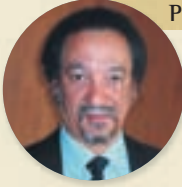


HSRC COUNCIL



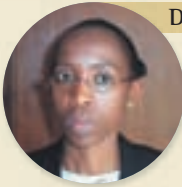
Professor Jakes Gerwel (Chair)

Chancellor, Rhodes University; Distinguished Professor, University of the Western Cape; Honorary Professor, University of Pretoria; Chairperson, Nelson Mandela Foundation and Mandela Rhodes Foundation



Dr Mark Orkin

HSRC President and Chief Executive Officer; former Head of Statistics South Africa



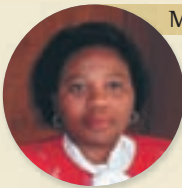
Dr Nolulamo Gwagwa

Independent consultant; former Chief Executive Officer of the Independent Development Trust and Deputy Director-General in the National Department of Public Works; Board member: FirstRand, Airports Company of SA, SA Post Office



Mr Enver Motala

Independent consultant for prominent institutions such as the W.K. Kellogg Foundation, CSIR, CHE, SAUVCA, CEPD, Nelson Mandela Foundation and DTI



Mrs Nonhlanhla Jordan

Chief Executive Officer of the Women's Development Foundation



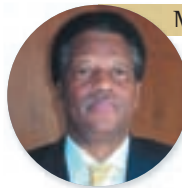
Mrs Phumelele Ntombela-Nzimande

Acting Director-General, Postal Policy, Department of Communications; member of the University of KwaZulu-Natal Council



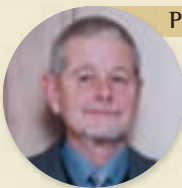
Dr Vincent Maphai

(until 31 October 2003)
Chairman of BHP Billiton South Africa Ltd



Mr Max Sisulu

Group General Manager of Sasol; former Deputy Chief Executive Officer, Denel (Pty) Ltd; Board member: Imperial Holdings, Stocks Building Africa; member of Economic Advisory Council to Premier of the Free State Province



Professor Wally Morrow

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



FROM THE CHAIR



The term of the current Council expired in October 2003. Members were requested to continue for a further period beyond that date so that the Institutional Review could be concluded and a new Council constituted in accordance with any relevant findings or recommendations from the Review.

The Review panel had duly reported but with the national elections intervening and a new Minister being appointed the term of the current Council was extended for a further period until October 2004.

This Council approaches the end of its extended term confident that the organisation it hands over to the next Council is a significantly different and transformed one. This has been borne out by the findings of the Institutional Review led by a panel of international and local experts.

We had seen it as one of our major tasks to oversee the transformation of the HSRC into an organisation more fully in concert with and attuned to the nature, challenges and demands of the new democratic dispensation in the country. This process of change would include such aspects as the increased participation of black and women researchers at all levels in the organisation; a thorough review of how the organisation is structured in order to best respond to the research needs of the country; an institutional contemplation and understanding of what the societal values of non-racialism, non-sexism and equality imply for the mandate and functioning of an organisation as the HSRC.

We had the privilege of working with a management team - consisting of the CEO and senior researchers and administrators - who remained open to, in fact welcomed constant engagement by Council on those and other themes. While matters of corporate governance were obviously key part of our fiduciary duties, the engagement on issues relating directly to the science and knowledge production functions of the organisation represented some of the most meaningful and fulfilling aspects of our term of office.

The ultimate test for a science council resides in the quality of its research work and outputs. Throughout its term Council continued to be in dialogue with the senior research management team about questions of quality and quality assurance. The conversations about quality went beyond issues of measurability like peer-reviewed publications, number of reports and other such measures. It touched on the nature of knowledge production, the relationship between commissioned research and more basic enquiry and theory building, the question of voice giving through science to marginalised sectors of society, the interaction between science councils and other institutions of knowledge production, and many more related themes.

There is always need for further work, improvement and progress, as the Review also indicated. Council is convinced and satisfied that the Human Sciences Research Council has made great progress in all areas relevant to its transformation into a science council fit for the purposes of a democratic South Africa. This Annual Report highlights those achievements and accomplishments in the pages that follow.

We need to acknowledge the CEO, Dr Mark Orkin, his management team and the entire staff. The process of change invariably and inevitably places strains on an organisation. The HSRC managed to cope with those strains in an exemplary collegial and professional manner.

The support we received from the Ministry and Department was a very important ingredient in driving change and maintaining quality functioning. Their support and approach to the HSRC gave evidence of government's appreciation of the role of social science in policy development and policy analysis.

We thank Cabinet for the opportunity and pleasant task of serving on the Council of the HSRC. We trust that we in some way repaid the faith placed in us and that our successor Council will find an organisation in good shape and well equipped for its future task.

A final word of thanks and appreciation to my fellow members of Council. It was a rare privilege to work with such a task-focused, non-egotistical and insightful team of people.

Professor G.J. Gerwel, Chair

FROM THE CEO



The most conspicuous feature of the HSRC's transformation over the last four years has been our soaring research earnings. These have increased *seventeen-fold* over the four financial years ending March 2004, from R6 million to R103 million. They now exceed our Parliamentary grant, which increased from R64 million to R70 million over the period. (The trends are illustrated in Figure 1 on page 96, in the Council's Report.)

This increase in research earnings has both internal and external significance for the HSRC as a public-interest social-research organisation within the national system of innovation.

Internally, the earnings growth has enabled us to take on new researchers, and thus expand our services to our users, much faster than our Parliamentary grant would have allowed. In our recruitment we have emphasised researchers who are both senior, to conduct our distinctive kind of projects, and black, to undo the legacy of an historically white apartheid institution. Externally, the earnings growth attests that our users, predominantly in the public sector, find our research outputs increasingly useful for tackling the development challenges of our nation and our continent. This was confirmed in a recent user survey which also indicated that the research results often had a pleasingly direct impact.

The earnings are derived from competitive tenders, direct

commissions and grants from development agencies and foundations. These occur in roughly equal shares, as seen in Figure 2 on page 99. Our grants are evenly divided between local and international sources, as shown in Figure 3 on page 100.

We report annually on our progress regarding these and other aspects of our transformation to the Minister and his Department of Science and Technology (DST), using an extensive suite of quantitative indicators (Table 6 on page 114) and some qualitative ones. But each year, in this Message, I present a subset of six key indicators, set out in Table A on page 5.

The indicators are arranged under the headings of our COUPE transformation strategy: contracts and earnings, outreach to collaborators, user-orientation, performance in researcher race-equity and administrative efficiency, and excellence in scientific publications. The targets are reviewed and revised each year.

Four years on, we have met or exceeded five of our six targets, and are close on the sixth. In some instances it makes sense not to continue raising the bar, such as the proportion of tenders won; in others continuing progress is demanded, such as the share of black researchers.

These indicators show *that* we have decisively transformed in respect of the main shortcomings identified by the 1997 Institutional Review. This found the HSRC of the time to be inward looking, unrepresentative in its staff, bureaucratically bloated and producing outputs of dubious quality or relevance to users. But the improved indicators do not tell *how* our transformation has come about: the processes underlying the numbers. In particular, for several years before 2000, earnings did not exceed R15 million. Given an annual real decline in Parliamentary grant, the organisation undertook successive downsizings. Just how did we reverse this downward spiral?

Reflecting on the last four, heady years, one may identify several key ingredients – provided variously by design, effort or good luck. They can usefully be arranged under the headings of the famous McKinsey's "seven-S" model.

Our **strategy** has been to focus relentlessly on the COUPE commitments: Contracts and grants, Outreach to collaborators, User-orientation, Performance regarding efficiency and equity, and scientific Excellence. COUPE not only embodies key performance indicators for the organisation, it provides the framework in which every member of staff formulates objectives and is assessed. Within COUPE the leading commitment has been our user-orientation, which pulls all the others into line. Thus, research for users is funded primarily through contracts and grants, which are won by excellent research, built on qualified



staff and imaginative collaborations; representative staffing, to demonstrate an adequate understanding of our country's challenges; and a lean and effective administration.

We have not found that our user-orientation traps us in superficial and short-term contracts. Rather, South Africa's development challenges pose profound social-scientific research issues, evidenced in the scale and duration of many of our projects. At the same time as producing project reports, we have tripled our *per capita* output of refereed publications in scientific journals over the past four years.

Demand for our services was greatly increased by our introducing a novel **structure**, of radically inter-disciplinary "new priority areas", as the ten research programmes were initially called. For example, Integrated Rural and Regional Development includes researchers from economics, political science, demography and sociology. This structure enables us flexibility to constitute research teams within – and often across

– the programmes, to tackle the astonishing variety of research problems posed by our users.

In the last financial year we undertook some 250 projects in South Africa and 30 other African countries. The majority were implemented in collaboration with fellow science councils, universities and civil-society research agencies. Research Highlights are mentioned on pages 12 to 16. Large-scale, multi-year, multi-country studies have become our particular forte. Our fourteen largest projects, listed on page 101, account for 60% of research earnings. At the other extreme, a user may also have us research an economic development plan for a single rural municipality.

Our **staff** have comprised a further success factor. We demand a daunting mix of attributes of our researchers, and especially the Executive Directors (EDs) of the research programmes. They have to shape the vision of their programmes, win grants, present and publish, interact with users and funders,

	2000/01 baseline	2001/02 achievement	2002/03 achievement	2003/04 target	2003/04 achievement
Contracts:					
External research earnings as percentage of total research income	21	31	50	59	62 ✓
Outreach:					
Percentage of projects with external participation	22	62	51	55	62 ✓ ✓
Users:					
Percentage of successful competitive tenders	24	32	33	34	40 ✓ ✓
Performance – Equity:					
Percentage of black researchers	40	45	48	50	*51 ✓
Performance – Efficiency:					
Percentage of researchers in total staff	30	52	56	60	58 ✗
Excellence:					
Refereed journal articles, per researcher	0,23	0,23	0,55	0,60	+ 0,67 ✓ ✓

Table A: COUPE strategy and sentinel indicators

✗ = target not achieved

✓ = achieved target

✓ ✓ = appreciably exceeded target

* = 60% including research interns

† = 2,32 articles per researcher including non-refereed journals and chapters in books

manage their programmes' finances and human resources, mentor younger researchers, and also participate in building the wider organisation.

This mix reflects the determinedly hybrid nature of the HSRC, which is similar in some respects to universities, professional consultancies, non-governmental organisations and government departments, and differs in other respects from all of these. Our expectations of our support staff have been equally arduous, for continuous innovation to cope with our expansion and increasingly sophisticated needs, while supporting the organisation's expansion into five centres.

High levels of **skills** are demanded in a knowledge-intensive organisation. We have improved the proportion of Masters and Doctoral graduates among our permanent researchers from 64% to 91% over the four years. And rather than compete with tertiary institutions in the present situation of under-supply, we have developed a large research internship programme. We have some 30 research interns at any time, overwhelmingly black, who complete their Masters or Doctoral degrees at university using aspects of our projects for their thesis topics. All staff have access to a bursary scheme and extensive study leave, and researchers have additional time earmarked for professional development.

The leadership has thrived because of our **style**, which is both organisationally devolved and geographically dispersed. The EDs shape their research work-programmes with their staff; own and regulate their finances; and hire and (when necessary, occasionally) dismiss their staff, within the parameters and policies of the organisation, which themselves have been dramatically pruned. Extensive delegations given by the Council, through the CEO to EDs and their section heads, maximise the autonomy of research activity.

From the start of the restructuring, we presumed that "geography is dead", as an American business guru has put it. Half the EDs are not based in the Pretoria office. Any research programme may be spread across several of the HSRC's five centres, and its staff often meet using our videoconference facility. This has allowed us to attract talent wherever it is located. The principle has recently been extended to support services, and our finance function is now headed from Cape Town.

The least celebrated, and perhaps most difficult, aspect of transformation is the construction of enabling **systems**. Our most pervasive system is our annual strategic cycle. Following planning sessions in each programme, a large November conference identifies external priorities (such as were described in the Government's Ten Year Review) and fosters collaborations. A follow-up in January helps the CEO determine earnings

targets, staff expansion and representivity quotas, and shares of the Parliamentary grant. The Council reviews the overall programme, and takes it for approval to the Minister. Large projects are subjected to external scholarly review, and all proposals are scrutinised by the HSRC's internationally accredited ethics committee.

Each ED subsequently monitors implementation, aided by an online "dashboard" of financial and human-resources information. In fortnightly sessions information is shared and tender opportunities considered. The CEO and Council have a quarterly overview, which they send to DST. After the audit of the previous financial year is completed, key performance indicators are compiled for the Minister, his department, and the respective Parliamentary portfolio committee. Soon it is time to submit high-level funding proposals for the next Parliamentary grant, using the Government's Medium Term Expenditure Framework. And then the planning sessions in each programme begin again.

The actual research is supported by other new systems: a "virtual" library, a rich intranet that provides online access to all the organisation's information resources, and a digitally-based publications function. The administrative and technical staff that have developed all these new systems have been limited to approximately 40% of the total complement.

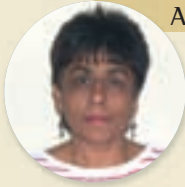
The last ingredient refers to **shared values**. These are expressed in COUPE, and communicated in our slogan of "social science that makes a difference". It captures our statutory mandate to undertake policy-relevant research of benefit to all South Africans.

These seven "S" factors have combined with powerful effect in driving and sustaining our transformation. Based on such considerations, the 2003 Institutional Review (summarised on page 90) concluded that the HSRC is now a "different and much better organisation in important respects than the HSRC of 1997". The Review proposed a number of further improvements, notably more extensive and institutionalised networking with other institutions in the research arena, enhanced management systems, and an updated statute reflecting the public purposes of the organisation on page 90. Task teams and an action plan have been defined to address these, guided by the incoming Council. Some of the appreciable increase in the Parliamentary grant has been assigned to the process. The organisation is now powerfully equipped to rise to the new challenges, while sustaining its hugely expanded services to its users.

Dr Mark Orkin, President and CEO



EXECUTIVE DIRECTORS 2003/04



ATEE

Assessment Technology
and Education Evaluation

Dr Vijay Reddy (Acting)

D.Ed, University of Durban-Westville
Education assessment techniques, policy
development and school improvement
strategies

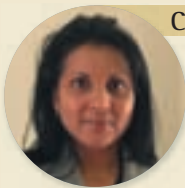


HRD

Human Resources Development

Dr Andre Kraak

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

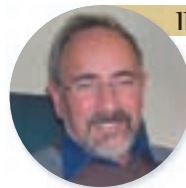


CS

Corporate Services

Mrs Roshani Rampersadh

BSc, University of Natal
B.Com, University of South Africa
Company Directorship
Financial, human capital, information and
strategic management

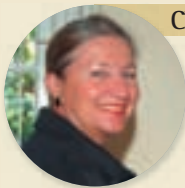


IRR

Integrated Rural and
Regional Development

Mr Mike de Klerk

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

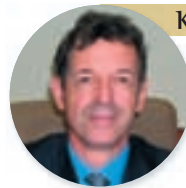


CYFD

Child, Youth and Family Development

Professor Linda Richter

PhD, University of Natal
Research to support human development
and the creation of safe environments for
children, youth and families



KM

Knowledge Management

Professor Michael Kahn

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



D&G

Democracy and Governance

Professor Roger Southall

(Directorship effective until 31 March 2004)
PhD, University of Birmingham
D&G, Democratisation and African and
South African politics, political economy
and foreign policy



SAHA

Social Aspects of HIV/AIDS and Health

Dr Olive Shisana

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



D&G

Democracy and Governance

Professor Adam Habib

(Directorship effective from 1 April 2004)
PhD, City University of New York
Political studies, labour market analysis,
development strategy and policy
assessment

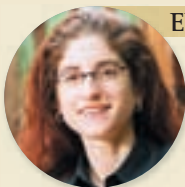


SAMM

Surveys, Analyses, Modelling
and Mapping

Dr Udesb Pillay

PhD, University of Minnesota
Urban and political geography, urban
development, local government reform,
local economic development, electoral
geography and public opinion analysis



EEPR

Employment and Economic
Policy Research

Dr Miriam Altman

PhD, University of Manchester
Employment policy, regional integration
and poverty reduction



SCI

Social Cohesion and Integration

Dr Wilmot James

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

SPECIALIST RESEARCHERS

June 2004



Dr Michael Aliber

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



Professor Yaw A. Amoateng

PhD, Brigham Young University
CYFD – Family sociology and demography



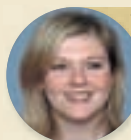
Mr Fabian Arends

BA Hons, University of South Africa
Diploma in Business Management,
University of Natal
HRD – Education management information systems, data collection, auditing, analysis and integration of quantitative and qualitative data, design of education indicators



Dr Azeem Badroodien

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



Dr Kristina Bentley

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



Professor Arvin Bhana

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



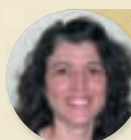
Mr William Blankley

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



Dr Mignonne Breier

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



Dr Heather Brookes

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



Dr Janet Cherry

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



Professor Linda Chisholm

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



Dr Nicolaas Claassen

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



Mr Michael Cosser

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



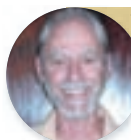
Ms Catherine Cross

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



Professor John Daniel

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



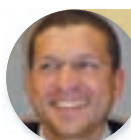
Professor Andy Dawes

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



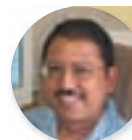
Mr Chris Desmond

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



Mr Phillip Dexter

M.Phil, University of Cape Town
SCI – Social fabric study/social cohesion, societies in transition and re-intergrating the city



Dr Rubby Dhunpath

PhD, University of Durban-Westville
ATEE – Head of Language and Literacies Studies – Critical language literacies, multilingualism, organisational behaviour and identity, life history research and research ethics



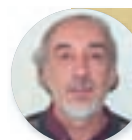
Dr Scott Drimie

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



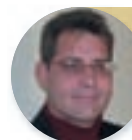
Dr Rénette du Toit

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



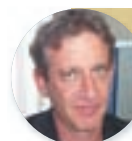
Dr Tony Emmett

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



Dr Johan Erasmus

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



Professor Melvyn Freeman

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



Dr Jeanne Gamble

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



Mr Adrian Hadland

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



Dr Gerard Hagg

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



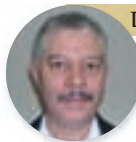
Mrs Elsje Hall

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



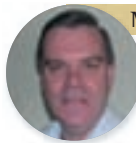
Dr David Hemson

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



Dr Gregory Houston

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



Mr Richard Humphries

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



Dr Mbithi wa Kivilu

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



Ms Sharon Kleintjies

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



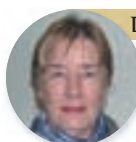
Dr Pieter Kok

PhD, University of Pretoria
IRRD – Regional human resource flows



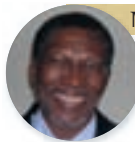
Dr Glenda Kruss

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



Dr Jane Kvalsvig

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



Mr Moeketsi Letseka

MEd, University of the Witwatersrand
HRD – Higher education



Mr Mahlubi Mabizela

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



Dr John Mafunisa

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



Ms Kgobate Magome

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



Dr Monde Makiwane

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



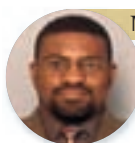
Dr Kealeboga Maphunye

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



Mr Kgabo Masehela

MEd in Science Education,
Rhodes University
ATEE – Project management, evaluation research and assessment theory



Mr Xola Mati

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



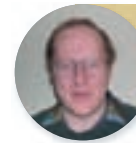
Ms Marina Mayer

M.Com (Economics), University of the Witwatersrand
Development economics, project management, trade policy, industrial development, employment, restructuring and regional economic development



Mrs Ntombizodwa Mbelle

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



Dr Simon McGrath

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



Professor Simphiwe Mini

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



Ms Percy Moleke

MA (Economics), Georgia State University
EEPR – Labour market analysis, education and work and labour market training/skills development



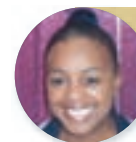
Dr Sagren Moodley

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



Dr Seán Morrow

DPhil, University of Sussex
D&G – Liberation movements in South and southern Africa and their impact on contemporary society, NGOs/civil society, and changing education in South Africa



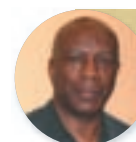
Dr Thabang Mosala

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



Ms Sanusha Naidu

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



Dr Mokubung Nkomo

Ed.D, University of Massachusetts
ATEE – International and comparative education, education management, education policy and school reform



Dr Andrew Paterson

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



Dr Marlene Roefs

PhD, University of Amsterdam
SAMM – Public participation, political transformation, local governance, public opinion and methodology



Dr Eric Udjo

PhD, University of London
SAHA – Demographic analysis and HIV/AIDS impact modeling



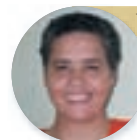
Dr Sulochini Pather

PhD, Canterbury Christ Church University College, UK
KM – Sustainable inclusive education development in South Africa, rural education, research methodology, evaluation and curriculum policy development



Dr Stephen Rule

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



Ms Heidi van Rooyen

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



Professor Karl Peltzer

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



Dr James Sakwa

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



Mr Johan van Zyl

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



Professor Inge Petersen

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



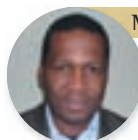
Ms Marguerite Schneider

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



Ms Jocelyn Vass

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



Mr Makola Phurutse

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



Professor John Seager

PhD, University of Wales
SAHA – Human development and health



Ms Mariette Visser

BA Hons, University of Pretoria
HRD – Land and agrarian reform, information systems, education indicators and data analysis



Professor Cheryl Potgieter

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



Professor Leickness Simbayi

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



Dr Cheryl Walker

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



Dr Cas Prinsloo

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



Dr Donald Skinner

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



Dr Ingrid Woolard

PhD, University of Cape Town
EEPR – labour market dynamics, social security and poverty and inequality



Ms Sharmla Rama

MA, University of Natal
CYFD – Child monitoring, school transport systems and early childhood education



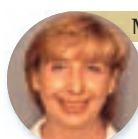
Mrs Jaré Struwig

MA, University of Pretoria
SAMM – Surveys and research methodologies



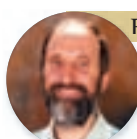
Mr Jeff Zingel

MSc, Economics University College (UCL) London
D&G – Governance, local government and delivery, commonage and small town development, land reform and farm labour-DPLG research co-ordination



Ms Maxine Reitzes

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



Professor Leslie Swartz

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



Mr Khangelani Zuma

MSc, Limburgs University
SAMM – Statistics, Bayesian simulation methods and modelling infectious diseases and HIV/AIDS



A SELECTION OF RECENT USERS AND FUNDERS

Academy for Educational Development	Government Communication and Information System
Africa Strategic Research Corporation (Pty) Ltd	Howard University
Atlantic Philanthropies	Independent Electoral Commission
British Council	JET Education Services
Business Against Crime	Joint United Nations Programme on HIV/AIDS
Canadian International Development Agency	Konrad Adenauer Foundation
Carnegie Corporation of New York	Mangaung Local Municipality
Cato Manor Development Agency	Media Development and Diversity Agency
Center for Disease Control and Prevention	Micro Finance Regulatory Council
Center for Policy Research	Mining Qualifications Authority
Centre for Development Support	Molteno Project
Charles Stewart Mott Foundation	Mpumalanga Department of Education
Chemical Industries Education and Training Authority	National Business Initiative
City of Tshwane	National Roads Agency
Community Mental Health	Nelson Mandela Children's Fund
Conference, Workshop and Cultural Initiative	Nelson Mandela Foundation
Fund (EU and National Treasury)	Nordic Africa Institute
Department for International Development (UK)	Ntsika Enterprise Promotion Agency
Department of Arts and Culture	Open Society Foundation for South Africa
Department of Communications	Organisation Development Africa
Department of Education	Oxfam GB
Department of Health	Pennsylvania State University
Department of Labour, EU Labour	Research Triangle Institute
Market Skills Programme	Royal Danish Embassy
Department of Provincial and Local Government	Royal Netherlands Embassy Development Cooperation
Department of Public Works	Save the Children Sweden
Department of Science and Technology	Services SETA
Department of Social Development	SOS Children's Villages Association of South Africa
Department of Trade and Industry	South African Democracy Education Trust
Department of Water Affairs and Forestry	Swedish International Development
Deutsche Gesellschaft für Technische Zusammenarbeit	Co-operation Agency
Eastern Cape Department of Economic	Swiss Agency for Development and Cooperation
Affairs, Environment and Tourism	TEBA Bank
Eastern Cape Socio-Economic Consultative Council	Umsobomvu Youth Fund
Education Labour Relations Council (ELRC)	United Nations Children's Fund
Education, Training and Development Practices	United Nations Development Programme
Sector Education and Training Authority	United Nations Economic Commission for Africa
Ethekwini Water	United Nations Educational, Scientific and Cultural
European Union	Organization
Family Health International	Universal Service Agency
Finmark Trust	University of Connecticut
Food and Agriculture Organisation	University of KwaZulu-Natal
for the United Nations	University of Michigan
Ford Foundation	University of the Free State
Forest Industries Education and Training Authority	Wellcome Trust
Fort Hare Foundation	Wenner Gren Foundation
Gauteng Provincial Legislature	W.K. Kellogg Foundation
Giscoe (Pty) Ltd	World AIDS Foundation
GOPA Consultants	World Health Organization



RESEARCH HIGHLIGHTS

During 2003/04 the ten Research Programmes of the HSRC were engaged in about 300 research projects at different stages of progress and of a remarkable variety, mostly intended to serve our main goal, namely to do 'social science that makes a difference' to the people of South Africa and the region.

These projects were supported by funds from many local and international sources, including Parliament. Here are some of the highlights of the year. More examples and details may be found in the other sections for each Research Programme and on our website at www.hsrc.ac.za.

Assessment Technology and Education Evaluation (ATEE)

- ATEE hosted the international meeting of the Trends in International Mathematics and Science Study (TIMSS 2003) in November 2003 in Cape Town, and delegates from the participating countries all attended. TIMSS is an international study to ascertain the performance levels of Grade 8 learners in mathematics and science across more than 50 countries. The emphasis of the analysis is on using data to provide information to South African policy-makers and practitioners. In the secondary data analysis, we incorporated data on poverty and examined how issues of poverty affect achievement scores. The TIMSS 2003 report will be released in December 2004.
- ATEE was requested to develop Assessment Resource Banks (ARBs) in numeracy and literacy for the Intermediate Phase (Grades 4 to 6) as part of the successful Assessment Modelling Initiative (AMI). The ARBs were developed and educator training was provided. An implementation assessment was conducted for Grade 3 learners at the end of 2003 to determine the sustainability of three years of interventions.
- The Psychological Assessment Unit, one of the four research foci of ATEE, undertook a research project, Psychological Test Development: A Needs Assessment. The study consisted of a comprehensive survey of the practices and needs of psycholog-

ical practitioners and key stakeholders regarding psychological assessment instruments. The study included a national survey by questionnaire, focus-group interviews with practitioners, and individual interviews with key stakeholders in the field. It is expected that the report will provide the necessary information to enable management to determine how the HSRC should be involved in this area.

Child, Youth and Family Development (CYFD)

- A comprehensive report on the *State of Children in Gauteng*, was commissioned by the Office of the Premier. It was researched and written in collaboration with partners at universities and NGOs. The report examined, amongst others, health issues, education, justice, children in poverty and the girl child.
- CYFD undertook a national survey of youth issues for the Umsobomvu Youth Fund. The survey covered education, employment, poverty, health, gender and civic engagement. The survey findings, *State of the Youth Report*, will be published by the HSRC in 2004.
- A multi-country trial of Community-Based Voluntary Counselling and Testing (VCT) was started, with CYFD leading the site in Vulindlela, KwaZulu-Natal. This is the first behavioural trial in the world to examine the impact of VCT on sero-incidence, and includes a substantial costing element.
- A project was completed for Business Against Crime to examine Victim Support Programmes in several provinces – these include counselling and other services, especially targeted at women.
- CYFD collaborated with colleagues in IRRD to examine human factors in the success of service delivery projects, as exemplified by water and sanitation projects in KwaZulu-Natal.
- Two books were published by CYFD, namely *Changing Class; Education and Social Change in Post-Apartheid South Africa*, written by Linda Chisholm, and *Sexual abuse of young children in southern Africa*, edited by Linda Richter, Andy Dawes and Craig Higson-Smith.



Minister of Science and Technology, Mr Mosibudi Mangena, opened the annual HSCR Winter Research Conference. He is shown from left with: Dr Kealeboga Maphunye, D&G; Dr Mirriam Altman, Executive Director of EEPR; Professor Linda Richter, Executive Director of CYFD; Dr Olive Shisana, Executive Director of SAHA; Dr Mark Orkin, CEO; Minister Mangena; Professor Adam Habib, Executive Director of D&G; Dr David Hemson, IRRD; Dr Vijay Reddy, Acting Executive Director of ATEE and Professor G J Gerwel, Chair of Council.

Democracy and Governance (D&G)

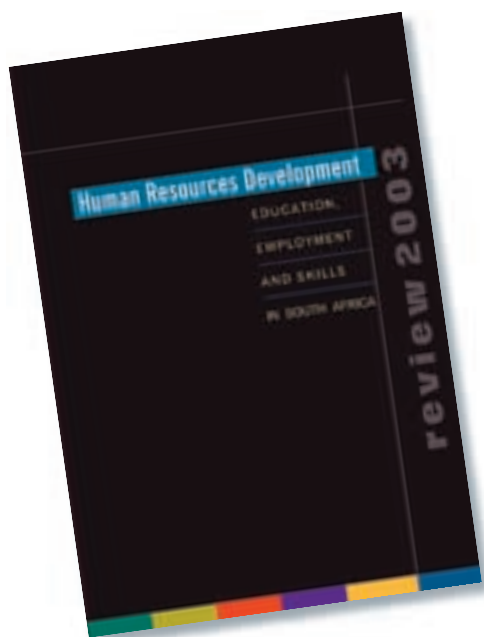
- D&G edited and co-ordinated *State of the nation: South Africa 2003/04*, the first in a series of annual publications. The volume comprises 17 original essays focusing on the current political, social and economic developments in South Africa. It featured both HSRC and non-HSRC authors, and was designed to encourage reflection and debate.
- D&G was invited to coordinate a workshop on ten years of democracy in South Africa for the internationally renowned *Review of African Political Economy*. A special edition based on the proceedings, featuring HSRC as well as university based academics, appeared in August 2004.
- D&G led a consortium of four research organisations (D&G, the Centre for Public Participation, the Centre for Policy Studies and the Institute for Democracy in South Africa) in the production of four issues of *Election synopsis*. These featured punchy analysis of the 2004 general and provincial elections, as well as providing extensive coverage of the elections.
- The Durban members of D&G pioneered studies in the Mapping and Analysis of Post-Apartheid South Africa's Corporate Expansion into Africa. Findings were reported in *State of the nation* and a number of popular publications.
- D&G researchers presented an analysis of the current system of allocation of powers and functions to municipal, provincial

and national governments for the Department of Provincial and Local Government.

- The Bloemfontein office of D&G undertook a study on The Role of Farm Workers' Unions in Land Reform for the Food and Agriculture Organisation.

Employment and Economic Policy Research (EEPR)

- The EEPR was actively involved in improving the availability of information that enables Government, institutions and individuals to make effective decisions. This included work in the chemicals, mining, forestry and services industries, and with the Department of Labour to improve skills forecasting methodologies. Currently it is working with the Ethiopian Government to produce forecasts of middle level skills to support planning for its vocational education system.
- The Programme continued to pursue its work in contributing to methodologies and gathering empirical information on the impact of HIV/AIDS on industries and the economy. The work is meant to ultimately inform industry-wide strategy to combat HIV/AIDS. It received financial support from the Joint Centre for Political and Economic Studies, Swedish International Development Co-operation Agency (Sida) and the Department of Labour.



- EEPR and Mintek co-operated to offer support to the Department of Science and Technology's Resource Based Technology Cluster strategy. This programme focuses on how innovation and diversification in inputs industries are leveraged off the needs of large resource based companies.
- The EEPR has supported promoting procurement as a growth and black empowerment strategy. The procurement of large firms, state-owned enterprises and the state should be an important influence on industrial diversification. EEPR has built thinking about these approaches into a number of its projects, not least in supporting key resource-based companies in Mpumalanga to move toward collaborative strategies.
- Employment through the stimulation of construction, social services and food, has been part of Government's RDP agenda. In 2003/4, EEPR produced a number of papers, and supported the Department of Public Works in policy formulation and in the design of a monitoring and evaluation framework for the Expanded Public Works Programme.
- EEPR supported Government in framing policy strategies for services sectors in both the public and private domains to meet growth and equity targets.
- EEPR continued its process, initiated in 2002, to improve tracking of employment and unemployment statistics, in co-operation with key government departments, the Presidency, the Reserve Bank and Statistics South Africa.
- The process of initiating employment scenarios will be a flagship in the EEPR, enabling the development of evidenced-based employment and unemployment scenarios. This is a multi-disciplinary project that looks at the labour market, demand conditions, and the character of economic linkages. We intend to develop a tool that should enable the assessment of policy interventions and policy balance.

Human Resources Development (HRD)

- The first phase of projects funded by the Department of

Science and Technology, through a generous ring-fenced grant of R5 million per annum over the past three years, came to a very successful conclusion in March 2004 with the launch of four substantive research outputs, namely three inter-related books, and a website on human resources development and skills in South Africa.

- An important visitor, Professor Michael Young of the Institute of Education, University of London, was appointed Visiting Fellow at the HSRC for four months in early 2004. He worked with Jeanne Gamble on developing an analysis of the different curriculum options that might be developed for the Further Education and Training (FET) sector. The project did not undertake empirical research but drew on previous international and South African research. Its aims were to stimulate discussion on a range of issues relevant to the future FET curriculum in South Africa and to provide tools and concepts for analysing and thinking about curriculum alternatives.
- The above-mentioned project commissioned papers by a number of South African specialists on topics related to the FET curriculum. These papers were discussed during a workshop in Cape Town on 17 to 18 March 2004 and ideas were taken forward at a colloquium held in Pretoria on 21 April 2004 to which policy stakeholders at national and provincial level were invited. The project will culminate in a book that approaches the FET curriculum from a knowledge perspective. The book is aimed at both the local and international market.
- The second important visitor was Hugh Lauder, Professor of Education at Bath University and a leading international scholar on skill formation systems. Professor Lauder was the keynote speaker at the book launch of the *HRD Review 2003* and at the two HRD Colloquia held in Pretoria and Cape Town in late March 2004 to stimulate debate about the Review's key findings. The costs of Professor Lauder's visit and colloquia were generously borne by the British Council.

Integrated Rural and Regional Development (IRRD)

- IRRD played a leading role in research for the Presidency's Ten Year Review of democracy in South Africa – two demanding exercises led by IRRD but undertaken with several other research programmes to help assess the impact of public sector programmes on poverty.
- IRRD received a commission from the Department of Science and Technology to undertake a survey and analysis of initiatives in the public and private sectors that involve the use of innovative technology for poverty reduction. The Council for Scientific and Industrial Research (CSIR) and the University of



The Ford Foundation has funded some important HSRC projects. Here Mr Gerry Salole (second from left), the southern African regional representative of the Ford Foundation, attended the launch of a book the Foundation has sponsored. With him is Professor Linda Richter (left), Executive Director of CYFD, Dr Olive Shisana, Executive Director of SAHA, and Mr William Okedi, Programme Officer, Sexuality and Reproductive Health, also from the Ford Foundation.

Fort Hare were major partners, and participants came from a wide range of other bodies, including five historically disadvantaged universities

- The Programme won a tender from the Department of Agriculture to assist it with the analysis, design and development of a model for a Food Insecurity and Vulnerability Information and Mapping System (FIVIMS) for South Africa. IRRD's major partners, in this instance, are the CSIR and the Agricultural Research Council (ARC), but three universities and several NGOs and private sector organisations are also participants.
- A Memorandum of Understanding was signed with the World Conservation Union (IUCN) to form the platform from which to undertake joint research, focused initially on land restitution and environmentally protected areas in South Africa.
- The Southern African Regional Poverty Network (SARPN) website met with extraordinary success. Support was received from international donors for SARPN, and the network has undergone an evolution from an HSRC project into a regionally inclusive, independent NGO.

Knowledge Management (KM)

- The publication of *Flight of the Flamingos*, a study on the mobility of Research and Development (R&D) personnel conducted for the National Advisory Council on Innovation, received wide media coverage as it deals with topics of current national interest. KM expects to maintain an ongoing interest in the mobility question, as it is a central aspect of the vitality of the national system of innovation.
- The design, conduct and compilation of the national survey of R&D inputs for the Department of Science and Technology was complex and labour intensive work that involved con-

siderable learning on KM's part, as well as on the part of the respondent communities, many of whom were completing such a questionnaire for the first time. Added to the complexity of the task was the policy ferment characterising the higher education sector, as well as the pressures that the business community experiences. It is now intended that the survey will become an annual event, with the depth of the questionnaire alternating between 'lite' and 'full-bodied'.

- This R&D work for the Department is now being recognised as sufficiently important for KM to be requested to develop and house a national resource, namely the Centre for Science, Technology and Innovation Indicators (CeSTII) for which purpose ring-fenced annual funding of an initial R4,5 million is being provided.

Social Aspects of HIV/AIDS and Health (SAHA)

- The five-year project, Strategy for the Care of Orphans and Vulnerable Children (OVC) in Botswana, South Africa and Zimbabwe, funded by the W.K. Kellogg Foundation is the largest project in the HSRC, with a budget of over R53 million. The main aim of the project is to identify evidence-based best practice OVC interventions and to reduce HIV infection. Excellent progress has been made on the project in all three countries and the W.K. Kellogg Foundation has now decided to provide additional funding to extend the project to Lesotho, Mozambique and Swaziland. The participation of policy-makers, researchers, NGOs and academics in jointly generating knowledge, planning its use and participating in its implementation is extremely rewarding. This is social science that makes a difference in action.
- The project on theory-based HIV/AIDS risk reduction counselling in South Africa has tested a 60-minute, theory-based,

HIV/AIDS risk reduction counselling strategy for sexually transmitted infection (STI) patients presenting with repeat infections. It is funded by the World AIDS Foundation (WAF) and co-funded by the University of Connecticut through a grant from the National Institute of Mental Health (NIMH) with a budget of R1 million. Overall, the counselling demonstrated significantly greater use of HIV protective behavioural skills, a greater proportion of protected sexual occasions, and greater likelihood of HIV testing following counselling, compared to the information/education comparison. SAHA is now involved in behavioural intervention research.

- A two-year ground-breaking study on the determinants of demand and supply of educators in public schools and further education training colleges, aims to understand the determinants of attrition and its relation to the demand for educators by the system. The Education Labour Relations Council (ELRC) funds the study with a budget of R21 million. An important feature is that the study resulted from a demand by policy-makers for better evidence for decision-making. It is guided by a technical task team involving all the teacher trade unions, the South African Council for Educators, the Department of Education, higher education institutions responsible for training teachers, the HSRC, the Medical Research Council and the University of Natal Mobile Task Team on HIV/AIDS and Education. This is probably the largest study of educators that involves measurement of biological, social and educational measures and obtains information on HIV. It will allow for better planning on a district level. Again, policy-makers work side by side with unions and researchers to try to gather evidence to inform policy.

