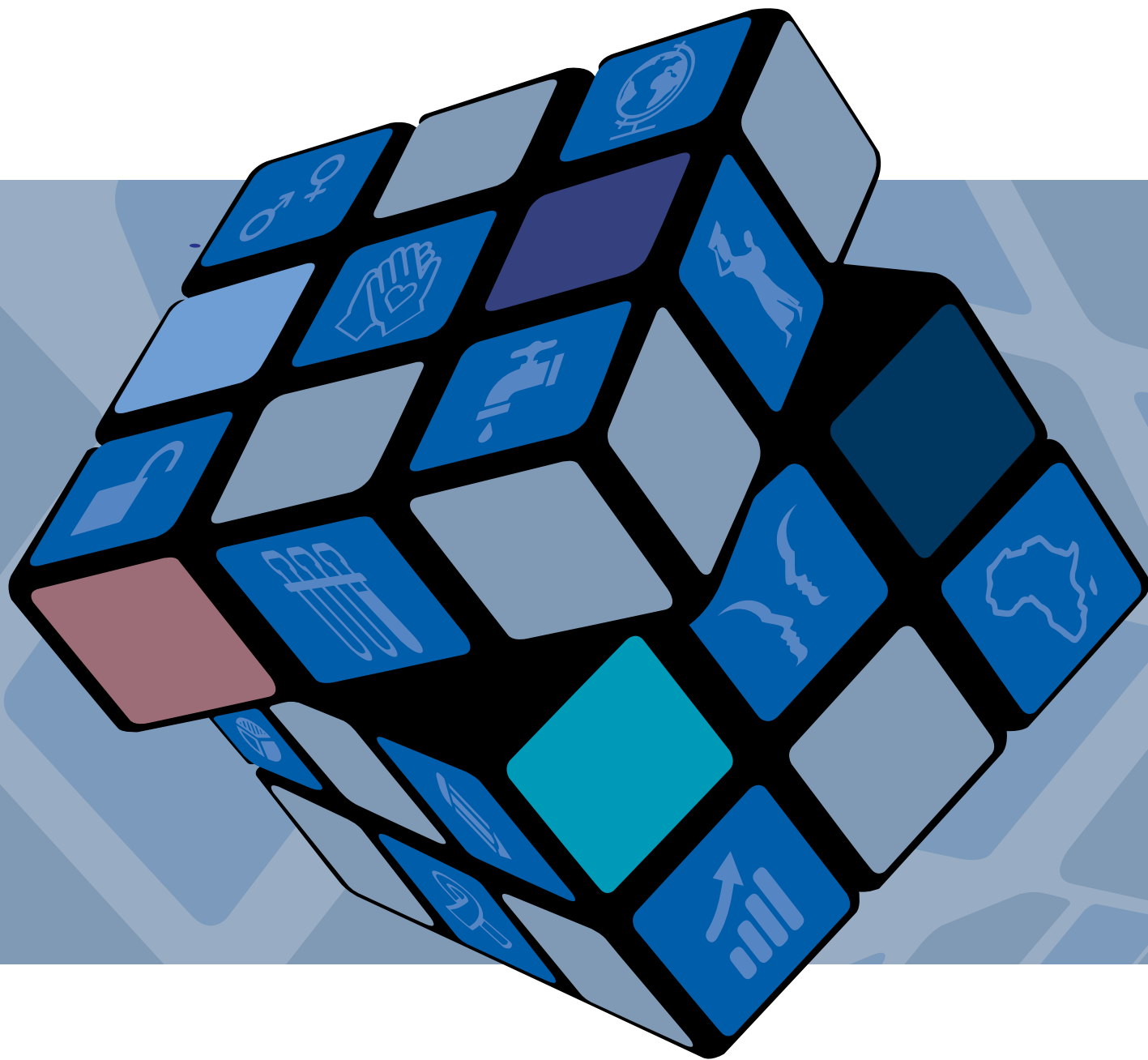


ANNUAL REPORT 2017/2018

50/90
Years of humanities
and social sciences
Human Sciences Research Council



science
& technology

Department:
Science and Technology
REPUBLIC OF SOUTH AFRICA



HSRC
Human Sciences
Research Council



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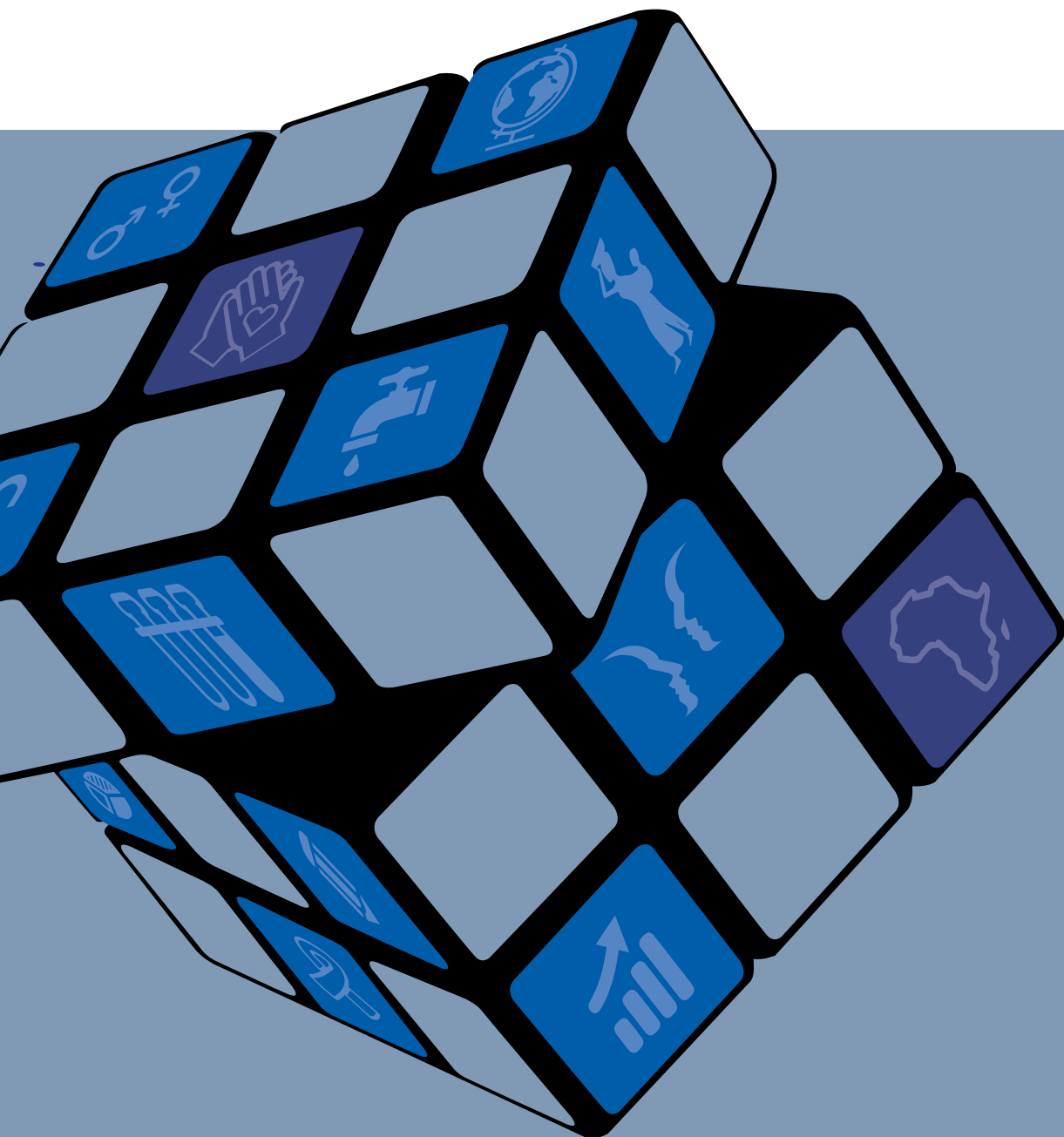
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Part A

