal, per post-doctoral fellow during the period under review.	New	New	0.78 (18/23)	1.75	0.81 (17/21)	A relatively new indicator, the accomplishment of which requires specific strategies and remedial action.	The requirement for co-publishing with post-doctoral fellows has been written into the budget allocation letters of executive directors and will be included in the KPAs of senior researchers.

Strategic outcome-oriented goal 4: P – Preserved data and knowledge

Objective 4.1: Research data management and curation

Objective statement: The HSRC will have expanded the number of data sets already available in the public domain and established standards for the management and preservation of research data by the end of the 2018/19 financial year.

23	Preserved data sets: The number of HSRC data sets that were preserved (archived/curated) during the period under review.	19	22	23	23	23	Target met	n/a
24	Data sets generated and prepared for preservation: The number of HSRC data sets that were generated and prepared for preservation (archiving/curation) during the period under review.	New	New	New	23	23	Target met	n/a

OVERVIEW OF THE HSRC'S PERFORMANCE FOR 2014/15

continued

No	Performance indicator description	Previous financial years' audited performance			2014/15 performance		Challenges /comments	Response to challenges / remedial action
		2011/12	2012/13	2013/14	Target	Output		
Strategic outcome-oriented goal 4: P – Preserved data and knowledge continued								
Objective 4.2: Preserved library holdings								
Objective statement: The HSRC will have preserved library holdings electronically through digitisation of Africa Insight, publications, maps and the photo collection the by end of the 2018/19 financial year.								
25	Preserved library holdings: Digitised library holdings, maps and the photo collection during the period under review.	New	New	New	637	654	Target exceeded	n/a
Strategic outcome-oriented goal 5: T – Transformation								
Objective 5.1: Transformation: Senior researchers								
Objective statement: By the end of the 2018/19 financial year, the HSRC will have maintained 56% of senior researchers (SRS/SRM and above), who are African and 50% of senior researchers who are female.								
26	Senior researchers who are African: The percentage of all researchers at senior level – senior research specialist (SRS) or senior research manager (SRM) and above – who are African.	43,86% (25/57)	35.38% (23/65)	45% (29/65)	54%	42% (28/66)	A stretch target, the accomplishment of which is a continued focus of executive efforts despite the increased demand in the tertiary sector for senior African researchers (associate and full professor levels).	Enhanced cooperation with various universities with respect to adjunct and joint appointments.
27	Senior researchers who are female: The percentage of all researchers at senior level – senior research specialist (SRS) or senior research manager (SRM) and above – who are female.	New	New	48% (31/65)	48%	36% (24/66)	A stretch target, the accomplishment of which is a continued focus of executive efforts despite the increased demand in the tertiary sector for senior female researchers (associate and full professor levels).	Enhanced cooperation with various universities with respect to adjunct and joint appointments.
Objective 5.2: Awareness of and reporting on transformation								
Objective statement: By the end of the 2018/19 financial year, the HSRC will have raised awareness and assessed its transformation status and prepared annual and quarterly reports on employment equity as well as activities to raise awareness on gender and diversity.								
28	Annual employment equity reports produced: Annual employment equity report to Department of Labour.	100%	100%	100%	100%	100%	Target met	n/a
29	Quarterly employment equity reports produced: Quarterly employment equity reports to the HSRC board.	4	4	4	4	4	Target met	n/a
30	Diversity awareness events hosted: The number of diversity awareness events hosted during the year under review.	1	1	0	1	1	Target met	n/a
31	Gender awareness events hosted: The number of gender awareness events hosted during the year under review.	1	1	1	1	1	Target met	n/a
Strategic outcome-oriented goal 6: S – Financial sustainability								
Objective 6.1: Extra-parliamentary income								
Objective statement: By the end of the 2018/19 financial year, the HSRC will have maintained extra-parliamentary funding of 40% (60:40 ratio).								
32	Extra-parliamentary income: The percentage of total income that is extra-parliamentary.	48% (R169.7m/ R350.5m)	52.02% (R203.7m/ R391.6m)	43.68% (R153.1m/ R350.6m)	48%	39.73% (R162m/ R408m)	A stretch target that is particularly subject to changes in funder research imperatives and demands.	The holding of dedicated strategy sessions among executive directors every two months to enable better anticipation of changing research imperatives and demands among funders. Further capacitation of the Business Development unit to strengthen existing and build new relationships with funders.

No	Performance indicator description	Previous financial years' audited performance			2014/15 performance		Challenges / comments	Response to challenges / remedial action
		2011/12	2012/13	2013/14	Target	Output		
Strategic outcome-oriented goal 6: S – Financial sustainability continued								
Objective 6.2: Multiyear grants								
Objective statement: By the end of the 2018/19 financial year, the HSRC will have increased the number of multiyear (at least three years) projects from 44% in 2011/12 to 56%.								
33	Multiyear grants: The percentage of multiyear (at least three years) research grants.	44% (31/71)	51.56% (33/64)	44.74% (34/76)	52%	52.13% (49 / 94)	Target met	n/a
Objective 6.3: Good corporate governance principles effectively championed								
Objective statement: By the end of the 2018/19 financial year, the HSRC will have championed implementation of good corporate governance principles and produced quarterly reports on risk management, compliance, anti-corruption initiatives and facilitated activities related to the governance of the board to ensure financial sustainability.								
34	Officials attending the anti-corruption campaign: The percentage of officials attending the anti-corruption campaign.	92%	39%	62%	70%	72.83%	Target exceeded	n/a
35	Eligible officials who have declared their interests: The percentage of eligible officials who have declared their interests.	71%	74%	100%	100%	99.77%	Target met	n/a
36	Compliance reports produced: The number of compliance reports presented and approved.	New	2	4	4	4	Target met	n/a
Objective 6.4: Effective and efficient systems of financial management and internal control								
Objective statement: By the end of the 2018/19 financial year, the HSRC will have championed implementation of good corporate governance principles and produced quarterly reports on risk management, compliance, anti-corruption initiatives and facilitated activities related to the governance of the board to ensure financial sustainability.								
37	Unqualified external audit report: 100% unqualified results of the annual statutory audits achieved for the period under review.	New	New	100%	100%	100%	Target met	n/a
38	BBBEE status: The BBBEE status achieved for the period under review.	New	New	3	3	4	There was a decline in the BBBEE status following the assessment conducted during 2014/15.	This indicator will not be achieved for the current financial year as the next assessment will be conducted in 2015/16.
39	PPPFA compliance: Percentage compliance with the Preferential Procurement Policy Framework Act (No. 5 of 2000) (PPPFA) requirements during the period under review.	New	New	100%	100%	100%	Target met	n/a
Objective 6.5: Improved stakeholder relations								
Objective statement: The HSRC will have developed stakeholder intelligence for targeted need satisfaction at national, regional and international levels, through 24 stakeholder engagements and two research projects registered to develop the research domain of science communication and public understanding of science by the end of the 2018/19 financial year.								
40	Stakeholder engagement: The number of stakeholder engagements during the period under review.	New	New	8	16	21	Target exceeded	n/a
41	Registered research projects to improve public understanding of science: The number of research projects registered to develop the research domain of science communication and public understanding of science during the period under review.	New	New	2	2	3	Target exceeded	n/a



THE HSRC BOARD
EXECUTIVE MANAGEMENT
ORGANISATIONAL STRUCTURE
ETHICAL LEADERSHIP
STAKEHOLDER ENGAGEMENT
REPORT
SUSTAINABILITY REPORT
THE GOVERNANCE OF
RISK: ENTERPRISE RISK
MANAGEMENT
AUDIT AND RISK COMMITTEE
REPORT

A nighttime photograph of a city skyline reflected in water. The lights are primarily red and white, with some yellow and blue accents. The reflection is clear and bright. The text 'GOVERNANCE REPORT' is centered in white, bold, uppercase letters.

GOVERNANCE REPORT

THE HSRC BOARD ON ITS PATHWAY TO RESEARCH EXCELLENCE AND TRANSFORMATION



Ms Nasima Badsha
Chairperson
MSc, University of Natal

Chief executive officer of the Cape Higher Education Consortium (CHEC). Previous positions held include: deputy director general in the former Department of Education (1997–2006); advisor to the Minister of Education (2006–2009); and to the Minister of Science and Technology (2009–2012). Former member of the National Commission on Higher Education and served on the Council on Higher Education and board of the National Student Financial Aid Scheme.

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

Prof. Olive Shisana
Chief executive officer
ScD, Johns Hopkins University



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

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

Advocate of the high court of South Africa; a human rights and litigation lawyer in practice for over 35 years, first as an attorney and conveyancer and now as an advocate; commissioner of the small claims court since October 1996.

Has served on several boards, councils and committees. These include the Estate Agency Affairs Board (EAAB); South African Council for Social Services Professions (SACSSP); Africa Institute of SA (AISA); South African Civil Aviation Authority (SACAA); Iziko Museum; National Film and Video Foundation (NFVF); and the appeals board of the Medical Schemes Council. Assessor of the Health Professions Council of South Africa (HPCSA) and chairperson of several boards, committees and subcommittees around the world.

Distinctions obtained in several law subjects, in the BProc, LLB and LLM degrees. Several leading community awards of distinction, received from several centres in SA, India, UK, and Asia. Youngest admitted attorney (at age 22 in 1979). Several liberation struggle awards for successfully defending/prosecuting human rights matters, especially in the apartheid days and as a historically disadvantaged lawyer.

Adv. Roshan Dehal
BProc, LLB



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

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

Sits on the editorial boards of a number of international journals including the *International Journal of Feminist Politics, Politics and Gender, African Studies* and the *Journal of Southern African Studies*. Is a member of the ASSAf Standing Committee on the Humanities, and the research advisory committee of the United Nations' flagship report – *Progress of the World's Women*. International research advisor to the project 'Gendering institutional change', based at the University of Manchester. Member of the senate of the University of the Witwatersrand for five years, elected by senate to the council of the University of the Witwatersrand and is the assistant dean (research) in the faculty of humanities.

Director: IDSC Consulting Pty (Ltd); research fellow: Higher Education South Africa (HESA) and extraordinary associate professor at North-West University (Potchefstroom Campus). Previously, vice-rector: research and planning at North-West University (Potchefstroom Campus), member of the National Research Foundation THRIP advisory board, HESA Research and Innovation Strategy Group and the ministerial committee for the development of a National Integrated Cyber-Infrastructure System (NICIS). Past president of the Southern African Research and Innovation Management Association and the South African Statistical Association. Past chairperson of the Southern African Association for Institutional Research.

Prof. Amanda Lourens
PhD, University of Pretoria



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

Professor and John Langalibalele Dube chairperson in rural education, College of Humanities, University of KwaZulu-Natal. Member of the UMALUSI Council. Member of the editorial committee and board of *Agenda Feminist Media Project*.

Director: United Nations African Institute for Economic Development and Planning (IDEP) and interim executive director: Africa Governance Institute (AGI), both at Dakar and Senegal. Professor of international economic relations and former executive secretary: CODESRIA. Previously served as director of research at the Nigerian institute of international affairs; senior research fellow/research programme coordinator at the Nordic Africa Institute and a senior programme staff member at the South Centre in Geneva.

Prof. Adebayo Olukoshi
PhD, Leeds University, UK



Prof. Lulama Qalinge
PhD, North-West University

Professor and head of department of social work, University of South Africa (UNISA). Former acting dean of the Faculty of Human and Social Sciences and director of the School of Social Sciences; North-West University, (Mafikeng campus). Former member of the institutional forum (NWU). Board member of Lesotho Highlands Development Authority and serving in the sustainable development subcommittee. Board member of the Health Professions Council of South Africa (HPCSA).

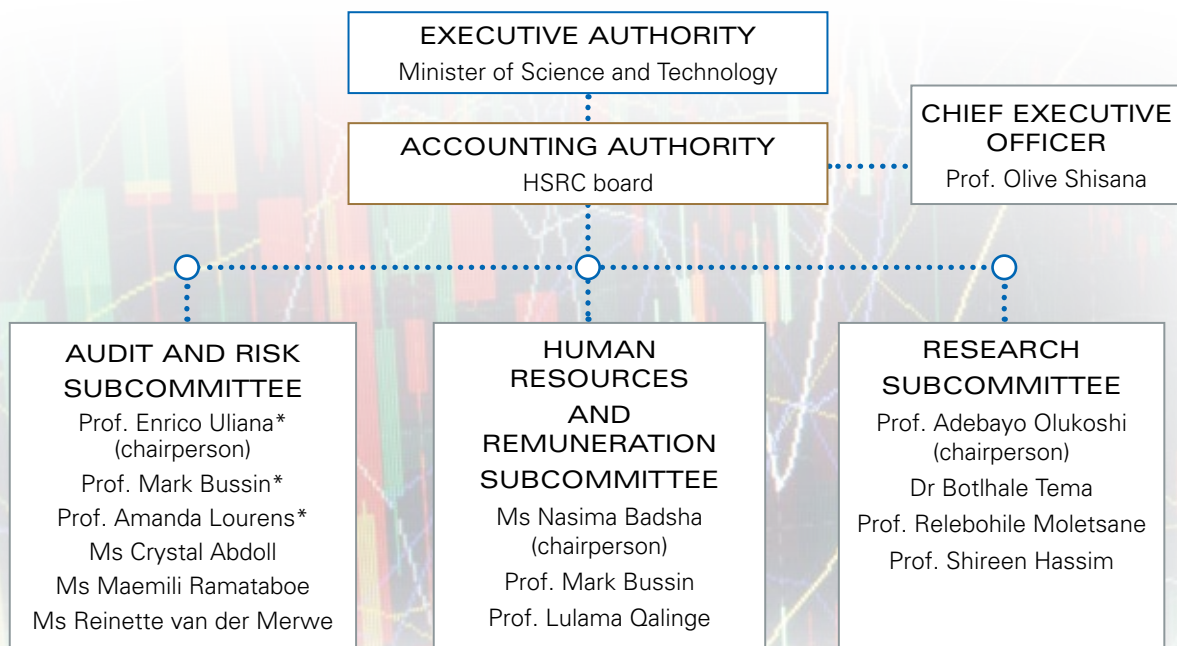
Managing director: African Creative Connections; member of the advisory panel of the Network for the Coordination and Advancement of sub-Saharan Africa-EU Science and Technology Cooperation Network; chairperson of the board of the Programme for Technological Careers; former ex-officio member of the AU steering committees on education, science and technology, ICT and the youth programme; former ex-officio member of the South African National Commission of the United Nations Educational, Scientific and Cultural Organisation (UNESCO).

Dr Botlhale Tema
PhD, University of Reading, UK



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

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



ROLE AND FUNCTION OF THE BOARD

The HSRC is established in terms of the HSRC Act (No. 17 of 2008) and, as a Schedule 3A public entity, performs within the statutory guidelines of the Public Finance Management Act (PFMA) and the associated treasury regulations. In adhering to the requirements of the executive authority, the Board of Council supports the King III principles of good governance.

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

Corporate governance

- (i) To ensure that the HSRC's activities, performance and values are in line with the statutory objects and functions as specified in Section 3 and 4 of the act;
- (ii) To determine, monitor and evaluate the implementation of the HSRC's strategic and business plan in conjunction with the chief executive officer, and to conclude a shareholder's agreement with the executive authority (the minister) setting out mutual rights and obligations;
- (iii) To exercise fiduciary oversight over the assets of the HSRC by ensuring that the HSRC's financial records are regularly audited in accordance with best corporate practice; that management of the assets comply with the Public Finance Management Act; and that there are adequate risk management measures, procedures

and practices in place to protect the HSRC's assets and reputation.

- (iv) To ensure that HSRC practices comply with legislation relating to transformation, labour relations and occupational safety;
- (v) To ensure that the HSRC complies with all other relevant laws, regulations and codes of best business practice; and
- (vi) To exercise leadership, enterprise, integrity and judgement in directing the affairs of the HSRC.

Responsibilities

- (i) To appoint the chief executive officer of the HSRC in accordance with the procedures set out in Section 10 of the act;
- (ii) To monitor the performance and effectiveness of the HSRC, the chief executive officer and the other employees of the HSRC on the basis of predetermined performance indicators laid down by the board, and to receive periodic reports from the chief executive officer on the functioning and operations of the HSRC;
- (iii) To serve as the ultimate employer of all HSRC employees; in this role the board approves the general terms and conditions of employment, as well as structures for remuneration, allowances, subsidies and other benefits in accordance with such systems as may be approved by the minister with the concurrence of the Minister of Finance;
- (iv) To approve acquisition and alienation of HSRC assets in accordance with the Act, and to regulate the commercialisation of the HSRC's inventions; and
- (v) To establish policies and guidelines for the functioning of the HSRC.

One responsibility of the Board of Council, as articulated above, is to appoint a suitably skilled and qualified person as chief executive officer. In anticipation of the end of Prof. Shisana's second consecutive term as chief executive officer of the HSRC on 31 July 2015, the board accordingly commenced with a search and selection process in August 2014. A board-constituted Search and Selection Committee, consisting of members of the board, representatives of management and an external advisor, drove the undertaking. Following an extensive recruitment drive, the board made its recommendation for the appointment of a chief executive officer to the Minister of Science and Technology in April 2015. A Cabinet endorsement of the appointment concluded this process.