Social Cohesion and Integration (SCI)

- SCI co-hosted a major international conference in Cairo on The Future Health of Africa in collaboration with Egypt's Ain Shams University. The conference, under the broad theme of Genomics and Society, brought together 300 delegates from across the world to discuss the ethical, social and scientific implications of genomics for health in Africa. Five editions of a daily conference newspaper were published at the conference amid wide media coverage in the Arab media. Scholarships were awarded to 13 academics from under-resourced African institutions to attend while 112 research papers were presented.
- The Media Development and Diversity Agency (MDDA), a statutory body established in 2002 by Parliament, commissioned and was presented with important founding research conducted by SCI this year. The research was published in May as a monograph under the title: *The people's voice: The development and current state of the South African small media*

sector. The work set out for the first time the location and status of small media organisations in the country, created a national database, presented current international thinking on the development of small media and made a series of recommendations on how to enhance media diversity.

- The inspiring life stories of some of South Africa's best-known artists, musicians and scientists found their way into schools this year due to SCI's Living Treasures project. The project was taken up by the Department of Education and in 2004 booklets and posters highlighting the lives and achievements of 12 famous South Africans will be distributed to every one of the country's 6 000 FET schools. The Living Treasures whose examples are expected to inspire a new generation include Nadine Gordimer, Helen Sebidi, Pieter Dirk-Uys, Hugh Masekela, Sibongile Khumalo and Himla Soodyall.

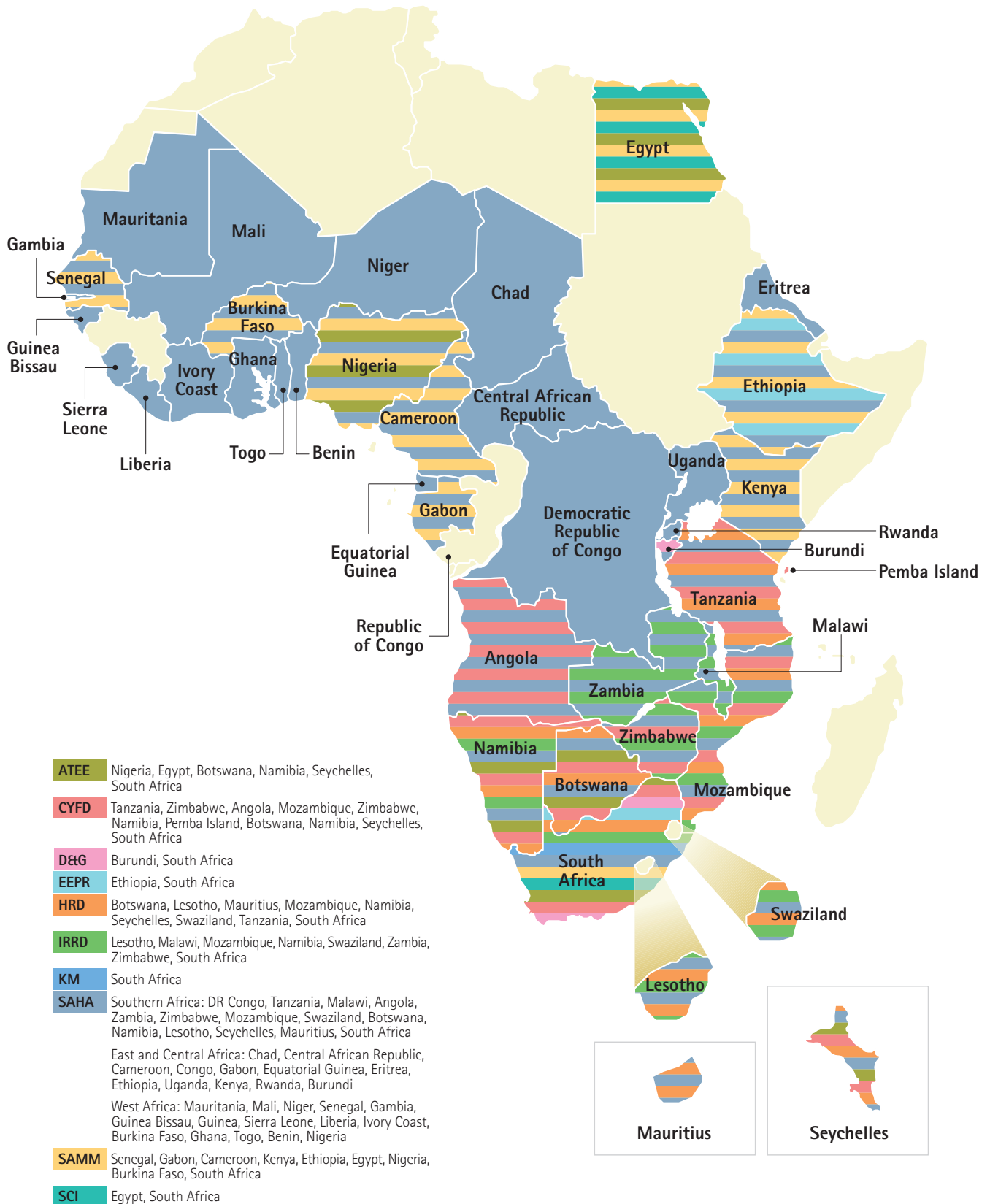
Surveys, Analyses, Modelling and Mapping (SAMM)

- The Surveys Unit conducted the first round of its South African Social Attitudes Survey (SASAS) during August and September 2003. This yielded public opinion responses from a nationally representative sample of 4 980 adults selected from the HSRC Master Sample. The first part of the survey, on voting intentions, was released in November in Parliament and was widely reported in all media. These results were used as a basis for comparison with following surveys conducted by other institutions. Other responses on topics such as household poverty, national identities and patriotism, racism and xenophobia, crime, and gender and moral issues will be released during the course of 2004.
- A comprehensive study of the country's non-business public entities and Government business entities, including the HSRC, CSIR, Water Boards and public-funded museums was done in collaboration with Inkwazi Consulting. The study was done on behalf of the National Treasury and Department of Public Service and Administration. The resultant report assessed the extent to which these entities are operating in compliance with the corporate governance principles of the King Report and the Public Finance Management Act.
- The Urban Renewal and Development Unit was established on 1 September 2003 in response to a gap in the HSRC's key priority research areas, and owing to scattered urban expertise across the HSRC. The Unit is intended to facilitate the HSRC's urban social research activities by doing applied research with urban space and processes as key analytical variables. It aims to complement existing developmental research programmes, such as the IRRD and D&G Research Programmes and to become a national hub of urban social research.



COLLABORATION IN AFRICA

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





ASSESSMENT TECHNOLOGY AND EDUCATION EVALUATION

In pursuing our research agenda we hope for a greater
collaboration with Government and other stakeholders
in the education system



Assessment Technology and Education Evaluation (ATEE) focuses on the monitoring and evaluation of educational change at the national, provincial, district, school and classroom levels. It also develops instruments and techniques for assessing individuals in the world of work.

During the 2003/04 period ATEE has strengthened and consolidated its structures and the work of ATEE is expressed through the following focus areas:

- The **Language and Literacies Studies Unit** is dedicated to research into language and literacies studies nationally, to contribute to debates around language policy and implementation, and to provide innovative research into language policy development.
- The **Science, Mathematics and Technology Education Unit** undertakes research to provide information to policy-makers to plan for science, mathematics and technology education at the school level.
- The **School Reform and Policy Analysis Unit** seeks to understand the school system, how to bring about change and how to measure change in that system.
- The **Psychological Assessment Unit** is a new focus area and has undertaken a needs-analysis survey to determine its future research agenda.
- The **Methodology, Modelling and Analysis Unit** cuts across the four other units and plays a supportive role in the work undertaken by the other units.

During the 2003/04 year, one of the HSRC's research programmes, Education Policy Research, was closed and three



of its staff members joined ATEE. At the end of the financial year, ATEE's staff complement was 21, with 14 full-time and two part-time researchers, three research interns and two support staff.

Current and recently completed projects

The **Language and Literacies Studies Unit** completed the 2003 component of the **impact study of the Molteno Project**. This longitudinal study evaluates the impact of a literacy intervention programme at the Foundation Phase in a selected district in the Free State province. The formative evaluation investigated the impact, over a three-year period, of the intervention programmes on learners' aural/oral skills, reading comprehension and writing skills, as well as the competence of learners in other learning areas of the curriculum.

This Unit is also conducting a case study on the **admission and language policies in schools in Limpopo**. The study, commissioned by the Khanyisa project, is sponsored by the UK Department for International Development (Dfid) and is managed by the Joint Education Trust (JET). It examines the

extent to which schools' language and admissions policies are being used to exclude particular groups of learners. The study is being conducted in collaboration with the University of the North. An innovative characteristic of this research is the *policy dialogue* component, which attempts to break barriers between researchers, practitioners, bureaucrats, politicians and civil society.

The **Science, Mathematics and Technology Education Unit (SMTE)** continued work on the **Trends in International Mathematics and Science Study (TIMSS 2003)**, an international study to ascertain the performance levels of Grade 8 learners in mathematics and science across more than 50 countries. The emphasis of the analysis is on using data to provide information to South African policy-makers and practitioners. In the secondary data analysis, we incorporated data on poverty and examined how issues of poverty affect achievement scores. The TIMSS 2003 report will be released in December 2004. In November 2003, ATEE hosted the TIMSS International Meeting and delegates from the 50 participating countries came to South Africa.

The Department of Science and Technology (DST) requested ATEE to conduct research to develop a database of **after-school interventions that enhance mathematics and science learning at the secondary school level**. The purpose of the study was to assess the extent, type and cost of the after-school interventions that cater for secondary school learners (in mathematics, physical science and computers). This report has been completed and the DST has indicated an intention to continue this project and evaluate the usefulness (quality, impact and cost) of the different types of interventions. SMTE has started an interesting project: **Schools Performance in Mathematics and Science**. This ten-year study examines the trends of schools' output of mathematics and science graduates.

The **School Reform and Policy Analysis Unit** undertook school-based studies. The **Evaluation of the Quality Learning Project (QLP)**, which measures the impact of interventions in

524 schools, is in its fourth year. The mid-term report revealed that functioning at the district, school and classroom levels improved between 2000 (baseline year) and 2002, assumedly because of the interventions by the QLP service providers. Work began for Phase III of the project (i.e. the summative evaluation) in which causal modelling of the factors that may have contributed most to improvements will be set up.

The successful **Assessment Modelling Initiative (AMI)** was extended in 2003 and ATEE was requested to develop Assessment Resource Banks (ARBs) in numeracy and literacy for the Intermediate Phase (Grades 4 to 6). The ARBs were developed and educator training was provided. An implementation assessment was conducted for Grade 3 learners at the end of 2003 to determine the sustainability of three years of interventions.

ATEE was contracted to evaluate the **United Nations**





Educational, Scientific and Cultural Organisation's (UNESCO) E9 Education Initiative. This evaluation examined the impact of the Education for All goals in nine poor countries. ATEE collected data and wrote reports for Nigeria and Egypt.

ATEE is also involved in projects related to **school integration**, one of which looks at "best practices" in schools with diverse learner and educator populations.

To determine the future research direction of the **Psychological Assessment Unit**, the Unit undertook a research project, **Psychological Test Development: A Needs Assessment**. The study consisted of a comprehensive survey of the practices and needs of psychological practitioners and key stakeholders regarding psychological assessment instruments. The study included a national survey by questionnaire, focus-group interviews with practitioners, and individual interviews with key stakeholders in the field. It is expected that the report will provide the necessary information to enable management to determine how the HSRC should be involved in this area.

Future developments

The Units are beginning to develop a research agenda and to consolidate the research agenda that contributes to the key

areas of educational information in the country. In pursuing our research agenda we hope for a greater collaboration with Government and other stakeholders in the educational system.

Our flagship project for 2004 will be a study on **factors promoting and inhibiting multilingualism in South African schools**. The study explores the extent to which multilingual education as envisaged by the new language-in-education policy (LIEP) is being practised in linguistically heterogeneous schools in South Africa. The project will be conducted in collaboration with the Project for Alternative Education in South Africa (PRAESA).

ATEE will be leading a study on **the matriculation results**, a retrospective study that will examine the various questions and concerns raised in the media about the 2003 examination results. This project will also inform the future about issues like an exit level certificate for school leavers.

Acting Executive Director

Dr Vijay Reddy

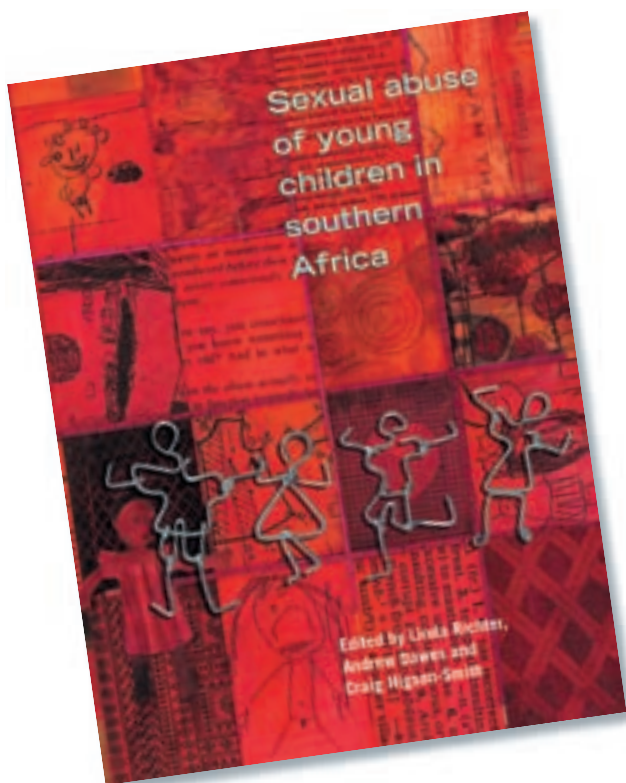
Tel: +27 31 242 5428

E-mail: vreddy@hsrc.ac.za



CHILD, YOUTH AND FAMILY DEVELOPMENT

All southern Africans should be concerned by the appallingly high rates of sexual assault on young children. The problem generates a great deal of emotion, but relatively little balanced academic reflection



The Child, Youth and Family Development (CYFD) Research Programme aims to promote social and human development through innovative research on issues that affect young people and family life.

The main focus of the programme is on children, youth and families affected by difficult circumstances, and on interventions to improve the conditions of, and services to, vulnerable groups. While CYFD conducts most of its research in South Africa, the programme is also active in several other countries in the southern and East African region. CYFD has many national and international collaborations, and CYFD staff act as consultants to a number of international organisations, including the World Health Organization (WHO), United Nations Children's Fund (UNICEF) and United Nations Educational, Scientific and Cultural Organisation (UNESCO).

CYFD has a multi-disciplinary team of 15 full-time, and seven part-time university-based senior researchers, working out of Durban, Pretoria and Cape Town. Many of the senior CYFD staff members have minor time and/or honorary appointments at universities. In addition, we employ interns and a large number of research assistants and associates on project work.

Current and recently completed projects

Early child development and the care environment

In collaboration with researchers and students at the University of KwaZulu-Natal, Professor Linda Richter produced a review on contract to the WHO on the importance of caregiver-child interactions for the survival and health development of young



children (2004) – see http://www.who.int/child-adolescent-health/publications/CHILD_HEALTH/ISBN_92_4_159134_X.htm.

The Director-General of the WHO, Dr LEE Jong-wook, writes in the foreword to this publication, "Our view of the importance of the child's relationship with a primary caregiver has been erroneously limited. In the area of child health, we have tended to focus on the caregiver's role in bringing the child to the attention of health services and in implementing treatment recommendations and follow up... Focusing on the quality of caregiver-child interactions as a critical aspect of the care of young children is a new direction for the World Health Organization, UNICEF, and their international and local partners. We need to marshal adequate organisational and financial support to promote effective caregiver-child interactions as a fundamental condition for ensuring that children survive and thrive. It is our wish that all will draw upon this rich evidence to rethink the meaning of our shared responsibility for the survival of children and a strategic investment in their future." CYFD is continuing to work in a consultative capacity with the Department of Child

and Adolescent Health and Development at WHO to implement recommendations from the review.

CYFD used baseline funding to initiate a series of activities to develop indicators for monitoring child and adolescent rights and well-being, including consultation with key players such as the Office on the Rights of the Child in the Presidency; a review of international literature on indicator domains and child monitoring; and the development of a system for application in South Africa. The project attracted external funding for complementary studies which included a report on the State of Children for the Office of the Premier in Gauteng, the development of psychosocial indicators for 0–9 years for UNICEF, and the development of a child-abuse monitoring system for Childline.

Education policy and learning

Since 1990 when schools were first opened to children of all race groups, researchers and film-makers in Johannesburg, under the direction of Professor Linda Chisholm and colleagues at the University of the Witwatersrand, interviewed a group of children every seven years – in their homes, schools and

Currently, CYFD has eight priority research areas, each intersected by a number of cross-cutting concerns:

Cross-cutting concerns	Priority research areas
Poverty	1. Early child development and the care environment , including nutrition; psychosocial development; health and illness; preschool education
HIV/AIDS	2. Educational policy and learning , including socialisation and learning, language and literacy; schools and neighbourhoods; social identity
Violence and abuse	3. Disability studies , including identity and representation; social exclusion; access to social security; HIV/AIDS
Gender	4. Child rights and protection , including violence and abuse; child labour; children and youth in care; law and justice as it affects children, youth and families
Media and dissemination	5. Youth development, risk and resilience , including civic engagement; work; livelihoods and life skills; subcultures and networks; risk behaviours; prevention and intervention to reduce high-risk conditions and behaviours
	6. Sexuality and reproductive health , including HIV/AIDS; teenage pregnancy and parenthood; sexual violence; gender and relationships
	7. Families and household structures and functions , including family formation and security; dissolution and coping; roles and responsibilities; culture and values; the impact of HIV/AIDS
	8. Child and adolescent mental health , including determinants; prevalence; evaluation of policy and programme options

Table B: CYFD research areas

communities. The most recent video, *7Phezulu*, screened on national television, illustrates that these young people's lives are testimony to the diverse and unequal trajectories that children have followed during the ten years of our new democracy. In 1991 these young people were in segregated primary schools; in 1997, in the documentary *Colouring in our Classrooms*, they were shown in integrated senior schools, struggling with issues of identity, differences and friendships across the colour line. In 2004, their fortunes dramatically diverge: some young people are at university, some still at school; and some already unemployed and hopeless.

In *Changing Class: Education and Social Change in Post-Apartheid South Africa*, edited by Professor Linda Chisholm and published by the HSRC Press in 2004, leading writers in the field of education explore changes in education since 1994. A broad range of topics is explored including school fees, decentralisation, school integration, language policy, teacher education and unions, early childhood education and adult education.

Disability studies

The disability studies group was established in 2003 and began by networking extensively among the disability sector, researchers in other institutions and key users. One of the biggest projects completed during the year was the **development of an evaluation tool** for use by professional and non-professional assessment panels to award disability and care-dependency grants, on commission to the Department of Social Development. The tool extends the definition of disability from impairment to

include functional limitation, and is intended to increase access to social security among rural people in areas with few professional services. A related project for Rehabilitation International is underway, contributing to a global picture of social security provisions for disabled people.

Child rights and protection

Period	Proportion
In the past week	56 (11%)
In the past month	66 (12%)
Longer than a month ago (in past year)	189 (36%)
Never get beaten	220 (41%)
Total	531

Table C: Proportion of parents using beatings

In the first nationally representative study of partner violence to be conducted in South Africa, and the **first national survey on the use of physical punishment of children**, data on these issues was collected as part of the HSRC's South African Social Attitudes Survey (SASAS). The study ascertained prevalence of partner violence and corporal punishment and explored attitudinal and demographic predictors of these phenomena. Nineteen percent of respondents reported that they had experienced physical assault in their relationships. Women were twice as likely as their male partners to be victims of domestic assault, and younger, poorly educated



women were most at risk for domestic violence. Domestic violence was strongly correlated with low income. More than half of all parents (57%) reported using corporal punishment to discipline their children, with 33% beating their children with a belt or stick. The most common age at which children are smacked or beaten is three to four years of age. Parents who believe in the effectiveness of physical punishment and who are less aware of children's psychological needs, are most likely to use severe corporal punishment.

All southern Africans should be concerned by the appallingly high rates of sexual assault on young children. The problem generates a great deal of emotion, but relatively little balanced academic reflection. In order to gain a deeper understanding of the problem, a group of CYFD researchers pulled together a col-

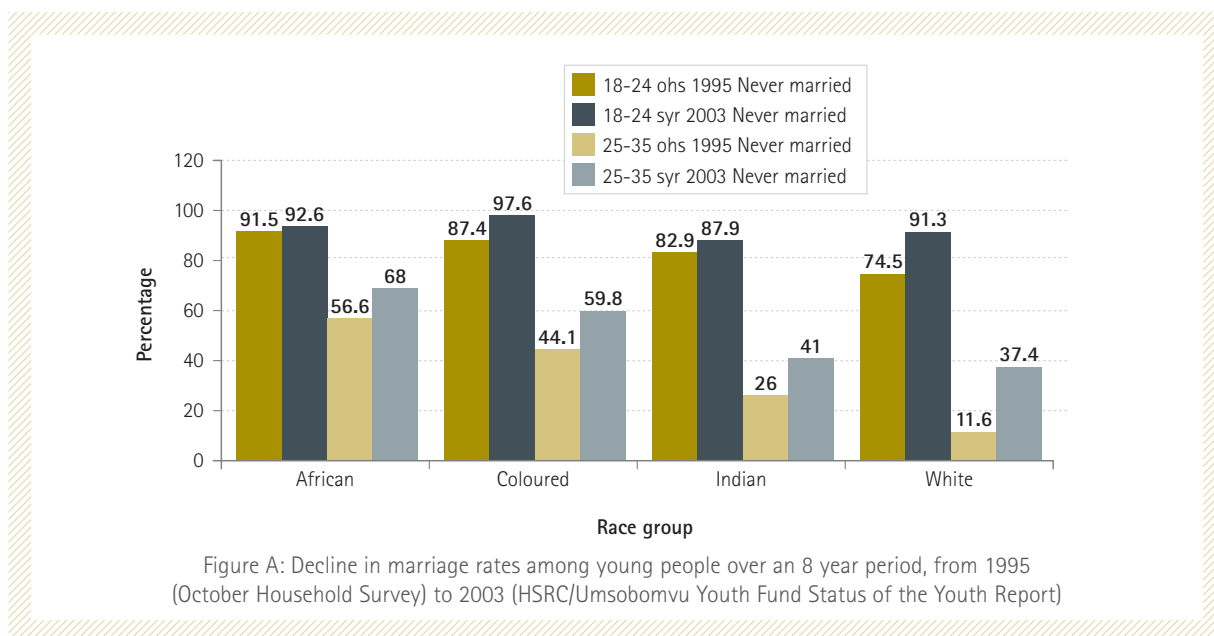
lection of writings, *Sexual abuse of young children in southern Africa*. The publication includes contributions from a range of key players including legal and policy researchers, child rights activists, clinical practitioners, social anthropologists and child development research specialists. The opening section of the book confronts the reader with the realities of sexual abuse

		Lifetime prevalence	Past year prevalence
Couples		19,2%	12,5%
Perpetrators	Total	16,5%	10,4%
	Male	8,3%	4,8%
	Female	8,2%	5,6%
Victims	Total	14,9%	10%
	Male	5,4%	3,3%
	Female	9,5%	6,7%

Table D: Past year and lifetime prevalence of partner violence (unweighted data)



Chadley Gouws (left) and Nkosinathi Nkosi share their essays on their fathers with the audience at the opening of the Father Project Photographic Exhibition in Pretoria. In the middle is project leader and Executive Director of CYFD, Professor Linda Richter.



in pre-pubertal children, and proceeds to a discussion of the way child abuse is represented in the press. The second section presents the main findings concerning the individual, socio-economic and socio-cultural correlates of child sexual abuse. The third section covers legal and policy responses to the problem, while the fourth presents accounts of interventions drawn from South Africa, Mozambique and Zimbabwe.

Youth development, risk and resilience

As part of a baseline study of youth development, CYFD surveyed aspects of civic participation among 1 818 learners in 42 secondary schools in Gauteng. Interest in youth civic engagement has its roots in concern about the marginalisation and social exclusion of youth in the context of high rates of global youth unemployment, escalating crime rates and young people's withdrawal from political and civic participation. While young South Africans voted in large numbers in the first democratic election of 1994, their commitment had dissipated by the next general election in 1999 and only about a quarter of people in the age range 18 to 29 years voted in the local government elections in December 2000.

The results of the survey indicated that altruistic attitudes prevailed amongst youth (nearly three-quarters of the sample felt that people should help one another without expecting payment or reward), and that they had a good sense of community cohesion and support. Nearly 80% of respondents believed there were people they could ask for help when they needed it and 75% felt that there were adults they could talk to about something important. On the down side, young people expressed high rates of mistrust in Government, community

leadership and the police services – 63% said leaders could not be trusted to tell the truth; 43% felt that Government did not really care what one thought; and 66% doubted that the police were fair to everyone.

Sexuality and reproductive health

Over the past year, the social and community dynamics of infant feeding and their impact on prevention of mother-to-child transmission (PMTCT) of HIV/AIDS have been a key focus in CYFD. Sponsored by the Centres for Disease Control and Prevention (CDC), these studies in KwaZulu-Natal and Free State provinces have used a unique combination of ethnographic narrative and survey methods to capture the complex and situated nature of **infant feeding practices and decision-making within households**. The results of these studies have informed the Department of Health's national PMTCT programme and they have also served as an empirical basis for the national development of communication strategies for educating communities about safe infant feeding practices in relation to PMTCT. An additional grant from CDC has recently been made to CYFD to conduct a study into the economic implications of the PMTCT programme in KwaZulu-Natal. This project examines the costs of implementing the PMTCT intervention in its current form, and models the cost implications of delivery adaptations. This work in KwaZulu-Natal builds on research conducted earlier in the year in collaboration with SAHA in the Eastern Cape.

Families and household structures and functions

The Department of Social Development contracted CYFD to work closely with it to provide secondary data to **inform the development of a Family Policy**. During the latter part of the year, the



Department, with the assistance of CYFD, presented a draft policy document, supported by a research report, to provinces for discussion. CYFD is also participating, with the Department, in activities related to the once-a-decade United Nations International Year of the Family (IYF). CYFD has positioned the Fatherhood Project as a key focus for the IYF, in collaboration with a wide range of partners and stakeholders in Government, international agencies, the private sector, media and programmes for children. The Fatherhood Project promotes men's care and protection of children in a multi-year programme supported by the Ford Foundation, UNICEF and others.

Future developments

CYFD went into the new year with several large multi-year projects, including Birth to Twenty and a number of other studies on youth risk. In addition, several new projects have been started.

The Family Studies group in CYFD is developing a proposal for a multi-disciplinary study together with colleagues in six African countries (South Africa, Botswana, Uganda, Senegal, Ghana and Morocco), representing four regions of the continent

(Southern, Eastern, Western and Northern Africa), to examine some aspects of governance by looking at the role of certain elite families in the political economies of African states.

Work on the aged has begun with a contract for the Mpumalanga Government to look at the needs of older people. A conference, Ageing in Africa, jointly hosted by the HSRC, the Union for African Population Sciences and the national Department of Social Development is to be held in August 2004.

Gender will be a key focus of research activities in 2004. CYFD already has a number of activities in this field such as the Fatherhood Project, masculinity and identity, and a grant from the Foundation for Human Rights for a study on gender, culture and rights. With the addition of Professor Cheryl Potgieter, gender research will be considerably strengthened and additional staff taken on board to supplement our existing capacity.

Executive Director
Professor Linda Richter
 Tel: +27 31 242 5544
 E-mail: lrichter@hsrc.ac.za



DEMOCRACY AND GOVERNANCE

The representation of women in local government
is closely linked to their participation in politics and
public administration more generally

During 2003/04, Democracy and Governance (D&G) was principally engaged in projects in two major areas: first, democratisation in South Africa and the wider Africa region; and second, public service, local government and delivery. At the end of March 2004, the Research Programme had some 16 researchers (one of whom was on full-time secondment to the South African Development Education Trust and another who was part-time) distributed across Pretoria, Bloemfontein, Durban and Port Elizabeth. D&G remained the only representative of the HSRC in Bloemfontein.

Current and recently completed projects

During the year, D&G undertook a remarkable array of research projects for a diverse range of clients and funders which included:

- Academy for Educational Development;
- Atlantic Philanthropies;
- The Canadian International Development Agency (CIDA);
- CARE South Africa-Lesotho;
- The Department of Arts and Culture (DAC);
- The Department of Provincial and Local Government (DPLG);
- The Free State Provincial Economic Advisory Council (PEAC);
- The Food and Agriculture Organisation (of the UN) (FAO);
- The Ford Foundation;
- The Konrad Adenauer Foundation;

- The Mott Foundation;
- The Nelson Mandela Foundation (NMF);
- The Office of the President;
- The South African Local Government Association (SALGA); and
- The United States Agency for International Development (USAID).

Research partners included individual scholars and research centres from universities, consultancies and non-governmental research organisations.

In the field of **Democratisation**, undertaken largely by researchers in Pretoria, Durban and Port Elizabeth, major projects included:

The publication of *State of the nation: South Africa 2003/04*. Co-edited by John Daniel, Adam Habib and Roger Southall, and published by HSRC Press, this collection of original essays reviewing contemporary developments in South Africa was promoted by book launches in Cape Town, Durban and Pretoria which attracted substantial media attention. The book rapidly moved into two reprintings for a total run of 2 000, which is excellent for academic books in South Africa, and attracted highly encouraging reviews. Based upon the success of the first annual volume, Michigan State University Press agreed to co-publish the second edition, the workshop for which (involving over 30 contributions) was held in March 2004.

D&G also co-ordinated a workshop on **The Political Economy of South Africa** for the Leeds University-based



Voters queue for the April 2004 elections in Pimville, Soweto.

Review of African Political Economy. This will be published as a special issue of the journal in May 2004.

Meanwhile, D&G also co-ordinated the publication by HSRC Press of *Limits to Liberation in southern Africa: The unfinished business of democratic consolidation*, edited by Henning Melber of the Nordic Africa Institute, which had previously appeared as a special issue of *The Journal of Contemporary African Studies*.

Commissioned by SALGA, *Guidelines to enhance the representation and participation of women in local Government in South Africa* by Kristina Bentley, Janet Cherry and Kealeboga Maphunye, examined how municipalities could implement strategies to give effect to the greater representation and active participation of women. It was argued that the representation of women in local government is closely linked to their participation in politics and public administration more generally. The report concluded that the under-representation of women in local government needed to be addressed with urgency.

The "Health" of the Non-Profit Sector: A Case Study Analysis by Seán Morrow and Vino Naidoo entailed a detailed examination of CARE South Africa-Lesotho, with particular regard to the significance of leadership, impact and partnership to the health of non-profit organisations.

Mandela, South Africans and the Burundi peace process, undertaken on behalf of the NMF by Kristina Bentley and Roger

Southall, was subject to continuous updating and analysis of a highly fluid peace process. Examining the contribution of South Africa to the winding down of the violent civil war, which has raged intermittently since 1993, the final report offers a guardedly optimistic assessment of the prospects for an increasingly inclusive settlement. The report will be published by the HSRC later in 2004.

Projects that are currently in progress include: **Taking Democracy Seriously: The Political Attitudes of COSATU Workers**, undertaken by Janet Cherry, Vino Naidoo and Roger Southall with the Sociology of Work Unit (SWOP) of the University of the Witwatersand; **The Corporate Mapping of South Africa's Expansion into Africa**, undertaken by John Daniel and Jessica Lutchman; **The Historical Biographies of South African Women**, undertaken by Janet Cherry and Arlene Grossberg, together with external project leader Nomboniso Gaza and external historians; research on **Local Government and Civil Society in the Eastern Cape**, by Janet Cherry, in collaboration with the University of Fort Hare; and **Auditing the Realisation of Democracy and Human Rights in the Context of Rural Land Reform in South Africa**, which is being undertaken by Maxine Reitzes and Michael Aliber of the Integrated Rural and Regional Development Research Programme for the European Union and the Organisation for Economic Co-operation and Development (OECD). Seán Morrow,

who joined D&G following the dissolution of the Education Policy Research Programme, brought with him participation in projects on **Rural Education and Poverty** and **Educational NGOs in South Africa**, whilst also completing his co-authored book on **SOMAFCO, the ANC School in Tanzania**. D&G is also a contributor of chapters to the Surveys, Analysis, Modelling and Mapping Research Programme's *South African Social Attitudes Survey*, the first edition of which will be published later in 2004.

Finally, to promote debate around the general elections of 2004, D&G formed a partnership with the Centre for Policy Studies, the Centre for Public Participation and the Institute for Democracy in South Africa to produce four issues of *Election synopsis*. This featured short and punchy analytical articles, centred around the four themes of public participation; politics and identity; party manifestos, campaigns and lists; and the results and their implications.

Work in the field of Public Service, Local Government and Delivery, which was led out of the Bloemfontein office, included research on the **Revision of Schedules 4 and 5 of the Constitution** in collaboration with local consultants to analyse the current system of allocation of powers and functions to municipal, provincial and national government. Led by Doreen Atkinson, the project included contributions made by Ntobeko Buso, Daniel Pienaar and Anja Benseler, and built upon the **Intergovernmental Relations Project**, which had been previously completed by Maxine Reitzes, Anja Benseler, Vino Naidoo and Marlene Roefs. The report, which was submitted to the DPLG, argued that the Schedules should contain a developmental vision, not necessarily listing specific functions, but stipulating the kind of roles which municipalities should play in all developmental functions.

Commissioned by Organisational Development Africa (part of the USAID-supported Hologram Network housed in DPLG), **Municipal Administrative Restructuring in Non-metropolitan Areas** examined the restructuring of municipal head offices, the achievement of strategic planning and inter-departmental co-operation in non-metropolitan areas, the role of outlying offices (satellite towns) in promoting community-based development and the relationships between municipalities and their residents (i.e. client service). Led by Doreen Atkinson, key fieldwork was undertaken by Shai Makgoba, Daniel Pienaar and Ntobeko Buso.

Municipal Commonage Administration in the Free State and Northern Cape: Can municipalities in the current local government dispensation promote emerging farmers?, undertaken by Ntobeko Buso and Anja Benseler, sought to establish whether municipalities are able to utilise commonage

land to promote emerging farmers so that they become viable commercially, and how such a transformation may promote local economic development.

As part of the Ten Year Review for the Office of the President, Daniel Pienaar and Ntobeko Buso undertook an **Evaluation of Service Delivery in Colesberg** as part of a wider assessment of the impact of Government delivery in specific localities. A major intention was to help the policy process to review priorities for Government delivery, in order to improve targeting and contribute toward cost-effective Government spending. The research was intended to provide the necessary management information as to how Government interventions are felt on the ground.

Farm workers are one of the most marginalised social groups in South Africa. Due to the geographical dispersion of farms, farm workers live and work on private land owned by the farmer. They are dependent on the latter to provide their basic services such as accommodation, sanitation and electricity. Gaining access to social services such as legal and health advice, education and counselling is often very difficult. Several reports compiled by external consultants and D&G addressed the above-mentioned service-delivery gaps. These included: *A Philippolis Case Study of Farm Worker Development*; *Farm Worker Representation in Municipal Ward Committees*; *Municipal Service Delivery to Farm Workers in the Free State*; *Civil Society Organisations' Involvement of Service Delivery to Farm Workers*; *Farm Worker Training and Empowerment Projects*; and *The Rural Foundation* (as an example of organised service delivery to farm workers).

A major project building upon this work was **The Role of Farm Workers' Unions in Land Reform**, undertaken on behalf of the FAO as part of a comparative study of Ghana and South Africa. In the context of rapid labour shedding in agriculture due to liberalisation of tariff policies and withdrawal of state support to commercial farms, farm workers' unions have not been well received in organised agriculture and are generally poorly resourced and undercapacitated. The study, undertaken by Daniel Pienaar and Jeff Zingel, recommended that all national, provincial and district functions in land reform should be better resourced and organised to address farm workers' needs, while the unions should be capacitated to drive the land reform needs of members more systematically through a combination of directed FAO, donor support, and partnerships with NGOs.

Doreen Atkinson and Jeff Zingel were invited by CIDA to design the proposals for a three-year programme of support into commonages in two provinces. The approach adopted for **A National Pilot Programme for Commonage Development** was to turn the potentially piecemeal effect of policy originally



conceived by the Departments of Land Affairs and Agriculture towards a more complementary and integrated investment strategy. This now addresses the different needs of different categories of commonage users and aims to "free up" peri-urban land and to make the Land Redistribution for Agricultural Development (LRAD) facilities more accessible to commonage users, as well as spatially and therefore economically more effective.

Jeff Zingel and Doreen Atkinson also utilised baseline funding to design a national framework for the establishment of a **Small Town Network**. Small towns face alarming challenges regarding urbanisation and local economic development in a national and provincial context where current policies are largely geared to support the stimulation of the metropolises in line with a highly contentious export-led growth strategy. The parties to the small town network will design a programme budget for a national support function to small town development interests which will combine advocacy, research, "best practice" learning, dissemination and project development.

Doreen Atkinson and Anja Benseler joined an externally-led team to undertake an **Evaluation of the Consolidated Municipal Infrastructure Programme (CMIP) and Local Economic Development (LED)** for DPLG. The main purpose of the project was to evaluate the Consolidated Municipal Infrastructure Grant and the Local Economic Development Programmes.

Commissioned by the PEAC and undertaken in collaboration with Rhodes University academics, **Evaluation LED in the Free State Province** examined the status quo with respect to LED in the Free State and the impact it is having on local communities. The study revealed that a series of key constraints related to shortages of funds, staff, skills and resources are impeding the widespread and successful implementation of LED at all levels. Furthermore, there is confusion regarding whether LED is about poverty relief or economic growth. The project was undertaken by Shai Makgoba and Doreen Atkinson.

Commissioned by SALGA and undertaken by Shai Makgoba, **District Management Areas: A case study of Siyanda District Municipality, Northern Cape District Management Area (DMA)** was a pilot study for the District Learning Network (DLN) of the Hologram Programme, a 16-member network of District Municipalities in South Africa. From the report it was clear that Siyanda District Municipality (DM) in Upington has been recognised as a District Municipality that has successfully managed to deliver quality services to its DMA. The study outlined how and why Siyanda DM has been successful as a developmental municipality.

Evaluation of the process of compiling the Free State Developmental Plan (FSDP) for PEAC was designed to provide recommendations for consultation during future policy plan-

ning processes. The FSDP for 2002–2005, drafted in 2001, provides a provincial strategy to direct effective service delivery by the provincial Government. The evaluation, by Doreen Atkinson, Marlene Roefs and Shai Makgoba, argued that the consultative drafting of the FSDP had demonstrated that consultation should be an integral part of the entire policy cycle if a unified approach to development was to be attained.

