

HUMAN SCIENCES RESEARCH COUNCIL



INTEGRATED ANNUAL

REPORT 2015/16

A SHARPER
FOCUS ON



POVERTY,
INEQUALITY
AND UNEMPLOYMENT

Social science that makes a difference

“Going forward, our research agendas should therefore take cognisance of not only the range and complexities of the inequalities we have identified, but also interrogate policy efforts and activism to address these. As well, new developments in the policy space require our attention. The recent inclusion of inequalities as a stand-alone goal in the SDG’s, the adoption of Agenda 2063 – the AU’s ambitious programme of structural transformation and regional integration – are just two examples”

– **From the closing remarks by President of CODESRIA,
Professor Dzodzi Tsikata at the World Social Science Forum 2015.**

CODESRIA Bulletin Nos 3 & 4, 2015 page 63 (<http://www.codesria.org/spip.php?article2504&lang=en>)



In this **Integrated Annual Report** we show how the HSRC, through its dedication and hard work connect the points between poverty, inequality, and unemployment.



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SCOPE AND BOUNDARIES

The integrated annual report covers the activities and results of the HSRC for the period 1 April 2015 to 31 March 2016.

The integrated annual report has been prepared according to Generally Recognised Accounting Principles (GRAP), the requirements of the Public Finance Management Act (No.1 of 1999, as amended by Act No. 29 of 1999) (PFMA), and the recommendations of the King III report.

Management has also considered the guidelines published by the Integrated Reporting Committee of South Africa.

The annual report is published with the aim of assisting stakeholders in assessing the ability of the HSRC to create and sustain value.

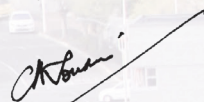




SIGN-OFF (CHAIRPERSON AND CEO)

It is hereby certified that this integrated annual report:

- was developed by the management of the HSRC under the guidance of the HSRC board;
- takes into account all the relevant policies, legislation and other mandates for which the HSRC is responsible; and
- accurately reflects the performance of the HSRC against the strategic outcome-oriented goals the organisation has committed itself to achieving during the 2015–2016 reporting period.



Prof. Crain Soudien
Chief executive officer



Ms Nasima Badsha
Chairperson of the board
(Accounting authority)

OUR SOCIAL HERITAGE AND WHO WE ARE TODAY

The HSRC was established in 1968 by the Human Sciences Research Act (No 23 of 1968) as a statutory research agency of South Africa. The government confirmed its support for the continued existence of the HSRC by legislating its public purpose and objectives with the HSRC Act 17 of 2008, which repealed and replaced the Act of 1968 one.

Since 1968, the organisation has become the largest dedicated research institute in the social sciences and humanities on the African continent, conducting cutting-edge research in areas that are crucial to development.

Toward fulfilling its mandate in terms of the Act of 2008, the HSRC is charged with promoting research that advances the understanding of and engagement with the social conditions of South Africa and Africa that characterise their contexts. Therefore, the knowledge it generates seeks to contribute to local, regional, and global understanding of the human and social conditions of the people of the region, and the processes that will assist in their social improvement. Its primary role, in terms of this mandate, is to be a hub of knowledge production, knowledge translation, and knowledge dissemination for policy-makers and the broader public. In addition, in the context of an environment of skills shortages, it also has to play a critical role in building the capacity of new scholars and researchers to both support and advance the mandate of building new knowledge and taking that knowledge into the public domain. The scope of the human and social sciences research to which the HSRC is dedicated is broad. It encompasses all the dimensions of those phenomena that give a society its particular character. This, of necessity, includes transversal themes such as poverty, inequality, and unemployment; social change and aspects of innovation, development, and growth; social cohesion, culture, and its uses, citizenship, civic life, how people learn, socialisation, and identity, the roles of institutions and individuals in their environments, and the changing relationships of power and engagement. For a country such as South Africa, with its history of apartheid, these issues are overlain with the complexities of race, class, and gender. An understanding of these themes can be gained best from studies conducted in areas such as education, health, cultural studies, political engagement, service delivery, employment, and growth, or family studies. They require the participation of scientists from many disciplines with a problem-solving orientation, who bring with them both specialist and multi- and transdisciplinary skills. These scientists have skills to undertake basic or problem-oriented research, which is often multi- or interdisciplinary in nature.

Against this broad social landscape to which the HSRC looks, what, in the context of the resources that are at its disposal and in relation to its strengths, will be the focus of the HSRC for the next period? How, strategically, will it concentrate its resources?

It is imperative that the HSRC, as a publicly funded and publicly mandated entity, orientates and marshals its capacities behind the project of addressing the most urgent social questions facing South Africa and the continent. While there are many issues that can be raised, it is absolutely clear, and this is borne out in many academic and policy-related analyses, including the NDP and strategies of the DST, that poverty and inequality are the major questions that the country has to address. Poverty and inequality provide the macro determinants against which the issues of deprivation, and their opposite, the capacity to flourish, play themselves out. What must be understood are both the structural factors that are in

play in producing these conditions and, through various forms of innovation that explore creative and hybrid approaches, how they may be undone. This requires sophisticated economic, political, historical, and social analyses. How inequality is given life and how it can be disrupted through the structural and psychosocial realities is what the HSRC urgently has to assist South Africa and the continent in having to deal with. The HSRC aims to present itself as the agency within the National System of Innovation that will help the country understand how critical social innovation is (as a process in which new and creative approaches to inclusive social development can be explored), alongside building our knowledge capacity in science and technology, for addressing poverty and inequality.

Flowing from this, two features will distinguish the work of the HSRC for the next period, 2016–2020, namely, (i) a focus on the urgent questions of the social determinants surrounding the persistence of poverty and the deepening of inequality, and (ii) an emphasis on building the capacity for high-quality problem-identification and high-quality solution-focused research, which will assist in understanding and engaging with the questions of poverty and inequality. The guiding theme behind the strategic plan of the HSRC for the next five years is therefore 'poverty and inequality: diagnosis, prognosis, responses'. This recognises the far-reaching consequences of poverty and inequality for the well-being and life chances of South African citizens and for the stability and cohesion of society. In addition, these issues are enormously and increasingly significant for the rest of Africa and the wider world. In particular, the research strategy of the HSRC will continue to seek to:

- enhance the analysis of current forms, patterns, and trajectories of poverty and inequality;
- improve understanding of the drivers, dynamics, and structural constraints underlying the contemporary situation; and
- explore the opportunities, triggers, and tools for transforming current pathways and processes through action by the government and other social institutions.

The research agenda will be influenced and inspired by a positive vision of inclusive development and an awareness of the factors in the social, political, and economic environment that impede progress toward the attainment of development. Inclusive development is both a process and an outcome. As a concept, inclusive development encompasses the following principles, namely, (i) the social ideal that the entire population shares equitably in the benefits of economic progress, (ii) the social value of direct and indirect participation of the people of the country in the development process, (iii) the building and nurturing of social trust, (iv) the consequent development of legitimacy of public structures and institutions. As a process, it requires wide and inclusive participation both in decision-making and in the practical activities of the social, political, and economic domains of everyday life. Starting with what it has already achieved, the HSRC will be more deliberate in its attempts to produce and present research-based evidence that can be used to better understand, analyse, and address the aspects of poverty and inequality in the communities, country, continent, and world we live in. It intends to build on the considerable methodological strengths and resources it has developed over time. For instance, the HSRC has developed the capacity to design and manage large-scale national repeat and longitudinal surveys, to analyse and interpret in both quantitative and qualitative ways the data sets generated by these surveys, and to make the data available for further



analysis. It has also built up a considerable body of knowledge, based on other studies and discrete small-scale enquiries that have been put at the disposal of the government and policy-makers, in accordance with the preamble to the 2008 HSRC Act. These resources are available to provide the trend data, basic information, and interpretive analyses necessary for engaging with the social conditions of the country and the policies and processes required for changing them. In addition, the HSRC intends to collaborate and learn with researchers, policy makers, and communities who share an interest and expertise in addressing these issues, and to contribute to capacity development, where it has the specialised resources to do so.

Against this background, the research programme of the HSRC over the next five years will be structured around three broad dimensions of poverty, inequality, and inclusive development:

- economic inclusion — including growth, competitiveness, regional integration, infrastructure, technological innovation, ICT, resources (natural, human, land), labour markets and spatial dynamics (urbanisation, agglomeration, density);
- social development — including the well-being (quality of life, security, social, and spatial mobility, migration), human capabilities (education, skills, health, etc.), social relationships (race, class, gender, identity, etc.), social institutions, and cohesion (family, community, etc.); and
- governance and decision-making — including political participation, democracy, trust-building, nurturing legitimacy in public structures, capacity-building in the state, enhancing leadership, distributing power, accountability, responsiveness, social movements, multilevel government, and coordinated decision-making.

These three dimensions and their sub-elements will be studied both as separate research programmes in their own right but also in terms of their inter-dependent relationships. While the country has access to and insight into the important causal social determinants of the challenges facing it, many of the most interesting and important research questions surrounding the drivers, dynamics and barriers to socioeconomic progress relate to the interactions between the three dimensions. This requires understanding the relationship between the structural and the psychosocial factors that are in play in the country.

Practically, it will mean continuing existing lines of research but also the opening up of new research questions. For example, the relationship between rising inequality, political instability, disinvestment, unemployment and economic stagnation could readily constitute a vicious circle – but how strong are each of these connections in reality, what are the detailed mechanisms at work, and what are the thresholds beyond which inequality is a brake on progress? Conversely, reduced poverty and narrower income gaps could lay the basis for mutual trust, social order, political tolerance and investor confidence. How in this environment one develops social compacts around widely-debated and widely-dialogued initiatives is important. This work will have to be undertaken at the macro, meso-, and micro levels of social life in the country and calls for a better understanding of the connected nature of the social, political and economic dimensions of development. ■



WHAT WE BELIEVE IN OUR FOCUS



HSRC
Human Sciences
Research Council



VISION

The HSRC intends to serve as a knowledge hub for research-based solutions to inform human and social development in South Africa, the African continent, and the rest of the world.



MISSION

The mission of the HSRC is to be a research organisation that advances the social sciences and humanities to help address pressing social issues, such as inequality and poverty and enhance human welfare and development, for public use.



VALUES

As an institution, the HSRC wishes to promote and embody the following values:

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

The HSRC therefore strives to:

- Be a research organisation whose work is viewed as authoritative and non-partisan;
- Use its parliamentary grant and other public funds to undertake and promote research that will benefit all the people of South Africa, particularly marginalised groups, and promote human well-being and the achievement of social justice by providing scientific evidence to underpin national development, as well as international best practice;
- Collaborate with relevant groupings within and outside the borders of South Africa, including the government, higher education institutions, donors, non-governmental organisations, media and advocacy groups in the course of its work, while maintaining its independent identity; and
- Be guided by its code of ethics in introducing, revising and implementing policies and procedures to guide board members and employees in respect of ethical conduct in their different spheres of activity. The policies and procedures will thus seek to integrate ethical issues into day-to-day activities and decision-making processes within the organisation.



CONSTITUTIONAL MANDATES

The HSRC is not specifically mentioned in the South African Constitution, Act 108 of 1996. However, in the conduct its work is bound by the Bill of Rights contained in the Constitution. The Constitution informs how the HSRC undertakes its research, particularly section 12(2) (c), which highlights the right of not being subjected to medical or scientific experiments without informed consent, and section 16 which addresses freedom of expression, including the right to academic freedom and freedom of scientific research.



LEGISLATIVE MANDATES

Acts specific refer to the HSRC :

- The Human Sciences Research Council Act 17 of 2008 provides for the continued existence of the HSRC (originally established in 1968) and outlines its purpose and mandated objectives. The preamble to the HSRC Act makes reference to the need to promote human science

research of the highest quality in South Africa, the need for South African researchers in the human sciences to collaborate with their counterparts elsewhere in Africa and the rest of the world, the need for research to help improve understanding of social conditions and the processes of social change, and the need for programmes to address pressing social issues relevant to human welfare and prosperity.

Against this backdrop, the HSRC Act mandates the Human Sciences Research Council to:

- Initiate, undertake and foster strategic basic and applied research in human sciences;
- Address developmental challenges elsewhere in Africa and in the rest of the world by gathering, analysing and publishing data relevant to such challenges, especially by means of projects linked to public-sector-oriented collaborative programmes;
- Inform the effective formulation and monitoring of policy, as well as evaluating the implementation thereof;
- Stimulate public debate through the effective dissemination of fact-based research results;
- Help build research capacity and infrastructure for the human sciences;
- Foster research collaboration, networks and institutional linkages;
- Respond to the needs of vulnerable and marginalised groups in society through research and analysis of developmental issues, thus contributing to the improvement of the quality of their lives;
- Develop and make available data sets underpinning research, policy development and public discussion of developmental issues, and to
- Develop new and improved methodologies for use in the development of such data sets.

HSRC Act provides specific guidance on the appointment, composition and responsibilities of the HSRC Board as its governing body, and allows the HSRC to undertake or commission research on any subject in the field of the human sciences and to charge fees for research conducted or services rendered request.

- The AISA Repeal Bill, gazetted on 17 December 2013, resulted in the incorporation of the Africa Institute into the HSRC effective 01 April 2014. This strengthened the global and continental focus of HSRC research, as already required in terms of the HSRC Act.
- The Public Finance Management Act (PFMA Act 1 of 1999 as amended) applies to the way in which the HSRC operates and accounts for its finances and performance. The HSRC is

recognised as a national public entity, and is listed in Schedule 3A to the PFMA. The minister of science and technology is the executive authority, and the HSRC Board the accounting authority of the HSRC.

The HSRC therefore has a clear and strong mandate derived from its own founding legislation. Guidelines emerging from the South African constitution and related legislation provide an enabling framework for an ethical and value-driven approach to research and research dissemination.



POLICY MANDATES

National and cross-cutting policies

The NDP and the MTSF

The HSRC is required to address developmental issues through research, thereby contributing to policy formulation, public debate, monitoring, and evaluation, and providing support for the improvement of the quality of vulnerable communities. The HSRC is not a policy-implementing agency. Its critical contributions are providing research-based information that can inform planning, monitor progress, and form part of a knowledge-based economy.

The NDP makes extensive reference to the need for research to inform better planning, monitoring, and implementation support toward Vision 2030. The Medium-Term Strategic Framework (MTSF) 2014 to 2019 also refers explicitly to the need for research that addresses the urgent questions raised in the NDP. While the HSRC has the ability and proven capacity to provide support to virtually all the priority areas highlighted in the NDP and MTSF (see Annexure A), it intends, over the next strategic period, to optimise its effectiveness by placing much stronger focus on the critical issues of poverty and inequality as cross-cutting themes underpinning and emerging from the work it does.

The HSRC intends to work with DST (and other government departments) to help develop a phased, national innovation plan that is aligned with Vision 2030. The HSRC and the broader social sciences and humanities research community would be able to add perspectives on social innovation, and, more specifically, innovation for inclusive development through research that is aimed at better understanding the issues of poverty and inequality, translating and communicating findings, identifying opportunities to help address problems, and helping to track the progress made in this regard.

The MTSF and outcomes approach

The HSRC is committed to the outcomes approach, as developed by the government (<http://www.info.gov.za/issues/outcomes/index.html>), that will contribute toward addressing impact indicators and achieving outputs and targets associated with the fourteen outcomes outlined in Medium-Term Strategic Framework (MTSF) for 2014 to 2019.

The HSRC is recognised as an important role player in a number of annexures to the MTSF where the fourteen outcomes agreed for the 2014–2019 electoral period are described in more detail, and linked to the objectives set in the NDP.

Annexures specific to the HSRC and its work include those for Outcome 1 (Quality basic education), Outcome 2 (A long and healthy life for all South Africans), and Outcome 5 (A skilled and capable workforce to support an inclusive growth path). HSRC research-based contributions in relation to several other outcomes and the related outputs, have an effect on indicators and targets.

In the appendix to the MTSF, dealing with Outcome 1 (Quality basic education), performance in the Trends in Mathematics and Science Survey (TIMSS), which is regularly administered by the HSRC, is listed among the explicit performance targets set for the period.

The appendix for Outcome 5 (A skilled and capable workforce to support an inclusive growth path) specifically refers to an earlier (2005) HSRC study on the employment of artisans, which serves as the baseline for further work. In addition, reference is made to the work of “a credible institutional mechanism for labour market and skills planning”, where the HSRC is currently playing an important part. Importantly, the appendix for Outcome 5 also indicates explicitly that “Research and development should be significantly expanded to contribute toward building an inclusive society, providing equal opportunities, and helping all South Africans to realize their full potential, in particular those previously disadvantaged by apartheid policies, namely black individuals, women and individuals with disabilities” (page 1). The commitment of the HSRC to ongoing institutional transformation speaks to this ideal.

The report on the 2012 South African National HIV Prevalence, Incidence and Behaviour Survey (SABSSM) is cited in the annexure dealing with Outcome 2 (A long and healthy life for all South Africans). Work in this area also benefits from HSRC research and surveys that provide the scientific evidence to inform approaches aimed at combatting HIV and AIDS, as well as decreasing the burden of diseases from tuberculosis. The aim is to gain a better understanding of the issues associated with infant, child, and maternal mortality, as well as chronic lifestyle diseases.

HSRC work also seeks to inform, and respond to other national strategies, including Operation Phakisa (with particular reference to the blue economy) the Human Resource Development Strategy for South Africa, the National Skills Development Strategy, and the National Strategic Plan for HIV and AIDS and Sexually Transmitted Infections (STI) of South Africa, as well as the ten-point plan for health and basic education.

The HSRC remains committed to providing evidence-based support to government to better inform planning, and policy development, and to monitor progress against predetermined objectives. As far as possible, the focus of these activities over the next strategic period will be contextualised around aspects of inequality and the determinants and impacts of poverty in prioritised areas of work.

Policies, strategies and plans specific to the National System of Innovation (NSI)

As a member of the National System of Innovation (NSI) and one of the entities reporting directly to the DST, the work of the HSRC is guided by the White Paper on Science and Technology (1996), the National Research and Development Strategy (2002), the Ten-Year Innovation Plan (2008) of South Africa and the Human and Social Dynamics in Development Grand Challenge Science Plan (2010) of the DST. The Strategic Plans and Annual Performance Plans of the DST provide a more focused strategic context against which the HSRC plans and prioritises its activities.

International context

In terms of its Africa and global research agenda, HSRC work is also guided by the priorities of the NDP and the MTSF, as well as work feeding into the Africa strategy of the DST. International policies and strategies informing HSRC work include Agenda 2063 of the Africa Union, the Science, Technology and Innovation Strategy for Africa 2024 (STISA), also of the AU1, and the Sustainable Development Goals developed and adopted by the United Nations.

Once again, the strategic intent of the HSRC is for work in this context to focus on ways to better analyse and address poverty and inequality within and between countries, regions and groups of people. ■

FOREWORD

BY THE CHAIRPERSON

On behalf of the HSRC Board, I am pleased to present our integrated annual report for the period 1 April 2015 to 31 March 2016. During the period under review, the HSRC recorded an improvement in its performance against predetermined objectives and once again achieved a clean unqualified audit from the auditor-general.



As evidenced in the new strategic plan for the period 2016–2020, which details the long-term goals of the organisation, the strategic focus of the organisation has been reviewed and re-framed to ensure a sharper focus on the issues of poverty, inequality and employment. The projects conducted by the various research programmes in the HSRC and the collaborative partnerships developed have increasingly reflected this concentration of effort. This report highlights some of our projects in areas, such as artisanal work and occupations, constraints to success among higher education students, the role of informal housing in urbanisation, healthier and safer street foods, public funding of community advice offices, the final country report on the Millennium Development Goals, and social indicators across the BRICS countries.

The report also highlights collaborative partnerships with the holders of research chairs at South African universities, with the Council for the Development of Social Science Research in Africa (CODESRIA), with the African Observatory of Science and Technology, and with the International Social Science Council (ISSC).

The HSRC, CODESRIA and the ISSC successfully hosted the World Social Science Forum in Durban in September 2015, with support from the DST, various South African universities, and other partners. Held under the theme Transforming Global Relations for a Just World, the forum brought together researchers, policy makers, and activists to review the state of knowledge in the social sciences and chart a global research agenda on issues of inequality and social justice.

Although the overall performance of the HSRC against predetermined objectives remains good, there are still challenges in meeting the targets for the publication of the papers of PhD and MA research interns in internationally accredited scientific journals. The HSRC also continues to operate in an environment in which there is high demand and stiff competition to recruit and retain experienced researchers — especially African women. The board continually engages with these complexities through its subcommittees, notably the human resources and research committees.

The board of the HSRC continues to effectively discharge its responsibilities and maintains conducive and productive relationships with parliamentary committees, the ministry of science and technology, and the chief executive officer and management of the HSRC.

Our new CEO, Professor Crain Soudien, took office in September 2015 and has been playing a key leadership role in shaping the direction of the organisation in the coming period, as well as strengthening our partnerships within the country, on the African continent, and internationally.

The board wishes to acknowledge the leadership of Dr Temba Masilela, who stood down as deputy CEO for research in 2015, after holding the position for the past five years. In turn, we welcome Dr Leickness Simbayi, who was appointed deputy CEO for research in early 2016. The board has an active research committee, chaired by Dr Adebayo Olukoshi, which continues to work closely with the deputy CEO and the executive directors to support the sharpening of the research agenda of the HSRC.

The board wishes to thank minister Naledi Pandor for her support for the social sciences and humanities in South Africa and on the African continent. Under her astute leadership, the country's commitment to vibrant science, technology, and innovation sectors that contribute to inclusive development have continued to grow. I would also like to thank my fellow board members for their valuable contributions in ensuring that the HSRC fulfills its mandated objectives and in ensuring that the board discharges the responsibilities specified in the HSRC Act (No. 17 of 2008).

Professor Crain Soudien, the CEO of the HSRC, his executive management team, and all the researchers and staff in the HSRC have our gratitude for their commitment and performance during the year under review.

Nasima Badsha

CHIEF EXECUTIVE OFFICER'S OVERVIEW

An annual report is by its nature a key accounting document. It provides an organisation the opportunity to explain how, in relation to its vision and mission, it has mobilised and marshalled its resources and what the outcomes of this process have been. It is an honour for me, in this my first year at the HSRC, to report that we have done well. The report will show that we have challenges to which we must give attention. But we have achieved much with respect to our major objectives. For this, I am thankful to everybody in the organisation and, particularly, our board, under the perspicacious leadership of our chair, Ms Nasima Badsha, and the members of the extended executive team at the HSRC. This first year for me in the HSRC has been both educational and inspirational.

We are bedding down our new focus on poverty and inequality in the organisation. The report for this year focuses on this theme. While the report carries accounts of the range of work that is underway in the various research programmes, it reflects on the initiatives that are ongoing and that are emerging, which speak to the questions of poverty and inequality. Our intention is to sharpen this focus incrementally over the next five years. The highlights in this report relate to innovations in our analyses of the conditions in our country that reproduce, and, in some instances, exacerbate the problems of poverty and inequality. In addition to reports from our programmes, this report also presents our financial situation and performance and corporate governance, in the context of the performance targets we set for 2015/2016.

GENERAL FINANCIAL REVIEW

Our stewardship of the organisation has yielded unqualified audit opinions for the past thirteen years. This is an achievement that comes from holding the line with respect to the levels of financial and internal controls required by the PFMA, the national treasury regulations and prescripts, and other applicable regulations.

Holding this line has also produced for the HSRC clean audits for the past four consecutive years from the auditor-general. To achieve a clean audit, an organisation has to consistently produce financial statements (2015/2016) free of material misstatements. Moreover, the audit for the period did not require any material adjustments. This achievement, along with those of the sister entities of the HSRC in the DST, was acknowledged by an award from the auditor-general at a special event, attended by the minister of science and technology, in October 2015.

Apart from keeping our books well, it is important to emphasise how much we in the HSRC are seeking to engender the spirit of doing well with the limited resources we have at our disposal. We are deeply conscious of the fiscal challenge the state has to confront, with its constrained resources having to be distributed among an expanding array of social demands and needs. We understand also the impact of the global financial crisis on this situation. Given this, we manage ourselves in the HSRC, as the minister of finance has asked, with a sense of prudence. We act against profligacy. But we have consistently insisted on excellence from everybody, from our planning unit, which set our internal targets, to our supporting units in the organisation — such as supply chain management and human resource management — to our research programmes. This insistence, I am happy to say, has produced an operational environment, which is in its formal structures relatively healthy and robust.

BUDGET TRENDS

The HSRC receives its funding from two sources. Sixty percent of its income comes from an annual grant from parliament, the rest is raised from local and international funders. Our extra-parliamentary income



(i.e. income raised from external sources) was R198.3m (42.2%) of the total income of R469m raised for the financial year.

We continue to diversify our funding streams, and have improved funding from the public sector over the last few years. The point needs to be made, however, that for us to increase the scale and the value of the contribution we make, we need more public funding. While we are proficient and successful at raising funds from the private sector and from donors, there are difficulties that working with a multiplicity of external agencies produces. Two points are pertinent here. The first is obviously the disadvantage of not having complete control over our research agenda. The second is having to modify and adjust our oversight and accountability capacity inside the HSRC to the different financial regulations and systems, required by our international partners and collaborators, while, simultaneously, remaining compliant with our own PFMA regulatory prescripts. This has meant ensuring that programme managers and their executive directors are knowledgeable about operating in multiple reporting regimes. This has, on occasion, produced strain, but colleagues, thankfully, have been able to stay in line in challenging areas such as procurement. We are adept at managing bidding and procurement processes in the HSRC. To mitigate these strains, however, it is important that we continue to seek greater public funding.

This challenge of our funding regime acknowledged, we have taken measures to streamline our operations and research priorities. These have essentially been through generating and securing multiyear contracts with funding agencies. This has meant scouring the donor and funding landscape and locating those opportunities that are most clearly in alignment with our core objectives.

CAPACITY CONSTRAINTS AND CHALLENGES

In keeping with the commitment to promote our core mandate as a research organisation, the HSRC continues its moratorium on the recruitment of administrative support staff. This requires the organisation to constantly innovate in terms of how it sustains its essential operations. For this, it is in the good position of having a core of professional and competent support staff members who contribute substantially to its well-being.

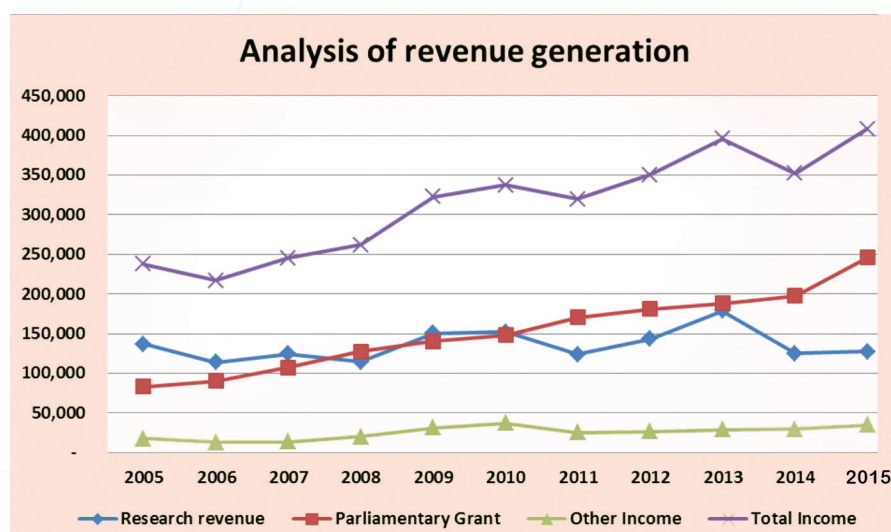
An ongoing challenge in executing our mandate of building a skilled and capable workforce, is the difficulty of attracting senior African research fellows. Continued efforts are underway through our relationship with partners on the continent to address this challenge.

PLANS TO ADDRESS FINANCIAL CHALLENGES

As mentioned before, we strove to secure multiyear grants in making the HSRC a viable entity. To do this, we had to become proactive in the way we branded ourselves. We have had to take special efforts to emphasise our distinctiveness from other players in the research landscape and to make clear why we should be the preferred global research partner in the social sciences and humanities in the South African setting.

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

Figure 1: Analysis of income sources



As part of the process of strengthening our capacity to deliver on our mandate in ways that are both efficient and prudent, we have paid extra attention to how we manage ourselves administratively. We have examined where our marginal rands have gone and are beginning the process of assessing their impact. Through this, we continue to seek to develop cheaper but also better ways of doing things. Examples of these initiatives include our video conferencing facilities, which are a resource, it needs to be emphasised, beyond the HSRC, ongoing energy saving measures, and the acquisition of electronic platforms for managing our human resources, payroll, and finance requirements. In doing this, we are able to say with confidence that our expenditure on administration has grown at a slower pace than has our expenditure in research.

RESEARCH HIGHLIGHTS

While this report provides comprehensive descriptions of the activities of the research programmes, which in their aggregate outcomes are

better than last year, it is important to put the achievements of the organisation in a wider national perspective.

A necessary point of departure for this summary is explaining what the research focus of the HSRC is. The HSRC has made the decision to focus on poverty and inequality for the next five years. In its final meeting for 2015, the board committed the organisation to concentrating its efforts in developing an evidence-based approach to the problems of poverty and inequality. The board felt that it was crucial that the organisation placed its intellectual resources and competencies behind the difficulties through which the country was going. The organisation itself went through several research legkotlas to understand how it would realign its efforts behind an invigorated poverty and inequality initiative. In the financial period under review, several programmes either consolidated work around poverty and inequality that was already underway, or began new streams of work. In AISA, work continued on the comparative experience of countries in the SADC region around the provision of renewable energy for socio-economic transformation. Our BRICS Research Centre (BRC) continued in this year to look at affordable housing in the country. In continuing its Constitutional Justice work with the University of Fort Hare, the DGSD programme has opened up a new area of work, one which will become central in the HSRC as a whole, around the lack of a justiciable framework for the provision and delivery of basic human rights in the country. The EPD programme, with its focus on the economy, continued its important work on the poverty challenges that arise in informal settlements, and the strategies developed by members of those communities to change their circumstances. Sustaining this theme, HSD conducted important research on homelessness and its effect on well-being in the eThekweni Municipality. The work of ESD on critical skills in its Labour Market

Intelligence Partnership Project, showed how important it is for the country to understand its skills requirements if it is to address the challenge of poverty and inequality.

Aside from this focus, important social science and humanities work continues in all the programmes. These include the intense capacity development work that is undertaken with young researchers and learners in AISA. In the year in review, AISA led a major conference at the University of Limpopo for young graduates. Our BRC developed a new data warehouse for the BRICS initiative, which will bring together critical comparative data for the partner countries. DGSD finished a major comparative study on social cohesion between South Africa and Brazil. EPD played the central role in compiling the Sixth and Final MDG Report for South Africa. ESD continued

its work on the transitions of young people to the workplace. HAST conducted a major study in 25 districts on the programmatic mapping and size estimation of key populations that are at risk of HIV infection. PHHSI continued its work on healthy and safe nutrition.

Outside of the programmes, major achievements for the HSRC for 2015/2016 were its organisation of the Gender Summit in April 2015 and the World Social Science Forum in September 2015. These two events confirmed the central place that the HSRC holds in the country and on the world stage. They both demanded considerable organisational and intellectual capacity. We are proud to say that the HSRC did well both times it was required to play this national and global role.

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

- Knowledge Advancement through peer reviewed publications, policy briefs, collaboration and public communications.
- Contributing to Development and social progress in Africa.

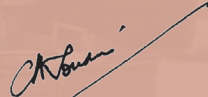
- Creating and enhancing a skilled and capable workforce.
- Preserving and archiving research data as a resource for future use by researchers and other users.
- Contributing to ongoing institutional transformation.
- Developing and implementing strategies for financial sustainability.

The overall performance of the HSRC was 73% (32 out of 44 targets achieved). I am happy to report that we made improvements in two of our publication targets (peer reviewed journal articles per senior researcher, and peer reviewed journal articles per post-doctoral fellow) and were able to achieve these targets during the financial year. During the year, intensive strategic sessions were held to consider the set targets, and to make improvements that align with our important research mandate.