STRUCTURE OF THE HSRC BOARD

Section 5 of the HSRC Act outlines the composition of the board. Members are selected and appointed by the minister from a short list of candidates approved by the national assembly:

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

BOARD MEETINGS AND ATTENDANCE

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

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

Board member	Ordinary meetings held			
	May 2014	August 2014	November 2014	February 2015
Ms Nasima Badsha	P	P	P	P
Prof. Olive Shisana	P	A	P	P
Prof. Mark HR Bussin	P	P	A	P
Adv. Roshan R Dehal	P	P	P	A
Prof. Shireen AA Hassim	P	P	P	P
Prof. Amanda Lourens	P	A	P	P
Prof. Relebohile T Moletsane	P	A	A	P
Prof. Adebayo O Olukoshi	P	P	P	P
Prof. Lulama I Qalinge	A	A	P	A
Dr Botlhale O Tema	P	P	A	P
Prof. Enrico O Uliana	P	P	P	A

P: Present A: Member absent with an apology

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

The following members served on the board between 1 April 2014 and 31 March 2015:

- Ms Nasima Badsha (chairperson)
- Prof. Olive Shisana (chief executive officer)
- Prof. Mark HR Bussin
- Adv. Roshan R Dehal
- Prof. Shireen AA Hassim
- Prof. Amanda Lourens
- Prof. Relebohile T Moletsane
- Prof. Adebayo O Olukoshi
- Prof. Lulama I Qalinge
- Dr Botlhale O Tema
- Prof. Enrico O Uliana

INDUCTION AND ORIENTATION

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

BOARD SECRETARIAT FUNCTION

The HSRC board is assisted by a board secretary that provides top-level secretariat and administrative support to the board, its subcommittees and various other forums such as the executive directors' meetings and HSRC bargaining forum.

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

ANNUAL BOARD EVALUATION

In keeping with the recommendations of the King Report on Governance (King III), the board conducts an annual self-evaluation to assess its performance. The evaluation is based on predetermined criteria, starting with a review of the board's responsibilities to ensure that board members have a thorough understanding thereof.

The evaluation tool that was agreed on by the board is based on a self-diagnostic instrument from the Institute of Directors Southern Africa (IoDSA), and was adapted to suit the needs of the HSRC board. The self-evaluation questionnaire covers 11 focus areas, namely:

1. the role of the board and agenda setting;
2. size, composition and independence of the board;
3. orientation and development of board members;
4. board leadership, teamwork and management relations;
5. board meetings;
6. board evaluation and continuous improvement;
7. management evaluation, compensation and ownership;
8. succession planning;
9. code of conduct and ethics;
10. stakeholder management; and
11. board secretary.

Nine of the 11 board members completed the self-evaluation questionnaire. Having now been in the role for more than a year, members found it a constructive practice for identifying strengths and weaknesses of the board in fulfilling its mandate.

While the board was generally satisfied with its performance in all the focus areas, an especially positive outcome of the assessment included members' consensus that the size, composition and independence of the board appropriately supported the effective execution of its duties.

Board members were also of the opinion that a free and open exchange of opinions was encouraged and that this, combined with an excellent relationship between the board, the chief executive officer and management, created an enabling environment that contributed significantly to the success of the board.

The self-assessment was furthermore useful in identifying some matters that the board will focus on in the near future. These include certain human resource strategies and strategies for reviewing board functions, the board's progress towards reaching its goals and benchmarking against other boards.

BOARD COMMITTEES

Audit and Risk Committee (Finance Committee Inc.)

The HSRC board established an Audit and Risk Committee (ARC), which is constituted in terms of section 51 (1)(a)(ii) of the Public Finance Management Act (No.1 of 1999). The committee has an independent role and is accountable to the board.

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

The committee comprises six members, three of whom are members of the HSRC board and three specialist members.

A report from the committee follows on  page 106.

Human Resources and Remuneration Committee

The aim of the Human Resources and Remuneration Committee, in its dual role, is to assist the HSRC board in fulfilling its corporate governance responsibilities by determining, agreeing and developing the HSRC's remuneration policies and packages, mandating the annual cost of living wage increase and determining the criteria necessary to measure the performance of the HSRC chief executive officer. It also reviews HR policies and reports including employment equity and skills development, information on performance management in the HSRC, as well as the appointment and promotion of senior staff.

The committee consists of a minimum of three non-executive board members and the chief executive officer, but all members of the HSRC board have standing invitations to all meetings. The committee met four times in the year under review:

Committee member	Ordinary meetings held			
	May 2014	August 2014	November 2014	February 2015
Ms Nasima Badsha	A	P	P	P
Prof. Olive Shisana	A	A	A	P
Prof. Mark HR Bussin	P	P	A	P
Adv. Roshan R Dehal	A	A	P	A
Prof. Shireen AA Hassim	A	A	P	P
Prof. Amanda Lourens	A	A	P	P
Prof. Relebohile T Moletsane	A	A	A	P
Prof. Adebayo O Olukoshi	P	P	P	P
Prof. Lulama I Qalinge	A	A	P	A
Dr Botlhale O Tema	P	P	A	P
Prof. Enrico O Uliana	A	A	A	A

P: Present

A: Member absent with an apology

Research Committee

This committee contributes to the development of the overall research portfolio and approach of the HSRC by engaging with HSRC management and staff on critical developments in the research arena.

The committee was reconstituted in 2014, with agreement that it would comprise of not less than three non-executive board members, while all members of the board had standing invitations to attend meetings of the committee.

In addition to the above, the committee further defined its role as leading the board in discussions on research matters and framing significant research issues for discussion at meetings of the board.

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

- identifying research gaps in the HSRC (i.e. humanities-centered research);
- capacity-building;
- the Africa research agenda;
- the research policy nexus; and
- the relevance of the organisation's research focus areas.

Members of the committee are also invited to attend and contribute to the HSRC's annual strategic planning lekgotla. As such, the committee provided significant input into the structure and content of the annual researchers' lekgotla on 12 November 2014. Three of the committee members,

Prof. Adebayo Olukoshi, Prof. Shireen Hassim and Dr Botlhale Tema, participated in the event, as well as an additional board member, Adv. Roshan Dehal.

In addition, the committee met once in the year under review:

Committee member	Ordinary meetings held
	August 2014
Prof. Adebayo O Olukoshi (chairperson)	P
Prof. Shireen AA Hassim	P
Prof. Relebohile T Moletsane	A
Dr Botlhale O Tema	P

P: Present

A: Member absent with an apology

THE EXECUTIVE MANAGEMENT ON ITS PATHWAY TO RESEARCH EXCELLENCE AND TRANSFORMATION



Dr Temba Masilela
**Deputy chief executive officer:
research, and acting executive
director for Research Use and
Impact Assessment (RIA)**
PhD, University of Iowa, USA

Former executive director for the Policy Analysis and Capacity Enhancement (PACE) research programme at the HSRC. Previously served as special adviser to the Minister of Social Development; programme manager at the Centre for Corporate Citizenship at UNISA; executive for corporate communication at Telkom SA; and senior lecturer in the School of Journalism and Media Studies at Rhodes University.

Former executive director: Democracy, Governance and Service Delivery (DGSD). Past general manager of the Delimitation and Planning Directorate of the Independent Electoral Commission (IEC). Previously served as senior manager at the Centre for Development and Enterprise (CDE) and was a lecturer at the University of Natal and Durban-Westville. Co-editor of *South African Social Attitudes: Changing Times, Diverse Voices and Democracy and Delivery: Urban Policy in South Africa*, HSRC Press, 2006. His book, *Development and Dreams: The urban legacy of the 2010 Football World Cup* was published in 2009.

Dr Udesh Pillay
**Deputy chief executive officer:
management support**
PhD, University of Minnesota,
USA



Ms Priya Singh
Chief financial officer
CA, South Africa

Former risk and audit manager at the South African National Space Agency (SANSA). Was involved in several public sector audits during a three-year tenure at the Auditor-General of South Africa. Worked at the United Nations, where she gained expert knowledge over a period of five years of national and international donor funding.

Previously responsible for graduate programmes, University of KwaZulu-Natal (UKZN). Worked as a school science teacher in non-governmental organisations (NGOs) involved in in-service education for science teachers. Taught chemistry in university bridging programmes, and worked for an evaluation and monitoring NGO.

Dr Vijay Reddy
**Executive director: Education
and Skills Development (ESD)**
PhD, University of
Durban-Westville



Prof. Leickness Simbayi
**Executive director: HIV/AIDS,
STIs and TB (HAST)**
DPhil, University of Sussex, UK

Previously taught social science research and biological psychology at the undergraduate and postgraduate levels at five universities in Zambia and South Africa. Was an academic head of department and departmental chairperson. Associate editor of the peer-reviewed academic journal – *Journal of Psychology in Africa*. Member of the international advisory board of *Vulnerable Children and Youth Studies: An International Interdisciplinary Journal for Research, Policy and Care*.

Former deputy executive director of HSD. Research fellow at UKZN. Visiting professor at the University of Basel in 2009 and a visiting scholar at the University of California in 2002. Widely published scholar in the field of gender studies. Joined the HSRC in July 2006 as chief research specialist.

Prof. Vasu Reddy
**Executive director: Human and
Social Development (HSD)**
PhD, University of KwaZulu-Natal



Previous head of the Department of Human Nutrition and founder and director of the Nutrition Information Centre of the University of Stellenbosch (NICUS); director of the African Micronutrient Research Group, University of Stellenbosch; and director of the Nutrition Support Team at the Tygerberg Academic Hospital. Was a consultant to the World Health Organization (WHO), the United Nations Children's Fund (UNICEF) and International Atomic Energy Authority (IAEA). Provided technical support to national surveys sponsored by the Global Alliance for Improved Nutrition (GAIN).

Prof. Demetré Labadarios
Executive director: Population Health, Health Systems and Innovation (PHHSI)
PhD, University of Surrey, UK



Prof. Daniel Plaatjies
Executive director: Democracy, Governance and Service Delivery (DGSD)
PhD, University of the Witwatersrand

Visiting professor at the School of Business Management, University of the Free State; former head and director of the Wits Graduate School of Public & Development Management (now known as the School of Governance).
(Prof. Namia Bohler-Muller was the acting executive director: DGSD until 31 May 2014.)

Vice-chairperson of the board of Bioversity International; Minister of Agriculture, Fisheries and Forestry's representative in the Winter Cereal Trust; and an African Scientific Institute (ASI) fellow. Research interests are in agriculture – specifically plant sciences and plant protection – and sustainable development.

Prof. Phindile Lukhele-Olorunju
Acting section head: Africa Institute of South Africa (AISA)
PhD, University of Georgia, Athens, USA



Prof. Ivan Turok
Acting executive director: Economic Performance and Development (EPD)
PhD, University of Reading, UK

Honorary professor at the Universities of Cape Town and Glasgow. Before returning to South Africa and joining the HSRC in 2010 he was professor and research director of the Department of Urban Studies at Glasgow University.
(Prof. Margaret Chitiga-Mabugu was the executive director: EPD until 31 August 2014.)

Previous positions held include research director for the HAST research programme, as well as senior research scientist for the Medical Research Council.

Dr Khangelani Zuma
Executive director: Research Data Management Centre
PhD, University of Waikato, New Zealand



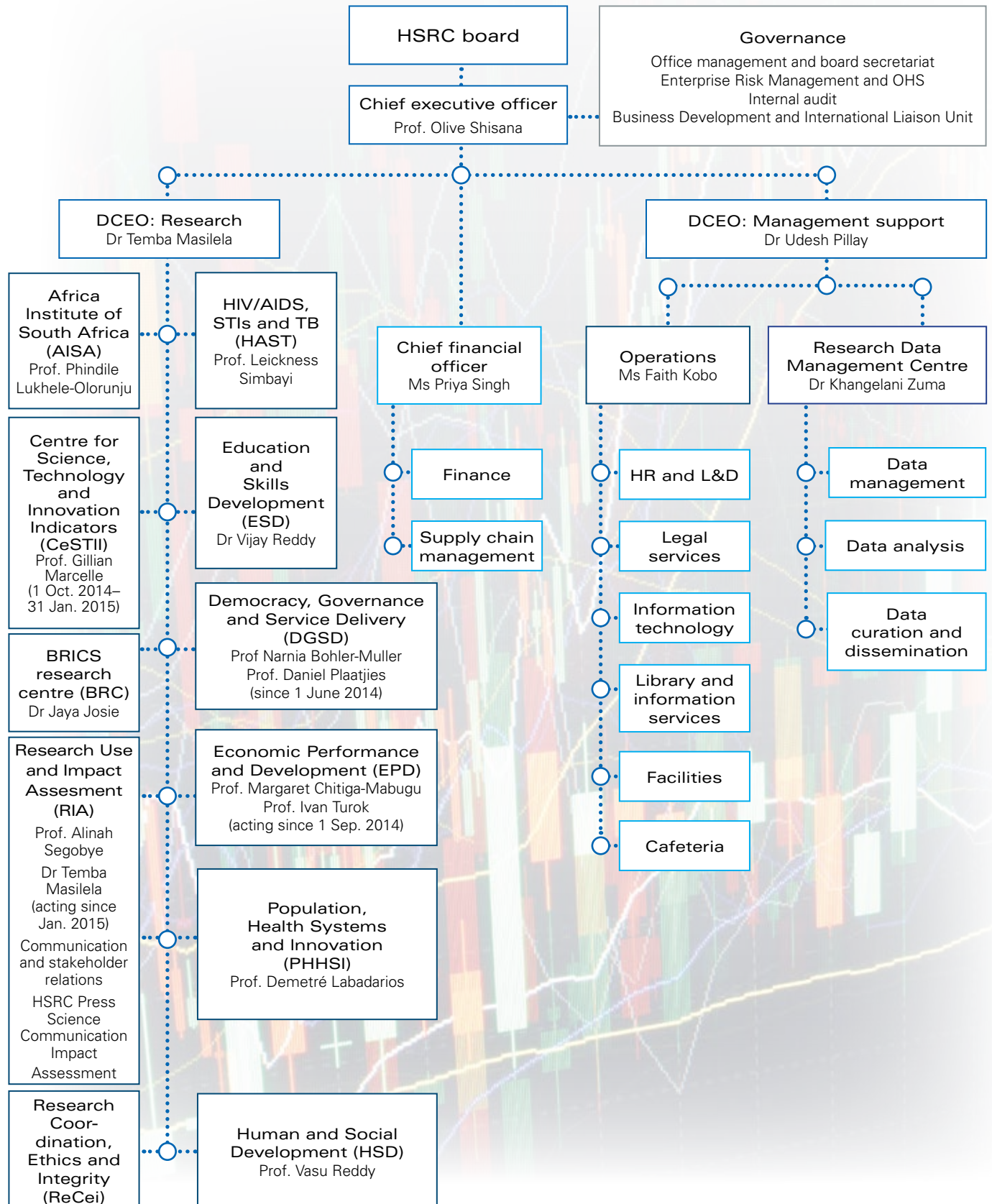
Ms Faith Kobo,
Executive director: operations
Post-graduate certificate, University of Johannesburg

Formerly the HSRC's chief risk officer. Prior to joining the HSRC she was the risk analyst for the national treasury. Was company secretary at the Eastern Cape Appropriate Technology Unit. Worked at Mutual South Africa as client service consultant and risk management consultant.



THE HSRC IS REQUIRED TO CONDUCT POLICY-RELEVANT RESEARCH TO INFORM THE WORK OF PUBLIC SECTOR USERS, NGOs, THE BROADER ACADEMIC COMMUNITY AND INTERNATIONAL DEVELOPMENT AGENCIES.

ORGANISATIONAL STRUCTURE





ETHICAL LEADERSHIP

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

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

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

CORPORATE ETHICS

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

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

The chief risk officer (CRO) has been entrusted with the responsibility to facilitate management of conflict of interest risks by ensuring that board members and eligible employees declare their business interests annually, and as and when they acquire new interests during the course of the year. Declared business interests are recorded in the register of interests, which is also utilised in the development of

the related transactions report. Interests are declared at all HSRC engagements such as interviews, bid adjudication, bid evaluation and other management meetings.

Any related parties' transactions for the period under review are reported in the annual financial statements section, disclosure note 28.

Also, as part of its anti-corruption campaign, the HSRC has joined the world in commemorating International Anti-corruption Day on 9 December every year since 2010.

The HSRC staff are encouraged to pledge their commitment to act against corruption and to commit themselves to serving the institution and its stakeholders with respect, dignity and integrity and consistently applying the values and principles outlined in the HSRC code of conduct by signing on a banner.

During the period under review, the HSRC's anti-corruption campaign focused on empowering staff to act against corruption with the theme for the 2014/15 financial year being 'Pursuing a common objective – choosing right from right'.

This included presentations by Mr Muneer Hassan, senior executive: standards for the South African Institute of Chartered Accountants (SAICA), and Ms Nelisiwe Vilakazi, deputy director general: strategy and organisational transformation from the Department of Social Development (DSD).

DURING THE PERIOD UNDER REVIEW, THE HSRC'S ANTI-CORRUPTION CAMPAIGN FOCUSED ON EMPOWERING STAFF TO ACT AGAINST CORRUPTION.

The CRO provided background to the theme within the context of Enterprise Risk Management.

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

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

RESEARCH ETHICS AND INTEGRITY

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

RESEARCH ETHICS

The HSRC functions in accordance with a board-approved code of research ethics. The establishment of a research ethics committee (REC) was approved by the HSRC council in 2002. The REC aims to promote a culture of ethical conduct in the HSRC, and reports annually to the board. The REC was constituted in 2003 and is the only internal institutional ethics review committee of the HSRC. The HSRC REC is registered with the National Health Research Ethics Council (NHREC) of the South African Department of Health. Towards the end of 2011/12, the NHREC audited all registered RECs. The outcome of the audit conducted on the HSRC REC was positive, and it was formally granted a permanent registration number, REC-290808-015-RA. In February 2015 it submitted its first formal annual report to the NHREC, covering the 2014 calendar year.

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

The mandate of the HSRC REC is to review all HSRC research proposals from the perspective of research ethics. Data collection may not commence until full ethics approval has been granted. The REC grants exemption from ethics review to research meeting certain criteria, for example reviews and secondary analysis of data that are freely available in the public domain.