Publications

During 2003/04 researchers with D&G were responsible for the publication of: one co-authored book, one co-edited book, articles in peer-reviewed journals, chapters in books published by the HSRC, chapters in books produced by external publishers and numerous newspaper articles and book reviews.

Future developments

Professor Southall stood down as Executive Director in favour of Professor Adam Habib from 1 April 2004 in terms of the HSRC's strategy to improve representivity. Under Professor Habib's leadership, D&G will seek to improve long-term financial sustainability by developing large-scale anchor projects for external funding in such areas as "race and redress", "South Africa in Africa" and "rural women's rights".



Executive Director (until 31 March 2004)

Professor Roger Southall

Tel: + 27 12 302 2809

E-mail: rsouthall@hsrc.ac.za



EMPLOYMENT AND ECONOMIC POLICY RESEARCH

The primary question now focuses on
Government's stated goal of halving
unemployment by 2014



Expanding access to economic opportunity and participation is a continuing challenge in South Africa and the region. The problem of unemployment, underemployment and slow employment growth will be a critical policy priority, requiring research and strategic support.

The Employment and Economic Policy Research (EEPR) Programme, in collaboration with other HSRC research programmes and its wider network, seeks to improve and disseminate an understanding of the nature and causes of persistent unemployment and underemployment. This work feeds directly into positive strategy and action by enabling public and private interventions. To ensure relevance and uptake, each new step involves critical stakeholder groupings and Government departments.

EEPR's priority areas include:

- **Labour market analysis**, including skills development, regional labour market studies, economic impact of HIV/AIDS and design of active labour market policies.
- **Sector strategies**, with an emphasis on employment creation – including industrial competitiveness studies and basic needs industries.
- **Integrated employment studies**, including our "evidence-based employment scenarios". This area also includes in-depth analysis of employment statistics.

EEPR presently has a multi-disciplinary staff complement of eleven researchers, four of whom have PhDs. The Programme also works with a wide research network in universities and private companies, and has devoted particular



attention to expanding its links with emerging researchers and companies.

Current and recently completed projects

Labour market information is critical to the ability to track employment, unemployment, underemployment and skills gaps. Skills mismatches and poor information are among the major contributors to slow growth and unemployment in South Africa. EEPR was involved in a range of related projects.

A project to update and deepen methodologies for the **forecasting of skills demand and supply and skills gaps**, commissioned by the National Department of Labour, and developed in co-operation with an European Union (EU) expert, builds on the HSRC's previous projections of high-level skills gaps in 2003.

A **forecast of middle-level skills in Ethiopia**, to support planning for the expansion of its vocational training system, was commissioned by the *Deutsche Gesellschaft für Technische Zusammenarbeit GmbH* (GTZ) on behalf of a committee comprised of key Ethiopian ministries, the Statistical Agency, the Chamber of Commerce and the Confederation of Trade Unions (CETO).

Sector studies on skills demand and supply included work in the chemicals industry for the Department of Trade and Industry (DTI) and the Chemical Industries Education and Training Authority; a study on small-scale mining and in cement and limestone for the Mining Qualifications Authority; and studies on forestry and related industries for the Forestry Sector Education and Training Authority (SETA). In an important initiative, we supported the Services SETA with an impact assessment of its programmes.

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

A **review of the Eastern Cape labour market** for the Eastern Cape Development Corporation was done with the aim of prioritising policy objectives within the framework of the Provincial Growth and Development Programme and designing and implementing policy tools to realise such objectives.

Impact analysis of HIV/AIDS on industries and the

workforce. There is a concern that HIV/AIDS could act as a disincentive to employ. Further, industrial restructuring has led to an increasing prevalence of small firms that are less able to reach out to vulnerable workers with education and treatment. To mitigate the impact of HIV/AIDS, EEPR aims to improve the availability of information and the realistic assessment of different public and private interventions. There is a critical gap in knowledge of actual HIV/AIDS prevalence in the workforce and the HSRC aims to deepen the economic modelling work by studying the ways in which labour markets and industry are organised. More importantly, EEPR plans to survey economic sectors, including saliva testing, to obtain figures that are more realistic and sensitive to the character of sectors. The Joint Centre for Political and Economic Studies supported this programme in 2003.

Reviews of the state of knowledge on HIV/AIDS in the labour market. The Department of Labour has recently introduced an intervention strategy for the labour market in respect of HIV/AIDS. In support of this strategy EEPR produced two reviews: the first one was on current understanding of the determinants and economic impact of HIV/AIDS on the labour market, and the second was on the impact of local and national interventions. Further work was done, in co-operation with Social Aspects of HIV/AIDS and Health (SAHA), for the Swedish International Development Co-operation Agency (Sida) in support of its strategy to review the state of knowledge on the impact of HIV/AIDS on society and business.

Determinants of demand and supply of educators, with a focus on workplace stress. EEPR is assisting SAHA as the principal investigator in reviewing HIV/AIDS prevalence and the impact of AIDS-related morbidity and mortality, general health status, alcohol and drug use and migration on educators. EEPR focuses on questions related to morale, behaviour and workplace stress.

EEPR's work in **industrial analysis** focuses on the promotion of economic diversification and on the promotion of employment through basic needs. In 2003/04, our programme focused on several projects.

EEPR continues to work in Mpumalanga in support of an initiative to encourage **private procurement in the promotion of local economic linkages and black economic empowerment.** This is an offshoot of a project undertaken in 2002/03 to assist the Mpumalanga Provincial Department of Economic Affairs and Tourism in the development of its strategy to promote steel and petrochemicals clusters.

Resource-based Technology Clusters (RBTC) is a joint project of the HSRC and Mintek, in support of the Department of Science and Technology's (DST) National Research and



Development Strategy. The project puts forward the idea that the resource base offers opportunities for innovation and diversification – a “nursery” for generating new ideas, simply because each situation is unique and requires problem-solving. If this can be nurtured, technology and know-how can be built in a whole range of products that feed the resource cluster, whether in inputs, services or downstream products. This is important to developing countries that generally have difficulty attracting or building a substantial Research and Development (R&D) base. In 2003/04, Mintek and HSRC co-operated in an initial exercise to scope the policy implications of the RBTC thesis for mining inputs and energy-related industries. The HSRC created a bridge between DST's RBTC and Science and Technology for Poverty Reduction (SATPOR) themes, with its consideration of the innovation and diffusion of technologies aimed at poor communities, including pre-paid meters and off-grid concessions.

EEPR has a particular interest in **services industries**, not only because they facilitate economic growth, but also because they are important employment generators. EEPR has supported Government's Economic and Employment Cluster in the development of an initial services industries framework. It is recognised that there has been considerable emphasis on the promotion of manufacturing, mining and agriculture, but insufficient attention to services, in light of their enormous potential in contributing to Government's growth and equity targets.

There was considerable public debate in 2002/03 about how Government can create jobs quickly. RDP issues that **link basic needs delivery to employment targets** are an important theme for EEPR. There are a range of non-traded goods and services that could be stimulated by Government. These in turn would underpin a long-term growth trajectory. This area of work focuses on the promotion of food consumption, social and personal services, and construction. In 2003/04, EEPR sup-



ported the Department of Public Works' Expanded Public Works Programmes in policy formulation and in the design of a monitoring and evaluation framework.

Integrated Employment Analysis brings together statistical work and market studies to understand wider employment dynamics. Most of these projects are ongoing, as the HSRC seeks to build long-term institutional strength in these areas.

Evidence-based employment scenarios. These scenarios are aimed at, firstly, assessing what employment and unemployment trends could reasonably be expected in the next five to ten years using the best possible evidence. Secondly, they are testing the possible impact of interventions on employment and unemployment. The process draws together EEPR's work in a range of other areas, and will use input-output analysis as a link. The primary question now focuses on Government's stated goal of halving unemployment by 2014. This programme involves co-operation with national Government departments, and academics from the Universities of the Witwatersrand, Cape Town and Zimbabwe, Trade and Industrial Policy Strategies (TIPS) and the International Food Policy Research Institute (IFPRI).

Reviews of **employment statistics**, starting with Statistics South Africa's Labour Force Survey. This is a collaborative effort, bringing together major users and experts such as Statistics South Africa, Congress of South African Trade Unions (COSATU), the Reserve Bank, the National Treasury, the Office of the Presidency, the Department of Labour, the DTI and others. A reference group from these departments, Statistics South Africa, COSATU and the Industrial Development Corporation (IDC) was formed to review the first major output, focusing on a realistic assessment of employment trends between 1996 and 2002. A paper was produced in co-operation with the Development Policy Research Unit (DPRU) for the Business Trust on employment trends.

Understanding the **institutional underpinnings of the unemployment-inflation relationship.** Given high levels of structural unemployment, any stimulatory policy in South Africa is likely to be inflationary. Likely questions to be answered include: What is required to enable stimulation, without also incurring the cost of high inflation? What are the institutional blockages? What forms of stimulation would substantially release and enable wider and deeper economic participation? Professor Jonathan Michie from the University of London kicked off this process with an initial conceptual paper.

Work on poverty and social security includes:

- The design of an analytical framework for an analysis of the Child Support Grant (CSG) using the third wave of the KwaZulu-Natal Income Dynamics Study. The aim of this study is to gain a better understanding of the living

standards and care arrangements of the beneficiaries of the CSG as well as to attempt to quantify the impact of the grant on school enrolment and retention, expenditures on child items and anthropometry.

- EEPR compiled a profile of poverty for Tshwane's Integrated Community Development division, with the aim of identifying the most needy residents. Indicators such as the level of unemployment, the number of children of child support grant age, the number of older persons, the number of female-headed households and the number of youth were used to provide a broad perspective on poverty problems in the different wards of Tshwane.

Future developments

EEPR will continue with the same themes, but will deepen its work in each area. In labour market analysis, a greater emphasis on institutional design and labour market dynamics will be pursued. We believe that the South African labour market is still in a developing phase and so will review the institutional underpinnings required for a well-functioning labour market.

On the skills front, we plan to perform a second skills forecast, deepen the understanding of skills gaps of middle-level workers, and strengthen insights into institutional delivery models.

In our sector policy analysis, more emphasis will be placed on the role of procurement in promoting diversification, the contributors to informal sector growth, and the impact of South African trade and investment on the diversification of African economies. Efforts to promote low- and medium-skill employment through basic needs industries will continue to be a priority. We envisage continued support to the Department of Science and Technology's RBTC and SATPOR strategies – the RBTC strategy will be extended beyond the HSRC and Mintek to other agencies and we plan to engage in technology road-mapping support. Finally, we have been requested by Government to support the framing of services sector strategies.

The employment scenarios will be formally launched in 2004/05, with the first baseline projections produced and policy options investigated. A working paper series on employment issues will be launched in June, with the first two papers focusing on making sense of employment trends and the relation between employment and growth.

Executive Director

Dr Miriam Altman

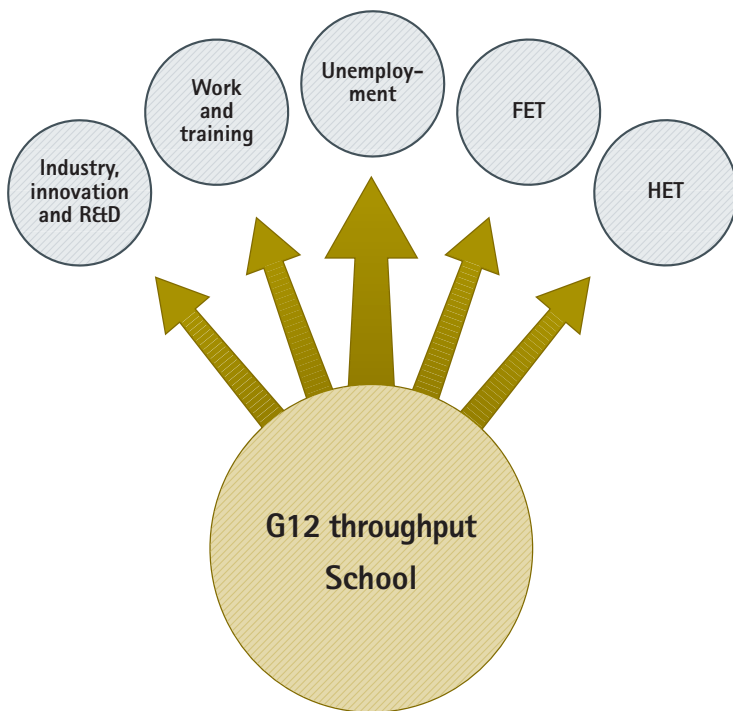
Tel: +27 12 302 2402

Email: maltman@hsrc.ac.za



HUMAN RESOURCES DEVELOPMENT

SETAs are understood to be key intermediary structures – between Government, private and public organisations – that must co-ordinate, regulate and incentivise investment in training



- Key themes:**
- 1 Articulation
 - 2 Throughput and graduate destinations
 - 3 Industry-ET linkages
 - 4 Youth labour market
 - 5 Training
 - 6 Skill needs of economy

The Research Programme on Human Resources Development (HRD) was started in May 2001. Its prime focus is the study of the pathways of learners from school into further and higher education and the world of work. The Programme currently employs 18 people.

The launch of the *HRD Review 2003: Education, Employment and Skills*

A key component of the work of the Research Programme on Human Resources Development (HRD) in 2003/04 was the completion of projects funded by the Department of Science and Technology through a generous ring-fenced grant of R5 million per annum over the past three years. This first phase came to a very successful conclusion in March 2004 with the launch of four substantive research outputs. These include a set of three inter-related books and one website. They are:

- *Human Resources Development Review 2003: Education, Employment and Skills in South Africa*, a 28-chapter, 750-page volume which provides comprehensive analyses of key education and training, labour market and macroeconomic indicators of human resources development in South Africa.
- *An Overview of South African Human Resources Development: The Importance of 'Joined up' Policy Coordination and Implementation*, an interpretative overview of the key trends in HRD in the post-apartheid period in the form of a monograph, by Andre Kraak.
- *The Shifting Understandings of 'Skill' in South Africa:*

Figure B: The HRD programme



Overcoming the Historical Imprint of a Low Skills Regime, a policy text by Simon McGrath et al. It engages critically with South Africa's current skills development strategy in order to analyse the prospects for a successful up-skilling of a population whose paths of learning and work have been profoundly shaped by the imprint of apartheid.

- The HRD Data Warehouse website (<http://hrdwarehouse.hsrc.ac.za>), a comprehensive web-based cross-sectoral Data Warehouse oriented largely towards the provision of an improved information and analysis infrastructure to support Government decision-making in the arena of HRD.

The launch of these four products in March 2004 received substantial press coverage with over 70 newspaper articles and 30 radio interviews and citations. There has also been significant interest in the website which provides free access to all our research products and databases.

Other publications

The past financial year also witnessed the release of a further three books and two monographs.

- *Curriculum Responsiveness in FET Colleges* by Jeanne Gamble identifies salient themes in curriculum change in Further Education and Training (FET) colleges.

Particular attention is paid to lessons learned and problems experienced in other countries that are applicable to the current South African context.

- A book by Glenda Kruss *Chasing Credentials and Mobility: Private Higher Education in South Africa*, contributes constructively to an often emotive debate on private higher education in South Africa by developing a systematic picture of different forms of private provision. It draws on an empirical qualitative study of 15 private higher education institutions. Two distinct private sub-sectors are discerned. One sub-sector functions primarily to ensure "mobility" to meet a demand among historically and newly privileged students for education that is perceived to be "better" than that offered by the public sector. The second sub-sector functions primarily to offer specialised "credentials", to meet a demand among non-traditional students for education that is perceived to be "different" from that offered by the public sector. The distinction between the private and the public, between potential complementarity and competition, is thus conceptualised in a more diversified, nuanced manner than hitherto.
- A book by Simon McGrath (HSRC) and Kenneth King



(Edinburgh University), *Knowledge-based Aid: Whose Knowledge for Whose Development?* is the first detailed attempt to analyse the new World Bank discourse and practice to be “the knowledge bank”, as stated in 1996 by the World Bank President, James Wolfensohn. A new discourse of knowledge-based aid has since spread rapidly across the development field. Through an examination of four agencies – the World Bank, the British Department for International Development, the Japan International Co-operation Agency and the Swedish International Development Co-operation Agency – it explores what this new approach to aid means in both theory and practice. It argues that too much of the emphasis of knowledge-based aid has been on developing capacity within agencies rather than addressing the expressed needs of southern partners.

- Michael Cosser *et al.* produced a monograph, *Technical College Responsiveness: Learner Destinations and Labour Market Environments in South Africa*, which is the culmination of research that sought to determine the responsiveness of technical colleges within the emergent FET landscape. Three studies form the backbone of the research: a tracer study of technical college students; an employer satisfaction survey; and institutional profiles of three newly merged colleges. The monograph will be of interest to all who are involved in FET, whether as policy-makers, practitioners or students.
- *Government Incentivisation of Higher Education-industry Partnerships in South Africa: An Audit of THRIP and the Innovation Fund*, is the first monograph in a series on *Working partnerships: higher education, industry and innovation*. It aims to explore the ways in which

higher education and industry have formed research partnerships to promote innovation in biotechnology, information and communication technology (ICT) and new materials development in response to global trends and national policy imperatives. The monograph suggests that the Technology and Human Resources for Industry Programme (THRIP) and Innovation Fund-incentivised partnerships, appear to have rested on a formula where mutual benefit is obtainable, and represent exemplars of how higher education-industry partnerships can be used to develop science, technology and innovation in South Africa.

Future developments

The HRD flagship project enters a second phase of its development over the next three years. Key deliverables in this phase include:

- The production of a triennial series of national **HRD Overviews** with the second edition (*HRD Review 2006*) due in December 2006.
- Consolidation and expansion of the **HRD Data Warehouse**: All data fields will need to be updated on an annual basis and the website serviced and maintained. **A consortium of partners** within the HSRC as well as external research centres will be invited to join the project and share knowledge resources via the website.
- The production of several **provincial HRD profiles**, based on commissioned research requests from the provinces themselves. An HRD Strategy for the Eastern Cape has already been completed.
- The production of several **sectoral studies** that highlight the skill needs of key economic sectors in the South African economy. External financial support will be sought to fund this component over the next three years.



- Understanding HRD issues through **an analysis of the professions in South Africa** (for example, doctors, lawyers, engineers, accountants, etc.) and particularly focusing on labour market dynamics and the changing curriculum characteristics of professional education.
- **Enterprise studies** which will examine employer demands for skill and the utilisation of skill and technology at the micro or enterprise level.
- **Industry and higher education:** This area will continue the study of linkages between industry and higher education.
- **Throughput studies:** An examination of the destination paths of graduates from schools and universities into the labour market, work and/or unemployment.

Each of these new insights – provincial, sectoral, professional and enterprise – will reflect the high degree of skill variability between and within each of these differing analytical domains. As differing analytical 'cuts', they all contribute unique "jigsaw puzzle" pieces which when read together will constitute a more nuanced and more detailed "bigger picture" of HRD in South Africa. The *HRD Review 2006* will foreground and synthesise the results of these studies.

Client reports

The research programme completed three important client reports in the past financial year. These include:

A national survey of enterprise training

The research programme on HRD is currently involved in a large-scale survey of private enterprises to establish the intensity and nature of training in South African workplaces. The survey is commissioned by the Department of Labour and funded by the European Union. It will assist Government in assessing the impact of the National Skills Development Strategy (NSDS) that seeks to develop the skills of the South African workforce and to utilise the workplace as an active learning environment. In doing so, the research will reveal training patterns at the level of the Sector Education and Training Authorities (SETAs). SETAs are understood to be key intermediary structures – between Government, private and public organisations – that must co-ordinate, regulate and incentivise investment in training. This project serves as an example of how the HRD research programme is supporting strategic government research and information needs in the domain of training in the workplace.

Eastern Cape Provincial HRD Strategy

In the fourth quarter of 2003, the Research Programme undertook a large-scale desk-top study for the Eastern Cape Socio-Economic Consultative Council (ECSECC) in which it profiled HRD for the province. The study was broad-ranging, considering HRD from four macro perspectives: the socio-economic context

in which HRD is located; the supply side of HRD; the demand side of HRD; and the institutional and regulatory mechanisms for HRD. The study informed the drafting of an HRD Strategy for the Eastern Cape – one of the key components of the province's *Provincial Growth and Development Plan*. As such, it was undertaken on behalf of ECSECC for the Eastern Cape Government itself.

Assistance in the development of a Sector Skills Plan for the Education, Training and Development Practitioner (ETDP) SETA

A report entitled *Data Trends: Towards a Sector Skills Plan 2005–2009* was produced for the ETDP SETA in March 2004. It is a 104-page document aimed at assisting the ETDP SETA with a systematic information and planning foundation for the drawing up of its Sector Skills Plan (SSP) for 2005–2009. The report provides a detailed profile of the education sector's demand and supply of skills, its skills development priorities and future skills requirements.

New projects in 2004/05

Student retention and labour market destinations study

In the coming financial year, the Research Programme will be conducting a large-scale study investigating the factors affecting student choice, retention, throughput and destination in six higher education institutions: the University of Fort Hare, the University of the North, the University of Stellenbosch, the University of the Witwatersrand, Pretoria Technikon (now, with Technikon Northern Gauteng and Technikon North-West, the Tshwane University of Technology) and Peninsula Technikon. The study will use two surveys and a series of interviews to understand, on the one hand, why students leave higher education institutions without achieving a qualification and, on the other, what makes graduates employable. Students who graduated from the six institutions in 2002 with a three- or four-year qualification – that is, a three-year Bachelors degree, a Professional Bachelors degree, a postgraduate certificate or diploma, an Honours degree, a National Diploma, or a Baccalaureus Technologiae (BTech) – will be targeted in the graduate destination survey. Partnering the Research Programme in the project will be the Council on Higher Education, the six institutions, and two other Research Programmes in the HSRC (Employment and Economic Policy, and Surveys, Analysis, Modelling and Mapping).

Executive Director

Dr Andre Kraak

Tel: +27 21 466 8082

E-Mail: ahkraak@hsrc.ac.za



INTEGRATED RURAL AND REGIONAL DEVELOPMENT

With poverty reduction as the unifying, overarching theme, the programme's objectives, orientation and activities are designed specifically to address key national, regional and Africa-wide policy priorities

Integrated Rural and Regional Development (IRRD) is a multi-disciplinary research programme whose primary objective is to promote rural development in South and southern Africa, through user-driven policy, monitoring and evaluation and problem-oriented research. With poverty reduction as the unifying, overarching theme, the programme's objectives, orientation and activities are designed specifically to address key national, regional and Africa-wide policy priorities.

Four distinct, but interlocking sub-programmes operate:

- **Land and Agrarian Reform**, under Professor Simphiwe Mini (rotating to Dr Cheryl Walker in 2004/05) which investigates land tenure, land use, land redistribution and restitution, agricultural input and output markets, farm labour and employment, environmental and related issues.
- **Rural Non-farm Development**, under Dr David Hemson, which investigates rural livelihoods, rural infrastructure and service delivery, rural microenterprise support, eco-tourism and related issues.
- **Regional Resource Flows**, under Dr Pieter Kok (rotating to Ms Sanusha Naidu in 2004/05), which investigates human resource, trade and capital flows into, out of and within southern Africa, in part to assist regional integration.
- **Poverty Reduction**, under Dr Michael Aliber, which investigates a wide range of issues related to policy, strategy and practice to reduce poverty in South and southern Africa.

The activities of the four sub-programmes in 2003/04

responded primarily to the national priorities addressed by the South African Government's Social, Economic and International Relations Clusters. In the year ahead, IRRD will position itself to continue and strengthen its capacity to respond, in particular, to the key challenges for these clusters identified in the Presidency's Ten Year Review. These are: "to push back the frontiers of poverty" by bringing the benefits of growth and development to the "second economy" by expanding the size, content and reach of the "social wage", by better service delivery, by mitigating the effects of HIV/AIDS and migration, and by mobilising Africa to achieve the Millennium Development Goals.

Other impulses to which IRRD began to respond were recommendations made in the report of the panel of external reviewers appointed by the Minister of Science and Technology in 2003 to conduct a comprehensive evaluation of the HSRC. Priorities identified – and accepted by the HSRC – include the need for fewer, larger projects; greater and more programmatic external collaboration, especially with historically disadvantaged universities; growing research and collaboration in and with the Southern African Development Community (SADC) and other African countries in support of the New Partnership for Africa's Development (NEPAD); and increasing the policy and on-the-ground impact of the HSRC's research. These will continue to guide strategy for the Research Programme in 2004/05.

In keeping with this strategy, external collaboration has grown rapidly during the past year. External partnerships of various kinds – from individual to institutional – have involved,



among others, offshore and international bodies, such as the World Conservation Union (IUCN) and the (British) Overseas Development Institute. They also included four Science Councils, namely the Council for Scientific and Industrial Research (CSIR), the Agricultural Research Council (ARC), the Medical Research Council (MRC) and Mintek, 12 South African universities (including five historically disadvantaged), several universities in Europe, North America, Australasia and Africa, NGOs and private-sector firms and consultants. Almost every project, other than the smallest, now involves some form of external partnership. Internal collaboration continues at a high level, working with or for other HSRC research programmes, extending to six of the nine fellow programmes.

Clients in the South African Government – our major user-stakeholders – during 2003/04 included the Departments of Science and Technology, Agriculture, Land Affairs, Water Affairs and Forestry, Social Development, Health, Finance and the Presidency, at national level, as well as some at a provincial and parastatal level. Other clients included the British Department for International Development (Dfid), the Swiss Development Corporation (SDC), the European Union (EU), the World Bank,

the United Nations Economic Commission for Africa (UNECA), the United Nations HIV/AIDS Programme (UNAIDS), the United Nations Programme for Women (UNIFEM), the UN Food and Agriculture Organization (FAO) and Oxfam. Research and consulting have also been conducted for a number of other governments in southern Africa, including Lesotho and Namibia, and for Non-Governmental Organisations (NGOs). Research in the region has spanned Lesotho, Malawi, Mozambique, Namibia, Swaziland, Zambia and Zimbabwe.

Full-time staff – all located in either Pretoria or Durban – numbered 18 researchers, two support staff and five contract employees (four researchers and one support staff member).

Major current and recently completed projects

Roughly 50 research projects directed by and registered in IRRD were completed during 2003/04 or were still in progress at the year-end. These include:

Several sections of the **Ten Year Review** for the Presidency, two components of the second phase of which were undertaken in collaboration with other research programmes, namely Surveys, Analyses, Modelling and Mapping (SAMM), Child,



Youth and Family Development (CYFD), Employment and Economic Policy Research (EEPR), Education Policy Research (EPR) and Democracy and Governance (D&G). The first used high level statistical indicators based on administrative data, on the one hand, to assess the impact of a range of public sector programmes on poverty and, on the other, to assess progress since 1994 at a national level using a number of key composite social, economic and political indicators. This posed a number of difficult methodological challenges. The second component complemented the first by conducting on-the-ground studies of the impact of these programmes in eight localities of varying types around the country. The research contributed to the review published by the Government in October 2003. Arrangements have been made to publish edited versions of the locality studies, and negotiations are in progress to publish other parts of the research. Project leaders were Ms Catherine Cross and Messrs Stephen Hanival and Mike de Klerk. The major funder was the *Deutsche Gesellschaft für Technische Zusammenarbeit* (GTZ).

The assessments of **three key rural development policy issues** for National Treasury in 2003 were designed to assist in the drawing up of government's Medium Term Expenditure Framework. The assessments focused respectively on food security, rural infrastructure and the Department of Land Affairs' Land Redistribution for Agricultural Development (LRAD) programme. The project leaders were Mr Mike de Klerk, Drs David Hemson and Michael Aliber, and Ms Catherine Cross.

The **Science and Technology for Poverty Reduction**

(SATPOR) project for the Department of Science and Technology (DST), was commissioned by DST as part of its implementation of the National Science and Technology Strategy. The survey and analysis of initiatives in the public and private sectors that involve the use of innovative technology for poverty reduction, to be completed in 2004, is led by Dr Michael Aliber. The project has brought together the HSRC, the CSIR and the University of Fort Hare as major partners, but also includes a wide range of other bodies, including the MRC, Mintek and the Universities of North-West, the North, the Western Cape, Venda and Cape Town. The budget for the research is R6 million.

The objective of the **Food Insecurity and Vulnerability Information and Mapping System (FIVIMS)** for the Department of Agriculture, is to lead the application of the FIVIMS concept in South Africa by designing and testing a pilot for Sekhukhuniland. The complexity of the tender specifications made it essential to form a broadly-based consortium, calling for a high level of planning, collaboration and project management skills. The foundations for delivery have been carefully laid and work on all sections of the project is expected to commence in earnest during May 2004. Close articulation with other FIVIMS in the region and with Cabinet's Social and Economic Clusters is envisaged. The project leader is Dr Scott Drimie.

The **social wage policy research**, for the Cabinet Social Cluster under the management of the Department of Water Affairs and Forestry, built on a preliminary report submitted by a team led by IRRD in May 2003. A more substantial project has been commissioned to assist in the strengthening of Government's Comprehensive Social Security Framework. High-level statistical analysis is to be complemented by in-depth indicative surveys in a small number of "recipient communities". The results and policy implications are due to be presented to the November 2004 Cabinet *lekgotla*. The project leader is Dr Michael Aliber.

IRRD was awarded a tender for a **Demographic and Health Survey** for the Department of Health to process and analyse the data for this important nation-wide, five-yearly survey, having played a key role in controlling the quality of data coming in from the field. The project, funded by Family Health International for approximately R1 million, is scheduled for completion in 2004. The project leader is Mr Johan van Zyl.

Three projects on **policy in Lesotho**, for UNECA, UNIFEM and the Lesotho Government, spanned the evaluation of the country's macroeconomic Poverty Reduction Strategy Paper (PRSP), gender policy and land policy. The last of these was commissioned to provide the basis for an extensive overhaul of land legislation and involved a range of specialist international and local consultants. It was funded by Dfid and the project leaders were Mr Ben Roberts and Drs David Hemson and Michael



Aliber. The total value of the contracts, completed in 2003, was approximately R970 000.

HIV/AIDS and food security projects in Malawi, South Africa, Swaziland, Zambia and Zimbabwe covered a wide range, varying from a project with the Malawi Farmers Union to formulate policy to respond to the HIV/AIDS crisis in the country's rural areas to an assessment of the vulnerability of households in Swaziland, Zambia and Zimbabwe to food insecurity. Others focused specifically on the impact of HIV/AIDS on food security in the region. IRRD is in discussion with the Department of Land Affairs to extend this research to South Africa. In related work in South Africa, IRRD partnered with Social Aspects of HIV/AIDS and Health (SAHA) to conduct an investigation to inform the establishment of a village for AIDS orphans in Mamelodi, Pretoria. Project leaders were Drs Michael Aliberand Scott Drimie and Ms Khuli Tabela. The projects were funded respectively by RENEWAL, ActionAid, FAO, UNAIDS and SOS Villages, to a total value of approximately R810 000. Some components were completed in 2003, and others are due for completion in 2004.

Joint research with the World Conservation Union (IUCN) on **land restitution and environmentally protected areas** in South Africa will commence in 2004. A Memorandum of Understanding has been signed and fund-raising is in progress to launch a joint research programme to examine how the constitutional commitment to the restitution of land rights to historically disadvantaged communities can be justly and effectively integrated with national and global commitments to the conservation of protected areas. Significant synergy is anticipated from the merging of the HSRC's strength as a research institution with the IUCN's strength as an advocacy and capacity-building body. IRRD's Dr Cheryl Walker is co-leader of the programme.

For the **Southern African Regional Poverty Network** (SARPN), under Acting-Director Mike de Klerk and co-ordinator Richard Humphries, 2003/04 has been a watershed year. SARPN has managed to keep its public profile high on skeleton staffing with events such as the briefing and debate on South Africa's policy on Zimbabwe, addressed by the Deputy-Minister of Foreign Affairs, Mr Aziz Pahad; a two-day workshop on South African corporates' trade with and investment in Africa – which prompted Cabinet-level discussion; and with ever-rising usage of its website. In the meanwhile, based on the feedback from an intensive process of consultation around the region and detailed planning and with the support of the HSRC, SARPN has proceeded with plans to transform itself from an HSRC project into an independent NGO with a truly regional foundation. Guided by its Interim Governing Body, a constitution has now been drawn up and a regionally inclusive Board of Governors

has been appointed. SARPN is expected shortly to become a South African registered trust. Negotiations are at an advanced stage to appoint a director. All of this has been made possible by support from Dfid and SDC totalling R7,8 million over the next two years. While the process of becoming independent has been widely supported and welcomed around the region, stakeholders have made it clear that the network should continue to have a close association with the HSRC. It is confidently expected that both parties will gain substantially from the relationship and that SARPN will play an increasingly important role in helping accelerate poverty reduction in the region.

Future developments

It is pleasing to be able to report not only that the value of externally funded projects secured during 2003/04 met budget, but that it has continued to climb steadily in the current financial year. New contracts signed or being negotiated cover fields in which IRRD has already established its competence – such as evaluating land reform, HIV/AIDS and food security, household poverty, water delivery policy, sanitation, tourism and regional trade, capital and migration flows – as well as in new fields, such as land degradation, land and gender rights, disaster management and homelessness.

Another new contract – with Dfid to conduct a scoping study for their regional health and vulnerability programme – provides evidence of the strength of the ties between SARPN and IRRD. With the appointment of an indigenous knowledge systems specialist in July 2004, it is expected that research will also commence shortly in this important field.

A further new thrust is the relationships that are being developed with major research institutes in China and Canada, from which it is hoped that staff exchanges and joint research on issues of common concern will eventuate.

Together with the development of new corporate management support systems, IRRD's internal support services are being expanded and reconfigured to respond to the rapid increase in the number, size and complexity of new projects. Increasingly the role being played by the IRRD is one of architect, consortium-builder, manager, synthesiser and reporter with only a proportion of the research being undertaken internally – a role from which the client, the broader research community and the HSRC are all seen to gain. We are beginning to realise the enormous potential of inclusiveness.

Executive Director

Mr Mike de Klerk

Tel: +27 12 302 2702

E-mail: mdeklerk@hsrc.ac.za



KNOWLEDGE MANAGEMENT

We are [now] in the business of knowledge production,
 measurement and sharing, and interact with peers
 nationally and internationally

Knowledge Management (KM) has completed its second full year of operations and in many ways has now "cut its teeth". Moreover the original vision that led to the creation of the KM Research Programme has been vindicated by the growth of research output, and a staff that has demonstrated its ability to deliver, to innovate, and to stretch the boundaries of its knowledge and expertise.

We are now in the business of knowledge production, measurement and sharing, and interact with peers nationally and internationally.

KM has grown to comprise 12 research staff. The longest serving members are Professor Michael Kahn, William Blankley and Sagren Moodley who have now been joined by Sulochini Pather, Neo Molotja, Carly Steyn, Iona Gutuza, Nkosikho Batatu, Simone Esua, Yolisa Nogenga, Stanley Ntakumba and Natalie Vlotman. Valda West is our administrator and is assisted by Fredericka Davies. The group represents a sound mix of group, gender, skill and disciplinary focus.

The group was also happy to relocate to new custom-designed premises on the 12th floor of Pleinpark in Cape Town where we now occupy half the available space. This workspace is intended to promote knowledge sharing and also includes a communal lounge area, an important facility that was lacking until now.

At inception the Research Programme was conceived of as covering three overlapping domains: **Information Society**, **National System of Innovation Studies**, and **Knowledge-intensive Research Organisations** respectively, as shown in the diagram. This schema continues to provide a useful cohesion to

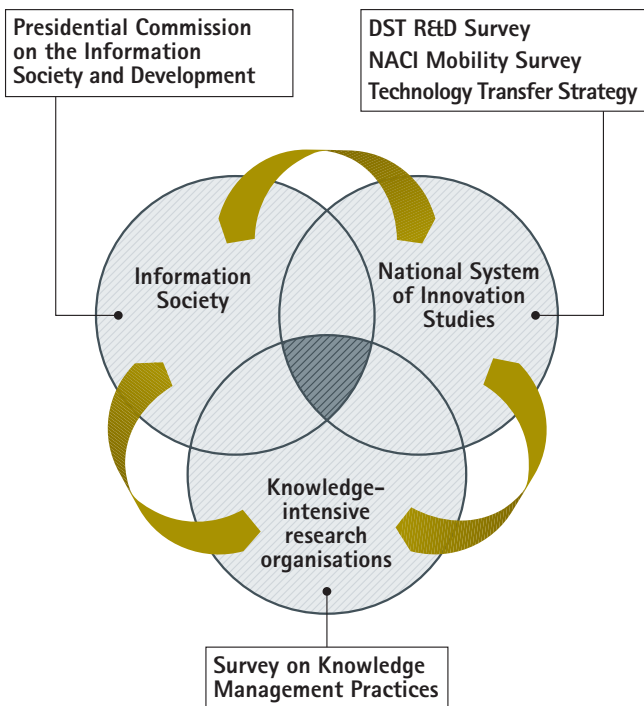


Figure C: The KM Programme



our work and is being retained. We recognise the central overlap area as representing the zone of knowledge management and knowledge sharing. So we shall continue to be known as "Knowledge Management".

The **Information Society** domain has developed a strong working relationship with the **Presidential National Commission** for the Information Society and Development (PNC-ISAD) and was instrumental in preparing the PNC-ISAD Interim Report that was delivered in July 2003. In parallel with that work, KM was appointed as the Research Manager of the PNC-ISAD and took on the responsibility of co-ordinating background research work that the Commission had put out to independent tender. KM has assisted the PNC-ISAD in shaping its thinking regarding its specific recommendations, as well as the form that a future Commission might take.

Within the area of **National System of Innovation Studies** two major studies peaked in January 2004. The first was the publication of the "Key High-Level Results of the 2001/02 Research and Experimental Development Survey", launched by

Minister Ben Ngubane at Parliament. This important study goes to the core of informing decision-making in respect of funding for the **national system of innovation** and shows that national expenditure on research and development (R&D) is now at a level of 0,76% of GDP. This is a modest rise in real terms since the survey was last performed in 1997, but is still short of the target of 1% set in the National R&D Strategy. Other publications based on the Survey are in the pipeline. The R&D Survey will henceforth be conducted annually, with 'lite' and 'full-bodied' versions in sequence. The R&D Survey represents ongoing collaboration between Knowledge Management and Icomtek of the Council for Scientific and Industrial Research (CSIR), who engineered the Survey Management and Results System database for us.

The second study resulted in the publication of *Flight of the Flamingos*. This arose out of the study on the mobility of R&D workers that we effected for the National Advisory Council on Innovation. This work was conducted in partnership with CSIR Policy and the HSRC's Assessment Technology and Education

Evaluation Research Programme (ATEE). The mobility study is a comprehensive piece of research that goes beyond a simplistic "brain drain" approach by seeking to provide evidence on the production, stocks and flows of R&D personnel. Related to this work is ongoing analysis of the production of high-level mathematics and physical sciences students in our schools, which is key to the monitoring of redress.

The publication of *Flight of the Flamingos* was timed to coincide with the inception of our new premises, as well as to mark the conclusion of our first in-house training course.