Organisational Overview

Scope and boundaries

This Annual Report covers the activities and results of the Human Sciences Research Council (HSRC) for the period 1 April 2017 to 31 March 2018.

This report has been prepared in accordance with the requirements and recommendations of the King Report. Management also considered the guidelines published by the Integrated Reporting Committee of South Africa.

This Integrated Annual Report is published to assist our shareholder and stakeholders in assessing the ability of the HSRC to create and sustain value.

Statement of Responsibility and Confirmation of Accuracy for the Annual Report

We confirm that, to the best of our knowledge and belief, the information in this report is complete, accurate and free from omission and the amounts disclosed are consistent with the Annual Financial Statements of the Human Sciences Research Council (HSRC) as audited by the Auditor-General of South Africa.

The report complies with National Treasury Guidelines on Annual Reports and the Annual Financial Statements (Part E) with the Standards of GRAP, as applicable to the HSRC.

The Accounting Authority is responsible for preparing the Annual Financial Statements and judgements made in this information, as well as establishing and implementing a system of internal controls that provides reasonable assurance about the integrity and reliability of the performance and human resources information and the Annual Financial Statements.

The external auditors audited the performance information and the Annual Financial Statements and their report is included on pages 96 to 100.

In our opinion, this Integrated Annual Report reflects fairly the operations, performance and human resources information and financial affairs of the HSRC for the financial year ended 31 March 2018.



Professor Crain Soudien
Chief Executive Officer
31 July 2018



Professor Mvuyo Tom
Chair: HSRC Board
31 July 2018

Profile of the Human Sciences Research Council

Established in 1968 to undertake, promote and coordinate research in the human and social sciences, the council operates in terms of the Human Sciences Research Council (HSRC) Act, 17 of 2008, which replaces the HSRC Act, 23 of 1968 that enables the continued existence of the council.

The Act outlines the HSRC mandate and directs the Board and management to:

- Initiate, undertake and foster strategic basic and applied research in human sciences
- Address local and global developmental challenges by gathering, analysing and publishing data relevant to such challenges, especially through projects linked to public sector-orientated, collaborative programmes
- Inform and evaluate the effective formulation, monitoring and implementation of policy
- 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 to contribute to improved livelihoods
- Develop and make available datasets that underpin the research, policy development and public discussion of developmental issues
- Develop new and improved methodologies to use in the development of such datasets

The HSRC Act allows the council to undertake or commission research on any human sciences subject and charge fees for the research conducted or services rendered at the request of others.

This place the onus on the HSRC to renew and/or increase the pool of researchers and scholars in the humanities and social sciences to sustain its research capacity at universities and research institutions in South Africa, including at the HSRC. Researchers must be well-rounded with the ability to conceptualise, plan and conduct research, analyse data, undertake scientific writing and disseminate their research findings.

Vision, mission and values

The HSRC is a non-partisan, public-purpose organisation that generates scientific knowledge through research and analytical work in the social and human sciences.

The council:

- undertakes and promotes research that is often large-scale, multi-year and collaborative
- produces high-quality scientific evidence to inform further analysis, debate, advocacy and decisionmaking by role players in government, the media, academia and community-based groupings
- responds to the needs of vulnerable and marginalised groups in society through its research
- develops and makes available datasets that underpin the research, policy development and public discussion of developmental issues
- inform, through its work, policy development and best practice to contribute meaningfully to the lives of people in South Africa and throughout the entire continent

Vision

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

Mission

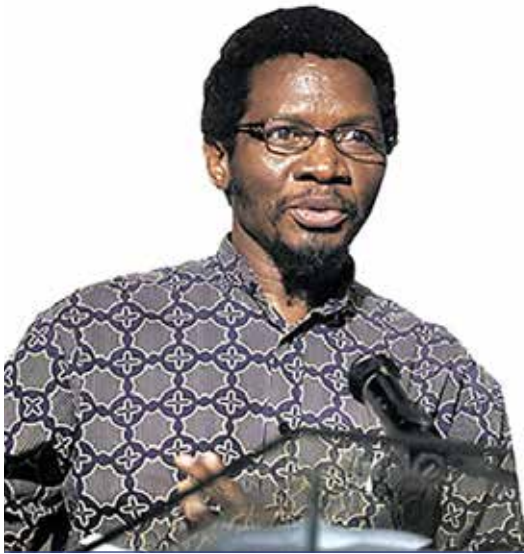
The HSRC is a research organisation that advances social sciences and humanities for public use.

Values

Individually, HSRC employees are guided by the values of independence, non-discrimination, tolerance of diversity, honesty, integrity, respect, non-partisanship, innovation, diligence, responsiveness and collaboration. Institutionally, the HSRC strives at all times to distinguish itself as separate from, yet collaborating closely with, government, universities, non-governmental organisations (NGOs), the media and advocacy groups and remain a scientific organisation whose work is regarded as authoritative and non-partisan. Quality, integrity and ethical conduct are essential hallmarks of the work produced and published by the HSRC.