CONCLUSION

Working in an entity such as a research council is daunting. It requires intellectual acuity and, what in colloquial terms is called suss. You have to be cool in those regions of your brain that require the demonstration of logic. But you also have to be

understanding of history — the history of our society, the history of the HSRC itself, and the history of the people with whom you work. I am glad to say that there are many people in the HSRC who are both intellectually capable and organisationally skilled. It has been a privilege to work with them all in the course of the last year. They have made my own task and responsibilities stimulating. I am grateful to them all. I also want to thank the minister and director-general of science and technology and their most competent colleagues. It is wonderful to know that we have partners inside government who understand what we do. Lastly I would like to acknowledge Dr Olive Shisana who retired in July 2015. As my predecessor, her ten years of visionary leadership, acumen and commitment to the HSRC have laid a foundation of excellence on which I can now build.



Grain Soudien

Professor

Chief Executive Officer



The organisation has a staff complement of 533 members, with a group of 150 dedicated professional researchers located in four provinces (Gauteng, Western Cape, KwaZulu-Natal, and Eastern Cape). Researchers are supported by a strong physical and institutional infrastructure, including technical and support positions, to enable the organisation to respond efficiently to research needs.

The integrated research programmes of the HSRC provide a firm foundation for the undertaking, promoting, and coordinating of research efforts in the social sciences and humanities. In addition, they allow the HSRC to provide single points of entry, with a critical mass of researchers, for interdisciplinary and problem-orientated research in the following programmes and centres:

- **Africa Institute of South Africa (AISA)**
- **BRICS Research Centre (BRC)**
- **Centre for Science, Technology, Innovations Indicators (CeSTII)**
- **Democracy, Governance and Service Delivery (DGSD)**
- **Economic Performance and Development (EPD)**
- **Education and Skills Development (ESD)**
- **HIV/AIDS, STIs, and TB (HAST)**
- **Human and Social Development (HSD)**
- **Population Health, Health Systems and Innovation (PHHSI)**

A cross-cutting entity, Research use and Impact Assessment (RIA), seeks to extend and enhance the use and effect of scientific research from the HSRC and other sources, and to manage the relationships, reputation, and brand of the HSRC.

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



HSRC
Human Sciences
Research Council

The Africa Institute of South Africa (AISA) in the HSRC undertakes basic, applied, and comparative research, devoted to the study of Africa and African diasporas. The work of the institute makes a contribution to addressing the many dimensions of the study of Africa in Africa, and reversing the marginality, in global terms, of knowledge production in Africa.

AISA seeks to advance the broader objectives of the HSRC by aligning with the strategy and research programmes of the parent organisation. The 2015/2016 theme of AISA was seeking African solutions for Africa's sustainable development. AISA aims to serve as a knowledge hub for conducting and disseminating multidisciplinary research in Africa.





RESEARCH EXCELLENCE

The two most significant projects in AISA for 2015/16 were:

Local voices within the African structural transformation paradigm: Lessons from Madagascar

A critical challenge for post-colonial states in Africa is shedding their colonial character and evolving in accordance with local realities. The configuration of the state and political institutions in Africa is complex, considering the contested political interpretations of the foundation of the state and its operations. For that reason, AISA has implemented a pilot study in Madagascar to assess the role of local opinion in the resolution of inter-community conflict. The results indicated that before the 2009 political upheavals, Madagascar had lacked an inclusive participatory approach to development thinking, and the governance structures had lacked response to local realities.

However, the conflict has created major challenges and opportunities, including investment to reconstruct and develop the country. South Africa is in a favourable position to lead such a process, given its leading role in the Southern African Development Community (SADC) and its experience of domestic peacebuilding processes. Accordingly, a policy brief has been published in this regard and three journal articles are awaiting peer review. The intention is to replicate the study in Mali and the Democratic Republic of Congo (DRC).

Socio-economic transformation through renewable energy

Substantive socioeconomic transformation remains a challenge in Africa. Accordingly, AISA has investigated the role of renewable energies in the socioeconomic and environmental transformation of communities in South Africa, the DRC, and Tanzania. The premise of the study was that rural and urban access to energy is a significant measure of poverty and inequality on the continent, and access to electricity is a privilege reserved for the urban areas. However, renewable energy technologies present the sociotechnical means toward equitable access to energy for all communities.

The study has indicated that various challenges hamper the adoption of renewable energy, including a struggle to attract investment, the impediment presented by the old, unreliable, and inefficient infrastructure, and the challenges of the physical terrain that could drive up the cost of installing renewable energy infrastructure. However, in most instances, the appropriate institutional framework has been put in place to encourage the development of the energy sector. The intention is to replicate the study in Ghana, Kenya, Mozambique, Rwanda, Egypt, and Algeria.

ENGAGING WITH COMMUNITIES

Year of China in South Africa conference

In November 2015, AISA collaborated with the department of arts and culture in hosting a conference with the theme The Year of China in South Africa. This initiative was pronounced by President Jacob Zuma and the Chinese President, Xi Jinping, in 2013. The conference aimed to promote a mutually beneficial partnership in cultural diplomacy. Topics included whether cultural heritage and cultural goods could be translated into economic gains or used to foster skills transfer and development, and whether sustainable cultural diplomatic initiatives could promote growth and development. In addition, the door was opened for future project participation between the HSRC and the department.

Membership of APSTA

AISA continuously seeks to enhance its presence and influence on the African continent, as confirmed by the institute being granted membership of the African Peace Support Trainers Association (APSTA) in 2015. APSTA is an independent premier pan-African association, with legitimate and close working relations with the Commission of the African Union (AU), Regional Economic Communities, and other regional and international partners and stakeholders. This membership enables AISA to conduct measured debate and efforts toward capacity-building for peacekeeping by educating, teaching, training, and research on and support to policy implementation and advocacy.

AISA campus lecture series and seminars

The aim of the AISA campus lecture series is to share research experiences and methodologies with university students and the public. In 2015/2016, 624 students were reached at the universities of Johannesburg, Fort Hare, Limpopo, the Western Cape, the University of the North, and Mangosuthu University of Technology. In addition, lectures were presented at the University of Venda in October 2015 and to the South African National Defence Force in June 2015.

The 10th Africa Young Graduates and Scholars (AYGS) Conference 2016

This conference was held at the University of Limpopo in March 2016, with the theme being The Africa We Want. AISA intends to publish electronically a selection of the presented papers in a peer-reviewed volume.

MoU with the University of Colorado Boulder

In 2015/16, in recognition of their common goals and objectives of developing the human and social sciences by the effective use of research, AISA and the University of Colorado Boulder signed an MoU. The memorandum provides a framework for developing and undertaking collaborative activities and projects, which could include shared agendas, knowledge, and ideas, and planning joint activities; using and leveraging existing resources and facilities to mutual advantage and benefit; and working in partnership to enhance the effects of such cooperation. Currently, a chronic violence and implementation science multiyear project proposal is being developed by the two parties.

INNOVATIONS IN ANALYSIS

AISA is examining various innovative approaches and methodologies for research and end-user engagement. In 2015/2016, AISA adopted the systems thinking and system dynamics approaches to foster innovative thinking in research and data interpretation. These approaches are based on the concept of holism, i.e. being aware that observed phenomena could derive from underlying complex relationships between the factors in the social system. In essence, in systems thinking, explicit cause-effect is assumed between related variables, which enable independent assessment and improvement of the mental models behind particular situations or prevailing conditions. To promote the application of such systems, AISA has collaborated with the University of Stellenbosch in producing a book titled System Dynamics Models for Africa's Development Planning. ■





The HSRC BRICS Research Centre (BRC) was set up in response to the growing demand for BRICS-related research in South Africa, Africa, and further afield. Until September 2016, the BRC managed the SA BRICS Think Tank (SABTT). The responsibility for managing SABTT was subsequently taken over by the National Institute for Humanities and Social Sciences (NIHSS). BRC coordinates, facilitates, and undertakes HSRC research, with a focus on the challenges of highly unequal societies, “where too many people live in poverty and too few work” (NDP, 2009) in South Africa and other BRICS countries.

RESEARCH EXCELLENCE

Highlights for the centre for the year under review include:

HSRC Incubation of the South African BRICS Think Tank (SABTT)

The SABTT was managed on behalf of the department of higher education and training (DHET) up to September 2015. The work entailed research and analysis relevant to the five pillars of the BRICS long-term strategy. A report was produced in conjunction with local academics, who also participated in the BRICS Academic Forum and the BRICS Seminar series, sponsored by DST and hosted by the HSRC. BRC supported the SABTT research efforts through a data warehouse, and facilitated communication via the development, hosting, and maintenance of the SABTT website. The report provided recommendations and implementation pathways, and identified development indicators for the pillar on social justice, sustainable development, and quality of life. The report represents the contribution of SABTT to the BRICS Think Tank Council (BTTC) resolutions for 2015, and was subsequently submitted to the BRICS Heads of State Summit, in Ufa, Russia. BRC has entered into research partnerships with other BRICS academic and research institutions to engage in cross-country research and exchanges.

Research projects

Provision of affordable social housing in BRICS countries

In 2014, the BRC began a study in collaboration with Curtin University of Technology, Australia, on the provision of affordable social housing in South Africa for presentation at a conference in Delft University, Netherlands, in September 2014. The study was subsequently completed in 2015 and reviewed sustainable public housing policy in South Africa in the context of Pillar 3 of the BRICS long-term strategy, and the sustainable development goals for the social housing policy in general. The research revealed that housing in South Africa was dominated by the legacy of apartheid-era social exclusion and was characterised by environmentally unsustainable living conditions. The net result of government policy has been a backlog in the supply of affordable social housing. In particular, the study found that a segment of households in South Africa and, to an extent, other BRICS countries, was unable to access housing subsidies because their income was too high, but, conversely, too low to obtain mortgages. The research findings in South Africa are applicable to BRICS countries with similar challenges from migration and urbanisation. The research aims to develop a model for the provision of affordable social housing in BRICS member states. A research paper on this topic is being submitted for publication.

Mitigating effects of climate change: Action for financing clean energy technologies in coal-rich countries in BRICS

In July 2015, the BRC conducted a review on action for financing clean energy technologies in coal-rich countries in BRICS that was presented at a conference on Partnerships for Financing Equitable and Effective Climate Action in anticipation of the COP 21 in December 2015. The review provided a survey of the programmes for clean technologies in China and South Africa in the context of climate action for reducing global carbon emissions. The review led to the development of a comprehensive BRICS renewable energy research project in collaboration with the University of KwaZulu-Natal.

Baseline study for the Presidential Public Service Remuneration Review Commission (PPSRRC)

BRC was commissioned to undertake a baseline study for the PPSRRC to conduct an enquiry into public service remuneration. The study focused on the public education sector in South Africa and presented an overview of the prevailing situation, with a framework for continuing enquiry. The framework is a basis for subsequent enquiries that the BRC will undertake in South Africa and other BRICS countries.

Indian Ocean Rim Association (IORA) Participation

On behalf of the HSRC democracy, governance, and service delivery (DGSD) unit and DIRCO, the BRC conducted research on the ‘blue economy’ and Operation Phakisa, as a catalyst for economic development in the African part of the Indian Ocean Rim. The ‘blue economy’ conceptualises the oceans and water systems as sustainable growth and development spaces for improved human well-being and social equity, taking into account the environmental and ecological risks to its depleting resources. Operation Phakisa is South Africa’s blue economy programme. Based on the research, a paper was presented at the IORA Conference in Perth, Australia.


COMMUNITY ENGAGEMENT

Civil BRICS 2015

On behalf of DIRCO, BRC organised the participation of the SA Civil Society Organisation (CSO) in the first official BRICS Civil Forum, held in Moscow in 2015. The participation was preceded by consultations with CSOs on a future BRICS strategy for South Africa. The forum promoted constructive dialogue among CSOs in BRICS countries, and hosted a colloquium for organisations, such as HURISA, Economic Justice Network (EJN), Arterial Network, and Equal Education, to report back on and evaluate the outcome of the Civil BRICS Forum in Russia.

BRC T20 Participation

Think20 (T20) is a group of think tanks from members of the Group of Twenty (G20) countries. BRC was invited to join the T20 and participate at the T20 inception meeting in Beijing in December 2015. BRC has since participated in T20 workshops and conferences in Peru and Germany. The T20 is expected to provide research to inform the next G20 summit in Hangzhou, China, in September 2016 and in Germany in 2017. The research is intended to promote and advocate an inclusive approach toward critical analyses of the political, economic, and social issues facing developing and emerging economies.



The BRC presence on social media platforms such as Twitter and YouTube has enabled virtual engagement and interaction with the public and BRICS partners. Twitter is used to publicise BRICS media and documentation and to provide live updates of BRICS events and meetings. The BRC YouTube channel allows the public and BRICS partners to engage in seminars and conferences, which are streamed live. Recordings of these events are available to allow the public to freely review the content and discussions.

INNOVATION IN ANALYSIS

BRICS data warehouse development

In 2014, the BRICS Heads of State Summit in Brazil called for the establishment of methodologies for reporting on social indicators across BRICS countries. In response, BRC has developed a data warehouse to promote empirical research relevant to the BRICS long-

BRC in social media

"The greatest disease in the West today is not TB or leprosy; it is being unwanted, unloved, and uncared for. We can cure physical diseases with medicine, but the only cure for loneliness, despair, and hopelessness is love. There are many in the world who are dying for a piece of bread but there are many more dying for a little love. The poverty in the West is a different kind of poverty — it is not only a poverty of loneliness but also of spirituality. There's a hunger for love, as there is a hunger for God."

– **Mother Teresa**

<http://www.goodreads.com/quotes/tag/poverty>

term strategy. This project seeks to identify BRICS data and information to be used in reporting on the important indicators, with the selection of indicators being based on the commonalities across the nations. The data warehouse is being populated by BRICS financial, survey, and government delivery data for use in economic models. The information can be accessed via the BRC website. The data warehouse works in close collaboration with StatsSA.

Economic modelling analysis

The data warehouse has the capacity to run model simulations for research projects. Various projects follow a micro- to macroeconomic approach, seeking to analyse and comprehend the inter- and intra-BRICS dynamics for the research. Official data from the BRICS member states are used in the research to conduct BRICS-related research and studies. There are many concentric intersections between BRICS,

emerging economies, and the G20 member states. Accordingly, BRC uses data and information that cut across sustainable and inclusive development in response to unemployment, poverty, and inequality in BRICS and the emerging economies in Africa. ■







Centre for Science, Technology and Innovation Indicators

CeSTII undertakes regular national research and development (R&D) and innovation surveys on behalf of the DST, and produces national indicators from the survey results to provide inputs for policy-makers and a basis for international comparisons.

The role of CeSTII in the National System of Innovation (NSI) is to produce statistics on the indicators of science, technology, and innovation (STI), which are used for setting national targets.

RESEARCH EXCELLENCE

The most significant contributions of CeSTII are highlighted below:

R&D survey

Research and experimental development is an intangible asset that enables entities to stay ahead of the competition and, therefore, contributes to the national economic activity. The national R&D survey, which is conducted by the Centre for Science, Technology, and Innovation Indicators (CeSTII) on behalf of DST, serves as a primary source of data on R&D performance in South Africa. During the year under review, CeSTII completed the 2013/14 cycle of the survey, and produced and submitted the associated client reports, namely statistical, main analysis, and metadata to DST. The headline indicator of gross expenditure on R&D (GERD), as a percentage of GDP, was recalculated by using the new GDP series. This series is based on the revisions and rebasing from 2005 to 2010 of the GDP that had been announced by StatsSA in November 2014. The results show that:

- Based on the revised GDP values, and at constant 2010 prices, a real increase of 1.4% in GERD was observed compared with the R21.2 billion recorded in 2012/13.
- The main indicator of GERD, as a percentage of GDP, remained unchanged at 0.73% for the third consecutive year, as the real growth of 1.4% in GERD in 2013/14 did not keep up with the GDP growth of 2.2% in 2013.
- A year after the increase in R&D personnel between 2011/12 and 2012/13, business expenditure on R&D (BERD) has increased correspondingly.
- As in 2012/13, the financial intermediation, real estate, and business services subsectors of the business sector recorded the largest expenditure on R&D, namely R4.724 billion.
- A reasonably large increase of 9.2% in full-time equivalent (FTE) researchers, as well as a relatively small increase of 3.4% in employment in South Africa, resulted in an increase of 0.1 in both FTE researchers and R&D personnel per 1 000 total employees.
- Foreign funding of R&D increased from R3.117 billion to R 3.315 billion in nominal rand values between 2012/13 and 2013/14 (with the 2013/14 value accounting for 12.9% of total funding of R&D in that period). This represents an increase of 0.4% in constant 2010 rand values. The business sector accounted for 37.0% of the foreign funding, while the higher-education sector accounted for 31.4%.
- Since 2009/10, applied research, mainly by the business sector and science councils, has been increasing relative to experimental research.

Microdata Analysis of Business Innovation Survey Data

Innovation has to be measured to improve understanding of the role of innovation in stimulating economic growth and contributing to development. Such measurement is done by surveys on innovation, which generate the statistics required to monitor, benchmark, and evaluate the technological innovation performance of a country and for policy learning (DST, 2016). During the year under review, CeSTII completed and submitted two client reports to the DST. The reports were based on microdata analysis of the data obtained from the database of the Business Innovation Survey (BIS), relevant to 2013, covering the period 2010–2012. The first report was on innovation in the South African manufacturing sector, whereas the second was on innovation in the following selected services sectors, namely, wholesale and retail trade, financial intermediation, and transport, storage, and communication. The main findings of the reports include the following:

- Firms with technological (product and process) innovation activity comprised 68.0%, 45.8%, 73.8%, and 61.3%, respectively, of the total number of responding firms in the manufacturing, wholesale and retail trade, financial intermediation, and transport, storage, and communication sectors.
- Various innovations proceeded as planned, and 61.3%, 43.0%, 69.2%, and 59.1%, respectively, of the responding firms in the manufacturing, wholesale and retail trade, financial intermediation, and transport, storage, and communication sectors reported successful technological innovations, whereas 6.7%, 2.8%, 4.7%, and 2.2%, respectively, reported ongoing and/or abandoned innovations.
- A significant number of firms in the manufacturing and the services sectors engaged in R&D for innovation. In the selected services sectors, the highest proportion of firms with innovation activity was recorded in the financial and intermediation sector (79.7%), comparable with the manufacturing sector (77.6%).
- In respect of the development of innovation policy, the findings indicate that in the manufacturing, wholesale and retail trade, financial intermediation, and transport, storage, and communication sectors, more firms that engaged in innovation activity conducted successful innovations (90.1%, 93.9%, 93.7%, and 96.5%, respectively) than those that conducted intramural R&D (77.6%, 56.1%, 79.7%, and 54.4%, respectively). However, some firms conducted both successful innovations and intramural R&D (70.9%, 54.9%, 73.4%, and 54.4%, respectively).
- In addition, relative to the other two sectors, manufacturing, and finance and intermediation firms received most of the funding, with 19.3% and 10.1%, respectively, receiving funding from the department of trade and industry (DTI), 4.9% and 6.3%, respectively, from the DST, and 2.2% and 7.6%, respectively, from other sources. To some extent, this compares with the high innovation rate recorded in these sectors.
- Both the firms that were and those that were not actively engaged in innovation reported factors that were hampering innovation. Relevant to cost factors, innovation by innovation-active firms was principally hampered by a lack of funds from within the enterprise or group (23.8%, and 19.5%, 24.1%, 22.8%, respectively). As regards

knowledge factors, the main impediment was lack of qualified personnel (22.9% and 19.5%, 27.8%, 14.0%, respectively) for the manufacturing sector and the services sectors.

- Innovation can have decided and wide-ranging effects on the firms engaging in this activity, with some effects being short term, whereas others could take more time to materialise. In terms of product outcomes, the main perception of survey respondents was that the benefit of innovation was “improved quality of goods and services” (37.7%) for the manufacturing sector, and “increased range of goods and services” (35.4%, 46.8%, and 24.6%) for the services sectors. This is followed by “increased range of goods and services” (35.9%) for the manufacturing sector, and “improved quality of goods or services” (30.5%, 43.0%, and 28.1%) for the services sectors.
- Among the process outcomes, the most prominent was “increased capacity of production or service provision” (30.5%) for the manufacturing sector, and “improved flexibility of production or service provision” (23.2%, 22.8%, and 31.6%) for the services sectors. This was followed by “improved flexibility of production or service provision” (26.0%) for the manufacturing sector, and “increased capacity of production or service provision” (20.7%, 20.3%, and 33.3%) for the services sectors.

ENGAGING WITH COMMUNITIES

Data from the R&D and BIS are used by the National Advisory Council on Innovation (NACI), a statutory advisory body to the minister of science and technology, to produce an annual publication on STI indicators. In addition, the data is used for various indicators that are included in the publication of the Presidency on development indicators. Other users of the data include the Institute for Economic Research on Innovation (IERI) at Tshwane University of Technology and the Centre for Research on Evaluation, Science and Technology (CREST) at Stellenbosch University, as well as individual researchers from universities and research institutions. In the year under review, the R&D survey 2012/13 data provided inputs to the publications mentioned above. In addition, CeSTII engaged with institutions and individual researchers on the analysis and interpretation of the data they had requested. For example, in terms of a signed memorandum of agreement (MoA) with Trade and Industry Policy Strategies (TIPS), an independent, non-profit economic research institution, CeSTII engaged with this NGO on a DST project relevant to mapping the landscape of green R&D in the country. The data from the 2011/12 and 2012/13 cycles of the R&D survey were used in the work.

The R&D Survey Clearance Committee, with membership drawn from the DST, NACI, and StatsSA, and invited membership from CeSTII, assessed and awarded a status of ‘national statistics’ to the R&D survey 2013/14.

Regionally, CeSTII collaborates with the NEPAD African Science, Technology, and Innovation Indicators (ASTII) initiative, as well as the

Science, Technology, and Innovation (STI) Strategy for Africa (STISA), and the African Observatory of Science and Technology (AOSTI). CeSTII has representative membership in the ASTII Advisory Committee, which includes international membership. Under the collaborative partnership with ASTII, experts from CeSTII assisted in the training of participants from member countries on conducting R&D surveys and BIS. In addition, CeSTII participates in and provides expert advice to ASTII Data Validation Workshops, where data from R&D surveys and the BIS of participating countries are validated. During the year under review, CeSTII assisted in the training of participants from Botswana, Malawi, Namibia, and Zambia. In particular, in July 2015, as part of the signed bilateral agreement between South Africa and Namibia on STI indicators, Namibia requested assistance through the DST. Accordingly, two CeSTII experts rendered technical assistance by conducting training in R&D and innovation data analysis and report generation.

Internationally, CeSTII serves alongside the DST in the Organisation for Economic Co-operation and Development (OECD) National Experts on Science, Technology, and Innovation (NESTI) meetings and contributes to the work done by this body on the development of STI indicators and methodologies. For example, in March 2016, two senior CeSTII staff members attended the meeting of the Committee for Scientific and Technological Policy (CSTP)/NESTI. Here, the discussions focussed on the implementation of the revisions of the Frascati Manual, the best-practice guide on conducting R&D surveys, as well as on the current and ongoing revision of the Oslo Manual, the equivalent guide on conducting innovation surveys. In addition, CeSTII contributes data from the R&D survey and BIS to the OECD and the United Nations Organization for Education, Science and Culture (UNESCO) Institute for Statistics (UIS) scoreboards for the relevant publications.

INNOVATIONS IN ANALYSIS

An example of innovation in analysis in the R&D survey is R&D capitalisation, which was implemented first in South Africa during the 2013/14 survey cycle. Another example of innovation in analysis is the revision of the R&D intensity series, first implemented in South Africa during the 2013/14 cycle of the survey. This step was introduced in response to the revision and rebasing of the GDP series announced by StatsSA in November 2014. Unlike in the past, this procedure was implemented to treat a share of R&D as an investment and not as an immediate consumption expenditure (Mashamba et al., 2016). This is consistent with the new guidelines for the compilation of national accounts, i.e. the United Nations Systems of National Accounts, published in 2008 (SNA 2008). The increasing realisation that by its nature R&D contributes to future rather than present economic value necessitated such adjustment. South Africa will adapt to this new internal standard of accounting for its economic activities by R&D capitalisation. In its implementation of the R&D survey 2013/14 results, this process resulted in an upward revision of GDP values by a magnitude comparable to the value of the capitalised R&D. ■

"There are people in the world so hungry, that God cannot appear to them except in the form of bread."

– Mahatma Gandhi

<http://www.goodreads.com/quotes/tag/poverty>







Democracy, Governance and Service Delivery

DGSD conducts scientific research aimed at understanding and explaining the dominant trends in democracy, governance, and service delivery. The research conducted is intended to promote effective and efficient democratic processes of governance and the delivery of quality services to the majority, particularly rural African, inhabitants, who have been deprived historically of basic essential services, such as water and sanitation, housing, electricity, and health facilities. In addition, the research of DGSD is intended to support the inclusion of marginalised communities in mainstream decision-making processes.

inequality, poverty, and land redistribution, analyses are conducted on the interface between the power and authority structures of the state and society in the drive toward a dynamic constitutional democracy.

Constitutional justice project

The department of justice appointed the HSRC and the University of Fort Hare to assess the effects of decisions by the Constitutional Court (CC) and the Supreme Court of Appeal (SCA) on transformation. The research focuses on the experience of disadvantaged South Africans, particularly in respect of the adjudication and implementation of socioeconomic rights, such as housing, water, electricity, sanitation, and healthcare. In-depth analysis is conducted on the transformative jurisprudence of the apex courts, complemented with empirical investigation of the broader effects of court decisions on South African society, as well as the accessibility of the highest courts. The work provides insight into the perceptions of officials, judges, lawyers, NGOs, Civil Society Organisation (CSOs), and communities on the role of the courts in attaining social justice.

Case studies were conducted to investigate all aspects of the judicial experience, including an analysis of legal jurisprudence, the experience of the users of the judicial system, the actual implementation of the decisions of the CC and SCA by other governmental spheres, public perceptions of the justice system, and access to justice.

South African Social Attitude Survey (SASAS)

SASAS is a representative, cross-sectional survey, conducted annually by the HSRC since 2003. The survey includes assessing the interaction between the changing national institutions, political and economic structures, and the attitudes, beliefs, and behaviour patterns of the diverse population groups.

In addition to concluding the SASAS, the official Independent Electoral Commission (IEC) pre-election survey was conducted ahead of the 2016 municipal elections. This survey series dates back to the late 1990s, and is conducted in the months before national, provincial, and municipal elections. The survey examines electoral attitudes and behaviour, and provides evidence on the extent to which these are changing over time. It therefore offers insight into the voting age public. The information is used for planning upcoming elections. SASAS will also conduct the IEC exit poll during the 2016 municipal elections.

ENGAGING WITH COMMUNITIES

Social cohesion: The missing link in overcoming violence, inequality, and poverty

DGSD recently concluded a comparative study in South Africa and Brazil to determine how social cohesion mediates the relationship between violence, inequality, and poverty. Both countries are characterised by high levels of inequality and violence and, therefore, provide an excellent comparative framework for research. The project was funded by the International Development Research Centre (IDRC) in Canada as part of the Safe and Inclusive Cities programme. The project addressed the national priority of creating a safe society for all and the critical challenges of poverty and inequality. Ethnographic studies were conducted on major violence prevention interventions in Khayelitsha in the Western Cape, and in Rio de Janeiro in Brazil.



RESEARCH EXCELLENCE

Project highlights for 2015/16 include:

State of the Nation 2016

State of the Nation, is a flagship publication project of DGSD. The 2016 volume is titled '*Who is in Charge? Mandates, Accountability, and Contestations in the South African State*'. In view of unemployment,

The specific methods and outputs included a) the long-term development of a detailed community map, identifying significant Community Based Organisations (CBOs), NGOs, community leaders, and members of street committees, trading associations, and SA national civic organisations (SANCOs); b) interviews with diverse community members, including so-called hidden social role players, such as young female gang members; c) attending community meetings and Violence Prevention through Urban Upgrading (VPUU) participation forums; and d) providing feedback to the community.

National alliance for the development of community advice offices

DGSD published a policy brief in September 2015 that presented arguments to inform the policy debate on the public funding of community advice offices (CAOs) in South Africa. The policy brief

was based on a study that included a desk-based review of the development of the CAO sector and analyses of the current role of and challenges faced by existing CAOs. In addition, interviews and a service beneficiary survey were conducted. A cost-benefit analysis (CBA) was implemented, which considered the economic argument in favour of core state funding for CAOs.

The results indicated that public funding for at least some CAOs should be considered. Such funding has to be complemented with oversight by an appropriate agency, with resource governance being shared between civil society and state representatives, and funds being channelled and disbursed by distribution agencies. However, state oversight of CAOs should not compromise the independence of the CAOs. Moreover, the government had to accept the CAOs as significant partners and allies to realise the objectives of the NDP. Such partnerships would assist CAOs to continue offering free information on



legal and human rights and advice and services to people marginalised by poverty, social circumstances, and geographical location.

INNOVATIONS ANALYSIS

The cities support programme

In 2014/2015, the DGSD, working under the Cities Support Programme (CSP) of the national treasury, collaborated with the city of Cape Town and the residents of five informal settlements to pilot a community scorecard project. The aim was to transform local conditions by facilitating discussions on and the engagement of stakeholders in matters of local concern. The methodology combined elements of qualitative and participatory action research through public engagement intervention, with the residents and officials monitoring and evaluating

water and electricity services. A community-based research (CBR) approach was followed, with participants formulating questions, collecting and analysing data, and together reflecting on experiences, challenges, and ideas for improvement.

Although it is too early to assess the long-term effects of the experiment, it provided valuable data and useful information, brought together various stakeholders, afforded an opportunity for officials to gain understanding of the realities on the ground and for communities to engage with the officials. The initiative was considered beneficial to the purpose of the officials, garnered respect for them, strengthened relationships, and directly improved service delivery. The scorecard proved that it was feasible to conduct constructive dialogue between city officials, service providers, and citizens. ■

"We are not rich by what we possess but by what we can do without."

– Immanuel Kant

https://www.goodreads.com/author/quotes/11038.Immanuel_Kant

Through its research and policy proposals, EPD contributes to the creation of a productive, inclusive, and resilient country and continent through broad-based economic development and full employment. The main purpose of the programme is to improve the evidence base and the understanding of solutions to the pressing economic, development, and employment challenges facing South Africa. The staff are experts on the dynamics of structural change, as well as spatial development and migration.





Economic Performance and Development

RESEARCH EXCELLENCE

The most significant outputs from the programme are highlighted below:

Innovative research on informal settlements and backyard dwellings

The lack of proper housing remains a significant challenge to the government. An innovative research programme was initiated by the economic performance and development unit on the role of informal housing in urbanisation and economic progress. Census data indicate that one in five urban residents in South Africa live in shacks, most of which are densely clustered in informal settlements, while others are makeshift structures in the backyards of formal housing. Shack dwellers are exposed to hardship and hazards from living in squalid and overcrowded conditions on unserviced and often unsuitable land. Their abject poverty and insecurity fuel discontent and violent protest activities.

Detailed interviews with officials have indicated that all tiers of government are ambivalent about informal housing and hesitant to attend to the problem. Consequently, with no clear policy from the government, various haphazard responses have emerged, ranging from limited upgrading initiatives, the provision of food parcels and other disaster relief schemes, to forced evictions and mass clearances, which only inflame social unrest and conflict.

Shack settlements have a reputation among decision-makers of being hot spots of crime and dissatisfaction. However, the flip side is that of people determined to rise above poverty by migrating from rural areas toward affordable shelter in urban areas, which offer access to jobs. In view of the extreme social and spatial inequalities in South Africa, such informal settlements could be the means to reducing such stubborn social and spatial divisions.

Analyses have been conducted on informal housing in terms of the opportunities and choices offered to poor households, in contrast with the pressures of necessity and the constraints they face. Using hitherto unexplored data sets, the role of informal settlements in urban labour markets and the role of backyard shacks in urban housing markets have been examined.

However, the evidence suggests that for most residents, the informal settlements function as poverty traps, as they offer only precarious livelihoods and debilitating social conditions, rather than being stepping stones or ladders into decent employment. Backyard shacks appear to function as makeshifts rather than prototype solutions to the urban housing crisis. It is clear that self-help solutions are simply unable to overcome the systemic constraints and barriers that inhibit access to improved housing and secure economic opportunities in the cities. Therefore, policy-makers need to realise that concerted government support is required to bolster the initiatives of families toward their transition from rural poverty onto a path of prosperity.