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

As of 1 November 2014, when a new term of office came into effect, the HSRC REC consisted of nine external and nine internal members, with a further thirteen alternate internal members to ensure ongoing support and capacity development in this important area of work. The REC is always chaired by an expert external to the HSRC to assure independence.

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

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

- Prof. Doug Wassenaar (chairperson) – School of Applied Human Sciences, University of KwaZulu-Natal (UKZN), Pietermaritzburg
- Prof. Anne Pope (deputy chairperson) – Department of Private Law, University of Cape Town
- Prof. Peter Cleaton-Jones – Steve Biko Centre for Bioethics, University of the Witwatersrand
- Ms Shirley Mabusela – community representative
- Dr Nicole Mamotte – private consultant
- Prof. Theresa Rossouw – Faculty of Health Sciences, University of Pretoria
- Prof. Jerome Singh – Centre for the AIDS Programme of Research in South Africa, Doris Duke Medical Research Centre, Nelson R Mandela School of Medicine, UKZN, Durban
- Dr Ann Strode – Faculty of Law, UKZN, Pietermaritzburg
- Ms Nothemba Vusani – community representative

Dr Mokhantso Makoae of the Human and Social Development (HSD) research programme of the HSRC serves as the internal (HSRC-based) deputy chairperson of the REC, alongside a strong team of internal members, drawn from the different research programmes of the HSRC.

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

1. proposed community engagement plans;
2. potential social value;
3. the validity of the scientific design;
4. fair selection of participants;
5. favourable risk/benefit ratio;
6. informed consent plans and processes; and
7. plans to respect participants' rights and interests during and after the proposed study.

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

Between 1 April 2014 and 31 March 2015, the REC met 10 times via video- and teleconference as scheduled. A total of 70 new applications were considered of which 40 were internal to the HSRC and 30 external. Three applications for exemption were formally approved. There were 19 requests for amendments, extensions and additions to approved studies. Such requests are mainly triggered by a change or extension in the scope of work and coverage area. There were eight applications for the renewal of protocols. The rate of annual ethics renewal remains low and is a matter of concern that the HSRC and the REC must address in the coming year.

Members of the REC and HSRC researchers are encouraged to participate in relevant training opportunities to ensure basic awareness and continuous professional development in the field of research ethics. During 2013/14 a free online training module* specifically developed for the South African context, became available. Members of the REC are expected to submit certificates of successful completion of this module, and many have done so during the period under review. New members of the REC, as well as HSRC staff members, will benefit from further face-to-face training during 2015/16.

RESEARCH INTEGRITY

The HSRC continues to be committed to improving and implementing research ethics and research integrity policies and procedures. Dr Christa van Zyl, an HSRC staff member, was appointed to serve as Research Integrity Officer (RIO) during the year under review. Special attention was given to the review and alignment of research-related policies that had been in place in the HSRC and the Africa Institute of South Africa (AISA) prior to incorporation, and a process to revise some of these policies will commence in 2015/16. Training and awareness-raising to promote responsible conduct of research will also continue in collaboration with the Learning and Development unit of the HSRC.



Training and Resources in Research Ethics Evaluation (TRREE): an online training programme on the ethics and regulation of health research involving human participants (<http://elearning.trree.org>).

Backspace
←

Ethics

Shift
↑



STAKEHOLDER ENGAGEMENT REPORT

The HSRC's stakeholder relations strategy document of 22 February 2012 outlines its stakeholder relations vision as:

'To understand the HSRC's stakeholder needs in order to ensure service excellence, and build and maintain the support and confidence of our stakeholders in the way in which we deliver on our mandate. To ensure a positive internal and external image of the HSRC while timeously providing relevant information and engendering stakeholder support for the HSRC programmes.'

This report briefly outlines how the HSRC engaged with various targeted stakeholders during the 2014/15 financial year by fulfilling this vision under the following themes:

1. Defining and understanding stakeholders and their needs.
2. Profiling and positioning the HSRC and its various research programmes and units.
3. Developing and maintaining networks encompassing various stakeholder segments – especially parliament.
4. Gauging and managing perceptions about the HSRC's research trainee programme.

THEME 1: DEFINING AND UNDERSTANDING STAKEHOLDERS AND THEIR NEEDS

Over the four quarters of 2014/15, there have been several engagements with various stakeholders.

- A meeting on the Democracy, Governance and Service Delivery (DGSD) research programme was held with the Department of Social Development in Pretoria on 3 April 2014. The purpose of the meeting was to discuss a study the department wanted the HSRC to conduct on the Royal Bafokeng.
- As part of the same programme a meeting was held with the Institute for Social and Economic Research (ISER) based at Rhodes University in Grahamstown on 2 June 2014 to discuss closer collaboration between ISER and the HSRC. An outcome of the meeting was an agreement to produce joint publications, articles and book chapters. One

suggestion was to look at the ongoing analysis of quality of life in Africa in a book chapter.

- An HSRC delegation comprising representatives from all research programmes and the Business Development and International Liaison (BDIL) unit met with Brand South Africa representatives on 4 September 2014. The purpose of the meeting was to consider how the HSRC could assist Brand SA with future projects. The research needs of Brand SA were discussed, as well as an upcoming SA Competitiveness Forum. Prof. Olive Shisana was invited to open one of these countrywide forum meetings.
- Another meeting with Brand SA, the Department of Public Enterprise (DPE) and the Africa Institute of South Africa (AISA) took place on 14 October 2014. Key findings on Kenya's perceptions about South Africa were discussed. An outcome of this meeting was the signing of a memorandum of understanding between the HSRC and the DPE.
- The HSRC and the HSRC board hosted an annual research lekgotla on 12 November 2014 in Johannesburg. Various stakeholders, research institutions, government, civil society and funders assisted the HSRC in formulating its research agenda for the years 2015/16–2019/20, which feeds into its strategic plan. The following topics were discussed:
 - Possibilities, imperatives and vision for the long-term research strategy of the HSRC.
 - Pertinent developments in the research ecosystem.

Other topics of discussion included new initiatives, collaborations and key actions to be incorporated into the second draft of the HSRC 2015/16–2019/20 strategic plan.

THEME 2: PROFILING AND POSITIONING THE HSRC AND ITS VARIOUS RESEARCH PROGRAMMES AND UNITS

The HSRC met with numerous stakeholders and funders over the course of 2014/15. The BDIL unit was responsible for most meetings involving funders and positioning the HSRC as a possible strategic research partner for funders.

Representatives of other programmes also met with stakeholders and funders to position the research programmes and the HSRC as a whole.

- The HSRC Press, a publications unit, went to the London Book Fair on 7–11 April 2014, where the latest publications and books, as well as the work of the HSRC as a whole, were showcased to those attending the fair.
- A meeting organised by the BDIL unit between participants in the Human and Social Development (HSD) research programme and the World Bank took place on 3 April 2014. The purpose of the meeting was to discuss social protection and health issues and how the HSD programme could assist the World Bank.
- Participants in the Population Health, Health Systems and Innovation (PHSSI) research programme met with officials from the Government Employees Medical Scheme (GEMS) around the outcomes of the HSRC's flagship research project, SANHANES (South African National Health and Nutrition Examination Study).
- The BDIL unit held a telephonic meeting on 11 November 2014 on collaboration with the UK based Economic and Social Research Council (ESRC) and the National Research Foundation (NRF). The meeting highlighted the work of the HSRC as a global strategic research partner.
- The launch of the 2013/14 HSRC Annual Integrated Report (AIR) took place on 25 November 2014 where the HSRC engaged with various stakeholders, including the Minister of Science and Technology, funders, ambassadors, senior government officials and science council representatives. The launch is an important event where the HSRC presents the report on its performance to various stakeholders.

THEME 3: DEVELOPING AND MAINTAINING NETWORKS ENCOMPASSING VARIOUS STAKEHOLDER SEGMENTS – ESPECIALLY PARLIAMENT

The HSRC has several strategic partners and sustaining these relationships is essential to the strategic work of the HSRC.

- Representatives of the Economic Performance and Development (EPD) research programme met with the office of the premier of KwaZulu-Natal on 11 February 2015. The HSRC gave a presentation on social protection to the KZN community and human development cluster *lekgotla*. This relationship resulted in several amendments being made to the strategic plan of the KZN social cluster in respect of its medium-term expenditure framework (MTEF) plan defining key priorities for the cluster.
- The Communication and Stakeholder Relations unit met with representatives of parliament to strengthen the strategic working relationship with the HSRC. A meeting was held on 24 October 2014 with the head of research at parliament to establish the latest developments of the status of the HSRC's MoU with parliament and to solidify its relationship with portfolio committees.

- On 6 October 2014 the HSRC met with the Mapungubwe Institute for Strategic Reflection (Mistra) through the office of the deputy chief executive officer: Research, Dr Temba Masilela. Discussions centred around the role of social sciences and humanities in science engagements as a possible research seminar topic.
- On 30 July 2014 the HSRC, in terms of its mandate and on the grounds of its relationship with parliament, did a presentation on the economic policy of the state before the parliamentary appropriations committee.

THEME 4: GAUGING AND MANAGING PERCEPTIONS ABOUT THE HSRC'S RESEARCH TRAINEE PROGRAMME

- HSRC Press representatives met with the University of Cape Town (UCT) around capacity building on 17 October 2014.
- The Africa Institute of South Africa (AISA) representatives met with the European External Actions Service (EEAS) to discuss a study tour for students to provide young African scholars with research opportunities. The meeting was held on 17 February 2015 in Pretoria.

Apart from some of the above-mentioned meetings, the HSRC promoted itself as a research organisation at various conferences globally and nationally, including:

- The 20th International AIDS Conference in Melbourne, Australia on 20–25 July 2014.
- The African Unity Renaissance Conference that took place in Pretoria on 22–25 May 2014.
- The launch of the HSRC's SABSSM (South African HIV/AIDS behavioural risks, sero-status and media impact survey) report on 1 April 2014 in Pretoria with the Ministers of Health and Science and Technology.
- Various book launches of the HSRC Press and AISA publications throughout 2014/15.
- The Department of Science and Technology's budget vote on 17 May 2014.

THE HSRC HAS SEVERAL STRATEGIC PARTNERS AND SUSTAINING THESE RELATIONSHIPS IS ESSENTIAL TO THE STRATEGIC WORK OF THE HSRC.



SUSTAINABILITY REPORT

The HSRC is a public entity and depends on continued support from government and donor institutions for its sustainability. To ensure that the institution maintains its 'going concern' status, management and the board are strengthening their efforts to obtain funding for longitudinal studies.

SOCIAL RESPONSIBILITY REVIEW

As a research institution, the HSRC is guided by research ethics that ensure fair treatment of human participants in research projects. The HSRC is driven by and aspires to maintain a positive social impact through the process and outcomes of the research it conducts. As a social science research institution, the HSRC is a major role-player in the social development of South Africa, Africa and globally.

Research activities presented in this annual report reflect the HSRC's commitment to conducting research in a socially responsible and beneficial manner. In executing the HSRC's public-purpose research mandate, all staff members are required to be sensitive to developmental issues, and to the special needs of marginalised and vulnerable groups. The HSRC staff have been involved in the World AIDS Day celebrations and the Nelson Mandela Day activities in communities it serves. The corporate social responsibility team has been located within the corporate communications directorate to spearhead all community-orientated volunteer projects among staff.

CONSIDERING THE HUMAN FACTOR

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

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

Collaboration with internal as well as external team members are managed through memoranda of understanding or contractual agreements.

COMMITMENT TO RESEARCH QUALITY AND CAPACITY DEVELOPMENT

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

The commitment towards capacity development also involves researchers, research counterparts, government officials and external stakeholders.

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

COMMUNITY-ORIENTED ACTIVITIES

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

BUSINESS ACTIVITIES

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

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

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

ENVIRONMENTAL IMPACT REVIEW

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

- printing of documents and research instruments;
- travelling by car and air;
- waste generated through activities;
- smoke emission from the back-up generator; and
- electricity and water usage.

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

Goods and services	Existing measures to reduce consumption
Electricity	After hours, lights and air-conditioning units in the Pretoria building switch off automatically thanks to the Building Management System (BMS). Air-conditioning units in the building are rippled at 10:00; 13:00 and 16:00 to ensure air-conditioning units are switched off when not in use to further reduce energy consumption. Air-conditioning units are also rippled off when the building reaches a predetermined maximum demand to ensure no penalties are paid to authorities for exceeding the building's maximum demand target.
Waste management	Used fluorescent tubes are no longer disposed of at rubbish dumps but are stored until a full load is collected for recycling. The recycling company issues a disposal certificate to confirm that fluorescent tubes have been disposed of in accordance with environmental regulations.
Paper	Paper and boxes are collected from the HSRC buildings for recycling. All printers have been set to print double-sided only. HSRC publications are made available on the website and on CDs distributed to stakeholders. Through the data curating process and the HSRC virtual library, stakeholders are provided with online access to research information.
Water	During the 2010/11 financial year, all hand washbasins in the building were fitted with push-type metering taps to supply approximately three seconds of water each time the tap is pushed. This initiative, together with closer monitoring of water usage in general, contributed to a saving of approximately 50% in water consumption compared to the pre-installation period.
Emergency standby generator	The new standby generator has the latest technology, ensuring fuel efficiency and low gaseous emissions, which significantly reduces the carbon footprint. It also complies with the most widely accepted international standards.

Status report on electricity consumption

Consumption of electricity during the 2014/15 financial year was 4 240 132 kWh. No additional savings have been achieved during this period. The targets for installation of speed drives on three-phase electric motors, the installation of electronic control on 150 fan coil units and upgrading to BMS could not be achieved due to a lack of capital.

Unfortunately, the HSRC was once again unsuccessful with its medium-term expenditure framework request to the DST for capital funding.

Since the installation of the BMS in 1996 the HSRC has saved millions of rand on electricity.

The HSRC committed to implement measures to reduce

consumption over a five-year period from 2012/13 to 2016/17. The HSRC prides itself on the low usage of electricity in the HSRC building in Pretoria at only R11.50 m2 per month compared to most other commercial buildings that consume in excess of R15 m2 per month.

BRIDGING THE GAP

HSRC researchers and research managers are committed to bridging the gap between theory and practice, and between research, policy and public discourse. This commitment allows for various forms of engagement with journalists, policy-makers, educators, students and members of the public, always guided by the HSRC's code of research ethics and its media policy. HSRC research is underpinned by values of respect, honesty, quality and integrity.



THE GOVERNANCE OF RISK: ENTERPRISE RISK MANAGEMENT (ERM)

The second half of the decade from 2005 to 2015 saw the formal establishment of ERM as a separate unit within the HSRC in 2010. This effectively enhanced the profile of the ERM agenda within the organisation, from an administrative activity to being incorporated into the responsibilities of the chief executive officer.

Transferring the ERM unit to the office of the chief executive officer demonstrated the intent to respond to the strategic imperatives of an organisation that continues to be a premium player in the research industry. This critical decision was also informed by best practice, including the recommendations of the King II report, as adopted in 2009.

RISK MANAGEMENT POLICY AND STRATEGY

As an organisation, the HSRC continues to review the risk management policy, which reflects the board's stance on ERM related matters. In this regard, the board holds the view that opportunity and risk are inter-related. Furthermore, the board welcomes calculated risk-taking as an approach likely to enable further growth of the organisation.

The ERM strategy not only serves to complement the risk management policy, but is an important governance document supporting the leadership and staff in their operational activities. For instance, it incorporates anti-corruption measures and the risk management methodology, among other things.

A COLLABORATIVE APPROACH TO RISK MANAGEMENT

The turbulent nature of the external environment within which the HSRC operates necessitates strategic agility

on the part of the organisation. As such, the ERM unit, in collaboration with the leadership team and staff, have regular interactions to review the risk registers. The objective is to ensure the risk profile of each programme/unit within the HSRC is dynamic and remains current. Taking risk-profiling a step further, the HSRC has continued, in consultation with project stakeholders, to develop a risk register for major projects prior to their being undertaken by the organisation.

The collaborative approach also presents an opportunity to exchange ideas on emerging risks, allowing the HSRC to promptly identify them and formulate mitigating plans in response. These risks continue to be tabled at the key governance platforms of the organisation, e.g. the Risk Management Committee, the Audit and Risk Committee, and the board.

THE RISK MANAGEMENT COMMITTEE (RMC)

The fully cross-functional nature of the RMC is central to its effectiveness. Chaired by an independent specialist member of the Audit Committee, the RMC reflects on the various matters that pertain to risk and deliberates on the HSRC's operational activities, including potential improvements to the ERM strategy and mitigating plans. The fact that the HSRC has reached a level of maturity where risk treatment plan reports are deliberated on, is evidence of the value added by this committee.

AUDIT COMMITTEE ADVICE ON RISK MANAGEMENT


The expertise within the Audit and Risk Committee, as represented by the qualifications and experience of its members, serves as an integral part of the HSRC's ERM architecture. The diversity of backgrounds in terms of

qualifications and experience, has over the years enriched deliberations and is central to the strength of this committee.

As a result, there is intrinsic value in the advice that comes from this committee, and hence the organisation has high regard for the opinion it expresses on matters of risk management.

PROGRESS IN TERMS OF ERM

With all 24 programmes/units of the organisation having now been risk-profiled, risk management within the organisation is steadily improving. Deliberations on the top risks for each programme/unit as well as the organisation's strategic risk register, present a good opportunity for implementation plans to be assessed for both adequacy and effectiveness. The involvement of risk champions in all ERM related activities also contributes positively towards strengthening the mitigating plans and enhancing organisational planning and performance.



THE FACT THAT THE HSRC HAS REACHED A LEVEL OF MATURITY WHERE RISK TREATMENT PLAN REPORTS ARE DELIBERATED ON, IS EVIDENCE OF THE VALUE ADDED BY THIS COMMITTEE.