The course "Issues in Science and Technology Policy", was co-taught by Dr Al Teich, Director of Science and Public Policy of the American Association for the Advancement of Science and Professor Michael Kahn. The course participants included all the KM staff, colleagues from the Universities of Cape Town and Stellenbosch, the Department of Science and Technology, and the Ministry of Higher Education, Science and Technology of Mozambique. Other workshop, conference and course activities will follow over the next months.

This training activity also marks the beginning of the work of the new **Centre for Science, Technology and Innovation Indicators** (CeSTII). The formation of CeSTII on ring-fenced

funding provided by the Department of Science and Technology (DST) arises out of the shared recognition that reliable indicators are now an essential component of strategic planning in government. CeSTII is conceptualised as a **national resource that interacts with a network of peers domestically, regionally and internationally.**

CeSTII will be responsible primarily for the R&D Survey and the Innovation Survey, both being conducted according to Organisation for Economic Co-operation and Development (OECD) guidelines. The first Innovation Survey is scheduled to go to the field in April 2005. In addition we shall conduct other surveys designed to produce a host of indicators for specific sectors, such as Information and Communication Technology (ICT).

In addition to the survey work already mentioned, KM, again in collaboration with CSIR and outside consultants, assisted DST to develop the National Technology Transfer Strategy.

The final area, **Knowledge-intensive Research Organisations**, is now developing and we are currently scoping a **survey on measuring knowledge management practices** that could be deployed across Government in the second quarter of fiscal 2005. KM also collaborated with the HSRC's Democracy and Governance Research Programme on an externally led tender



The R&D survey completed and the conclusion: African R&D expenditure reaches 0,76% of GDP for 2001/02. From left are Mr William Blankley, Chief Research Manager, Ms Simone Esau and Mr Nkosikho Batatu, both Junior Researchers, and Professor Michael Kahn, Executive Director of KM.



for the National Treasury that sought to assemble an understanding of the Statutory Body sector. Our contribution to this was in terms of providing a schematic model of the diversity of Statutory Bodies.

We continue to participate in various knowledge management forums around the country. Furthermore KM has acquired licences for the latest version of ThinkTools® and we expect that a number of our staff will be trained on this methodology early in the new year. ThinkTools® represents a powerful resource for knowledge sharing and strategic planning.

Given the rapid increase in our staff complement, especially at junior researcher level, and given the diversity of backgrounds, we invest heavily in staff development through a variety of means. We were fortunate in enjoying British Council support to send a new staff member to a course on Science and Technology (S&T) Policy at PREST, University of Manchester, have exposed other staff to course work in Monitoring and Evaluation, and support the postgraduate studies of another two. The course led by Al Teich, as well as our externally facilitated *lekgotla* are also part of this commitment to development.

The key users of our work are various Government departments and agencies, especially the Department of Science and Technology, Department of Education, National Treasury, the National Advisory Council on Innovation and the Presidential Commission on the Information Society and Development. We are pleased to be in a position to rapidly respond to queries that arise out of our growing knowledge of the country's R&D base.

Current and recently completed projects

Since the beginning of calendar year 2004 a steady stream of our projects have reached maturity and our list of publications has grown apace. Of particular significance is the way that the research that we have produced is finding its way into the deliberations of relevant policy-makers.

Information Society

Research Manager to the Presidential Commission on the Information Society and Development.

(Project manager: S. Moodley, Senior Research Specialist)

National System of Innovation (NSI) Studies

2001/02 National Survey of R&D Inputs for the Department of Science and Technology. This is to be followed by the "lite" 2002/03 National Survey of R&D Inputs that is currently under development. (Project manager: Professor M. Kahn, Executive Director)

National Technology Transfer Strategy for the Department of Science and Technology (Project manager: Professor M. Kahn, Executive Director)

Design and feasibility study into the National Innovation Survey for the Department of Science and Technology (Project manager: W. Blankley, Chief Research Manager)

Design and publication of *Flight of the Flamingos: A Study on the Mobility of R&D workers* (Project manager: W. Blankley, Chief Research Manager)

Future developments

We are now progressing the work of attaining OECD recognition of the 2001/02 National Survey of R&D Inputs. The ability of countries to measure their R&D performance is one of the conditions for membership of OECD. In addition we are confident that Statistics South Africa will independently confer on the Survey the status of official statistics.

Building a centre with the experience and capacity to undertake national R&D Surveys and Innovation Surveys on behalf of Government on a regular basis is a major task and will occupy a large part of our energies and activities in the coming years.

The anticipated benefits of our work assist Government in meeting its strategic imperatives such as those contained in the South African R&D Strategy to help harness the 'information society', promote effectiveness and efficiency and attain greater competitiveness and create employment opportunities.

Executive Director

Professor Michael Kahn

Tel: +27 21 466 7802

E-mail: mkahn@hsrc.ac.za



SOCIAL ASPECTS OF HIV/AIDS AND HEALTH

SAHA conducts research that is relevant to policy-making
and has become both a national and Southern African
Development Community (SADC) resource



There is a high demand for quality research into the Social Aspects of HIV/AIDS and Health (SAHA) and from an initial budget of R4 million two and a half years ago, this Programme has generated over R130 million in research income. SAHA conducts research that is relevant to policy-making and has become both a national and Southern African Development Community (SADC) resource. SAHA's projects are reputed for their high quality, which is ensured by obtaining independent peer review of both methodology and results.

Current and recently completed projects

The three-year **Social Aspects of HIV/AIDS Research Alliance (SAHARA)** project, with a budget of R17 million, is funded by the UK Department for International Development (Dfid). SAHARA is a network of researchers working on the social aspects of HIV/AIDS in sub-Saharan Africa, conducting simultaneous multi-country and multi-site studies to facilitate the development of best practices that can be rapidly implemented as policy and programmes. It therefore promotes research collaboration and research capacity development through regional structures (Kenya for East Africa, Senegal for West Africa, and South Africa for Central and southern Africa) to ensure that local stakeholders participate in defining research priorities and agendas, enabling the HSRC to act as facilitator. SAHARA is collaborating with the New Partnership for Africa's Development (NEPAD) to inform decision-makers in Africa. A Memorandum of Understanding is being developed to further define the partnership.



SAHARA also publishes the quarterly *Journal of Social Aspects of HIV/AIDS*, the first issue of which was published in May 2004, and organises an annual SAHARA conference attracting mainly researchers, policy-makers, Non-Governmental Organisations (NGOs) and donor organisations from sub-Saharan Africa. The journal includes an initiative to improve scientific writing skills in young researchers from Africa through workshops attached to the SAHARA conference.

Capacity-building for AIDS research in South Africa is a five-year project with a budget of R5 million, funded by the US National Institute for Mental Health (NIMH) through Penn State University. It aims to strengthen research infrastructure and research capacity at the University of the Western Cape (UWC) to develop and sustain cultural and gender-based interventions for the elimination of stigma associated with HIV/AIDS prevention, care and support. The project has three UWC staff members as mentors, and four Masters and two Doctoral students as fellows. Forty postgraduate students will be trained over the five years of the project while conducting research in Cape Town.

The Centre for Applied Social Studies at the University of Zimbabwe commissioned the study on **HIV/AIDS policy in six southern African countries** through the W.K. Kellogg Foundation. The purpose was to review and analyse HIV/AIDS policy, legislation, financing and the implementation of programmes in Botswana, Lesotho, Mozambique, South Africa, Swaziland and Zimbabwe. A report, based on contributions from research teams in the six countries, has been completed.

Strategy for the care of orphans and vulnerable children (OVC) in Botswana, South Africa and Zimbabwe is a five-year project – the largest in the HSRC – with a budget of over R53 million, which is funded by the W.K. Kellogg Foundation. Its main aim is to identify evidence-based best practice OVC interventions and to reduce HIV infection. Excellent progress has been made on the project in all three countries and the W.K. Kellogg Foundation has now decided to provide additional funding to extend the project to Lesotho, Mozambique and Swaziland. The development agencies working with us in the three countries have also begun to transfer financial and

intellectual support to various community-based organisations working with OVCs. In terms of research, the Biomedical Research and Training Institute's Centre for International Health and Policy, the Blair Research Institute in Zimbabwe, the Women's NGO Coalition, the University of Botswana, the Botswana Harvard AIDS Partnership, the HSRC and the Medical Research Council (MRC) in South Africa, have completed literature reviews and most of the situational analysis at the various project sites. The research teams in Zimbabwe and South Africa have completed OVC censuses and are currently undertaking baseline surveys on OVC psychosocial needs and population-based baseline surveys on HIV prevalence and behavioural risks. This information will be used to develop new OVC and HIV/AIDS interventions which will be implemented in all three countries by the end of the year.



Dr Olive Shisana, Executive Director of SAHA, receives the Sekunjalo Investment Group's award for "Social Entrepreneurship and Service to Country" from Mr Ngoako Ramathlodi, former Premier of Limpopo Province (left), with Mr Ebrahim Rasool looking on. Motivating factors for the award were Shisana's work as the former Director General of Health, and her work on HIV/AIDS at the HSRC.

The **two-year HIV/AIDS prevalence, behavioural risks and communication survey in Botswana, Lesotho, Mozambique and Swaziland** provides technical assistance to four countries on the basis of our experience gained in the groundbreaking Nelson Mandela/HSRC Study of HIV/AIDS (2002). It is funded by the European Union through the SADC Health Sector Co-ordinating Unit, with a budget of R4 million, and involves an HSRC-led consortium, including the South African MRC, the Centre for AIDS Development and Research Evaluation (CADRE), and the *Agence Nationale de Recherches sur le Sida* (ANRS). Five countries will be included in the repeat study, namely South Africa, Botswana, Swaziland, Mozambique and Lesotho.

An **HIV/AIDS risk reduction counselling project**, funded by the World AIDS Foundation (WAF) and co-funded by the University of Connecticut through a R1 million grant from the NIMH, has tested a 60-minute, theory-based, HIV/AIDS risk reduction counselling strategy in South Africa for patients presenting with repeated sexually transmitted infections (STIs). Overall, the counselling demonstrated significantly greater use of HIV protective behavioural skills, a greater proportion of protected sexual occasions, and greater likelihood of HIV testing following counselling, compared to the information/education comparison. The WAF grant also provided for a mini-course on **theory-based risk reduction interventions and research** to be given by a team of South African and US-based HIV/AIDS researchers.

The main aim of a two-year project to **determine the demand and supply of educators**, funded by the Education Labour Relations Council (ELRC) with a budget of R21 million, is to understand the determinants of attrition and its relationship to the demand for educators by the system. An important feature is that the study resulted from a demand by policy-makers for better evidence for decision-making. It is guided by a technical task team involving all the teacher trade unions, the South African Council for Educators, the Department of Education, higher education institutions responsible for training teachers, the HSRC, the MRC and the University of Natal Mobile Task Team on HIV/AIDS and Education. The study should increase the understanding of HIV prevalence and the impact of AIDS-related morbidity and mortality, general health status, alcohol and drug use and migration on educators. It is also reviewing several policies of the national education department and unions on HIV/AIDS and educators to determine both their adequacy and how well they are being implemented. The study will yield information to assist the ELRC in planning teacher supply and demand. The project will include more than 20 000 educators in almost 2 000 public schools throughout South Africa.

A study was undertaken to identify potential **risk factors for HIV infection related to marital status in South Africa**.

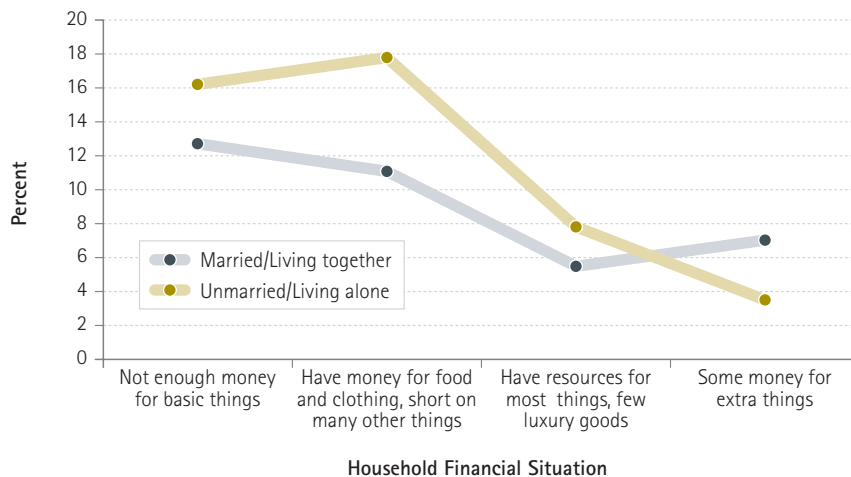


Figure C: HIV prevalence by socioeconomic status and marital status (South Africa 2002)

A representative sample of 6 090 males and females was interviewed and oral fluid specimens were collected to determine HIV status. HIV prevalence amongst married persons was 10,5%, compared to 15,7% amongst unmarried persons. The risk of HIV infection did not differ significantly between married and unmarried persons when age, sex, socio-economic status, race, type of locality and diagnosis of a sexually transmitted infection were included in a logistic regression model. However, the risk of HIV infection remained significantly high among unmarried persons compared to married persons when only sexual behavioural factors were controlled for in the model. *Figure C* shows that the relationship between marital status and HIV is influenced by socio-economic status. First, poor people, regardless of their marital status, have a higher HIV prevalence than wealthy people. Secondly, poor married people, when compared to poor unmarried people, appear to have lower HIV prevalence. However, wealthy married persons compared with wealthy unmarried persons appear to have higher HIV prevalence. The conclusion is that the relationship between marital status and HIV is complex. The risk depends on various demographic factors and sexual behavioural practices. Increased prevention strategies that take the socio-cultural contexts into account are needed for married persons.

A project **investigating the risk factors associated with HIV acquisition among children between two and nine years of age in the Free State province** seeks an explanation for the relatively high levels of HIV infection among children. In particular, it will examine the role of nosocomial infec-

tion (hospital-acquired infections), cultural health practices, traditional midwifery and sexual abuse in the transmission of HIV infection among children. This project, with a budget of R3,9 million, funded by the Nelson Mandela Foundation and the Free State Provincial Government, is a follow-up to the 2002 Nelson Mandela/HSRC Study of HIV/AIDS. The study was set up with technical assistance from the World Health Organization (WHO). Fieldwork commenced during April 2004.

A programme on **substance use prevention** is being conducted to evaluate a training package developed by WHO for the implementation of an alcohol screening and brief intervention (SBI) for the reduction of risky drinking in primary care. The training participants consisted of 121 nurses from one rural and one urban site. When delivered in the context of a comprehensive SBI implementation programme, this training is effective in changing providers' knowledge, attitudes, and practice of SBI for at-risk drinking. The project will be extended to other parts of South Africa with support from the US National Institute of Alcoholism and Alcohol Abuse.

A study on **the role of traditional healers in prevention and care of HIV/AIDS in KwaZulu-Natal**, funded by Bristol-Myers-Squibb (R950 000) and the HSRC, investigates the participation of traditional healers in the prevention of HIV infection and in the care and treatment of people living with HIV/AIDS. The study objectives are: to review what we know about indigenous healers and HIV/AIDS training, prevention, care and support; to identify the perceived needs of healers with regard to HIV/AIDS prevention, care and treatment; to develop

training materials for indigenous healers; to develop a referral system on clinical matters relating to HIV/AIDS between indigenous health practitioners and biomedical practitioners; and to monitor and evaluate the effectiveness of the interventions by indigenous healers in relation to targeted outcomes. A training manual for traditional and biomedical health practitioners has been developed in a participatory approach and will be evaluated in two communities.

A project on **the impact of HIV/AIDS on the health sector** was conducted for the Department of Health with the following objectives: to determine the current status and projected morbidity and mortality among South African health workers; to estimate the number of persons with HIV/AIDS using public health services in South Africa and determine the demographic profile of these patients; to identify the health services most severely affected by HIV/AIDS; to determine the impact of HIV/AIDS on human resources; and to estimate the total cost of administering preventative therapy to newborns and pregnant women at different levels of the health care system. The project found that in 2002, 15,7% of health workers were living with HIV/AIDS and that 46,2% of patients in public hospitals in the four provinces surveyed were HIV positive. Private sector hospitals were also affected, with 36,6% of patients being HIV positive, and 25,7% of primary care patients were living with HIV/AIDS. Of deaths among health workers from 1997–2001,

5,6% were considered HIV/AIDS-related and if TB associated with AIDS is included, the total rises to 13%.

A research project on **the prevention of mother-to-child transmission (PMTCT)** in South Africa, funded by the Ford Foundation with a budget of almost R4 million, aims to determine whether existing health care services are adequately prepared for the introduction and implementation of PMTCT interventions; to identify gaps in antenatal care services; to integrate PMTCT services to ensure that interventions are safe and effective; and to provide guidance for maintaining high quality services through effective monitoring and evaluation of the programme. A cross-sectional survey of 15 health facilities providing PMTCT services in Gauteng was completed for the Gauteng Health Department. In all the facilities assessed, the PMTCT programmes were integrated into antenatal care services. The key illustrative activities that support PMTCT were available in the programme assessed. In a resource-poor PMTCT site in the Eastern Cape, a study was completed on the barriers to effective implementation of PMTCT. The costs of running this PMTCT pilot site were also assessed. The highest economic cost was staff time followed by formula, stores, facilities, training and drugs.

A **new research component, looking at the mental health aspects of HIV/AIDS**, was started during 2003 with support from the Department of Health and the European Union with an amount of R1,6 million. This under-researched

A field worker takes down answers for a SAHA survey questionnaire.





A SAHA team analyses the results from the 2002 Nelson Mandela/HSRC Study of HIV/AIDS. From left: Ms Geraldine Dyson, a contract worker, Professor Leickness Simbayi, Research Director, and Ms Prudence Ditlopo and Mr Sean Jooste, both Senior Researchers.

area in developing countries was launched with a round-table meeting of international experts and interested people from other parts of Africa to set a research agenda. Current research is looking at the prevalence of mental health problems amongst HIV positive people, factors that militate against the development of such disorders and the extent to which mental disorders are a risk factor for contracting HIV. Research is also being conducted on "guardianship" issues for orphans with the intention of contributing to policy for prevention of mental disorders.

Future developments

The repeat study of the Nelson Mandela/HSRC Study of HIV/AIDS: South African national HIV prevalence, behavioural risks and communication household survey (2004), will be conducted by an HSRC-led consortium (including the MRC, CADRE, and ANRS), and is funded by the Nelson Mandela Foundation. The research protocol and questionnaire are still to be finalised but fieldwork is scheduled to take place from mid-2004 and will take two to four months to complete. The report is expected by mid-2005.

A four-year project, **masculinity, gender violence and theory-based HIV risk reduction intervention**, is funded by the US NIMH, through the University of Connecticut. It involves developing and piloting theory-based risk reduction interventions for testing with small groups of men in Cape Town and at a STI clinic. The project commenced on 1 June 2004.

A five-hour training curriculum on alcoholic beverage server intervention to prevent road accidents will be

offered to all alcohol servers in two study communities of about 100 000. A prospective study design will be used to evaluate changes in the self-reported behaviours of 200 trainees using two time-points over one year. In addition, observers in bars will be used to assess the server practices before and after the responsible alcohol service training intervention. This project is funded by the HSRC and commenced 1 May 2004.

The Nelson Mandela Foundation and the *Deutsche Gesellschaft für Technische Zusammenarbeit* (GTZ) have awarded the HSRC a grant of R400 000 over a five-year period for **capacity-building among young researchers** to do doctoral work in the area of social aspects of HIV/AIDS. The HSRC, as part of the SAHARA programme, provides posts for interns for three years, while they are pursuing doctoral degrees in the area of social aspects of HIV/AIDS. The HSRC staff co-supervises the research interns together with the universities in which they have registered. The aim is to produce 20 new doctorates between 2003 and 2008 in the social aspects of HIV/AIDS research. Currently, there are ten doctoral interns working at the Human Sciences Research Council. In addition to their doctoral studies, and work on other HIV/AIDS projects, these interns spend time at the Nelson Mandela Foundation providing technical assistance on projects that the Foundation undertakes.

Executive Director

Dr Olive Shisana

Tel: +27 21 466 7902

E-mail: oshisana@hsrc.ac.za



SURVEYS, ANALYSES, MODELLING AND MAPPING

SAMM reinforces the HSRC's vision
of more relevant and comprehensive
social research

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

SAMM reinforces the HSRC's vision of more relevant and comprehensive social research. Following its annual strategic planning *lekgotla* in 2003, SAMM has reformulated its programme vision to become the choice provider of longitudinal and attitudinal surveys and analyses, as well as geo-information, in South Africa, SADC and Africa.

The Programme was established during the latter half of 2001 and has grown to 20 research staff – six with PhDs – and three office administrators. Three research appointments were made during 2003/04, and the appointment of another two researchers is imminent in the newly established Urban Renewal and Development (URD) Unit.

The Analysis and Modelling Unit co-exists laterally with the Geographical Information Systems, Surveys, and URD Units.

Major current and recently completed projects

The **Analysis and Modelling Unit** brings sound and appropriate methodological aspects to the research carried out within HSRC and externally. The Unit has been involved in various projects, among others the South African Social Attitudes Survey (SASAS) and the 2002 Nelson Mandela/HSRC Study of HIV/AIDS. The

SASAS and Nelson Mandela/HSRC studies were the first studies of their kind to be conducted in South Africa.

Other projects include two studies with the Social Aspects of HIV/AIDS and Health (SAHA) Research Programme, namely the **prevention of mother-to-child transmission of HIV (PMTCT)** in South Africa and a study on the **determinants of demand and supply of educators**. The Unit was also involved in projects for the Government Communication and Information Systems (GCIS), a rural schools project, an impact study of a life skills programme in Gauteng, a study for the National Roads Agency and a study on orphans and vulnerable children (OVC) in Mamelodi.

The role of this team in these projects ranged from project conceptualisation, study design, tender and proposal writing, data management and processing, quality control, statistical analysis and modelling, interpretation and report and publication writing. The team is constantly liaising with peers in the field through conference presentations and professional visits. For example, Professor Samuel Manda from the Statistics Department, Leeds University (United Kingdom) will be on a research visit to the Analysis and Modelling Unit in September 2004. The collaboration between the Unit and other researchers has led to high-quality publications in peer-reviewed journals.

Geographical Information Systems (GIS) Centre undertook three projects with funding from the HSRC's Parliamentary grant.

The intention of the **Census 2001** project was to provide researchers of the HSRC with access to products of the 2001 Census, including the 10% sample and data at an enumerator area



The dilapidated Schubart Park flats in Pretoria – a well-known landmark in central Pretoria and a typical example of urban decay.

level. From these data several other data sets were to be developed including a geo-demographic classification of South Africa at an enumerator area level. To date, the following databases have been developed: service need and provision, the Poverty Gap (see map on page 56) and the Gini Coefficient. Two other databases, one on disposable income and another on the Gross Geographic Product (GGP), are in the process of being developed.

The **spatial modelling** project aimed to develop the capacity of GIS Centre staff. Professor David Martin of the University of Southampton visited South Africa for a week and provided training in the use of census data in GIS for spatial modelling purposes. Staff members of the GIS Centre also attended a course on access modelling, hosted by the Council for Scientific and Industrial Research (CSIR) and presented by Professor Tom de Jong of the University of Utrecht.

The **New Partnership for Africa's Development (NEPAD)** Parliamentary funded project undertook research on the state of GIS and geo-information in the regions and countries of Africa. The aim of this project was to look at existing GIS and geo-information capacity and needs to provide support for NEPAD. Members of the GIS Centre travelled to different regions in Africa and visited institutions in countries like Senegal, Gabon, Cameroon, Kenya, Ethiopia and Egypt.

As a **support unit**, the GIS Centre worked with many researchers in the different research programmes of the HSRC. Extensive support has been provided to the SAHA Research Programme on projects such as the determinants of demand and supply of educators, the OVC project, and the Southern African Development Community (SADC) Health Sector Coordinating Unit technical assistance project. Research was also undertaken in collaboration with the Integrated Rural and Regional Development (IRRDR) Research Programme on the impact of Government programmes as part of the Ten Year Review, migration studies, poverty mapping and the development of a proposal for a Food Insecurity and Vulnerability Information and Mapping System (FIVIMS) for South Africa. Proposals and several smaller projects were conducted in collaboration with researchers from the other programmes.

The GIS Centre was also involved in several externally-funded projects. Three of the more prominent ones were the **pension pay point, financial service access (FSA)** and the **SADC Development GIS** projects. The pension pay point project involved the mapping of all social grant pay points in the country. Teams from the GIS Centre travelled to regions across the country to define the geographic location and collect attribute data for pay points in South Africa. This information will be used

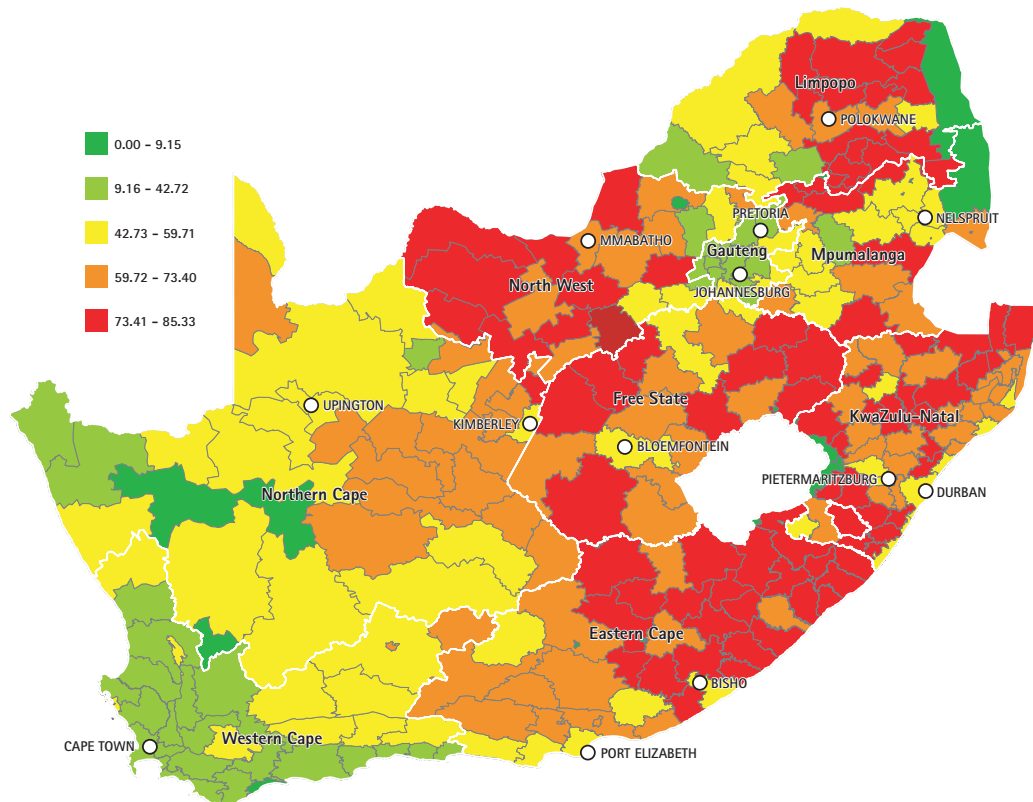


Figure D: Poverty rate by South African municipalities, 2001

to assist the Department of Social Development in their budgeting to maintain these facilities and make critical decisions about optimising the pay points in the country.

The FinMark Trust funds the FSA project and its aim is to provide an extensive spatial database on South Africa's financial services. This project provides critical data for the pension pay point project, which requires an understanding of the location of banks and ATMs, and provides comprehensive data needed to implement the Financial Charter of South Africa in determining what proportion of the population has access to financial infrastructures and their needs for financial services.

The **SADC Development GIS** project has gathered detailed socio-economic information at the equivalent of a district level in most of the SADC countries. This information will be extensively used for the State of the Environment (SoE) reporting in the region and will contribute to continental initiatives such as the Africa Environment Information Network (AEIN). The study has also looked at available census data in the different SADC countries and a feasibility study is being completed in Zimbabwe to see how quickly countries' census enumerator areas can be captured into a GIS. The intention is to seek additional funding with collaborators in the region to complete the capturing of Zimbabwe's census and then to extend this to all other countries that have not yet captured their census data into a GIS.

The **Surveys Unit** conducted the first round of its **SASAS** between August and October 2003. This yielded public opinion responses from a nationally representative 4 980 adults selected from the HSRC Master Sample. Topics included governance, moral issues, education, health, communications, social identity, politics, family, personal violence, poverty and gender. The HSRC

and external researchers will be analysing the resultant data thematically for publication in the first SASAS book, which is scheduled to appear by the end of 2004. The second round of SASAS will start in August 2004 and will include most of the 2003 modules, as well as some new ones.

The Unit also conducted **surveys of HSRC users, stakeholders and staff** as an input to the Institutional Review. Many of the concerns and issues that emerged are currently receiving the attention of management.

Another interesting project was a comprehensive study, in collaboration with Inkwazi Consulting, of the country's **non-business public entities and Government business entities**, including the HSRC, CSIR, Water Boards and public-funded museums. The study was done on behalf of the National Treasury and Department of Public Service and Administration. The resultant report assessed the extent to which these Schedule 3A and 3B entities are operating in compliance with the corporate governance principles of the King Report and the Public Finance Management Act.

A survey for the **National Roads Agency (NRA)** in respect of their main contractors' compliance with the Agency's Small, medium and micro enterprises (SMME) and Black Economic Empowerment (BEE) criteria involved interviews with sub-contractors to determine perceptions and realities of their relationships with main contractors, the NRA, and its civil engineers and route managers.

The Unit was commissioned by Hewlett-Packard to conduct a baseline survey on **the role of information technology in community upliftment** in the Mogalakwena region of Limpopo. The survey assessed the medium- and long-term impact of this



The staff of the new Urban Renewal and Development Unit, from left: Mr Jacques du Toit, Co-ordinator, Ms Shanthinie Francis, Junior Researcher, Dr Udesch Pillay, Executive Director of SAMM, and Mr Fhumulani Thaba and Ms Shirona Parthab, both Junior Researchers.

emergent "inclusion-community" against the resultant baseline data, which included the community's current forms of social, financial, intellectual, physical and other capital as determined by the Livelihoods framework.

A study of **BEE compliance in the information and communication technology (ICT) sector** was also conducted on behalf of the Department of Communications.

The **Urban Renewal and Development Unit** was established on 1 September 2003 in response to a gap in the HSRC's key priority research areas, and owing to scattered urban expertise across the HSRC. The Unit is intended to facilitate the HSRC's urban social research activities by doing applied research with urban space and processes as key analytical variables. It aims to complement existing developmental research programmes, such as the IRRD and D&G Research Programmes, but also to become a national hub of urban social research.

During its first two years of incubation, the Unit is set to identify two research focus areas, firstly, **urban social and physical aspects**, including urban reform, the built environment, housing, transportation, neighbourhoods and communities, crime and grime and identity and exclusion. Secondly, it will study **urban economic and institutional aspects**, including local government, service delivery, local economic development (LED), transformation and globalisation and city regions. Once the Unit has been properly capacitated, a third focus area will be introduced, namely, **urban monitoring and evaluation** of policies, programmes, projects, indicators and benchmarking.

The Unit's flagship project coincides with the Ten Year Review of South Africa's democracy, entitled **The State of our Cities Project (SOCP)**. Placing the Unit at the forefront of national urban policy, the SOCP aims to review research that has informed the preparation of Government's urban policies and programmes since 1994. A call for papers elicited more than 30 proposals. The resultant papers will eventually be published in a book during 2005. This is intended to be an ongoing review, culminating in

a high-quality HSRC publication every second year. All aspects of the project, including its conceptualisation and reviews, are done in consultation with an urban reference group, consisting of esteemed national and international urban scholars.

The Unit's first empirical project entails a **public transport needs and preferences survey in Tshwane**, in collaboration with the Public Passenger Transport Division of the Metropolitan Council. The aim is to update a similar survey that was done in 1998, this time focusing on the inter-modality of passenger rail and expected minimum levels of services required by users. Results from the survey will be used to assess the viability of using existing rail networks and to inform subsequent planning and restructuring in order to provide better public transport services in the metro.

The Unit has already delivered scholarly outputs based on personal and academic research. These include conference papers and accredited journal articles on an inner city urban renewal project in Pretoria and the competitiveness of South African global city regions respectively.

Future developments

SAMM continues with its plans to **track national issues through longitudinal analysis**. The HSRC Master Sample, completed in 2002, makes it possible to visit and interview the same households on successive occasions. The HSRC's annual public opinion survey, now called the **South African Social Attitudes Survey (SASAS)**, incorporates this time-series dimension. The first round of this survey was completed in the latter half of 2003, and the baseline publication is due for release later this year. SASAS will be repeated annually.

In addition, SAMM is planning to roll out a large-scale and repeat-visit **monitoring survey** for Government which, like SASAS, will be conducted annually. A number of Government departments have expressed interest in such a survey, which will allow them to track and monitor their performance over time.

Research on urban development, identified as a national imperative by Government, is an area where SAMM intends making a considerable contribution, and it will be driven by the **Urban Renewal and Development (URD) Unit**. The Unit will incubate in SAMM until it is fully capacitated, after which it could conceivably become a new Research Programme within the HSRC.

Executive Director

Dr Udesch Pillay

Tel: +27 12 302 2502

E-mail: upillay@hsrc.ac.za



SOCIAL COHESION AND INTEGRATION

The question of how we understand the ties and bonds that mesh us all into the social fabric lies at the very heart of the work of the Social Cohesion and Integration (SCI) Research Programme



The question of how we understand the ties and bonds that mesh us all into the social fabric lies at the very heart of the work of the Social Cohesion and Integration (SCI) Research Programme. Now just over two years old, the Programme has special skills in biographical, social science and humanities research and has been highly productive in its short period of operation.

SCI has generated dozens of books, research monographs, chapters in books, journal articles and media coverage and has hosted several important, international conferences and symposia. The programme has a strong African interest and in March this year co-hosted an important meeting in Cairo with Egypt's Ain Shams University on the implications of genomic research for health in Africa.

The five central themes of the Programme are: **Social Fabric Studies**, which include a broad, multi-participant investigation into the functioning of social capital in South Africa; **Science and Society**; **Societies in Transition**; **Media and Transformation**; and **History, Heritage and Culture**.

The current staff complement consists of five researchers, three research interns, an editorial specialist and two administrative staff.

Current and recently completed projects

The book, *Every Step of the Way*, celebrating South African history, was commissioned by SCI on behalf of Education Minister Kader Asmal to mark the ten-year anniversary of democracy. It was published by the HSRC Press and launched in March 2004.



Biology and natural science teachers attending a week-long training course in Cape Town entitled Crossing Over, organised by SCL.

The principal objective of the **Israel, Palestine and South African Experience** project was to inform the peace process in the Middle East with the debates, strategies and experiences of the South African transition from apartheid to democracy. A conference was held at Arabella near Hermanus in May 2003 with top-ranking negotiators and politicians from Israel, Palestine and South Africa.

Phase one of the **Media and Diversity** project was completed in March with the finalisation and launch of a research monograph entitled: *The people's voice: The current state of local media in South Africa*. The report was commissioned in part by the Media Development and Diversity Agency (MDDA), which is currently considering a proposal for the second phase of the project.

The **Africa Genome Initiative** (AGI) works in partnership with other organisations with the following objectives:

- To promote the establishment of South African and African networks among all those engaged in genomic work in whatever capacity, whether scientific, technological, commercial or educational.

- To audit current African resources regarding involvement in the work of the Human Genome Project.
- To encourage the diffusion of up-to-date knowledge regarding the outcomes of the genomics evolution and scientific visual literacy among school learners and their teachers.
- To help strengthen the public's awareness and knowledge of the scientific and other implications of genomic research.

So far in 2004, an **international conference has been held in Egypt**. It was attended by 300 delegates from countries such as Canada, Egypt, Ethiopia, France, Italy, Kenya, Mauritius, Morocco, Nigeria, the Philippines, Sudan, Switzerland, the United Kingdom, the United States and South Africa. At this event 112 research papers were delivered and HSRC staff produced five editions of a daily conference newspaper, the *Daily Genome*.

Other developments are **the production of two books on current genomic debates**; the newly launched quarterly magazine, the *African Scientist*, has published two editions and is preparing a third; and negotiations with provincial curriculum



advisers are underway regarding the **extension of the pilot teacher-training project** devised and tested in 2003. At the Genome conference in Cairo, the Crossingover pilot programme was presented as a research paper entitled *Incorporating Science into Schools*.

The AGI has its own website at www.africagenome.co.za. The site is widely used for research and information.

The **Cohesion and Globalisation project**, with the National Economic Development and Labour Council (Nedlac) as partner, addressed the problems and prospects of social cohesion under globalising conditions in South Africa. It culminated in a book entitled *What Holds Us Together*, which was published in November 2003.

The **South African Cultural Observatory** is the continuation of a project commissioned by the Department of Arts and Culture (DAC) in August 2002. It is concerned with research that promotes arts and culture for economic benefit. The project collects information across the arts and culture sectors, but focuses specifically on six cultural industries, namely arts and craft, film, video and television, heritage, music, publishing and print media. A Cultural Observatory website will be launched in May 2004. It will house recent research relevant to arts and culture with a detailed "handbook" on intellectual property rights as they pertain to cultural industries.

The following research papers have been written:

- Intellectual Property for Cultural Industries;
- Five Industry Profiles namely on music, film and video, publishing and printing, heritage and arts and craft industry.

- There has been a request by the South African Museum Association to publish our paper *Protecting Our Cultural Capital* in the next edition of their journal, *SAMAB*.

The **Living Treasures project** commissions and publishes the biographies of South Africans who have gained global notoriety for their work in the fields of culture, the arts, music and sport. The project was recently awarded a R340 000 contract from the Department of Education to produce booklets and posters commemorating six of South Africa's Living Treasures.

The publications were delivered to 6 000 Further Education and Training (FET) schools as part of the Freedom Day celebrations. Work on the next six booklets and posters, including musician Hugh Masekela, singer Sibongile Khumalo and cricketer Paul Adams, is now underway. These will be distributed to 6 000 FET schools on Heritage Day 2004.

The South African-Flemish **Community Arts Centre project** aims at the development of policy- and capacity-building of community arts centres in KwaZulu-Natal, Free State and Limpopo. Progress has been made with the promotion of take-over of the arts centres from provinces by the municipalities. The arts centres have been assisted in needs analysis for service delivery and the planning of local arts programmes. A consolidated report has been produced for stakeholders and for guiding the activities.

Following on from the workshop between Israelis, Palestinians and South Africans on the developments in the former two countries, a partnership has been agreed with Idasa to conduct a study of **societies in transition** in a number of countries. Initial discussions with the Department of Foreign



Affairs have also taken place and they have expressed an interest in the project. The study will consider the factors that have contributed to the success or failure of transitions to democracy in developing countries. The focus of the study will be the southern African region, South America and Asia. A book of the proceedings of the Arabella workshop – held in 2003 – is currently being edited.

A panel of editors, chaired by the Editor of *The Star*, Moegsien Williams, has selected the contributors to the *Media Handbook of Excellence* and chapters have been commissioned. The book, which will serve as a moral and technical compass for entry-level journalists, is due to be published in the latter half of 2004.