ENGAGING WITH COMMUNITIES

Using innovation to combat rural poverty and inequality

Two-thirds of the poor people in South Africa live in rural areas and more than two-thirds of rural people are poor. In addition to having incomes below the national poverty line, dwellers in rural areas lack access to basic public services. Consequently, the NDP acknowledges the need for improving access to water, sanitation, energy, and other support services to rural communities.

DST has been at the forefront of innovative initiatives to benefit the poor, one of which is the Rural Innovation Assessment Toolbox (RIAT). This is a set of complementary tools for efficient and sustainable service delivery in 27 priority district municipalities. The Economic Performance and Development (EPD) programme has been constructing these tools, with pilot testing taking place across 16 local municipalities, set to continue until June 2018. Major breakthroughs have emerged, with municipal officials adopting the tools and championing the development at the pilot sites. Significant initiatives have emerged already, with the potential to improve the living standards of rural communities.

Innovation implies exploiting new ideas, processes, and practices to improve existing methods and offer real solutions to pressing problems. Although innovation depends on knowledge producers, such as universities and science councils that are rarely located in rural municipalities, RIAT offers a pathway for universities to be paired with local municipalities in order to prepare a platform for robust local innovation systems.

INNOVATIONS IN ANALYSIS

Evaluating progress toward the millennium development goals

EPD has taken a leading role in producing the sixth and final Millennium Development Goals (MDGs) Report for SA, as well as in writing the seven goal reports. The final report, commissioned by StatsSA, reflected on the progress made toward reducing poverty and promoting social and economic development by realising the eight MDGs since 2000. The MDG reporting methodology is based on secondary data validated by StatsSA and informed by established national standards. Intensive consultations with stakeholders were conducted, including custodian departments of specific MDG targets, data owners and providers, and civil society groups serving on the Sector Working Groups (SWGs). These stakeholders were structured to form five Expanded Drafting Teams (ERDTs), relevant to the eight MDG goals. The SWGs gathered the qualifying data for each MDG and validated the data to comply with the standards.

However, various complications arose in the data compilation, including:

- The start of the post-apartheid era (1994) was set as the baseline to assess the performance of the country, with additional baseline dates being applied, such as the first population census after democracy (1996)
- The classification of outcomes was based on trend analyses, supported by reference to the policy context under which progress had been tracked
- There were differences in the way questions were asked in different surveys, and there were changes in the population model.

Overall, 26 of the 60 MDG indicators have been achieved. This indicates that much more is needed to achieve the goal of a society without poverty and inequality. However, the figure does not reflect wholly the progress made, as a quarter of the indicators could not be measured because of a lack of data. The lessons learned from the 2015 MDG review to address the unfinished MDG agenda include:

- Constructing effective monitoring and reporting systems to ensure consistent, accurate, and meaningful assessment of progress
- Domesticating SDG indicators to ensure that they are reasonable, have associated targets, and are practically implementable. Although the MDG monitoring framework is a valuable tool, its efficacy is limited by the sheer volume of indicators and the lack of associated targets. ■

ESD



Education and Skills Development

The Education and Skills Development Research Programme undertakes research to contribute to an educated, skilled, and capable citizenry and workforce to promote human development and to support an inclusive economic growth path. It conducts research in the areas of (i) schooling and (ii) skills development (in all post-school sectors).



RESEARCH EXCELLENCE

Highlights for the year under review include:

Understanding qualitative changes to work is critical to skills planning – A focus on artisanal work and occupations

Claims abound on the shortage of artisans, and the ability of the education and training systems to produce the required quantity and quality of artisans is under question. While increased artisan development is critical for both social and economic reasons, there is substantial disagreement on the scale and nature of the demand for these skills.

As part of a broader attempt to improve skills planning for the needs of the South African labour market, the Labour Market Intelligence Partnership (LMIP) project identified artisans as a key research focus area. However, the nature of work has changed; therefore, our responses to address artisanal skills production and retention challenges have to change as well. In addition, our country has a complex history of vocational education and training (VET), characterised by the inequalities of gender, race and language.

In view of the above, and toward better understanding such a complex and multilayered context (occupational milieu and identities), three projects were developed to investigate: a) the underpinning history (Mbatha et al., 2015), b) changes to the nature of artisanal work and its organisation (Wildschut et al., 2015), and 3) changing intermediate knowledge bases and the resulting implications for future artisanal work and preparation (Gamble et al., 2015).

This approach suggests a move away from the conventional supply and demand estimation approaches toward the inclusion of a nuanced assessment of the sociological and contextual factors informing the nature of skills demand and supply.

Public perceptions of biotechnology in South Africa

Biotechnology has a growing role and enormous potential in the development and production of new classes of medicines, food, energy, and industrial processes that offer sustainable development and economic growth opportunities. However, the public has limited understanding of biotechnology with public reservations centring on ethics, health, and environmental implications.

The Public Understanding of Biotechnology (PUB) programme of the South African Agency for Science and Technology Advancement (SAASTA) has commissioned a national survey on public perceptions of biotechnology. Accordingly, a set of questions was included in the 2015 South African Social Attitudes Survey (SASAS), related to general perceptions on biotechnology and specific applications, such as food production, medicine, and indigenous knowledge systems. The project aims to inform the policies and strategies related to biotechnology, particularly with regard to public engagement and communication strategies.

The results indicated a major increase in the public awareness of biotechnology, and increasing openness toward genetically modified (GM) food since the previous survey in 2004. However, attitudes toward particular elements of biotechnology remained largely polarised.

ENGAGING WITH COMMUNITIES

Effect on the development of the science engagement strategy of DST

Starting in 2009, a knowledge base has been built up on the public's engagement with science. The key publications in this area are:

- Reddy, V., Juan, A., Gastrow, M. with Bantwini, B. (2009) *Science and the Public: A Review of Public Understanding of Science Studies*. Research commissioned by the South African Agency for Science and Technology Advancement.

- Reddy V, Gastrow M, Juan A & Roberts B (2013). Public Attitudes to Science in South Africa. *South African Journal of Science*. 109 (1/2): 1-8. (This article was featured as part of the highlights in the journal).
- Vijay Reddy, Andrea Juan, Sylvia Hannan, Fabian Arends, Michael Gastrow and Benjamin Roberts (2013) *Continuity and Changes: South African Social Attitudes Survey*

In 2015, DST published the Science Engagement Strategy, widely referencing our publications and using our research to inform the strategy.

INNOVATIVE ANALYSIS

Promoting a policy of innovation for inclusive development: How can DST coordinate and align across government?

DST has commissioned an education and skills development (ESD) team to review the readiness of the South African policy environment to enable and support Innovation for Inclusive Development (IID).

Since 1994, the government has created a complex development policy framework, embodied in various documents and instruments across multiple departments. The team has identified 83 potentially relevant policy documents that proposed over 300 policy instruments to promote innovation and/or socioeconomic inclusion. The duplication and gaps across the policy instruments presented a challenge, and a searchable database was therefore developed, intended as an ongoing resource for informing policy development.

Each policy document was reviewed and indexed and thematic analysis was conducted to map the main trends and quantify the relative emphasis on and frequency of each policy objective, goal, or instrument type. The analysis proceeded inductively and deductively, and the substantive IID themes formed the basis to group and re-code sets of categories that were less close to the strategic priorities indicated in the policy texts. The analysis of the policy instruments was subsequently linked to these objectives and goals, and a second database was created in which policy content was analysed in terms of the IID framework. This database can be used as a tool for strategic planning.

The policy review databases are valuable resources that are easily updated and maintained. In addition, these databases can be used to prevent the duplication and fragmentation of various analysis efforts.

The South African Youth Panel Study

The first wave of the South African Youth Panel Study (SAYPS), a longitudinal study, was administered in 2011 to determine the transitions of young people. SAYPS followed grade 9 learners who participated in the Trends in International Mathematics and Science Study (TIMSS) over a four-year period.

Information collected on the same individual was used to explore what young people were doing, their transition through the education system, and how background and school-level factors influenced those pathways.

The strength of SAYPS lies in its rich and detailed data on individuals; however, its weakness is the high levels of missing data, as, by wave 4, only 30% of the initial sample remained part of the study. The analysis of the missing data indicated that individuals who exited the survey were more likely male, from households that were more disadvantaged, from poorer schools, and they had lower scores in both TIMSS maths and science.

The richest data available were used to address the research questions, with a core sample of 3 616 learners being present at all four waves. Analyses explored the progress of learners through the school grade system, with smooth, staggered, stuck, or stopped educational pathways being identified. The characteristics of individuals following these transitions were examined, with descriptive statistics of those following different pathways.

The research enabled an understanding of the relationship between specific characteristics and particular transition groups to identify the factors associated with each activity destination. ■



KNOW YOUR

HIV STATUS

HAST (HIV/AIDS, STIs, and TB) is a multidisciplinary programme to conduct research on the prevalence of these diseases in South Africa. In 2012, an estimated 6.4 million people were living with HIV (PLHIV) in South Africa, the largest number in a single country in the world. After China and India, South Africa has the third highest prevalence of TB, with 1% of the population being affected. In 2015/16, research was conducted on the social and economic factors influencing HIV/AIDS and TB.



RESEARCH EXCELLENCE

Key projects and outputs for the year under review are:

Programmatic mapping and size estimation study of key populations in South Africa

Key populations, such as men who have sex with other men (MSM), sex workers (SWs), transgender (TG) people, and people who inject drugs (PWIDs) are at a disproportionate risk of HIV infection. Moreover, they are often overlooked in HIV resource allocation.

As part of the National HIV response, the South African National AIDS Council (SANAC) asked HAST in 2015 to provide a national size estimate for such key populations in order to develop suitable programmes to meet the needs of such populations.

Accordingly, a study was conducted in 25 randomly selected subdistricts in eight provinces. The study achieved its aim of providing credible national size estimates for all the key populations in South Africa and of mapping areas with a higher concentration of such populations. This information was used by SANAC and the key populations sector to secure funding for the development of appropriate interventions.

The health of our educators and officials in public schools in South Africa

In 2015/16, HAST researchers completed a ground-breaking national study on the health of educators and officials in public schools. This survey employed second-generation surveillance methods, combining a behavioural risk questionnaire with the testing of HIV-related biomarkers to determine the changes that have occurred in the HIV epidemic since the last survey. Additionally, the study determined the effect of the relevant interventions.

ENGAGING WITH COMMUNITIES

Consensus workshop for stakeholders in the key populations sector

A consensus workshop was held for stakeholders in the key populations sector in November 2015, with the stakeholders weighing the data from the HSRC size estimation report and other evidence to arrive at size estimates for each key population. This information was submitted to the Global Fund for AIDS, TB, and Malaria to secure funds for interventions. The estimates obtained at the workshop were comparable to the HSRC estimates, validating the HAST data, which, therefore, could be used to seek funding.

Launch of the People Living with HIV Stigma report at the AIDS conference

HIV-related stigma is frequently layered over other stigmatisation related to race, gender, and class. HIV-related stigma often involves stigmatising already oppressed groups, such as black Africans, black African women, specifically, and MSMs, blaming them for HIV transmission. This accentuates both the exclusion and devaluation of PLHIV, leading to double or multiple stigmas.

HAST researchers presented the findings of the national stigma survey at the AIDS conference in Durban in July 2015. This study was conducted in partnership with three organisations of the PLHIV sector of SANAC, namely, the National Association of People Living with HIV and AIDS (NAPWA), Treatment Action Campaign (TAC), and Positive Women's Network (PWN).

Launch of the HIV KAB survey of students and staff at TVET colleges at the AIDS conference

People aged 15–24, especially those from poor socioeconomic circumstances, have the highest rate of HIV infection, accounting for half of new infections annually in South Africa. In the age group 15–19, black African females have an HIV prevalence rate approximately eight times higher than that of males of the same age.

At the AIDS conference in Durban in July 2015, HAST researchers presented the findings of a survey on the knowledge, attitudes, and behaviours (KAB) relevant to HIV and AIDS of the students and staff at all 50 technical, vocational education, and training (TVET) colleges in South Africa. The results indicated that students and staff had high knowledge levels of HIV (87%), had positive attitudes toward PLHIV (78%), and were increasingly making use of the government health services.

INNOVATIONS IN ANALYSIS

PEPFAR Gender analysis

HAST researchers and FHI 360, an international nonprofit human development organisation, conducted a Gender Analysis of PEPFAR (President's Emergency Plan for AIDS Relief) Program in South Africa between November 2015 and March 2016. The purpose was to review key gender issues and gender-related constraints, and to assess the institutional context supporting gender integration. A systematic literature review was conducted in conjunction with qualitative research, which comprised a rapid assessment, drawing on the insights and experiences of PEPFAR managers, stakeholders, and beneficiaries.

The results indicate that various inequalities define HIV programming in South Africa, with gender inequalities persisting at different levels despite an enabling legal and policy framework. Gender inequalities, which undermine autonomy in relation to sexuality and fuel vulnerabilities related to HIV, remain embedded in society, and the prevailing gender norms reinforce gender inequalities across communities. These notwithstanding, PEPFAR programming reflects a variable uptake of gender integration.

Using PLACE methodology to determine size estimates of key populations

The Priorities for Local AIDS Control Efforts (PLACE) is a recognised operational research methodology to identify sites where key populations meet new partners. The programmatic mapping and size estimation (PMSE) study used PLACE, complemented by certain formulas, for the size estimates on hard to reach populations, such as SWs, MSMs, PWIDs, and TG people.

Using innovative triangulation analysis in the RAR study

HAST researchers used Rapid Assessment Response (RAR) methods to understand the HIV vulnerability of black African women (aged 15–34) and men aged (25–49), who live in urban informal settlements. Ethnographic interviews were conducted with the women by using photovoice, a participatory research (CBPR) method that engages community members to change their community through photography, dialogue, and action. Black African men were identified by using social mapping. The data were analysed by using an innovative triangulation system. ■





Human Social Development

HSD is a multidisciplinary programme that conducts social science and humanities research that address the development of vulnerable individuals over their life course and across generations, living in the context of communities and a transforming society. Its unique contribution is a focus on how the intersections of identity markers such as gender, race, class, and age, and broader social conditions (e.g. inequalities diversity, social cohesion) effect human and social development.

RESEARCH EXCELLENCE

The most significant outputs of the programme for the year under review are highlighted below:

The Hilton Project

Since 2011, the Conrad N. Hilton Foundation has provided funding for a monitoring, evaluation and learning (MEL) platform for the foundation's initiative on young children affected by HIV and AIDS.

By the end of 2015, grants had been awarded to sixteen international and national NGOs and academic institutions, working with community-based organisations (CBOs) and local and national governments in Kenya, Malawi, Mozambique, Tanzania, and Zambia. In 2016, five additional grants were awarded to new organisations in the same countries. The grants are being used to facilitate holistic early childhood development services to build capacity among caregivers, community workers, health-care professionals, CBOs, NGOs, and government officials, and to share knowledge and advocacy through national, regional, and global networks.

In the past year, school readiness was assessed in Malawi, and an instrument for the assessment of the development of young children was standardised.

iKhaya Lami: Understanding homelessness in South Africa

The HSRC partnered with the eThekweni Municipality to conduct a mixed-method study aimed at a better understanding of homelessness in Durban. This is the largest study on homelessness in Durban, and the first study to combine qualitative methodologies with a census and survey in South Africa. The qualitative components of the study provided an understanding of the pathways into homelessness, the challenges associated with homelessness, and possible strategies for getting out of homelessness. The census and survey of close to 4 000 people provided breath to the detailed qualitative narratives, allowing for a deeper understanding of homelessness in the Durban context. The final phase of the study comprised feedback sessions and policy dialogues with stakeholder groups that included municipal government, provincial government, national government, community-based organisations, and academia and business.

The statues and monuments that South Africans want: Documenting and assessing the impact of symbols in a transformative state

The aim of this study was to understand the attitudes of the South African public toward colonial and apartheid statues and monuments. Using the platform of the SASAS survey of the HSRC, we found that close to half of the adult public (46%) believed that they should be removed. Of this group of 'removers', the main preference was for the statues to be housed in a museum (27%), while just over a tenth (12%) felt the statues/monuments should be destroyed. There was limited support (7%) for the

replacement of colonial and apartheid statues and monuments with those of struggle heroes and heroines. Among the balance of the respondents, there was only nominal support (4%) for what may be termed the 'speaking back,' option, where new artwork is installed next to existing statues/monuments; a third (34%) suggested that the statues should be left alone, while the balance (16%) expressed indifference or uncertainty.

Most participants felt that government should decide (34%), while around a fifth (22%) favoured a referendum on the matter to allow citizens to decide. There was surprisingly low support (10%) for the option of letting 'those most hurt by the past' decide, while one might similarly have expected a greater proportion to opt for the 'academics and historians' option (15%). Around a tenth (11%) said they would choose 'none of the above,' but these consisted largely of those preferring the 'don't care' option in the preceding question. The belief that government should decide on action regarding statues was the most common response for all age groups. It is interesting to note that twice as many 16–19-year olds (33%) supported the option of a referendum as the basis for deciding, compared with those of pensionable age (16%).

The results of the survey were presented in a public symposium with political parties, academics, media experts, students, museums, and cultural heritage practitioners. The aim of the symposium was to explore and understand some of the key motivations behind the recent call for the removal of colonial and apartheid statues and monuments across South Africa. The goal was to identify and critically examine interventionist strategies that resonate with the post-apartheid master narrative of giving voice to previously marginalised communities and their heritage. Through these interventions, the symposium was able to challenge the rhetoric of the rainbow nation, while, at the same time, providing new insights into the type of statues and monuments that South Africans want. Next steps include conducting qualitative research in three provinces to deepen the understanding of the issues that emerged from the national survey.

ENGAGING WITH COMMUNITIES

The Hilton Project

Through the Hilton Project, the HSRC has participated in various networking activities, including interactions with in-country government departments and country and regional networks; strengthening links with UNICEF New York, US Assistance for International Development (USAID), the US President's Plan for Emergency Relief (PEPFAR), the Coalition for Children Affected by AIDS, the World Health Organization and the Aga Khan University. These networks resulted in the foundation funding the Science of Early Childhood Development training courses and the foundation's representation at the AIDS 2014 conference, including foundation chairman Steve Hilton's commentary in a Special Issue of the prestigious scientific journal AIDS on Children Born into Families Affected by AIDS.

iKhaya Lami: Understanding homelessness in South Africa

The Homelessness Study used a community-based participatory approach to work with representatives of homeless people, various parties including academia, governmental representatives and community-based organisations (both non-governmental and faith-based) with the aim of better understanding the problem, building and supporting relationships with the various actors, and fostering solutions and joint-project

ownership of the problem. Through this innovative community-based research approach, the study was able to achieve a number of outcomes:

- Provide formal documentation of the state of homelessness in Durban, allowing for evidence-based decision-making
- Brought together community-based organisations, many of which had never met, who have subsequently started a forum aimed at co-ordinating their organisations' efforts
- Conduct a first meeting of actors from all levels to discuss homelessness in Durban
- Provided the first step in the discussion around policy implications and recommendations.

INNOVATIONS IN ANALYSIS

The Hilton Project

Through the Hilton Project, the HSRC team has developed an easy-to-use mobile phone Information for Action (IFA) app that can simultaneously provide information and tailored messages to parents and other caregivers, health and social community workers and volunteers, case managers, programme managers and funders. The team used innovative data collection approaches, referred to as 'first mile', combined with app technology to support feedback and learning at all levels of the service delivery chain. In this way, data were converted to provide useful, real-time decision support, particularly to caregivers and health workers, as well as field supervisors, project managers, organisational directors, and funders to jointly improve parenting and early childhood development.

Race, education and emancipation: A five-year longitudinal, qualitative study of agency and impasses to success amongst higher education students in a sample of South African universities

Over the last few decades in South Africa, the entrance of black student populations into higher education institutions has required universities historically set up for a minority elite to deal with the multiple needs and challenges that students from wider sections of society bring. This five-year critical investigation into both the challenges experienced and the agency expressed by a cohort of South African students across multiple university sites, sought to obtain a deep, contextualised understanding of these students' subjective experiences and the micro-social processes through which they are going. The study consists of several innovative approaches: (1) Rapid ethnographies; (2) In-depth interviews (annual participant interviews or APIs); (3) monthly weblogs; and (4) social network interviews (SNIs). Apart from the challenges of retention, transcription quality, and ensuring sufficient data through social network interviews, the study is proceeding as planned and is generating significant data in its third year of operation. There is no doubt that the findings will offer a fresh and deep perspective on the lived experience of South Africa's black students in universities. ■



"There is no Them. There are only facets of Us."

– John Green

<http://www.goodreads.com/quotes/tag/poverty>





Population Health, Health Systems and Innovation

PHHSI addresses the health outcomes of a group of individuals, including the distribution of such outcomes within a group, aims to improve the health of an entire population, and the impacts on strategy and policy formulation in issues relating to health.



RESEARCH EXCELLENCE

PHHSI's highlights for 2015/16 include:

Supporting Policy Engagement for Evidence-based Decision-making (SPEED)

This five-year EU-funded project seeks to support the realisation of Universal Health Coverage (UHC) in Uganda. Three institutions participate in the project, namely, the principal recipient, the Makerere University School of Public Health (MakSPH), the HSRC (PHHSI and Research use and Impact Assessment [RIA]), and the Institute of Tropical Medicine, Belgium. The role of the HSRC is to: a) avail expertise in health policy and health system research by committing at least one full-time equivalent of senior academic staff to this action, b) support MakSPH in the organisation of symposia in years 1, 3, and 5 to provide information about the current and evolving situation analysis for progress toward universal health coverage in Uganda, c) contribute to and support the processes for the production of a book aimed at documenting the state-of-the-art of the Uganda health system and policy implications for progress to universal health coverage, d) lead the design, protocol development, and analysis and reporting for the policy implementation barometer to be undertaken in years 1, 3 and 5, e) contribute to generating technical analyses and products, f) provide technical support and mentorship to MakSPH staff, research fellows, and affiliate institutions in the implementation of SPEED, g) assist in the internal peer review and quality assurance of products produced for SPEED action, h) contribute to the scientific advancement of policy analysis and policy influence capacity of MakSPH and affiliate institutions to SPEED action, i) support the partners in resource mobilisation, especially through preparing grant applications for synergistic activities to SPEED action, j) participate in the management of the speed action as full a member of the executive management committee (EMC), with monthly EMC meetings to provide direction and strategic decisions to the action, and k) travel to Uganda for specified activities that require physical engagement with the rest of the SPEED partners of target audiences.

To date, the HSRC has participated in the conceptualisation and convening of the national symposium on universal health coverage in Uganda in 2015, contributed to the universal health coverage book that is in preparation, and led the consortium in the development of a novel approach to understanding policy implementation by developing a policy implementation barometer (PIB) protocol.

The PIB enables the implementation of health policies geared toward the achievement of the UHC goal, and is useful for understanding the decision- and policy-making processes, as well as identifying implementation blockages and/or enablers. Guided by the research question, "How can policy-implementation be measured in Uganda to ensure the realisation of UHC?", the study seeks to develop practical approaches and tools to ensure policy implementation in different contexts. The PIB is designed to show progress, or lack thereof, and help to identify the underlying reasons for the status quo. A similar assessment is planned for 2016 in South Africa to allow for cross-country comparisons. The methodology will be presented at an EU-funded conference in Porto (Portugal) in June 2016.

ENGAGING WITH COMMUNITIES

The HealthRise SA project focuses on CVD and diabetes, using frontline health workers and targeting underserved communities. This programme seeks to increase awareness by the prevention, screening, management, and control of NCDs in South Africa.

Non-communicable diseases (NCDs) affect the health, productivity, and economic growth of individuals and communities. Long-term treatment costs, loss of productivity, household income, and inadequate care and treatment of NCDs, compounded by poor compliance with treatment, increase the health burden on already impoverished communities.

Funded by the Medtronic Foundation, HealthRise is a five-year, novel effort, specifically designed to expand the access to care for cardiovascular disease (CVD) and diabetes among underserved populations. HealthRise supports innovative intervention projects that empower people living with these diseases, and builds the necessary capacity of frontline health workers. The HealthRise SA project is being conducted in two districts, namely, Pixley ka Seme in the Northern Cape and uMgungundlovu in KwaZulu-Natal. Intervention projects are aimed at involving the public and private sector in addressing the gaps in the management and control of NCDs, thereby reducing premature mortality from CVD and diabetes. Specific programme objectives include: a) increased screening, b) increased diagnosis, c) improved management and control of CVD, and d) empowered front-line health workers, such as community caregivers (CCGs), nurses, and doctors to provide care at all service levels.

The grantee organisations will implement the project in the selected districts over an 18-month period, with the HSRC overseeing the process. The HealthRise SA HSRC team will be providing continuous technical assistance to grantees to ensure that projects are implemented as described in their work plan and contract. In addition, monthly and quarterly meetings with grantees will ensure that project targets are reached.

INNOVATION IN ANALYSIS

Healthier and safer street foods

Street food consumption is common in South Africa, with a large proportion of people eating street food two or more times a week. However, little is known about the nutritional value of street foods and whether they contribute to the high prevalence of obesity and NCDs in the South African population.

Healthier and safer street foods (SF) is an NRF-funded project, aimed at evaluating the nutritional contribution of street foods to the diet of the Western Cape population (urban areas, townships, and informal settlements in the city of Cape Town), and developing an operational model for selling healthy street foods, such as fruit and vegetables. Additionally, the project aims to improve the understanding and evaluation of existing models (options) for providing street food. These models enable vendors to earn a sustainable income, while maintaining optimal food safety, and the public to choose healthier and safer foods.

The four components of the Street Foods Vending Models (SFVM) take into account various elements of the socioecological framework, i.e. intrapersonal/individual, interpersonal, and the physical environment/community in order to inform policy actions directed at regulating the street foods sold in South Africa. The model comprises the informal business sector, national food and nutrition guidelines, the five key recommendations for safer foods of the World Health Organization (WHO), as well as the best, most durable, and hygienically safe street food vending cart(s). ■





Research use and Impact Assessment

RIA is a cross-cutting unit with transversal responsibilities that seeks to enhance the use and impact of scientific research, and to manage the relationships, reputation and brand of the HSRC. RIA's vision is to contribute to a prosperous, healthy, and just society that uses research evidence to improve the quality of life of people, who are all well informed and actively engaged in public policy/civic matters.

RESEARCH EXCELLENCE

The NDP concludes with the following statement, "...in a society with deep social and economic divisions, neither social nor economic transformation is possible without a capable and development state." In response, RIA has undertaken research to determine whether managers in school districts in the Gauteng Department of Education had sufficient technical knowledge and skills to implement and oversee the programmes of work they were responsible for executing. Such programmes primarily encompass supporting curriculum delivery in schools, and monitoring and enhancing the quality of the learning experience offered to learners.

A needs analysis study in the province led to the design of a three-year capacity building plan for all categories of officials, which is being implemented by the Matthew Goniwe School of Leadership and Governance. The focus of the project was on enabling research use to effect improvements in professional capabilities. The project was particularly valuable as it encompassed all district officials in the value chain, including chief directors, district directors, circuit managers, institutional development and support officers, cluster leaders, chief education specialists responsible for curriculum learning and implementation, chief education specialists responsible for education operations and support, curriculum facilitators/advisers, and school principals. The results indicated a wide variety in the knowledge and skills needs of these different officials, and the three-year capacity development plan encompassed a theory of change, activities, outputs, output indicators, outcomes, and proxy outcome indicators.

ENGAGING WITH COMMUNITIES

DST has funded the Human and Social Dynamics (HSD) research seminar series for 2015–2016. The initiative focused on the work of various National Research Foundation (NRF) Research Chairs (SARChI), oriented toward the social sciences and humanities and located at various institutions countrywide. A prime example is the seminar held in August 2015 in East London, titled *The Meaning of Democracy in Post-1994 Rural South Africa: Examples from Research Conducted in the Eastern Cape*. The seminar focused on the scholarship attached to the SARChI Chair in Land Reform and Democracy in South Africa, held by Professor Lungisile Ntsebeza, who also holds the AC Jordan Chair in African Studies at the University of Cape Town.

Various presentations provided the basis for discussion and debate, with Professor Ntsebeza outlining the historical background to the Xalanga District case and its broader relevance to democratic governance in South Africa. Professor Ntsebeza had acted as an expert witness for the Cala Reserve community in a court case challenging the appointment by the royal family of ama-Gcina's of a headman for the Cala Reserve Administrative Area, which forms part of the Xalanga District. The court ruled in favour of the community, declaring that the

customary law of the Cala Reserve required its headmen to be elected by members of the community. Professor Luvuyo Wotshela presented a perspective from the former Ciskei, emphasising the long history of struggles for democracy and freedom, and the attenuation of the power held by the chiefs in the area. Dr Fani Ncapayi gave a detailed account of events leading to the Xalanga case and how the community had mobilised in defence of their rights. Ms Wilmien Wicomb explored the legal implications of the Xalanga judgement and its relationship to acts of parliament that restricted the rights of communities, while affirming those of royal families.

The seminar brought together a range of stakeholders to engage on questions related to the concepts of traditional leadership, democracy, and land. Using the case of the Xalanga District as an example, the following pertinent questions were explored:

- What are the tensions between land tenure reform, traditional authorities, and rural local government?
- What are the implications for popular democracy of the constitutional recognition of traditional leadership?
- How do we address the implications of the link between traditional leadership and the land question?
- How should we define the role of traditional authorities?
- What role, if any, should traditional leadership play in political matters?
- Can traditional leadership and the participatory and representative elements of democracy coexist in transitional societies?

The seminar brought to the fore the political and social contestations on power, authority, and democracy, and highlighted the concerns about traditional leadership and democracy that the policy-making process needed to take into account. Such concerns include that the traditional authority systems are diverse and that traditions, including traditional authority systems, changed over time. The conclusion of the seminar was that the topic of traditional authorities coexisting with elected rural local governments required investigation. In addition, the implications for popular democracy of the constitutional recognition of traditional leadership had to be explored. Furthermore, there was a need to examine the role of personal interests in ostensibly political conflicts over traditional authority, and to examine the limits of the powers vested in traditional authorities. In particular, such investigation was needed with respect to land and rural development. Finally, it was important to discuss the concern of leadership ignoring court judgments and acting with impunity.

During the review period, the RIA unit collaborated with DST in organising and hosting a series of seminars on Innovation for Inclusive Development (IID). The seminars serve as knowledge dissemination initiatives to share research evidence and newly produced knowledge with researchers, scholars, funders, industry experts, policy-makers, grassroots practitioners, and other stakeholders.

A prime example is the IID seminar on the Sustainable Livelihoods in Public Employment programme, which, in addition to the staff members representing the HSRC, was attended by representatives from the departments of public works and science and technology, and the International Labour Organization (ILO).

The seminar focused on the development effects of phase 3 (2014–

2019) of the Expanded Public Works Programme (EPWP). The conceptual framework demonstrated how the EPWP supported sustainable development and livelihoods. The sustainable development concept emphasises the balance between social, economic, and environmental needs. This is in marked contrast to the market-based understanding of sustainable development, which accentuates self-reliance without public support. Similarly, the concept of sustainable livelihoods is not limited to the income factor, but considers the capabilities of people, the private and public assets to which they have access, the institutions from which they receive support, their level of inclusion in local social networks, and how all of these factors contribute to their resilience.

In view of the above, EPWP employs a multidimensional approach to assessing such development effects, taking into account the public goods that can enhance human development outcomes, and enabling an environment for local economic development and quality of life in communities. The public employment programmes (PEPs) to create job opportunities have a far-reaching effect, as decent employment helps to reduce anti-social behaviour, and facilitates social inclusion and community development. Such factors are crucial to creating local institutions building resilience and capabilities at a local level. The wide range of such capabilities includes skills learned on the job, such as teamwork, task allocation, and task management.

The PEPs therefore create both economic and social value. Studies conducted by the Council for Scientific and Industrial Research (CSIR) and other independent researchers demonstrate the economic value of such initiatives. For instance, indications are that the Working for Water programme has possibly contributed to savings of R400 billion, has initiated the clearing of more than 2 million hectares of land infested by alien plant species, and has prevented the loss of 71% of grazing. Another prime example is the Working on Fire initiative that saved the forestry industry some R3.7 billion in 2007/2008.

INNOVATION IN ANALYSIS

A prime example of innovation in analysis was the research project undertaken on the potential for demographic dividends in Mpumalanga Province.