AUDIT AND RISK COMMITTEE REPORT

We are pleased to present our report for the year ended 31 March 2015.

Audit Committee members and attendance

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

Meeting attendance	Ordinary meetings held			
	May 2014	July 2014	October 2014	February 2015
Prof. Enrico Uliana (chairperson)	P	P	P	P
Prof. Mark Bussin	P	P	A	P
Prof. Amanda Lourens	A	A	P	P
Ms Crystal Abdoll	P	P	P	P
Ms Maemili Ramataboe	P	P	P	P
Ms Reinette van der Merwe *	P	A	P	N/A

P: Present

A: Member absent with an apology

* Member's term expired November 2014

Audit Committee responsibility

The committee reports that it has complied with its responsibilities arising from section 51 (1)(a)(ii) of the Public Finance Management Act (PFMA) (No. 1 of 1999), Sections 76 and 77 of the Act and the relevant national treasury regulations.

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

The effectiveness of internal control

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

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

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

Internal financial controls

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

Evaluation of the finance function

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

Evaluation of financial statements

The committee has:

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

The Audit and Risk Committee concurs with and accepts the Auditor-General of South Africa's report on the financial statements, and is of the opinion that the audited financial statements should be accepted and read together with the report of the Auditor-General of South Africa.

The quality of in-year management and monthly/ quarterly reports submitted in terms of the PFMA and the Division of Revenue Act

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

Internal audit

The committee is satisfied with the effectiveness of the internal audit function - has provided assurance on processes and assisted to mitigate the risks inherent to the HSRC in its audit.

A review of the internal audit function was undertaken by the committee to evaluate the effectiveness of the function. During the year under review, the internal audit function was outsourced to Nexia SAB&T. The review of the committee established that the internal audit function performed by the outsourced function was effective, efficient and added value to the organisation.

Auditor-General of South Africa

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



Prof. Enrico Uliana

Chairperson: HSRC Audit and Risk Committee

THE AUDIT AND RISK COMMITTEE IS OF THE OPINION THAT THE AUDITED FINANCIAL STATEMENTS SHOULD BE ACCEPTED AND READ TOGETHER WITH THE REPORT OF THE AUDITOR-GENERAL OF SOUTH AFRICA.





HUMAN RESOURCES MANAGEMENT

THIS SECTION DEALS WITH THE PEOPLE ASPECT OF THE HSRC'S FIVE-YEAR STRATEGY FOCUSING ON KEY CHALLENGES AND HIGHLIGHTS DURING THE PERIOD UNDER REVIEW.



HUMAN RESOURCES MANAGEMENT

The mission of the HR directorate within the HSRC continues to be the attraction, development and retention of talented employees, professionals, management and executives who are motivated and energised to carry the HSRC mandate and the establishment of a culture and environment that encourages employee wellbeing.

The following are the key deliverables of the HR directorate:

- Build organisational capability and optimise the deployment of HSRC staff in a manner that maximises engagement.
- Embed a culture of high performance across the organisation.
- Create a working environment that is safe, motivates staff, and promotes employee wellbeing.
- Enhance the ability to attract, develop and retain key talent.
- Ensure a continuous succession pipeline through a deliberate focus on career development and capacity building.
- Maximise and maintain an effective employment relationship.

Suitably qualified staff and sufficient levels of funding are key inputs to support the mandate of the HSRC. The skills shortage in the market and the struggle to secure the services of suitably qualified research staff in academia, the public and the private sector remain the greatest challenges.

As a result, the number of senior research staff, particularly African females, has further declined during the period under review.

There is a greater need to focus on talent management and growing new research staff by means of internship programmes, leadership development and the retention of researchers.

The HSRC continues to be under pressure to secure a greater portion of external research income every year to fulfill its mandate.

As a result, the HSRC requires the competence and skills of high-caliber researchers and has to ensure the retention of an adequate number of these.

Pressure in terms of staff capacity is bound to increase as major additional capital or research projects are undertaken, as these projects may require of current staff to carry an even higher workload.

The HR directorate was also instrumental in the process of integrating colleagues from the former Africa Institute of South Africa (AISA) into the HSRC. Some of the activities related to this process were:

- A job and remuneration parity exercise to align the job descriptions of AISA and HSRC staff.
- A skills audit.
- Training on grant proposal and report writing.
- Expanding some of the HSRC benefits (such as funeral cover, etc.) to colleagues from the former AISA.
- Training on the HSRC performance management process.
- Renewal of some of the employment contracts.

HUMAN CAPITAL EXPENDITURE

The following table summarises the overall HSRC spending on human capital during the period under review:

Total expenditure (R'000)	Personnel expenditure (R'000)	Training expenditure (R'000)	Study bursaries (R'000)	Personnel costs as a percentage of total expenditure (R'000)
232 922	230 799	1 624	499	99.08%

The personnel costs indicated as a percentage of total expenditure increased compared to the previous reporting period. The expenditure in the year under review also reflects expenses related to bursaries for HSRC employees.

HSRC WORKFORCE

At the end of the 2014/2015 financial year, the HSRC had a staff complement of 527 permanent employees including former AISA staff. The HSRC had a total of 73 new starters during this financial year, not including internal appointments such as transfers and promotions. An average of six new external employees commenced employment every month.

The following table represents the number of employees at the HSRC as at 31 March 2015 and indicates the breakdown of the number of employees at the different occupational levels:

Occupational levels	Number
Top management	16
Senior management	174
Professionals	133
Skilled	83
Semi-skilled	121
Total	527

FOREIGN NATIONALS

The table below reflects the employment of foreign nationals by the HSRC in terms of occupational levels. It shows an increase in the category of foreign nationals from 36 reported in the previous financial year to 40 in the year under review. This is the result of the increase of employment of researchers with critical skills, and the HSRC's commitment to achieving the targets set in terms of appointing African research fellows.

Occupational level	31 March 2014		31 March 2015		Movement*
	Number	%	Number	%	
Top management	3	8.3	2	5	-1
Senior management	20	55.5	27	67	7
Professionals	4	11.11	3	8	-1
Skilled	7	19.44	6	15	-1
Semi-skilled	1	2.8	2	5	1
Total	36	100	40	100	4

*Movement indicated as increase (decrease) in number of foreign nationals

EMPLOYMENT EQUITY (EE)

The HSRC is committed to transformation towards reflecting South African demographics and has set targets to monitor its progress in this regard. In line with this commitment, the Employment Equity Act (No. 55 of 1998) is entrenched in HR policies, organisational strategy as well as its processes for dealing with issues such as recruitment, HIV/AIDS management, harassment, and procurement/supply chain management. The chief executive officer as well as the HSRC board closely monitors progress in this area against set targets. The following are highlights of EE achievements against set targets:

- In terms of the Employment Equity Plan (EEP), the HSRC achieved 65% African representation, which exceeds the set target of 60%. It is important to mention that this achievement permeates through important occupational categories such as middle to senior management levels.
- The HSRC also exceeded set targets for the gender category (i.e. 53.3% female, and 46.7% male). Currently,

the HSRC employs 60% females and 40% males. The HSRC continues its efforts to attract candidates with disabilities. These efforts have unfortunately yielded minimal results.

- The HSRC managed to submit the annual EE report to the Department of Labour and further achieved a target of four quarterly EE reports, which were submitted to the board. The targets for gender and diversity awareness were also achieved in the year under review.
- At the end of the year the HSRC fell short of achieving the set target of 54% for African senior researchers – 39% was achieved in this category. The target for female senior researchers was 48% and 37% was achieved.

The following table is based on the requirements of the Employment Equity Act and presents the total number of employees (including employees with disabilities) in each of the occupational levels, as well as gender and race representation as at 31 March 2015.

Occupational Level	Male				Female				Total
	African	Coloured	Indian	White	African	Coloured	Indian	White	
Top Management	4	1	2	2	2	0	3	2	16
Senior Management	43	14	8	17	39	14	6	33	174
Professionals	30	4	4	5	46	18	7	19	133
Skilled	18	2	2	1	39	8	8	5	83
Semi-skilled	50	1	0	0	65	5	0	0	121
Total	145	22	16	25	191	45	24	59	527

The HSRC continues to monitor the overall progress in terms of race and gender. To support the people aspect of the HSRC strategic plan, monitoring of employment equity targets within different programmes and units is imperative.

LEARNING AND DEVELOPMENT

On the basis of a proposal for discretionary funding submitted to the Education, Training and Development Practices (ETDP) Seta, the Learning and Development (L&D) unit managed to secure bursaries to the value of R390 000 for thirteen PhD interns for their higher degree studies in 2015.

STAFF TRAINING

An analysis of data included in the Workplace Skills Plan (WSP) and Annual Training Report (ATR) submitted to the ETDP Seta for the year under review reveals the number of staff that received short-course training in 2014/15. The data are disaggregated by race and gender in the table below. The table shows a fairly high degree of correlation between the distribution of staff from different race groups in the staff complement as a whole and the distribution by race in the group that received training. A slightly higher percentage of black African male than of black African female staff (73% versus 64%) was trained.

DISTRIBUTION OF MALE AND FEMALE STAFF IN TERMS OF RACE, BY STAFF COMPLEMENT AND BY STAFF TRAINED, 2014/15

Employee category	Staff complement		Staff trained	
	N	%	N	%
Males				
Black African	163	72.8	54	73.0
Coloured	21	9.4	7	9.4
Indian/Asian	15	6.6	3	4.1
White	25	11.2	10	13.5
Total	224	100.0	74	100.0
Females				
Black African	186	61.4	69	63.9
Coloured	45	14.9	13	12.0
Indian/Asian	21	6.9	10	9.3
White	51	16.8	16	14.8
Total	303	100.0	108	100.0

Source: HSRC WSP & ATR 2014/15



EMPLOYEE WELLNESS

The HSRC recognises the need for greater emphasis on employee wellness as this is a key element of the value proposition for employees. This value proposition can in turn be harnessed to secure the skills of suitably qualified researchers for the HSRC.

One of the key focus areas in the year under review was to find a service provider for an employee assistance programme (EAP), tailor-made to support the HSRC employees and their specific needs. Since April 2014, Right to Care Health Services (RTCHS) has been fulfilling this role.

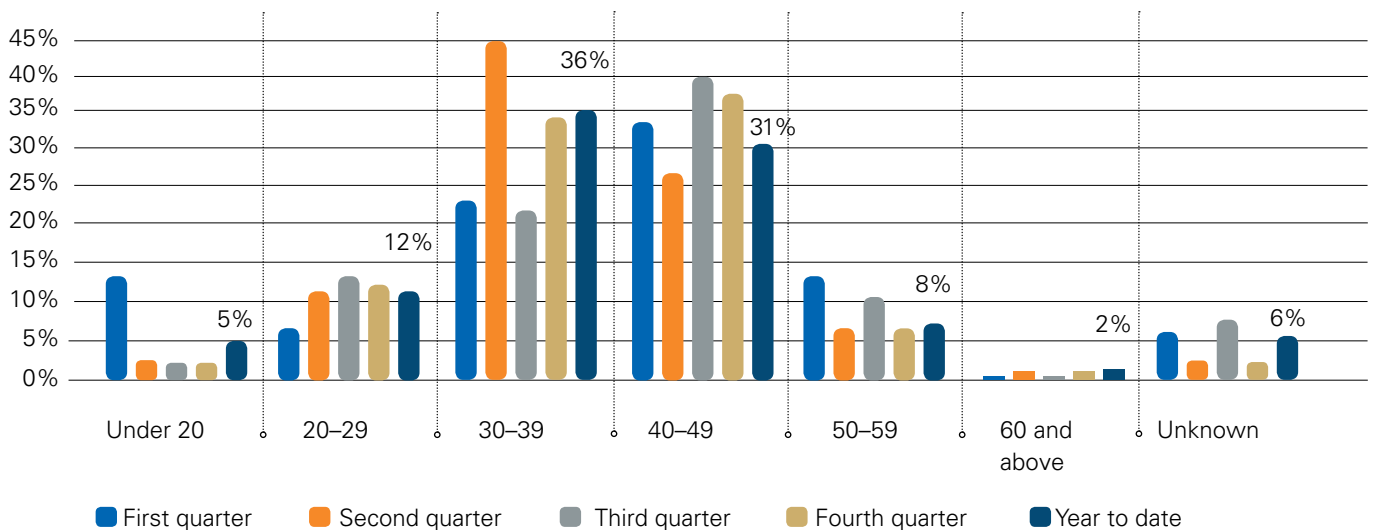
A commitment was made in the last financial year to raise employees’ awareness of the employee assistance services

offered and to encourage them to make use of these. In the year under review, the utilisation of the employee assistance programme increased by 20%.

A total of 133 individuals, of which 118 are HSRC employees, utilised the EAP services in the year under review. Various awareness campaigns such as the HSRC employee wellness day and other services such as financial coaching and wills and estate planning, debt management, and legal services were provided. The services offered were informed by the needs of employees.

The following graph illustrates the utilisation of the EAP services stratified by age group (please note that this is a unique count, i.e. no double counting from month to month):

AGE GROUP DISTRIBUTION – ALL SERVICE TYPES



The majority of employees (36%) utilising the EAP services were between the ages of 30 and 39 years, and the minority (2%) were 60 years and above. The focus continues to be on increasing the utilisation of the programme and supporting employees as effectively as possible.

HR POLICIES

HR policies are deemed significant because they:

- help to communicate values and expectations of how things are done at the HSRC;
- keep the HSRC compliant with legislation;
- document and implement best practices appropriate to the HSRC;

- support consistent treatment of staff, fairness and transparency;
- enhance the HSRC’s ability to attract, develop and retain staff;
- help management to make decisions that are consistent, uniform and predictable; and
- protect individuals and the organisation from the pressures of expediency.

HR FUTURE DIRECTION

HR will be focusing on the development of the following strategic initiatives in the 2015/16 financial year:

- A talent management and succession planning strategy.
- Balancing the Ratio of Researchers and Support Staff.
- Alignment of the management support performance management template with the HSRC strategic objectives.
- A change management strategy.
- Rigorous management of the internship programme.

**THE HSRC RECOGNISES
THE NEED FOR GREATER
EMPHASIS ON EMPLOYEE
WELLNESS.**





ANNUAL FINANCIAL STATEMENTS



APPROVAL OF ANNUAL
FINANCIAL STATEMENTS

REPORT OF THE AUDITOR-
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THE HSRC

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APPROVAL OF ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2015

I have reviewed the accompanying financial statements of the HSRC for the year ended 31 March 2015. They have been prepared in accordance with the GRAP standards and all applicable PFMA disclosure requirements have been adhered to. This set of annual financial statements represents a true reflection of the HSRC's financial performance, position and changes in cash flow movements for the financial year ended 31 March 2015.



Prof. Olive Shisana
Chief executive officer

REPORT OF THE AUDITOR-GENERAL TO PARLIAMENT ON THE HSRC

for the year ended 31 March 2015

REPORT ON THE FINANCIAL STATEMENTS

Introduction

1. I have audited the financial statements of the Human Sciences Research Council (HSRC) set out on ① pages 121 to 161, which comprise the statement of financial position as at 31 March 2015, the statements of financial performance, statements of changes in net assets, cash flow statement and the statement of comparison of approved budget and actual results for the year then ended, as well as the notes, comprising a summary of significant accounting policies and other explanatory information.

The accounting authority's responsibility for the financial statements

2. The accounting authority is responsible for the preparation and fair presentation of these financial statements in accordance with the Standards of Generally Recognised Accounting Practice (GRAP) and the requirements of the Public Finance Management Act (No. 1 of 1999) (PFMA), and for such internal control as the accounting authority determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor-General's responsibility

3. My responsibility is to express an opinion on these financial statements based on my audit. I conducted my audit in accordance with the International Standards on Auditing. Those standards require that I comply with ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.
4. An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.
5. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

Opinion

6. In my opinion the financial statements present fairly, in all material respects, the financial position of the HSRC as at 31 March 2015, and its financial performance and cash flows for the year then ended in accordance with GRAP and the requirements of the PFMA.

REPORT ON OTHER LEGAL AND REGULATORY REQUIREMENTS

7. In accordance with the Public Audit Act (No. 25 of 2004) (PAA) and the general notice issued in terms thereof, I have a responsibility to report on findings on the reported performance information against predetermined objectives for selected objectives presented in the annual performance report, non-compliance with legislation and internal control. The objective of my test was to identify reportable findings as described under each subheading but not to gather evidence to express assurance on these matters. Accordingly, I do not express an opinion or conclusion on these matters.

Predetermined objectives

8. I performed procedures to obtain evidence about the usefulness and reliability of the reported performance information for the following selected programme presented in the annual performance report of the entity for the year ended 31 March 2015:
 - **Programme 2:** Research Development and Innovation on (P) pages 79 to 83.
9. I evaluated the reported performance information against the overall criteria of usefulness and reliability.
10. I evaluated the usefulness of the reported performance information to determine whether it was presented in accordance with the national treasury's annual reporting principles and whether the reported performance was consistent with the planned objectives. I further performed tests to determine whether indicators and targets were well-defined, verifiable, specific, measurable, time-bound and relevant, as required by the national treasury's Framework for Managing Programme Performance Information.
11. I assessed the reliability of the reported performance information to determine whether it was valid, accurate and complete.
12. I did not identify any material findings on the usefulness and reliability of the reported performance information for the following programme:
 - **Programme 2:** Research Development and Innovation

Additional matter

13. I draw attention to the following matter:

Achievement of planned targets

14. Refer to the annual performance report on (P) pages 79 to 83 for information on the achievement of planned targets for the year.

Compliance with legislation

15. I performed procedures to obtain evidence that the entity had complied with applicable legislation regarding financial matters, financial management and other related matters. I did not identify any instances of material non-compliance with specific matters in key legislation, as set out in the general notice issued in terms of the PAA.