Motto

Social science that makes a difference.



Chairperson's Foreword

Professor Mvuyo Tom

"Despite some successes in alleviating the social and economic conditions which prevailed at the end of apartheid, we have collectively, not done enough to positively change the foundations on which South African society has been built."

Impatience with the current conditions have led to very important calls for, amongst others, radical economic transformation, decolonisation of education, and others. Not enough is being done to understand the policies, programmes and plans which must be put in place to transform our society in a meaningful, and more importantly, sustainable way. Without this deeper understanding, changes could be superficial and serve only to entrench the interests of a few, and patterns of inequality, which have persisted for hundreds of years.

In this context, the social sciences and humanities are more important than ever to enable us to systematically identify and analyse problems that help us to understand and explain our society. It is this understanding and explanation that should ideally bring us to develop evidence-based solutions to support the country's developmental agenda.

Against this background, the HSRC continues its focus on the diagnosis and prognosis of, and response to, poverty and inequality, as is evidenced through the collection of impact-projects in this Annual Report. This focus will continue over the medium- and long-term and will find expression in the next five-year Strategic Plan as well.

A newly constituted HSRC Board took office in November 2017 and found a solid foundation on which to continue providing guidance and strategic direction to the HSRC. We thank the outgoing Board for this.

While many key and collaborative relationships have been forged, both locally and internationally, and were built on and solidified during the year, the Board's focus was on coming to terms with those matters that both the former and current Ministers of Science and Technology regarded as pertinent to the HSRC. One of the biggest questions that the Board will grapple with during its term, also as the organisation embarks on its institutional review now, is that of the HSRC's role as both promoter and performer of research, and the balance between those roles. Secondly, and by no means secondary to this, is the question of attracting and retaining senior African researchers.

I would like to express my gratitude to the Minister of Science and Technology and the DG and staff in the Department for their ongoing guidance and support. Also the Portfolio Committee on Science and Technology, and the Standing Committee on Appropriations, whom we have the honour of briefing a couple of times during the year. Again, I thank the outgoing Board for the astute manner in which they served the HSRC over the past four years.

The Board commends the CEO and his staff for yet another exemplary audit outcome. The environmental constraints in which the HSRC pursues its mandate of research for the public good, are well-known, and we are proud of the dedication and inspiration shown by our researchers to make a difference.



Professor Mvuyo Tom

Chairperson

31 July 2018



Chief Executive Officer's Overview

Professor Crain Soudien

"Amidst increasingly challenging social conditions and pressing questions which impact on the development of our nation and the ability of our people to live fulfilled lives, the HSRC is cognisant of the need to ensure that its work becomes part of evidence-based policy-making."

Amidst increasingly challenging social conditions and pressing questions which impact on the development of our nation and the ability of our people to live fulfilled lives, the HSRC is cognisant of the need to ensure that its work becomes part of evidence-based policy-making. With a view to achieving this, we are strengthening relations with key stakeholders to collaboratively respond to these questions. This is highlighted in the work of each of our research programmes.

In the previous year the HSRC defined three priority projects which aim to understand the systemic reasons for poverty and inequality and possible responses. This comes within the context of the HSRC's strategic focus over the next five years: 'poverty and inequality: diagnosis, prognosis, responses'. Looking towards comprehensive diagnosis, prognosis and response, three themes were identified:

1. Multidimensional wellbeing in a racialised but changing society.
2. Governing for transformation and social justice.
3. City-Regions as drivers of inclusive development.

During the 2017/18 year, the HSRC strengthened its work in this area. In a first phase, existing work within research programmes covering these themes was mapped. As part of the second phase, research teams are planning how to extract insights and lessons from what has been done to generate new transdisciplinary understandings of poverty and inequality, and to work out what the necessary next phase of development of these priority areas should be.

Financially the HSRC continued to operate in a highly constrained funding environment characterised by budget cuts at all levels of government. The organisation's budget was cut by R22 million in the 2017/18 financial year. The current financial model of the HSRC has a strong dependence on external funding to support research and the broader mandate of the HSRC. The parliamentary grant funding received is mainly utilised to cover core institutional costs, notably salary costs of critical staff. According to current projections, the HSRC will have to secure a greater proportion of its operating budget from external sources if it is to continue providing the quality and scale of research which is essential for addressing the problems of poverty and inequality. Key measures to absorb reductions in baseline funding over the MTEF period will be effected in Programme 1 so as to ensure that more funds are allocated to HSRC's core business (research) over the MTEF period.

Research costs increased by 60% and depreciation and amortisation increased by 16% due to increased research activities undertaken in the financial year. Staff costs increased by 4%, mainly because of a 7% salary increase in April 2017. We ended the year with a small surplus of R0.5 million. A request for surplus retention will be submitted to National Treasury based on the audited financial statements on 31 July 2018.

An internal audit review of Supply Chain Management confirmed that the activity continued to function effectively, and that the internal controls in the area remained adequate, efficient and effective. Four contracts with a combined value of R9 164 350-00 were awarded following a tender process. Due to the nature of the HSRC's work, challenges were experienced in relation to establishing research partnerships and collaborations with experts, as the prescribed procurement processes are not practical and do not facilitate forging of collaboration with field-experts. The HSRC Management continued to engage in discussions with its Executive Authority and the National Treasury towards addressing these challenges.

I am pleased that the HSRC received another clean audit. I am aware of the numerous challenges that need to be overcome to achieve this, and my sincere appreciation goes to each member of staff who takes daily care to enable this nonetheless.

The audit also affirmed the HSRC's going-concern status and we will continue to show how the task of research and knowledge production for the public good can be undertaken in strained financial circumstances.