Based on an update of the provincial population characteristics, the project encompassed an action-oriented exposition of the dynamics of the provincial population; the associated social, demographic, educational, economic (mining, and manufacturing), and environment trends; a projection of the opportunity and possibility of demographic dividends; and a specification of the multidimensional and coordinated programming that would be required by the provincial population unit (PPU) and sectoral departments. After appropriate consultations with stakeholders about the interactions between health, education, employment, and economic development in the province — especially in relation to girls and women — an integrated Population Policy Action Plan was developed.

HSRC PRESS

The HSRC Press is the leading scholarly book publisher in Africa; moreover, the unit has a strong global presence. Our scholarly and academic trade books in the social sciences and humanities cover relevant and evidence-based analysis from and about South Africa, Africa, and the Global South, and are distributed and sold across three continents, and disseminated by the open-access platform.

New books published

The HSRC Press published 17 new titles in 2015/2016, of which 12 were scholarly/academic books under the HSRC Press imprint (see www.hsrcpress.ac.za) and five were academic non-fiction books published under the new trade book imprint called Best Red (see www.bestred.co.za).



Eleven of the 17 new books had been approved for publication by the independent HSRC press editorial board, following the gold-standard double-blind peer-review process. Three new titles were entirely commissioned, written, and developed by HSRC researchers in terms of research mandates, and were subsequently peer reviewed and quality controlled by the relevant research programmes before being published. The eighth edition in the internationally acclaimed *State of the Nation* series was generated under the auspices of the Democracy, Governance and Service Delivery (DGSD) research programme and approved through the independent editorial board peer-review process. Eighteen of the 41 chapter contributors to this volume are HSRC research scientists.

Four of the 17 new titles focus on Africa and three new books have a Global South perspective. Ten of the new titles focus specifically on South Africa, with three titles that have a gender perspective.

The overarching theme for the frontlist was inequality and poverty, with 11 new books focussing broadly on this theme, and seven of these directly and specifically addressing concerns related to inequality and poverty.

Five new books were published under the new academic non-fiction imprint, Best Red, namely, four new editions and one e-book. Since its inception three years ago, Best Red has become a fully-fledged brand, with 13 titles under its banner.

The following titles were published during the reporting period:

Title	
8	Men's Pathways to Parenthood: Silence and heterosexual gendered norms
12	South Africa's Agrarian Question
9	Mobilities, ICTs and Marginality in Africa: South Africa in comparative perspective
13	State of the Nation 2016: Who is in charge? Mandates, accountability and contestations in South Africa
10	Popular Politics in South African Cities: Unpacking community participation
17	Waves of Change: Globalisation and seafaring labour markets
11	Putin and the Oligarch: The Khodorkovsky-Yukos affair
15	The 1% and the Rest of Us: A political economy of dominant ownership
1	Africa Uprising: Popular protest and political change
2	A Taste of Bitter Almonds: Perdition and promise in South Africa
7	Linking Universities and Marginalised Communities: South African case studies of innovation focused on livelihoods in informal settings
4	Conceptual Integration and Educational Analysis
5	Deconstructing Women, Peace and Security: A critical review of approaches to gender and empowerment
14	Teaching the 'Native'
3	Balancing Multiple Mandates: The changing roles of science councils in South Africa
16	The Socioeconomics of Livestock Keeping in Two South African Communities
6	Drinking with Ghosts (e-book)

The HSRC Press produced and printed 19 policy briefs in the year under review.

Seven international publishing collaborations were established or extended, cementing strategic partnerships including CODESRIA, ACCORD, IDRC, Zed Books, and IB Tauris.

Dissemination, distribution, and influence

The HSRC Press continued to increase its presence through publicity, promotions, and events, at which its new books, authors, and research perspectives were presented.

Representatives of the HSRC Press attended or exhibited at 35 local events and conferences, including six book launches, and directly attended an additional six international events. The books and the initiatives of the HSRC were promoted at these events. The events included the Gender Summit in April 2015, World Social Sciences Forum (WSSF) in September 2015, European Conference on African Studies (ECAS) in Paris in June 2015, a partnership meeting with the Council for the Development of Social Science Research in Africa (CODESRIA) in Senegal in February 2016, the African Studies Association (ASA) in the USA in November 2015, and an international summit on culture, publications, and translation in Beijing in September 2015, for which the invitation was coordinated by the Chinese Academy of Social Sciences (CASS).

The five top sellers in the financial year were *State of the Nation 2014* (HSRC Press, 2014), *Popular Politics in SA Cities* (HSRC Press, 2015), *The Congress Movement* (volumes 1–3, HSRC Press, 2015), *Drinking with Ghosts* (Best Red, 2014), and *Africa Uprising* (Best Red, 2015). The top three downloads on open access were *State of the Nation 2014*, *The Development of Competition Law*, and *Medicine and the Politics of Knowledge*. The Exclusive Books Group is the top retailer of HSRC Press and Best Red books.

New titles were disseminated across three continental sales channels and globally online. On Open Access, 21 965 copies of titles were downloaded across 173 countries and there were 34 754 online users, 141 337 page views, and 143 podcasts. Africa is the fastest growing user of the open access service and, after South Africa, Kenya is the most frequent user.

The number of units sold commercially was 4 088, mainly through bookstores, which also cater for academic library orders, and online retail outlets across the world. Over 3 000 selected titles were donated to organisations, including the University of Namibia (1 450 books), Department of Education Gauteng for school libraries (420 books), the University of the Western Cape and the University of Stellenbosch. In addition, 1 920 copies of new books were distributed to stakeholders and the mainstream media. ■



OVERVIEW

OF HSRC PERFORMANCE FOR 2015/16 FOURTH QUARTER

PERFORMANCE HIGHLIGHTS

At the beginning of the financial year annual targets were agreed and approved by the minister of science and technology, as contained in the strategic plan and annual performance plan. Overall performance against these pre-determined objectives at the end of first quarter ending 31 March 2016 was 73% (32/44). When analysed at the ADEPTS level, the 0outputs for each objective were as follows:

- **A** - Advance
67% (Out of 9 indicators: 6 achieved)
- **D** - Develop
75% (Out of 4 indicators: 3 achieved)
- **E** - Enhance
60% (Out of 10 indicators: 6 achieved)
- **P** - Preserve
100% (Out of 3 indicators: 3 achieved)
- **T** - Transform
67% (Out of 6 indicators: 4 achieved)
- **S** - Sustain
83% (Out of 12 indicators: 10 achieved)

A	D	E	P	T	S
67%	75%	60%	100%	67%	83%

Table 1: ADEPTS PERFORMANCE

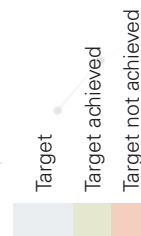


"The test of our progress is not whether we add more to the abundance of those who have much; it is whether we provide enough for those who have too little."

– **Franklin D. Roosevelt**

<http://www.goodreads.com/quotes/tag/poverty>

	Annual Target/Year to Date Achievement										
No	Performance Indicator Description	Target for 2015/16 as per Annual Performance Plan (APP)	Cumulative Achievement (YTD)	1 st Quarter Target as per APP	1 st Quarter Actual Output – Preliminary	2 nd Quarter Target as per APP	2 nd Quarter Actual Output – Validated	3 rd Quarter Target as per APP	3 rd Quarter Actual Output – Validated	4 th Quarter Target as per APP	4 th Quarter Actual Output –Validated
Strategic Outcome Goal 1: A – Knowledge Advancement											
Objective 1.1: Dissemination of knowledge through public dialogue and publications											
Objective statement: The HSRC will have stimulated public debate through effective dissemination of fact-based research results, thereby contributing to knowledge generation and dissemination globally by hosting public dialogue and publishing peer-reviewed journal articles in internationally accredited scientific journals; recognised books and book chapters, with at least one HSRC researcher listed as author or co-author; and non-peer reviewed journal articles by the end of 2019/20.											
1	Peer-reviewed journal articles: The number of peer-reviewed publications in an internationally accredited scientific journal, per senior researcher (SRS/SRM and above) during the period under review.	1.9	1.97 (148/75)	0.48	0.18	0.48	0.47	0.48	0.36	0.46	0.96
2	Scholarly books published: The number of recognised books with at least one HSRC researcher listed as author or co-author, published during the period under review.	16	11	2	2	4	3	4	4	6	2
3	Scholarly book chapters published: The number of recognised book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review.	54	53	5	3	14	9	17	12	18	29
4	HSRC research seminars convened: The number of HSRC research seminars hosted during the year under review.	50	62	10	15	13	19	13	16	14	12 (Target met for the year)
5	Publications from ring-fenced funding: The number of State of the Nation book volumes produced and published during the period under review.	1	1	n/a	n/a	n/a	n/a	n/a	n/a	1	1
6	HSRC Review publication: The number of HSRC Review publications produced during the year under review.	4	5	1	1	1	1	1	2	1	1



No	Performance Indicator Description	Annual Target/Year to Date Achievement						4 th Quar- ter Target as per APP	4 th Quarter Actual Out- put –Vali- dated	
		Target for 2015/16 as per Annual Performance Plan (APP)	Cumulative Achievement (YTD)	1 st Quarter Target as per APP	1 st Quarter Actual Output – Preliminary	2 nd Quar- ter Target as per APP	2 nd Quarter Actual Output – Validated			3 rd Quarter Target as per APP
7	New publishing imprint: The number of titles published under the new imprint.	5	6	1	0	1	6	171	0 Target met	2 (Target met for the year)
Objective 1.2: Inform effective formulation of government policy and evaluate its implementation										
Objective statement: The HSRC will have informed effective formulation of government policy and evaluated the effectiveness of its implementation by conducting research and increasing the number of policy briefs published from 8 in 2012/13 to 24 by the end of the financial year 2019/20.										
8	Policy briefs: The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review.	22	16	3	1	4	0	6	5 Target met	9 10
Objective 1.3: Institutional collaboration agreements										
Objective statement: The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by working closely with government, universities, non-governmental organisations and donor organisations by the end of the financial year 2019/20.										
9	Active MoUs: The number of active memoranda of understanding (MoUs) with other research institutions or associations in place during the period under review.	41	53	6	44	8	0 Target met for the year	12	1 Target met for the year	15 (Target met for the year)
Strategic Outcome Goal 2: D – Contribution to development and social progress in Africa										
Objective 2.1: Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives										
Objective statement: By the end of the financial year 2019/20 the HSRC will have sourced funding and undertaken longer-term, longitudinal or cross-sectional projects providing critical data to inform planning or monitoring progress in relation to government outcomes.										
10	Research projects completed: The number of research projects completed during the period under review.	19	34	2	1	4	3	5	7 6	8 23
11	Research reports produced: The number of research reports produced during the period under review.	29	60	3	8	6	12	9	Cumu- latively ahead of target	11 34

		Annual Target/Year to Date Achievement									
No	Performance Indicator Description	Cumulative Achievement (YTD)		1 st Quarter Target as per APP	1 st Quarter Actual Output – Preliminary	2 nd Quarter Target as per APP	2 nd Quarter Actual Output – Validated	3 rd Quarter Target as per APP	3 rd Quarter Actual Output – Validated	4 th Quarter Target as per APP	4 th Quarter Actual Output – Validated
		Objective 2.2: Promoting an African research agenda									
Objective statement: The HSRC will have promoted an African research agenda through knowledge and research partnerships elsewhere in Africa and by encouraging comparative work and the involvement of expert participants and reviewers from other parts of Africa by 2019/20.											
12	African research fellows: The number of research fellows from elsewhere in Africa at the HSRC.	17	6	7	8	10	9	13	9	17	6
Objective 2.3: Structured collaborative research											
Objective statement: The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by conducting research projects in collaboration with government, universities, non-governmental organisations and donor organisations; and conducting 15 collaborative research projects between its research programmes by end of the financial year 2019/20.											
13	Structured collaborative research projects completed: The number of completed HSRC research projects involving structured collaboration between research programmes during the year under review.	18	30	1	0	3	2	5	4	9	24
Strategic Outcome Goal 3: E – Enhanced Skills											
Objective 3.1: Attraction of skills for the development of a skilled and capable workforce											
Objective statement: The HSRC will have recruited master’s and doctoral candidates, as well as post-doctoral fellows on attachment from universities to do research at the HSRC, and will have strengthened its capacity building programme focusing on recruitment of unemployed graduates, expanding the coaching skills initiative for managers; career growth and succession planning by 2019/20.											
14	Master’s level interns: The number of interns (research trainees) enrolled in a master’s programme, appointed at the HSRC.	42	43	12	28	22	33	32	34	42	43
15	PhD level interns: The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC.	49	53	10	33	20	36	30	44	49	53
16	Post-doctoral fellows: The number of post-doctoral fellows (research associates), appointed at the HSRC.	29	28	5	19	12	23	18	23	29	28

No	Performance Indicator Description	Annual Target/Year to Date Achievement									
		Target for 2015/16 as per Annual Performance Plan (APP)	Cumulative Achievement (YTD)	1 st Quarter Target as per APP	1 st Quarter Actual Output – Preliminary	2 nd Quarter Target as per APP	2 nd Quarter Actual Output – Validated	3 rd Quarter Target as per APP	3 rd Quarter Actual Output – Validated	4 th Quarter Target as per APP	4 th Quarter Actual Output – Validated
17	Students reached in the research seminars/campus lecture series: The number of students reached in the research seminars/campus lecture series during the period under review.	550	624	130	18	130	145	145	0	145	461
18	Schools engaged in the Outreach Programme: The number of schools engaged in the Outreach Programme during the period under review.	180	207	45	88	45	9	45	28	45	82
Objective 3.2: Research capacity for the human sciences											
Objective statement: The HSRC will have provided mentorship and coaching for master's and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC in order to grow an echelon of suitable qualified and experienced social scientists, ensuring that research interns and doctoral fellows produce peer-reviewed publications by the end of the financial year 2019/20.											
19	Completed master's level research internship: The number of interns (research trainees) enrolled in a master's programme who have completed the programme during the period under review.	9	10	n/a	n/a	4	4	2	2	3	4
20	Peer-reviewed journal articles per master's intern: The number of peer-reviewed publications in an internationally accredited scientific journal, per intern during the period under review.	1	0.12 (4/33)	0.2	0	0.2	0	0.3	0	0.3	0.12
21	Completed PhD level research internship: The number of interns (research trainees) enrolled in a PhD programme who have completed the programme during the period under review.	9	0	n/a	n/a	n/a	0	3	0	6	0
22	Peer-reviewed journal articles per PhD intern: The number of peer-reviewed publications in an internationally accredited scientific journal per PhD intern during the period under review.	1	0.53 (20/38)	0.2	0.06	0.2	0.13	0.3	0.04	0.3	0.23
23	Peer-reviewed journal articles per fellow: The number of peer-reviewed publications in an internationally accredited scientific journal per fellow during the period under review.	1.1	1.33 (28/21)	0.2	0.16	0.2	0.19	0.3	0.13	0.4	0.48

Performance Indicator Description		Annual Target/Year to Date Achievement						Annual Target/Year to Date Achievement					
		Target for 2015/16 as per Annual Performance Plan (APP)	Cumulative Achievement (YTD)	1 st Quarter Target as per APP	1 st Quarter Actual Output – Preliminary	2 nd Quarter Target as per APP	2 nd Quarter Actual Output – Validated	3 rd Quarter Target as per APP	3 rd Quarter Actual Output – Validated	4 th Quarter Target as per APP	4 th Quarter Actual Out-put –Vali- dated		
Strategic Outcome Goal 4: P – Preserved data and knowledge													
Objective 4.1: Research data management and curation													
Objective statement: The HSRC will have expanded the number of data sets already available in the public domain and established standards for the management and preservation of research data by end of the financial year 2019/20.													
24	Preserved data sets: The number of HSRC data sets that were preserved (archived/curated) during the period under review.	23	24	2	2	5	5	7	5	9	12		
25	Data sets generated and prepared for preservation: The number of HSRC data sets that were generated and prepared for preservation (archiving/curation) during the period under review.	23	25	2	6	5	2	7	14	9	3 (Target met for the year)		
Objective 4.2: Preserved library holdings													
Objective statement: The HSRC will have preserved library holdings electronically through digitisation of Africa Insight, publications, maps, and photo collection by end of the financial year 2019/20.													
26	Preserved library holdings: Digitised library holdings; maps, and photo collection during the period under review.	158	172	30	15	35	104	40	53	48	0 (Target met for the year)		
Strategic Outcome Goal 5: T – Transformation													
Objective 5.1: Transformation: Senior researchers													
Objective statement: By end of the financial year 2019/20, the HSRC will have maintained 56% of senior researchers (SRS/SRM and above), who are African and 50% of senior researchers who are female.													
27	Senior researchers who are African: The percentage of all researchers at senior level (SRS/ SRM and above) who are African.	56%	45% (34/75)	56%	42%	56%	43%	56%	44%	56%	45% (34/75)		
28	Senior researchers who are female: The percentage of all researchers at senior level (SRS/ SRM and above) who are female.	49%	39% (29/75)	49%	37%	49%	37%	49%	39%	49%	39% (29/75)		

	Annual Target/Year to Date Achievement							
No	Performance Indicator Description				4 th Quarter Actual Output –Validated			
	Target for 2015/16 as per Annual Performance Plan (APP)	Cumulative Achievement (YTD)	1 st Quarter Target as per APP	1 st Quarter Actual Output – Preliminary				
Objective 5.2: Awareness and reporting on transformation								
Objective statement: By end of the financial year 2019/20, the HSRC will have raised awareness and assessed its transformation status and prepared annual & quarterly reports on Employment Equity levels activities to raise awareness on gender and diversity.								
29	Annual employment equity reports produced:	100%	100%	n/a	n/a	100%	n/a	100%
30	Quarterly employment equity reports produced:	4	4	1	1	1	1	1
31	Diversity awareness events hosted:	1	1	n/a	n/a	n/a	1	n/a
32	Gender awareness events hosted:	1	1	n/a	n/a	0	n/a	1
Strategic Outcome Goal 6: S – Financial Sustainability								
Objective 6.1: Extra-Parliamentary Income								
Objective statement: By end of the financial year 2019/20, the HSRC will have maintained extra-parliamentary funding of 40% (60:40 ratio).								
33	Extra-parliamentary Income:	48%	42%	48%	26%	48%	40%	43%
Objective 6.2: Multiyear grants								
Objective statement: By end of the financial year 2019/20, the HSRC will have increased the number of multiyear (at least three years) projects from 44% in 2011/12 to 56%.								
34	Multiyear grants:	54%	64%	54%	66%	54%	63%	54%
The percentage of research grants that are multiyear (at least three years).						64%		

	Annual Target/Year to Date Achievement		Objective 6.3: Good corporate governance principles effectively championed									
No	Performance Indicator Description	Target for 2015/16 as per Annual Performance Plan (APP)	Cumulative Achievement (YTD)	1 st Quarter Target as per APP	1 st Quarter Actual Output – Preliminary	2 nd Quarter Target as per APP	2 nd Quarter Actual Output – Validated	3 rd Quarter Target as per APP	3 rd Quarter Actual Output – Validated	4 th Quarter Target as per APP	4 th Quarter Actual Output – Validated	
	Objective statement: By end of the financial year 2019/20, the HSRC will have championed the implementation of good corporate governance principles and produced quarterly reports on risk management, compliance, anti-corruption initiatives, and facilitated activities related to the governance of the board to ensure financial sustainability.											
35	Officials attending the anti-corruption campaign: The percentage of officials attending the anti-corruption campaign.	80%	56%	n/a	n/a	n/a	10%	n/a	46%	80%	56%	
36	Eligible officials who have declared their interests: The percentage of eligible officials who have declared their interests.	100%	100%	n/a	n/a	n/a	53%	n/a	80%	100%	100%	
37	Compliance reports produced: The number of compliance reports presented and approved.	4	4	1	1	1	1	1	1	1	1	
	Objective 6.4: Effective and efficient systems of financial management and internal control											
	Objective statement: By end of the financial year 2019/20, the HSRC will have championed the implementation of good corporate governance principles and produced quarterly reports on risk management, compliance, anti-corruption initiatives, and facilitated activities related to the governance of the board to ensure financial sustainability.											
38	Unqualified external audit report: 100% unqualified results of the annual statutory audits achieved for the period under review.	1	1	n/a	n/a	1	1	n/a	n/a	n/a	n/a	
39	BBBEE status: The BBBEE status achieved for the period under review.	3	3	4	4	3	4	3	4	3	3	
40	PPPFA compliance: Percentage compliance with the PPPFA requirements during the period under review.	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	

Annual Target/Year to Date Achievement		Objective 6.5: Improved stakeholder relations											
No	Performance Indicator Description	Target for 2015/16 as per Annual Performance Plan (APP)		Cumulative Achievement (YTD)	1 st Quarter Target as per APP	1 st Quarter Actual Output – Preliminary	2 nd Quarter Target as per APP	2 nd Quarter Actual Output – Validated	3 rd Quarter Target as per APP	3 rd Quarter Actual Output – Validated	4 th Quarter Target as per APP	4 th Quarter Actual Output – Validated	
Objective statement: The HSRC will have developed stakeholder intelligence for targeted need satisfaction at national, regional, and international levels, through 24 stakeholder engagements and 2 research projects registered to develop the research domain of science communication and public understanding of science by the end of the financial year 2019/20.													
41	The number of stakeholder engagements during the period under review.	16	34	4	5	4	4	4	6	4	19		
Social science research conferences													
42	The number of annual social sciences research conferences hosted during the period under review.	1	1	n/a	n/a	1	1	n/a	n/a	n/a	n/a	n/a	
Platforms for engaging policy-makers													
43	The number of platforms for engaging policy-makers established during the period under review.	1	1	1	0	n/a	1	n/a	n/a	n/a	n/a	n/a	
Registered research projects to improve public understanding of science:													
44	The number of research projects registered to develop the research domain of science communication and public understanding of science during the period under review.	2	15	n/a	7	n/a	4	1	3	1	1		

GOVERNANCE REPORT

OUR PEOPLE

HSRC BOARD



MS NASIMA BADSHA

Chairperson

MSc, University of Natal
Chief executive officer of the Cape Higher Education Consortium (CHEC). Previous positions held include: deputy director-general in the former Department of Education (1997–2006); advisor to the Minister of Education

(2006–2009); and to the Minister of Science and Technology (2009–2012). Former member of the National Commission on Higher Education and served on the Council on Higher Education and board of the National Student Financial Aid Scheme.



PROF. CRAIN A SOUDIEN

Chief executive officer

PhD, State University of New York at Buffalo

Prof Soudien is formerly a deputy vice-chancellor at the University of Cape Town and a joint professor in education and African studies. He has published over 180 articles, reviews, reports, and

book chapters in the areas of social difference, culture, education policy, comparative education, educational change, public history and popular culture.

He is involved in a number of local, national, and international social and cultural organisations and is the chairperson of the Independent Examinations Board, the former chairperson of the District Six Museum Foundation, a former president of the World Council of Comparative Education Societies and has been the chair of the Ministerial Committee on Transformation in Higher Education and is currently the chair of the ministerial committee to evaluate textbooks for discrimination. He is a fellow of a number of local and international academies and serves on the boards of a number of cultural, heritage, education and civil society structures.



PROF. MARK BUSSIN

BSc, HDP, MM, MCom and DCom, University of Johannesburg

Chairperson of 21st Century Pay Solutions Group; professor at University of Johannesburg; professor extraordinaire at North-West University; commissioner in the Presidency

as a member of the Independent Commission for the Remuneration of Public Office Bearers; chairperson and member of various boards and remuneration committees; immediate past president and executive committee member of the South African Reward Association; author of *The Remuneration Handbook for Africa*, *The Performance Management Handbook for Emerging Markets* and *The Performance Management Handbook for Government, SOEs, Universities, Schools and NPOs*.



ADVOCATE ROSHAN DEHAL

BProc, LLB

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

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

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



PROF. SHIREEN HASSIM

PhD (political science), York University, Toronto, Canada

Professor of political studies. Author of *Women's Organisations and Democracy in South Africa: Contesting Authority* (2006), which won the 2007 American Political Science Association's Victoria Shuck Award for best book on women

and politics. Co-editor of several books, most recently *Go Home or Die Here: Xenophobia, Violence and the Reinvention of Difference in South Africa* (Wits University Press, 2009). Current research projects are a) a history of family and state in South Africa and b) the ways in which bodies are invested as the sites of demarcating the boundaries of power in post-apartheid South Africa.

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

**PROF. AMANDA LOURENS**

PhD, University of Pretoria
 Director: IDSC Consulting Pty (Ltd);
 research fellow: Higher Education
 South Africa (HESA) and extraordinary
 associate professor at North-West
 University (Potchefstroom Campus).
 Previously, vice-rector: research and
 planning at North-West University

(Potchefstroom Campus), member of the National Research
 Foundation THRIP advisory board, HESA Research and Innovation
 Strategy Group and the ministerial committee for the development
 of a national integrated cyber-infrastructure system (NICIS).
 Past president of the Southern African Research and Innovation
 Management Association and the South African Statistical
 Association. Past chairperson of the Southern African Association
 for Institutional Research.

**PROF. RELEBOHILE
MOLETSANE**

PhD, Indiana University, Bloomington,
 IN, USA

Professor and John Langalibalele Dube
 chairperson in rural education, College
 of Humanities, University of KwaZulu-

Natal. Member of the UMALUSI Council. Member of the editorial
 committee and board of *Agenda Feminist Media Project*.

**PROF. ADEBAYO OLUKOSHI**

PhD, Leeds University, UK
 Director: United Nations African
 Institute for Economic Development
 and Planning (IDEP) and interim
 executive director: Africa Governance
 Institute (AGI), both at Dakar, Senegal.
 Professor of international economic
 relations and former executive

secretary: CODESRIA. Previously served as director of research at
 the Nigerian Institute of International Affairs; senior research fellow/
 research programme coordinator at the Nordic Africa Institute and
 a senior programme staff member at the South Centre in Geneva.

**PROF. LULAMA QALINGE**

PhD, North-West University
 Professor and head of department
 of social work, University of South
 Africa (UNISA). Former acting dean
 of the faculty of human and social
 sciences and director of the school of
 social sciences North-West University,
 (Mafikeng campus). Former member of

the institutional forum (NWU). Board member of Lesotho Highlands
 Development Authority and serving in the sustainable development
 subcommittee. Board member of the Health Professions Council of
 South Africa (HPCSA).

**DR BOTLHALETEMA**

PhD, University of Reading, UK
 Managing director: African Creative
 Connections; member of the
 advisory panel of the Network for the
 Coordination and Advancement of
 Sub-Saharan Africa EU Science and
 Technology; chairperson of the Board
 of the Programme for Technological

Careers; former ex-officio member of the AU steering committees
 on education, science, and technology, ICT and the youth
 programme; former ex-officio member of the South African National
 Commission of the United Nations Educational, Scientific and
 Cultural Organisation (UNESCO).

**PROF. ENRICO ULIANA**

PhD, Stellenbosch University; CA,
 South Africa

Executive director: finance at the
 University of Cape Town (UCT). Visiting
 professor at the Graduate School of
 Business (UCT), the department of
 accounting at the Nelson Mandela

Metropolitan University, the department of accounting at Rhodes
 University, Rotterdam School of Management at the Erasmus
 University, Bologna University, and Milano-Bicocca University.
 Editor of *South African Journal of Accounting Research* and on the
 editorial team of several international journals. Co-author of three
 textbooks (eleven editions), including the biggest-selling financial
 management textbook in South Africa for 25 years.

ROLE AND FUNCTION OF THE BOARD

The Human Sciences Research Council is established in terms of the HSRC Act (17 of 2008) and as a Schedule 3A public entity, performs within the statutory guidelines of the PFMA and the associated treasury regulations. In adhering to the requirements of the executive authority, the Board adopted the King III principles of good governance.

The Board is appointed to govern and control the council in accordance with the HSRC Act and is accountable to the minister of science and technology and parliament in the execution of its function. The Board charter, approved in November 2009 and reviewed annually, defines the responsibilities and duties of the Board as follows:

Corporate Governance

- To ensure that the activities, performance, and values of the HSRC are in accordance with the statutory objects and functions, as specified in sections 3 and 4 of the act;
- To determine, monitor and evaluate the implementation of the HSRC's strategic and business plan in conjunction with the chief executive officer, and to conclude a shareholder's agreement with the executive authority (the minister) setting out mutual rights and obligations;
- To exercise fiduciary oversight over the assets of the HSRC but ensuring that the HSRC's financial records are regularly audited in accordance with best corporate practice; that management of the assets comply with the PFMA; and that adequate risk management measures, procedures and practices in place to protect the HSRC's assets and reputation.
- To ensure that HSRC practices comply with legislation relating to transformation, labour relations and occupational safety;
- To ensure that the HSRC complies with all other relevant laws, regulations and codes of best business practice;
- To exercise leadership, enterprise, integrity and judgement in directing the affairs of the HSRC.

Responsibilities

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

STRUCTURE OF THE HSRC BOARD

Section 5 of the HSRC Act outlines the composition of the Board. Members are selected and appointed by the minister of science and technology from a shortlist of candidates approved by the National Assembly:

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

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

As Professor Olive Shisana's second consecutive term as CEO of the HSRC was to end on 31 July 2015, the Board a search and selection process in August 2014 and submitted its recommendation for the appointment of a CEO to the minister of science and technology in April 2015. A cabinet endorsement concluded the appointment of Professor Crain Soudien as CEO with effect from 1 September 2015.

The following members served on the Board between 1 April 2015 and 31 March 2016:

- Ms Nasima Badsha (Chairperson)
- Prof. Olive Shisana (chief executive officer, retired 31 July 2015)
- Dr Udes Pillay (chief executive officer, acting 1–30 August 2015)
- Prof. Crain A Soudien (chief executive officer, effective 1 September 2015)
- Prof. Mark HR Bussin
- Adv. Roshan R Dehal
- Prof. Shireen AA Hassim
- Prof. Amanda Lourens
- Prof. Relebohile T Moletsane
- Prof. Adebayo O Olukoshi
- Prof. Lulama I Qalinge
- Dr Bothale O Tema
- Prof. Enrico O Uliana

BOARD MEETINGS AND ATTENDANCE

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

During the year under review, the following meetings took place.

Board member	Ordinary meetings held			
	May 2015	August 2015	November 2015	February 2016
Ms Nasima Badsha	P	P	P	P
Prof. Olive Shisana*	P	N/A	N/A	N/A
Dr Udes Pillay**	N/A	P	N/A	N/A
Prof. Crain A Soudien***	N/A	N/A	P	P
Prof. Mark HR Bussin	P	A	P	P
Adv. Roshan R Dehal	A	P	A	P
Prof. Shireen AA Hassim	P	P	P	P
Prof. Amanda Lourens	P	P	P	P
Prof. Relebohile T Moletsane	P	P	P	P
Prof. Adebayo O Olukoshi	P	P	A	P
Prof. Lulama I Qalinge	P	A	A	A
Dr Bothale O Tema	P	A	P	P
Prof. Enrico O Uliana	P	P	P	P

P: Present | A: Member absent with apology | * Retired 31 July 2015 | ** Acting CEO 1–31 August 2015 | *** Appointed 1 September 2015

INDUCTION AND ORIENTATION

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

BOARD SECRETARIAT FUNCTION

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

The role and function of the Board secretary specifically include acting as liaison between the Board and the organisation, providing comprehensive support and guidance to the executive management, compiling and filtering Board documents, ensuring compliance with appropriate standards of ethics and good governance and performing project management relevant to the activities of the various committees.

ANNUAL BOARD EVALUATION

In keeping with the recommendations of King III, the HSRC Board conducts an annual self-evaluation to assess its performance. The evaluation is based on predetermined criteria, and starts with a review of the responsibilities of the Board to ensure Board members have a firm understanding of their duties.

The evaluation tool, as agreed to by the Board, is based on a self-diagnostic instrument from the Institute of Directors Southern

Africa (IoDSA), and was adapted to suit the needs of the HSRC Board members. The self-evaluation questionnaire covers 11 focus areas, namely the Board role and agenda setting; size, composition and independence of the Board; orientation and development of Board members; Board leadership, teamwork and management relations; Board meetings; Board evaluation and continuous improvement; management evaluation; compensation and ownership; succession planning; code of conduct and ethics; stakeholder management and Board secretary.

Seven of the 11 Board members completed the self-evaluation questionnaire.

The 2015/16 Board self-assessment was conducted with due consideration of the transition between CEOs that commenced in July 2015. It is therefore reassuring to note from the evaluation that the Board continues to effectively discharge its responsibilities. The observation by all participants that the Board maintains a productive relationship with the CEO and management, is particularly positive in view of the leadership transition.