Internal control

16. I considered internal control relevant to my audit of the financial statements, annual performance report and compliance with legislation. I did not identify any significant deficiencies in internal control.

Auditor-General

Pretoria

30 July 2015



STATEMENT OF FINANCIAL POSITION

as at 31 March 2015

	Note	2015 March R'000	2014 March R'000 <i>Restated</i>
ASSETS			
Current assets			
Cash and cash equivalents	1	80 324	50 681
Trade and other receivables	2	36 917	39 595
Inventories	3	8 013	5 300
Prepayments and advances	4	6 341	2 233
VAT receivable	5	842	615
		132 437	98 424
Non-current assets			
Property, plant and equipment	6	204 290	176 981
Intangible assets	6	4 008	4 422
Prepayments and advances	3	26	26
Operating lease receivable	7	1 319	-
		209 643	181 429
Total assets		342 079	279 854
LIABILITIES			
Current liabilities			
Trade and other payables	8	26 135	27 673
Income received in advance	9	55 904	54 912
Finance lease liability	10	-	514
Provisions	12	19 369	17 689
		101 408	100 788
Non-current liabilities			
Post-retirement medical aid liability	13	4 290	2 842
Operating lease accruals	7	818	1 057
		5 108	3 899
Total liabilities		106 516	104 687
Total assets		235 564	175 166
NET ASSETS			
Reserves		184 282	154 925
Accumulated surplus		51 282	20 241
Total net assets		235 564	175 166

STATEMENT OF FINANCIAL PERFORMANCE

for the year ended 31 March 2015

	Note	2015 March R'000	2014 March R'000
REVENUE		407 857	351 861
Research revenue (from exchange transactions)	14,1	127 104	124 770
Parliamentary grants (from non-exchange transactions)	14,2	245 872	197 473
Other operating revenue	15	34 881	29 618
EXPENSES		(390 020)	(348 382)
Administrative expenses	16	(50 718)	(43 036)
Research cost	17	(73 626)	(63 715)
Staff cost	18	(230 799)	(208 098)
Other operating expenses	19	(24 911)	(23 102)
Finance cost	20	(1 271)	(1 032)
Depreciation, amortisation and impairment expense	21	(8 695)	(9 399)
Surplus for the year		17 837	3 479

STATEMENT OF CHANGES IN NET ASSETS

for the year ended 31 March 2015

	Note	Revaluation reserve R'000	Total: Reserves R'000	Accumulated surplus R'000	Total: Net assets R'000
OPENING BALANCE AT 1 APRIL 2013		154 925	154 925	13 093	168 018
Prior period errors (assets' useful lives adjustment)	29	-	-	3 669	3 669
Surplus for the period (restated)		-	-	3 479	3 479
RESTATED BALANCE AT 1 APRIL 2014		154 925	154 925	20 241	175 166
AISA take on balances		5 337	5 337	13 204	18 541
Revaluation of assets	6	27 562	27 562	-	27 562
Revaluation reversal	6	(3 542)	(3 542)	-	(3 542)
Surplus for the period		-	-	17 837	17 837
Balance as at 31 March 2015		184 282	184 282	51 282	235 564

CASH FLOW STATEMENT

for the year ended 31 March 2015

	Note	2015 March R'000	2014 March R'000
CASH FLOWS FROM OPERATING ACTIVITIES			
Receipts		410 290	356 415
Payments		(389 310)	(338 053)
Net cash flows from operating activities	22	20 980	18 362
CASH FLOWS FROM INVESTING ACTIVITIES			
Purchase of fixed assets		(5 634)	(2 661)
Proceeds from sale of fixed assets		31	3
AISA balance at incorporation		14 799	-
Net cash flows from investing activities		9 196	(2 658)
CASH FLOWS FROM FINANCING ACTIVITIES			
Repayment of finance lease liability		(533)	(533)
Net cash flows from financing activities		(533)	(533)
Net increase in net cash and cash equivalents		29 643	15 171
Net cash and cash equivalents at beginning of period (1 April)		50 681	35 510
Net cash and cash equivalents at end of period	1	80 324	50 681

STATEMENT OF COMPARISON OF APPROVED BUDGET TO ACTUAL RESULTS

for the year ended 31 March 2015

	Note	2015 R'000 Actual results	2015 R'000 Approved budget	Percentage achieved	Variance R'000
REVENUE		407 857	430 767	95%	(22 910)
Research revenue	32	127 104	154 969	82%	(27 865)
Parliamentary grants	32	237 600	233 842	102%	3 758
Parliamentary grants – ring-fenced	32	8 272	8 272	100%	-
Other operating revenue	32	34 881	33 684	104%	1 197
EXPENSES		(390 020)	(430 767)	91%	40 747
Administrative expenses	32	(50 718)	(60 119)	84%	9 401
Research cost	32	(73 626)	(93 533)	79%	19 907
Staff cost	32	(230 799)	(225 394)	102%	(5 405)
Other operating expenses	32	(26 182)	(41 056)	64%	14 874
Depreciation, amortisation and impairment expense	32	(8 695)	(10 665)	82%	1 970
Surplus for the year		17 837	-	(100%)	17 837

The budget was approved by the HSRC board and submitted to the executive authority in terms of section 53(1) of the PFMA. (Both annual budget and financial statements adopt accrual basis.)

Total budget as per HSRC strategic plan is **R464 663 000**. Included in this was VAT payable on the parliamentary grant amounting to **R33 896 000**, leaving a net budget of **R430 767 000**.

ACCOUNTING POLICIES

for the year ended 31 March 2015

1.1 BASIS OF PREPARATION

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

The financial statements are prepared in South African rand (R) and all values are rounded to the nearest thousand (R'000) except where otherwise indicated.

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

1.2 GOING CONCERN ASSUMPTION

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

1.3 OFFSETTING

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

1.4 REVENUE

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

a. Revenue from exchange transactions

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

i. Research revenue

Revenue that resulted from the rendering of research

and related services is recognised at the stage of completion, determined according to the percentage cost to date in relation to the total estimated cost of the project. The HSRC is not a profit-making organisation and as such, all projects are budgeted with no surplus anticipated to be earned at the end of each project. In instances where possible deficits are anticipated (due to project execution challenges), negotiations are promptly held with the funder where additional funding is requested. Revenue is recognised as work in progress in such instances where the probability of additional funding has been assessed as highly probable by the executive director of the research programme in which the project is being executed.

ii. Other revenue

Revenue from the sale of goods is recognised when significant risk and rewards of ownership of goods are transferred to the buyer. Sale of goods includes publications, sale of food and parking. Revenue from royalties is recognised on an accrual basis in accordance with the substance of the relevant agreement. Rental income is recognised as revenue on a straight-line basis over the lease term, unless another systematic basis is more representative of the time pattern in which benefit derived from the leased asset is diminished.

iii. Interest income

Revenue is recognised as interest accrued using the effective interest rate, and is included in other revenue in the statement of financial performance.

b. Revenue from non-exchange transactions

Non-exchange transactions are transactions that are not exchange transactions. Revenue from non-exchange transaction arises when the entity receives value from another entity or government department without directly giving approximately equal value in exchange.

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

i. Parliamentary grants

Revenue from parliamentary grants shall be measured at the amount of the Medium Term Expenditure Framework (MTEF) allocation received by the entity.

The grant received or receivable is recognised when the resources that have been transferred meet the criteria for recognition as revenue and there is not a corresponding liability in respect of related conditions.

1.5 TAXES

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

1.6 PROPERTY, PLANT AND EQUIPMENT

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

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

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

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

All other repair and maintenance costs are recognised in the statement of financial performance as incurred. The present value of the initial expected estimate cost for the decommissioning of the asset after its use is included in the cost of the respective asset if the recognition criteria for a provision are met.

Land and buildings are measured at fair value less accumulated depreciation on buildings and impairment losses recognised after the date of the revaluation. Valuations of owner occupied property are performed every three years based on the income capitalisation method. The market value is determined from the ability of the property to generate rental income taking into account the related expenses, the rental income which is capitalised at a market-related rate and taking into account the risk, age and condition of the property with existing buildings. Any surpluses that occur due to the revaluation of land

and buildings are allocated to the revaluation reserve, except to the extent that it reverses a revaluation decrease of the same asset previously recognised. A revaluation deficit is recognised in the statement of financial performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

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

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

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

a. Freehold land

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

b. Freehold buildings

The HSRC identified the following major components of buildings:

- Lifts
- Telephone system
- Fixtures
- Buildings

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

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

c. Equipment, motor vehicles and artwork

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

- Office furniture 22 years
- Motor vehicles 5 years
- Computer and other equipment 5–22 years
- Library books and manuscripts 20 years
- Artwork 25 years

d. Leasehold assets

These assets are depreciated over the contract period.

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

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

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

1.7 INTANGIBLE ASSETS

An intangible asset is recognised when:

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

Intangible assets are initially recognised at cost.

Expenditure on research (or on the research phase of an internal project) is recognised as an expense when it is incurred.

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

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

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

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

Amortisation is charged to the statement of financial performance so as to write off the cost of intangible assets over their estimated useful lives, using the straight-line method as follows:

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

1.8 IMPAIRMENT OF NON-FINANCIAL ASSETS

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

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

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

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

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

1.9 INVENTORY

Inventories are valued at the lower of cost price or net realisable value. The net realisable value is the estimated selling price, less the estimated completion costs or selling costs.

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

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

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

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

1.10 LEASES

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

a. Operating leases – lessee

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

b. Finance leases – lessee

Finance leases are recognised as assets and liabilities

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

The discount rate used in calculating the present value of the minimum lease payments is the incremental borrowing rate for the HSRC. The lease payments are apportioned between the finance charge and reduction of the outstanding liability.

The finance charge is allocated to each period during the lease term so as to produce a constant periodic rate on the remaining balance of the liability.

The depreciation policy for depreciable leased assets is as follows:

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

c. Operating leases – lessor

Lessors shall present assets subject to operating leases in their statement of financial position according to the nature of the asset. Lease revenue is recognised in line with the accounting policy on revenue.

The depreciation policy for depreciable leased assets is consistent with the lessor's normal depreciation policy for similar assets.

1.11 EMPLOYEE BENEFITS

a. Short-term employee benefits

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

b. Post-employment benefit costs

Pension funds

The entity contributes to a pension fund for the benefit of its employees. The plan is a defined contribution plan. The entity identifies as defined contribution plans any post-employment plan in terms of which it has no obligation to make further contributions to the plan over and above the monthly contributions payable on behalf of employees (for example in the event of a funding shortfall). Contributions made towards the fund are recognised as an expense in the statement of financial performance in the period that such contributions become payable. This contribution expense is measured at the undiscounted amount of the contribution paid or payable to the fund.

A liability is recognised to the extent that any of the contributions have not yet been paid. Conversely an asset is recognised to the extent that any contributions have been paid in advance. Pensions are provided for employees by means of two separate pension funds to which contributions are made. These are the HSRC Pension Fund (HSRCPF), and the Associated Institutions Pension Fund (AIPF).

Post-retirement medical aid benefits

The entity contributes to a medical aid for the benefit of its employees. The plan is a defined benefit plan. The cost of providing these benefits is determined based on the projected unit credit method and actuarial valuations are performed every second year. The HSRC contributed voluntarily to post-retirement medical aid benefits of specific employees who opted to remain on the previous conditions of service when the benefit was terminated. The HSRC does not provide for post-retirement medical aid benefits to any other category of employees.

1.12 FOREIGN CURRENCY TRANSACTIONS

Transactions in foreign currencies are accounted for at the rate of exchange ruling on the date of the transaction. Liabilities in foreign currencies are translated at the rate of exchange ruling at the reporting date or at the forward rate determined in forward exchange contracts. Exchange differences arising from translations are recognised in the statement of financial performance in the period in which they occur. A foreign currency transaction is recorded, on initial recognition in the functional currency, by applying to the foreign currency amount the spot exchange rate between the functional currency and the foreign currency at the date of the transaction.

At each reporting date:

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

Exchange differences arising on the settlement of monetary items or on translating monetary items at rates different from those at which they were

translated on initial recognition during the period or in previous financial statements shall be recognised in surplus or deficit in the period in which they arise.

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

1.13 PROVISIONS AND CONTINGENCIES

Provisions are recognised when:

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

Provisions are not recognised for future operating losses. If the HSRC has a contract that is onerous, the present obligation under the contract is recognised and measured as a provision. Contingent assets and contingent liabilities are not recognised. Provisions are measured as the present value of the estimated future outflows required to settle the obligation. In the process of determining the best estimate of the amounts that will be required in future to settle the provision management considers the probability of the potential outcomes of the provisions raised, and provides the best estimate required to settle the provision.

1.14 FINANCIAL INSTRUMENTS

a. Trade and other receivables

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

The carrying amount of the asset is reduced through the use of an allowance account, and the amount of the loss is recognised in the statement of financial performance within operating expenses.

When a trade receivable is uncollectable, it is written off against the allowance account for trade receivables. Subsequent recoveries of amounts previously written off are credited against operating expenses in the statement of financial performance.

Trade and other receivables are classified as loans and receivables.

b. Trade and other payables

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

c. Cash and cash equivalents

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

1.15 RELATED PARTIES

The HSRC operates in an economic sector currently dominated by entities directly or indirectly owned by the South African government. As a consequence of the constitutional independence of the three spheres of government in South Africa, only entities within the national sphere of government are considered to be related parties. Key management is defined as being individuals with the authority and responsibility for planning directing and controlling the activities of the entity. We regard all individuals, from the level of executive management and council members as key management per the definition of the financial reporting standard. Close family members of key management personnel are considered to be those family members who may be expected to influence, or be influenced by key management individuals, in their dealings with the entity.

1.16 COMPARATIVE FIGURES

When necessary, comparative figures have been adjusted to conform to changes in presentation in the current period. The nature and reason for such reclassifications and restatements are also disclosed.

1.17 PREPAYMENTS AND ADVANCES

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

1.18 IRREGULAR, FRUITLESS AND WASTEFUL EXPENDITURE

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

- The PFMA (No. 1 of 1999)
- The State Tender Board (No. 86 of 1968)

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

1.19 STANDARDS ISSUED AND NOT YET EFFECTIVE

At the date of authorisation of these financial statements, the following accounting standards of GRAP were in issue, but not yet effective:

GRAP 20 – Related parties

GRAP 32 – Service concession arrangements:
grantor

GRAP 108 – Statutory receivables

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

1.20 INCORPORATION OF THE AFRICA INSTITUTE OF SOUTH AFRICA (AISA)

AISA was incorporated into the HSRC following a process that was initiated by the Minister of Science and Technology. Following approval of the incorporation and sign-off of the AISA repeal bill by the president, AISA was incorporated into the HSRC on 1 April 2014. The institute applied GRAP accounting standards, pre-incorporation, which is similar to the HSRC and the same standards have been applied as outlined in the above accounting policies.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2015

	2015 March R'000	2014 March R'000
1 CASH AND CASH EQUIVALENTS		
Cash at bank	8 188	4 380
Cash on hand	72	70
Short-term investments*	72 064	46 231
Balance at 31 March	80 324	50 681
<p>*Included in the short-term investments are funds received from HSRC funders for various research projects. This also includes R15 million brought forward from AISA. These funds have been ring-fenced for salaries alignment and other research costs over the remaining period of the DST-approved, three-year ring-fencing period culminating on 31 March 2016. These funds had not yet been fully utilised as at 31 March 2015.</p>		
2 TRADE AND OTHER RECEIVABLES		
Trade receivables	34 233	38 155
Other receivables	3 093	4 036
Less: Impairment allowance	(409)	(2 596)
	36 917	39 595
2.1.1 Ageing of trade receivables		
Current (0–30 days)	30 807	31 449
31–60 days	2 571	2 043
61–90 days	131	-
91–120 days	337	2 569
+ 121 days	387	2 094
Balance at 31 March	34 233	38 155
Ageing of other receivables		
Current (0–30 days)	1 529	3 193
31–60 days	23	77
61–90 days	40	6
91–120 days	5	258
+ 121 days	1 496	502
Balance at 31 March	3 093	4 036
2.1.2 Impairment allowance: Ageing		
Current (0–30 days)	-	(821)
31–60 days	-	814
61–90 days	-	30
91–120 days	-	(12)
+ 121 days	(409)	(2 607)
Balance at 31 March	(409)	(2 596)

	2015 March R'000	2014 March R'000
2.2.1 Reconciliation of the impairment allowance		
Balance at beginning of the year	(2 596)	(3 014)
Bad debts (recovered)/written off	(1 241)	632
Impairment movement	3 428	(214)
Balance at 31 March	(409)	(2 596)
2.2.2 Trade and other receivables past due but not impaired		
Trade and other receivables which are less than three months past due payment period of 30 days but are not considered to be impaired. At 31 March 2015, R3 107 000 (2014: R4 953 000) was past due date but not impaired. The ageing of amounts past due date but not impaired is as follows:		
30 days past due	2 594	2 120
60 days past due	171	6
90 days past due	342	2 827
	3 107	4 953
2.2.3 Trade and other receivables impaired		
As at 31 March 2015, trade and other receivables of R409 000 (2014: R 2 596 000) were impaired and provided for. The ageing of these receivables is as follows:		
0 to 180 days	-	(11)
Over 180 days	409	2 607
	409	2 596
3 INVENTORIES		
Finished goods **	7 527	4 984
Publications	7 353	4 931
Cafeteria	174	53
Work in progress *	486	316
	8 013	5 300
* Work in progress consists of books in production. ** Finished goods are taken into account when computing costs of goods sold, as noted below:		
Cost of goods sold		
HSRC Press (publications)	1 384	804
Cafeteria	4 394	2 897
	5 778	3 701

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

NOTES TO THE ANNUAL FINANCIAL STATEMENTS continued
for the year ended 31 March 2015