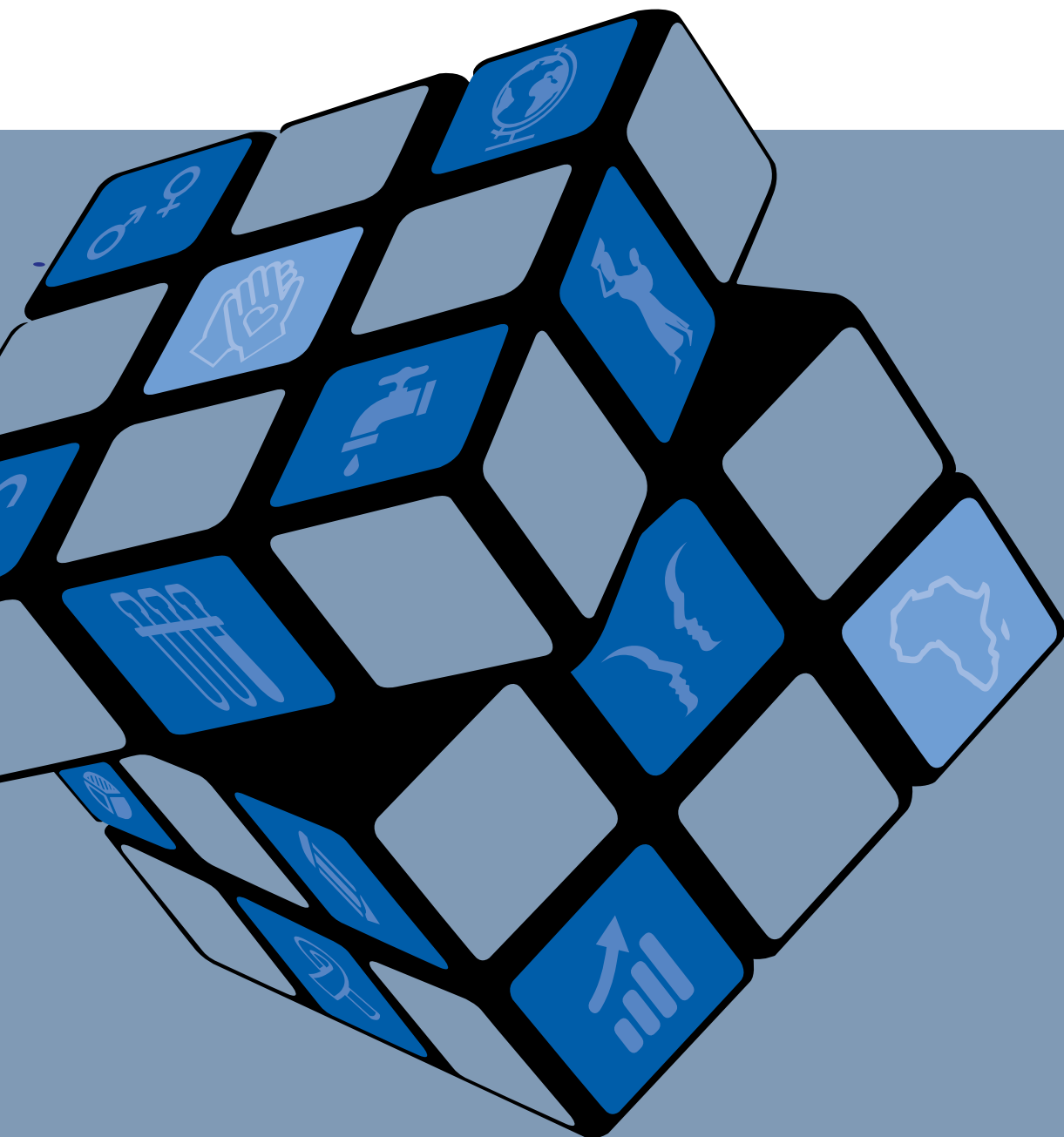
Dr Jean Triegaardt, writing in *Poverty and inequality in South Africa: Policy considerations in an emerging democracy* in 2006 explains that although "poverty and inequality have co-existed for generations both in developed and developing nations, and in spite of the multiple interventions, the progress in eliminating this problem remains elusive."

Despite South Africa's awareness of how poverty and inequality impacts on millions of citizens, levels have only increased and today, the country has the dubious distinction of being the most unequal society in the world.

The many challenges in our country notwithstanding, the HSRC's research agenda across its various programmes has, in the year under review, been inspired by a positive vision of inclusive development that encompasses issues of equity, participation, social trust, the legitimacy of public institutions, and the public good.



Professor Crain Soudien
Chief Executive Officer
31 July 2018



Part B

Performance Overview

Research Programme Performance

Africa Institute of South Africa (AISA)

AISA profile

AISA undertakes policy-relevant applied and comparative research with a focus on the developmental challenges and opportunities on the African continent. The institute collaborates with other research institutions, various role players and key stakeholders in the region to provide African multilateral organisations and governments with research-based policy advice on public affairs.

The work contributes to addressing the many dimensions of the study of Africa in Africa and reversing global marginality in terms of knowledge production. In their work, AISA's researchers pay special attention to issues of poverty, inequality and socio-economic exclusion, as well as the role of science and technology and conflict, peace and security on the continent.

Research highlights

Entry-points for utilising the demographic dividend in Africa: an examination of the dynamics of youth participation in local and national socio-economic transformation processes

A 16-member team, including interns, conducted fieldwork with a focus on youth participation in local and national socio-economic transformation processes in Zambia, Kenya, Tanzania, Ghana, Cote d'Ivoire and Botswana. Funded by an annual parliamentary grant, the project endeavoured to source the knowledge required to improve youth policy and generate programmatic interventions for Africa to reap a bigger demographic dividend.

Tanzania

Key findings from the Tanzanian study reported youth unemployment at 13.4% (14.3% female and 12.3% male), with unemployment in urban areas of 22.3% compared to 7.1% in rural areas.

As the main employer, the agricultural sector absorbs 75% of employed youth, while only 6.7% find jobs in the public sector. In Dar es Salaam, more than 20% of youth with secondary education are unemployed compared to 56% of young people with secondary school education certificates in Zanzibar.

Interestingly, young people from rural areas view self-employment, entrepreneurship and access to micro-finance as enablers of economic opportunities, while respondents in urban areas look to government interventions for job creation. The study also highlighted a lack of adequate research data to inform policies that affect and impact young people sufficiently. This results in programmes designed for the "youth" but without critical inputs from the "youth".

Botswana

Key findings from the study in Botswana identified many programmes aimed at achieving youth dividends outlined in their 2010 youth policy. Although the many government-funded, youth-specific, capacitating programmes differentiates Botswana from other countries in Africa, research findings indicate limited success. Key challenges include high programme failure rates and a lack of sustainability due to low levels of youth participation, minimal consultation with and commitment from the youth, skills mismatch, information dissemination challenges and a lack of monitoring and evaluation.

The Botswana case study is an anomaly, given the provision of all the necessary ingredients for youth development, including communications platforms. The problem, therefore, is not the absence of institutional structures, policies or programmes, nor the absence of political will to support the development of young people. The recommendations to government include the stringent monitoring and evaluation of youth programmes and establishment of an authoritative work ethics foundation to implement youth programmes.