A further encouraging development relates to the functioning of the various subcommittees. The Research Committee was previously rather inactive, but members now enjoy receiving regular feedback from the Committee.

BOARD COMMITTEES

Audit and Risk Committee (FINANCE COMMITTEE INC.)

The HSRC Board established an audit and risk committee (ARC), which is constituted in terms of section 51 (1)(a)(ii) of the PFMA 1 of 1999. The committee has an independent role and is accountable to the Board.

The ARC incorporates the functions of the finance committee and these combined roles and responsibilities are encapsulated in the ARC charter, which is approved by the Board and reviewed annually.

The committee comprises five members, three of whom are members of the HSRC Board and two who are independent non-executive members.

A report from the committee follows below.

Human Resources and Remuneration Committee

The aim of the Human Resources and Remuneration Committee, in its dual role, is to assist the HSRC Board in fulfilling its corporate governance responsibilities by determining, agreeing and developing the HSRC's remuneration policies and packages, mandating the annual cost of living wage increase and determining the criteria to measure the performance of the HSRC executive. In addition, the committee reviews human resources policies and reports, including employment equity and skills development, performance management information and the appointment and promotion of senior staff.

The Committee consists of a minimum of three non-executive Board members and the chief executive officer, but all members of the HSRC Board have a standing invitation to attend all meetings. The Committee met four times in the year under review.

Committee member	Ordinary meetings held			
	May 2015	August 2015	November 2015	February 2016
Ms Nasima Badsha	P	P	P	P
Prof. Olive Shisana*	A	N/A	N/A	N/A
Dr Udesch Pillay**	N/A	P	N/A	N/A
Prof. Crain A Soudien***	N/A	N/A	P	P
Prof. Mark HR Bussin	P	A	P	P
Adv. Roshan R Dehal	A	P	A	A
Prof. Shireen AA Hassim	P	P	P	P
Prof. Amanda Lourens	P	P	P	A
Prof. Relebohile T Moletsane	P	P	P	P
Prof. Adebayo O Olukoshi	P	P	A	A
Prof. Lulama I Qalinge	P	A	P	A
Dr Botlhale O Tema	P	A	P	P
Prof. Enrico O Uliana	P	P	P	A

P: Present | A: Member absent with an apology | * Retired 31 July 2015
| ** Acting CEO 1–31 August 2015 | *** Appointed 1 September 2015

Research Committee

The research committee contributes to the development of the overall research portfolio and approach of the HSRC by engaging with HSRC management and staff on critical developments in the research arena, working with management and staff to strengthen the research programme and supporting the CEO relevant to the re-orientation of the strategic direction of the organisation.

During the annual review of the Committee Charter, the Committee was augmented with the formal addition of the CEO as a member, as well as two representatives from the Executive Directors. All Board members have a standing invitation to attend the meetings of the Committee.

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

The role of the Committee in setting the research agenda includes, but is not limited to:

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

The committee is expected to assist with HSRC strategies, for instance, improving journal article publications and enhancing research quality.

In addition, committee members are invited to attend and contribute to the annual strategic planning lekgotla of the HSRC. Prof Adebayo Olukoshi and Dr Botlhale Tema attended the 2015 researchers' lekgotla, with two other Board members, namely, Ms Nasima Badsha and Prof. Lulama Qalinge.

In addition, the committee met twice in the year under review.

Committee member	Ordinary meeting held	
	August 2015	February 2016
Prof. Adebayo O Olukoshi (Chairperson)	P	P
Prof. Shireen AA Hassim	A	P
Prof. Relebohile T Moletsane	P	P
Dr Botlhale O Tema	A	P

EXECUTIVE MANAGEMENT



DR TEMBA MASILELA

Deputy chief executive officer: Research, and executive director for Research Use and Impact Assessment (RIA)

PhD, University of Iowa, USA

(Dr Masilela ended his term as DCEO: Research at the end of December 2015)

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



DR UDESB PILLAY

Deputy chief executive officer: Management support

PhD, University of Minnesota, USA

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



MS PRIYA SINGH

Chief financial officer (CFO)

CA, South Africa

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



PROF. LEICKNESS SIMBAYI

Executive director: HIV/AIDS, STIs and TB (HAST)

DPhil, University of Sussex, UK

Acting Deputy CEO: Research (January–May 2016)

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



DR KHANGELANI ZUMA

Executive director: Research Management and Data Centre

PhD, University of Waikato, New Zealand

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



PROF. IVAN TUROK

Executive director: Economic Performance and Development (EPD)

PhD, University of Reading, UK

(Prof Turok was appointed as ED on 1 January 2016, before this he was acting ED from 1 September 2014 to his appointment as ED)

Honorary professor at the Universities of Cape Town and Glasgow. Before returning to South Africa and joining the HSRC in 2010 he was professor and research director of the Department of Urban Studies at Glasgow University.



PROF. DEMETRE LABADARIOS

Executive director: Population Health, Health Systems and Innovation (PHHSI)

PhD, University of Surrey, UK

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



PROF DANIEL PLAATJIES

Executive director: Democracy, Governance and Service Delivery (DGSD)

PhD, University of Witwatersrand

(Prof Plaatjies resigned from the HSRC on 11 November 2015)

Visiting professor at the School of Business Management, University of the Free State, former head and director of the University of the Witwatersrand Graduate School of Public and Development Management (now known as the School of Governance).

- Prof Crain Soudien acting ED until 31 March 2016



DR VIJAY REDDY

Executive Director: Education and Skills Development (ESD)

PhD, University of Durban-Westville (University of KwaZulu-Natal)

Previously responsible for graduate programmes at the University of KwaZulu-Natal (UKZN). Worked as a school science teacher in NGOs, involved in in-service education for science teachers. Taught chemistry in bridging programmes, and was employed by an evaluation and monitoring NGO.



PROF VASU REDDY

Executive Director: Human and Social Development (HSD)

PhD, University of KwaZulu-Natal

(Prof Reddy resigned from the HSRC on 24 July 2015)

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

- Prof Sharlene Swartz
Acting ED: from 27 July to 23 December 2015

- Dr Heidi van Rooyen
ED: from 1 January 2016



PROF PHINDILE LUKHELE-OLORUNJU

Acting section head: Africa Institute of South Africa (AISA)

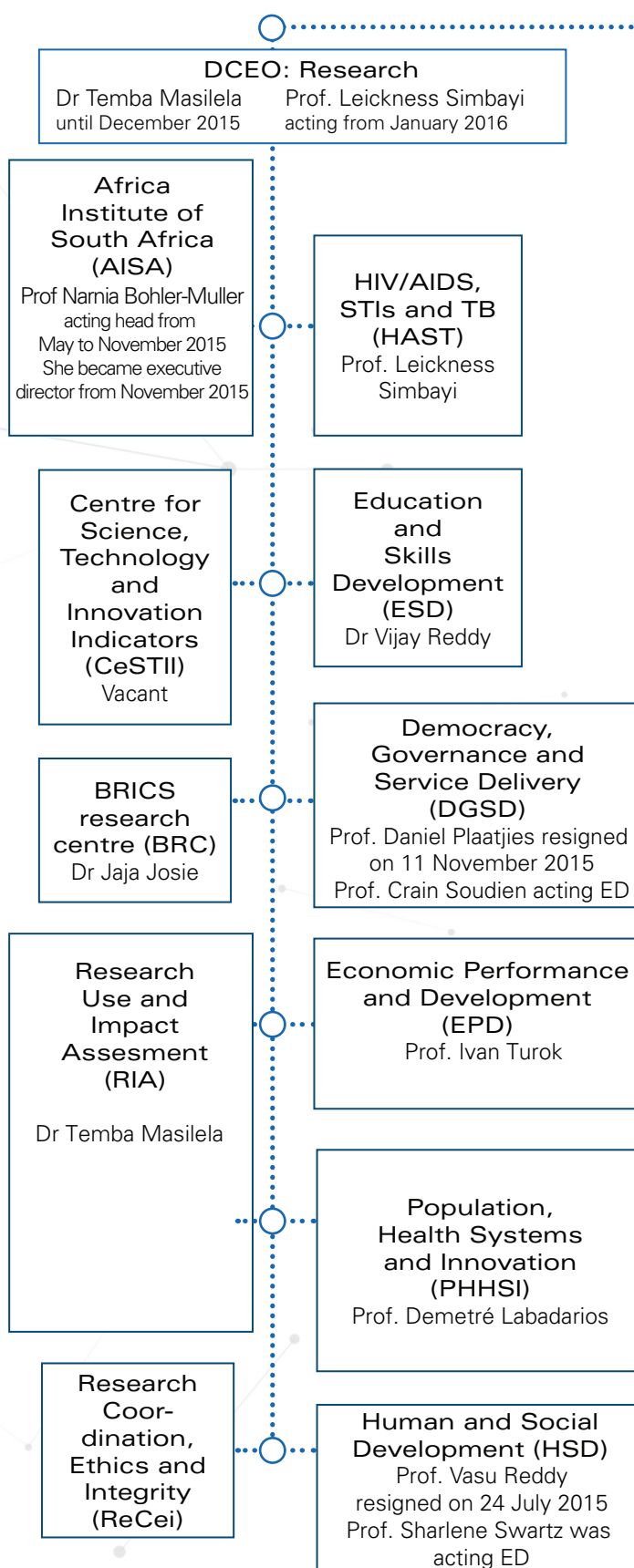
PhD, University of Georgia, Athens, USA

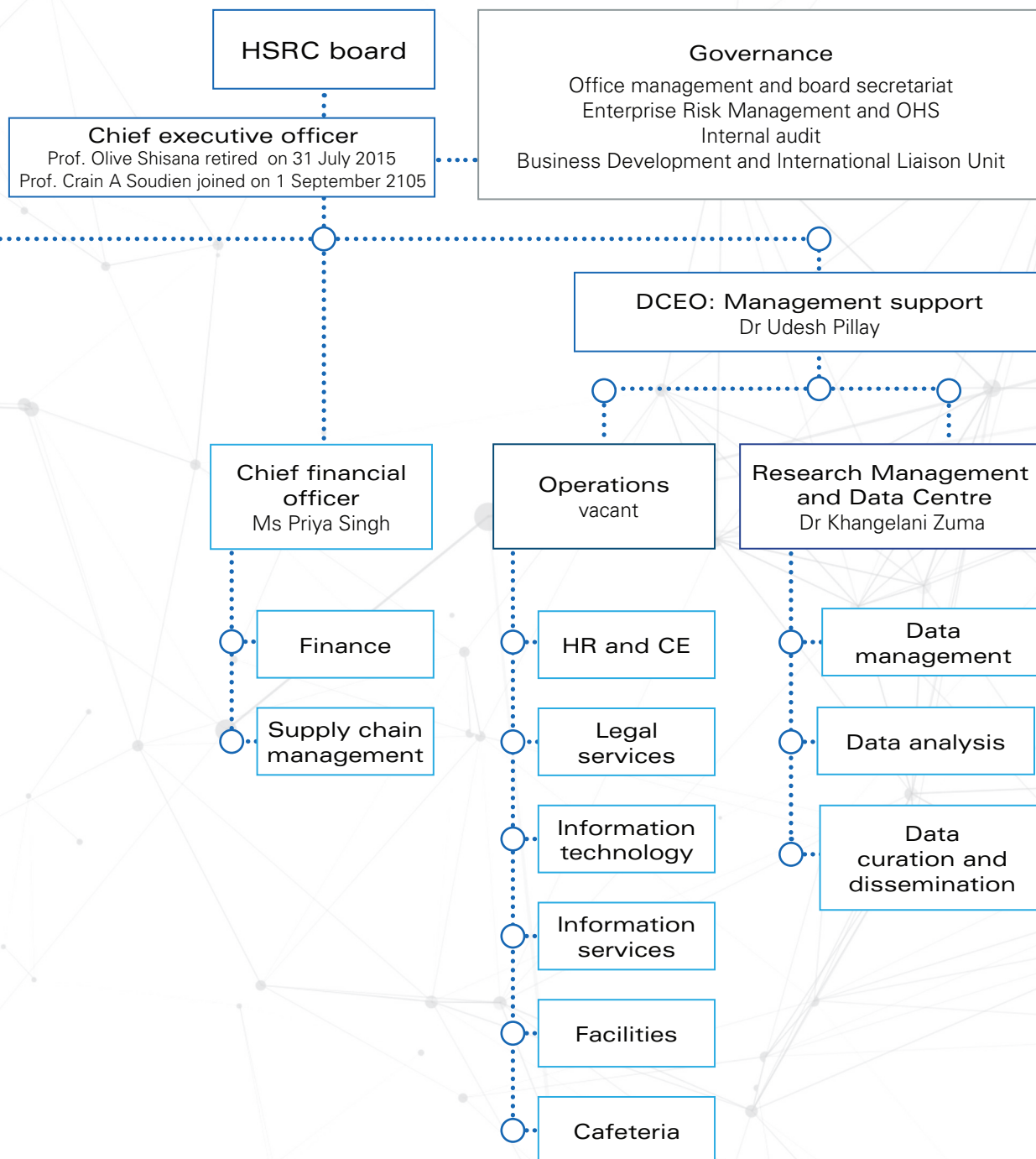
(Prof Lukhele-Olorunju resigned from the HSRC on 30 April 2015)

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

Acting Head of AISA: Prof Narnia Bohler-Muller from 1 May 2015 to mid-November 2015. She was appointed as executive director in November 2015

ORGANISATIONAL STRUCTURE





ETHICAL

LEADERSHIP



The King III report on corporate governance states that “The board should provide effective leadership based on an ethical foundation” (principle 2.3); “The board should ensure that the company is and is seen to be a responsible corporate citizen (principle 2.4); and “The board should ensure that the company’s ethics are managed effectively” (principle 2.5). The section below outlines how the HSRC Board adheres to these principles:

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

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

The fundamental objective has always been to carry out all aspects of HSRC work ethically, while building a sustainable organisation that recognises the short- and long-term effects of its activities on the economy, society, and the environment.

CORPORATE ETHICS

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

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

The chief risk officer (CRO) has been entrusted with the responsibility to facilitate management of conflict of interest risks by ensuring that board members and all HSRC employees declare their business interests annually, and as and when they acquire new interests during the course of the year.

The declared business interests are recorded in the register of interests, which is also employed in the development of the related transactions report. Interests are declared at all HSRC engagements such as interviews, bid adjudication, bid evaluation, and other management meetings.

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

In addition, as part of its Anti-Corruption Campaign initiatives, the HSRC has joined the world in commemorating and raising awareness on fraud and corruption during the Fraud Awareness Week from 15–21 November 2015, and the International Anti-Corruption Day, which has been held on 9 December every year since 2010.

The HSRC staff are encouraged to pledge their commitment to the anti-corruption act and to commit themselves to serving the institution and its stakeholders with respect, dignity, and integrity, and consistently apply the values and principles outlined in the HSRC Code of Conduct..

During the period under review, the HSRC’s Anti-Corruption Campaign focused on empowering staff to act against corruption, with the theme for the 2015/16 financial year being **‘Combating the Scourge of Corruption, Together’**.

This included presentations by thought-leaders who are experts in their fields, both in the private and public sectors:

Fraud Awareness Week (15–21 November, 2015):

- Mr Bogale Molefe, vice-president of the Association of Certified Fraud Examiners (ACFE) SA Chapter, on Conflict of Interest
- Mr Gabri Viljoen, KPMG, on Ethics including Research Ethics and Fraud Hotline.

International Anti-Corruption Campaign Day (9 December, 2015)

- Mr Peter Goss, Head of Forensics; Public Sector Leader: SizweNtsalubaGobodo Inc., on Statistical and Impact Overview of Corruption
- Ms Liezemerie Johannes, Head: Research: Corruption Watch SA, on Linkages of Money Laundering and Corruption

- Mr Jaco de Jager, CEO: ACFE SA Chapter, on The Real Message Behind Zero Tolerance
- Mr Phalalo, an ex-convict, Department of Correctional Services, on Crime Does not Pay
- Mr Wayne Poggenpoel, Manager: Business Design and Compliance, on Academic Corruption and Misconduct.

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

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

RESEARCH ETHICS AND INTEGRITY

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

RESEARCH ETHICS

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

The REC was constituted in 2003 and is the only internal institutional ethics review committee of the HSRC. The REC is registered with the National Health Research Ethics Council (NHREC) of the department of health. Toward the end of 2011/12, the NHREC audited all registered RECs. The outcome of the audit conducted on the HSRC REC was positive, and it was formally granted a permanent registration number, REC-290808-015-RA. In February 2016, the second formal annual report was submitted to the NHREC, covering the 2015 calendar year.

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

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

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

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

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

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

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

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

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

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

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

Between 1 April 2015 and 31 March 2016, the REC met 10 times via video- and teleconference, as scheduled. A total of 81 new applications were considered, of which 56 were internal to the HSRC and 23 were external. Two new applications (both internal) were formally granted exemption from full review. There were 36 requests for amendments, extensions, and additions to approved studies. Such requests are mainly triggered by a change or extension in the scope of work and coverage area. There were 10 applications for the renewal of protocols. The rate of annual ethics renewal remains low and the HSRC and the REC will continue to address this factor in the coming year.

Members of the REC and HSRC researchers are encouraged to participate in relevant training opportunities to ensure basic awareness and continuous professional development in the field of

research ethics. All members of the REC have submitted certificates of successful completion of required modules of the on-line Training and Resources in Research Ethics Evaluation* (TRREE) training programme. Applications for ethics review must be accompanied by proof of successful completion (by at least the principal investigator) of the South African module of the TRREE programme. In addition, the members of the REC, as well as HSRC staff members, benefited from the face-to-face training workshops during 2015/16. Two training sessions were held, namely, on 6 May 2015, Professor Wassenaar facilitated a full-day workshop on ethical issues and ethics review in social science research, and on 29 September 2015, a half-day workshop on ethical issues, mainly for AISA colleagues, was facilitated by Dr Mokhantšo Makoe, together with the administrator of the REC, Ms Khutšo Sithole.

RESEARCH INTEGRITY

The HSRC continues to be committed to improving and implementing research ethics and research integrity policies and procedures. The HSRC Board approved a formal policy on research integrity in 2011. The approved HSRC policy is complemented by a "Statement on dealing with allegations of research misconduct under United States Public Health Service (USPHS) research related activities for foreign institutions". Two persons, Dr Christa van Zyl and Dr Njeri Wabiri, were appointed to serve as HSRC research integrity officers (RIOs), as of February 2016. They work closely with the Deputy CEO of Research and the chairperson of the HSRC research ethics committee (REC), and benefit from collaboration with research programmes and various support units in the HSRC.

The following responsibilities are entrusted to the RIOs of the HSRC:

- Promoting the responsible conduct of research through awareness raising and capacity building activities, in collaboration with relevant resource persons, as well as research and support units in the HSRC
- Ensuring that there are procedures and systems in place to receive, appropriately assess, and correctly refer allegations of research misconduct
- Taking responsibility for record-keeping and reporting of possible cases of research misconduct, as may be required by the HSRC, as well as local and international funders, including the USA Department of Health and Human Services
- Ensuring that confidential information made available to the RIO is treated with discretion and in accordance with principles outlined in the policy on research integrity.

During the year, networking relations were established with RIOs at three higher education institutions in South Africa, to support learning and development of the RIOs. The 2015 annual report dealing with research funded by the USPHS was submitted to the US Office of Research Integrity (ORI) in March 2016. Training and awareness raising to promote responsible conduct of research continued. In August 2015, a workshop on Financial Conflict of Interest (FCOI) in Research was offered in collaboration with the manager for research integrity at UCT.

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







SUSTAINABILITY

REPORT

BUSINESS ACTIVITIES

The procurement policy and practice of the HSRC support the promotion of broad-based black economic empowerment (BBBEE) and the advancement of black-owned small and medium-sized enterprises (SMEs). Furthermore, the implementation of the supply chain management (SCM) policies and procedures across the organisation enables the disposal of assets and inventory in a socially responsible way. In addition, the HSRC is involved in research capacity development through its research intern scheme and other forms of short-term appointments. Moreover, the support service units, such as the library and information service and the communication and stakeholder relations unit provide workplace experience to students.

ENVIRONMENTAL IMPACT REVIEW

The activities and operations of the HSRC have an effect on the environment by:

- the printing of documents and research instruments
- travelling by road and air
- generating waste
- smoke emissions from the back-up generator
- electricity and water usage.

The HSRC is committed to sustainable development, and, in the endeavour to reduce its carbon footprint, staff are kept abreast of initiatives and are encouraged to identify ways of effectively using and saving resources such as energy and paper.

The following, depict the consumption of the goods and services known to affect the environment, as well as the measures to reduce the carbon footprint of the organisation:

Electricity after hours

The lights and air-conditioning units in the Pretoria building switch off automatically thanks to the building management system (BMS). In addition, to reduce energy consumption, the air-conditioning units in the building are ripped at 10:00; 13:00, and 16:00 to ensure that they are switched off when not in use. The air-conditioning units are also ripped off when the building reaches a predetermined maximum demand to ensure that no penalties are paid to the authorities for exceeding the maximum demand target of the building.

Waste management

Used fluorescent tubes are no longer simply disposed to rubbish dumps, but are stored until a full load can be collected for recycling. The recycling company issues a disposal certificate to confirm that fluorescent tubes have been disposed of in accordance with the environmental regulations.

Paper

Paper and empty boxes are collected from the HSRC buildings for recycling. In addition, all printers have been set to print double-sided only, and the HSRC publications are made available on the website and are distributed to the stakeholders on CDs. Furthermore, the stakeholders are provided with online access to research information by the data curating process and the HSRC virtual library.

Water

During the 2010/11 financial year, all hand wash basins in the building were fitted with push-type metering taps to supply only approximately three seconds of water each time the tap is pushed. This initiative, together with closer monitoring of water usage in general, contributed to a saving of approximately 50% in water consumption compared with the pre-installation period.

The annual water and sanitation consumption for 2015/2016 amounted to 22 312 KL, at a cost of R693 661.34.

Emergency standby generator

The standby generator features the latest technology, ensuring fuel efficiency and low gaseous emissions, which significantly reduce the carbon footprint.

Status report on electricity consumption

The consumption of electricity during the 2015/16 financial year amounted to 4 055 624 kWh, with no additional savings being achieved during the period. The targets for the installation of speed drives on three-phase electric motors, the installation of electronic controls on 150 fan coil units, and the upgrading to the building management system (BMS) could not be achieved owing to a lack of capital.

Unfortunately, the HSRC was unsuccessful, once again, with its medium-term expenditure framework (MTEF) request to the DST for capital funding. However, since the installation of the BMS in 1996, the HSRC has saved millions of rand on electricity.

The HSRC is committed to implementing measures to reduce consumption over the five-year period from 2012/13 to 2016/17. The HSRC prides itself in the low usage of electricity in the HSRC building in Pretoria, which is only R11.50 per square metre per month compared with most other commercial buildings that consume in excess of R15 per square metre per month.

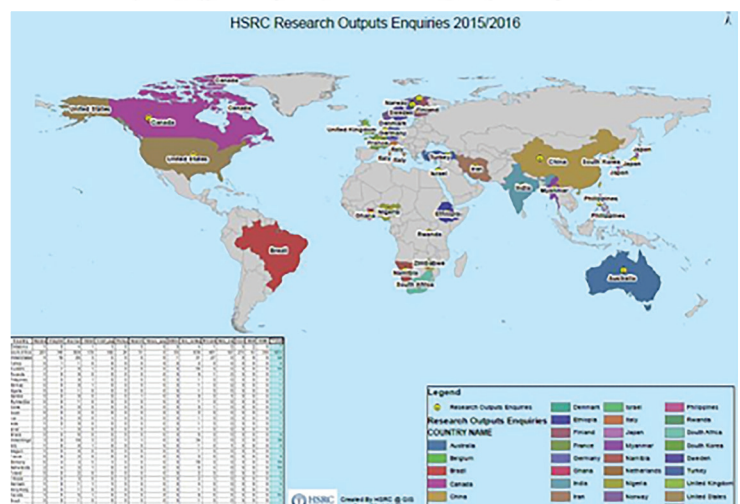
LIBRARY AND INFORMATION SERVICES (LIS)

The map shows the global reach of the HSRC research output.

The LIS has developed and launched an institutional repository that increases the visibility of the HSRC authorship nationally and internationally. This project was expedited in response to the Open Access Statement of the National Research Foundation (NRF), indicating that all NRF funded research had to be available on an open access repository.

In support of the open access movement to avail critical information to marginalised groups, LIS has hosted a seminar for stakeholders and role players, with Ms Heather Joseph, the Director of the Scholarly Publishing and Academic Resources Coalition (SPARC) USA, delivering the keynote address.

In an effort to ensure that the HSRC complies with the Promotion of Access to Information Act (PAIA), LIS has reviewed and updated the PAIA manual, and has developed guidelines and procedures. In addition, the manual was translated into Isi-Zulu and Setswana to enable access by the public through the HSRC website.





CSI AND STAKEHOLDER REPORT

This report briefly outlines how the HSRC engaged with various targeted stakeholders during the 2015/16 financial year under the following themes:

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

Over the four quarters of 2015/16, several engagements with various stakeholders.

1. **Defining and understanding stakeholders and their needs.**
2. **Profiling and positioning the HSRC and its various research programmes and units.**
3. **Developing and maintaining networks encompassing various stakeholder segments – especially parliament.**
4. **Building the HSRC's international profile:** The Business Development and International Liaison (BDIL) office is situated within the office of the chief executive officer.

THE COUNCIL FOR THE DEVELOPMENT OF SOCIAL SCIENCE RESEARCH IN AFRICA (CODESRIA)

CODESRIA held its 14th General Assembly in Dakar, Senegal, from 6–13 June 2015. The theme for this year was: 'Creating African Futures in an Era of Global Transformations: Challenges and Prospects.'

CODESRIA and the HSRC co-hosted the World Social Science Forum (WSSF) 2015 in Durban from 13–16 September. As a run-up, the two institutions participated in a session titled 'Presenting the 2015 WSSF: Transforming Global Relations for a Just World.'

A video stream of the session is available on the following link: <http://livestream.com/accounts/13794806/events/4102794/videos/89956456>



SOUTH AFRICA-SWISS BILATERAL RESEARCH CHAIR

The launch of the historic SA-Swiss Bilateral Research Chair to advance African influence in global environment health took place in June, with an address being delivered by the minister of science and technology, Ms Naledi Pandor. The event was hosted by the University of Cape Town (UCT) and the Swiss Tropical Institute/University of Basel.

This is the first research chair cofounded by another country under the umbrella of the DST/National Research Foundation (NRF) SA Research Chairs Initiative (SARChI). The HSRC has a long-standing partnership with the NRF, the Swiss Embassy, and the DST and has active MoUs with the UCT (Faculty of Health Sciences) and the University of Basel.

The initiative will be jointly chaired by Associate Professor Mohamed Aqiel Dalvie of UCT and Professor Martin Roosli of Basel. The collaboration paves the way for partnership between UCT and the Cape Peninsula University of Technology, providing a training facility for environmental health practitioners. The research topics include:

- Effects of pesticides on child health
- The effect of air pollutants on asthma
- Poor water quality and soil pollution of in an urban informal area, rural area, and an industrial area
- The relationship between climate change, ecosystems, chemical usage, health, and environmental pollution (air, water, soil) in South Africa.

HOSTING DELEGATIONS



Phoenix Publishing and Media Group (PPMG)

The China Desk at the department of international relations and cooperation (DIRCO) requested BDIL to host the Phoenix Publishing and Media Group (PPMG), travelling to South Africa, Namibia, and Kenya. PPMG is reportedly the second largest publishing company in China. A meeting took place on 15 June in Cape Town, with the purpose to discuss the potential of copyright trade between the HSRC Press, AISA Publications, and PPMG. The potential collaborative work includes copyright trade and the translation of key HSRC Press publications.

SPECIAL EVENTS

World Social Science Forum (WSSF) 2015

The HSRC, CODESRIA, and the International social science council (ISSC) convened the WSSF, held in September 2015 in Durban. HSRC participation included:

- **A Chinese Academy of Social Sciences (CASS) and HSRC joint panel discussing Social Changes and Inequality, chaired by Chen, Guangjin of the Chinese Academy of Social Sciences**

Against the BRICS background, the presentations focused on inequality and development, and the policies aiming to promote equality in China and South Africa. Presentations were given on equality in the development of ethnic minorities, level and origins of inequality, health inequality, and social transformations. In addition, scholars proposed policies toward building equal and prosperous societies, with affluent families, harmonious ethnic relations, and happy individuals.



Dr Jaya Josie (BRC) speaking during the CASS roundtable at the WSSF 2015.

- **Learning Exchanges: Tours to Cultural and Development Spaces in the City of Durban**

The city of Durban epitomises the political and social changes reflective of the continuing challenge of development to counteract inequalities. In partnership with the MILE (Municipal Institute of Learning), the Ethekwini Municipality and Durban Tourism offered two learning exchange tours:

Inner city ABM (Warwick Junction)



A view of Warwick Junction. Photo courtesy of Asiye eTafuleni.

INK ABM (INANDA HERITAGE CULTURAL TOUR)



Images reflecting the Inanda Heritage Cultural Tour. Photo courtesy of Country and Coastal Touring.

MILE chaperoned 27 international postdoctoral researchers and coordinated the learning session, which focused on urban governance and environmental sustainability.

• Mellon Foundation Grant

The University of Western Cape (UWC) and the HSRC lodged a plea to the Andrew W Mellon Foundation for a grant of \$45,000 to support fifty PhD students from previously disadvantaged backgrounds, representing seven South African universities, to participate in WSSF 2015.

THE FIRST SCIENCE FORUM SOUTH AFRICA

Several HSRC staff members attended the first Science Forum South Africa, hosted by DST, which took place in Pretoria in December 2015.

The theme was Igniting Conversations about Science. This event is inspired by others such as the Euroscience Open Forum (ESOF), the American Association for the Advancement of Science (AAAS), and the Japan Science Agora. The main objectives are:

- To create a platform for vibrant debate on the role of science, technology, innovation, and society in South Africa
- To strengthen the strategic international science, technology, and innovation partnerships of South Africa
- To create a platform for interaction by government leaders, academics, scientists, industry, civil society, and students.

The themes relevant to science and technology included:

- Responding to societal challenges
- Skills for the knowledge economy
- Showcasing South African science success stories
- Science agenda for Africa (partnerships to advance growth and development)
- The role of science in policy- and decision-making
- African eyes on the sky (astronomy in Africa, including the SKA project).

The plenary session was opened by the minister of science and technology, Naledi Pandor, and Mr Koji Omi, founder of the renowned Science and Technology in Society Forum of Japan, addressed the gathering. The keynote message was delivered by Dr Nkosazana Dlamini-Zuma of the African Union Commission.

HSRC IN SENEGAL FOR CODESRIA COLLABORATION

The HSRC and CODESRIA have enjoyed a partnership from 2006, with several collaborative activities over the past decade. In February 2016, HSRC representatives attended the 2016 CODESRIA Partnership Meeting in Dakar, Senegal. New possibilities for joint activities between the two institutions were explored, with the focus on poverty and inequality.



Some of the students supported by the Andrew Mellon Foundation grant to attend WSSF 2015.



Minister Naledi Pandor addressing the plenary session.



Dr Nkosazana Dlamini-Zuma delivering the keynote message.



Professor Ivan Turok, moderator of the panel on Responding to Societal Challenges.



Michael Gastrow presenting a talk on the SKA in the public sphere in SA.



Professor Priscilla Reddy from the HSRC PHHSI research programme.



Two images captured during the visit to Dakar, Senegal, for the CODESRIA Partnership Meeting.



THE GOVERNANCE OF RISK: RISK MANAGEMENT

The risk management policies, structures, processes, and standards of the HSRC are described in its risk management framework. The PFMA, King III principles, public sector risk management framework (national treasury), principles of the Committee of Sponsoring Organizations of the Treadway Commission (COSO), and standard 31000 of the International Organization for Standardization (ISO) are important references that inform the HSRC risk management framework.

The HSRC Board formally communicates its position on enterprise risk management by an enterprise risk management policy statement. The position is informed partly by the risk profile of the organisation, risk appetite, risk tolerance levels, the regulatory framework within which the HSRC functions, and governance requirements.

The board adopts an affirmative view and considers risk an integral part of the efforts of the HSRC toward opportunity maximisation. Accordingly, every major risk in each part of the entity has to be included in a structured and systematic process of risk management and should be actively managed in pursuit of organisational goals and objectives.