	2015 March R'000	2014 March R'000
4 PREPAYMENTS AND ADVANCES		
Prepayments and advances (short-term)*	6 341	2 233
Prepayments and advances (long-term) **	26	26
Total	6 367	2 259
<p>* Short-term prepayments mainly made up of subscriptions to software and research journals. Also included in this amount is R3 100 000 paid in advance for the WSSF and Gender Summit conferences to be held in the 2015/16 financial year.</p> <p>** The long-term portion of prepayments is in respect of computer warranties.</p>		
5 VAT RECEIVABLE		
VAT input	842	615
VAT receivable/(payable)	842	615
	Carrying Amounts R'000	2014 March R'000
6 SUMMARY OF PROPERTY, PLANT & EQUIPMENT		
Land and buildings	179 942	152 437
Leasehold improvements	278	961
Artwork	1 676	1 403
Motor vehicles	2 247	2 476
Office furniture	8 452	8 371
Equipment	4 288	4 091
Computer equipment	7 297	7 133
Medical equipment	110	109
	204 290	176 981
Summary of intangible assets		
Software	2 068	2 349
Usage rights	1 940	2 074
	4 008	4 423

6. SUMMARY OF PROPERTY, PLANT & EQUIPMENT *continued*

6.1 Property, plant and equipment balance as at 31 March 2015

	Total R'000	Land and building R'000	Leasehold improve- ments R'000	Artwork R'000	Motor vehicles R'000	Office furniture R'000	Equip- ment R'000	Computer equip- ment R'000	Medical equip- ment R'000	Library books and man- uscripts R'000
Reconciling of carrying value										
Opening net carrying amount	176 981	152 437	961	1 403	2 476	8 371	4 091	7 133	109	-
Gross carrying amount	234 920	166 638	3 753	1 781	4 317	12 246	12 471	31 626	2 088	-
Accumulated depreciation	(57 939)	(14 201)	(2 792)	(378)	(1 841)	(3 875)	(8 380)	(24 493)	(1 979)	-
Additions and revaluations	33 083	29 070	19	354	-	187	659	2 789	5	-
Revaluation adjustment	27 563	27 209	354							
Additions	5 520	1 861	19	-	-	187	659	2 789	5	-
AISA additions	7 361	350	-	-	133	1 066	-	1 817	-	3 995
Cost	10 479	350	-	-	190	2 132	-	3 633	-	4 174
Accumulated depreciation	(3 118)	-	-	-	(57)	(1 066)	-	(1 816)	-	(179)
AISA reclassification	-	-	-	-	-	(133)	697	(564)	-	-
Cost	-	-	-	-	-	(266)	1 394	(1 128)	-	-
Accumulated depreciation	-	-	-	-	-	133	(697)	564	-	-
Disposals and adjustments	(5 534)	-	(4)	(10)	(92)	(610)	(258)	(565)	-	(3 995)
Cost of disposal	(14 714)	-	(13)	(12)	(128)	(1 127)	(936)	(8 324)	-	(4 174)
Accumulated depreciation of disposal	9 180	-	9	2	36	517	678	7 759	-	179
Depreciation	(7 601)	(1 915)	(698)	(71)	(270)	(429)	(901)	(3 313)	(4)	-
Closing net carrying amount	204 290	179 942	278	1 676	2 247	8 452	4 288	7 297	110	-
Gross carrying amount	263 768	196 058	3 759	2 123	4 379	13 172	13 588	28 596	2 093	-
Accumulated depreciation	(59 478)	(16 116)	(3 481)	(447)	(2 132)	(4 720)	(9 300)	(21 299)	(1 983)	-
Historical cost would have been:	88 265	87 061	1 204							

The land is registered as Stand 3242 Pretoria, measuring 7 665 m². Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. Buildings classification combines land, lifts, telephone systems, fixtures and buildings. This also consists of a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 1 November 2014 by an independent valuer, Mr Mongodi Pitso of Djalo Valuation Services Management (Pty) Ltd, using the discounted cash flow analysis (DCF) method. In the DCF analysis the lease income is discounted for the total lease period at a discount rate deemed appropriate. The total of the net cash flows equates to the net present value of the property. Market related capitalisation rates in the Pretoria CBD range between 9.9% for A-grade properties to 12.4% for C-grade. A capitalisation rate of 11.5% was applied. Application of the R157 bond rate as per the date of valuation as well as the relevant sector and risk factors resulted in a total discount rate of 16.45%. The building is not held as security for any obligations. Artwork belonging to the HSRC was also revalued on 31 March 2015. The valuation was performed by Mr Gerrit Dyman of Absolut Art Gallery by observing similar artwork in the market and the prices such artwork would cost on the valuation date.

*** Derecognition of library books

6. SUMMARY OF PROPERTY, PLANT & EQUIPMENT *continued*

6.1 Property, plant and equipment balance as at 31 March 2014

Reconciliation of carrying value	Total R'000	Land and building R'000	Leasehold improvements R'000	Artwork R'000	Motor vehicles R'000	Office furniture R'000	Equipment R'000	Computer equipment R'000	Medical equipment R'000	Library books and manuscripts R'000
Opening net carrying amount	183 583	154 316	1 631	1 469	2 797	8 805	5 054	9 402	109	-
Gross carrying amount	247 377	166 638	3 715	1 781	4 587	12 105	20 473	31 266	2 086	4 726
Accumulated depreciation	(63 794)	(12 322)	(2 084)	(312)	(1 790)	(3 300)	(15 419)	(21 864)	(1 977)	(4 726)
Additions and revaluations	1 605	-	38	-	-	150	368	1 047	2	-
Additions	2 211	-	38	-	-	183	368	1 620	2	-
Reallocation of clearing account	(606)	-	-	-	-	(33)	-	(573)	-	-
Disposals and adjustments	(52)	-	-	-	-	(4)	(4)	(44)	-	-
Cost of disposal	(800)	-	-	-	-	(9)	(104)	(687)	-	-
Accumulated depreciation of disposal	748	-	-	-	-	5	100	643	-	-
NBV of finance leases derecognised	-	-	-	-	-	-	-	-	-	-
Cost finance leases	(13 262)	-	-	-	(270)	-	(8 266)	-	-	(4 726)
Accumulated depreciation finance leases	13 262	-	-	-	270	-	8 266	-	-	4 726
Depreciation	(8 155)	(1 879)	(708)	(66)	(321)	(580)	(1 327)	(3 272)	(2)	-
Closing net carrying amount	176 981	152 437	961	1 403	2 476	8 371	4 091	7 133	109	-
Gross carrying amount	234 920	166 638	3 753	1 781	4 317	12 246	12 471	31 626	2 088	-
Accumulated depreciation	(57 939)	(14 201)	(2 792)	(378)	(1 841)	(3 875)	(8 380)	(24 493)	(1 979)	-
Historical cost would have been:	88 265	87 061	1 204							

The land is registered as Stand 3242 Pretoria, measuring 7 655 m². Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. Buildings classification combines land, lifts, telephone systems, fixtures and buildings. This also consists of a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 13 October 2011 by an independent valuer, Mr Bryan Nyagah of Colliers International (Pty) Ltd, using the discounted cash flow analysis (DCF) method. In addition, to determine the value of the building, the 'highest and best use' was ascertained. This concept is based on the notion that although two properties may have physical similarities and closely resemble one another, there may be significant differences in how they can be used. Optimal utilisation was the foundation of determining the building's market value and highest and best optimal use for the HSRC's building was identified as office/administration and conferencing purposes. A discount rate of 16%, a cap rate of 11% and an exit cap rate of 11.25% were applied to the income flowing from the property and these rates were derived from statistical data in the then latest version of the IPD cap and discount data survey. The building is not held as security for any obligations.

6. SUMMARY OF PROPERTY, PLANT & EQUIPMENT *continued*

6.2 Intangible assets balance as at 31 March 2015

Reconciliation of carrying value	Total R'000	Software R'000	Usage rights R'000
Opening net carrying amount	4 423	2 349	2 074
Gross carrying amount	9 559	6 896	2 663
Accumulated depreciation	(5 136)	(4 547)	(589)
Additions	114	114	-
Additions	114	114	-
	112	112	-
AISA addition – cost	226	226	-
AISA additions – accumulated depreciation	(114)	(114)	-
Amortisation	(641)	(507)	(134)
Amortisation	(641)	(507)	(134)
Closing net carrying amount	4 008	2 068	1 940
Gross carrying amount	9 899	7 236	2 663
Accumulated depreciation	(5 891)	(5 168)	(723)

6.3 Intangible assets balance as at 31 March 2014

Reconciliation of carrying value	Total R'000	Software R'000	Usage rights R'000
Opening net carrying amount	5 403	3 196	2 207
Gross carrying amount	9 295	6 632	2 663
Accumulated depreciation	(3 892)	(3 436)	(456)
Additions and revaluations	264	264	-
Adjustment to cost	264	264	-
Amortisation	(1 244)	(1 111)	(133)
Amortisation	(1 244)	(1 111)	(133)
Closing net carrying amount	4 423	2 349	2 074
Gross carrying amount	9 559	6 896	2 663
Accumulated depreciation	(5 136)	(4 547)	(589)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS continued
for the year ended 31 March 2015

	2015 March R'000	2014 March R'000
7 OPERATING LEASE RECEIVABLES AND ACCRUALS		
Operating lease receivables – lessor		
Opening balance 1 April	-	100
Movement for the year	1 319	(100)
Balance at 31 March	1 319	-
Operating lease accruals – lessee		
Opening balance 1 April	(1 057)	(873)
Movement for the year	239	(184)
Balance at 31 March	(818)	(1 057)
7.1 Operating lease arrangements as the lessee		
7.1.1 Future minimum lease payments		
Up to 12 months		
Cape Town lease	4 011	3 680
Durban lease	114	1 356
Port Elizabeth lease	320	65
Sweetwaters lease	107	107
CSIR – disaster recovery site	47	23
	4 599	5 231
1 year to 5 years		
Cape Town lease	2 101	6 112
Durban lease	-	114
Port Elizabeth lease	588	-
Sweetwaters lease	-	107
CSIR – disaster recovery site	70	-
	2 759	6 333

7.1.1 Other disclosures

Cape Town lease

The HSRC has leased office space from Old Mutual Life Assurance Company (South Africa) (Pty) Ltd at Plein Street, Cape Town – portions of the 10th, 14th and 16th floors and the entire 12th and 13th floors. The contract was initially for a period of six years, effective from 1 October 2005. The agreement was renewed for an additional five years effective from 1 October 2011. The current lease payment per month is R306 674.44 (VAT excluded). The contract includes an annual escalation of 9% (compounded). The HSRC does not have the option to acquire the building at the end of the lease agreement, but has an option to renew the agreement.

Durban lease

The HSRC has leased property in Durban from the KwaZulu-Natal Department of Housing – portions of Pod 4, Pod 5 and Pod 6. The lease agreement has been in effect for three years since 1 May 2012. The contract includes an annual escalation clause of 10% (compounded). The current lease payment per month is R113 031.44 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the lease agreement, but has an option to renew the agreement. The HSRC is in the process of procuring new premises for the Durban office and is currently on a month to month arrangement.

Port Elizabeth lease

The HSRC is leasing a property from the Growthpoint Securitisation Warehouse Trust, situated at Mount Road, Fairview Office Park, Port Elizabeth. The lease arrangement has been in effect since 1 November

2014 and expires on 30 November 2017. The current lease payment is R25 959 per month (VAT excluded). The contract includes an annual escalation of 7.4% (compounded). The HSRC does not have the option to acquire the building, but has an option to renew the agreement.

Sweetwaters lease

A lease agreement was signed between the HSRC and Mr FA Bhalya in respect of a property referred to as Sweetwaters Bus Depot. The agreement came into operation on 1 March 2008 and was valid for five years. The lease agreement was renewed on 1 March 2013 for an additional three years, and expires on 31 March 2016. The current lease payment per month is R8 931.01 (VAT excluded). The contract includes an annual escalation of 10% (compounded). The HSRC does not have the option to acquire the building, but has an option to renew the agreement.

Council for Scientific and Industrial Research (CSIR) lease

The HSRC has leased property from the CSIR located in Building 14, Scientia. Total space acquired is 63m² utilised as a disaster recovery site. The lease agreement is for three years effective from 1 October 2011 until 30 September 2014. It was renewed on 1 October 2014 for a further three years expiring on 30 September 2017. The contract has a fixed rental amount with no escalation clause. The lease payment per month, over the contract period, is R3 882.06 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the lease agreement, but has an option to renew the agreement.

	2015 March R'000	2014 March R'000
7.2 Operating lease arrangements as the lessor		
7.2.1 Future minimum lease payments		
Up to 12 months		
Department of Public Works lease	17 381	-
1 year to 5 years		
Department of Public Works lease	37 922	-

Other disclosures

Department of Public Works lease (Pretoria)

The operating lease is undertaken between the HSRC (the lessor) and the Department of Public Works (the lessee) on behalf of the Department of Social Development. The existing contract was signed on 30 May 2014 for a three-year period, with a commencement date of 1 May 2014. Monthly rental income for the 12 months culminating on 30 April 2015 is R1 692 623 (excluding VAT), with an annual escalation clause of 8% (compounded).

NOTES TO THE ANNUAL FINANCIAL STATEMENTS continued
for the year ended 31 March 2015

	2015 March R'000	2014 March R'000
8 TRADE AND OTHER PAYABLES		
Trade creditors	5 557	11 286
Accruals	20 578	16 387
	26 135	27 673

Note:

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

	2015 March R'000	2014 March R'000
9 INCOME RECEIVED IN ADVANCE		
Bill & Melinda Gates Foundation	1 199	1 421
City of Tshwane	140	140
The South African National Aids Council	-	1 754
Department of Higher Education	-	2 687
University of California	232	2 487
Department of Science and Technology	25 502	18 292
Department of Rural Development	1 071	1 071
Hilton Foundation	6 291	5 847
International Development Research Centre	1 998	1 263
Elma Foundation	-	121
Tides Foundation	-	239
Going to Scale	624	2 493
Other projects/funding agencies	13 270	15 897
NACOSA	1 001	-
HIVOS International	909	-
SANRAL	340	-
SANAC	2 825	-
Global Development Network	-	1 021
USAID	299	179
Ford Foundation	203	-
	55 904	54 912

Note:

Income received in advance relates to research work where funding has been received from the funder and the research work was not yet completed as at 31 March 2015. Research activities pertaining to these funds are envisaged to be completed within the next 12 months.

10 FINANCE LEASE LIABILITY

Balance as at 31 March 2015

The HSRC had no finance lease liability as at 31 March 2015.

Balance as at 31 March 2014

	Minimum lease payment R'000	Future finance charges R'000	Present value of minimum lease payments R'000
Amounts payable under finance lease			
Due within one year	533	(19)	514
Due over one year to five years	-	-	-
	<u>533</u>	<u>(19)</u>	514
Less: Amount due for settlement within 12 months (current portion)			(514)
			<u>-</u>

The remaining lease term was four months (31 March 2014) and the average effective borrowing rate was prime plus 2%. Interest rates were fluctuating with the bank repo rate. Obligations under finance leases were secured by the lessor's title to the leased asset.

	2015 March R'000	2014 March R'000
11 CAPITAL & EXPENDITURE COMMITMENTS		
Approved and contracted	50 758	25 725
Total commitments	50 758	25 725

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

NOTES TO THE ANNUAL FINANCIAL STATEMENTS continued
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	2015 March R'000	2014 March R'000 <i>Restated</i>
12 PROVISIONS		
Performance bonus	4 878	4 388
Provision for leave	14 491	13 301
	19 369	17 689
<p>Leave pay provision reduces when an employee takes official leave days or leaves the HSRC and the leave is paid out to the employee. Performance bonuses are paid annually for good staff performance after performance appraisals are completed and moderated.</p>		
Analysis of movements in provisions		
Provision for leave		
Opening balance	13 301	11 407
Additional provision	17 931	16 209
Amounts paid out during the year	(2 361)	(1 626)
Amounts utilised during the year	(14 380)	(12 689)
Closing balance	14 490	13 301
Performance bonus		
Opening balance	4 388	3 895
Additional provision	5 173	4 613
Amounts paid out during the year	(4 683)	(4 120)
Closing balance	4 878	4 388

13 POST-RETIREMENT MEDICAL BENEFITS

13.1 Defined contribution plan

The HSRC has the following post-retirement medical aid obligations as at 31 March 2015.

	2015 March R'000	2014 March R'000
Present value of obligation	4 290	2 842
Liability recognised in the balance sheet	4 290	2 842
Reconciliation of defined benefit obligation (DBO)		
Present value of obligation at beginning of year	2 842	3 240
AISA liability brought forward	1 026	-
Interest cost	305	182
Current service cost	8	9
Benefits paid	(504)	(435)
Gain/ (loss) from change in financial assumptions	613	(449)
Gain/ (loss) from change in demographic assumptions	-	10
Experience gains/ (losses)	-	285
Present value of obligation at year end	4 290	2 842

13.2 Liabilities

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

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

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

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

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

The previous assessment of the liability with regard to subsidies in respect of continuation member healthcare costs was done on 31 March 2014. The next assessment of the liabilities needs to be performed at the next financial year-end, being 31 March 2016.

13.3 Particulars of liabilities

A current Discovery Health continuation member receives a fixed employer subsidy which does not increase with medical inflation. For married continuation pensioners, the subsidy amount remains fixed and does not decrease. The AISA and HSRC post-retirement medical subsidy benefit schemes were combined from 1 April 2014. AISA and the HSRC had different economic assumptions due to the actuarial valuations being conducted by two independent actuaries. The consolidated scheme now has a net discount rate of 0.26% per annum for participants whose employer subsidies are a function of increasing medical contributions and 7.45% per annum for participants who are on a fixed monetary subsidy. The net effect of the updated economic assumptions has resulted in an increase to the liability by R145 000.