A proposal to launch an enquiry into **road safety issues, violence, crime and safety** has been presented to the ministry.

The **Social Fabric Study** is essentially research into what has been termed social capital. It considers the relationship between the social networks, informed by trust, that enable reciprocity on the one hand and social cohesion, social dialogue, social investment, social activism and development on the other. This project has essentially been conceptual to date. DAC has recently agreed to contribute to funding the study. The unit is in negotiations with DAC to finalise this support. Discussions have also been held within the HSRC to look at collaboration on the project. The project is a partnership with the University of the Western Cape (UWC), Inyathelo, Nedlac and the Provincial Development Council (PDC). There is a comparative aspect to the study that considers the southern African region.

Occasioned by the find of remains of former inhabitants of the city of Cape Town at Prestwich Street, the **Reintegrating the City project** is a collaboration between the HSRC and the Prestwich Place Steering Committee. The find has stimulated discussion on patterns of land use, ownership, forced removals and the issue of slavery. The study will seek to consider what policies can be put in place to ensure a balance between memory, social justice and development. The project has been sent out to potential funders in government and the private sector.

The **Artist Signatures project** aims to raise the status of South African art by compiling a digital register of South African artists and their work. The register will also contain information on copyright as well as debates and practices concerning the monetary value of the works. Research for this project will begin in May 2004.

A project on **stigma and disease** commenced in early 2004. A paper "Aids stigma in historical context: Literature review" was due to be presented at the Second Conference on HIV/AIDS Research hosted by the HSRC in Cape Town in May.

A paper, *The subtle power of intangible heritage* was pub-



lished in the HSRC occasional paper series.

The **Biography and Society project**, which culminates in the publication of a book about distinguished South African social scientists and which commemorates their contribution to world scholarship, is due to be implemented in 2004.

Future developments

SCI is currently in the process of appointing a new Executive Director. Professor Wilmot James, the founding head of the SCI Research Programme, is moving on to a senior position in Government.

A number of important developments are currently in SCI's pipeline. These include the first phase of a Social Capital and Social Justice project, commissioned by DAC, the launch of the South African Cultural Observatory, a resource of culture-based information and analysis, and a research project on Social Stigma and its impact on the treatment and prevention of HIV/AIDS.

Several media projects are pending, including research into the impact of commercialisation on the media, and the production of a handbook of media excellence.

The unit will also be involved in preparations for the third African Genome Initiative conference in 2005 which will take place in Nairobi, Kenya, and which will be focusing on vaccines.

Acting Executive Director

Mr Adrian Hadland

Tel: +27 21 466 8060

E-mail: ahadland@hsrc.ac.za



CORPORATE SERVICES

CS has striven to achieve continuous improvement in all its activities through the implementation of various projects mainly focused on staff professional development, virtual research information management, and upgrading of technical infrastructure

Corporate Services (CS) provides support to the ten HSRC research programmes and to the corporate functions, for example, the business planning and budgeting cycles. The support comprises human resources, building and facilities (operations), information technology, information services and project finance.

CS has striven to achieve continuous improvement in all its activities through the implementation of various projects mainly focused on staff professional development, virtual research information management, more effective research management systems, and upgrading of technical infrastructure. The full senior management team of CS is now in place with the recruitment of the Director: Operations in January 2004.

Current and recently completed projects

As part of a continued focus on developing staff competence and capacity, the Human Resources (HR) Directorate developed and adopted a **Professional Development Framework** during the year under review. The Framework was one of the key areas identified in both the Institutional Review and the HSRC planning *Jekgotla*. It aims to develop staff competence across the organisation in a focused and continuous process that will allow the organisation to deliver on its key performance areas in a sustainable manner.

Aligned to the Framework was the finalisation and adoption of a **new sabbatical policy for the HSRC**. The staff association was consulted, and the sabbatical policy will form part of the revised Conditions of Employment, implemented in March 2003. The policy specifically aims to ensure that the HSRC researchers

sustain their scholastic development, which is a key aspect of retaining our status as a reputable research institute.

For HR the highlight of the year was the implementation and roll-out of the **HSRC Direct AIDS Intervention**, an HIV/AIDS management policy and programme for staff and their immediate families. Both the staff union and internal expertise from SAHA were consulted, and Alexander Forbes contributed towards a policy framework. The programme itself is outsourced and managed by Alexander Forbes and utilises various expert service providers. It covers the important aspects of awareness and education, voluntary counselling and testing, wellness maintenance, provision of treatment and supplements, monitoring of the development of the disease and, importantly, counselling and support for both infected and affected staff.

The Information Services (IS) Directorate continues to play a significant role in advancing social science research through the provision of a **proactive desk research and library service**.

During the year under review, the focus has been on the **enhancement of the collection development policy** to reflect the needs of the research programmes, as outlined in the HSRC business plan. To this end, the book collection was weeded, the journal collection was extended and new books were procured.

A **virtual library** has been developed that provides access to millions of full text social science information as well as over 30 000 full text journal titles via the intranet, which has become the preferred medium for the delivery and sharing of operational and business-related information. A database was developed for the **storage and archiving of HSRC research publications and reports**. Information Services also facilitates a "virtual com-

munity of interest" portal for the Gender Network team.

The **South African National Research Information Consortium** (SANRIC) was established in June 2004 at a meeting of IS representatives attached to the eight science councils. Its key strategic objectives are to promote co-operation and collaboration and to explore sources of finance for the enhancement of information delivery for the science councils.

In terms of Section 32 of the Promotion to Access to Information Act 2 of 2000, a **manual containing the HSRC's policies, procedures and records** was compiled. The HSRC did not receive any requests for information in this regard.

The year has been an exciting one for the Project Finance (PF) Directorate. In consultation with the research programmes, PF made substantial **improvements to the existing financial system** to translate results supporting research management processes and decisions.

The primary focus during this year was the **further definition of the research management processes** together with research leaders to provide more effective management reporting. The result is a more accessible, user-friendly system that enables research leaders to have easy access to project-related information.

During the year under review, PF also conducted a **series of workshops to streamline business processes** and to define a user-friendly framework for new HSRC policies and procedures. Similar workshops were conducted in other CS departments. This exercise is critical to facilitate the delivery of corporate services in a rapidly evolving organisation in a decentralised environment.

The Information Technology (IT) Directorate **consolidated and outsourced its helpdesk and end-user support services** to CS Holdings. This provided the HSRC with a centralised helpdesk, call register and out-of-hours support. The management of the wide-area network was also outsourced to Telkom's Customer Network Centre to improve service levels and bandwidth management. The Tertiary Education Network (TENET) continues to provide the HSRC with Internet access.

The **physical network infrastructure was upgraded and expanded** in all HSRC offices by replacing obsolete switching equipment and recabling the offices with higher-specification network cables.

The systems development team and the IS department **redeveloped the Internet and intranet using open-source software and an open-source web server**, consequently making significant savings in licensing costs. IT also ran a pilot document-management project to assess the functionality and process changes needed to implement an electronic document-

management system to manage intellectual property.

The Operations Directorate carried out several **refurbishment projects**, commencing with the expansion of the 12th floor of Pleinpark Building in Cape Town, to accommodate staff from three new research programmes.

The HSRC also completed the refurbishment of five floors in the Pretoria office to create a more enabling and collaborative working environment. Two of the five floors have been occupied and the final move commenced at the end of April 2004. Security doors were installed on each floor order to enhance security.

Future developments

The HR department recently conducted an employment equity workshop with executive directors. An employment equity programme is in the process of being developed and implementation will be phased in during the course of 2004.

Following the termination of a tender process for the acquisition of a new Enterprise System, CS conducted a workshop in June 2003 to develop a proposal to research leaders on a suitable alternative. This led to the conceptual definition of an in-house system and the initiation of the Insight Engine project. This project achieves a more affordable up-grade of existing HSRC systems (finance, HR, time-recording, research outputs and an outreach database of funders, collaborators and experts) and integration with a project-management system. New processes, policies and procedures will be defined and mapped with the support of workflow software to provide system access to users in various research programmes across multiple locations.

In addition, relevant hardware to provide a more reliable technical infrastructure will be acquired and configured to support integrated system architecture. The system will also have an information portal to provide front-end information access to all users of key organisational information. As part of the technical upgrade, a tender has been awarded for the supply and installation of a new telephone system.

The 2003 HSRC Review recommended that CS further strengthen support services. These recommendations will be taken forward during the 2004/05 financial year with Project Insight and the CS capacity plan.

Executive Director

Ms Roshani Rampersadh

Tel: +27 12 302 2448

E-mail: rrampersadh@hsrc.ac.za



OFFICE OF THE CEO

The Office of the CEO provides strategic support to the CEO, the HSRC Council and the organisation as a whole

The Office of the CEO provides strategic support to the CEO, the HSRC Council and the organisation as a whole. During 2003/04, the CEO's office consisted of the following components: Council Secretariat, Business Development, Corporate Communications, International Relations, Internal Audit and HSRC Publishing.

A major undertaking of the Office of the CEO during 2003/04 was to provide planning, administrative and logistical support for the **2003 Institutional Review Panel**. This required the input and involvement of all components in the HSRC and turned out to be a remarkable team effort.

The two-week review period required strong logistical support to enable the seven-person Review team to meet with all the internal and external stakeholders who were invited to contribute to the review process. This was often done in parallel sessions in Pretoria and Cape Town to enable maximum exposure to the viewpoints of the many stakeholders of the HSRC. After the final review report was submitted to the HSRC Council, the CEO's Office also ensured that the report, with the Council's receiving statement, was published and widely disseminated for public information and comment within a very short time period.

The **Council Secretariat** ensured that quarterly Council meetings, and meetings of the Audit Committee, took place in an efficient and orderly manner. Documentation was prepared and circulated well in advance of meetings, to enable informed discussion and decision-making. The Minister of Arts, Culture, Science and Technology joined the Council at its meeting in August 2003, where members of the Council were also asked to





The outgoing Council (from left), Mr Enver Motala, Professor Wally Morrow, Dr Nolulamo Gwagwa, Mr Max Sisulu, Ms Phumelele Ntombela-Nzimande, Dr Mark Orkin, and Professor Jakes Gerwel (Chair).

remain in office for a further six months, in order to receive, and respond to, the report of the Institutional Review Panel.

The Council Secretary also compiled and disseminated strategic business documents and minutes, compiled supporting documents for research *lekgotlas*, followed up on decisions, and acted as secretary to the monthly workshops of executive directors, meetings of the Research Ethics Committee and meetings between Management and the Union.

With regard to the Ethics Committee, a major achievement during the 2003/04 financial year was the successful application to the US Office of Research Protections for Federalwide Assurance within its first year of operation. (Federalwide Assurance FWA 00006347 is posted at <http://ohrp.cit.nih.gov/search/asearch.asp>).

The **Business Development Unit** expanded from one permanent staff member to three. The Unit provides planning, co-ordinating and logistical support for the submission of tender and grants applications, as well as advisory and drafting services for contractual agreements with clients and subcontractors.

The Unit regularly selects funding and tender opportunities

which are discussed fortnightly at Research Business Meetings, which provide the opportunity to discuss and identify potential internal and external collaborators for specific invitations, and to decide on appropriate responses. Only opportunities that support the HSRC's strategic objectives, skills base, and known research capacity, are responded to.

The Unit also captured information on submissions and their outcomes to obtain an overview of relative success rates of various types of applications, and reasons for successes or failures. The following came to light:

- Of 128 funding applications recorded in 2003/04, 73% were known to be successful by May 2004. This is above the average of international standards for similar development-research organisations, and is probably attributable to the HSRC's highly selective responses to tender opportunities.
- Some 53 proposals were recorded in response to competitive calls for tenders, the majority of which were prepared with external collaborators. By May 2004, the known success rate of these types of proposals was



Delegates from the Chinese Academy of Social Sciences (CASS) visited the HSRC in March 2004. From left, Professor Wei Cunping (CASS), Dr Christa van Zyl (HSRC) and Professor Yang Lihua (CASS).

40%. If only South African competitive tender applications are taken into account, some 44 tender proposals were submitted, of which 14 were known successes by May 2004 – a success rate of 32%.

- Proposals prepared following direct approaches from potential collaborators, often from international research institutions, and often in the form of a restricted tender opportunity, resulted in a high success rate (details are in Section 4 of the Council's report).

The growth in external research incomes and the increase in the volume of research contracts, resulted in the appointment of a Contracts and Grants Co-ordinator in November 2003. His appointment will provide improved advisory services to help

strengthen the relationship between project planning, final proposal packaging and contract administration.

During 2003/04, the Unit also assisted the CEO in the production of periodic reports to the Minister and Department of Science and Technology (DST), and for the National Advisory Council on Innovation. These reports, as well as strategic planning sessions in the organisation, have contributed to the preparation of the strategic planning framework to accompany the HSRC's medium-term expenditure framework submission, as well as the budget submission for 2004/05.

The position of **International Relations** Director was not filled in 2003/04 and the Office of the CEO provided support for inter-institutional networking and collaboration, both nation-



ally and internationally, with the help of line function experts in the research programmes.

International relations were strengthened at institutional, programme, project and individual level. In terms of inter-institutional collaboration, the existing Memorandum of Understanding between the HSRC and the Chinese Academy of Social Sciences (CASS) resulted in a visit of two scholars to the HSRC towards the end of 2003/04. The planned visit of an HSRC research delegation had to be postponed to May 2004, due to the earlier outbreak of severe acute respiratory syndrome (SARS) in China.

The regular exchange between South African researchers and researchers from the French *Centre National de la Recherche Scientifique* (CNRS) took place in Bordeaux, France during October 2003 and focused on the broad theme "Africa in the world". Following a call for papers administered by the National Research Foundation (NRF), eight South African social scientists, including three from the HSRC, were selected to participate in the workshop. The HSRC provided support to the NRF and CNRS in planning the theme for the workshop and providing overall academic guidance. Several other visits from delegations seeking inter-institutional collaboration and exchange of information were received during 2003/04, from countries such as Canada, Iran, Kenya, Lesotho and the Netherlands.

The CEO followed up on a recommendation of the 2003 Institutional Review Panel to meet with like social science research institutions in other parts of the world. During 2003/04, he visited the International Social Science Council (ISSC) in Paris, the Economic and Social Research Institute in Dublin, and participated in a workshop of the METAGORA (Measuring Democracy, Human Rights and Good Governance) international research consortium in Paris.

Inter-institutional collaboration between the HSRC and organisations with similar interests in South Africa and other parts of Africa is also receiving more focused attention. A working group consisting of executive directors is currently considering general guidelines to support such agreements.

At programme and project level, research linkages with institutions and individuals in other parts of the world with similar or complementary fields of research expertise also thrived. International conferences were arranged and attended, collaborative funding proposals submitted, and inter-institutional visits facilitated.

A new Director of **Corporate Communications** was appointed in September 2003. She took over from the Marketing Manager of HSRC Publishers who had assumed responsibility as part-time Acting Director since December 2002.

She took up the challenge of improving internal communication by conducting an audit of the various existing internal



The 2003 Institutional Review Panel, from left: Ms Pregs Govender, gender expert, former MP and Chairperson of Parliamentary committee on women; Professor Caroline Hamilton, Director of the Graduate School for Humanities and Social Sciences, University of the Witwatersrand; Professor Teboho Moja (USA/SA), Professor of Higher Education, New York University School of Education and a member of the 1996 National Commission on Higher Education (SA); Dr Jim Mullin (Canada), Mullin Consulting Ltd and science system expert who led the system-wide review of science councils in 1998; Dr Zav Rustomjee, former Director-General of the Department of Trade and Industry, and now responsible for the Southern African energy strategy of BHP Billiton; Professor Aki Sawyerr (Ghana), Director of the African Association of Universities, who also served on the 1997 HSRC review panel; Dr Trevor Coombe, former Deputy Director-General of the Department of Education and Director of the Centre for Education Policy Development, Evaluation and Management (CEPD), currently specialist advisor to the Director-General of Education.

and external communication channels. This resulted in the establishment of an internal electronic newsletter to update staff on organisational and other topical issues. She also commenced the development of a comprehensive communications strategy.

A media strategy was put in place in November 2003, incorporating a suggestion by Council to interact closely with community newspapers and regional radio stations with the aim to disseminate information not only by means of the mainstream media, but also to people living in townships and rural areas.

The year under review saw a steady climb in media coverage emanating from the whole of the HSRC, culminating in media coverage – known as advertising value equivalent (AVE) – of R4,5 million in March 2004 alone. The media monitoring service that monitors and evaluates media, radio and television coverage, reported an estimated free coverage to the value of R22,9 million for 2003/04, compared to R3,3 million during 2002/03 and R1,2 million in 2001/02.

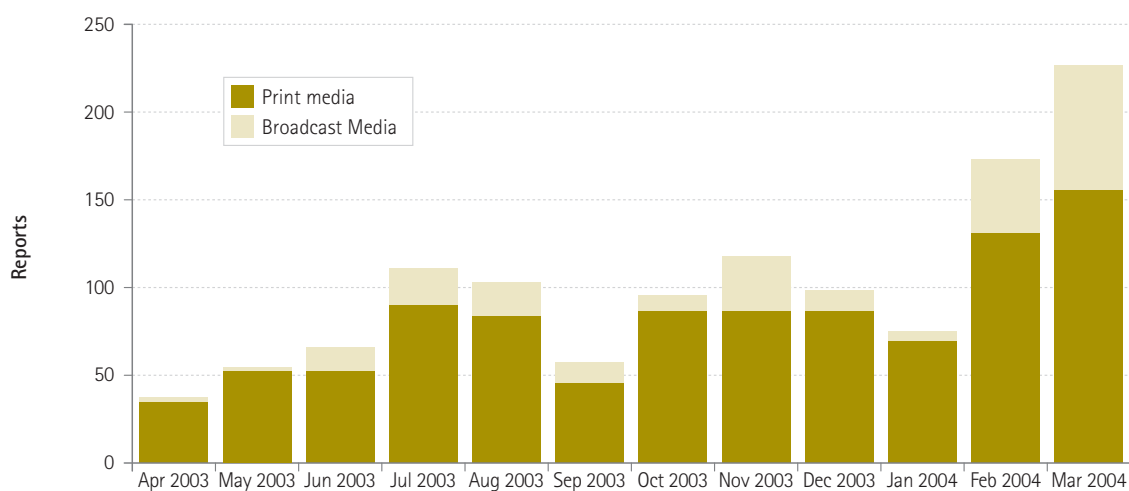


Figure E: Number of HSRC-related media reports

Other highlights included the following:

- the continued production of the *HSRC Review*, a quarterly news bulletin distributed to Parliamentarians, donors, funders, NGOs, schools and diplomats;
- support for the launch of research reports and books, for example the presentation to media and MPs of voting intentions for 2004 elections covered in the new annual South African Social Attitudes Survey (SASAS), and the launch of the 2003 Human Resources Development Review;
- the organising of several major events, such as the 2002/03 Annual Report launch, conferences, the 2003 year-end function, exhibitions, and the regular "Happy Hours" for staff members;
- provision of graphic design support to research programmes and exhibitions.

Plans for 2004/05 include a "climate" survey among staff, in collaboration with the Human Resources Directorate, to establish communication needs within the HSRC and staff perceptions regarding the HSRC as a workplace.

The **Internal Auditor** reports directly to the CEO and the Audit Committee. The adopted Internal Audit Plan for 2003/04 is based on the Risk Assessment Exercise conducted by Deloitte & Touche during 2001/02, and forms part of the three-year roll-out plan to address the identified risks. An update on the risk assessment was intended for 2003/04 and was replaced by a planned follow-up of the 2001 Control Culture Assessment Exercise.

During the year under review, Deloitte & Touche was also contracted to perform the Corporate Governance Review, as well as developing the Fraud Prevention Plan as required by Treasury Regulations. The IT Audit was contracted out to MSGM Masuku Jeena Inc.

The Control Self-Assessment Exercise was planned for the year under review and has been rescheduled for 2004/05. A co-sourced partner, in conjunction with the Internal Audit, will perform this exercise.

The Internal Audit Department performed several compliance audits based on the approved Internal Audit Plan, carried out investigations and conducted *ad hoc* activities.

For the 2003/04 reporting year, the **HSRC Publishers** began to deliver on the goals of its ambitious publishing strategy as a non-profit publisher for the "public benefit". The principal components of this strategy are the effective dissemination of HSRC research outputs and establishing rigorous quality control for publications. Key achievements in this regard include the following:

- HSRC Publishers has established and implemented an international distribution network to ensure that its publications reach all corners of the globe. This has been achieved by entering into agreements with highly reputable distributors of academic publications.
- To further its aims of effective dissemination, HSRC Publishers has entered into co-publication agree-



Guests at the launch of the publication *Sexual abuse of young children in southern Africa*.

ments on selected titles with publishers ranging from established academic houses, such as Cambridge University Press, to specialist social science publishers, such as the Nordic Africa Institute.

- An initiative to bring seminal Francophone texts, published by the Council for the Development of Social Science Research in Africa (CODESRIA), to their Anglophone counterparts is in progress, furthering the aim of disseminating African scholarship across the linguistic divide.
- To raise the visibility of HSRC publications, joint marketing efforts, such as shared international exhibitions, have been held with other social science research organisations.

The commitment to publish academic research of quality entered a new phase with the constitution of an Editorial Board. The role of the Board is to receive and consider reports from external reviewers on proposed publications.

In line with its dissemination mandate, HSRC Publishers offers free electronic publications online. However, orders for printed publications have grown substantially. For the year under review 7 327 HSRC publications were bought, representing an increase of 217% over the previous year. In addition, 5 900 publications were sold to co-publishers. Therefore a

total of 13 227 publications produced by the HSRC entered the market during this period.

The cumulative turnover, from direct sales and co-publication sales for the period, amounted to R1 248 218 – a 124% increase on the previous year's sales turnover.

In addition, HSRC Publishers has developed significant visibility for the HSRC's research output via conference exhibitions, book launches, workshops developed around publications and media coverage of publications – targeted at a cross-section of stakeholders through the mass media, academic publications and focused mailing lists. Appreciation for the HSRC Publishers within the publishing industry has grown, resulting in bookshops' increasing willingness to stock titles, and the agreement of major retail outlets, such as Amazon.com, to list the HSRC's publications.

In the year ahead the focus will be on consolidating and advancing achievement thus far, in service of the mandate to publish social science that makes a difference.

Chief Executive Officer

Dr Mark Orkin

Tel: +27 12 302 2000

E-mail: fmorkin@hsrc.ac.za

HSRC INTERNAL SEMINARS SERIES

April 2003. **The contribution of "Agricultural Science" to sustainable rural development: Evidence from the senior certificate examination results.** Dr Andrew Paterson and Mr Fabian Arends, HRD.

April 2003. **Crime and Place: The use of GIS to test crime mobility in South Africa.** Ms Gina Weir-Smith, SAMM.

April 2003. **Music, cults and cultures: Their interaction among various Native American groups.** Dr Robert Rollin, Youngstown State University, Ohio, USA.

May 2003. **HIV/AIDS mainstreaming into district development: The Ministry of Local Government's experience from Botswana.** Dr Paolo Craviolatti, Policy Advisor for Development, Planning and HIV/AIDS, AIDS Co-ordinating Unit, Ministry of Local Government, Botswana.

May 2003. **Urban convergence, international best practice and the urban policy process in South Africa.** Visiting Professor Richard Tomlinson, Graduate School of Public and Development Management, University of the Witwatersrand.

May 2003. **Perspectives on adolescent risk and measurement issues.** Professor Ralph J. DiClemente, Charles Howard Candler, Professor of Public Health and Associate Director, Emory/Atlanta Center for AIDS Research, USA.

May 2003. **Free trade in education: The implication of the general agreement on trade services for the developing world and South Africa.** Dr M.T. Sehoole, Department of Education, University of Pretoria.

June 2003. **Document management – theory and practice.** Dr Lucia Lotter, Information Technology Unit, HSRC, and Dr Andrew Paterson, HRD.

June 2003. **The evolution skin of colour and the sociology of race.** Professor Wilmot James, SCI.

June 2003. **Are there new ways to address the crisis of poverty in South Africa?** Ms Margaret Legum, Chair of the South African New Economics (SANE) network.

July 2003. **Mexico's recent economic and social transition in the context of globalisation.** His Excellency, Mr Mauricio de Maria y Campos, Mexican Ambassador to South Africa.

July 2003. **On the way down: How HIV hits rural household labour.** Ms Catherine Cross, IRRD.

July 2003. **Strengthening human rights-related policy implementation in the public service.** Mr Vino Naidoo, D&G.

August 2003. **The specificity of women's resistance in South African history. Drawing on the oral testimony of women in the Eastern Cape.** National Women's Day celebration and discussion. Dr Janet Cherry, D&G, and responded, Dr Sheryl Walker, Department of Psychology, University of Pretoria.

August 2003. **Targeting for the poor: Health care access in South Africa.** Dr Gayle Martin, independent health economist.

August 2003. **Measuring research performance and quality.** Dr Prem Naidoo, Director of Accreditation and Co-ordination, Council on Higher Education.

August 2003. **Constructing an 'heroic' South African subject: The autobiographical fictions of Harold Strachan.** Professor John Daniel, D&G, and Ms Zoe Molver, English Department, University of Durban-Westville.

August 2003. **Municipal commonage administration: Can the new-look municipalities promote emergent farming?** Ms Anja Bensler, D&G.

September 2003. **Human capital valuation: New perspectives.** Professor Gerard Evers, Human Capital Evaluation, Tilburg University, USA.



Annual HSCR Winter Research Conference.



September 2003. **Globalisation and the impact of HIV/AIDS on the labour force.** Ms Jocelyn Vass, EEPR.

September 2003. **Women's Human Rights and the "culture" of violence in South Africa.** Dr Kristina Bentley, D&G.

September 2003. **No shortcuts to power: African women in politics and policy making.** Dr Shireen Hassim, Department of Political Science, University of the Witwatersrand.

October 2003. **South African e-government initiative: The launching of "South Africa Online".** Mr Jack Shilubane, Department of Public Service, Ms Pumza Tuswa, Gateway Project, SITA, Mr John Mokolo, DPSA, and Mr Mandla Ngcobo, TELKOM.

October 2003. **Re-thinking the National Qualifications Framework.** Dr Molapo Qhobela, Mr Themba Ndhlovu, and Ms Gugu Nyanda, all from the national Department of Education, and Dr Trevor Coombe, a consultant.

October 2003. **Ethnic variation in family influences on child health in South Africa.** Professor Tim Heaton, Department of Sociology, Brigham Young University, USA.

October 2003. **Fostering partnerships for developmental government: The case of the DAC Community Arts Centre Programme.** Dr Gerard Hagg, D&G.

October 2003. **Affirmative action American style: Implementing race-conscious policies in an individualistic society with a divided public.** Professor Gary Orfield, Civil Rights Project, Harvard University, USA.

October 2003. **Measuring quality education, gender equality and human development.** Dr Elaine Unterhalter, Institute of Education, University of London.

October 2003. **Gender and poverty: Engendering political and spiritual power in Western Uganda.** Professor Ed Steinhart, Department of African History, Texas Tech University, USA.

November 2003. **Emotional impacts arising from the HIV/AIDS pandemic.** Professor Melvyn Freeman, SAHA.

November 2003. **Evaluating gender equality and curriculum 2005.** Professor Linda Chisholm, CYFD.

November 2003. **I am: A research programme on integrated community asset mapping, mobilisation and management.** Ms Geci Karuri, Ms Lee Rosenzweig and Ms Mwansa Said, CSIR.



The colourful Talking Beads exhibition at the HSRC's 2003 Women's Day Seminar.

December 2003. **Workshop on the HSRC research strategy on violence against women and children.** Dr Janet Cherry, D&G.

January 2004. **Are globally competitive "city regions" developing in South Africa: Formulaic aspirations or new imaginations?** Dr Udesch Pillay, SAMM.

February 2004. **Proxies for class. A study of African learner performance in mathematics and physical science.** Professor Michael Kahn, KM.

February 2004. **The impact of HIV/AIDS on the South African health services.** Dr Olive Shisana, SAHA, and Mrs Elsje Hall, EEPR.

March 2004. **Indigenous knowledge systems and public authority: Implication for institutional transformation.** Professor Catherine A. Odora Hoppers, Visiting Professor, Stockholm University, Sweden.

March 2004. **Fatherhood and moral identity: Lessons from the socio-cultural tradition.** Dr Nhlanhla Mkhize, University of KwaZulu-Natal, Pietermaritzburg.

March 2004. **Knowledge for development.** Dr Simon McGrath, HRD.

March 2004. **The state of truth: Evidence and authority in the work of the Truth and Reconciliation Commission (TRC).** Dr Janet Cherry, D&G.

RESEARCH OUTPUTS 2003/04

Books, chapters in books and monographs**Published by HSRC Publishers**

- Akojee, S. 2003. Private further education and training. In: *Human Sciences Research Council. Human resources development review 2003: Education, employment and skills in South Africa*. Cape Town: HSRC Press.
- Aliber, M. & Mokoena, R. 2003. The land question in contemporary South Africa. In: Daniel, J., Habib, A. & Southall, R. (eds) *State of the nation: South Africa 2003-2004*. Cape Town: HSRC Press.
- Aliber, M., Walker, C., Machera, M., Kamau, P., Omondi, C. & Kanyinga, K. 2004. *The impact of HIV/AIDS on land rights: Case studies from Kenya*. Cape Town: HSRC Publishers.
- Altman, M. 2003. The state of employment and unemployment in South Africa. In: Daniel, J., Habib, A. & Southall, R. (eds) *State of the nation: South Africa 2003-2004*. Cape Town: HSRC Press.
- Altman, M. & Mayer, M. 2003. Overview of industrial policy. In: Human Sciences Research Council. *Human resources development review 2003: Education, employment and skills in South Africa*. Cape Town: HSRC Press.
- Amoateng, A.Y. & Richter, L. 2003. The state of families in South Africa. In: Daniel, J., Habib, A. & Southall, R. (eds) *State of the nation: South Africa 2003-2004*. Cape Town: HSRC Press.
- Anderson, B.A. 2003. Paper 2: Fertility, poverty and gender in South Africa. In: Department of Social Development in collaboration with Child, Youth and Family Development Research Programme. *Fertility: Current South African issues of poverty, HIV/AIDS & youth. Seminar proceedings*. Cape Town: HSRC Publishers.
- Atkinson, D. 2003. The state of local government: Third-generation issues. In: Daniel, J., Habib, A. & Southall, R. (eds) *State of the nation: South Africa 2003-2004*. Cape Town: HSRC Press.
- Badroodien, A. 2003. Enterprise training. In: Human Sciences Research Council. *Human resources development review 2003: Education, employment and skills in South Africa*. Cape Town: HSRC Press.
- Badroodien, A. 2003. Local labour environments and FET colleges: Three case studies. In: Cosser, M., McGrath, S., Badroodien, A. & Maja, B. (eds) *Technical college responsiveness: Learner destinations and labour market environments in South Africa*. Cape Town: HSRC Publishers.
- Badroodien, A. 2004. Technical and vocational education provision in South Africa from 1920 to 1970. In: McGrath, S., Badroodien, A., Kraak, A. & Unwin, L. (eds) *Shifting understandings of skills in South Africa: Overcoming the historical imprint of a low skills regime*. Cape Town: HSRC Press.
- Badroodien, A. 2004. Understanding the size of the problem: The National Skills Development Strategy and enterprise training in South Africa. In: McGrath, S., Badroodien, A., Kraak, A. & Unwin, L. (eds) *Shifting understandings of skills in South Africa: Overcoming the historical imprint of a low skills regime*. Cape Town: HSRC Press.
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- Chidester, D., Dexter, P. & James, W. 2003. Conclusion: Social cohesion in South Africa. In: Chidester, D., Dexter, P. & James, W. (eds) *What hold us together: Social cohesion in South Africa*. Cape Town: HSRC Press.
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- Chidester, D., Hadland, A. & Prosalendis, S. 2003. Globalisation, identity and national policy in South Africa. In: Chidester, D., Dexter, P. & James, W. (eds) *What hold us together: Social cohesion in South Africa*. Cape Town: HSRC Press.
- Chisholm, L. 2003. The state of curriculum reform in South Africa: The issue of Curriculum 2005. In: Daniel, J., Habib, A. & Southall, R. (eds) *State of the nation: South Africa 2003-2004*. Cape Town: HSRC Press.
- Cosser, M. 2003. Graduate tracer study. In: Cosser, M., McGrath, S., Badroodien, A. & Maja, B. (eds) *Technical college responsiveness: Learner destinations and labour market environments in South Africa*. Cape Town: HSRC Publishers.
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- Gamble, J. 2003. *Curriculum responsiveness in FET colleges*. Cape Town: HSRC Press.
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Occasional papers

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- Benjamin, P. 2003. *The Universal Service Agency's telecentre programme: 1998-2000*. Surveys, Analyses, Modelling and Mapping Research Programme. Occasional Paper No. 2. Cape Town: HSRC Publishers.
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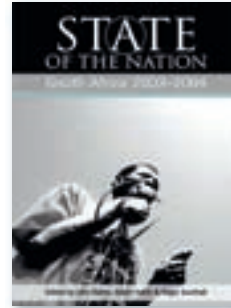
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ABBREVIATIONS

AEIN - Africa Environment Information Network	FSDP - Free State Developmental Plan	S&T - Science and technology
AGI - Africa Genome Initiative	GCIS - Government Communication and Information Systems	SABS - South African Bureau of Standards
AHGI - Africa Human Genome Initiative	GGP - Gross Geographic Project	SADC - Southern African Development Community
AMASA - Assessment of Maths and Science in Africa	GIS - Geographical Information System	SADET - South African Democratic Education Trust
AMI - Assessment Modelling Initiative	GTZ - Deutsche Gesellschaft für Technische Zusammenarbeit GmbH	SAHA - Social Aspects of HIV/AIDS and Health
ANRS - Agence Nationale de Recherches sur le Sida	HDI - Historically Disadvantaged Individuals	SAHARA - Social Aspects of HIV/AIDS Research Alliance
ARB - Assessment Resource Bank	HEI - Higher Education Institution	SALGA - South African Local Government Association
ARC - Agricultural Research Council	HE - Higher education	SAMM - Surveys, Analyses, Modelling and Mapping
ATEE - Assessment Technology and Education Evaluation	HEMIS - Higher Education Management Information Systems	SANE - South African New Economics
AVE - advertising value equivalent	HR - Human Resources	SANLI - South African National Literacy Initiative
BEE - Black Economic Empowerment	HRD - Human Resources Development	SANRIC - South African National Research Information Consortium
CADRE - Centre for AIDS Development and Research Evaluation	HSRC - Human Sciences Research Council	SARPN - Southern African Regional Poverty Network
CASS - Chinese Academy of Social Sciences	ICT - Information and communication technology	SARS - Severe acute respiratory syndrome
CDC - Centre for Disease Control and Prevention	IDC - Industrial Development Corporation	SASAS - South African Social Attitudes Survey
CeSTII - Centre for Science, Technology and Innovation Indicators	IEC - Independent Electoral Commission	SATPOR - Science and Technology for Poverty Reduction
CETO - Confederation of Trade Unions	IFPRI - International Food Policy Research Institute	SBI - Screening and Brief Intervention
CGE - Computable general equilibrium	IICBA - International Institute for Capacity-Building in Africa	SCI - Social Cohesion and Integration
CIDA - Canadian International Development Agency	IRDP - Integrated Rural Development Programme	SDC - Swiss Development Corporation
CMIP - Consolidated Municipal Infrastructure Programme	IRRD - Integrated Rural and Regional Development	SETA - Sector Education and Training Authority
CNRS - Centre National de la Recherche Scientifique (French National Centre for Scientific Research)	IS - Information Services	SETI - Science, Engineering and Technology Institutions
CODESRIA - Council for the Development of Social Science Research in Africa	ISSC - International Social Science Council	Sida - Swedish International Development Co-operation Agency
COSATU - Congress of South African Trade Unions	IT - Information Technology	SITES - Second Information Technology in Education Study
CS - Corporate Services	IUCN - World Conservation Union	SME - Small and medium enterprise
CSG - Child Support Grant	IYF - International Year of the Family	SMMEs - Small, medium and micro enterprises
CSIR - Council for Scientific and Industrial Research	JET - Joint Education Trust	SMTE - Science, maths and technology education
CYFD - Child, Youth and Family Development	KM - Knowledge Management	SOCP - State of our Cities Project
D&G - Democracy and Governance	LED - Local economic development	SoE - State of the Environment
DAC - Department of Arts and Culture	LIEP - Language-in-education policy	SSP - Sector Skills Plan
DANIDA - Danish Agency for Development Assistance	LMA - Labour Market Analysis	STI - Sexually Transmitted Infection
Dfid - Department for International Development (UK)	LRAD - Land Redistribution for Agricultural Development	SWOP - Sociology of Work Unit
DLN - District Learning Network	MDA - Media Development and Diversity Agency	TENET - Tertiary Education Network
DMA - District Management Area	MEDUNSA - Medical University of South Africa	THETA - Tourism and Hospitality Education and Training Authority
DPLG - Department of Provincial and Local Government	METAGORA - Measuring Democracy, Human Rights and Good Governance	THRIP - Technology and Human Resources for Industry Programme
DoC - Department of Communications	MRC - Medical Research Council	TIMSS - Trends in International Mathematics and Science Study
DoE - Department of Education	NACI - National Advisory Council on Innovation	TIPS - Trade and Industrial Policy Strategies
DPRU - Development Policy Research Unit	NEDLAC - National Economic Development and Labour Council	TRC - Truth and Reconciliation Commission
DST - Department of Science and Technology	NEPAD - New Partnership for Africa's Development	TVET - Technical and Vocational Education and Training
DTI - Department of Trade and Industry	NEUM - Non-European Unity Movement	UCT - University of Cape Town
ECSECC - Eastern Cape Socio-Economic Consultative Council	NGO - Non-Governmental Organisation	UNAIDS - United Nations HIV/AIDS Programme
ED - Executive Director	NIMH - (US) National Institute for Mental Health	UNECA - United Nations Economic Commission for Africa
EFA - Education For All	NMF - Nelson Mandela Foundation	UNESCO - United Nations Educational, Scientific and Cultural Organisation
EEPR - Employment and Economic Policy Research	NQF - National Qualifications Framework	UNICEF - United Nations Children's Fund
ELRC - Education Labour Relations Council	NRA - National Roads Agency	UNIFEM - United Nations Programme for Women
EMIS - Education Management Information System	NRF - National Research Foundation	UNISA - University of South Africa
EPR - Education Policy Research	NSDS - National Skills Development Strategy	URD - Urban Renewal and Development
ETDP SETA - Education Training and Development Practitioner Sector Education and Training Authority	NSI - National System of Innovation	USAID - United States Agency for International Development
EU - European Union	OECD - Organisation for Economic Co-operation and Development	UWC - University of the Western Cape
FAO - Food and Agriculture Organization (UN)	OVC - orphans and vulnerable children	VCT - Voluntary Counselling and Testing
FASSET - Financial Services and Management Sector Education and Training Authority	PDC - Provincial Development Council	VFR - Visit family or relatives
FOSAD - Forum for South African Directors-General	PEAC - President's Economic Advisory Council	WAF - World AIDS Foundation
FET - Further Education and Training	PF - Project Finance	WHO - World Health Organization
FIVIMS - Food Insecurity and Vulnerability Information and Mapping System	PFMA - Public Finance Management Act	WKKF - W.K. Kellogg Foundation
FSA - Financial service access	PMTCT - Prevention of mother-to-child transmission	WSSD - World Summit on Sustainable Development
	PNC-ISAD - Presidential National Commission for the Information Society and Development	
	PRAESA - Project for Alternative Education in South Africa	
	PRSP - Poverty Reduction Strategy Paper	
	QLP - Quality Learning Project	
	R&D - Research and Development	
	RBSD - Resource-based sustainable development	
	RBTC - Resource-based Technology Clusters	

ANNUAL FINANCIAL STATEMENTS

31 March 2004

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ANNUAL FINANCIAL STATEMENTS

31 March 2004

Introduction

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

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

Approval and post-balance sheet events

The 2003/04 Annual Financial Statements set out on pages 86 to 132 were approved by the Council of the HSRC on 20 May 2004. In the Council's opinion the Annual Financial Statements fairly reflect the financial position of the HSRC at 31 March 2004 and the results of its operations for the period then ended. No material facts or circumstances have arisen between the date of the balance sheet and the date of approval, which affect the financial position of the HSRC as reflected in these Financial Statements.