In compliance with the intentions of the strategic mandate, the HSRC Board continues to strengthen the enterprise risk management infrastructure of the organisation, namely, the risk management committee (RMC) and the audit and risk committee (ARC). These committees are chaired by respective independent directors and meetings are conducted regularly during the year. The CEO and the chief risk officer (CRO) are tasked with supporting the efforts of management toward embedding good enterprise risk management practices across the organisation. This ensures that combatting risk is the responsibility of every employee and is not reserved for management, the board, the CEO, or the CRO.

Regular risk assessments are conducted of both the research and the administration programmes of the organisation, and mitigating plans are implemented with the guidance of the RMC and ARC. The top three risks identified in both programmes are reflected in the strategic plan and the annual performance plan of the HSRC.

FRAUD AND CORRUPTION

The HSRC is committed to protecting its funds and other assets from all types of corruption and will therefore not tolerate corrupt or fraudulent activities from internal or external sources. Any detected corrupt activities will be investigated, and will be reported to the relevant authorities if required.

In addition, the HSRC recognises that its activities requires high quality scientific expertise and that this requirement, by nature, is based on prior experience and, therefore, the organisation acknowledges that having an interest does not necessarily mean having a conflict of interest. The anti-corruption objectives of the HSRC, as expressed in the risk management policy statement, are achieved by the implementation of an anti-corruption strategy.

The anti-corruption strategy facilitates the development of controls that assist in the prevention and detection of corruption. In addition, it provides guidelines on suitable response to instances where corruption are identified. The objective of the anti-corruption strategy is to give effect to the expressed commitment of the HSRC Board to prevent and respond to corruption.

The anti-corruption strategy is fully operational in the HSRC and is reviewed and updated regularly in accordance with best practices.



AUDIT AND RISK

COMMITTEE REPORT

We are pleased to present our report for the year ended 31 March 2016.

AUDIT COMMITTEE MEMBERS AND ATTENDANCE

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

Meeting attendance	Ordinary Meetings held				Special Meeting
	May 2015	August 2015	October 2015	February 2016	July 2015
Prof Enrico Uliana (Chairperson)	P	P	P	P	P
Prof Mark Bussin	P	P	P	A	A
Prof Amanda Lourens	P	P	P	P	P
Ms Crystal Abdoll	A	P	P	A	P
Ms Maemili Ramataboe	P	P	P	P	A

P: Present | A: Member absent with an apology

AUDIT COMMITTEE RESPONSIBILITY

The Committee reports that it has complied with its responsibilities arising from section 51 (1)(a)(ii) of the PFMA sections 76 and 77 of the act and the relevant national treasury regulations.

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

THE EFFECTIVENESS OF INTERNAL CONTROL

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

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

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

INTERNAL FINANCIAL CONTROLS

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

EVALUATION OF THE FINANCE FUNCTION

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

EVALUATION OF FINANCIAL STATEMENTS

The committee has:

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

The audit and risk committee concurs with and accepts the auditor-general report on the financial statements, and is of the opinion that the audited financial statements should be accepted and read together with the report of the auditor-general of South Africa.

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

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

INTERNAL AUDIT

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

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

AUDITOR-GENERAL SOUTH AFRICA

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



Prof Enrico Uliana

Chairperson: HSRC Audit and Risk Committee



HUMAN RESOURCES

MANAGEMENT

In support of the mandate of the HSRC, and in view of the skills shortage and the competition to secure the services of suitably qualified researchers, the mission and main challenge of the human resources (HR) unit is attracting, developing, and retaining highly skilled individuals. In addition, the unit endeavours to establish a culture and environment that encourages employee well-being.

The key deliverables of the HR unit are:

- Build organisational capability and optimise the deployment of staff
- Embed a culture of high performance
- Create a safe working environment that motivates staff and recognises employee well-being
- Enhance the ability to attract, develop, and retain key talent
- Ensure a continuous succession pipeline by a deliberate focus on career development and capacity building
- Maximise and maintain an effective employment relationship.

The HR unit has finalised the process of integrating the staff of the former Africa Institute of South Africa (AISA) into the HSRC:

- The remuneration parity exercise to align the job descriptions of AISA and HSRC staff was concluded, with 91% remuneration parity being achieved.
- HR policies have been harmonised.
- The pension fund options have been harmonised.
- Training has been conducted in the HSRC performance management process.
- Former AISA staff members have participated in gender and diversity workshops.

HUMAN CAPITAL EXPENDITURE

The following table summarises the overall spending on human capital for the review period.

Total Expenditure (R'000)	Personnel Expenditure (R'000)	Training Expenditure (R'000)	Study Bursaries (R'000)	Personnel Costs as a Percentage of Total Expenditure
237 007	218 875	1 859	674	93

HSRC WORKFORCE

In view of the challenges mentioned before, the number of senior research staff members, particularly who are African and female, was below the target for the 2015/16 financial year.

The following table presents the number of employees at the HSRC as at 31 March 2016.

Occupational Level	Total
Top Management	13
Senior Management	175
Professional	132
Skilled	126
Semi-skilled	87
Total	533

FOREIGN NATIONALS

The following table indicates the number of foreign nationals employed, according to occupational levels.

Occupational Level	31 March 2015		31 March 2016		Movement*
	Number	%	Number	%	
Top Management	2	5	1	3%	-1
Senior Management	27	0.675	26	70%	-1
Professionals	3	0.075	5	14%	2
Skilled	6	0.15	5	14%	-1
Semi-skilled	2	0.05	0	0%	-2
Total	40	100%	37	100%	-3

*Movement indicates an increase or decline.

EMPLOYMENT EQUITY

The HSRC is committed to transformation that reflects South African demography and has set targets to monitor progress toward achieving this objective. The Employment Equity Act is entrenched in the policies of the HR unit and its strategy and processes, such as recruitment, management of staff members infected with HIV, harassment complaints procedures, and procurement/supply chain management. The following highlights our achievements:

- Relevant to the Employment Equity Plan (EEP), the HSRC achieved 65% African representation, permeating through important occupational categories such as middle to senior management.
- As regards gender equity, 59 percent of staff was female; however, dropping from the 60% of the previous reporting period. Minimal results were achieved in respect of employing candidates with disabilities.
- The relevant employment equity reports have been submitted to the department of labour and the HSRC Board. The targets for gender and diversity awareness were met for the reporting period.

LEARNING AND DEVELOPMENT

In 2016, based on a proposal for discretionary funding submitted to the Education, Training, and Development Practices (ETDP) SETA, the learning and development (L&D) unit secured bursaries to the value of R400 000.00 for fifteen PhD interns to pursue their studies.

STAFF TRAINING

The workplace skills plan (WSP) and the annual training report (ATR) submitted to the ETDP SETA, show the number of staff that received short-course training in 2015/16. The table shows the data disaggregated by race and gender.

The following table, based on the provisions of the Employment Equity Act, presents the staff complement as at 31 March 2016, according to occupational levels, gender, and race.

Occupational Level	Male				Female				Total
	African	Coloured	Indian	White	African	Coloured	Indian	White	
Top Management	4	1	1	2	0	1	3	1	13
Senior Management	42	14	8	18	39	16	7	31	175
Professional	34	3	3	3	45	23	8	13	132
Skilled	40	4	2	2	61	6	6	5	126
Semi-skilled	36	1	0	0	45	5	0	0	87
Total	156	23	14	25	190	51	24	50	533

Distribution of male and female staff by staff complement and by staff trained according to race, 2015/16

Employee Category	Staff Complement		Staff Trained	
	N	%	N	%
Males				
Black African	157	71	56	75.7
Coloured	23	10.4	13	17.6
Indian/Asian	16	7.2	0	0
White	25	11.3	5	6.8
Total	221	100.0	74	100.0
Females				
Black African	189	60.6	77	60.2
Coloured	51	16.3	21	16.4
Indian/Asian	24	7.7	9	7.0
White	48	15.4	21	16.4
Total	312	100.0	128	100.0

Source: HSRC WSP & ATR 2015/16

EMPLOYEE WELLNESS

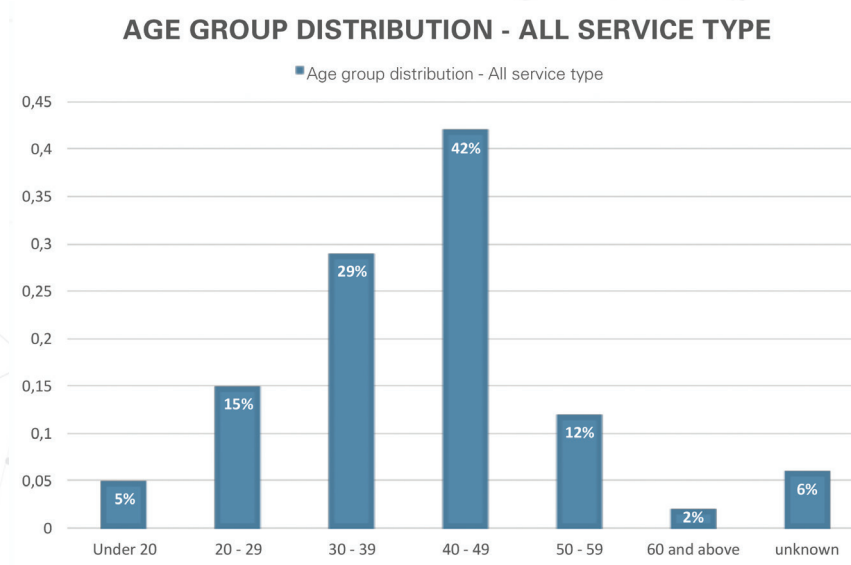
In the effort to secure the skills of suitably qualified researchers, the HSRC recognises that greater emphasis is needed on employee wellness to harness employee value proposition. Accordingly, on 1 April 2015, Right to Care Health Services (RTCHS) was appointed as the HSRC employee assistance programme (EAP) service provider. EAP is designed to enhance productivity and job performance by addressing psychosocial, legal, financial, and work-related problems. Various awareness campaigns were conducted throughout the year, and services such as financial coaching, wills and estate planning, debt management, and legal aid were offered.

HR POLICIES

The HSRC recognises the significance of the following policies:

- Communicate the values and the expectations of how things are done at the HSRC
- Ensure that the HSRC complies with the current legislation
- Document and implement best practices appropriate to the HSRC
- Support consistent treatment of staff, fairness, and transparency
- Enhance the ability to attract, develop, and retain staff
- Help management to make decisions that are consistent, uniform, and predictable
- Protect individuals and the organisation from the pressures of expediency.

The following graph illustrates the use of the EAP service according to age group.





ANNUAL FINANCIAL


STATEMENTS



Approval of annual financial statements

For the period ended 31 March 2016

I have reviewed the accompanying financial statements of the HSRC for the year ended 31 March 2016. They have been prepared in accordance with the GRAP standards and all applicable PFMA disclosure requirements have been adhered to. This set of annual financial statements represents a true reflection of the HSRC's financial performance, position and changes in cash flow movements for the financial year ended 31 March 2016.



Prof. Crain Soudien
Chief Executive Officer

Report of the auditor-general to parliament on the Human Sciences Research Council

Report on the financial statements

INTRODUCTION

1. I have audited the financial statements of the Human Sciences Research Council set out on pages 85 to 128, which comprise the statement of financial position as at 31 March 2016, the statement of financial performance, statement of changes in net assets, cash flow statement and statement of comparison of approved budget to actual results for the year then ended, as well as the notes, comprising a summary of significant accounting policies and other explanatory information.

THE ACCOUNTING AUTHORITY'S RESPONSIBILITY FOR THE FINANCIAL STATEMENTS

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

AUDITOR-GENERAL'S RESPONSIBILITY

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

OPINION

6. In my opinion, the financial statements present fairly, in all material respects, the financial position of the Human Sciences Research Council as at 31 March 2016 and its financial performance and cash flows for the year then ended, in accordance with GRAP and the requirements of the PFMA.

Report on other legal and regulatory requirements

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

PREDETERMINED OBJECTIVES

8. I performed procedures to obtain evidence about the usefulness and reliability of the reported performance information of the following selected programme presented in the annual performance report of the entity for the year ended 31 March 2016:
- Programme 2: Research Development and Innovation on pages 46 to 53
9. I evaluated the usefulness of the reported performance information to determine whether it was presented in accordance with the National Treasury's annual reporting principles and whether the reported performance was consistent with the planned programmes. I further performed tests to determine whether indicators and targets were well defined, verifiable, specific, measurable, time bound and relevant, as required by the national treasury's Framework for managing programme performance information (FMPPI).
10. I assessed the reliability of the reported performance information to determine whether it was valid, accurate and complete.
11. I did not identify any material findings on the usefulness and reliability of the reported performance information for the following programme:
- Programme 2: Research Development and Innovation on pages 46 to 53

ADDITIONAL MATTER

12. I draw attention to the following matter:

ACHIEVEMENT OF PLANNED TARGETS

13. Refer to the annual performance report on pages 46 to 53 for information on the achievement of the planned targets for the year.

COMPLIANCE WITH LEGISLATION

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

INTERNAL CONTROL

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

Auditor-General

Pretoria

28 July 2016



AUDITOR-GENERAL
SOUTH AFRICA

Auditing to build public confidence



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STATEMENT OF FINANCIAL POSITION

as at 31 March 2016

	Note	2016 March R'000	2015 March R'000
ASSETS			
Current assets			
Cash and cash equivalents	1	111 148	80 278
Trade and other receivables	2	30 389	33 043
Inventories	3	5 356	8 012
Prepayments and advances	4	2 631	6 341
VAT receivable	5	4 122	842
		153 646	128 516
Non-current assets			
Property, plant and equipment	6	219 944	207 702
Intangible assets	6	3 782	4 008
Prepayments and advances	4	1	26
Operating Lease Receivable	7	1 473	1 319
		225 200	213 055
Total assets		378 846	341 571
LIABILITIES			
Current liabilities			
Trade and other payables	8	31 159	26 435
Income received in advance	9	56 117	55 905
Provisions	11	20 733	19 368
		108 009	101 708
Non-current liabilities			
Post retirement medical aid liability	12	3 476	4 290
Operating lease accruals	7	394	818
		3 870	5 108
Total liabilities		111 879	106 816
Net assets		266 967	234 755
NET ASSETS			
Reserves		184 282	184 282
Accumulated surplus		82 685	50 473
Total Net Assets		266 967	234 755

STATEMENT OF FINANCIAL PERFORMANCE

for the Financial Year Ended 31 March 2016

	Note	2016 March R'000	2015 March R'000
Revenue		469 012	403 994
Research revenue (from exchange transactions)	14,1	159 518	123 230
Parliamentary grants (from non-exchange transactions)	14,2	270 611	245 872
Other operating revenue	15	38 883	34 892
		(436 799)	(386 918)
Expenses			
Administrative expenses	16	(48 033)	(50 957)
Research cost	17	(114 614)	(70 461)
Staff cost	18	(236 986)	(230 612)
Other operating expenses	19	(28 989)	(24 922)
Finance cost	20	(1 218)	(1 271)
Depreciation, amortisation and impairment expense	21	(6 958)	(8 695)
Surplus for the year	13	32 213	7 076

STATEMENT OF CHANGES IN NET ASSETS

for the Financial Year Ended 31 March 2016

	Note	Revaluation Reserve R'000	Total Reserve R'000	Accumulated surplus R'000	Total: Net assets R'000
Opening balance at 1 April 2014		154,925	154,925	20,241	175,166
AISA take on balance		5,337	5,337	13,204	18,541
Revaluation of assets	6.1	27,562	27,562	-	27,562
Adjustment to reserve	26			(48)	(48)
Revaluation reversal	6.1	(3,542)	(3,542)	-	(3,542)
Surplus for the period (Restated)		-	-	17,076	17,076
Restated Balance at 1 April 2015		184,282	184,282	50,473	234,755
Surplus for the period		-	-	32,213	32,213
Balance as at 31 March 2016		184,282	184,282	82,685	266,967

CASH FLOW STATEMENT

for the Financial Year Ended 31 March 2016

	Note	2016 March R'000	2015 March R'000
CASH FLOWS FROM OPERATING ACTIVITIES			
Receipts		471 670	413 096
Payments		(420 810)	(388 749)
Net cash flows from operating activities	22	50 860	24 346
CASH FLOWS FROM INVESTING ACTIVITIES			
Purchase of fixed assets		(20 155)	(9 046)
Proceeds from sale of fixed assets		164	31
AISA balance at Incorporation		-	14 799
Net cash flows from investing activities		(19 991)	5 784
CASH FLOWS FROM FINANCING ACTIVITIES			
Repayment of finance lease liability		0	(533)
Net cash flows from financing activities		0	(533)
Net increase in net cash and cash equivalents		30 869	29 597
Net cash and cash equivalents at beginning of period (1 April)		80 278	50 681
Net cash and cash equivalents at end of period	1	111 148	80 278

STATEMENT OF COMPARISON OF APPROVED BUDGET TO ACTUAL RESULTS

for the Financial Year Ended 31 March 2016

	Budget notes	2016 R'000 Actual results	2016 R'000 Approved budget	Percentage achieved	Variance R'000
Revenue		469 011	446 419	105%	22 593
Research revenue	32	159 518	157 305	101%	2 213
Parliamentary grants	32	261 935	244 576	107%	17 359
Parliamentary grants – ring fenced	32	8 675	8 675	100%	-
Other operating revenue	32	38 883	35 863	108%	3 021
Expenses		(436 798)	(446 419)	98%	9 621
Administrative expenses	32	(48 033)	(45 615)	105%	(2 418)
Research cost	32	(114 614)	(103 710)	111%	(10 904)
Staff cost	32	(236 986)	(253 535)	93%	16 549
Other operating expenses	32	(30 207)	(34 289)	88%	4 082
Depreciation, amortisation and impairment expense	32	(6 958)	(9 270)	75%	2 312
Surplus for the year		32 213	-	-100%	32 214

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

Total budget as per HSRC Strategic Plan is R481,874,000. Included in this was VAT payable on the Parliamentary grant amounting to R35,455,000, leaving a net budget of R446,419,000

Human Sciences Research Council

accounting policies

For the period ended 31 March 2016

1. Policies applied during the financial period under review

1.1. BASIS OF PREPARATION

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

The financial statements are prepared in South African Rand (R) and all values are rounded to the nearest thousand (R'000) except where otherwise indicated. The South African Rand is also the organisation's functional currency.

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

1.2. GOING CONCERN ASSUMPTION

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

1.3. OFFSETTING

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

1.4. REVENUE

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

1.4.1. Revenue from exchange transactions

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

1.4.1.1. Research revenue

Revenue that resulted from the rendering of research and related services is recognised using the stage of completion, determined according to the percentage of costs incurred to date in relation to the total estimated cost of the project. The HSRC is not a profit-making organisation

and as such, all projects are budgeted with no surplus anticipated to be earned at the end of each project. In instances where possible deficits are anticipated (to project execution challenges), negotiations are promptly held with the funder where additional funding is requested. Revenue is recognised for work in progress in instances where the probability of additional funding has been assessed as highly probable by the executive director of the research programme in which the project is being executed.

The HSRC has several funders that normally process payments for research-related activities prior to the actual research commencing. Upon receipt, a liability is raised (income received in advance), and reduced as and when costs are incurred on the respective project.

1.4.1.2. Other operating revenue

Revenue from the sale of goods is recognised when significant risk and rewards of ownership of goods are transferred to the buyer. Sale of goods incorporates sale of publications, sale of food and letting of parking space in the HSRC owned building situated in Pretoria. Revenue from royalties is recognised on an accrual basis in accordance with the substance of the relevant agreement. Rental income is recognised as revenue on a straight-line basis over the lease term.

1.4.1.3. Interest income

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

1.4.2. Revenue from non-exchange transactions

Revenue from non-exchange transaction arises when the entity receives value from another entity or government department without directly giving approximately equal value in exchange.

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

1.4.2.1. Parliamentary grants

Revenue from parliamentary grants is measured at the amount of the Medium Term Expenditure Framework (MTEF) allocation received by the entity. The grant received or receivable is recognised when the resources that have been transferred meet the criteria for recognition as revenue and there is no corresponding liability in respect of related conditions. Where such conditions associated with the grant have not been met, a liability is recognised.

1.4.2.2. Other non-exchange revenues resulting in recognition of assets

Assets and revenue arising from transfer transactions are recognised in the period in which the transfer arrangement becomes binding. Where a transfer is subject to conditions that, if unfulfilled, require the return of the transferred resources, the entity recognises a liability until the condition is fulfilled. During the period under review, the HSRC received a transfer for the procurement of mobile clinics. The assets and revenue recognised in this respect is disclosed in Notes 6 and 14.

1.5. TAXES

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

1.6. PROPERTY, PLANT AND EQUIPMENT

1.6.1. Initial recognition of cost

Property, plant and equipment (other than land and buildings and artwork) are measured at cost, net of accumulated depreciation and/or accumulated impairment losses, if any.

The cost of an item of property, plant and equipment is recognised as an asset when:

- It is probable that future economic benefits associated with the item will flow to the entity; and
- The cost of the item can be measured reliably.

Costs include costs incurred initially to acquire or construct an item of property, plant and equipment and costs incurred subsequently to add to, replace part of, or service it. If a replacement cost is recognised in the carrying amount of an item of property, plant and equipment, the carrying amount of the replaced part is derecognised. All other repair and maintenance costs are recognised in the statement of financial performance as incurred.

Land and buildings are measured at fair value less accumulated depreciation on buildings and impairment losses recognised after the date of the revaluation. Valuations of HSRC property are performed every three years based on the income capitalisation method. The market value is determined from the ability of the property to generate rental income taking into account the related expenses, the rental income which is capitalised at a market-related rate and taking into account the risk, age and condition of the property with existing buildings. Any surpluses that occur the revaluation of land and buildings are allocated to the revaluation reserve, except to the extent that it reverses a revaluation decrease of the same asset previously recognised. A revaluation deficit is recognised in the statement of financial performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

Artwork is measured at fair value less accumulated depreciation and impairment losses recognised after the date of the revaluation.

Valuations of artwork are performed every five years based on the current market value method. The market value factored into each assessment is the artist, the medium used, the size in relation to the overall aesthetic appeal (to the market) of each artwork. Any surpluses that occur the revaluation of artwork is allocated to the revaluation reserve, except to the extent that it reverses a revaluation decrease of the same asset previously recognised in the statement of financial performance. A revaluation deficit is recognised in the statement of financial performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

The revaluation surplus included in net assets in respect of an item of property, plant and equipment is transferred directly to accumulated surpluses or deficits when the asset is derecognised. This involves transferring the whole of the surplus when an asset is retired or disposed of. Transfers from revaluation surplus to accumulated surpluses or deficits are not made through surplus or deficit.

1.6.2. Depreciation of assets

Depreciation is applied on a straight-line basis, with the exception of mobile clinics that are depreciated based on mileage travelled. Specific treatment of depreciation on the respective assets are as follows:

1.6.2.1. Freehold land

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

1.6.2.2. Freehold buildings

The HSRC identified the following major components of buildings:

- Lifts
- Telephone system
- Fixtures
- Buildings

The useful lives of the various components of buildings have been assessed:

• Lifts	25 years
• Telephone system	25 years
• Fixtures	25 years
• Buildings	25 - 100 years
• Leasehold improvements	Amortized over the period of the lease

1.6.2.3. Equipment, motor vehicles and artwork

The useful lives of the various categories of equipment have been assessed:

• Office furniture	22 years
• Motor vehicles	5 years
• Computer and other equipment	5 – 22 years
• Library books and manuscripts	20 years
• Artwork	25 years
• Mobile clinics (estimated kilometres)	

1.6.2.4. Leasehold assets

These assets are depreciated over the period of the rental agreement.

1.6.2.5. Donor-funded assets

All assets that were bought with donor funds are depreciated over the shorter of the useful life or project duration.

1.6.3. De-recognition of assets

An item of property, plant and equipment is de-recognised upon disposal or when no future economic benefits are expected from its use or disposal. Any gain or loss arising on de-recognition of the asset (calculated as the difference between the net disposal proceeds and the carrying amount of the asset) is included in the statement of financial performance in the year the asset is derecognised.

1.6.4. Key estimates and assumptions applied by management

1.6.4.1. Property, plant and equipment and Intangible assets

Property, plant and equipment and Intangible assets are depreciated over their useful life taking into account residual values where appropriate. The actual of the assets and residual values assessed annually and vary depending on a number of factors. In re-assessing asset, factors such as technological innovation and maintenance programmes are taken into account. Residual value assessments consider issues such as future market conditions, the remaining life of the asset and projected disposal values.

1.6.4.2. Revaluation of property, plant and equipment

HSRC measures its land and buildings at revalued amounts with changes in fair value being recognised in statement of changes in net assets. The entity engaged independent valuation specialists to determine fair value as at 31 March 2015, thereby opening balances reported for the period ending 31 March 2016. The key assumptions used to determine the fair value of the land and buildings are further in Note 6.1 and 6.2.

1.7. INTANGIBLE ASSETS

1.7.1. Initial recognition

Intangible assets that meet the recognition criteria are stated in the statement of financial position at amortised cost, being the initial cost price less any accumulated amortisation and impairment losses.

An intangible asset is recognised when:

- it is probable that the expected future economic benefits that are attributable to the asset will flow to the entity; and
- the cost of the asset can be measured reliably.

Intangible assets are initially recognised at cost. Expenditure on research (or on the research phase of an internal project) is recognised as an expense when it is incurred.

1.7.2. Subsequent measurement

Subsequent expenditure is capitalised only when it increases the future economic benefits embodied in the asset to which it relates. The amortisation is calculated at a rate considered appropriate to reduce the cost of the asset less residual value over the shorter of its estimated useful life or contractual period. Residual values and estimated useful are reviewed annually.

Amortisation is charged to the statement of financial performance to write off the cost of intangible assets over their estimated useful, using the straight-line method as follows:

- IT software Average of 5–22 years
- User rights 20 years

1.7.3. Impairment of non-financial assets

The HSRC assesses at each reporting date whether there is any indication that an asset be impaired. If any such indication exists, the entity estimates the recoverable amount of the individual asset. If it is not possible to estimate the recoverable amount of the individual asset, the recoverable amount of the cash-generating unit to which the asset belongs is determined.

A cash-generating unit is the smallest identifiable group of assets that generates cash inflows that are largely independent of the cash inflows from other assets or groups of assets.

The recoverable amount of an asset or a cash-generating unit is the higher of its fair value less costs to sell and its value in use. If the recoverable amount of an asset is less than its carrying amount, the carrying amount of the asset is reduced to its recoverable amount. That excess is an impairment loss and it is charged to the statement of financial performance.

An impairment loss of assets carried at cost less any accumulated depreciation or amortisation is recognised immediately in the statement of financial performance. Any impairment deficit of a revalued asset is treated as a revaluation decrease in the revaluation reserve only to the extent of the existing reserve.

The HSRC assesses at each reporting date whether there is any indication that an impairment loss recognised in prior periods for assets may no longer exist or may have decreased. If any such indication exists, the recoverable amounts of those assets are estimated and matched against their carrying values and any excess of the recoverable amounts over their carrying values is reversed to the extent of the impairment loss previously charged in the statement of financial performance.

1.8. INVENTORY

Inventories are valued at the lower of cost price or net realisable value. The net realisable value is the estimated selling price, less the estimated completion costs or selling costs. Inventory consists of cafeteria consumables and publications (comprising completed books and work in progress).

Inventory is valued using the weighted average method. Cost for publications is determined by using specific identification of their individual costs.

When inventories are sold, the carrying amount of those inventories is recognised as an expense in the period in which the related revenue is recognised.

The amount of any write-down of inventories to net realisable value and all losses of inventories are recognised as an expense in the period the write-down or loss occurs.

1.9. LEASES

A lease is classified as an operating lease if it does not transfer substantially all the risks and rewards incidental to ownership. The classification of the leases is determined using GRAP 13 - Leases.

1.9.1. Operating leases – lessee

Lease agreements are classified as operating leases where substantially the entire risks and rewards incident to ownership remain with the lessor. Operating lease payments are recognised as an expense on a straight-line basis over the lease term. The difference between the amounts recognised as an expense and the contractual payments is recognised as an operating lease liability.

1.9.2. Operating leases – lessor

The HSRC presents assets subject to operating leases in the statement of financial position according to the nature of the asset. Lease revenue is recognised in with the accounting policy on revenue. The depreciation policy for depreciable leased assets is consistent with the entity's normal depreciation policy for similar assets.

1.9.3. Key judgements on operating leases

The HSRC has entered into commercial property leases on buildings. The HSRC leases its Pretoria building to the department of social development. HSRC has determined, based on evaluation of the terms and conditions of the arrangements, that it retains all the significant risks and rewards of ownership of this property and so accounts for this contract as an operating lease, with the HSRC being a lessor. On the other hand, the HSRC leases regional offices, where it does not retain all the significant risks and rewards of ownership of these properties and so accounts for these contracts as operating leases, with the HSRC being a lessee. Refer to Note 7 for more detail on the respective lease agreements.

1.10. EMPLOYEE BENEFITS

1.10.1. Short-term employee benefits

The cost of short-term employee benefits (those payable within 12 months after the service

is rendered, such as cost to company (CTC), allowances and performance bonuses) are recognised in the period in which the service is rendered and are not discounted.

1.10.2. Post-employment benefit costs

1.10.2.1. Pension funds

The entity contributes to a pension fund for the benefit of its employees. The plan is a defined contribution plan. The entity identifies as defined contribution plans, any post-employment plan in terms of which it has no obligation to make further contributions to the plan over and above the monthly contributions payable on behalf of employees (for example in the event of a funding shortfall). Contributions made towards the fund are recognised as an expense in the Statement of Financial Performance in the period that such contributions become payable. This contribution expense is measured at the undiscounted amount of the contribution paid or payable to the fund. A liability is recognised to the extent that any of the contributions have not been paid. Conversely an asset is recognised to the extent that any contributions have been paid in advance.

Pensions are provided for employees by means of two separate pension funds to which contributions are made. These are the HSRC Pension Fund (HSRCPF), and the Associated Institutions Pension Fund (AIPF).

1.10.2.2. Post-retirement medical aid benefits

The entity contributes to a medical aid for the benefit of its employees. The plan is a defined benefit plan. The cost of providing these benefits is determined based on the projected unit credit method and actuarial valuations are performed every year.

The HSRC contributed voluntarily to post-retirement medical aid benefits of specific employees who opted to remain on the previous conditions of service when the benefit was terminated. The HSRC does not provide for post-retirement medical aid benefits to any other category of employees.

1.10.3. Key estimates and assumptions applied by management

The cost of post-employment medical benefits is determined using actuarial valuations. The actuarial valuation involves assumptions about discount rates, expected rates of return of assets, future salary increases, mortality rates and future pension increases. All assumptions are reviewed at each reporting date.

1.11. FOREIGN CURRENCY TRANSACTIONS

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

A foreign currency transaction is recorded, on initial recognition in the functional currency, by applying to the foreign currency amount the spot exchange

rate between the functional currency and the foreign currency at the date of the transaction. At each reporting date foreign currency monetary items are translated using the closing rate.

Exchange differences arising on the settlement of monetary items or on translating monetary items at rates different from those at which they were translated on initial recognition during the period or in previous financial statements shall be recognised in surplus or deficit in the period in which they arise.

1.12. PROVISIONS AND CONTINGENCIES

Provisions are recognised when:

- HSRC has a present obligation as a result of past events;
- probable that an outflow of resources embodying economic benefits or service potential will be required to settle the obligations; and
- a reliable estimate can be made of the obligation.

Provisions are not recognised for future operating losses. If the HSRC has a contract that is onerous, the present obligation under the contract is recognised and measured as a provision. Contingent assets and contingent liabilities are not recognised.

Provisions are measured as the present value of the estimated future outflows required to settle the obligation. In the process of determining the best estimate of the amounts that will be required in future to settle the provision management considers the probability of the potential outcomes of the provisions raised, and provides the best estimate required to settle the provision.

1.13. FINANCIAL INSTRUMENTS

1.13.1. Trade and other receivables

Trade receivables are measured at initial recognition at fair value, and are subsequently measured at amortised cost using the effective interest rate method. Appropriate allowance for estimated irrecoverable amounts are recognised in profit or loss when objective evidence that the asset is impaired. Significant financial difficulties of the debtor, and default or delinquency in payments (more than 120 days overdue) are considered indicators that the trade receivable is impaired. The allowance recognised is measured for all debtors with indications of impairment.