13 POST-RETIREMENT MEDICAL BENEFITS continued

13.4 Particulars of liabilities

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

	Number of members		Average past service – years	
	2015	2014	2015	2014
Male members (age band: 45–49)	1	1	24.2	23.2
Total/weighted average	1	1	24.2	23.2

The average age of these members was 48 years as at 31 March 2015, compared to 46.6 years in respect of the active members as at 31 March 2014. Average monthly employer contributions: (2015 R3 596) – (2014 R3 362)

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

	Number of members		Average premium principal member per month – Rs		Average weighted age – years	
	2015	2014	2015	2014	2015	2014
Total/weighted average	78	73	536	375	80.0	79.5

The table below summarises the profile of the continuation pensioners subsidised by HSRC as at 31 March 2015:

Age band: 50–54	1	Age band: 75–79	24
Age band: 55–59	0	Age band: 80–84	24
Age band: 60–64	1	Age band: 85–89	8
Age band: 65–69	2	>90	6
Age band: 70–74	5		

13.5 Key financial assumptions

13.5.1 Summary assumptions

The economic assumptions for the 31 March 2015 valuation are shown in the table below, and compared to those used as at the previous valuation date.

	% per annum 2015	% per annum 2014
Discount rate	7.45	8.36
Healthcare cost inflation – continuation members	0.00	0.00
Healthcare cost inflation rate – in-service employees	7.17	8.29
Consumer Price Index	5.17	6.29
Net discount rate	0.26	0.06

13 POST-RETIREMENT MEDICAL BENEFITS continued

13.5 Key financial assumptions continued

13.5.1.1 Discount rate

GRAP 25 requires that the discount rate used in the valuation be determined by reference to market yields on government bonds as at the reporting date. In line with GRAP 25 and current market practice, government bond yields are therefore used when setting our best estimate discount rate assumption.

The currency and term of the government bonds shall be consistent with the currency and estimated term of the post-employment benefit obligations.

The methodology of setting the financial assumptions has been updated to be more duration specific. At the previous valuation date (31 March 2014) the duration of the liabilities was 6.79 years. At this duration, the discount rate determined by using the Bond Exchange Zero Coupon Yield Curve as at 23 March 2015 is 7.45% per annum.

13.5.1.2 Healthcare cost inflation

A healthcare cost inflation rate of 7.17% was assumed. This is 2% in excess of the expected inflation over the expected term of the liability, at 5.17%. However, it is the relative levels of the discount rate and healthcare inflation to one another that are important, rather than the nominal values. We have thus assumed a net discount factor of 0.26% per annum.

13.5.1.3 Decrement assumptions

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

13.5.2 Key demographic assumptions

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

Normal retirement age – 60 years

Employment age used for past service period:
Actual service entry ages

Assumption	Active employees	Continuation pensioners
Age difference between spouses	3 years	
Proportion married in retirement	Proportion married table	Actual marital status used

Example at stated date	Proportion married (male and female)
20	1.3%
25	12.9%
30	48.3%
35	70.2%
40	80.9%
45	84.7%
50	84.9%
55	86%
60	90%

13 POST-RETIREMENT MEDICAL BENEFITS continued

13.5 Key financial assumptions continued

13.5.3 Continuation percentages

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

13.5.4 Income brackets at retirement

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

13.5.5 Withdrawal and ill health assumptions

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

Age	Males
20	13.3%
25	13.3%
30	10.9%
35	8.2%
40	5.8%
45	4.1%
50	2.9%
55+	0%

13.6 Summary of valuation methods

13.6.1 Liability valuation method

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

13.6.2 Valuation method

In accordance with the requirements of GRAP 25, the projected unit credit method of funding has been applied. The assumption underlying the funding method is the employer's post-employment medical scheme costs in respect of an employee should be fully recognised by the time the employee reaches fully accrued age.

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

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

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

Basis of valuation

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

13.7 Analysis of past year and future projected liability

	Year ending 31/03/2014 R'000	Year ending 31/03/2015 R'000	Year ending 31/03/2016 R'000
Opening accrued liability	3 240	2 842	4 290
AISA liability	-	1 026	
Current service cost	9	8	12
Interest cost	182	305	301
Actuarial loss/(gain)	(154)	613	-
Total annual expense	37	926	313
Contributions (benefits paid)	(435)	(504)	(504)
Closing accrued liability	2 842	4 290	4 099

	2015 March R'000	2014 March R'000
14 REVENUE FROM EXCHANGE AND NON-EXCHANGE TRANSACTIONS		
14.1 Research revenue from exchange transactions		
International funding agencies	52 915	50 673
National and provincial funding agencies	48 114	51 285
Private sector	4 197	3 022
Professional services and secondment	852	2 008
Public sector	21 026	17 782
	127 104	124 770
14.2 Revenue from non-exchange transactions		
Parliamentary grants received	242 114	196 167
AISA incorporation grant	3 758	1 306
	245 872	197 473

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	2015 March R'000	2014 March R'000
15 OTHER OPERATING REVENUE		
Cafeteria income	2 365	2 615
Insurance claims: recoveries	1 225	2 106
Interest received	5 060	2 919
Profit on disposal of assets	10	-
Publication sales	1 721	634
Rental income	22 244	19 027
Royalties received	409	314
Skills development levy	370	577
Sundry income	1 477	1 426
	34 881	29 618
16 ADMINISTRATIVE EXPENSES		
Annual licence fees, library manuscripts and subscriptions	(11 947)	(9 240)
AISA relocation costs	(348)	-
Audit fees	(4 115)	(3 404)
- External audit	(3 021)	(2 273)
- Internal audit	(911)	(942)
- Other audits	(183)	(189)
Bank costs / stamp duty / excise duties	(309)	(260)
Outsourced services and systems support	(8 081)	(6 509)
Consumable goods	(4 943)	(3 926)
Insurance	(2 223)	(1 952)
Net foreign exchange (loss)/gain	(239)	359
Postal, telecom and delivery fees	(7 052)	(6 000)
Printing and photocopying	(4 695)	(4 607)
Publicity functions and conferences	(786)	(1 498)
Sundry operating expenses	(1 243)	(1 500)
Travel and subsistence	(4 737)	(4 499)
	(50 718)	(43 036)
17 RESEARCH COST		
Direct labour expense	(17 983)	(19 130)
Direct research cost	(55 643)	(44 585)
	(73 626)	(63 715)

	2015 March R'000	2014 March R'000
18 STAFF COST		
Wages and salaries *	(211 592)	(190 793)
Defined contribution plan	(18 191)	(16 070)
Social contributions (employer's contributions)		
- official unions and associations	(175)	(193)
Post-retirement medical benefit		
- Employer contributions	(260)	(435)
- Increase in liability	(422)	(398)
Termination benefits ***	(159)	(209)
Total	(230 799)	(208 098)
Number of staff as at 31 March 2015		
Permanent staff	527	502
Short-term staff (12 months or less) **	50	48
Total	577	550

Note:

* Detailed disclosure of council members and executive management remuneration is on note 28.2.

** Short-term staff are predominantly linked to various HSRC research projects, and staff count varies with projects activities undertaken during a given period. Number reflected is staff still in employment at 31 March 2015.

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

	2015 March R'000	2014 March R'000
19 OTHER OPERATING EXPENSES		
Bad debts recovered/(written off)	1 241	(632)
Legal fees	(1 759)	(1 574)
Loss on disposal of assets	(1 275)	(38)
Office refreshments and client relations	(393)	(383)
Rentals, maintenance, repairs and running costs	(20 489)	(17 824)
- Other maintenance repairs and running costs	(6 224)	(4 132)
- Property taxes and municipal rates	(7 157)	(6 509)
- Lease rentals (regional offices)	(7 107)	(7 183)
Staff recruitment costs	(113)	(435)
Staff training	(1 624)	(1 598)
Study bursaries	(499)	(618)
	(24 911)	(23 102)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS continued
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	2015 March R'000	2014 March R'000
20 FINANCE COST		
Finance lease cost	(19)	(72)
Interest paid	(1)	(0)
Fair valuation cost of receivables and payables	(1 251)	(960)
	(1 271)	(1 032)
21 DEPRECIATION AND AMORTISATION		
Depreciation on property, plant and equipment	(7 601)	(8 155)
Library books impairment	(453)	-
Amortisation on intangible assets	(641)	(1 244)
	(8 695)	(9 399)
22 RECONCILIATION OF NET CASH FLOWS FROM OPERATING ACTIVITIES TO SURPLUS		
Surplus for the year	17 837	3 479
adjustment for:		
Depreciation and amortisation	8 695	9 399
Bad debts recovered/(written off)	(1 241)	632
Increase in provisions relating to employee cost	1 680	(1 650)
Losses on sale of property, plant and equipment	1 275	38
Net foreign exchange loss/(gain)	239	(359)
Other adjustments	-	3
Items disclosed separately		
Receipts of sales of assets	(31)	(3)
Operating surplus before working capital changes	28 454	11 539
Decrease in VAT payable	-	(838)
Increase in inventories	(2 712)	(391)
Decrease/(increase) in other receivables	943	(631)
Increase in VAT receivable	(227)	(615)
Increase/(decrease) in post-retirement medical benefit	1 448	(398)
Decrease in trade receivables	3 922	1 775
Increase in prepayments	(4 107)	(911)
Increase in income received in advance	991	5 936
Decrease in trade payables	(1 538)	2 612
Movement in lease accruals	(1 319)	100
Movement in lease commitments	(239)	184
AISA balances working capital changes	(4 636)	-
Cash generated by operations	20 980	18 362

23 CONTINGENT ASSETS AND LIABILITIES

Pending claims

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

	2015 March R'000	2014 March R'000
Counter claim made by the HSRC (possible contingent asset)	2 950	2 950
Claim against HSRC (possible contingent liability)	(1 176)	(1 176)
Net claims	1 774	1 774

The HSRC terminated a service provider contract as a result of non-delivery, and the service provider, Underhill Investment Holdings, subsequently issued summons for the amount of R1 176 243. After receipt of the initial summons the HSRC filed an exception to the particulars of claim, claiming that same was vague and embarrassing. The court upheld the exception and Underhill was ordered to amend the particulars. The matter was referred to external attorneys, who advised that the HSRC issues a counter claim. The matter will be heard in court in January 2016.

24 EVENTS AFTER THE REPORTING DATE

No reportable events after reporting date.

25 TAXATION

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

26 GOING CONCERN ASSUMPTION

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

27 SIGNIFICANT ACCOUNTING JUDGEMENTS, ESTIMATES AND ASSUMPTIONS

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

27.1 Judgements

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

27.1.1 Operating lease commitments – HSRC as lessor

The HSRC has entered into commercial property leases on buildings. The HSRC has determined, based on evaluation of the terms and conditions of the arrangements, that it retains all significant risks and rewards of ownership of these properties and so accounts for these contracts as operating leases.

27.2 Estimates and assumptions

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

27.2.1 Property, vehicles, plant and equipment and intangible assets

Property, vehicles, plant and equipment and intangible assets are depreciated over their useful life taking into account residual values, where appropriate. The actual lives of the assets and residual values are assessed annually and may vary depending on a number of factors. In re-assessing asset lives, factors such as technological innovation and maintenance programmes are taken into account. Residual value assessments consider issues such as future market conditions, the remaining life of the asset and projected disposal values.

27 SIGNIFICANT ACCOUNTING JUDGEMENTS, ESTIMATES AND ASSUMPTIONS continued

27.2.1.1 Change in accounting estimate

During the financial year, assets useful lives and residual values were reassessed as at 31 March 2015. Effect of these adjustments was taken into account in the determination of property, plant and equipment carrying amount. Refer to note 6 for more details.

27.2.2 Impairment testing

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

27.2.3 Revaluation of property, plant and equipment

The HSRC measures its land and buildings at revalued amounts with changes in fair value being recognised in the statement of changes in net assets. The entity engaged independent valuation specialists to determine fair value as at 31 March 2015. The key assumptions used to determine the fair value of the land and buildings are further explained in note 6.

27.2.4 Fair value of financial instruments

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

27.2.5 Pension benefits

The cost of defined benefit pension plans and other post-employment medical benefits, as well as the present value of the pension obligation are determined using actuarial valuations. The actuarial valuation involves making assumptions about discount rates, expected rates of return of assets, future salary increases, mortality rates and future pension increases. All assumptions are reviewed at each reporting date.

Future salary increases and pension increases are based on expected future inflation rates. For details about the assumptions used, see note 13.

28 RELATED PARTIES

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

28.1 Transactions with related entities

	Services rendered						Services received			
	Year ending 31 March 2015			Year ending 31 March 2014			Year ending 31 March 2015		Year ending 31 March 2014	
	Trans- actions R'000	Balance R'000	Amount included in bad debts provision as at 31 March 2015 R'000	Trans- actions R'000	Balance R'000	Amount included in bad debts provision as at 31 March 2014 R'000	Trans- actions R'000	Balance R'000	Trans- actions R'000	Balance R'000
Related party										
Department of Science and Technology (DST) **	303 526	-	-	247 272	-	-	-	-	-	-
National Research Foundation (NRF)	4 275	-	-	4 349	-	-	294	-	-	-
Council for Scientific and Industrial Research (CSIR)	77	-	-	-	-	-	1 767	1 488	-	-
Agricultural Research Council (ARC)	-	-	-	-	-	-	-	-	-	-
Sub Total	307 878	-	-	251 621	-	-	2 061	1 488	-	-

** Amount disclosed includes MTEF allocation received from the DST.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS continued
for the year ended 31 March 2015

28 RELATED PARTIES continued

28.2 Fees paid to board members and executive management salaries:

	Year ending 31 March 2015					Year ending 31 March 2014
	Gross remuneration R	Post-employment benefits R	Performance bonus R	Other allowances bonus R	Total R	Total R
Mrs N Badsha (board chairperson)	28 784	-	-	-	28 784	20 560
Prof. E Uliana (board member) – Audit & Risk Committee chairperson	24 560	-	-	-	24 560	62 182
Prof. RT Moletsane (board member)	6 112	-	-	-	6 112	9 168
Prof. A Olukoshi (board member)	40 774	-	-	-	40 774	43 909
Prof. A Lourens (board member) – also serves on the Audit & Risk Committee	18 336	-	-	-	18 336	31 964
Prof. L Qalinge (board member)	9 748	-	-	-	9 748	31 357
Dr B Tema (board member)	32 274	-	-	-	32 274	49 874
Prof. SA Hassim (board member)	18 336	-	-	-	18 336	15 280
Adv RR Dehal (board member)	15 280	-	-	-	15 280	9 596
Prof. MHR Bussin (board member) – also serves on the Audit & Risk Committee	24 448	-	-	-	24 448	12 224
Prof. O Shisana (ex officio as CEO)	2 343 576	280 368	143 235	144 000	2 911 179	2 817 632
Prof. E Webster (board member) (term ended 31 October 2013)	-	-	-	-	-	3 056
Prof. T Pillay (board member) (term ended 31 October 2013)	-	-	-	-	-	12 224
Prof. P Zulu (board member) (term ended 31 October 2013)	-	-	-	-	-	12 060
Prof. F Netswera (board member) (term ended 31 October 2013)	-	-	-	-	-	46 806
Executive management **	15 362 902	1 675 536	585 838	1 023 353	18 647 629	14 974 873
	17 925 130	1 955 904	729 073	1 167 353	21 777 460	18 152 765

** No termination benefits were paid to executive management.

28.3 The following is a list of the executive management for the years ended 31 March 2015 and 31 March 2014

Year ending 31 March 2015			Year ending 31 March 2014		
Name	Position	Date/ (Period) of Appointment	Name	Position	Date/ (Period) of Appointment
Prof. O Shisana	Chief executive officer	01/08/2005	Prof. O Shisana	Chief executive officer	01/08/2005
Dr BST Masilela	Deputy chief officer: Research	01/11/2010	Dr BST Masilela	Deputy chief executive officer: Research	01/11/2010
Dr U Pillay	Deputy chief executive officer: Operations	01/06/2012	Dr U Pillay	Deputy chief executive officer: Operations	01/06/2012
Ms P Singh CA(SA)	Chief financial officer	01/09/2012	Ms P Singh CA(SA)	Chief financial officer	01/09/2012
Prof. MR Mabugu	Executive director: EPD	01/12/2010 – 31/08/2014	Prof. MR Mabugu	Executive director: EPD	01/12/2010
Dr V Reddy	Executive director: ESD	01/07/2007	Dr V Reddy	Executive director: ESD	01/07/2007
Prof. LC Simbayi	Executive director: HAST	01/07/2009	Prof. LC Simbayi	Executive director: HAST	01/07/2009
Prof. D Labadarios	Executive director: PHHSI	01/08/2008	Prof. D Labadarios	Executive director: PHHSI	01/08/2008
Prof. D Plaatjies	Executive director: DGSD	01/06/2014	Prof. A Bhana	Executive director: HSD	01/12/2011– 30/11/2013
Ms F Kobo	Executive director: Operations	01/01/2014	Ms J February	Executive director: DGSD	01/10/2012– 31/01/2014
Dr N Bohler-Muller	Acting executive director: DGSD	01/02/2014– 31/05/2014	Ms F Kobo	Executive director: Operations	01/01/2014
Dr K Zuma	Executive director: RMDC	01/06/2013	Ms S Molawa	Acting head: Operations	01/04/2013– 31/12/2013
Prof. V Reddy	Acting executive director	01/12/2013	Dr N Bohler-Muller	Acting executive director: DGSD	01/02/2014– 31/03/2014
Prof. P Lukhele-Olorunju	Acting head: AISA	01/04/2014	Dr K Zuma	Executive director: RMDC	01/06/2013
			Prof. V Reddy	Acting executive director	01/12/2013

29 PRIOR PERIOD ERRORS – ADJUSTMENTS

The following prior period errors have been identified and the specific effect on financial statements have been set out in note 29.1. These errors have been corrected and comparatives restated accordingly and rounded off (R'000). The effect on previously reported financial statements is also indicated.