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

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

Professor G.J. Gerwel
Chairperson: HSRC Council

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

Dr F.M. Orkin
President and CEO

Pretoria, 20 May 2004



REPORT OF THE AUDITOR-GENERAL

to Parliament on the financial statements and the performance information
of the Human Sciences Research Council for the year ended 31 March 2004

1. Audit assignment

The financial statements as set out on pages 86 to 132, for the year ended 31 March 2004, have been audited in terms of section 188 of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996), read with sections 3 and 5 of the Auditor-General Act, 1995 (Act No. 12 of 1995) and section 13(3) of the Human Sciences Research Act, 1968 (Act No. 23 of 1968). These financial statements, the maintenance of effective control measures and compliance with the relevant laws and regulations are the responsibility of the accounting authority of the Human Sciences Research Council. My responsibility is to express an opinion on these financial statements, based on the audit.

The performance information contained in the Council's report for the year ended 31 March 2004 as set out on pages 86 to 114 is the responsibility of the accounting authority. My responsibility is to provide an assessment of the fairness and consistency of the performance information of the Human Sciences Research Council (HSRC) against the predetermined objectives set out in the Human Sciences Research Council's strategic plan. My role is not to express an opinion on the appropriateness and relevance of the performance measures themselves nor to evaluate or comment on the entity's actual performance.

2. Nature and scope

2.1 Audit of financial statements

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

An audit includes:

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

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

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

2.2 Audit of performance information

The Human Sciences Research Council has reported its performance on pages 112 to 114 of its Council's report, under the title "Table 6: Performance targets". My assessment covers only that section, but does not include all other pages of the Council's report. To assess this additional information adequately would require a separate examination. I did review the entire report for consistency with the performance information.

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

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



3. Audit opinion

3.1 Audit of financial statements

In my opinion, the financial statements fairly present, in all material respects, the financial position of the Human Sciences Research Council at 31 March 2004 and the results of its operations and cash flows for the year then ended in accordance with generally accepted accounting practice and in the manner required by the Public Finance Management Act, 1999 (Act No. 1 of 1999).

3.2 Audit of performance information

In my opinion, the performance information furnished in terms of section 55(2)(a) of the Public Finance Management Act, 1999 (Act No. 1 of 1999) fairly presents, in all material respects, the performance of the Human Sciences Research Council for the year ended 31 March 2004 against predetermined objectives on a basis consistent with that of the preceding year.

4. Emphasis of matter

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

4.1 Internal audit

The Internal Audit Charter of the HSRC does not comply with Treasury Regulation 27.2.5 which requires that the purpose, authority and responsibility of the internal audit function must, in consultation with the Council, be formally defined in an audit charter and be consistent with the Institute of Internal Auditors definition of internal auditing. Furthermore, the internal audit function did not have a formal audit methodology as required by Treasury Regulation 27.2.6. During the 2003/04 financial year, the audit committee and the Council took the decision to outsource the internal audit function as from the 2004/05 financial year.

5. Appreciation

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

N. Manik
for Auditor-General

Pretoria
14 July 2004

COUNCIL'S REPORT

for the period ending 31 March 2004

1. Mandate and objectives of the HSRC

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

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

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

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

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

2. Governance of the HSRC

2.1 The Council

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

More colloquially, and in this report, "the HSRC" is taken to refer to the wider organisation – including approximately 270 employees in five centres – and "the Council" to the abovementioned group of people, who are the governing body of the wider HSRC.

The Council receives its annual Parliamentary grant from, and also reports to, the Department of Science and Technology (DST).

2.2 Members of the Council

The term of office of the Council appointed from 1 November 1999 expired on 31 October 2003. The Minister of Arts, Culture, Science and Technology extended this period by six months, to allow Council to receive and respond to the Report of the Institutional Review, which took place in October 2003. The Minister of Science and Technology subsequently extended Council's term of office by a further six months, until 31 October 2004.

Members of the Council during the 2003/04 period were:

- Professor G.J. Gerwel (Chair)
- Dr N.N. Gwagwa
- Mrs N. Jordan
- Professor W.E. Morrow
- Mr E. Motala
- Mrs P. Ntombela-Nzimande
- Mr M.V. Sisulu
- Dr F.M. Orkin (President and Chief Executive Officer of the HSRC)



Dr V.T. Maphai was a member of Council until 31 October 2003. At the conclusion of the reporting period there were three vacancies on the Council.

In March 2003 the Minister of Arts, Culture, Science and Technology called for nominations for suitable candidates to be considered for appointment to the next HSRC Council. The new Minister of Science and Technology will appoint this Council following due consultation and approval by Cabinet. The new Council's four-year term of office will start on 1 November 2004.

The Council met on 29 May 2003, 28 August 2003, 27 November 2003 and 16 February 2004.

2.3 Responsibilities of the Council

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

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

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

The PFMA requires organisations funded with public money to formalise delegations. Council approved written delegations to the CEO on 15 August 2002. These in turn provide the framework for delegations from the CEO to the executive directors (EDs) of the ten research programmes and Corporate Services, which were approved on 29 May 2003. The preparation of onward delegations from the EDs to directors and other senior levels of staff was nearly completed by the end of the financial year.

On the basis of the Annual Financial Statements for 2003/04 and information regarding the forthcoming financial year, Council has every reason to believe that the HSRC will remain a going concern. It continues to receive substantial Parliamentary grant funding via the Science Vote (increased to R78,336m plus R4,5m ring-fenced grant for 2004/05). External research income targets are likely to be met or exceeded, based on historical evidence and a substantial amount of external income already secured in the form of longer-term research contracts or grants (an estimated amount of R61m for 2004/05 was already contracted by February 2004).

2.4 Subcommittees

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

2.4.1 Executive Committee

On 31 March 2004 the Executive Committee comprised the following members:

Professor G.J. Gerwel (Chair)

Mr E. Motala

Dr F.M. Orkin (President and CEO)

Dr V.T. Maphai was a member of the Executive Committee until 31 October 2003. The Executive Committee did not need to meet during the year under review.

2.4.2 Human Resources Committee

On 31 March 2004 the Human Resources Committee comprised the following members:

Mrs N. Jordan

Dr F.M. Orkin (President and CEO)

Dr V.T. Maphai was Chairperson of the Human Resources Committee until 31 October 2003, whereafter the position of Chair became vacant. The Human Resources Committee met jointly with the Remuneration Committee on 29 May 2003, 28 August 2003, 27 November 2003 and 16 February 2004.

COUNCIL'S REPORT

for the period ending 31 March 2004 (continued)

2.4.3 Remuneration Committee

On 31 March 2004 the Remuneration Committee comprised the following members:

Professor G.J. Gerwel (Chair)
Mr E. Motala
Dr F.M. Orkin (President and CEO)

Dr V.T. Maphai was a member of the Remuneration Committee until 31 October 2003. The Remuneration Committee met jointly with the Human Resources Committee on 29 May 2003, 28 August 2003, 27 November 2003 and 16 February 2004.

2.4.4 Research Committee

On 31 March 2004 the Research Committee comprised the following members:

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

Dr V.T. Maphai was a member of the Research Committee until 31 October 2003. The Research Committee met on 23 January 2004. Members of the Research Committee also monitored and contributed to the HSRC Research Conference in June 2003.

2.4.5 Audit Committee

The members of the HSRC Audit Committee are appointed for a calendar year. During 2003/04 the Audit Committee comprised two specialist external members (plus one vacancy) and two members of Council.

The specialist members were:

Mr S.A.H. Kajee, BCompt (Hons) CIA AGA (SA) MBA (Chair)
Mr R.J. Page-Shipp, MSc

The members of Council on the Audit Committee were:

Dr N.N. Gwagwa
Dr F.M. Orkin (President and CEO)

The Audit Committee functions in accordance with the PFMA and associated Treasury regulations. Although the Audit Committee has not yet adopted formal terms of reference as outlined in the King Report, it structures its activities and reporting according to a comprehensive planned schedule, with target dates. It reviews the following documents, and reports on them to the ensuing meetings of the Council: annual internal audit plan, the external audit plan, periodic internal audit reports, the proposed budget for the year, quarterly and annual financial statements, debtors' reports and the annual external audit report of the HSRC.

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

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

During 2003, a corporate governance review was undertaken by co-sourced internal audit partners. The report of this review was noted by Council and points for follow-up action were identified. In accordance with the requirements of the PFMA, a draft fraud prevention plan was prepared and a finalised version will be considered for approval by Council. The Audit Committee also supervised an Information Technology audit, undertaken by co-sourced internal audit partners.

It met on 8 May 2003, 7 August 2003, 18 November 2003 and 5 February 2004.

2.5 Research Ethics Committee

Council approved the establishment of a Research Ethics Committee (REC) in 2002, with the mandate to scrutinise all HSRC research proposals from the perspective of research ethics. The REC aims to promote a culture of ethical conduct and research



integrity in the HSRC, and reports annually to Council. It has ten internal representatives from the research programmes and five external members. It is empowered to recognise the authority of ethics committees at other institutions to approve proposals on behalf of the HSRC where necessary. The REC began functioning in April 2003. During the remainder of the financial year it met ten times and considered some 40 project proposals. All proposals were approved; some following incorporation of feedback from the Committee and re-submission. The REC revised the HSRC Code of Research Ethics in 2003/04. It successfully applied to the US Office of Research Protections for Federalwide Assurance within its first year of operation and was granted Institutional Review Board status. (Federalwide Assurance FWA 00006347 posted at <http://ohrp.cit.nih.gov/search/asearch.asp>.)

During 2003/04 the external Committee members were:

- Professor Peter Cleaton-Jones – Dental Research Institute, University of the Witwatersrand (Chair)
- Professor Martin Prozesky – Unilever Ethics Centre, University of Natal
- Dr Percy Mahlati – Senior Technical Advisor to the Director-General of the Department of Health
- Ms Khanyisha Nevhuthalu – Ethics Institute of South Africa
- Dr Martin Bulmer – University of Surrey, UK

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

2.6 Council members' remuneration

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

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

Where Council members are requested to provide additional advisory services to the HSRC on the basis of their professional specialities, they are reimbursed in accordance with the professional advisory fees recommended by the Auditor-General. These services include requests for a member of Council to serve on interview panels for executive directors, in accordance with an agreement reached with the Union in 1998.

2.7 Council members' interest in contracts

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

2.8 Losses, irregularities and other matters

No instances occurred of losses or irregularities as referred to in section 55(2)(b) of the PFMA, and defined in the Materiality Framework developed and agreed in terms of Treasury Regulations 28.1.5:

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

- (i) any **material** losses through criminal conduct and any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year. Materiality is defined as follows: In terms of losses through criminal conduct, any identified loss should be reported. Losses through irregular, fruitless, and/or wasteful expenditure should be reported if the combined total exceeds the planning materiality figure used for the year under review, in this case R432 665, or 0,25% of the overall budget for 2003/04;
- (ii) any criminal or disciplinary steps taken as a consequence of such losses or irregular expenditure or fruitless and wasteful expenditure;
- (iii) any losses recovered or written off;
- (iv) any financial assistance received from the state and commitments made by the state on its behalf, and
- (v) any other matters that may be prescribed.

The organisation did not suffer any material losses through criminal conduct or any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year; thus there were no criminal or disciplinary steps taken as a consequence nor any losses recovered or written off.

COUNCIL'S REPORT

for the period ending 31 March 2004 (continued)

2.9 Review of the Human Sciences Research Council

During 2002/03 Council was entrusted by DST to provide terms of reference to, and receive the report of, a Panel appointed to undertake an independent Institutional Review of the HSRC. The Review was planned in 2002/03, and took place in 2003/04.

This undertaking was intended to assess the extent to which recommendations from the 1997 Institutional Review of the HSRC, and 1998 System-wide Review of all science councils, had been implemented. In addition, the following issues were raised in the terms of reference to the Review Panel:

- the relevance of the HSRC – the impact it is achieving and the appropriateness of its objectives;
- the performance of the HSRC in its sphere of operations nationally and internationally – its use of resources and production of outputs;
- how the HSRC is contributing, and can better contribute, to meeting South African and African development priorities;
- organisational issues, and
- possible implications or recommendations for a new name and Act for the organisation.

The Review Panel consisted of the following members:

Professor Akilagpa Sawyerr (Ghana), Chairperson

Dr Trevor Coombe (South Africa), Deputy Chairperson

Ms Pregs Govender (South Africa)

Professor Carolyn Hamilton (South Africa)

Professor Teboho Moja (USA and South Africa)

Mr James Mullin (Canada)

Dr Zavareh Rustomjee (South Africa)

Preparations for the Review were overseen by a planning committee, which included Mr Enver Motala as Council representative, Dr Trevor Coombe as local representative of the Review Panel, members of Executive Management and research EDs.

The Review took place from 29 September to 10 October 2003. During this time, members interacted extensively with dozens of internal and external stakeholders and were supplied with extensive documentation. The bulk of their work was done in Pretoria, but they also visited the HSRC office in Cape Town.

The Panel presented a draft of its report to members of the HSRC Council and Executive Management on 10 October. Feedback from this interaction was incorporated into the final report submitted to Council on 14 November 2003.

In the Preface to the Review Report, the Chairperson of the Panel remarked on the openness of the review process, and concluded that "the HSRC of 2003 is a different and much better organisation than the HSRC of 1997", having earned the respect given to it for "the breadth, quality and relevance of its contributions to the study and practice of social development in South Africa".

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

- a proposed set of five "public purposes" for the HSRC, to inform deliberations on the fundamental purpose of the HSRC, as input to the preamble of the proposed new Act, and for setting of programme priorities;
- more systematic and sustainable models of research networking and collaboration in South Africa and Africa;
- operational issues, including the need to strengthen services and systems to support research activities in the various offices of the HSRC;
- ongoing and deepened transformation in the organisation and its research activities, taking into account gender and disability alongside race as particular concerns, and emphasising the special needs of previously disadvantaged and marginalised communities and individuals, and
- engaging with questions of data preservation, access to data and intellectual property as part of a public policy debate and process.



The Report was published and widely distributed for public comment in December 2003. It is also available on the HSRC's website at www.hsrc.ac.za.

Council recorded its appreciation to the members of the Panel in a Foreword to the Report, and pointed out that there were many recommendations that it readily accepted, whereas others would require further consultation and deliberation. Council affirmed that the task of the HSRC to foster collaborative research networks was not separable from, nor should it overweigh, the HSRC's continuing responsibility to undertake policy-relevant research in the social interest. In addition, the Council felt that the proposed public purposes of the HSRC required careful reflection and consultation before including them in new legislation. The financial and other implications of some recommendations would also need to be weighed before commitments could be made in such regard.

The recommendations of the Review Panel fed into the strategic research planning process of the HSRC at its November *lekgotla*, and helped it to identify strategic objectives for 2004/05.

At its February 2004 meeting, Council approved a scheme that summarised the main recommendations of the Review, identified steps to respond to the recommendations, setting provisional time frames and identifying responsible persons. The CEO and Executive Management of the HSRC will be taking this process forward, and report to Council on progress made.

A number of other science councils also held their reviews during the previous two years. A special meeting of COHORT, the Committee of Heads of Research and Technology Institutions, held on 4 March 2004, reflected on lessons learned from the recent reviews. This meeting was facilitated by the HSRC.

2.10 Strategic focuses of the Council's term

The Report of the previous Institutional Review of the HSRC, in 1997, had concluded that the organisation was overloaded with administrative staff, inward-looking, unrepresentative, beset by cumbersome procedures, and producing work of uneven relevance and quality. This Report effectively provided the transformation agenda for the new Council, which took office in 1999, and for the new CEO, who was appointed by the Council in 2000. The aim of the transformation was to equip the HSRC to respond better to its mandate, to undertake and to foster comprehensive policy-relevant research oriented towards development priorities in South Africa and the continent, especially as expressed in the needs of major Government and public-sector users.

The diagnoses of the 1997 Review, read in conjunction with the HSRC's mandate, indicated five major areas to the new Council and CEO in which far-reaching improvements had to be achieved: sustainability, networking, relevance, representivity and excellence.

To undertake these improvements, an action-oriented strategy was developed in consultation with HSRC research and support divisions as well as the Council and other stakeholders: the HSRC's five-part "COUPE" strategy, summarised in the vision of "Social science that makes a difference". The five components of the acronym are:

- Increasing **contract** earnings and grants from research foundations – achieved especially through large-scale, multi-project, interdisciplinary research programmes – in line with annual targets, to ensure the HSRC's financial sustainability.
- Undertaking assertive **outreach** to universities, NGOs and other research entities, locally and internationally, in order to build networks of collaboration in these programmes and their component projects.
- Ensuring the relevance of the programmes by focusing on the needs of **users** – especially of public-sector entities and Government departments at national, provincial and local level – for policy-relevant research and implementation monitoring.
- Enhancing organisational **performance**, in line with key performance indicators, in two key respects: improving representivity in regard to race, gender and disability through focused recruitment as well as capacity-building; and improving organisational efficiency with competitively sized, technologically equipped, service-oriented support functions.
- Achieving **excellence** in two related respects: by assuring the quality of research through publications as well as professional engagement; and advancing the qualifications of the researchers through professional development.

COUNCIL'S REPORT

for the period ending 31 March 2004 (continued)

The COUPE strategy is monitored through organisation-level Key Performance Indicators (KPIs), both quantitative and qualitative, developed within the well-known "balanced scorecard" framework at the instance of the DST. The indicators included in this Report are aligned with the simplified approach recommended by DST in 2003. A set of quantitative indicators is tabulated in section 10, and a subset of seven key indicators and associated targets is covered each year in the message from the CEO in the Annual Report.

The relevance of the measures is scrutinised each year by the HSRC Council and its Audit Committee. From time to time DST also requests extra coverage. Progress against annual targets is monitored by the CEO, who introduces additional measures where targets are not yet achieved (e.g. the introduction of a quota system to ensure representivity, and the inclusion of journal publications as a requirement in researchers' conditions of service).

During 2003/04, the Key Performance Areas (KPAs) of staff, which provide the framework for the annual setting of each staff member's performance objectives and the performance appraisal a year later, were aligned with the COUPE strategy. In this way, the system for managing and mentoring performance has been aligned to the strategic focuses of the wider organisation.

In addition, in terms of corporate governance, this was the first HSRC Council to be entrusted with the range of responsibilities outlined in the PFMA of 1999, the principles of the two King Reports on Corporate Governance and the Protocol on Corporate Governance in the public sector.

The Council's Report in the 2002/03 Annual Report included a cumulative overview of the major changes and achievements during the four years of its term of office until that time. This need not be repeated here. Rather, new developments in the latest financial year, with the necessary comparative historical context, are set out below. Broad organisational developments are outlined in section 3. The expansion of research, and the changing balance of contracts and grants, are presented in sections 4 and 5. Section 6 provides an overview of the growth and composition of the HSRC's staff complement. Sections 7 and 8 provide the reporting on the management of risk and corporate responsibility required by the PFMA. Section 9 mentions developments between the end of the financial year and the time of compilation. Section 10 tabulates the organisation's quantitative KPIs.

Council wishes to acknowledge the support of the Ministers and Deputy Ministers of Arts, Culture, Science and Technology during its term of office. Dr Ben Ngubane MP was the Minister over nearly all of the present Council's term of office. His encouragement and discerning guidance were warmly appreciated, as was the engagement of successive Deputy Ministers during that period, Mrs Brigitte Mabandla MP and Mrs Buyelwa Sonjica MP. The Director-General of the Department, Dr Rob Adam, and his officials have provided knowledgeable support and frank advice. The Council also wishes to recognise the energetic and committed work of the CEO, his research leaders and support management teams, and all the staff of the HSRC during this period of very rapid growth and transformation. The punctilious support of Council's secretary, Mrs Jurina Botha, is recorded with appreciation.

3. Organisational developments

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

3.1 Consolidation of the organisation's administration and infrastructure

The rapid ontake of new research staff, more research projects, and more complicated contracting arrangements for national and international projects, coupled with the expansion of offices to five different sites – Bloemfontein, Cape Town, Durban,



Port Elizabeth and Pretoria – necessitated the provision of organisation-wide information and communication technology (ICT) and communications support. This massive development received priority in the 2002/03 budget year, when business processes were documented, infrastructural weaknesses identified, and mechanisms put in place to improve the flow of information.

The 2003/04 budget year saw the first phase of implementation of Project Insight, an incremental solution to deal with the requirements for more powerful systems and software. It was initially hoped to procure an integrated "enterprise resource planning" software system from one of the South African agents and installers of the major international providers. However, an exhaustive scoping and tendering exercise showed that this would be too costly. Project Insight is the HSRC's home-grown response to the funding constraints on the one hand, and on the other hand, the need for better alignment with internal user needs, using new "intelligent" packages that draw upon rather than replace existing software. However, as noted by the 2003 Review Panel, the pressures of ambitious research endeavours on support functions remain a challenge, and will thus remain on the agenda for 2004/05.

Project Insight has several other aspects. One has been the upgrading of the HSRC's "intranet", the internal website. The organisation's intranet provides a common platform to house policy-related information, answers to "frequently asked questions", access to electronic library indexes and holdings, and a portal to other resources and sites of use to researchers.

Tendering for a telephone switchboard that spans all the sites has been initiated, and arrangements have been discussed with Telkom for it to be integrated with the HSRC's national wide-area digital network.

Communication between the different HSRC offices is further supported by the video-conference facility linking Cape Town, Durban and Pretoria, which also provides for additional simultaneous linkages via telephone lines with the Bloemfontein and Port Elizabeth offices. These facilities are extensively used, and allow for significant savings in terms of researcher time and travel costs. They have also enabled staff and visitors to the various HSRC offices to participate in the popular bi-weekly HSRC research seminar series.

The refurbishment of most of the HSRC-occupied floors in the Pretoria building was completed. The new design has proved to be successful and popular. It allows for more light and shared spaces, supporting the HSRC's transformation to an open, collaborative research organisation. Refurbishment costs were provided for by deploying approved amounts from the surplus accumulated in previous budget years.

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

A comprehensive VAT audit was undertaken by SARS in January 2003. All queries raised by SARS were resolved.

During 2003/04, the test sales and distribution arm of the HSRC, called Promark, was successfully outsourced. Preparation for the public tender involved an analysis of the instruments offered for sale, requirements of the Health Professions Council of South Africa, contractual arrangements involving intellectual property rights, and the interests of employees currently employed in Promark. A final agreement was signed with the successful tenderer in May 2004.

Senior appointments made in the support components during 2003/04 include new directors for Corporate Communications, Project Finance, and Operations. The Head: Library and Information Services was promoted to Director level, and a Contracts and Grants Co-ordinator was appointed to provide support with legal aspects of preparing and managing research contracts.

3.2 Management, communication and monitoring systems

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

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

There were also fortnightly sessions among the top 30 research managers, to share new contacts, review tender opportunities, and consider the volume of work and other organisational demands on the research programmes.

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

A Researcher Forum was established to enable researchers from all research programmes and offices to raise and discuss matters of common interest, including policies and practices affecting productivity and professional development. The draft constitution of the Forum also provides for two representatives to attend ED workshops, and meetings of the HSRC Council. Elected representatives from all research programmes attended the first meeting on 16 October 2003, when an executive committee was chosen.

Two large *lekgotlas* involving EDs, senior research and support staff, as well as all the representatives on the Researcher Forum, were held before the end of the financial year. The November *lekgotla* identified broad researcher strategies and concerns, by paying particular attention to recommendations of the HSRC Review Panel, as well as national research priorities emerging from Government's Ten Year Review report. The January *lekgotla* focused in more detail on funding allocations and targets, proposed project portfolios of the research programmes, methodological issues and identification of potential areas of overlap and collaboration between the various research programmes.

Members of the Council's Research Committee attended one or both days of the January *lekgotla*, and interacted with HSRC staff on some of the themes emerging from group and plenary discussions, during the concluding session of the *lekgotla*. These discussions informed the setting of some broad parameters of the work programme for 2004/05. The CEO thereafter finalised Parliamentary grant allocations, external income targets, and vacancies for appointments with representivity quotas, for the individual research programmes. Each programme then convened review panels, with outside experts, to scrutinise major projects drawing upon the Parliamentary grant.

The first HSRC Research Conference was held over two days, on 12 and 13 June 2003, at a conference centre near the Johannesburg airport. The introductory session involving a panel of "critical friends" invited lively discussions on the nature of social science research, and the role of the HSRC in the research landscape. Nearly two-thirds of HSRC researchers and interns, as well as external collaborators involved in HSRC projects read or heard approximately 100 papers in parallel streams providing complementary research topics, methodologies and insights.

The arrangement of a "Happy Hour" at the close of business on the first Friday of the month was sustained, at which information was shared on recent achievements of the organisation. The annual event to recognise the achievements of colleagues receiving doctoral degrees or long-service awards took place in November 2003.

By the end of the review period, six of the ten research programmes were headed out of the Cape Town and Durban offices. The Bloemfontein office was officially launched in June 2003, and the research presence in Port Elizabeth was maintained.

HSRC staff have access to collective bargaining in terms of the recognition agreement between Management and the Public Servants Association (PSA) signed on 9 May 2002. In addition to the annual salary negotiations, regular meetings between the Union and Management were held that finalised a sabbatical leave policy, the HIV/AIDS wellness and support programme, and reviewed the performance management system.

3.3 Judicial proceedings filed during the year

In terms of labour relations, three legal matters dating from 2001/02 and earlier are still in process.

The HSRC was involved in two further court cases. One involved outstanding payments in excess of R1m for a completed research contract. Following summary judgement in favour of the HSRC, the outstanding amount was recovered. The other case led to an interdict against a publishing house that reprinted a directory of development organisations, unlawfully using records obtained from a database conceived, funded and developed in the HSRC.

3.4 Developments in the research programmes

The structure and leadership of the ten research programmes is shown in Table 1.



Research Programme	Label	Executive Director
Assessment Technology and Education Evaluation	ATEE	Dr Anil Kanjee (Dr Vijay Reddy)
Child, Youth and Family Development	CYFD	Professor Linda Richter
Democracy and Governance	D&G	Professor Roger Southall
Employment and Economic Policy Research	EEPR	Dr Miriam Altman
Human Resources Development	HRD	Dr Andre Kraak
Integrated Rural and Regional Development	IRRD	Mr Mike de Klerk
Knowledge Management	KM	Professor Michael Kahn
Social Aspects of HIV/AIDS and Health	SAHA	Dr Olive Shisana
Social Cohesion and Integration	SCI	Professor Wilmot James (Mr Adrian Hadland)
Surveys, Analyses, Modelling and Mapping	SAMM	Dr Udesch Pillay

Table 1: Research Programmes

During 2003/04, two executive directors were on extended leave. Dr Vijay Reddy was appointed Acting Executive Director for the Assessment Technology and Education Evaluation Research Programme for the period August 2003 to July 2004 while Dr Anil Kanjee was on sabbatical leave at the Educational Testing Service in Princeton, USA. Mr Adrian Hadland deputised for Professor Wilmot James of the Social Cohesion and Integration Research Programme during his part-time visiting fellowship at California Institute for Technology from August 2003 to July 2004.

At the year-end *lekgotlas*, questions were identified of overlap among the three research programmes handling education-related topics, and possible confusion among users and funders. After extensive consultations among EDs and the research staff immediately involved, the Education Policy Research Programme was closed, and its staff and research projects redeployed in three cognate research programmes from June 2003.

In accordance with a new accelerated representivity policy, recommended to Council by the executive directors, Professor Adam Habib was appointed ED-designate – to be the successor of Professor Roger Southall from 1 April 2004 in the Democracy and Governance Research Programme. Professor Southall will continue as a Distinguished Research Fellow.

During 2003/04, research EDs further developed and consolidated their research programmes. Three senior appointments were made at director level: two in SAHA, and one in CYFD. The next section contains more information on trends and developments in the research activities of the programmes, and highlights are covered near the beginning of this Annual Report.

By March 2004, the end of the reporting period, the number of researchers in the HSRC had grown from 130 to 156, rising from 52% to 58% of all staff over the past three years. New permanent appointments were mostly made at specialist levels, further improving overall qualification and experience levels.

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

The large number of interns (fluctuating around 30) outweighed the increase in specialists from 84 to 89. As a result, the proportion of the latter in the overall researcher complement decreased from 65% to approximately 57%. The improvements in the proportions of black and female researchers are dealt with in section 6.

The ten research programmes were set up to be multi-disciplinary, cross-cutting and flexible and oriented to development problems and user needs. They are proving to function well in terms of intra-institutional collaboration. Recent examples of collaboration between research programmes in the HSRC include IRRD and D&G on regional resource flows in Africa; CYFD, SAMM and D&G on a rural education project (funded by the Nelson Mandela Foundation); HRD and EEPR on the HRD Directory (funded by a

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ring-fenced allocation from DST); KM and ATEE on mathematics and science education; SAHA and EEPR on the impact of HIV/AIDS in the health sector (funded by the CDC and Department of Health, via Medunsa), and SCI and SAHA on aspects of AIDS and stigma.

Collaboration with outsider institutions, notably universities, has also been maintained in more than half the projects, and is discussed subsequently.

4. Review of research activities

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

4.1 Earnings from research contracts and grants

Aspects of the COUPE strategy that was described in section 2.10 seek to assure the financial sustainability of the HSRC, by focusing on tenders and grant applications for large-scale applied social research projects. The level of earnings from the resulting contracts and grants is a key indicator of the HSRC's progress (among the many measures covered below in section 10). The growth in this indicator has been dramatic, since the CEO introduced the COUPE strategy and corresponding organisational developments on taking office in mid-2000/01.

Annual earnings from research contracts and grants, i.e. from activities that were invoiced to users before the end of the respective financial year, have risen in nominal terms from R6m in 1999/2000, through R16m in 2000/01 – when COUPE was initiated – to R28m in 2001/02, R61m in 2002/03, and R103m (including a R5m ring-fenced grant from DST for the national HRD project) in 2003/04, the year under review. The blue bars in Figure 1 illustrate the trend of three consecutive years of strong growth in research earnings. The projected research-earnings target for 2004/05 is also shown (including a R4,5m ring-fenced grant from DST for a centre for science and technology indicators).

The research earnings amount of R103m for 2003/04 is noteworthy in three respects: it represents a 66% nominal increase over the previous year; it surpasses the target of R95m; and it now clearly exceeds the Parliamentary grant income. The latter is shown for recent years in nominal terms by the grey bars in Figure 1. The assigned Parliamentary grant for 2004/05 is also shown.

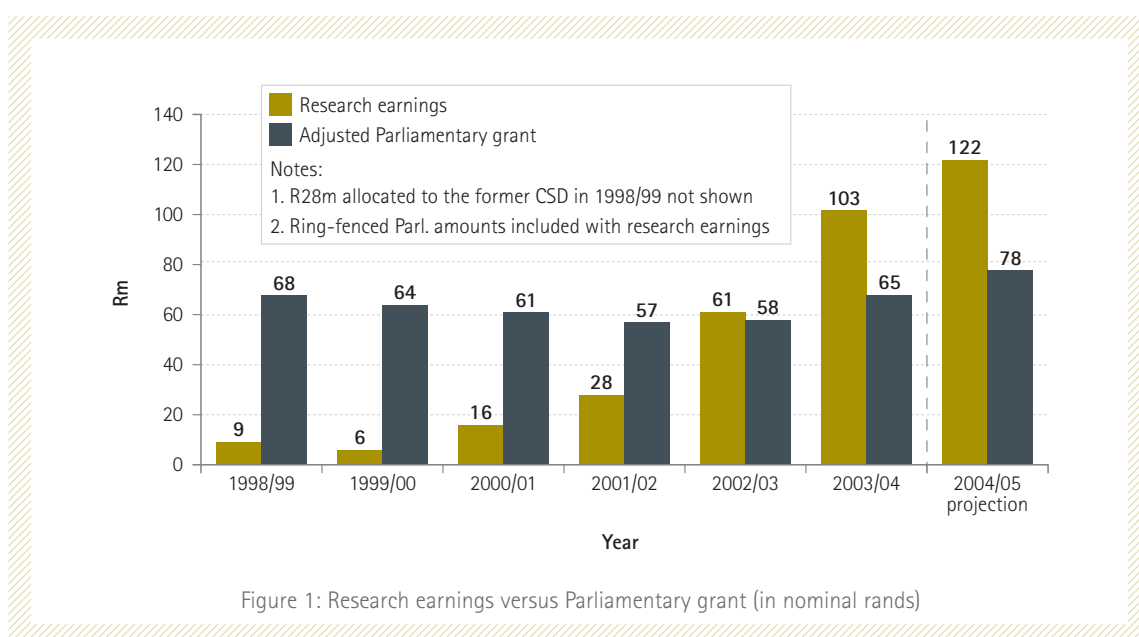


Figure 1: Research earnings versus Parliamentary grant (in nominal rands)



The Parliamentary grant, assigned in terms of the Government's Medium Term Expenditure Framework, was R66,105m for 2003/04 (excluding the R5m ring-fenced amount for the national HRD strategy), compared to R60,087m in 2002/03. In other words, the Parliamentary grant for 2003/04 increased slightly in real terms, i.e. after allowing for inflation, compared to the previous year.

As shown in Table 5 in section 5, these figures then have to be adjusted for deferred income regarding depreciable assets at financial year-end.

Adjusted in this way, the Parliamentary grant for the year 2003/04 is R65,562m, shown in the top row of Table 2 below (and compared there to R58,505m for 2002/03). The HSRC uses Parliamentary grant funding to undertake projects that anticipate research needs, handle tasks for sectors or communities of users that cannot afford to commission work, leverage donor funds in shared undertakings, create infrastructure, build external networks and internal capacity, and update technology.

The research income from contracts and grants of approximately R103m for 2003/04 mentioned above appears in Table 2 as separate lines: contract income totalling R97,578m (from SA Government departments, other South African sources, and international funding sources including foundation grants); plus the special HRD project grant of R5m. In addition, other lines in Table 2 show the HSRC's income from various other sources: notably commercial services of R2,825m, as well as product sales, rent and interest.

When all these revenues from sources other than the Parliamentary grant are summed, and taken as a share of total HSRC revenue, the proportion is found to have increased (compared to the previous year) for each of the past four years: from 31,1% through 44,0% to 57,2% and 64,9%.

This increased reliance on income sources other than the Parliamentary grant enabled the HSRC to expand its researcher capacity and be able to respond to a broader range of current and anticipated user needs. However, the HSRC remains mindful of the risks of financial exposure, and changes in the organisational research climate, that might be associated with setting too-large external income targets and taking on an unsustainably large research complement onto permanent payroll.

For instance, it will be seen in section 4.2 below that the HSRC only wins a proportion of the tenders it applies for; and it is selective about those it does choose to apply for, in requiring that they display substantial social-scientific content. Even so, the size of the likely market for applied or policy-relevant social-scientific research is not limitless, and other parties such as tertiary institutions are expanding their interest in it. Over the next two to three years the HSRC will develop a firmer idea of the sustainable balance between funding from the Parliamentary grant and the various forms of external income. In the meantime it is moderating the growth in its permanent payroll by the appropriate use of contract appointments. These aspects of risk will continue to be closely managed.

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Funding source	2003/04				2002/03	
	Budget	Actual	Variance budget vs actual	% of total	Actual	Actual 2003/04 vs actual 2002/03
	R'000	R'000	R'000	%	R'000	%
Parliamentary grant – core funding	64,928	65,562	634	5%	58,505	12%
Utilised for research	0	62,267	62,267	457%	51,392	21%
Utilised for institutional costs	0	3,838	3,838	28%	8,695	-56%
Deferred income	0	(543)	(543)	-4%	(1,582)	-66%
Project-specific (ring-fenced) Parliamentary grant	5,000	5,000	0	0%	5,000	0%
External contract funding – Government	90,284	97,578	7,294	53%	56,179	75%
Income from intellectual property (patents, royalties, etc.)	1,216	111	(1,105)	-8%	181	-39%
Commercial services	500	2,825	2,325	17%	2,537	11%
Non-operational income: rent received	7,480	8,515	1,035	8%	7,419	15%
Non-operational research income – profit from sales	1,706	4,819	3,113	22%	2,935	46%
Non-operational research income – investment income	2,400	2,743	343	3%	4,081	-33%
TOTAL	173,514	187,153	13,639	100%	136,837	37%

Table 2: HSRC income for 2003/04 and 2002/03

Profit from sales – covering books, computerised programmes and tests – increased compared to 2002/03. This growth rate is largely due to a new approach to publishing, discussed in more detail in section 4.5. Following a tendering process in 2002/03, the sales of test materials in which the HSRC has no research interest will be relinquished to a retail agency from June 2004, as part of retaining the organisation's strategic focus on research.

A positive trend in terms of external research income is the number of larger-scale, multi-year projects, providing more security in terms of future external research earnings. One among many examples from the 2003/04 budget year is a contract with a total worth of R21m with the Education Labour Relations Council, to be applied over three years. The result is that the HSRC commenced the 2003/04 and 2004/05 financial years with approximately half of the target for external research earnings already under contract.

4.2 Changing composition of research earnings

During 2003/04, the HSRC responded to a broad range of tender and grant opportunities. Information on 128 new funding applications submitted in this period was captured by the Business Development Unit during the year (110 in 2002/03). The overall success rate among these 128 proposals, as known by May 2004, was 73% (compared to 50% in 2002/03). The HSRC understands that this is well above the average of international standards for similar development-research organisations, and is partly attributable to the HSRC's selective responses to such opportunities, and partly to the quality of the submissions.

For example, of some twenty opportunities that may typically be scrutinised at the fortnightly Research Business Meetings, perhaps three or four would be seriously considered as scientifically substantial, and in alignment with the HSRC's areas of research expertise and potential external collaborators. Following such deliberations, HSRC researchers might eventually respond to none, one, or perhaps two of the competitive tender opportunities or calls from foundations that arose during that fortnight. Opportunities discussed at these meetings are then tracked in terms of response and success rate. Information on



other funding applications, such as those initiated by the HSRC, are also recorded, but sometimes only after they have been submitted and evaluated. The 2003/04 budget year saw the introduction of a new research management information system, enabling the HSRC to keep better track of all proposals that have been submitted.