The carrying amount of the asset is reduced the use of an allowance account, and the amount of the loss is recognised in the statement of financial performance operating expenses. When a trade receivable is uncollectable, it is written off against the allowance account for trade receivables. Subsequent recoveries of amounts previously written off are credited against operating expenses in the Statement of Financial Performance.

1.13.2. Trade and other payables

Trade and other payables are initially measured at fair value, and are subsequently measured at amortised cost using the effective interest rate method.

1.13.3. Cash and cash equivalents

Cash and cash equivalents in the statement of financial position comprise cash at banks and on hand, including investments and short-term deposits with an original maturity of three months or less. For the purpose of the cash flow statement, cash and cash equivalents consist of cash and cash equivalents as defined above, net of outstanding bank overdrafts.

1.14. RELATED PARTIES

The HSRC operates in an economic sector currently dominated by entities directly or indirectly owned by the South African government. As a consequence of the constitutional independence of the three spheres of government in South Africa, only entities within the national sphere of government are considered related parties.

Key management is defined as being individuals with the authority and responsibility for planning directing and controlling the activities of the entity. We regard all individuals, from the level of executive management and council members as key management the definition of the financial reporting standard.

Close family members of key management personnel are considered to be those family members who may be expected to influence, or be influenced by key management individuals, in their dealings with the entity.

1.15. COMPARATIVE FIGURES

When necessary, comparative figures have been adjusted to conform to changes in presentation in the current period. The nature and reason for such reclassifications and restatements are also disclosed.

1.16. PREPAYMENTS AND ADVANCES

Payments made in advance to suppliers are in respect of goods and services in line with the business of the entity. An item will be recognised as a prepayment if the payment was made in advance and at the reporting period these goods and services had not been delivered or rendered to the entity. There is no contractual right to receive a refund in cash or another financial instrument from the suppliers.

1.17. IRREGULAR FRUITLESS AND WASTEFUL EXPENDITURE

Irregular expenditure means expenditure incurred in contravention of, or not in accordance with, a requirement of any applicable legislation, including:

- The PFMA (Act No. 1 of 1999); or
 - The State Tender Board Act (Act No. 86 of 1968)
- Fruitless and wasteful expenditure means expenditure that was made in vain and would have been avoided had reasonable care been exercised. All irregular, fruitless and wasteful expenditure is recognised against the specific class of expense to which it relates and disclosed in a note to the financial statements when it has been identified.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
1 Cash and cash equivalents		
Cash at bank	16 971	8 188
Cash on hand	92	72
Short-term Investments*	94 084	72 019
	<u>111 148</u>	<u>80 278</u>

**Included in the short-term investments are funds received from HSRC funders, for various research projects. These funds had not been utilized as at 31 March 2016.*

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
2 Trade and other receivables		
Trade receivables	29 750	30 359
Other receivables	2 098	3 093
Less: Impairment allowance	(1 459)	(409)
Balance at 31 March	30 389	33 043
2.1.1 Ageing of trade receivables		
Current (0-30 days)	27 346	26 933
31-60 days	919	2 571
61-90 days	19	131
91-120 days	302	337
+ 121 days	1 164	387
Balance at 31 March	29 750	30 359
Ageing of other receivables		
Current (0-30 days)	391	1 529
31-60 days	75	23
61-90 days	39	40
91-120 days	16	5
+ 121 days	1 577	1 496
Balance at 31 March	2 098	3 093
2.1.2 Impairment allowance: Ageing		
+ 121 days	(1 459)	(409)
Balance at 31 March	(1 459)	(409)
2.2.1 Reconciliation of the Impairment allowance		
Balance at beginning of the year	(409)	(2 595)
Bad debts (recovered)/written off	1 179	(1 241)
Impairment movement	(2 229)	3 427
Balance at 31 March	(1 459)	(409)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
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2 Trade and other receivables (Continued)

2.2.2 Trade and other receivables past due but not impaired

Trade and other receivables which are less than 3 months past due payment period of 30 days but are not considered to be impaired. At 31 March 2016, R1 370 000 (2015: R3 107 000) was past due date but not impaired.

The ageing of amounts past due date but not impaired is as follows:

30 days past due	994	2 594
60 days past due	58	171
90 days past due	318	342
	1 370	3 107

2.2.3 Trade and other receivables impaired

As at 31 March 2016, trade and other receivables of R1 459 000 (2015: R409 000) were impaired and provided for. The ageing of these receivables is as follows:

Over 180 days	1 459	409
	1 459	409

The fair value of trade receivables approximates their carrying amounts.

3 Inventories

Finished goods **

Publications

Cafeteria

Work in progress *

5 195	7 527
5 071	7 353
124	174
161	485
5 356	8 012

* Work in progress consists of books in production.

** Finished goods are taken into account when computing costs of goods sold, as noted below:

Cost of goods sold

HSRC and AISA Press (publications)

Cafeteria

2 385	1 384
5 303	4 394
7 688	5 778

Cafeteria cost of goods sold include costs incurred for internal sales relating to conferences and workshops.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
4 Prepayments and advances		
Prepayments and advances (short term)*	2 631	6 341
Prepayments and advances (long term) **	1	26
Total	2 632	6 367
* Short-term prepayments are largely made up of subscriptions to software and research journals.		
** The long-term portion of prepayments is in respect of computer warranties.		
5 VAT receivable		
VAT input	4 122	842
VAT receivable	4 122	842
6 Summary of Property, Plant & Equipment		
Land and buildings	177 750	179 942
Leasehold improvements	8	278
Artwork	1 605	1 676
Motor vehicles	18 548	5 659
Office furniture	8 247	8 452
Equipment	6 475	4 288
Computer equipment	6 851	7 297
Medical equipment	460	110
	219 944	207 702
Summary of intangible assets		
Software	1 975	2 068
Usage rights	1 807	1 940
	3 782	4 008

For detailed disclosures refer to Notes 6.1 to 6.3

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

6.1 Property, plant and equipment

Balance as at 31 March 2016	Total R'000	Land and Buildings R'000	Leasehold Improvements R'000	Artwork R'000	Motor vehicles R'000	Office furniture R'000	Equipment R'000	Computer Equipment R'000	Medical R'000
Reconciliation of carrying value									
Opening net carrying amount	207 702	179 942	278	1 676	5 659	8 452	4 288	7 297	110
Gross carrying amount	267 180	196 058	3 759	2 123	7 791	13 172	13 588	28 596	2 093
Accumulated depreciation	(59 478)	(16 116)	(3 481)	(447)	(2 132)	(4 720)	(9 300)	(21 299)	(1 983)
Additions and revaluations	22 711	-	18	-	16 702	219	3 046	2 326	400
Capitalized from work in progress	3 534	-	-	-	3 412	-	-	122	-
Additions	19 177	-	18	-	13 290	219	3 046	2 204	400
Assets reclassification	(3 534)	-	-	-	(3 412)	-	-	(122)	-
Cost	(3 534)	-	-	-	(3 412)	-	-	(122)	-
Accumulated depreciation	-	-	-	-	-	-	-	-	-
Disposals	(458)	-	-	-	(263)	(19)	(4)	(166)	(6)
Cost of disposal	(2 398)	-	(65)	-	(538)	(31)	(60)	(1 566)	(138)
Accumulated depreciation of disposal	1 940	-	65	-	275	12	56	1 400	132
Depreciation	(6 477)	(2 192)	(288)	(71)	(138)	(405)	(855)	(2 484)	(44)
Closing net carrying amount	219 944	177 750	8	1 605	18 548	8 247	6 475	6 851	460
Gross carrying amount	283 959	196 058	3 712	2 123	20 543	13 360	16 574	29 234	2 355
Accumulated depreciation	(64 015)	(18 308)	(3 704)	(518)	(1 995)	(5 113)	(10 099)	(22 383)	(1 895)
Historical cost would have been:	86 274	85 141		1 133					

The land is registered as Stand 3242 Pretoria, measuring 7 655 m². Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. building classification combines land, lifts, telephone systems, fixtures and buildings. This also consists of a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 01 November 2014 by an independent valuer, Mr. Mongodi Pitso of Djalalo Valuation Services Management (Pty) Ltd, using the discounted cash flow analysis (DCF) method. In the DCF analysis the lease income is discounted for the total lease period at a discount rate deemed appropriate. The total of the net cash flows equates to the net present value of the property. Market-related capitalisation rates in the Pretoria CBD range between 9.90% for A-grade properties 12.40% for C-grade. A capitalisation rate of 11.50% was applied. Application of the R157 bond rate as per the date of valuation as well as the relevant sector and risk factors resulted in a total discount rate of 16.45%.

The building is not held as security for any obligations. Artwork belonging to the HSRC was also revalued on 31 March 2015. The valuation was performed by Mr. Gerrit Dyman of Absolut Art Gallery by observing similar artwork in the market and the price such artwork on the valuation date.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

6.1.1 Property, plant and equipment (continued)

Balance as at 31 March 2015	Total R'000	Land and Buildings R'000	Leasehold Improvements R'000	Artwork R'000	Motor vehicles R'000	Office furniture R'000	Equipment R'000	Computer Equipment R'000	Medical Equipment R'000	Library Books and manuscripts R'000
Reconciliation of carrying value										
Opening net carrying amount	176 981	152 437	961	1 403	2 476	8 371	4 091	7 133	109	
Gross carrying amount	234 920	166 638	3 753	1 781	4 317	12 246	12 471	31 626	2 088	
Accumulated depreciation	(57 939)	(14 201)	(2 792)	(378)	(1 841)	(3 875)	(8 380)	(24 493)	(1 979)	
Additions and revaluations										
Revaluation adjustment	36 495	29 070	19	354	3 412	187	659	2 789	5	
Additions	27 563	27 209	19	354	3 412	187	659	2 789	5	
AISA Additions										
Cost	7 361	350	-	-	133	1 066	-	1 817	-	3 995
Accumulated depreciation	10 479	350	-	-	190	2 132	-	3 633	-	4 174
	(3 118)	-	-	-	(57)	(1 066)	-	(1 816)	-	(179)
Disposals										
Cost of disposal	(5 534)	-	(4)	(10)	(92)	(610)	(258)	(565)	-	(3 995)**
Accumulated depreciation of disposal	(14 714)	-	(13)	(12)	(128)	(1 127)	(936)	(8 324)	-	(4 174)
	9 180	-	9	2	36	517	678	7 759	-	179
AISA Reclassification										
Cost	-	-	-	-	-	(133)	697	(564)	-	-
Accumulated depreciation	-	-	-	-	-	(266)	1 394	(1 128)	-	-
	-	-	-	-	-	133	(697)	564	-	-
Depreciation										
	(7 601)	(1 915)	(698)	(71)	(270)	(429)	(901)	(3 313)	(4)	
Closing net carrying amount	207 702	179 942	278	1 676	5 659	8 452	4 288	7 297	110	
Gross carrying amount	267 180	196 058	3 759	2 123	7 791	13 172	13 588	28 596	2 093	
Accumulated depreciation	(59 478)	(16 116)	(3 481)	(447)	(2 132)	(4 720)	(9 300)	(21 299)	(1 983)	
Historical cost would have been:	88 265	87 061		1 204						

The land is registered as Stand 3242 Pretoria, measuring 7 655 m², Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. building classification combines land, lifts, telephone systems, fixtures and buildings. This also consists of a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 01 November 2014 by an independent valuer, Mr. Mongodi Pitso of Dijalo Valuation Services Management (Pty) Ltd, using the discounted cash flow analysis (DCF) method. In the DCF analysis the lease income is discounted for the total lease period at a discount rate deemed appropriate. The total of the net cash flows equates to the net present value of the property. Market-related capitalization rates in the Pretoria CBD range between 9.90% for A-grade properties 12.40% for C-grade. A capitalization rate of 11.50% was applied. Application of the R157 bond rate as per the date of valuation as well as the relevant sector and risk factors resulted in a total discount rate of 16.45%. The building is not held as security for any obligations.

** Being derecognition of library books

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

6.2 Intangible assets

Balance as at 31 March 2016

Reconciliation of carrying value

Opening net carrying amount

Gross carrying amount
Accumulated depreciation

Additions

Additions

Disposals

Cost of disposal
Accumulated depreciation of disposal

Amortization

Amortization

Closing net carrying amount

Gross carrying amount
Accumulated depreciation

Total R'000	Software R'000	Usage rights R'000
4 008	2 068	1 940
9 899	7 236	2 663
(5 891)	(5 168)	(723)
978	978	-
978	978	-
(723)	(723)	-
(4 895)	(4 895)	-
4 172	4 172	-
(481)	(348)	(133)
(481)	(348)	(133)
3 782	1 975	1 807
5 982	3 319	2 663
(2 200)	(1 344)	(856)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

6.2 Intangible assets

Balance as at 31 March 2016

Reconciliation of carrying value

Opening net carrying amount

Gross carrying amount
Accumulated depreciation

Additions and revaluations

Additions processed in the year

AISA Additions

AISA addition - Cost
AISA additions - Accumulated Depreciation

Amortisation

Amortisation

Closing net carrying amount

Gross carrying amount
Accumulated depreciation

Total R'000	Software R'000	Usage rights R'000
4 423	2 349	2 074
9 559	6 896	2 663
(5 136)	(4 547)	(589)
114	114	-
114	114	-
112	112	-
226	226	-
(114)	(114)	-
(641)	(507)	(134)
(641)	(507)	(134)
4 008	2 068	1 940
9 899	7 236	2 663
(5 891)	(5 168)	(723)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
7 Operating lease receivables and accruals		
<i>Operating Lease Receivables - Lessor</i>		
Opening Balance 1 April	1 319	-
Movement for the year	154	1 319
Balance at 31 March	1 473	1 319
<i>Operating Lease Accruals - Lessee</i>		
Opening Balance 1 April	(818)	(1 057)
Movement for the year	424	239
Balance at 31 March	(394)	(818)
7.1 Operating lease arrangements as the lessee:-		
7.1.1 Future minimum lease payments		
<u>Up to 12 months</u>		
Cape Town lease	2 101	4 011
Durban lease	1 440	114
Port Elizabeth lease	437	320
Sweetwaters lease	130	107
CSIR - Disaster Recovery Site	69	47
	4 177	4 599
<u>1 year to 5 years</u>		
Cape Town lease	-	2 101
Durban lease	2 645	-
Port Elizabeth lease	306	588
Sweetwaters lease	645	-
CSIR - Disaster Recovery Site	35	70
	3 631	2 759

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

7.1.2 Other disclosures

Cape Town lease

The HSRC has leased office space from Old Mutual Life Assurance Company (South Africa) (Pty) Ltd at Plein Street, Cape Town, portions of the 10th, 14th and 16th floors and the entire 12th and 13th floors. Ownership of this property has since changed effective 07 April 2016 to Truworths Limited. The agreement is for a five year period effective from 01 October 2011 and culminating on 30 September 2016. The current lease payment per month is R350,194.41 (VAT excluded). The contract includes an annual escalation of 9% (compounded) annually. The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the lease agreement.

Durban lease

The HSRC has leased property in Durban from Roelan Trading 45 (Proprietary) Limited situated at Erf 21 (of 1) of Erf 2128 Durban, Portion 16 of Erf 2133 Durban, Portion 18 (of 1) of Erf 2128 Durban, Rem of Portion of Erf 2133 Durban. The lease agreement is for 3 years effective from 1 December 2015 and expires on 30 November 2018. The contract includes an escalation clause of 8% (compounded) annually. The current lease payment per month is R116,856.19 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the same lease agreement.

Port Elizabeth lease

The HSRC is leasing a property from the Growthpoint Securitization Warehouse Trust (The ownership of this property was transferred to Africorp International Properties (PTY) LTD effective 12 February 2016), situated at Mount Road, Fairview Office Park, Port Elizabeth. The lease agreement is effective from 1 November 2014 and expires on the 30th of November 2017. The current lease payment is R28,031.87 per month (VAT excluded). The contract includes an annual escalation of 7.4% (compounded) annually. The HSRC does not have the option to acquire the building but has an option to renew the same lease agreement.

The HSRC is also leasing a property from Monsoon Partnership for HIV Research studies (research project), situated at Rink Street, First Floor, Port Elizabeth, the lease commenced on 1 December 2015 and expires on 30 November 2017. The current lease payment is R7,500.00 per month (VAT excluded). The contract includes an annual escalation of 6% (compounded) annually. The HSRC does not have the option to acquire the building but has an option to renew the same lease agreement.

Sweetwaters lease

A lease agreement was signed between HSRC and Mr. FA Bhalya in respect of a property referred to as Sweetwaters Bus Depot. The agreement came into operation on 1 March 2008 and was valid for 5 years. The lease agreement was renewed on 1 March 2013 for an additional 3 years, and expired on 29 February 2016, after which it has been renewed for another 5 years. The current lease payment per month is R10,717.95 (VAT excluded). The contract includes an annual escalation of 10% (compounded) annually. The HSRC does not have the option to acquire the building.

Council for Scientific and Industrial Research (CSIR) lease

The HSRC has leased property in The CSIR located in Building 14, Scientia. Total space acquired is 63 sq. metres utilized as a disaster recovery site. The lease agreement was renewed on 1 October 2014 for a period of 3 year expiring on 30 September 2017. The contract has a fixed rental amount with no escalation clause. The current lease rental payment per month is R5,787.07 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the same lease agreement.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
7.2 Operating Lease arrangements as the lessor:-		
7.2.1 Future minimum lease payments		
Up to 12 months		
Department of public works lease	20 311	18 806
1 year to 5 years		
Department of public works lease	1 703	22 014

Other disclosures

Department of public works lease (Pretoria)

The operating lease is undertaken between the HSRC (the lessor) and the department of public works (the lessee) on behalf of the department of social development. The leased building is situated at 134 Pretorius Street, Pretoria. The existing contract was signed on 30 May 2014 for a 3 year period, with a commencement date of 01 May 2014. Monthly rental receivable is R1, 703 136.32 (excluding VAT), with an escalation clause of 8% compounded annually.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
8 Trade and other payables		
Trade creditors	7 376	5 556
Accruals	23 782	20 878
	<u>31 159</u>	<u>26 435</u>

Note

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

	2016 March R'000	2015 March R'000
9 Income received in advance		
Bill & Melinda Gates Foundation	830	1 199
City of Tshwane	140	140
Department of higher education	45	-
University of California	95	232
Department of science and technology	32 071	28 010
Department of rural development	1 071	1 071
Hilton Foundation	2 464	6 291
International Development Research Centre	21	1 998
Elma Foundation	382	-
Going to Scale	694	624
Other projects/funding agencies	15 736	10 762
NACOSA	-	1 001
HIVOS International	-	909
SANRAL	720	340
SANAC	920	2 825
Global Development Network	895	-
USAID	5	300
Ford Foundation	27	203
	<u>56 117</u>	<u>55 905</u>

Note

Income received in advance relates to research work where funding has been received from the funder and the research work was not yet completed as at 31 March 2016. Research activities pertaining to these funds are envisaged to be completed within the next 12 months.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
10 Capital and expenditure commitments		
Approved and contracted	51 455	50 770
Total commitments	<u>51 455</u>	<u>50 770</u>
Capital expenditure	2 231	251
Operational expenditure	49 224	50 519
Total	51 455	50 770
Less than 1 year	36 744	40 238
More than 1 year	14 711	10 532
Total	51 455	50 770

Most of the commitments are project related expenses (funded by the various funders).

11 Provisions		
Performance bonus	6 095	4 878
Provision for leave	14 638	14 490
	20 733	19 368

Leave pay provision reduces when an employee takes official leave days or leaves the HSRC and the leave is paid out to the employee. Performance bonuses are paid annually for good staff performance after performance appraisals are completed and moderated.

Analysis of movements in provisions

Provision for leave

Opening balance

Additional provision	16 978	17 931
Amounts paid out during the year	(1 996)	(2 361)
Amounts utilised during the year	(14 834)	(14 381)

Closing balance

14 490	13 301
<u>14 638</u>	<u>14 490</u>

Performance bonus

Opening balance

Additional provision	6 429	5 173
Amounts paid out during the year	(5 212)	(4 683)

Closing balance

4 878	4 388
<u>6 095</u>	<u>4 878</u>

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

12 Post-retirement medical benefits

12.1 Defined contribution plan

The HSRC has the following post-retirement medical aid obligations as at 31 March 2016.

	2016 March R'000	2015 March R'000
Present value of obligation	3 476	4 290
Liability recognised in the balance sheet	3 476	4 290
Reconciliation of defined benefit obligation (DBO)		
Present value of obligation at beginning of year	4 290	2 842
Alisa liability brought forward	-	1 026
Interest cost	301	305
Current service cost	12	8
Benefits paid	(504)	(504)
Gain/ (loss) from change in financial assumptions	(623)	613
Gain from change in demographic assumptions	-	-
Experience gains	-	-
Present value of obligation at year end	3 476	4 290

12.2 Liabilities

The liabilities for the HSRC with regard to subsidies in respect of continuation member healthcare costs can reasonably be regarded as the following:

- The liability in respect of existing continuation members
- The liability in respect of members in active employment

"HSRC offers employees and continuation members the opportunity to belong to a medical aid scheme, which in turn offers a range of options pertaining to levels of cover. Upon retirement an employee may continue membership of the medical scheme, and upon death of a member in service or in retirement, the surviving dependants may continue membership of the medical scheme. "

"Members contribute at a rate according to tables of contribution rates which differentiate between them on the type and number of dependants. Some options also differentiate on the basis of income.

The eligible employees were entitled to receive a subsidy of 50% of their medical scheme contributions at retirement. However, at retirement, the Employer's subsidy is fixed in Rand terms. Continuation members are subsidised on the same principle. "

The previous assessment of the liability with regard to subsidies in respect of continuation member healthcare costs was done on 31 March 2015. The next assessment of the liabilities needs to be performed at the next financial year end, being 31 March 2017.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

12.3 Particulars of the liabilities

Current Discovery Health continuation member receive a fixed employer subsidy which does not increase with medical inflation. For married continuation pensioners, the subsidy amount remains fixed and does not decrease. The AISA and HSRC post retirement medical subsidy benefit schemes were combined from 1 April 2014. The consolidated scheme now has a net discount rate of 0.85% per annum for participants whose employer subsidies are a function of increasing medical contributions and 9.2% per annum for participants who are on a fixed monetary subsidy.

12.4 Particulars of the liabilities

The membership details of the members in active employment and who are entitled to a subsidy after continuation as at reporting date:

	Number of members		Average past service - years	
	2016	2015	2016	2015
Male members (age band: 45-49)	1	1	25,2	24,2
Total/weighted average	1	1	25,2	24,2

The average age of these members was 49 years as at 31 March 2016, compared 48 years in respect of the active members as at 31 March 2014. Average monthly employer contributions: 2016 - R 4,026.00 (2015 - R 3,596.00) Details of the continuation members (being members no longer employed by the HSRC) as at reporting date:

	Number of members		Average premium principal member per month - R's		Average weighted age - years	
	2016	2015	2016	2015	2016	2015
Total/weighted average	74	79	518	536	80,7	80,0

The table below summarises the profile of the continuation pensioners subsidised by HSRC as at 31 March 2016:

Age band: 50 - 54	0	Age band: 75 - 79	22
Age band: 55 - 59	1	Age band: 80 - 84	25
Age band: 60 - 64	1	Age band: 85 - 89	10
Age band: 65 - 69	1	>90	6
Age band: 70 - 74	7		

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

12 Post-retirement medical benefits (Continued)

12.5 Key Financial Assumptions

12.5.1 Summary Assumptions

The economic assumptions for the 31 March 2016 valuation are shown in the table below, and compared to those used as at the previous valuation date.

	% per annum	
	2016	2015
Discount rate	9,20	7,45
Healthcare cost inflation rate - in service employees	8,28	7,17
Consumer Price Index	6,78	5,17
Net discount rate	0,85	0,26

12.5.1.1 Discount Rate

GRAP 25 requires that the discount rate used in the valuation be determined by reference to market yields on government bonds as at the reporting date. The currency and term of the government bonds shall be consistent with the currency and estimated term of the post-employment benefit obligations.

At the previous valuation date, 31 March 2015, the duration of the liabilities was 8.44 years. At this duration, the discount rate determined by using the Bond Exchange Zero Coupon Yield Curve as at 31 March 2016 is 9.20% per annum.

12.5.1.2 Healthcare cost inflation

A Healthcare cost inflation rate of 8.28% was assumed. This is 1.5% in excess of the expected inflation over the expected term of the liability, at 6.78%. However it is the relative levels of the discount rate and healthcare inflation to one another that are important, rather than the nominal values. We have thus assumed a net discount factor of 0.85% per annum.

12.5.1.3 Decrement Assumptions

We have applied the same pre-retirement mortality table of SA85-90 and post-retirement mortality table of PA(90) in the current valuation period as the previous valuation.

12.5.2 Key Demographic Assumptions

The demographic assumptions were consistent in the previous and current valuation period, and are as noted below:

Normal retirement age - 60 years		
Employment age used for past service period:	Actual service entry ages	
Assumption	Active employees	Continuation pensioners
Age difference between spouses	3 years	
Proportion married in retirement	Proportion married table	Actual marital status used
Example at stated date		Proportion married (male and female)
20		1,30%
25		12,90%
30		48,30%
35		70,20%
40		80,90%
45		84,70%
50		84,90%
55		86,00%
60		90,00%

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

12 Post-retirement medical benefits (continued)

12.5 Key financial assumptions (continue)

12.5.3 Continuation percentages

It was assumed, in the previous valuation and current valuation, that continuation of the post-employment healthcare subsidy would be at 100% at retirement age.

12.5.4 Income brackets at retirement

It is fairly common to expect a continuation pensioner's income to be lower than the income earned just prior to retirement. The difference between the income after retirement and the income just prior to retirement is referred to as the Net Replacement Ratio (NRR). The NRR is used to reduce the expected salary on retirement. We have assumed a NRR on retirement of 75%. A salary inflation assumption is used to adjust the salary from the current date to the date of retirement. This assumption should be considered in conjunction with the assumed CPI rate.

12.5.5 Withdrawal and ill health assumptions

The withdrawal assumptions have been set in line with those generally observed in the South African market. They are consistent with the previous valuation period, and noted on the table below:

Age	Males
20	13,30%
25	13,30%
30	10,90%
35	8,20%
40	5,80%
45	4,10%
50	2,90%
55+	0,00%

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

12 Post-retirement medical benefits (continued)

12.6 Summary of valuation methods

12.6.1 Liability valuation method

The liability is taken as the present value of the employer's share of active employee contributions projected into the future using the probability of survival to retirement age and beyond, taking into account the assumed rates of withdrawal and mortality. For each future continuation pensioner, the liability stops when the continuation pensioner and any remaining spouse are assumed to have died.

For each active member, this projection is based on the probability of survival to retirement age and beyond, taking into account the assumed rates of withdrawal and mortality. For each pensioner, the liability stops when the pensioner and any remaining spouse are assumed to have died.

12.6.2 Valuation method

In accordance with the requirements of GRAP25, the Projected Unit Credit method of funding has been applied. The assumption underlying the funding method is that the employer's post-employment medical scheme costs in respect of an employee should be fully recognised by the time that the employee reaches fully his/her accrued age.

Although this liability only vests at retirement (or to remaining beneficiaries in the event of earlier death in early retirement age) and is not necessarily affected by the length of service that an employee has had with the employer, accounting standards require that the liability for in-service employees accrue uniformly while in service.

The Employer's liability is taken as the present value of the obligation to settle post employment health care contributions excluding the portion of contributions funded by the continuation pensioners.

It has been assumed that the medical contribution subsidies will increase in line with healthcare cost inflation. We have made no allowance for volatility in the contributions due to fundamental changes in the underlying demographics of the scheme.

Basis of valuation

The liability has been valued on a contribution basis, where the liability is valued as the present value of the post-employment medical scheme contributions, in respect of the active employees and the continuation pensioners.

12.7 Analysis of past year and future projected liability

	Year ending 31/03/2015 R'000	Year ending 31/03/2016 R'000	Year ending 31/03/2017 R'000
Opening accrued liability	2 842	4 290	3 476
AISA Liability	1 026		
Current service cost	8	12	15
Interest cost	305	301	299
Actuarial loss/ (gain)	613	(623)	-
Total annual expense	926	(310)	314
Contributions (benefits paid)	(504)	(504)	(462)
Closing accrued liability	4 290	3 476	3 328

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
13 Analysis of Surplus		
Surplus recorded	32 213	17 076

Note 1 The surplus of R32,6 million recorded was largely due to application of the accounting standard GRAP 23 - Revenue from non-exchange transactions. This relates to a grant received from DST amounting to R17.3 million (VAT exclusive) to purchase 24 mobile clinics. This met the definition and criteria to be recognised as revenue from a non-exchange transaction, and as such the R17.3 million was fully recognised as revenue when the mobile clinics were delivered to the HSRC. The corresponding depreciation of the assets will be expensed over the economic useful lives of the mobile clinics. The mobile clinics have been capitalised and are disclosed in Note 6.

Note 2 Another portion of the surplus was realised from funds allocated to Africa Institute of South Africa which has been building its capacity ever since the institute was incorporated into the HSRC. There were a number of vacancies which were filled towards the later part of the 2016/17 financial year. The surplus also arose from a number of vacancies within the rest of the HSRC as a result of departures relating to key staff in the organisation. This included the former chief executive officer of the HSRC, and a few executives in the organisation. The positions have since been filled and this should result in full utilisation of the entity's budget in the new financial year.

Note 3 The surplus also relates to activities that were still in progress at 31 March 2016, having procured a service provider and the funds committed for the 2016/17 financial year. Commitments are disclosed on Note 10.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
14 Revenue from exchange and non-exchange transactions		
14.1 Research revenue (from exchange transactions)		
International funding agencies	87 198	52 915
National and provincial funding agencies	52 643	44 240
Private sector	9 526	4 197
Professional services and secondment	-	852
Public sector	10 151	21 026
	<u>159 518</u>	<u>123 230</u>
14.2 Parliamentary grants (from non-exchange transactions)		
Parliamentary grants received	253 251	242 114
AISA Incorporation grant	-	3 758
Ring-fenced grant for mobile clinics	17 360	-
	<u>270 611</u>	<u>245 872</u>

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
15 Other operating revenue		
Cafeteria income	2 176	2 365
Insurance Claims: Recoveries	241	1 246
Interest received	8 752	6 138
Profit on disposal of assets	2	-
Publication sales	1 286	1 721
Rental income	22 797	22 244
Royalties received	442	409
Skills development levy	274	370
WSSF Conference fees	2 330	-
Sundry Income	583	399
	38 883	34 892
16 Administrative expenses		
Annual license fees, library manuscripts and subscriptions	(11 449)	(11 947)
AISA relocation costs	-	(348)
Audit fees	(3 579)	(4 415)
- External Audit	(2 436)	(3 321)
- Internal Audit	(962)	(911)
- Other Audits	(181)	(183)
Bank costs / Stamp duty / Excise duties	(367)	(309)
Outsourced services and systems support	(5 469)	(8 152)
Consumable goods	(6 236)	(4 943)
Insurance	(2 150)	(2 223)
Net foreign exchange (loss)/gain	784	(239)
Postal, telecom and delivery fees	(7 760)	(7 052)
Printing and photocopying	(6 137)	(4 695)
Publicity functions and conferences	(523)	(786)
Sundry operating expenses	(667)	(1 241)
Travel and subsistence	(4 481)	(4 606)
	(48 033)	(50 957)
17 Research cost		
Direct labour expense	(20 416)	(19 681)
Direct research cost	(94 199)	(50 780)
	(114 614)	(70 461)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
18 Staff cost		
Wages and salaries *	(218 854)	(211 405)
Defined contribution plan	(17 990)	(18 191)
Social contributions (employer contributions)		
- official unions and associations	(209)	(175)
Post-retirement medical benefit		
- Employer contributions	(248)	(260)
- Decrease/ (Increase) in liability	814	(422)
Termination benefits**	(499)	(159)
Total	(236 986)	(230 612)
Number of staff at 31 March 2016		
Permanent Staff	528	527
Short term staff (12 months or less) ***	121	50
Total	649	577

Note:

* Detailed disclosure of council members and executive management remuneration is on Note 25.2

**Termination benefits relate to retirement for payment of leave gratuity which requires a tax directive from the receiver of revenue. This included an amount paid to the former HSRC CEO who ended her term during the period under review.