Extensive youth consultation is required during strategy formulation and policy development, especially in the agricultural sector where modernisation can be pivotal to increasing global competitiveness. Job creation for the illiterate youth remains a challenge, despite job creation in Botswana's diamond mining sector.

Côte d'Ivoire

Unemployment in Côte d'Ivoire is a major challenge, with no public higher education institutions in Antigua and Côte d'Ivoire. Most of these institutions in the country are privately owned and unaffordable for many young people, who find it difficult to enter the job market successfully, even with university qualifications.

Since access to public sector jobs through any government-administered process under the current administration is limited to youths from the North only, young people face a reality of pervasive poverty, crime and health challenges.

Haphazard urbanisation, a lack of affordable housing and security, a high crime rate and prevalent drug use are some of the major challenges that affect the youth. The primary recommendations to government include inviting youth participation and input in political projects, providing more resources and greater effort in maintaining peace in the country and the need for objective media who "tell the correct story". Further recommendations are the amelioration of working conditions, especially in the private sector and the introduction of incentives to encourage youth participation in SMME development.

Ghana

An analysis of the data gathered suggests that Ghana stands at a critical juncture between crisis and opportunity, especially against the country's youth demographic. Despite impressive economic growth since the 1990s, Ghana's economy has failed to create a sufficient number of decent jobs to absorb new entrants into the labour market, especially for the youth.

Constraints include the lack of access to finance, affordable credit, lack of appropriate skills and work experience. The promotion of youth entrepreneurship and targeted skills development should also be part of the broader basket of solutions. This includes restructuring the educational system systematically to graduate work-ready employees who can function effectively in the workplace.

While the Ghanaian government led the implementation of a youth development agenda and addressed related challenges over the years, it has not delivered the required results. Critically

important now is coordinating sectors and agencies, identifying and rationalising key actors and targeting, monitoring and evaluating specific interventions more effectively.

A comprehensive audit (diagnostic study) of the current challenges to youth development in the country is essential to inform a new agenda that is aligned closely with the broad objectives of the Ghanaian National Youth Policy. This must include supporting legislation, administrative structures and a more effective implementation framework.

During the reporting period, AISA also signed funding agreements for further research during the 2018/19 financial year and hosted its two annual flagship programmes successfully through the Africa Unity for Renaissance Conference and African Young Graduate Scholars Conference.

Centre for Science, Technology and Innovation Indicators (CeSTII)

The Centre for Science, Technology and Innovation Indicators, CeSTII, produces science, technology and innovation (STI) indicators in South Africa. The Centre was established through a formal agreement with the Department of Science and Technology (DST) in 2002, a mandate that includes conducting statistical surveys, analysing indicators to inform policy development, understanding the national system of innovation and sharing and exchanging knowledge.

CeSTII seeks to be a leader in national surveys that underpin benchmarking, planning and reporting on research and development (R&D) and innovation and technology transfer in South Africa. The centre adapts best practice international methodologies to measure STI indicators within an innovation framework that supports inclusive and sustainable socio-economic development to achieve this goal.

Its vision encompasses the growth of a local, continental and global footprint, impact and reputation that is rooted in high-quality research evidence, as well as strong researcher, policy maker and practitioner networks and the use of cutting-edge research technologies that improve output quality and quantity. The centre's work ethos rests on teamwork, inclusive diversity, shared-learning, creativity and a commitment to sustainability.

Research highlights

In 2017/18, CeSTII focused strategically on strengthening its 'core' survey delivery with a set of projects grouped under two themes: Measuring R&D Capacity in South Africa and Measuring Innovation Capacity in South African firms, to create a foundation for all other activities. The centre simultaneously launched pilot and small-scale research projects under a third theme entitled New Indicator Development that enabled the growth of its interaction with collaborators and stakeholders through a range of networks that support effective goal achievement.

The South African National Survey on Research and Experimental Development (R&D Survey) is a flagship annual project that reports R&D expenditure and performance data across five sectors: higher education, science councils, government, business and not-for-profit organisations. During 2017/18, we improved the planning, execution and timelines of surveys, completed fieldwork and reporting for the 2015/16 cycle and initiated fieldwork for the 2016/17 cycle, which included planning to adopt revisions to the OECD's Frascati Manual in the South African context.

We conducted workshops to engage survey respondents in higher education and government, responded to increased requests for data from government and other stakeholders and prepared infographics, sector-specific fact sheets on R&D trends and social media integration. This included in-depth research to investigate and communicate trends in R&D expenditure and performance in state-owned enterprises.

Preparation during the reporting period to roll out the South African Business Innovation Survey 2014-2016, CeSTII's second flagship project, included implementing the recommendations of a national review process. To this end, CeSTII created the infrastructure for a dedicated Innovation Survey Hub and trained 20 young black fieldworkers to run the survey through postal, telephonic and face-to-face modes.

In line with its vision, CeSTII will consult with DST and related-entity stakeholders, as well as other users, to develop a new STI research agenda over the next five years to complement its core focus. We need cooperation within and outside the HSRC to create a coherent critical mass and synergies to address the needs and participation of vulnerable and marginalised communities.

Innovation is integral to economic growth and development. Critically important is the inclusion of innovation in informal settlements in this equation. In 2017/18, we initiated a small-scale, desk-top project, specific to our Southern African context, to determine and pilot how to measure innovation in informal settings. Dr Isabel Bortagaray from the Institute of Sustainable Development, Innovation and Social Inclusion at the University of the Republic in Uruguay and an honorary CeSTII research fellow, contributed to this work that is being conducted in close collaboration with DST.

We also initiated case studies to understand the dynamics of innovation in informal settings locally, particularly how communities can access and collaborate with formal knowledge producers in universities and science councils. Progress includes the development of a framework for inclusive development innovation measures and indicators.

CeSTII collaborates with DST and partners with Stats SA to produce official STI statistics aligned with the OECD and NESTI. As a leader in this field, we share expertise with SADC and other African countries and collaborate with the NEPAD ASTII programme to provide training in STI indicators, and writing the African Innovation Outlook. We also provide technical advice to SADC representatives to implement STI policies and indicators. And in May 2017, CeSTII signed an MoU to formalise our collaboration with Namibia's National Commission for Research, Science and Technology (NCRST).

Locally, we strengthened our collaboration with the National Advisory Council on Innovation (NACI) by, inter alia, hosting a provincial roadshow in October 2017 to showcase the results of the NACI 2016 key STI indicators report to facilitate local dialogue around measuring systems of innovation.