The tenders to which the HSRC responds are typically issued by South African Government departments or public entities, at national, regional or local level. International competitive tenders, i.e. defined by the users and with predetermined closing dates, are also predominantly issued by publicly-funded agencies. Usually working in conjunction with external collaborators, some 53 proposals of this kind were recorded during the 2003/04 financial year (73 in 2002/03). The success rate, on information available at May 2004, was 40% (compared to 33% in 2002/03). This rate is one of the half-dozen key indicators tracked by the CEO in his Annual Report message. If only South African competitive tender applications are taken into account, some 44 tender proposals were submitted, of which 14 were known successes by May 2004 – a success rate of 32% (compared to 25% in 2002/03).

Over and above the regular Research Business Meetings, funding opportunities are also identified when potential collaborators – often from international research institutions – approach HSRC research leaders directly with the request to participate in proposals. Research leaders are selective in their responses to such invitations, requiring that their participation would add competitive advantage to the proposal, and that the proposal itself should once again fit in with HSRC research priorities and the development needs of South Africa.

Potential funders are increasingly approaching the HSRC with direct requests of this kind. Some are follow-ups, after successful completion of an earlier project. Others represent "restricted tender opportunities" where a number of potential service providers are requested by the potential funder to submit proposals. Fifty-four of the tender or grant applications recorded in 2003/04 were prepared at the request of the potential funder or collaborator (26 in 2002/03) – a clear indication that the HSRC is increasingly being considered a "first port of call" by its users. Of these, 98% were known to be successful by May 2004.

More recently, the HSRC has started to reap the benefits of submitting proposals to international and national foundations or grant-making agencies in response to their open calls for proposals. These allow applicants to determine the research problem and approach within a specified broad thematic area. Some 21 funding applications of this kind were recorded in 2003/04 (37 in 2002/03), of which a remarkable 95% (84% in 2002/03) were known to be successful by May 2004.

The following two figures show how the composition of external sources of research funding has changed over the past years, in terms of income realised per year.

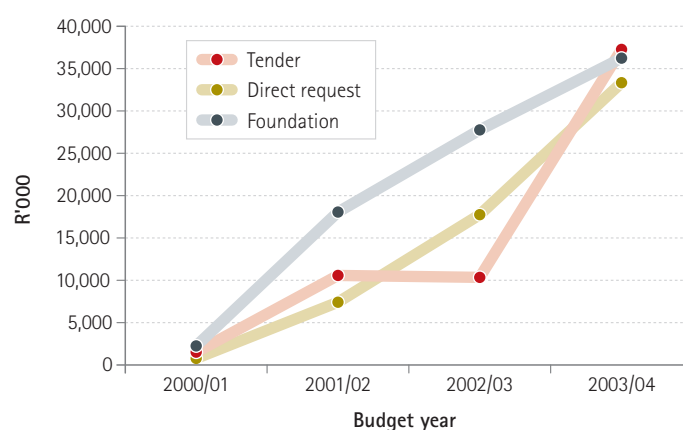


Figure 2: Categories of external research earnings

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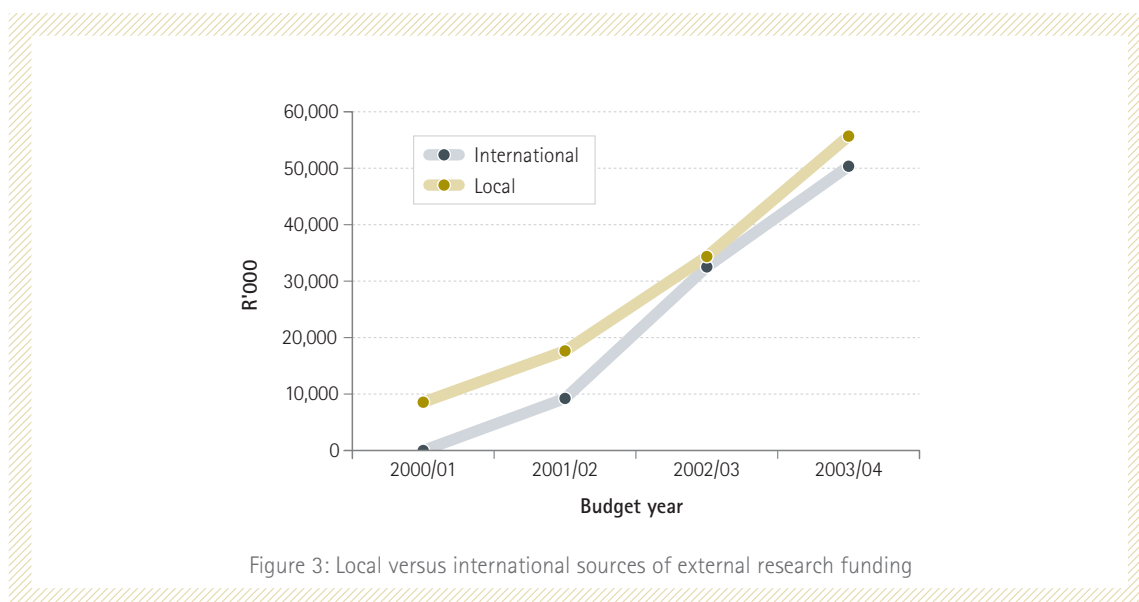
for the period ending 31 March 2004 (continued)

The blue, green and red lines in Figure 2 show the increases in the proportions of HSRC research earnings from a range of external funding sources. The green line, representing user-defined competitive tenders, shows that the HSRC and its external collaborators are doing very well in addressing user needs, in an environment of highly competitive South African tenders and international (predominantly US) "competitive calls". The increase, after a plateau of a year, represents some successful Government tenders that were very large.

The rising red line, representing direct requests, indicates that HSRC-led research is increasingly being regarded by users as of a high quality and relevant to their needs. Many of these externally-funded projects were commissioned following the successful completion of earlier work, or following the HSRC's submission of an "expressions of interest" statement with an indication of organisational capability, in response to a general open call. The majority of these projects involve external collaborators.

The rising blue line reflects applications initiated within the HSRC for grants to foundations and development agencies. It illustrates the HSRC's improved profile among such entities. The importance of these researcher-driven applications, that tend to be larger and longer-term than average, and produce more scientific publications, is that they balance user-driven projects, which tend to be smaller and shorter-term. This funding mix has helped the HSRC to maintain a sound balance, as it has expanded, between work oriented to national priorities and social-scientific development, and work oriented to the immediate needs of the market.

A corollary of the increase in foundation and international competitive grants is that the proportion of the HSRC's support from international sources has risen over recent years, to approximately half of all external research income. This extends the Science and Technology (S&T) funding base of the country as a whole, and the benefits are experienced not only by the HSRC but also by its collaborators on these projects in tertiary institutions and NGOs. The purple line in Figure 3 shows how the level of external income from international sources has risen over the last four financial years.



The increased volume of work brought in has been handled partly by the extended complement of senior researchers, described in section 6, and also by taking advantage of partnerships with universities and technikons, research NGOs, and private sector consultancies. These relationships are described further in section 4.3.

The mix of tenders, requests and grants described in this section, and of local and international sources, has ensured the HSRC's growth and financial sustainability by ensuring the relevance of the organisation to its users, and vice versa. This has in turn enabled the HSRC to extend the range and quality of its services to its users, and thereby to its wider beneficiaries in South Africa and beyond.



4.3 Nature and distribution of research projects and associated earnings

During 2003/04, 303 research projects were running, compared to 250 in the previous financial year. Of these, 277 (compared to 138 in 2002/03) were completed within the year.

The recorded expenditures on 248 of the projects were less than R100 000 each. However, the major share of research earnings continues to be accounted for by longer-term, large-scale, externally-funded projects. This is illustrated in Table 3. This table displays the amounts received during the reporting year, to a total of R60,3m, for the top 14 projects funded entirely or largely by external funds or grants, that were initiated or continued by the HSRC during 2003/04. In other words, approximately 5% of the 303 projects running in 2003/04 contributed almost 60% of the total external research earnings of R103m for the year. Most of these projects extend over two to three years. This is a positive indication of the sustainability of the COUPE strategy.

Project	Funder	Rm 2003/04
Care of orphans and vulnerable children in Botswana, South Africa and Zimbabwe	W.K. Kellogg Foundation	21,0
Rural schools and education in South Africa	Nelson Mandela Foundation	6,7
Impact of HIV/AIDS on education	Education Labour Relations Council	5,4
Dfid SAHARA resource network: Evidence-based policy-making and co-ordinators	UK Department for International Development (Dfid)	5,0
HRD ring-fenced grant from DST	Department of Science and Technology	5,0
Assessment Modeling Initiative (AMI) (continuation)	Research Triangle Institute	2,8
Centre for S&T indicators	Department of Science and Technology	2,5
SATPOR (Technology transfer for poverty reduction)	Department of Science and Technology	2,3
Developing an equity and development profile of ICT in South Africa	Department of Communications	2,2
Birth to Twenty study	Wellcome Trust	1,6
Labour Market skills development programme	Department of Labour, EU Labour Market Skills Programme	1,5
Quality Learning Project (QLP)	JET	1,5
SADC national prevalence studies: four countries	European Union	1,4
Umsobomvu Youth Survey	Umsobomvu Youth Fund	1,4
Total		60,3

Table 3: Top 14 projects funded entirely or largely by external revenue

In the funders and users of the research, the table shows an impressive mix of national and local government departments, public-sector entities, and overseas and South African foundations or research collaborators. This diversity is a product partly of the outreach element of the COUPE strategy, discussed in section 4.4 below, and partly of the excellent networks of the HSRC research leaders.

4.4 Outreach to collaborators and stakeholders

A recommendation in the 1997 review of the HSRC by the Department of Arts, Culture, Science and Technology (DACST), was that the organisation should reach out more vigorously to the research community locally and abroad: in universities, technikons, NGOs, fellow science councils and parastatals, and the private sector.

Since then, collaboration with researchers outside the HSRC has become quite frequent, in research projects with

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Parliamentary as well as external funds. The relationships span South Africa, SADC, the rest of Africa and the industrialised countries. During 2003/04, 62% of 249 HSRC projects in the project information database listed institutional or individual collaborators. In financial terms, some R28,9m was paid out for research activities. HSRC projects across the range, but especially the larger ones, involved significant collaboration with researchers with specialised knowledge or networks in areas of mutual interest.

Collaboration with fellow science councils in projects and planning forums has also expanded – with the CSIR on R&D survey work, the mission in DST's R&D strategy on science and technology for poverty reduction (SATPOR) and local-government capacity-building; with the MRC on work related to HIV/AIDS and health promotion; with Mineral and Metallurgical Technology (MINTEK) in terms of resource-based technology clusters; and with the Agricultural Research Council (ARC) on land and food security issues.

The 2003 Review Report noted the improvements in these regards, especially at the level of shared projects; and urged that these collaborations now be deepened with more institutional and sustained arrangements. Among the ED-led task teams taking forward the Review findings, two teams are considering viable models to strengthen networking, and to expand the overall capacity for policy-relevant and applied research among institutions. Particular reference is being given to emerging research organisations and HDIs in South Africa and the region. The HSRC is mindful of the need to remain flexible and responsive to user needs, by not locking itself into exclusive collaborative agreements with particular universities or partner organisations, and by ensuring that agreements are relevant to its mandate to address issues of national or regional importance.

Currently the HSRC reaches out in multiple ways, and at different levels, to users, collaborators and funders. Research programmes interface with both end-users and collaborators through contract work, specific arrangements for research services or advice, and informal networks. Some Government departments have invited special meetings with the HSRC to identify common areas of interest, seek inputs with strategic planning, and plan joint approaches to donor organisations to help fund important research-driven initiatives.

In some of these instances, the relationship is captured in memoranda of understanding (MoUs) that provide for mutual input in planning processes, and support to each other in the form of financial or expert contributions. Because such agreements may have unexpected implications, particularly in terms of financial and infrastructural requirements, each case is considered at top-management level. Mutually beneficial models involving HEIs are being contemplated, on the basis of successful project relationships such as SATPOR.

The collaborative approach is reflected in the composition of the recently-established HSRC Research Ethics Committee, which benefits from the participation of professional persons attached to universities, NGOs, private practice and international organisations as well as experts within the organisation.

Outreach to users, collaborators and funders is underpinned by a number of institutional support structures:

- The burgeoning Publishing Division and Corporate Communications are covered in sections 4.5 and 4.6 below.
- The Business Development Unit now subscribes to Internet-based alerting services, and provides for structured sharing of collaborative opportunities.
- The vacant Directorship of International Relations has been re-advertised.
- The CEO has started following up possible peer organisations with similar mandates in developing countries, identified in the 2003 Review, to consider opportunities for collaboration.

4.5 Publishing and publications

The 2001/02 Annual Report mentioned the development of a new, not-for-profit publishing and dissemination strategy, emphasising the widest possible dissemination of the HSRC's output not only in print but through a website that would provide free access and downloading to electronic versions of all HSRC publications. The 2002/03 Annual Report reflected the early implementation of the new strategy within the HSRC. This comprised recruiting a team of publishing specialists, establishing operational systems, and introducing quality control measures for published output. Simultaneously, a significant number of publications were produced.

During the 2003/04 reporting year the HSRC Publishers have rapidly delivered on the goals of their ambitious publishing



strategy as high-quality, non-profit publishers of HSRC and other outputs for the "public benefit". Key organisational and marketing achievements in this regard include the following:

- an international distribution network, to ensure its publications reach all corners of the globe, by entering agreements with reputable distributors of academic publications;
- co-publication agreements on select titles with publishers ranging from established academic houses, such as Cambridge University Press, to specialist social-science publishers, such as the Nordic Africa Institute;
- the establishment of an Editorial Board, with senior HSRC and external academic members, to commission and consider reports from external reviewers on proposed publications;
- a planned initiative to bring seminal Francophone texts, published by CODESRIA, to Anglophone researchers;
- significant visibility for the HSRC's research output via conference exhibits, book launches, workshops developed around publications and media coverage of publications;
- joint marketing efforts, such as shared international exhibitions, with other social science research organisations;
- bookshops' increasing willingness to stock HSRC titles, and agreement from major retail outlets such as Amazon.com to list HSRC publications.

In line with its dissemination approach, HSRC Publishers offers free electronic publications online. Perhaps because of rather than despite this approach, orders for printed publications have grown substantially. For the year under review 7 327 HSRC publications were bought, representing an increase of 217% from the 2 308 sold in the previous year. In addition, 5 900 publications were sold to co-publishers. Therefore a total of 13 227 publications produced by the HSRC entered the market during this period. The turnover from publications amounted to R2,4m in 2003/04, and the net income R1,4m represents an increase of 151% on the previous year's net income from publications of R557 000.

A comprehensive list of HSRC publications is provided elsewhere in the 2003/04 Annual Report. Statistics from the publications list are summarised in Table 4. The benefits of employing more, and more senior researchers are reflected in the number, range and quality of publications produced in the course of 2003/04. The total number of publications per average researcher head has increased from 2,4 in 2002/03 to 3,2 in 2003/04, and the number of refereed journal articles per average researcher increased to 0,67 – once again exceeding the new stretch target of 0,60 for 2003/04.

Category	No. in 2003/04	No. in 2002/03
Books and chapters in HSRC books	91	45
Books and chapters in non-HSRC books	41	76
Journal articles	115	74
<i>Refereed</i>	74	66
<i>Non-refereed</i>	41	8
Research reports to clients/users	104	89
Total	351	284

Table 4: Publications

4.6 Corporate Communications

A new Director of Corporate Communications was appointed in September 2003. The Marketing Manager of HSRC Publishers had been part-time Acting Director since December 2002.

The new Director took up the challenge of improving internal communication, put by the 2003 Review, by conducting an audit of the various existing channels, and then establishing an internal electronic newsletter. Called "HearSay", it updates staff on organisational and topical issues. She also commenced the development of a comprehensive communications strategy.

The Deputy Director of Corporate Communications assumed responsibility for media liaison, and with the assistance of the

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Director, a media strategy was put in place in November. This incorporated a suggestion by Council, namely to interact more with community newspapers and regional radio stations in order also to reach people living in townships and rural areas. In addition to coverage by the national radio stations such as SAfm, news reports on research findings were also broadcast at various times on a dozen community stations.

The year under review saw a steady increase in media coverage. This emanated not only from Corporate Communications, but from the whole of the HSRC, culminating in media coverage of an estimated advertising value equivalent of R4,5m in March 2004 alone. The electronic media monitoring service that measures media, radio and television coverage for the HSRC reported an estimated free coverage to the value of R22,9m for 2003/04, compared to R3,3m during 2002/03, and R1,2m in 2001/02.

Other highlights included the following:

- the continued issue of the *HSRC Review*, a quarterly news bulletin, to parliamentarians, donors, funders, NGOs, diplomats, and 6 000 high school libraries;
- support for the launch of some research reports and books – for example the presentation to media and MPs of voting intentions for the 2004 elections covered in the new annual South African Social Attitudes Survey, and the launch of the *Human Resources Development Review 2003*;
- the organising of several major events, such as the 2002/03 Annual Report launch, several conferences or workshops, the 2003 year-end function, and the monthly "Happy Hour" for staff members;
- provision of graphics-design support to all the research programmes and several exhibitions.

Plans for 2004/05 include a "climate" survey among HSRC staff, a survey in collaboration with the Human Resources Directorate to establish communication needs within the HSRC, staff perceptions and wishes regarding the HSRC as a workplace, and the prevalence of conditions for successful user-oriented research production.

4.7 User, stakeholder and media analyses

As background information for the 2003 HSRC Institutional Review, in August-September 2003 the HSRC commissioned two reputable external service providers to undertake three independent investigations: a user-satisfaction survey; a survey of perceptions among other important HSRC stakeholders; and a survey among research staff who had recently completed projects that were submitted to major clients. In addition, research executive directors provided examples of the impact or implementation of research findings, from their own programmes. These investigations were complemented by a content analysis of reports in the media on the HSRC, conducted by in-house qualitative research specialists.

A high-level summary, integrating the findings from the complementary studies, was prepared for the convenience of members of the Review Panel. This summary, with the reports of the individual studies, was made available to the Panel in October 2003. The findings of the commissioned studies were discussed by the CEO and executive directors, for specific action where relevant.

The *Sunday Times* newspaper reported findings of an independent poll in which the HSRC was the only science council that non-profit organisations recognised for making the strongest contribution to development. This finding is captured in the latest edition of the *Corporate Social Investment Handbook*, now in its sixth edition. Another perception survey of state-owned enterprises conducted by the publication, *Professional Management Review*, ranked the HSRC sixth under the category of highest rated state-owned enterprises, and the highest of all statutory science councils.

Broad trends emerging from the user, stakeholder, impact and media studies were as follows:

- The HSRC meets the expectation that its activities and research are focused on a broad range of societal problems.
- It interacts vigorously with a diverse group of funders, users, sponsors and stakeholders.
- The impacts of this work are varied but, on the evidence from the various studies, substantial, and are often quite immediate or direct.
- Broadly speaking, the findings of the five research reports suggest the HSRC occupies a strong position with regard to its reputation, the quality of its work and the abilities and ethical standards of its researchers.
- Areas for improvement included the management of the relationship with the user during projects, follow-up analysis, and further transformation in respect of staffing profile.



4.8 Investments in research infrastructure

Surpluses accumulated during previous budget years were further deployed during 2003/04 according to the framework approved by the Minister. Three major instances are mentioned here.

The refurbishment of the floors occupied by the HSRC in its Pretoria building started in 2003/04. Occupied since 1987, the building was in need of upgrading and improvements. Six floors were refurbished. The effective use of shared open space and more light in office areas reflect the new image of the HSRC.

At the same time, infrastructural upgrades in terms of computer network and telephone communication facilities could receive attention. Network cabling was replaced with CAD 5 cables in Pretoria to improve speed and reliability.

Project Insight, described elsewhere in section 3.1, was launched. Its various aspects help to provide an integrated management and information support structure to enhance research and research collaboration in the HSRC's demanding, devolved and decentralised milieu.

5. Financial results and sustainability

During 2003/04, the HSRC's turnover, i.e. total revenue, was R187,153m, a 36,7% increase over the R136,837m of 2002/03. The annual increase was 36,1% between 2001/02 and 2002/03. (This growth is shown in the Income Statement on page 117.) As before, the increase was attributable mainly to the substantial growth in research contract and grant earnings, shown at Table 2 in section 4.1.

Total expenditure increased by 27,2% between 2002/03 and 2003/04 (compared to 60% between 2001/02 and 2002/03). Employee cost, the largest cost component, increased by 28,7% in 2003/04, compared to 70% in 2002/03, when the HSRC invested heavily in the recruitment of high-level researchers and managers. One can see from the above that the growth of income and expenditure for 2003/04 was controlled, and within the context of the HSRC's strategic plan.

Overall expenditure in 2003/04 was R187,363m. This resulted in a deficit of R0,210m for 2003/04 (compared to a deficit of R10,477m at the end of 2002/03). During 2003/04 the funding of strategic research projects from previously accrued surpluses, as approved by the Minister, was undertaken in two instances, involving augmentation of their budgets. These were the background research for the Ten Year Review commissioned by the office of the Presidency (R0,5m), and research on human rights indicators (R0,25m). If this investment of R0,75m is applied to the deficit of R0,210, a net surplus of R0,540m is realised for the year.

The Cash Flow Statement on page 119 shows a net outflow of R17,4m for the 2003/04 financial year. This was mainly caused by spending from projects that received monies in previous financial years and capital projects approved by the Minister that included the upgrading of the HSRC building in Pretoria.

The Parliamentary grant allocation for the 2003/04 financial year is broken down in Table 5. The table excludes the R5m ring-fenced grant from DST for the HRD project.

	2004	2003
	R'000	R'000
Parliamentary grant as per income statement	65,562	58,505
Plus (minus): Net adjustment in respect of deferred income	(0,543)	1,582
Total	66,105	60,087

Table 5: Parliamentary allocation

The Balance Sheet on page 116 shows that at 31 March 2004 the HSRC had total assets of R134,416m (R134,868m in 2002/03), and current liabilities of R75,132m. The HSRC continues to receive state funding – R78,336m for 2003/04 plus a new ring-fenced grant of R4,5m for research on S&T indicators. The HSRC begins the next financial year with firm commitments for external income in excess of R60m. On these three criteria, it should accordingly remain a going concern.

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The HSRC provides administrative support for the Institute for Indigenous Knowledge Systems in South Africa (IIKSSA). It received an amount of R2,5m, earmarked for the second phase of the Institute's activities. This is not included in the R70,030m received in terms of the MTEF allocation for 2003/04.

6. Human resources

The HSRC's staff complement at the end of the 2003/04 financial year was 267, which is 35 more than the previous year-end total of 232. During the year, 77 new appointments were made in total, with natural attrition (contracts expiring, resignations and retirements on pension) accounting for the difference.

Sixty of these appointments were made in research positions. Representivity in terms of race, gender and areas of expertise were key considerations alongside the HSRC's normal requirements in terms of qualifications, publications and experience.

The proportion of researchers in the total staff, and the proportion of researchers who are black, are among the seven key indicators highlighted in the CEO's annual message.

After two years of strengthening senior research capacity, the HSRC is now in a position to provide mentorship and career development opportunities to research staff in junior and middle ranks. Twenty-two research interns joined the HSRC in the year under review. At 31 March 2004, the HSRC was providing opportunities to 28 interns. These appointments are for periods ranging from one to three years, and are specifically aimed at building research capacity in an applied social science environment. Most interns are registered at universities for Masters degrees, but some for Doctorates. The internship programme, developing from initiatives started in research programmes, will enable the HSRC to achieve and sustain strategic objectives related to equity, excellence and future impact.

By 31 March 2004, 58% of HSRC staff were in research positions, compared to 56% at 31 March 2003. This means that the strategic target of "60% research staff by '04" has almost been achieved, despite the need to appoint more staff in administrative positions to support enlarged research operations and logistics in the new HSRC offices countrywide.

Among researchers, the percentage of blacks in the researcher complement improved from 48% in 2002/03 to 60% (from 63 to 93 people) in the reporting year. If interns are excluded, the percentage has improved from 46% to 51%. Having met this important race representivity target for the first time in 2002/03 (with the help of setting specific race quotas as part of the annual budgeting for each research programme), the HSRC remains committed to steadily improving representivity at all levels. Female researchers comprise 44% of the research complement, and 38% of non-intern research staff. Gender representivity among researchers – highlighted as a possible cause for concern by the 2003 Review Panel – will receive attention in the 2004/05 year.

Among administrative staff, the percentage of blacks increased slightly from 60% in 2002/03 to 61% in 2003/04. In terms of gender, 67% of administrative staff are female.

Changes in representivity at the higher levels occur more slowly because of the small numbers of people involved and low attrition. Among administrative staff of Deputy Director and above the percentage of blacks rose appreciably from 39% to 49% (from 9 to 18 people); among researchers of specialist rank and above, the percentage improved only marginally, from 39% to 40%. The new quotas will help to accelerate progress at this level.

Among senior administrative staff, women increased their share from 46% in 2001/02 to 57% in 2002/03 and 68% in 2003/04. Among senior researchers, the big improvement in female representation was made during the initial restructuring, from 18% in 2000/01 to 33% in 2001/02. Since then, the improvement has been slower, to 35% in 2003/04. The latter stratum, and possible gender differences between research and administrative career paths, require specific attention.

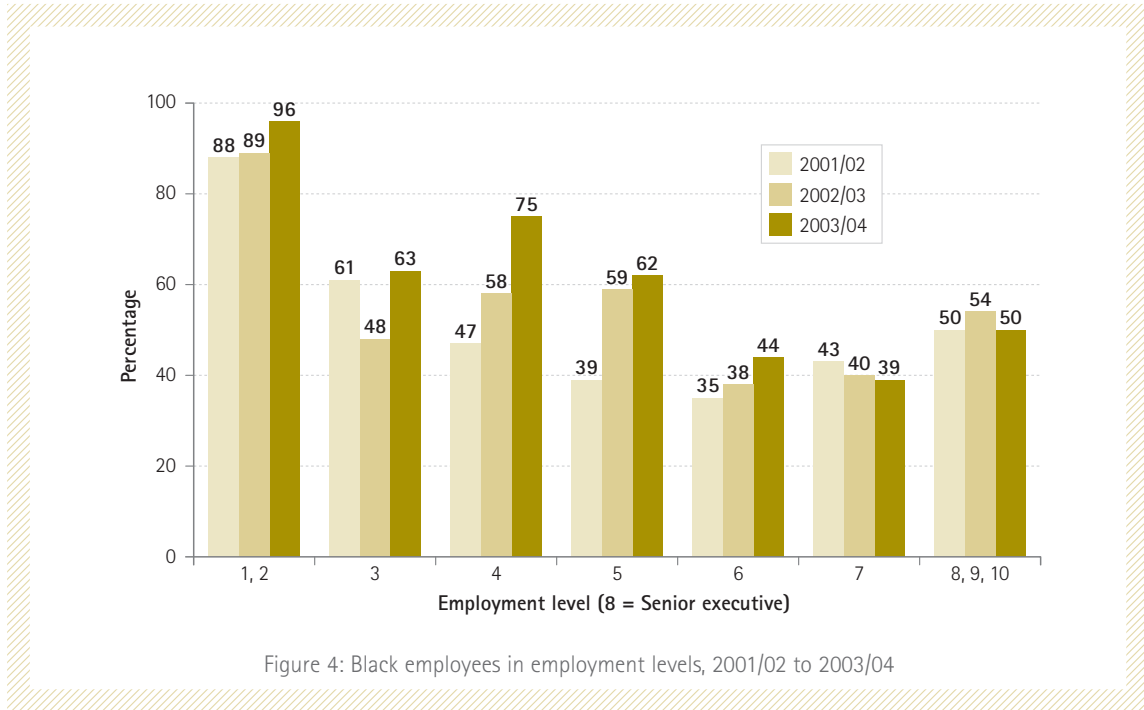


Figure 4: Black employees in employment levels, 2001/02 to 2003/04

The proportions of black staff per employment level are shown in Figure 4, for the current and previous reporting periods. The proportion has improved at most levels, and appreciably at middle levels 4 to 6 (for example, level 5 is Assistant Director or Chief Researcher). Even so, advances at senior levels started from a low base, so there remains room for further improvement, as the Institutional Review noted. At these levels, especially, there is the contradictory constraint of undesirable competition with universities, as the Review also noted. The solution, in the longer term, lies in increasing supply, with progress up the ranks from Masters and Doctoral interns.

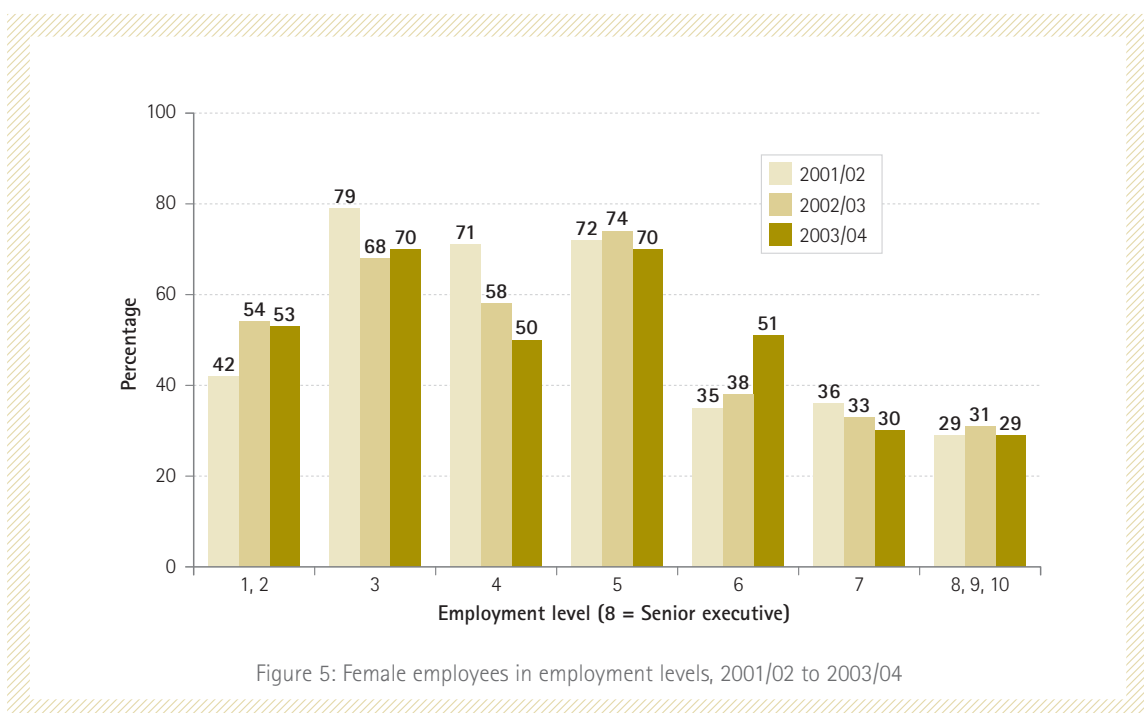


Figure 5: Female employees in employment levels, 2001/02 to 2003/04

COUNCIL'S REPORT

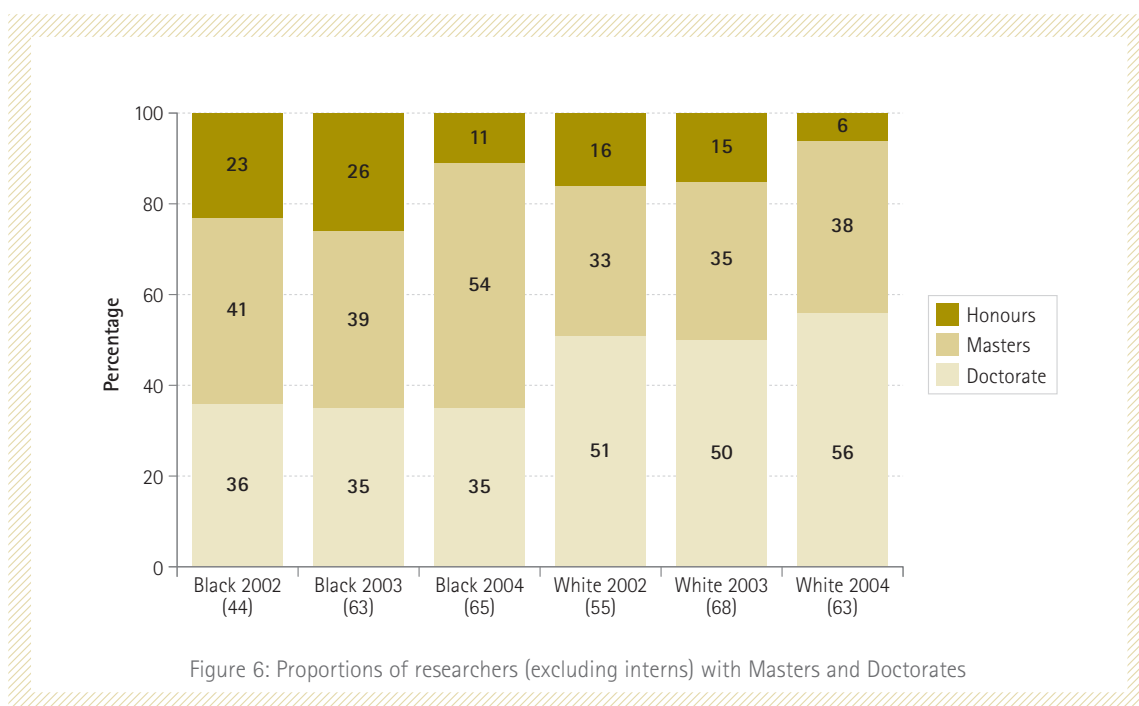
for the period ending 31 March 2004 (continued)

The proportions of female staff per employment level are shown in Figure 5, for the 2001/02, 2002/03 and 2003/04 years. The most noticeable increase is among upper professionals, but not at the managerial levels. The considerations developed above are also applicable here. Attention to these processes will be paid by the recently appointed Head of the HSRC's new Gender Co-ordination Unit, reporting jointly to the CEO and one of the research EDs.

Disabled people comprise less than 1% of the staff, whereas 2% is the target for Government departments. Quotas in this regard too were implemented in the budgeting cycle occurring at year-end, and suitable candidates in both the research and administration sides of the organisation were due to be interviewed. The aim is to improve this proportion in recruiting for the remaining vacancies.

Among researchers, there have been noteworthy changes in proportions of staff with Masters or Doctoral degrees. If all research staff are taken into account, the proportion of all research staff with either a Masters or Doctoral degree deteriorated slightly from 80% to 78% during this period. The apparent decline in qualification levels of black research staff is however directly related to the new strategy of taking on junior researchers as interns. Figure 6 shows the trend in terms of percentages for black and white researchers. When research interns are excluded from the analysis, 91% of the research staff (94% for white, 89% for black, and 88% for female) have a Masters or Doctoral degree, and the proportions have steadily improved.

During 2003/04, several policy documents supporting the broad aims of integrated employment equity, professional development and career pathing were developed and approved. A policy to enable accelerated recruitment of suitable black candidates at the level of Executive Director was approved, with a first Executive Director-designate being appointed on 1 January 2004. The consultative process to further revise and update the integrated employment equity plan will continue in 2003/04, beginning with a workshop for senior management.



During 2003/04, in-house research experts and external consultants were involved in the development of a Direct AIDS Intervention Strategy (DAIS) for the HSRC. Staff members as well as their immediate family now have access to voluntary testing, counselling, anti-retroviral drugs and medical support provided by an external professional service organisation, in tandem with the provisions of the staff medical aid scheme. Explanatory literature and a 24-hour telephone "hotline" are part of the service.



In May and June 2003, the annual performance appraisals were again conducted. All qualifying staff were evaluated against objectives previously agreed with supervisors, and their supervisors' recommendations were reviewed by the respective ED and finally moderated by the CEO with the EDs. An improved appraisal form was introduced. It aligned the individual staff members' objectives with the COUPE framework, and better distinguished the reviewing of performance for the previous year from the setting of new objectives for the ensuing year. More than 60% of eligible staff received some or other form of performance-based award: a half- or full-merit award, an increase of a notch on the salary scale, or a rank promotion. The proportion was similar in 2002/03. At the request of the Union, a written policy including guidelines and procedure was evolved and discussed with them, to cover both the ongoing performance management of staff, and the annual appraisal system.

7. Strategic risk assessment

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

A risk assessment was commissioned and conducted in 2001 because the HSRC was aware that, in initiating far-reaching transformation, it would be substantially changing its risk profile. On the basis of the report, a three-year audit plan was formulated, including three undertakings: the development of a fraud prevention plan, a corporate governance review and an audit of Information Technology. These were completed with the help of the different out-sourced audit partners and internal stakeholders during the past year. Recommendations for institutional implementation were prepared and approved by the Audit Committee and referred to Council.

The final phase of the risk assessment that concentrates on the post-restructuring was postponed, at the recommendation of the Audit Committee, to ensure that a sufficient period of consolidation had elapsed for stable assessments. It will be conducted during April 2004. It will include a re-run of the 2001 control culture exercise among senior managers, to allow for comparison of the status of controls and systems as the scale and variety of activities has increased.

The outcomes of this assessment will then feed into workshops with EDs and managers of the separate research programmes, to establish in more detail the distinctive and common respects in which they encounter risk. A tender was completed during the year for a co-sourced internal audit partner to handle this next stage together with an outside partner with specific experience in the research field; and then to offer relevant training to staff. Once the training stage has been completed, EDs will increasingly take over the process of risk identification and outcome, under the guidance of the CEO and Audit Committee.

Notable aspects of risk in the day-to-day operation of the HSRC are related to research quality, and to the professional management of large contracts. The latter includes changes in the environment such as currency rate fluctuations and new regulations.

- To manage risk with respect to the quality of the research process, the following systems are in place: peer-review mechanisms at various stages of research planning, execution and production; provision for ongoing professional development of research staff (160 hours per year specifically allocated to professional writing, and provision for sabbatical and study leave); and scrutiny of proposals by the Research Ethics Committee, and of books to be published, by the Editorial Board of the HSRC Publishers and its independent reviewers. Also important is the emphasis on recruiting top-level research specialists of acknowledged professional stature to lead programmes and sections, who set and monitor professional research standards; and the provision for mentoring and internships within research programmes towards sustaining research quality into the future.
- With regard to contract management, all new research agreements with clients as well as with service providers are scrutinised and finalised in consultation with the new co-ordinator of contracts and grants in the Business Development Unit, prior to signature. Large agreements are referred to the CEO. Meetings and workshops on potentially problematic

COUNCIL'S REPORT

for the period ending 31 March 2004 (continued)

issues, such as intellectual property arrangements, are held with staff in all offices. The implementation of Project Insight is also providing systems and procedures, such as a projects database and templates for key aspects of agreements, to enhance good practice.

- Other aspects of financial risk management, such as potential currency fluctuations and changes in the public-sector regulatory environment are monitored and dealt with by the ED of Corporate Services, the Finance Department and the CEO. Information sessions and workshops are held with staff members as required. The insurance coverage of the HSRC with various service providers is revised and updated on an annual basis.