*** Short-term staff are predominantly linked to various HSRC research projects, and staff count varies with project activities undertaken during a given period. Number reflected is staff still in employment at 31 March 2016.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
19 Other operating expenses		
Bad debts recovered/(written off)	(1 179)	1 241
Discount allowed	-	-
Inventory written off	(2 454)	-
Legal fees	(556)	(1 759)
Loss on disposal of assets	(1 012)	(1 285)
Office refreshments and client relations	(360)	(393)
Rentals, maintenance, repairs and running costs	(20 501)	(20 489)
- Other maintenance repairs and running costs	(4 684)	(6 224)
- Property taxes and municipal rates	(7 204)	(7 158)
- Lease rentals (regional offices)	(8 612)	(7 107)
Staff recruitment costs	(378)	(113)
Staff training	(1 875)	(1 624)
Study bursaries	(674)	(500)
	(28 989)	(24 922)
20 Finance cost		
Finance lease cost	-	(19)
Interest paid	-	(1)
Fair valuation cost of receivables and payables	(1 218)	(1 251)
	(1 218)	(1 271)
21 Depreciation and amortisation		
Depreciation on property, plant and equipment	(6 477)	(7 601)
Library books impairment	-	(453)
Amortisation on intangible assets	(481)	(641)
	(6 958)	(8 695)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
22 Reconciliation of net cash flows from operating activities to surplus		
Surplus for the year	32 213	17 076
Adjustment for:		
Depreciation and amortisation	6 958	8 695
Bad debts recovered/(written off)	1 179	(1 241)
Increase in provisions relating to employee cost	1 366	1 680
Losses on sale of property, plant and equipment	1 012	1 285
Net foreign exchange (gain)/ loss	(784)	239
Other adjustments	821	(57)
Items disclosed separately		
Receipts of sales of Assets	(164)	(31)
Operating surplus before working capital changes:	42 600	27 646
Decrease/(increase) in inventories	2 656	(2 712)
Decrease in other receivables	995	943
Increase in VAT receivable	(3 279)	(227)
(Decrease)/increase in post retirement medical benefit	(814)	1 448
Decrease in trade receivables	609	7 796
Decrease/ (increase) in prepayments	3 735	(4 108)
Increase in income received in advance	213	993
Increase/ (decrease) in trade payables	4 724	(1 238)
Movement in lease accruals	(154)	(1 319)
Movement in lease commitments	(423)	(239)
AISA balances working capital changes		(4 636)
Cash generated by operations	50 860	24 346

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

23 Contingent assets and liabilities

Pending claims

All the claims are being contested based on legal advice. The financial details of these claims is as follows:

	2016 March R'000	2015 March R'000
Counter claim made by the HSRC (possible contingent asset)	2 950	2 950
Claim against HSRC (possible contingent liability)	(1 280)	(1 176)
Net claims	1 670	1 774

The HSRC terminated a service provider contract as a result of non-delivery, and the service provider, Underhill Investment Holdings, subsequently issued summons for the amount of R1 176 243.00. The HSRC filed a counterclaim to the value of R2 949 914.69 claiming damages which incurred to the forced termination of the contract. Litigation is currently ongoing and a date for trial is being awaited.

Also included in claims against the HSRC is a case brought forward by Gobble Trading. During October 2015 Gobble Trading issued summons in the amount of R105 400.00 in respect of unpaid handyman services rendered to the HSRC at the Durban office. Currently the attorneys are exchanging pleadings and the matter will be enrolled for trial.

24 Events after the reporting date

No reportable events after reporting date.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

25 Related parties

HSRC is a schedule 3A National Public Entity in terms of the Public Finance Management Act (Act 1 of 1999 as amended) and therefore falls within the national sphere of government. As a consequence the HSRC has a significant number of related parties being entities that fall within the national sphere of government. Such transactions are for the research that the HSRC performs from time to time. All such transactions are concluded on an arm's length basis, and the HSRC is normally appointed having responded to requests for tenders. There are no restrictions in the HSRC's capacity to transact with any entity. The HSRC reports to the Department of Science & Technology (DST). Amounts disclosed, below, as related parties relates to the parent department, Department of Science Technology (DST) and entities within the DST.

25.1 Transactions with related entities

Related Party	Services rendered						Services received			
	Year ending 31 March 2016			Year ending 31 March 2015			Year ending 31 March 2016		Year ending 31 March 2015	
	Transactions R'000	Balance R'000	Amount Included in Bad Debts Provision as at 31 March 2016 R'000	Transactions R'000	Balance R'000	Amount Included in Bad Debts Provision as at 31 March 2015 R'000	Transactions R'000	Balance R'000	Transactions R'000	Balance R'000
Department of Science and Technology (DST)**	316 721	-	-	303 526	-	-	-	-	-	-
National Research Foundation (NRF)	4 155	-	-	4 275	-	-	833	-	294	-
Council for Scientific and Industrial Research (CSIR)	1 052	-	-	77	-	-	2 752	-	1 767	1 488
Agricultural Research Council (ARC)	548	-	-	-	-	-	-	-	-	-
Sub Total	322 476	-	-	307 878	-	-	3 585	-	2 061	1 488

** Amount disclosed includes MTEF Allocation received from DST

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

25 Related parties 25.2 Fees paid to Board members and Executive management salaries:

Note	Year ending 31 March 2016				Year ending 31 March 2015	
	Gross Remuneration	Post-employment Benefits	Performance Bonus	Other Allowances	Total	Total
	R	R	R	R	R	R
Mrs. N. Badsha (Board Chairperson)	36 200	-	-	-	36 200	28 784
Prof E. Uliana (Board Member) - Audit & Risk Committee Chair	66 916	-	-	-	66 916	24 560
Prof RT. Moletsane (Board Member)	40 136	-	-	-	40 136	6 112
Prof A. Olukoshi (Board Member)	29 446	-	-	-	29 446	40 774
Prof A. Lourens (Board Member) - Also serves on the Audit & Risk Committee	36 080	-	-	-	36 080	18 336
Prof L. Qalinge (Board Member)	20 096	-	-	-	20 096	9 748
Dr B. Tema (Board Member)	51 954	-	-	-	51 954	32 274
Prof SA Hassim (Board Member)	16 688	-	-	-	16 688	18 336
Adv. RR Dehal (Board Member)	143 088	-	-	-	143 088	15 280
Prof. MHR Bussin (Board Member) - Also serves on the Audit & Risk Committee	22 800	-	-	-	22 800	24 448
Prof. O. Shisana - (ex officio as CEO - Term ended 31st July 2015)	801 299	89 743	151 487	48 000	1 090 530	2 911 179
Prof C. Soudien - (ex officio as CEO - appointed 01st September 2015)	1 058 462	187 915	-	21 000	1 267 378	-
Executive Management	13 647 275	1 327 213	531 740	1 001 084	16 507 313	18 647 629
	15 970 441	1 604 872	683 227	1 070 084	19 328 624	21 777 461

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

25.3 The following is a list of Executive Management for the years ended 31 March 2016 and 31 March 2015

For the year ending 31 March 2016			For the year ending 31 March 2015		
Name	Position	Date/ (Period) of Appointment	Name	Position	Date/ (Period) of Appointment
Prof. O. Shisana	Chief Executive Officer	01/08/2005-31/07/2015	Prof. O. Shisana	Chief Executive Officer (CEO)	01/08/2005
Prof. C. Soudien	Chief Executive Officer	01/09/2015	Dr B.S.T Masilela	Deputy Chief Executive Officer – Research (DCEO Research)	01/11/2010
Dr B.S.T Masilela	Deputy Chief Executive Officer – Research (DCEO Research)/Executive Director (01/01/2016)	01/11/2010-31/12/2015	Dr U. Pillay	Deputy-Chief Executive Officer – Operations (DCEO Management Support)	01/06/2012
Prof L.C Simbayi	Executive Director: HAST/ Acting DCEO: Research (01/01/2016)	01/07/2009			
Dr U. Pillay	Deputy Chief Executive Officer – Operations (DCEO Management Support)	01/06/2012	Ms. P. Singh CA(SA)	Chief Financial Officer (CFO)	01/09/2012
Ms. P. Singh CA(SA)	Chief Financial Officer (CFO)	01/09/2012	Prof M.R Mabugu	Executive Director: EPD	01/12/2010 – 31/08/2014
Dr. H. van Rooyen	Executive Director: HSD	01/01/2016	Dr V. Reddy	Executive Director: ESD	01/07/2007
Prof. Sharlene Swartz	Acting Executive Director: HSD	01/08/2015 – 31/12/2015	Prof L. C Simbayi	Executive Director: HAST	01/07/2009
Dr V. Reddy	Executive Director: ESD	01/07/2007	Prof D. Labadarios	Executive Director: PHHSI	01/08/2008
Prof D. Labadarios	Executive Director: PHHSI	01/08/2008	Prof D. Platjies	Executive Director: DGSD	01/06/2014
Prof D. Platjies	Executive Director: DGSD	01/06/2014 – 11/11/2015	Ms F. Kobo	Executive Director: Operations	01/01/2014
Dr N. Bohler-Muller	Acting Executive Director: DGSD/ Executive Director: AISA	12/11/2015	Dr N. Bohler-Muller	Acting Executive Director: DGSD	01/02/2014- 31/05/2014
Dr K. Zuma	Executive Director: RMDC	01/06/2013	Dr K Zuma	Executive Director: RMDC	01/06/2013
Prof V. Reddy	Executive Director: HSD	01/07/2006 – 24/07/2015	Prof V Reddy	Acting Executive Director	01/12/2013
Prof I. Turok	Acting Director/Executive Director: EPD	01/04/2016	Prof. P. Lukhele-Olorunju	Acting Head: AISA	01/04/2014

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

26 Prior period errors – Adjustments

The following prior period errors have been identified and the specific effect on financial statements have been set out in Note 29.1. These errors have been corrected and comparatives restated accordingly and rounded off (R'000). The effect on previously reported financial statements is also indicated:

To enhance presentation and provide more detailed information to the users, additional line items have been reclassified or disclosed separately. Such adjustments had no financial impact on the surplus of the HSRC and as such were not disclosed separately in this note. Items, disclosed below, are those that had an impact on the results previously reported.

These prior period errors have no tax effect as the HSRC is exempt in terms of the Income Tax Act.

26.1 Misstatement of revenue and expenditure items Effect on Financial Statements

	Explanation Reference	Adjustment impact	R'000
Increase in audit fees	4	Statement of Financial Performance	300
Increase in accruals	4	Statement of Financial Position	(300)
Decrease in Finance cost	3	Statement of Financial Performance	(2)
Decrease in Operating lease Accruals	2	Statement of Financial Position	(17)
Increase in Other operating expenses	2	Statement of Financial Performance	17
Increase in Property, plant and equipment	1	Statement of Financial Position	3 413
Decrease in Research Cost	1	Statement of Financial Performance	(3 413)
Decrease in Research revenue (from exchange transactions)	1	Statement of Financial Performance	3 874
Increase in Trade and other payables	3	Statement of Financial Position	2
Decrease in Trade and other receivables	1	Statement of Financial Position	(3 874)
Decrease in revaluation reserve	5	Statement of Financial Position	(48)
Increase in investments	5	Statement of Financial Position	48

Reclassification of expenses to enhance classification of costs

Increase in research costs	248
Decrease in administration expenses	(62)
Decrease in staff costs	(187)

- 1 Being an adjustment of Mobile Clinics procured and delivered in 2015/16 financial year. Initial invoice had been expensed on the project.
- 2 An adjustment of leases pertaining to operating leases equalization.
- 3 Correction of interest entry on trade payables.
- 4 An adjustment for understated audit fees accruals
- 5 Correction of an entry incorrectly classified against the revaluation reserve account

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

	2016 March R'000	2015 March R'000
27 Irregular Expenditure		
Opening Balance	-	-
Irregular Expenditure - current year	3 968	241
Irregular Expenditure - condoned	-	(241)
Irregular Expenditure awaiting condonement	3 968	-

Analysis of irregular Expenditure

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

	2016 March R'000	2015 March R'000
28 Fruitless and Wasteful Expenditure		
Opening Balance	67	67
Fruitless and Wasteful Expenditure - current year	182	-
Fruitless and Wasteful Expenditure - condoned	-	-
Fruitless and Wasteful Expenditure awaiting condonement	249	67

Fruitless and wasteful expenditure relates largely to traffic fines issued to staff members on hired vehicles, flights missed and failure to utilise booked hotel rooms due to various reasons. The money will be recovered from the staff members concerned.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

29 Statement of Comparison of Approved Budget to Actual Results (Explanatory Notes)

29.1 Research revenue

Research revenue target was achieved for the period under review. The was slightly exceeded by 2% as a result of completeness numerous research projects during the financial year. The organisation is expected to achieve this target in the forthcoming financial year again as one of our flagship surveys will be commencing, among other big projects funding has been secured. This ensures sustainability for the organisation in the medium to long term period.

29.2 Parliamentary grants

The full Parliamentary Grant allocation received from the Department of Science & Technology (DST) was fully utilised during the period under review, in line with the HSRC's mandate as stipulated in the HSRC's Act No 17 of 2008, HSRC's Strategy and Annual Performance Plan (2015/16 financial year), as presented to the Minister of DST and Parliament. In addition the HSRC recognized R17.3 million received from the DST for the procurement of mobile clinics to be used for our major surveys. This transaction is a non-exchange transaction in nature and has been recognised as such in line with GRAP standards. Related depreciation associated with these mobile clinics will be charged over the economic life span of the mobile clinics.

29.3 Parliamentary grants - ring fenced

The ring fenced allocation received from the DDST was fully utilized during the period under review, in line with the HSRC's mandate as stipulated in the HSRC's Act No 17 of 2008, HSRC's Strategy and Annual Performance Plan (2015/16 financial year), as presented to the minister of DST and parliament. This allocation was earmarked for science and technology indicators and was exclusively used for that purpose in line with the CeSTII business plan for the 2015/16 financial year.

29.4 Other operating revenue

Other operating revenue is mainly generated from our rental agreement with department of public works, publication sales, cafeteria sales to the HSRC staff and the public as well as interest earned on unused funds (mainly the parliamentary grant). Target was surpassed due to interest income earned on funds received in advance and the escalation in rental earned from the department of public works. This income is utilised to augment the parliamentary grant in the maintenance of the building and other operational costs within the HSRC.

29.5 Administrative expenses

Administration costs mainly include audit fees, subscriptions and manuscripts, insurance-related costs, printing and photocopying expenses as well as postal and delivery costs. Spending for the financial year exceeded budgeted amount by 111%, largely as a result of the Durban Offices relocation undertaken during the period under review. This increase was also as a result of increased research activities undertaken during the period under review, which resulted in the research revenue and research costs budgeted amounts being exceeded.

29.6 Research cost

The research costs increase is in line with the increase in research revenue as a result of the HSRC undertaking more research activities during the period under review as highlighted under research revenue (Note 31.1). Research cost budget spending for the year was 110% which correlated to the research revenue target exceeded (111).

29.7 Staff cost

Staff cost compared budgeted amount was 92%, representing a budget underutilisation of 8% during the period under review. This is largely attributed to a number of vacancies at different levels in the organisation. This included, Executive Directors of research programs, notably Human and Social Development (HSD), Democracy, Governance and Service Delivery (DGSD) and the Africa Institute of South Africa (AISA). These positions have been filled with the exception of AISA with recruitment processes underway. The organisation has also battled to fill African research fellows positions which has contributed to the recorded budget underutilisation. Relevant action plans have been instituted to attract more research skills across the continent to the HSRC.

29.8 Other operating expenses

Expenditure was below the budgeted amount for the financial year to stringent cost containment measures introduced with an aim of ensuring that the organization operated on the same scale as the previous financial year. All these savings will be re-directed to other priority research focus areas over the MTEF period.

29.9 Depreciation, amortisation and impairment expense

Spending below budgeted amount to less capitalisation related to research projects linked to major surveys. These will commence in the 2016/17 financial year.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

30 FINANCIAL INSTRUMENTS

30.1 Financial Instruments consist of receivables, payables, finance leases and cash and cash equivalents. In the case of all financial instruments, the carrying value approximates the fair value based on the discounted cash flow method which was used to estimate the fair value at 31 March 2016 the carrying amounts and fair values for the financial assets or liabilities were as follows:

			2016 March	2015 March
	Note	Carrying Amount R'000	Fair Value R'000	Carrying Amount R'000
Financial Assets				
Cash and Cash Equivalents	1	111 148	111 148	80 278
Trade and other receivables	2	30 389	30 389	33 043
		<u>141 536</u>	<u>141 536</u>	<u>113 322</u>
Financial Liabilities				
<i>Measured at amortised cost</i>				
Trade and other payables	8	31 159	31 159	26 435
Finance lease liability	10	-	-	-
		<u>31 159</u>	<u>31 159</u>	<u>26 435</u>

In the course of the HSRC operations, the entity exposed to interest rate, credit, liquidity and market risk. The HSRC has developed a comprehensive risk strategy in order to monitor and control these risks. The risk management process relating to each of these risks is discussed and disclosed under the headings below:

30.2 Interest rate risk

The HSRC manages its interest rate risk by fixing rates on surplus cash funds using short to medium term fixed deposits. The HSRC's exposure to interest rate risk and the effective rates applying on the different classes of financial instruments is as follows:

		Effective Interest Rate (fluctuating)	2016 March			2015 March		
	Note		Less than 12 months R'000	1 - 5 years R'000	Total R'000	Less than 12 months R'000	1 - 5 years R'000	Total R'000
Financial Assets								
Current accounts	1	3,00%	17 063	-	17 063	8 260	-	8 260
Short term investments accounts	1	5-6.5%	94 084	-	94 084	72 019	-	72 019
Trade and other receivables	2	0.00%	30 389	-	30 389	33 043	-	33 043
Total Financial Assets			141 536	-	141 536	113 322	-	113 322
Financial Liabilities								
<i>Measured at amortised cost</i>								
Trade and other payables	8	0.00%	31 159	-	31 159	26 435	-	26 435
Total Financial Liabilities			31 159	-	31 159	26 435	-	26 435
Net financial assets/ (liabilities)			110 378	-	110 378	86 887	-	86 887

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

for the Financial Year Ended 31 March 2016

FINANCIAL INSTRUMENTS (continued)

30.3 Credit risk

Financial assets, which potentially subject the HSRC to the risk of non-performance by counter-parties and thereby subject to credit concentrations of credit risk, consist mainly of cash and cash equivalents and trade receivables from non-exchange transfers. The entity only deposits cash with major banks with high quality credit standing and limits exposure to any one counter-party. Trade receivables are presented net of the allowance for doubtful debts. The HSRC manages/limits its treasury counter-party exposure by only dealing with well-established financial institutions approved by National Treasury through the approval of their investment policy in terms of Treasury Regulations. In addition, the credit risk exposure emanating from Trade receivables is not considered significant as trade is largely conducted with reputable research partners who have had and maintained good relationships with the HSRC in the past. Thus HSRC's significant concentration risk is with its research partners. The analysis of ageing of receivables that are 30 days and older is as follows:

	Note	2016 Less than 12 months			2015 March		
		Current R'000	30 days and above	Total R'000	Current R'000	30 days and above R'000	Total R'000
Trade and Other Receivables	2	27 737	2 652	30 389	28 462	4 581	33 043
		27 737	2 652	30 389	28 462	4 581	33 043
Percentage Analysis		91%	9%	100%	86%	14%	100%

30.4 Liquidity risk

The HSRC manages liquidity risk through proper management of working capital, capital expenditure and actual versus forecast cash flows and its cash management policy. Adequate reserves and liquid resources are also maintained. Budgets are prepared annually and analysed monthly against performance to ensure liquidity risks are monitored.

30.5 Market risk

The HSRC has limited exposure to market risk.

30.6 Fair values

The financial instruments consist mainly of cash and cash equivalents, payables and receivables. No financial instrument was carried at an amount in excess of its fair value and fair values could be reliably measured for all financial instruments. The following methods and assumptions are used to determine the fair value of each class of financial instruments:

33.6.1 Cash and cash equivalents

The carrying amount of cash and cash equivalents and held-to-maturity financial assets approximates fair value due to the relatively short to medium term maturity of these financial assets.

33.6.2 Other receivables from exchange transactions

The carrying amount of other receivables from exchange transactions approximates fair value due to the relatively short-term maturity of these financial assets.

RESEARCH OUTPUTS

REPORT - 2015/16

1. Internationally accredited journal articles for SRS/SRM and above (ISI and/or IBSS listings) counted for ADEPTS

- Bailey, D. & Turok, I. (2016) Editorial: resilience revisited. *Regional Studies*. 50(4):557-560.
- Barnabas, R.V., Van Rooyen, H., Tumwesigye, E., Brantley, J., Baeten, J.M., Van Heerden, A., Turyamureeba, B., Joseph, P.K., Krows, M., Thomas, K.K., Schaafsma, T.T., Hughes, J.P. & Celum, C. (2016) Uptake of antiretroviral therapy and male circumcision after community-based HIV testing and strategies for linkage to care versus standard clinic referral: a multisite, open-label, randomised controlled trial in South Africa and Uganda. *The Lancet HIV*. March:Online.
- Bennett, J. & Reddy, V. (2015) 'African positionings': South African relationships with continental questions of LGBTI justice and rights. *Agenda: Empowering Women for Gender Equity*. 29(1):10-23.
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- Chikovore, J., Hart, G., Kumwenda, M., Chipungu, G.A. & Corbett, L. (2015) 'For a mere cough, men must just chew Conjex, gain strength, and continue working': the provider construction and tuberculosis care-seeking implications in Blantyre, Malawi. *Global Health Action*. 8:Online.
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- Douglas, M. & Hongoro, C. (2016) The consideration of socioeconomic determinants in prevention of traditional male circumcision deaths and complications. *American Journal of Men's Health*. March:Online.

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3. Peer-reviewed journal articles (DHET (SA)) listings and other as approved, not counting for ADEPTS

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- Letsekha, T. (2014) Ruth First: lessons for a new generation of African scholars. *DEP: Deportate, Esuli, Profughe*. 26:52-64.
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- Maluleke, T. (2015) African cultures and the promotion of sexual and reproductive rights. *Perspectives: Political Analyses and Commentary from Africa*. 2:17-21.
- Maredza, M. & Chola, L. (2016) Economic burden of stroke in a rural South African setting. *eNeurologicalSci*. 3:26-32.
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- Mathekga, M.J. (2015) Fighting the battle of the mine workers: the emergence of the Association of Mineworkers and Construction Union (AMCU). *South African Journal of Labour Relations*. 39(2):190-204.
- Nyembezi, A., Reddy, P., Ruiter, R.A.C., Van den Borne, B., Sifunda, S. & Funani, I. (2016) The application of intervention mapping in developing STI/HIV health education program for traditionally circumcised men in the Eastern Cape province of South Africa. *The European Health Psychologist*. 18(1):22-29.
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LIST OF ACRONYMS/ABBREVIATIONS

A

AAS	Association for Advancement of Science
ACFE	Association of fraud examiners
AISA	Africa Institute of South Africa
AOSTI	African Observatory of Science and Technology
APSTA	African Peace Support Trainers Association
ARC	Audit and Risk Committee
ASA	African Studies Association
ASTII	African Technology and Innovation Indicators

B

BDIL	Business Development and International Liaison
BIS	Business Innovation Survey
BMS	Business Management System
BRC	BRICS Research Centre
BRICS	Brazil, Russia, India China and South Africa
BTTC	BRICS Think Tank Council

C

CASS	Chinese Academy of Social Science
CAOs	Community advise offices
CBO	Community based organisations
CBR	Community Based Research
CC	Constitutional Court
CCGs	Community care givers
CEO	Chief executive officer
CESTII	Centre for Science, Technology and Innovation Indicators
CFO	Chief financial officer
CHEC	Cape Higher Education Consortium
CODESRIA	Council for the Development of Social Science Research in Africa
COHORT	Committee of Heads of Organisations of Research and Technology
COJ	City of Johannesburg
COSO	Organizations of the Treadway Commission
CREST	Centre for Research on Science and Technology
CRO	Chief risk officer
CSTP	Committee for Scientific Organisation and Technological policy
CSIR	Council for Scientific and Industrial Research
CSP	Cities Support Programme
CUNY	City University of New York
CVD	Cardiovascular Disease

D

DBE	Department of Basic Education
DBS	Dried blood spot
DCEO	Deputy chief executive officer
DED	Deputy executive director
DGSD	Democracy, Governance and Service Delivery
DHET	Department of Higher Education and Training
DHHS	Department of Health and Human Services-US based
DIRCO	Department of International Relations and Cooperation
DOH	Department of Health
DPE	Department of Public Enterprises
DR	Doctor
DRC	Democratic Republic of Congo
DRDLR	Department of Rural Development and Land Reform
DSD	Department of Social Development
DST	Department of Science and Technology

E

EAP	Employee assistance programme
ECAS	European Conference on African Studies
ECD	Early childhood development
ED	Executive director
EE	Employment equity
EEA	Employment Equity Act
EFP	Employment equity plan
EJN	Employers Federation of Pakistan
EMC	Economic Justice Network
EPD	Executive Management Committee
EPWP	Economic Performance and Development Expanded Public Works Programme
ERDTs	Expanded Drafting Teams
ERM	Enterprise Risk Management

ESD
ESOF
ESS
ETDP
EU

Education and Skills Development
Euroscience Open Forum
European Social Survey
Education, Training and Development Practices Seta
European Union

F

FCOI	Financial conflict of interest
FSB	Financial Services Board
FWA	Federal Wide Assurance

G

GAIN	Global Alliance for Improved Nutrition
GDP	Gross domestic product
GERD	Gross Expenditure on Research and Development
GIS	Geographic information system
GIZ	German Federal Enterprise for International Cooperation
GRAP	Generally Recognised Accounting Principles

H

HAST	HIV/AIDS, STIs and TB
HCT	HIV counselling and testing
HESA	Higher Education South Africa
HF	Hollard Foundation
HPCSA	Health Professional Council of South Africa
HPTN	HIV Prevention Trials Network
HR	Human resources
HSD	Human and Social Development
HSRC	Human Sciences Research Council
HURISA	Human Rights Institute of South Africa

I

ICT	Information and communications technology
IDRC	International Development Research Centre
IEC	Independent Electoral Commission
IFA	Information for action
IID	Innovation for Inclusive Development
ILO	International Labour Organisation
INFE	International Network on Financial Education
INIGEUS	Impact of Networks, Globalisation and thei Interaction with EU
IoDSA	Institute of Directors Southern Africa
IORA	Indian Ocean Rim Association
ISO	International Organisation of Standardization
ISS	Institute for Security Studies
ISSC	International Social Science Council
ISSP	International Social Survey Programme

K

KZN	KwaZulu-Natal
KAB	Knowledge, attitude behavior

L

L&D	Learning and development
LAV	Laboratory for the Analysis of Violence
LIS	Library Information Services
LMIP	Labour Market Intelligence Partnership
LMIS	Labour Market Intelligence System

M

MAF	MAC AIDS Fund
MakSPH	Makarere University School of Public Health
MDGs	Millenium Development Goals
MEDUNSA	Medical University of South Africa
MEL	Monitoring, evaluation and learning
MIMMS	Maternal and Child Morbidity and Mortality Surveillance System of South Africa
MILE	Municipal Institute of Learning
MoU	Memorandum of understanding
MRC	Medical Research Council
MSM	Men who have sex with men
MTEF	Medium-term expenditure framework
MTSF	Medium Term Strategic Framework

N

NACI	National Advisory Council on Innovation
NADCAB	National Alliance for Community Advice Offices

NAPWA	National Association of people living with HIV and AIDS	SADRN	Southern African Development Research Network
NCCR	National Centre of Competence in Research	SAHA	Social Aspects of HIV/AIDS and Health
NCDs	Non-communicable diseases	SAHARA	Social Aspects of HIV/AIDS Research Alliance
NCFES	National Consumer Financial Education	SANAC	South African National Aids Council
NDA	National Development Agency	SANCO's	SA National Civic Organizations
NDP	National Development Plan	SANHANES 1	South African National Health and Nutrition Examination Study, 2012
NECSA	Nuclear Energy Corporation SA	SARchi	South African Research Chairs Initiative
NEPAD	New Partnership for Africa's Development	SASAS	South African Social Attitudes Survey
NFVF	National Film and Video Foundation	SASSETA	Safety and Security Seta
NGO	Non-governmental organisation	SAYPS	South African Youth Panel Study
NHI	National Health Insurances	SCA	Supreme court of appeal
NHREC	National Health Research Ethics Council	SCM	Supply chain management
NICIS	National Integrated Cyber-Infrastructure System	SET	Science, engineering and technology
NIDS	National Income Dynamics Study	SFVM	Street Food Vending Models
NIH	National Institutes of Health	SLF	Sustainable Livelihoods Framework
NIHSS	National Institute for Humanities and Social Sciences	SME	Small and medium-sized enterprise
NIMH	National Institute of Mental Health	SOE	State-owned enterprises
NMCF	Nelson Mandela Children's Fund	SPARC	Scholarly Publishing and Academic Resources Coalition
NPC	National Planning Commission	SPEED	Supporting Policy Engagement for Evidence based Decision Making
NPO	Non-profit organisations	STEM	Science, technology, engineering and mathematics
NRF	National Research Foundation	STISA	Science Technology and Innovation Strategy
NSI	National System of Innovation	SWs	Sex Workers
NSP	National Strategic Plan	SWGs	Sector Working Groups
NWU	North-West University		
NYS	National Youth Service		
O		T	
OECD	Organisation for Economic Cooperation and Development	T20	Think 20
OHRP	Office for Human Rights Protections	TARMII-FP	Teacher Assessment Resources for Monitoring and Improving Instruction for Foundation Phase
ORI	Office of research integrity	TAC	Treatment Action Campaign
P		TB	Tuberculosis
PAIA	Promotion of Access to Information Act	TENET	Tertiary Education and Research Network of South Africa
PEPs	Public Employment Programme	TG	Transgender
PEPFAR	President's Emergency Plan for AIDS Relief	THRIP	Technology and Human Resources for Industry Programme
PFMA	Public Finance Management Act	TIMSS	Trends in International Mathematics and Science Study
PHHSI	Population Health, Health Systems and Innovation	TIPS	Trade and Industry Policy Strategies
PHS	Proactive Health Solutions	TRREE	Training and Resources in Research Ethics Evaluation
PIB	Policy Implementation Barometer	TUT	Tshwane University of Technology
PLACE	Priorities for Local AIDS control effects	TVET	Technical, vocational, education and training
PLHIV	People living with HIV		
PPPFA	Preferential Procurement Policy Framework Act	U	
PPMG	Phoenix Publishing and Media Group	UCLA	University of California, Los Angeles
PPSRRC	Presidential Public Service Remuneration Review Commission	UCT	University of Cape Town
PRC	Presidential State-owned Enterprises Review Committee	UHC	Universal Health Coverage
PROF	Professor	UMALUSI	Council for Quality Assurance in General and Further Education and Training
PSPPD	Programme to Support Pro-poor Policy Development	UN	United Nations
PUB	Public Understanding of Biotechnology	UNAIDS	Joint United Nations Programme on HIV and AIDS
PWN	Positive Women's Network	UNDP	United Nations Development Programme
PWIDs	People who inject drugs	UNESCO	United Nations Educational, Scientific and Cultural Organisation
R		UNICEF	United Nations Children's Fund
R&D	Research and development	UNISA	University of South Africa
RCT	Randomised control trial	UPP	Pacifying Police Unit
RDS	Respondent-driven sampling	USAID	United States Agency for International Development
REC	Research ethics committee	USPHS	United States Public Health Services
RIA	Research Use and Impact Assessment	UWC	University of the Western Cape
RIAT	Rural Innovation Assessment Toolbox		
RIOs	Research Integrity Officers	V	
RMC	Risk Management Committee	VPUU	Violence Prevention through Urban Upgrading
RTCHS	Right to Care Health Services		
S		W	
SA AIDS	South African AIDS	WHO	World Health Organisation
SAASTA	South African Agency for Science and Technology Advancement	WSP	Workplace skills plan
SABSSM 4	South African National HIV, Behaviour and Health Survey, 2012	WSSF	World Social Science Forum
SABTT	South African BRICS Think Tank	WSW	Women who have sex with women
SACAA	South African Civil Aviation Authority		
SACSSP	South African Council for Social Services Professions	Y	
SADC	Southern African Development Community	YiSS	Youth into Science Strategy

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