Projects with impact

During 2017/18, CeSTII developed a strategic and systematic communication, dissemination, visibility and advocacy plan to increase the use and uptake of datasets, build collaborative research and policy networks, enhance the overall impact of our work and embed our reputation. Sharing expertise locally, globally and in the region is integral to our role as a public research institute and we experimented with ways of inserting evidence into the research-policy nexus.

More traditionally, we used events and the media to present research evidence, based on established international methodologies, as a solid basis for policy planning and learning. Early in 2017, the CeSTII team collaborated with the DST science and technology investments and media liaison team, NIPMO and SARIMA to conceptualise, plan, organise and coordinate the simultaneous release, in April 2017, of the 2014/15 R&D Survey and IP&TT Baseline Survey reports. This presented DST and its stakeholders with a public opportunity to reflect on R&D investment trends, as well as ways to promote the use of R&D outputs to enhance economic growth and address South Africa's many social challenges.

In collaboration with UNESCO-UIS, AOSTI and the NEPAD-ASTII programme, CeSTII is also involved in training and knowledge exchange throughout the region so that South Africa continues to shape global STI measurement practices from an African perspective. This is reigniting debates about using the OECD-related surveys as the starting point to adapt and design measures appropriate to local realities.

Democracy, Governance and Service Delivery (DGSD)



Figure 1: Comparing communities, understanding Social Cohesion and unity in diversity

DGSD profile

The DGSD research programme seeks to add value to the HSRC as a strategic knowledge partner and resource for addressing key national, regional and international issues on democracy, development, governance, service delivery, social cohesion, poverty, inequality and social justice. The BRICS Research Centre joined DGSD as a research unit in 2016 to consolidate a focus on global governance.

We use qualitative and quantitative research methodologies to propose strategic interventions that provide policy makers with evidence-based data to make choices and take decisions dealing with political and socio-economic challenges.

DGSD is a knowledge hub for high quality, strategic and independent inter-disciplinary research. Our work and outputs add value to national, provincial and local government, civil society and the wider academic and policy-development communities. We conduct comparative research to address South African issues in a continental and global context.

Research highlights

Frontline service delivery study, Department of Public Service and Administration (DPSA)

During the 2016/2017 reporting period, the Belgian Development Agency (BTC) Tirelo Bosha-Public Service Improvement Facility and DPSA funded a partnership with the City of Cape Town and a local NGO to improve service delivery and citizen engagement practices in three under-resourced areas of Nyanga (Mau, Old Location and Zwelitsha).

Residents in the areas live in mixed dwellings and face complicated social, political and economic dynamics. Constructive and sustained engagement between city officials and the communities was necessary to improve service delivery, especially the provision of water and electricity.

The project responded to government priorities, specifically Outcomes 9 and 12 of the MTSF, to create a responsive, accountable, effective and efficient local government system. A feedback session, well-attended by city officials and community members from Nyanga, confirmed that the project had strengthened collaboration between officials and communities. This improved service delivery and maintenance by making officials aware of the realities of service delivery in communities and helping community members to understand municipal structures and processes.

Policy Framework for Vulnerable and Designated Groups, Gauteng province

The Office of the Gauteng Premier of Gauteng commissioned DGSD in 2016 to develop a policy framework for designated vulnerable groups for the period 2016-2020. Collaboration between researchers and provincial policy makers ensured that the framework could be implemented by the province.

We collected information through literature and documentary studies, interviews with representatives and focus groups and a gap analysis of the existing provincial government policies that affected the six groups to determine new directions. Workshops with the Office of the Premier and provincial officials responsible for the designated groups contributed to finalising a framework that provincial policy makers can use to develop a transformation policy.

Subsequently, the Office of the Gauteng Premier commissioned DGSD to conduct an in-depth survey into the socio-economic status and needs of Gauteng's youth as another vulnerable group in the province.

Constitutional Justice Project (CJP)

Adv Michael Masutha, Minister of Justice and Correctional Services, released the final report CJP report on the Assessment of the impact of the decisions of the Constitutional Court and the Supreme Court of Appeal on the Transformation of Society in 2017.

The Minister identified one of the profound findings in the report, namely the need for a constitutional dialogue among the three tiers of government to improve the socio-economic conditions of South African society, as critical. The need was also identified in a historic meeting between the National Executive and Judiciary in 2015.

The research addressed the constitutional imperatives of socio-economic rights, separation of power and access to justice, as reflected in Chapters 11, 12 and 15 of the National Development Plan (NDP). The report is accessible at www.justice.gov.za. The CJP project led directly to the initiation of the Transformational Governance Index, currently an HSRC flagship. A number of publications have already evolved from the research.

The report, produced by a HSRC/ University of Fort Hare team and approved by Cabinet, analysed the jurisprudence of the apex courts and the impact of their decisions on South African society, as well as the extent to which state departments implemented decisions and the accessibility to South Africa's highest courts.

High-level Review Panel on National Legislation

We contributed to a report developed by the High-level Review Panel on National Legislation, led by former President Kgalema Motlanthe, to review the country's laws passed since 1994.

The Speakers' Forum, a structure of Parliament and the provincial legislatures, appointed the panel to investigate the impact of legislation in four key areas: the triple challenge of poverty, unemployment and inequality; the creation and equitable distribution of wealth; land reform, restitution, redistribution and rural development; and social cohesion and nation-building.

We assisted Working Group 3 of the High-level Panel on the Assessment of Key Legislation and Acceleration of Change to look at social cohesion and nation-building and drafted a chapter of the Final Report and a Diagnostic Report on the topic.

At-a-Glance Project, Vuwani

The HSRC released the results of its exploratory study in Vuwani entitled: *"We didn't ask for the Municipality: Unintended consequences of municipal boundary re-determination: Vuwani at-a-glance"* at a seminar in March 2018 that looked at the drivers of violence and conflict over municipal boundaries.

Community-led protests erupted after the Municipal Demarcation Board's (MDB) redetermination of boundaries in 2016, which recommended the merging of the Malamulele and Vuwani communities into the Lim 345 municipality. While boundary redetermination falls within the mandate of the MDB, lessons from the study assisted the Board to include objective discourse on municipal boundary redetermination in its processes.

The study also yielded important lessons for public engagement and consultation in South Africa, which cannot merely be an exercise in compliance. The process must be authentic and demonstrate a willingness to listen to community needs, which should be the crux of our commitment to provide public services that improve livelihoods.