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

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

29.1 Misstatement of revenue and expenditure items

Effect on financial statements	Explanation reference	Adjustment impact	R'000
Increase in accumulated surplus	2	Statement of financial position	(3 669)
Increase in depreciation, amortisation and impairment expense	2	Statement of financial performance	649
Decrease in income received in advance	4	Statement of financial position	13
Increase in other operating revenue	1	Statement of financial performance	(1 234)
Increase in property, plant and equipment	2	Statement of financial position	3 020
Increase in research cost	3	Statement of financial performance	14
Increase in research revenue	4	Statement of financial performance	(13)
Increase in trade and other payables	3	Statement of financial position	(14)
Increase in trade and other receivables	1	Statement of financial position	1 407
Increase in VAT payable	1	Statement of financial position	(173)

1 *The adjustment was as a result of rental income received in the 2014 financial year prior to finalisation of the lease agreement. The Department of Social Development (DSD) was paying in excess of what was being invoiced during the 2013/14 financial year, and when the lease agreement was finalised during the 2014/15 financial year rental income was restated.*

2 *Adjustments were processed to property, plant and equipment as a result of an error in the assessment of assets' useful lives and residual values, applied retrospectively. This affected the opening balances for the 2013/14 financial year and note 6 reflects the adjusted balances. The adjustment resulted in an increase in depreciation, amortisation and impairment expense of R622 000 for the 2013/14 financial year, and future years.*

3 *Adjustment emanating from an accrual misstated.*

4 *Correction of misstated research revenue.*

	2015 March R'000	2014 March R'000
30 IRREGULAR EXPENDITURE		
Opening balance	-	-
Irregular expenditure – current year	241	76
Irregular expenditure – condoned	(241)	(76)
Irregular expenditure awaiting condonement	-	-

Analysis of irregular expenditure

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

	2015 March R'000	2014 March R'000
31 FRUITLESS AND WASTEFUL EXPENDITURE		
Opening balance	3	-
Fruitless and wasteful expenditure – current year	64	3
Fruitless and wasteful expenditure – condoned	-	-
Fruitless and wasteful expenditure awaiting condonement	67	3

Fruitless and wasteful expenditure relates largely to traffic fines issued to staff members on hired vehicles, flights missed and failure to utilise booked hotel rooms due to various reasons. The money will be recovered from the staff members concerned.

32 STATEMENT OF COMPARISON OF APPROVED BUDGET TO ACTUAL RESULTS (EXPLANATORY NOTES)

32.1 Research revenue

The research revenue target was not achieved for the financial year, due to less research activities being undertaken than budgeted. This was largely as a result of most grants being awarded or finalised in the second half of the financial year, at a time when most of the research activities could not be completed by 31 March 2015. It is anticipated that most of this work will be completed in the 2015/16 financial year. In addition, flagship projects, namely SANHANES and SABSSM, will be commissioned in the 2015/16 financial year, with previous editions of these surveys having been completed in the 2012/13 financial year. Lack of activities on these flagship projects in the 2014/15 financial year also resulted in underachievement on our external income target.

32.2 Parliamentary grants

The full parliamentary grant allocation from the Department of Science & Technology (DST) was received and fully utilised during the period under review, in line with the HSRC's mandate as stipulated in the HSRC Act (No. 17 of 2008), the HSRC's strategy and annual performance plan (2014/15 financial year), as presented to the Minister of Science and Technology and parliament. In addition, the HSRC recognised R3.8 million for the AISA incorporation, which had been received from the DST during the 2013/14 financial year.

32 STATEMENT OF COMPARISON OF APPROVED BUDGET TO ACTUAL RESULTS
(EXPLANATORY NOTES) continued

32.3 Parliamentary grants – ring-fenced

The ring-fenced allocation from the Department of Science & Technology (DST) was received and fully utilised during the period under review, in line with the HSRC's mandate as stipulated in the HSRC Act (No. 17 of 2008), the HSRC's strategy and annual performance plan (2014/15 financial year), as presented to the Minister of Science and Technology and parliament. This allocation was earmarked for science and technology indicators and was exclusively used for that purpose in line with the CeSTII business plan for the 2014/15 financial year.

32.4 Other operating revenue

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

32.5 Administrative expenses

Administration costs mainly include audit fees, subscriptions and manuscripts, insurance related costs, printing and photocopying expenses as well as postal and delivery costs. Spending for the financial year was below the budgeted amount (85%), due to stringent measures implemented by management to reduce spending on most of these components. This was implemented after noting the level of research activities undertaken during the financial year as compared to the previous financial years.

32.6 Research cost

The research cost decrease is in line with decrease in research revenue as a result of the HSRC not undertaking major surveys during the period under review, as highlighted under research revenue (note 31.1). Research cost budget spending for the year was 78% which correlated to the research revenue percentage achieved of 83%.

32.7 Staff cost

Staff cost spending was 2% above the budgeted amount for the financial year under review. This is largely attributed to cost of living adjustments effected for the 2014/15 financial year.

32.8 Other operating expenses

Expenditure was below the budgeted amount for the financial year due to less research activities undertaken in the financial year. Stringent cost containment measures were also introduced to ensure the HSRC did not spend beyond the level of research activities undertaken in the financial year. Such costs include water and lights, maintenance costs and rental of offices for the regional offices.

32.9 Depreciation, amortisation and impairment expense

Spending was in line with the budgeted amount.

33 FINANCIAL INSTRUMENTS

33.1 Financial instruments consist of receivables, payables, finance leases and cash and cash equivalents. In case of all financial instruments, the carrying value approximates the fair value based on the discounted cash flow method which was used to estimate the fair value. As at 31 March 2015 the carrying amounts and fair values for the financial assets or liabilities were as follows:

	Notes	March 2015		March 2014	
		Carrying amount R'000	Fair value R'000	Carrying amount R'000	Fair value R'000
Financial assets					
Cash and cash equivalents	1	80 324	80 324	50 681	50 681
Trade and other receivables	2	36 917	36 917	39 595	39 595
		117 241	117 241	90 276	90 276
Financial liabilities					
<i>Measured at amortised cost</i>					
Trade and other payables	8	26 135	26 135	27 673	27 673
Finance lease liability	10	-	-	514	514
		26 135	26 135	28 187	28 187

NOTES TO THE ANNUAL FINANCIAL STATEMENTS continued
for the year ended 31 March 2015

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

33.2 Interest rate risk

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

	Notes	Effective interest rate (fluctuating)	March 2015			March 2014		
			Less than 12 months R'000	1-5 years R'000	Total R'000	Less than 12 months R'000	1-5 years R'000	Total R'000
Financial assets								
Current accounts	1	3.00%	8 260	-	8 260	4 450	-	4 450
Short-term investments accounts	1	5.15%	72 064	-	72 064	46 231	-	46 231
Trade and other receivables	2	0.00%	36 917	-	36 917	39 595	-	39 595
Total financial assets			117 241	-	117 241	90 276	-	90 276
Financial liabilities <i>Measured at amortised cost</i>								
Trade and other payables	8	0.00%	26 135	-	26 135	27 673	-	27 673
Current finance lease liability	10	10.00%-13.5%	-	-	-	514	-	514
Total financial liabilities			26 135	-	26 135	28 187	-	28 187
Net financial assets/(liabilities)			91 107	-	91 107	62 089	-	62 089

33 FINANCIAL INSTRUMENTS continued

33.3 Credit risk

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

	Notes	2015			March 2014		
		Less than 12 months			30 days and older		
		Current R'000	above R'000	Total R'000	Current R'000	above R'000	Total R'000
Trade and other receivables	2	32 336	4 581	36 917	33 821	5 773	39 595
		32 336	4 581	36 917	33 821	5 773	39 595
Percentage analysis		88%	12%	100%	85%	15%	100%

33.4 Liquidity risk

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

33.5 Market risk

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

33.6 Fair values

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

33.7 Cash and cash equivalents

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

33.8 Other receivables from exchange transactions

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



RESEARCH TOWARDS EXCELLENCE

INTERNATIONALLY ACCREDITED
JOURNAL ARTICLES COUNTED
FOR ADEPTS

INTERNATIONALLY ACCREDITED
JOURNAL ARTICLES NOT
COUNTED FOR ADEPTS

JOURNAL ARTICLES -
PEER-REVIEWED (SA & OTHER)
NOT COUNTED FOR ADEPTS

JOURNAL ARTICLES -
NON-PEER-REVIEWED NOT
COUNTED FOR ADEPTS

SCHOLARLY BOOKS COUNTED
FOR ADEPTS

NON-SCHOLARLY BOOKS NOT
COUNTED FOR ADEPTS

SCHOLARLY CHAPTERS IN
BOOKS COUNTED FOR ADEPTS

NON-SCHOLARLY CHAPTERS
IN BOOKS NOT COUNTED FOR
ADEPTS

CLIENT AND OTHER RESEARCH
REPORTS



RESEARCH OUTPUTS

2014/15



INTERNATIONALLY ACCREDITED JOURNAL ARTICLES COUNTED FOR ADEPTS

Addo, O.Y., Stein, A.D., Fall, C.H.D., Gigante, D.P., Guntupalli, A.M., Horta, B.L., Kuzawa, C.W., Lee, N., Norris, S.A., Osmond, C., Prabhakaran, P., Richter, L.M., Sachdev, H.P.S. & Martorell, R. (2015) Parental childhood growth and offspring birthweight: pooled analyses from four birth cohorts in low and middle income countries. *American Journal of Human Biology*. 27:99-105.

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LIST OF ACRONYMS

3IE International Initiative for Impact Evaluation

A

ABEHE Association for Black Empowerment in Higher Education
ADEPTS (Advance, Development, Enhance Performance, Transformation, Sustainability)
AERC African Economic Research Consortium
AFS Annual financial statement
AGI Africa Governance Institute
AISA Africa Institute of South Africa
AMFAR American Foundation for AIDS Research
AMRI Archie Mafeje Research Institute
APP Annual performance plan
ARC Audit and Risk Committee
ASSAF Academy of Science of South Africa
ASTI Agricultural Science and Technology Indicators
ASWSD Accelerating Sustainable Water Services Delivery
ATR Annual training report

B

BBBEE Broad-Based Black Economic Empowerment
BBS Biology and Behaviour Survey
BDIL Business Development and International Liaison
BEE Black Economic Empowerment
BRC BRICS research centre
BRICS Brazil, Russia, India, China and South Africa
BTTC BRICS Think Tanks Council

C

CAO Community advice offices
CAPEX Capital expenditure
CASASP Centre for the Analysis of South African Social Policy
CASS Chinese Academy of Social Sciences
CBVCT Couples-based voluntary counselling and testing
CC Constitutional court
CDC Centers for Disease Control and Prevention
CDE Centre for Development and Enterprise

CEO	Chief executive officer
CESTII	Centre for Science, Technology and Innovation Indicators
CFO	Chief financial officer
CHEC	Cape Higher Education Consortium
CODESRIA	Council for the Development of Social Science Research in Africa
COHORT	Committee of Heads of Organisations of Research and Technology
COJ	City of Johannesburg
CRO	Chief risk officer
CSIR	Council for Scientific and Industrial Research
CUNY	City University of New York

D

DBE	Department of Basic Education
DBS	Dried blood spot
DCEO	Deputy chief executive officer
DED	Deputy executive director
DGSD	Democracy, Governance and Service Delivery
DHET	Department of Higher Education and Training
DIRCO	Department of International Relations and Cooperation
DOH	Department of Health
DPE	Department of Public Enterprises
DR	Doctor
DRDLR	Department of Rural Development and Land Reform
DSD	Department of Social Development
DST	Department of Science and Technology

E

EAP	Employee assistance programme
ECAS	European Conference on African Studies
ECD	Early childhood development
ED	Executive director
EE	Employment equity
EEA	Employment Equity Act
EEP	Employment equity plan
EFP	Employers Federation of Pakistan
EPD	Economic Performance and Development
EPWP	Expanded Public Works Programme
ERM	Enterprise Risk Management
ESD	Education and Skills Development
ESS	European Social Survey
ETDP	Education, Training and Development Practices Seta

F

FSB	Financial Services Board
FWA	Federal Wide Assurance

G

GAIN	Global Alliance for Improved Nutrition
GDP	Gross domestic product
GERD	Gross Expenditure on Research and Development
GIS	Geographic information system
GIZ	German Federal Enterprise for International Cooperation
GRAP	Generally Recognised Accounting Principles

H

HAST	HIV/AIDS, STIs and TB
HCT	HIV counselling and testing
HESA	Higher Education South Africa
HF	Hollard Foundation
HPCSA	Health Professional Council of South Africa
HPTN	HIV Prevention Trials Network
HR	Human resources
HSD	Human and Social Development
HSRC	Human Sciences Research Council

I

ICT	Information and communications technology
IDRC	International Development Research Centre
IEC	Independent Electoral Commission
INFE	International Network on Financial Education
INIGEUS	Impact of Networks, Globalisation and their Interaction with EU
IoDSA	Institute of Directors Southern Africa
IORA	Indian Ocean Rim Association
ISS	Institute for Security Studies
ISSC	International Social Science Council
ISSP	International Social Survey Programme

K

KZN	KwaZulu-Natal
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L

L&D	Learning and development
LAV	Laboratory for the Analysis of Violence
LMIP	Labour Market Intelligence Partnership
LMIS	Labour Market Intelligence System

M

MAF	MAC AIDS Fund
MEDUNSA	Medical University of South Africa
MIMMS	Maternal and Child Morbidity and Mortality Surveillance System of South Africa
MoU	Memorandum of understanding
MRC	Medical Research Council

MSM Men who have sex with men
MTEF Medium-term expenditure framework

N

NADCAB National Alliance for Community Advice Offices
NCCR National Centre of Competence in Research
NCDs Non-communicable diseases
NCFES National Consumer Financial Education
NDA National Development Agency
NDP National Development Plan
NECSA Nuclear Energy Corporation SA
NEPAD New Partnership for Africa's Development
NFVF National Film and Video Foundation
NGO Non-governmental organisation
NHI National Health Insurances
NHREC National Health Research Ethics Council
NICIS National Integrated Cyber-Infrastructure System
NIDS National Income Dynamics Study
NIH National Institutes of Health
NIMH National Institute of Mental Health
NMCF Nelson Mandela Children's Fund
NPC National Planning Commission
NPO Non-profit organisations
NRF National Research Foundation
NSP National Strategic Plan
NWU North West University
NYS National Youth Service

O

OECD Organisation for Economic Cooperation and Development

P

PEPFAR President's Emergency Plan for AIDS Relief
PFMA Public Finance Management Act
PHHSI Population Health, Health Systems and Innovation
PHS Proactive Health Solutions
PPPFA Preferential Procurement Policy Framework Act
PPSRRC Presidential Public Service Remuneration Review Commission
PRC Presidential State-owned Enterprises Review Committee
PROF Professor
PSPPD Programme to Support Pro-poor Policy Development

R

R&D Research and development
RCT Randomised control trial
RDS Respondent-driven sampling

REC	Research Ethics Committee
RIA	Research Use and Impact Assessment
RIAT	Rural Innovation Assessment Toolbox
RMC	Risk Management Committee
RTCHS	Right to Care Health Services

S

SA AIDS	South African AIDS
SAASTA	South African Agency for Science and Technology Advancement
SABSSM 4	South African National HIV, Behaviour and Health Survey, 2012
SABTT	South African BRICS Think Tank
SACAA	South African Civil Aviation Authority
SACSSP	South African Council for Social Services Professions
SADC	Southern African Development Community
SADRN	Southern African Development Research Network
SAHA	Social Aspects of HIV/AIDS and Health
SAHARA	Social Aspects of HIV/AIDS Research Alliance
SANAC	South African National Aids Council
SANHANES 1	South African National Health and Nutrition Examination Study, 2012
SASAS	South African Social Attitudes Survey
SASSETA	Safety and Security Seta
SCA	Supreme court of appeal
SCM	Supply chain management
SET	Science, engineering and technology
SLF	Sustainable Livelihoods Framework
SME	Small and medium-sized enterprise
SOE	State-owned enterprises
STEM	Science, technology, engineering and mathematics

T

TARMII-FP	Teacher Assessment Resources for Monitoring and Improving Instruction for Foundation Phase
TB	Tuberculosis
TENET	Tertiary Education and Research Network of South Africa
THRIP	Technology and Human Resources for Industry Programme
TIMSS	Trends in International Mathematics and Science Study
TRREE	Training and Resources in Research Ethics Evaluation
TUT	Tshwane University of Technology

U

UCLA	University of California, Los Angeles
UCT	University of Cape Town
UMALUSI	Council for Quality Assurance in General and Further Education and Training
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV and AIDS
UNDP	United Nations Development Programme

UNESCO United Nations Educational, Scientific and Cultural Organisation
UNICEF United Nations Children's Fund
UNISA University of South Africa
UPP Pacifying Police Unit
USAID United States Agency for International Development

V

VPUU Violence Prevention through Urban Upgrading

W

WHO World Health Organisation
WSP Workplace skills plan
WSSF World Social Science Forum
WSW Women who have sex with women

Y

YiSS Youth into Science Strategy

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THROUGH RESEARCH



“I have
walked
that long
road to
freedom.

I have tried not to falter; I have made missteps along the way. But I have discovered the secret that after climbing a great hill, one only finds that there are many more hills to climb. I have taken a moment here to rest, to steal a view of the glorious vista that surrounds me, to look back on the distance I have come. But I can only rest for a moment, for with freedom come responsibilities, and I dare not linger, for my long walk is not ended.”

Nelson Mandela