8. Corporate social responsibility

The Council conceives the HSRC's social-responsibility obligations at four levels:

- intrinsically, as a non-profit public-sector entity, in the execution of its mandate;
- in the distinctive way in which it frequently designs and executes projects and disseminates their results;
- in the conduct of its affairs, and in particular its relation to its staff, as a public-sector employer;
- in the additional community-oriented activities it might undertake.

At all four levels, the Council seeks to ensure that the HSRC is sensitive to the needs and interests of disadvantaged and marginalised groupings, usually by engaging with their representative organisations.

8.1 Social-benefit research mandate

The HSRC has social-responsibility obligations as an intrinsic part of its mandate, which is to contribute to the benefit of all South Africans through conducting and fostering policy-relevant social research. Thus, the research activities presented throughout this annual document comprise the HSRC's reporting at the first level of corporate social responsibility defined above.

Particularly relevant are the many instances of the evident impact of project findings and implementation by users, recounted in the sections allotted to each of the research programmes.

Selected examples of projects specifically focused on disadvantaged and marginalised groups are:

- Disability studies
- The needs of the elderly
- Fatherhood – positive role models
- Including women in peace-making
- Contract farmers and small-scale agriculture
- Poverty and development challenges in small towns
- Food security and employment creation
- Social exclusion and the labour market
- Impact of HIV/AIDS on land rights and land tenure
- Improving banking services for the rural poor
- Tracking and analysing poverty
- Orphans and vulnerable children affected and infected by HIV/AIDS
- Gender violence and its relation to HIV/AIDS
- Responsible alcohol service programme for urban and rural areas
- Community-based information systems
- Community arts centres

The list illustrates how the HSRC contributes through its core social-research activities – conducted in the national, provincial and local spheres – to the "triple bottom line" of economic prosperity, social development and environmental sustainability.

The HSRC imparts research-driven social benefits in other ways. Several of its senior researchers serve on governing councils or advisory boards on the basis of their specialities. In addition, the HSRC has "incubated" projects or services that are hived off when this is appropriate. An example is the HSRC's Southern African Regional Poverty Network, SARPN, whose



primary activity is a web-based repository of development-related information that attracts thousands of "hits" a day. It is presently being reconstituted as an independent organisation governed by a trust, so that it can assume a regional identity and tap a broader range of funding sources.

8.2 Distinctive research approach

At the second level, three examples illustrate the distinctive approach we frequently apply. In the study of rural education for the Nelson Mandela Foundation, at the **conception** stage the researchers had *imbizos* with the rural communities involved to help identify the processes and articulate the concerns that the study would take up. At the **implementation** stage, in the three-country study focusing on the needs of orphans and vulnerable children affected and infected by HIV/AIDS, the HSRC works in tandem with partner NGOs and CBOs in gathering research-based evidence of good practice. In addition, novel modes of **dissemination** such as videos, used in communities and shown on national television, have improved the communication of results to people who want to learn from them.

Two additional considerations regarding the HSRC's research approach are:

- the organised attention given to research ethics, through the now internationally-accredited Research Ethics Committee that scrutinises all proposals;
- the recent establishment of a Gender Co-ordination Unit, and the appointment of a Head at senior level, reporting both to the CEO and a research ED, to ensure the "mainstreaming" of gender considerations in the HSRC's research activities and organisational-development priorities.

8.3 Organisational responsibility

The HSRC's endeavours to meet its social-responsibility obligations as an organisation and an employer are touched upon at several junctures in this Annual Report. Some key facets may be recalled, covering the economic, social and environmental parts of the "triple bottom line":

- In its procurement policy and practice the HSRC is committed to the promotion of Black Economic Empowerment (BEE) and the advancement of black-owned small, medium and micro enterprises (SMMEs). This approach is monitored and steadily broadened by the HSRC Council Audit Committee.
- The HSRC is involved in research capacity-development through its rapidly growing research intern scheme. Interns, predominantly drawn from previously disadvantaged communities, receive salaries on one- to three-year contracts. They are mentored during their engagement in HSRC projects, which furnish the material for their Masters or Doctoral degrees at universities. Support service units such as the library provide workplace experience opportunities to students.
- In the coming year, as part of formulating its next three-year employment equity strategy, the HSRC is rolling out an employment equity awareness strategy including an awareness campaign and training. A professional development framework has been developed and documented in preparation for implementation.
- With the assistance of a service provider, the HSRC has in place a direct AIDS intervention programme for all permanent employees and their immediate family members, including informative material, a wellness programme, the provision of anti-retroviral drugs and medical monitoring, and a 24-hour hotline.
- On the environmental side, energy-saving initiatives are underway in the large Pretoria building, as well as refuse-recycling.

8.4 Community-oriented activities

In lieu of profit to direct towards community-support activities as part of its social-responsibility undertakings, the HSRC can offer organisational or research capabilities. A community-development need for these capabilities has become pressingly evident on, literally, the HSRC's doorstep. The colonnade in front of the HSRC building provides nightly shelter to a growing number of homeless people, rising recently to as many as 200 people. Because there are no ablution facilities, by morning the area presents a health and environmental hazard, which the HSRC has handled by daily cleaning. The response of the authorities hitherto was confined to instructing the HSRC to build a perimeter fence, which would only have shifted the problem elsewhere.

COUNCIL'S REPORT

for the period ending 31 March 2004 (continued)

Prompted by a well-researched profile of the homeless people by members of its Integrated Rural and Regional Development Research Programme, the HSRC has taken up the issue as a development project. With the help of an experienced community-organisation facilitator, it has adopted a multi-faceted approach.

Consultations with the homeless people have been held, their suggestions and preferences noted, and their particulars taken. Those with entitlement are being directed to public housing. For the balance, a process has been initiated to engage the authorities responsible at national, provincial and metro level, via a series of regular and well-attended stakeholder meetings, towards the provision of alternative accommodation, possibly in the form of an overnight facility in one or other unused public building nearby.

It is hoped to emulate a successful shelter model operating in Johannesburg, which has support from the authorities, residents and the church. That shelter accommodates 100 people overnight, and provides food and ablutions to a further 150 each morning. A similar facility in the HSRC's quadrant of the CBD would also serve as a pilot project for Pretoria.

In addition, as a "corporate research project", the HSRC has conceived a national study of the causes and dimensions of the broader problem of homeless people in South Africa. The several research programmes that will be involved have assigned some of their funds from the 2004/05 Parliamentary grant.

9. Events between the financial year-end and the publication of this report

- The new Minister of Science and Technology, Mr Mosibudi Mangena MP, re-appointed the present Council of the HSRC for another six months until 31 October 2004.
- Professor Adam Habib took office as Executive Director of the Democracy and Governance Research Programme on 1 April 2004. The previous incumbent, Professor Roger Southall, continues in the Research Programme as Distinguished Research Fellow.
- The first meeting of the Editorial Board of the HSRC Publishers took place in May 2004.
- The CEO was mandated by Council to undertake the annual negotiations regarding the inflationary increase of the salary scale.

10. Achievement of performance targets

The progress of the organisation against quantitative targets, as reflected in this section, is one of the ways in which its performance is monitored. The CEO, the top management and Council are kept informed of progress so as to take corrective action when required. Adjustments to the indicators or targets are also considered as organisational developments unfold. The HSRC's actual performance on key indicators – as measured against previous performance and annual targets – is summarised in Table 6.

The targets are set each year in the Key Performance Indicator (KPI) Report of the HSRC submitted to the Minister's National Advisory Council on Innovation (NACI), via the DST. That document also includes qualitative indicators.

During 2003/04, DST commissioned a study to evaluate its use over the past few years of "balanced scorecard" reporting in Annual Reports and KPI Reports by science councils. Based on the recommendations of this study, future reports from science councils will include a more streamlined set of common key indicators, with optional indicators identified by individual councils to address more specific objectives. With the exception of the newly introduced item 11 (percentage of female research staff), the indicators in Table 6 are similar to those reflected in 2002/03. Some of these will be omitted or amended in due course.

The HSRC exceeded or was on target for 15 of the 18 KPIs for which targets had been set. Some targets have been exceeded by a substantial margin, such as item 8, free media coverage.

We comment on each of the instances where targets have not been met. With regard to item 7, the percentage of projects with external funding, it should be noted that this indicator does not sufficiently differentiate between smaller and larger projects. This indicator will be revised for future reference.

The percentage of staff on study bursaries, item 19, remained at the same relatively low level. With the introduction of the



new, integrated professional development programme for staff, it is expected that the HSRC bursary scheme will be upgraded, encouraging more staff to participate in the scheme.

Item 15, the proportion of researchers in the total staff complement, is increasing towards the target of 60%, alternatively decreasing towards the target of 40% of administrative staff, notwithstanding the need to provide additional administrative support to the various sites of the HSRC.

COUNCIL'S REPORT

for the period ending 31 March 2004 (continued)

Strategic objective	Key performance indicator (KPI)	Target 2003/04	Performance 2003/04	Performance 2002/03
Contracts and earnings: Increasing research earnings	("Financial Investment perspective")			
1.	Achievement of income target: Total income	R160m	R187,1m	R136,8m
2.	Achievement of income target: External research income	R95m	R102,578m	R61,179m
3.	Dependency ratio: External research earnings as a percentage of total research earnings (Parliamentary grant plus external research earnings)	59%	62%	50%
4.	Known successful proportion of total competitive tender/funding applications submitted, at May	34%	40%	33%
5.	Variance in budgeted expenditure: Surplus or deficit for year, as % of turnover	5%	0,1%	1,1%
Outreach: Assertive outreach to universities and NGOs, locally and internationally	("Stakeholder perspective")			
6.	Percentage of research projects with external researcher participation	55%	62%	51%
User needs: Focusing the research on user needs, especially of Government "clusters" for policy-relevant research	("Customer perspective")			
7.	"User-driven approach" – percentage of research projects that are partially or fully externally funded	70%	60%	54%
8.	Free media coverage	R10m	R22,9m	R3,3m
Performance – equity:	("HR and transformation perspective")			
9.	% black staff: overall	60%	60%	53%
10.	% black research staff	50%	60% (incl. interns) 51% (excl. interns)	48%
11.	% female research staff	Not set	44% (incl. interns) 38% (excl. interns)	51%
Performance – efficiency:	("Financial perspective" and "Organisational perspective")			
12.	Share of Parliamentary allocation spent on research	90%	97%	86%
13.	Productivity of HSRC investment in its employees: External research earnings per head (all permanent and longer-term contract staff)	R365 000	R394 768	R263 702
14.	Share of payroll spent on researcher salaries	67%	72%	64%
15.	Proportion of researchers in total staff	60%	58%	56%
Excellence: Achieving excellence in research	("Organisational perspective" and "Innovation and learning perspective")			
16.	Human capital: Proportion of researchers with M and D degrees	85%	78% (incl. interns) 91% (excl. interns)	80%
17.	Number of books, journal articles, reports (per average researcher head)	2.5	3.2	2.4
18.	Number of refereed journal articles per average researcher head	0.6	0.67	0.55
19.	Percentage of permanent staff receiving study bursaries	15%	8,5%	8,2%

Table 6: Performance targets



NOTES

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BALANCE SHEET

as at 31 March 2004

	Notes	2004 R'000	2003 R'000
Assets			
Non-current assets			
Property, plant and equipment	1	51,080	45,928
Investment property	2	6,850	6,850
Current assets			
Inventories	3	1,724	970
Trade and other receivables	4	26,415	15,306
Cash and cash equivalents	5	48,347	65,814
Total assets		134,416	134,868
Funds and liabilities			
Capital and reserves			
Income funds		11,360	13,203
Capital funds		42,059	42,059
Deferred income	6	5,865	6,408
Current liabilities			
Payables and accruals		67,578	66,293
Provisions	7	7,554	6,905
Total funds and liabilities		134,416	134,868



INCOME STATEMENT

for the year ended 31 March 2004

	Notes	2004 R'000	2003 R'000
Revenue	8	187,153	136,837
Research and related income		100,403	58,716
Government grants		65,562	58,505
Special government grants		5,000	5,000
Other operating income		16,188	14,616
Less expenditure	8	(187,363)	(147,314)
Employee cost		(83,370)	(64,731)
Depreciation		(5,696)	(4,265)
Subcontractors		(47,981)	(31,660)
Other operating expenditure		(50,316)	(46,658)
Deficit for the year		(210)	(10,477)

STATEMENT OF CHANGES IN EQUITY

for the year ended 31 March 2004

R'000	Income funds			Capital funds	Deferred income	Total
	Surplus funds	"Own-risk" insurance fund	General reserve			
Balance at 31 March 2002	5,280	400	18,000	42,059	4,826	70,565
Previously reported	5,946	400	18,000	42,059	4,826	71,231
Correction of previous year error	(666)					(666)
Allocated to income during the year					(3,537)	(3,537)
Net deficit for the year	(10,477)					(10,477)
Portion of Parliamentary grant utilised to acquire depreciable fixed assets for the year					5,119	5,119
Transfer from general reserves to income funds	2,000		(2,000)			-
Balance at 31 March 2003	(3,197)	400	16,000	42,059	6,408	61,670
Allocated to income during the year	(1,633)				(4,514)	(6,147)
Net deficit for the year	(210)					(210)
Portion of Parliamentary grant utilised to acquire depreciable fixed assets for the year					3,971	3,971
Balance at 31 March 2004	(5,040)	400	16,000	42,059	5,865	59,284



CASH FLOW STATEMENT

for the year ended 31 March 2004

	Notes	2004 R'000	2003 R'000
Cash flows from operating activities			
Cash receipts from grants		68,928	63,505
Cash receipts from customers		101,838	69,077
Cash paid to suppliers and employees		(180,486)	(94,395)
Cash (utilised)/generated by operating activities	13	(9,720)	38,187
Interest received		2,743	4,081
Net cash (outflow)/inflow from operating activities		(6,977)	42,268
Net cash outflows from investing activities		(10,490)	(10,788)
Additions to property, plant and equipment		(11,508)	(10,819)
- Motor vehicles		(112)	(112)
- Office furniture		(1,065)	(888)
- Computer, video-conferencing and other equipment		(2,906)	(6,420)
- Refurbishments		(7,419)	(3,367)
- Library books and artwork		(6)	(32)
Proceeds from the sale of property, plant and equipment		1,018	31
Net (decrease)/increase in cash and cash equivalents		(17,467)	31,480
Cash and cash equivalents at beginning of year		65,814	34,334
Cash and cash equivalents at end of year	5	48,347	65,814

SUMMARY OF ACCOUNTING POLICIES

for the year ended 31 March 2004

Basis of presentation

The Annual Financial Statements have been prepared on the historical cost basis in accordance with general accepted accounting practice and incorporate the following principal accounting policies, which have been consistently applied in all material respects with those of the previous financial year, unless otherwise stated.

Revenue

Revenue includes investment and non-operating income exclusive of value-added taxation. Revenue that resulted from the rendering of research and related services is acknowledged at the stage of completion, determined according to the percentage cost to date in relation to the total estimate cost of the project. Revenue from the sale of goods is recognised when significant risk and rewards of ownership of goods are transferred to the buyer. Revenue arising from royalties is recognised on an accrual basis in accordance with the substance of the relevant agreement.

Parliamentary grants received

Baseline grant

Parliamentary grants are accounted for in the period to which each grant relates.

Grants for depreciable and non-depreciable assets

Depreciable assets

Current year Parliamentary grants in respect of depreciable assets (excluding land and buildings) are allocated to income over the period of and in proportion to the depreciation, which is written off against such assets. A corresponding amount in respect of the relevant non-depreciable assets disposed of during the year is also allocated to income in the period in which it is disposed of. The balance of the Parliamentary grant not recognised in the income statement is disclosed as deferred income.

Non-depreciable assets

Parliamentary grants in respect of non-depreciable assets are allocated to income when received. A corresponding amount is then transferred from income funds to capital funds as an appropriation of accumulated funds per income statement. Freehold land and buildings (owner-occupied property), now subject to depreciation, was previously classified as a non-depreciable asset and was treated according to this policy.

Property, plant and equipment

Freehold land and buildings

Freehold land and buildings will be treated as owner-occupied property. Owner-occupied property will be stated at fair value less depreciation.

The owner-occupied property will be depreciated at 2% per annum.

Valuation method

A valuation of owner-occupied property will be performed every three years based on the income capitalisation method. The market value is determined from the ability of the property to produce a rental income, taking into account the expenses to produce the rental income, capitalised at a market-related rate, taking into account the risk, age and condition of the property with existing buildings. Any surpluses that occur due to the revaluation of land and buildings are directly allocated to capital funds.

Equipment

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

All other equipment is stated at cost and depreciated on the straight-line basis over its estimated useful life.

The annual depreciation rates applied to the various categories of equipment are:



SUMMARY OF ACCOUNTING POLICIES

for the year ended 31 March 2004 (continued)

Motor vehicles	25%
Office furniture	20%
Computer and other equipment	33.3%
Library books and manuscripts	33.3%
Software	50%

Investment property

Investment property is property held to earn rentals. Investment property is stated at fair value and a valuation will be performed every three years based on the income capitalisation method. The fair value is determined from the ability of the property to produce a rental income, taking into account the expenses to produce the rental income, capitalised at a market-related rate, taking into account the risk, age and condition of the property with existing buildings. Any surpluses that occur due to revaluation of the investment property are directly allocated to the capital funds.

Inventories

Inventories are valued at the lower of cost price or net realisable value. The net realisable value is the net of the selling price, during normal business, less any completion costs or selling costs. Cost is determined on the weighted average method. Inventories are made up of the following categories:

Test sales

Reading aids

Publications

Operating leases

Lease agreements are classified as operating leases, where substantially the entire risks and rewards incident to ownership, remain with the lessor. Lease income is recognised on a straight-line basis over the lease term. Cost incurred in earning lease income is charged against income. Initial direct costs incurred specifically to obtain the operating lease are written off when incurred.

Post-employment benefit cost

Pensions are provided for employees by means of three separate pension funds to which contributions are made. With regard to the Human Sciences Research Council Pension Fund (HSRCPF), and with effect from 1 April 1992, previous and current service costs and adjustments based on experience and additional funding for retired employees is acknowledged in the income statement as soon as the liability is known. With regard to the Associated Institutions Pension Fund (AIPF) and the Temporary Employees Pension Fund (TEPF), only the Council's contributions to the pension funds are recognised in the income statement.

Deferred income

Parliamentary grants in respect of certain depreciable assets are allocated to income over the period of, and in proportion to, the depreciation, written off against such assets. A corresponding amount in respect of the relevant non-depreciable assets disposed of during the year is allocated to income in the period in which it is disposed of. The balance of Parliamentary grants not recognised in the income statement is disclosed as deferred income. Other funds (including previous year surplus funds) that are utilised in respect of the acquisition of depreciable assets are not treated as deferred income.

Foreign currency transactions

Transactions in foreign currencies are accounted for at the rate of exchange ruling on the date of the transaction. Liabilities in

SUMMARY OF ACCOUNTING POLICIES

for the year ended 31 March 2004 (continued)

foreign currencies are accounted for at the rate of exchange ruling at the balance sheet date, or at the forward rate determined in forward exchange contracts. Exchange differences arising from conversion are recognised in the income statement in the period in which they occur.

Post-retirement medical aid benefits

The HSRC does not provide for post-retirement medical aid benefits to employees with the exception of specific employees who opted to remain on the previous condition of service when the benefit was terminated.

Capital funds

A Parliamentary grant in respect of non-depreciable assets is allocated to income when it is received. A corresponding amount is then transferred from income funds to capital funds as an appropriation of accumulated funds per the income statement. Freehold land and buildings (owner-occupied property), now subject to depreciation, was previously classified as a non-depreciable asset and treated according to this policy. Other funds (including previous year surplus funds) that are utilised in respect of the acquisition of non-depreciable assets are not accounted for in capital funds.

Provisions

Provisions are raised when a present legal or constructive obligation exists as a result of a past event and it is probable that an outflow of resources will be required to settle the obligation and a reliable estimate can be made of the amount of the obligation.

Financial instruments

Financial instruments carried on the balance sheet include cash and bank balances, receivables and trade payables. These instruments are generally carried at their estimated fair value. Receivables are carried net of the estimate doubtful receivables.



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004

1. Property, plant and equipment

2004	Total	Land and buildings	Artwork	Motor vehicles	Office furniture	Computer, video-conference and other equipment	Software	Library books, manuscripts
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Opening net carrying amount	45,928	36,967	230	123	1,056	7,272	245	35
Gross carrying amount	70,995	38,367	230	305	3,782	23,211	372	4,728
Accumulated depreciation	(25,067)	(1,400)	0	(182)	(2,726)	(15,939)	(127)	(4,693)
Additions	11,508	7,419	6	112	1,065	2,906	0	0
Adjustments	(660)	0	0	0	(119)	(538)	0	(3)
Carrying amount	(1,683)	0	0	(46)	(430)	(1,207)	0	0
Accumulated depreciation	1,023	0	0	46	311	669	0	(3)
Depreciation	(5,696)	(907)	0	(55)	(371)	(4,143)	(188)	(32)
Closing net carrying amount	51,080	43,479	236	180	1,631	5,497	57	0
Gross carrying amount	80,820	45,786	236	371	4,417	24,910	372	4,728
Accumulated depreciation	(29,740)	(2,307)	0	(191)	(2,786)	(19,413)	(315)	(4,728)

2003	Total	Land and buildings	Artwork	Motor vehicles	Office furniture	Computer and other equipment	Software	Library books, manuscripts
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Opening net carrying amount	39,385	34,300	209	49	452	4,308	0	67
Gross carrying amount	60,317	35,000	209	193	2,894	17,304	0	4,717
Accumulated depreciation	(20,932)	(700)	0	(144)	(2,442)	(12,996)	0	(4,650)
Additions	10,819	3,367	21	112	888	6,048	372	11
Adjustments	(11)	0	0	0	0	(11)	0	0
Carrying amount	(141)	0	0	0	0	(141)	0	0
Accumulated depreciation	130	0	0	0	0	130	0	0
Depreciation	(4,265)	(700)	0	(38)	(284)	(3,073)	(127)	(43)
Closing net carrying amount	45,928	36,967	230	123	1,056	7,272	245	35
Gross carrying amount	70,995	38,367	230	305	3,782	23,211	372	4,728
Accumulated depreciation	(25,067)	(1,400)	0	(182)	(2,726)	(15,939)	(127)	(4,693)

Land and buildings

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

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

2. Investment property

Riviera, Pretoria: Portion 58 (a portion of Portion 14), of the farm Rietfontein 321, measuring 2,3371 hectares, and the remaining portion of Stand 233, measuring 7 189 square meters, Registration division JR, Transvaal, situated at 185 Rose Street, Riviera, Pretoria. The property is leased out under an operating lease.

An independent external valuator, Fenwick Valuations, carried out a valuation on 28 March 2002 to determine the open market value between a willing seller and a willing buyer as on the date of valuation. The property was valued at R6,850 million.

	2004 R'000	2003 R'000
Opening net carrying amount	6,850	6,850
Transferred from property, plant and equipment	0	0
Fair value adjustment gain	0	0
Closing net carrying amount	6,850	6,850
3. Inventories		
Merchandise (Reading aids, test sales, publications)	1,724	970
	1,724	970
4. Trade and other receivables		
Trade debtors	22,885	12,066
Balance as at year-end	25,741	17,867
Provision for bad debts	(2,856)	(5,801)
South African Revenue Service (VAT)	3,530	3,240
	26,415	15,306
5. Cash and cash equivalents		
Bank balances	8,940	6,789
Call deposits	39,352	58,851
Cash on hand	55	174
	48,347	65,814
6. Deferred income		
Government grants received, to be recognised in future accounting periods		
Balance at the beginning of the year	6,408	4,826
Portion of grant used for depreciable assets	3,971	5,119
	10,379	9,945
Less: allocated to Income Statement	(4,514)	(3,537)
Portion of grant used for depreciable assets	5,865	6,408



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

	2004 R'000	2003 R'000
7. Provisions		
Provision – Redundant stock at year-end	0	0
Balance at the beginning of the year	0	751
Additional provision during the year	0	0
Utilised during the year	0	(751)
Provision – Staff leave and bonuses	6,594	5,346
Balance at the beginning of the year	5,346	3,033
Additional provision during the year	1,248	2,313
Utilised during the year	0	0
Provision – Severance packages	0	0
Balance at the beginning of the year	0	144
Additional provision during the year	0	0
Utilised during the year	0	(144)
Provision – Legal cost	960	1,559
Balance at the beginning of the year	1,559	1,261
Additional provision during the year	(351)	298
Utilised during the year	(248)	0
	7,554	6,905
8. Net deficit for the year		
Net deficit is arrived at after taking into account the following items:		
Research and related income		
Contract income	97,578	56,179
Commercial services	2,825	2,537
	100,403	58,716
Government grants		
Parliamentary grant	65,562	58,505
Parliamentary grant received	66,105	60,087
Less: transferred to deferred income	(543)	(1,582)
Special Parliamentary grant	5,000	5,000
	70,562	63,505
Other income		
Sundry income	1,840	1,147
Investment income	2,743	4,081
Rent received	8,515	7,419
Profit from sales	3,090	1,969
Property, plant and equipment	358	20
Inventories	2,732	1,949
	16,188	14,616

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

8. Net deficit for the year (continued)

	2004 R'000	2003 R'000
Audit fees		
Current year	589	350
	589	350
Depreciation of fixed assets		
Motor vehicles	55	38
Office furniture	371	284
Computer and other equipment	4,143	3,073
Land and buildings	907	700
Software	188	127
Library books and manuscripts	32	43
	5,696	4,265
Staff costs	76,993	59,559
Retirement benefit cost	5,714	4,609
Defined contribution plan	5,594	4,513
Defined benefit plan	120	96
Post-retirement medical benefit	591	606
Severance packages	72	(43)
Over-provision in previous year	0	(108)
Previous year provision	0	0
Payments on previous year provision	0	0
AIPF provision	72	65
AIPF payment	72	65
AIPF provision on payment due	0	0
Provision for retrenchments 2003	0	0
	83,370	64,731
Professional and consultancy fee	3,162	2,566
Foreign exchange differences included in the net deficit for the year	0,634	0,016

Fruitless expenditure

The Council paid an amount of R419,674 for interest to Diners Club on overdue balances and R2,716 for IPAT on royalties. The system error that led to interest being paid was corrected to prevent such an incident from recurring.



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

8. Net deficit for the year (continued)

Council members and executive management remuneration

2004	Fees for services as Council members	Managerial services			Total
		Basic salary	Bonuses and performance-related payments	Retirement fund and medical aid contributions	
	R	R	R	R	R
Council members of the HSRC					
Professor G.J. Gerwel (Chair)	13,584	-	-	-	13,584
Dr N.N. Gwagwa	-	-	-	-	-
Mrs N. Jordan	811	-	-	-	811
Dr V.T. Maphai	-	-	-	-	-
Professor W.E. Morrow	7,302	-	-	-	7,302
Mr E. Motala	16,822	2,160	-	-	18,982
Mrs P. Ntombela-Nzimande	-	-	-	-	-
Mr M.V. Sisulu	-	-	-	-	-
Executive member					
Dr F.M. Orkin (President and CEO of the HSRC)	-	948,201	193,219	167,571	1,308,991

Rentals in respect of operating lease

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

	Up to 1 year		1 to 5 years	
	2004	2003	2004	2003
	R	R	R	R
Future minimum lease payments	971,592	756,080	3,886,368	4,857,960

The HSRC has leased office space to the Department of Public Works at 134 Pretorius Street, Pretoria for a period of 60 months, effective from 1 May 2001. The lease payment is currently R355 409 per month. There is an escalation clause of 8% per year in the contract. The lease agreement is renewable at the end of the lease term.

	Up to 1 year		1 to 5 years	
	2004	2003	2004	2003
	R	R	R	R
Future minimum lease payments	4,606,092	4,577,671	6,909,138	10,730,986

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

8. Net deficit for the year (continued)

Operating lease in respect of investment property

The HSRC has leased office space to the Department of Public Works at 185 Rose Street, Riviera, Pretoria for a period of 60 months, effective from 1 August 2002. The lease payment is currently R168 047 per month. There is an escalation clause of 10% per year in the contract. The lease agreement is renewable at the end of the lease term.

	Up to 1 year		1 to 5 years	
	2004	2003	2004	2003
	R	R	R	R
Future minimum lease payments	2,320,352	2,151,004	5,607,498	7,927,842

Investment property

	2004	2003
	R'000	R'000
Rental income	2,219	2,016
Direct operating expenses	0,099	0,099

9. Pension funds

Pension benefits are provided by membership of the Associated Institutions Pension Fund (AIPF), the Government Employees Pension Fund (GEPF) and the HSRC Pension Fund (HSRCPF). The AIPF and GEPF are state-controlled which assumed responsibility for under-funding of these funds. The HSRCPF is a defined benefit and a defined contribution plan that provides lump sum payments and pensions to retirees or their dependants as well as death benefits. The HSRCPF is registered in terms of the Pension Fund Act 1956 as amended.

The fifth statutory actuarial valuation report of the HSRCPF was completed, effective from 1 October 2001. On the first day of October in each subsequent year an interim valuation will be completed. At the 1 October 2003 interim valuation date there were 186 members in the HSRCPF, consisting of 180 defined contribution members and six defined benefit members. Seven members are currently entitled to benefits from the HSRCPF of which five members had paid-up benefits and two are current pensioners. The administrators of the fund, ABSA Consultants and Actuaries, completed an additional interim valuation of the fund, to coincide with the HSRC financial year-end, on 31 March 2004.

For the purpose of the interim valuation, the assets in respect of the defined contribution members (180 members) were taken into account at full market value as these members are now entitled to the full market value investment return achieved under the HSRCPF after the implementation of investment choices. The total value placed on the assets in respect of the defined contribution members as at valuation date amounted to R33,006m.

With regard to the pensioners and the members entitled to defined benefits under the HSRCPF (six members), assumptions were made regarding the expected experience of the HSRCPF in respect of deaths, withdrawals, rates of salary increase, early retirements as well as the expected yield on the assets of the HSRCPF and operational costs. The assumptions were used to calculate the discounted value of the accrued liabilities for all the defined benefit members of the HSRCPF as at interim valuation date for comparison with the available assets of the HSRCPF. The assumptions used in this valuation differ from those used in previous valuations in respect of withdrawal, early retirement and mortality. In view of the remaining members the assumption was made that none of the aforementioned will take place. The accrued liabilities to these members as at interim valuation date amounted to R2,021m.

The accrued liabilities of the five members with paid-up benefits in the HSRCPF as a statutory valuation date amounted to R0,272m. The accrued liability of the two members receiving current pensions in the HSRCPF as at statutory valuation date amounted to R0,214m.



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

9. Pension funds (continued)

Pension fund valuation:

	Defined Benefit Pension Fund	
	2004 R'000	2003 R'000
Present value of funded liabilities	2,021	1,780
Future value of plan assets	(5,513)	(3,975)
Funded status	(3,492)	(2,195)
Actuarial losses	(744)	(1,800)
Net asset	(4,236)	(3,995)
Number of members	6	4

The apportionment of the surplus will be completed with the next statutory valuation of the fund in October 2004, therefore the asset cannot be determined at 31 March 2004.

Principal actuarial assumptions:

	2004 %	2003 %
Valuation rate	9,0	9,1
Inflation rate	5,0	5,9
Salary increase rate	6,5	6,9
Expected investment return	9,2	9,1

Pension fund members:

	HSRC Defined Benefit Pension Fund %	HSRC Defined Contribution Fund %
Members as a percentage of total employment	2,25	67,42
Contribution rate	25,80	23,43
Members	7,70	7,50
Employer	18,10	15,93

10. Post-retirement medical benefits

An actuarial valuation of the cost of post-retirement medical benefits due to all employees, determined in April 1997, indicated a total liability of R22,2 million. As from 1 August 1997, post-retirement medical benefits are provided by membership of a Provision Fund (Fund) administered by Liberty Life of Africa Limited, Policy Number 232193. The Fund is actuarially valued every three years after which benefit statements are provided to members showing their and the HSRC's contributions together with the interest earned.

The membership and funding of the Fund are as follows:

The HSRC, for members of staff older than 30 years of age on 1 August 1997 who belonged to the medical aid scheme and who selected the defined contribution basis of funding, pays an actuarially calculated lump sum as well as further monthly predetermined contributions into the individual member's accounts in the Fund. Contributions are revised annually and, although likely to increase each year, the HSRC's maximum contribution increase is capped at 13% per

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

10. Post-retirement medical benefits (continued)

year. The HSRC, for members of staff younger than 30 years of age on 1 August 1997 who belonged to the medical aid scheme and who selected the defined contribution basis of funding, contributes a monthly amount of R300 on behalf of the member of the Fund. These monthly contributions are kept to the same level annually.

The value of the members' accounts in the Fund for both categories of members as at valuation date, 1 September 2000, amounted to R7 500 136,27.

The HSRC, for staff who did not belong to the medical aid scheme on 1 August 1997, contributes a monthly amount of R100 on behalf of the member to the Fund. These monthly contributions are kept to the same level annually. The value of the members' accounts in the Fund at valuation date, 1 September 2000, amounted to R49 342,64. The HSRC, for staff who joined the service of the HSRC after 1 April 1998, irrespective of whether they joined the medical aid scheme or not, contributes an amount of R100 per month on behalf of the member to the Fund. The value of the members' accounts in the Fund at valuation date, 1 September 2000, amounted to R121 937,59.

The lump sum, if applicable, and monthly contributions paid by the HSRC, represents the HSRC's total obligation in this regard towards the members' post-retirement medical costs. When the member leaves the service or dies while employed by the HSRC, the contributions plus applicable growth are, according to a vesting scale, payable to the staff member. A reserve account has been established in terms of the Fund. The account is maintained by contributions paid from time to time by the HSRC and may, subject to the approval of the administrator, management committee and the necessary approval of the Commissioner for Inland Revenue, be used to provide for an increase in the level of benefits on retirement, in retirement, on death or on withdrawal or to stabilise the cost to the HSRC of providing future benefits under the Fund. The value of the reserve account, at valuation date, 1 September 2000, was R785 002,11.

The Fund value as at 31 March 2004 was R6 673 048,23. The next actuarial valuation will be performed on 1 September 2004.

11. Uncovered foreign currency monetary items

At 31 March 2004 the HSRC had the following foreign exchange currency transaction not covered by forward exchange contracts.

2004	2003
US Dollar	US Dollar
'000	'000
538	42
Rand	Rand
'000	'000
3,500	336

12. Contingent liabilities

Litigations and claims

At 31 March 2004 there were pending labour-related cases between the HSRC and retrenched employees. The most recent estimate indicated that retrenched employees have instituted claims amounting to R2 177 039 against the HSRC. The HSRC is of the opinion that no liability will be incurred in this respect.



NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

13. Reconciliation of net deficit to cash generated from operations

	2004 R'000	2003 R'000
Net deficit	(210)	(10,477)
Adjustments for:		
Provisions	649	1,716
Deferred income	(543)	1,582
Depreciation	5,696	4,265
Allocation to grant	(1,633)	-
Profit on sale of property, plant and equipment	(358)	(20)
Interest on investment	(2,743)	(4,081)
Operating surplus/(deficit) before operating capital changes	858	(7,015)
Working capital changes	(10,578)	45,202
(Increase)/Decrease in inventories	(754)	202
Increase in trade and other receivables	(11,109)	(1,736)
Increase in trade payables and accruals	1,285	46,736
Cash (utilised)/generated by operating activities	(9,720)	38,187

14. Financial risk management

Interest rate risk

The Council invests surplus cash on fixed notice deposits for periods of 32 days. Interest rates on these deposits are fixed for the period of investment. Other funds are kept in the current and call accounts at variable interest rates.

Liquidity risk

The Council maintains sufficient funds available in call and current accounts to meet its three month cash flow requirements. Temporary surplus cash is invested in fixed deposits.

Credit risk management

The Council invests temporary cash surpluses with a major South African bank of high standing.

15. Capital expenditure

	2004 R'000	2003 R'000
Approved by management, but not yet contracted	18,472	2,683
The capital expenditure is to be financed as follows		
Internally-generated funds	18,472	2,683

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the year ended 31 March 2004 (continued)

16. Spending of surplus as approved by National Treasury

Approval was obtained from National Treasury for the utilisation of surplus funds on specific projects as identified by the HSRC. The Council through the CEO subsequently approved the application of unspent funds from certain categories to extra expenditure on prioritised research and capital expenditure projects. The Council consequently requested the application of more flexible categories to the surplus. The Department of Science and Technology supported the request to National Treasury and both the Department and National Treasury approved the application.



REPORT OF THE HUMAN SCIENCES RESEARCH COUNCIL (HSRC) AUDIT COMMITTEE — 2003/04

We are pleased to present our report for the financial year ended 31 March 2004.

Audit Committee responsibility

The Audit Committee reports that it has complied with its responsibilities arising from Section 38 of the *Public Finance Management Act, 1999*. This report has been prepared according to the Treasury Regulations for public entities issued in terms of the PFMA and promulgated in Gazette 7372 on 25 May 2002. The HSRC is listed as a national public entity in Schedule 3A of the Act.

Audit Committee members and meetings

The entity's accounting authority, the HSRC Council, appointed the present Audit Committee members on 27 November 2003.

During the year under review (2003/04) the Committee consisted of Messrs S.A.H. Kajee (specialist member and Chairperson), and R.J. Page-Shipp (specialist member), and Dr N.N. Gwagwa (Council member). The accounting officer of the HSRC, Dr F.M. Orkin (CEO and Council member) is an *ex officio* member of the Audit Committee. The vacancy for a specialist member on the Committee since Ms P. Mnxasana's resignation at the end of March 2003 is expected to be filled in May 2004.

The Audit Committee met on 8 May 2003, 7 August 2003, 18 November 2003 and 5 February 2004. In addition to the above members, persons attending Committee meetings by standing invitation include the Head of Internal Audit, the Chief Financial Officer and representatives of the Office of the Auditor-General and its agent. Where necessary, the Committee met separately with external and internal auditors.

The effectiveness of internal control

The system of internal control is effective as the various reports of the Internal Auditors, the Audit Report on the Annual Financial Statements, the matters of emphasis and management letter of the Auditor-General have not reported any significant or material non-compliance with prescribed policies and procedures.

Evaluation of financial statements

The Audit Committee has reviewed the Annual Financial Statements of the HSRC (including the Council's Report), the Report of the Auditor-General and periodic reports submitted to the Audit Committee by the Head of Internal Audit of the organisation. In the context of our understanding, the Committee is satisfied that the major financial risks of the entity are appropriately managed and that the financial statements are a fair reflection of the HSRC's activities in the last fiscal year.

The Audit Committee concurs and accepts the conclusions of the Auditor-General on the Annual Financial Statements and is of the opinion that the audited Annual Financial Statements be accepted and read together with the report of the Auditor-General.

A handwritten signature in black ink, appearing to read 'S.A.H. Kajee', is written over a horizontal line.

S.A.H. KAJEE

Chairperson of the Audit Committee

Human Sciences Research Council

Pretoria

31 July 2004