The report was well-publicised across various media platforms, including the SABC KZN, Channel Africa, eNCA, SAFM MorningTalk, SAFM/TheTalk Shop, ANN7, ENCA, PowerFM, Radio 702, Business Day, Pretoria News, Mercury, Sunday Independent and The Star.

International Social Surveys Programme (ISSP), South African Social Attitude Survey (SASAS)

SASAS recently completed the design of an international survey of attitudes towards inequality that will be fielded in more than 40 countries in 2019. South Africa has been an official member of the International Social Surveys Programme (ISSP), through SASAS, since 2003. At the 2016 ISSP Annual General Meeting, South Africa – represented by the HSRC – was elected to the Drafting Group with the UK, Philippines, Sweden, Venezuela and France to design the 2019 ISSP Social Inequality Global Survey.

South Africa was elected group chair and tasked to lead the two-year design process. We presented new themes for inclusion in the 2019 survey at the 2017 ISSP plenary meeting in Switzerland, to explore more fully international attitudes to social inequality and capture opinions on urgent inequality-related issues.

A draft questionnaire was pre-tested in South Africa, the UK, Philippines, India, Australia and Venezuela and, as Drafting Group chair, South Africa presented and defended the content of the 2019 Global Social Inequality Survey at the 2018 ISSP Annual General Meeting in Mexico, where it was adopted for global dissemination in 2019.

The ISSP Social Inequality survey represents the long-standing, cross-national examination of attitudes to inequality and social mobility. Given the importance of better understanding public inequality beliefs and preferences and determining how South African values compare to those in other world regions, we are honoured to have played an instrumental role in designing the survey. Since the meeting in Mexico, South Africa has joined the ISSP Standing Committee for a four-year term and been elected onto the Drafting Group to design the ISSP Health 2021 module.

Economic Performance and Development (EPD)

EPD profile

The EPD programme delivers research and policy proposals for broad-based economic development and full employment to create a productive, inclusive and resilient country and continent. With our expertise in the dynamics of structural change, spatial development and migration, our purpose is to improve the evidence-based understanding of solutions to South Africa's pressing economic, development and employment challenges.

Research highlights

Backyard Shack and Informal Settlement Upgrading

High-density informal settlements, often concentrated in areas close to jobs and urban infrastructure, are a feature of the South African urban landscape. Local home owners and site holders have allowed shacks on their properties to accommodate the demand for housing in good locations and municipal authorities are challenged to support these settlements with existing infrastructure.

We conducted a detailed study to assess possible settlement upgrade strategies without de-densification and used the Joe Slovo Park (JSP) settlement in Cape Town as the main case study to recommend a settlement management and development approach to National Treasury and the City of Cape Town.

The JSP settlement is a highly dynamic social and economic space, with a significant informal economy, relatively high rates of employment and an active rental market. The settlement is socially fluid and dynamic as job seekers and newly urbanised families and individuals move around in search of better access to the city.

Significant findings from the study confirmed three major trends: the emergence of a large property rental market that provide additional income for site holders; a variety of new building formats for the rental market that range from double storey shacks to formally constructed boarding houses where

some of these buildings are dangerous, while others offer clues about possible future construction methods; and the need for vertical development solutions and the expansion of rental stock in these settlement communities.

Findings also indicated that settlement space commodification resulted in the privatisation of public space, which undermines the integrity of public life. A lack of communication between community structures and city authorities was one of the major causes of this situation.

We also evaluated housing satisfaction and the dynamics of informal settlement upgrading in Gauteng and started a major review of how the products and programmes of the Department of Human Settlements (DHS) over the past 25 years have affected access to the city by the poor. These findings will be reported in 2019.

Rural Land Needs and Land Reform

In 2017, the EPD conducted two important studies for the Department of Rural Development and Land Reform (DRDLR) with support from the Belgian Technical Cooperation and research support from the Universities of Fort Hare and KwaZulu-Natal.

One of the studies focused on the functionality and capacity needs of new District Land Reform Committees (DLRCs) in nine district municipalities in South Africa. The other study explored the nature of expressed community land needs in the same DLRC areas. Important review findings highlighted dysfunctional structures with little interaction between government structures and potential land reform beneficiaries.

Committees in some districts had no knowledge of potential beneficiaries. Farmers and other land seekers complained about non-engaged, self-serving committees that create obstacles rather than provide assistance. In other districts, some committee members attempted to hold committees together to operate at some level. The primary causes of frustration were slow bureaucratic functioning where contracts were not signed, new members not appointed and stipends not paid.

The land hunger study investigated the land needs of various groups of farmers, potential farmers and homeless rural dwellers, such as farmworkers. The study revealed a need for small, one-to-five-hectare parcels of land for farmers to gradually grow and mitigate risk. This was in stark contrast to the minimum 40 hectares proposed by the DRDLR in some provinces. Even with government support, farmers reported that they could not farm productively on land that was unsuitable or too large. As a result, some rent out land to graze cattle, contrary to agreements with the state.

Respondents also indicated a lack of access to traditional land from traditional authorities in some rural areas, with an increasing demand to hire unused land on redistributed farms. Landless and often homeless rural residents sought land for settlement, small backyard agricultural activities and other economic opportunities preferably close to part-time or seasonal employment, such as commercial farms or on the fringes of large rural towns. Many respondents had to diversify rural livelihoods without agriculture as their mainstay income. Small-scale and backyard agriculture, however, remain important for many as a means of household food security and a small income.

Innovations in Basic Service Delivery: Measure, Monitor and Evaluate

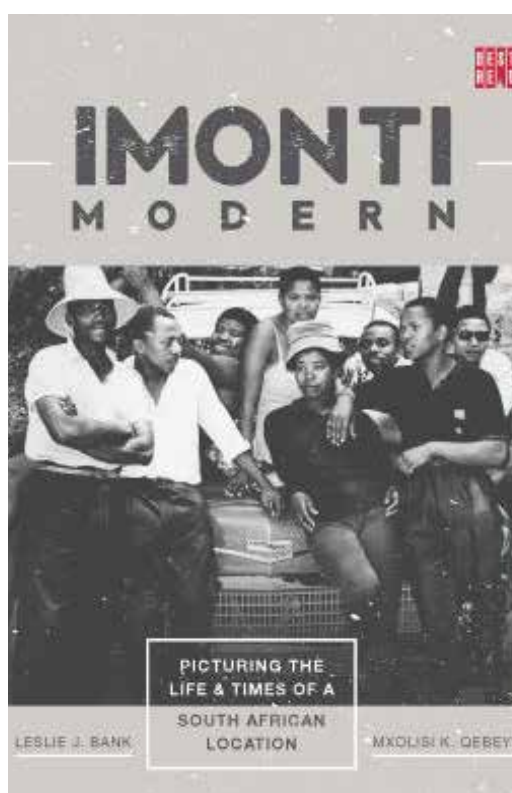
The Department of Science and Technology (DST), through its Chief Directorate: Science and Technology for Social Impact, embarked on an initiative to support several technology projects in 27 Priority District Municipalities (PDM). The core purpose of the Innovation Partnership for Rural Development Programme (IPRDP) is to strengthen municipal capabilities in science and technology leadership. Several science councils, universities and private implementation agencies have been contracted to demonstrate a suite of innovations in basic public services in remote and resource-poor local municipalities. The HSRC is leading the complex monitoring and evaluation component of the PDM.

The IPRDP is concerned essentially with demonstrating water, sanitation and energy technologies to improve basic public services in targeted rural communities. We completed the second round of data for the municipal innovation maturity index and community impact assessments in 2017/18, which included monitoring and evaluation.

Heritage, Tourism and the Creative Economy

EPD partnered with the University of Fort Hare and University of Johannesburg to explore issues of heritage and the creative economy.

In the Fort Hare partnership, we collected township photographs from residents and compiled them into a popular history of place with a focus on local engagement with city modernisation. We emphasised the reworking of the trans-Atlantic connection with black Americans in politics, music and popular culture and the role of these communities in the growth and development of African nationalism.



Newly released HSRC publication.

This place-based cultural history created a platform for township heritage tours and cultural restitution and community building as published in: *Imonti Modern: Picturing the Life and Times of a South African Location* (HSRC Press, 2017). The book was co-produced with a community historian and township resident in Buffalo City.

In partnering with the University of Johannesburg, we focused on excavating the cultural content of the creative economy in poor communities. Previous studies focused on the economic value of township tourism and paid little attention to cultural products produced on the outskirts of the formal economy. This project concentrated on developments in Soweto and Langa and drew on perspectives in this field.

The study strengthened our research links with the Department of Arts and Culture (DAC) and was funded by the South African Cultural Observatory (SACO) in Nelson Mandela Bay. We also pursued the cultural economy of cities in a project that focused on the relationship between universities and city building. Research findings will be reported on in 2019.

Data Innovation for the Promotion of Urban Inclusion

Addressing exclusion and inequality in urban society is one of the pillars of the UN 2030 Sustainable Development Goals (SDGs). In support of the SDGs, UNESCO launched its Inclusive Policy Lab initiative in 2017 to create an inclusive policy approach repository from which countries can draw best practices, tools, research reports and methodologies to advance inclusive policy making.

EPD received a UNESCO grant to explore the potential for data innovation to enhance inclusive policy making as part of its Policy Lab initiative. The qualitative research study focused on enhancing inclusive policy making of excluded youth from two informal settlements in Tshwane (Alaska) and Johannesburg (Diepsloot). We assessed the awareness among young people, as well as their access to and perceptions about the relevance of National Treasury's online platform, Municipal Money.

According to National Treasury, the platform provides citizens with information about how public resources are spent. The research report “Exploring the Potential of Data Innovation for the Promotion of Urban Inclusion: Case Study of Municipal Money in Two Informal Settlements”, highlighted a number of significant findings, including:

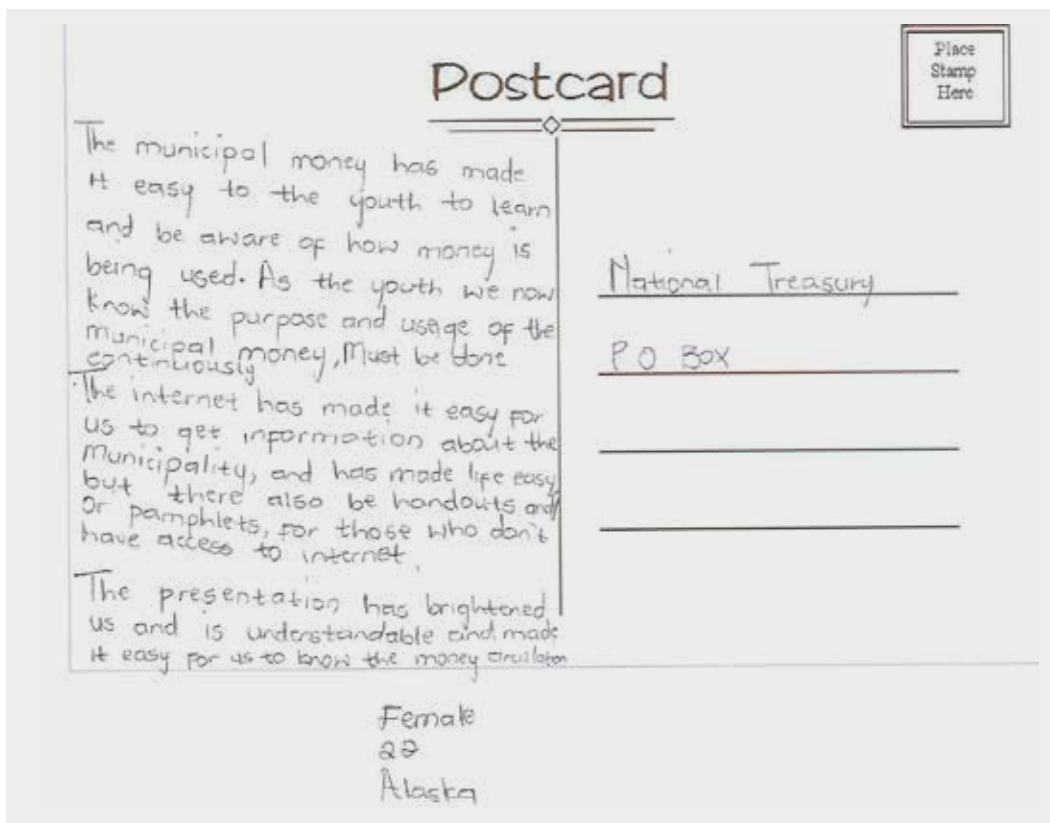
- The availability of data can potentially bring exclusionary budgeting and spending gaps into focus at the disadvantaged citizen level and provide poor communities and individual citizens with information about human-rights entitlement benefits
- Youth participants held a widely-shared view that official planning and consultation processes with local government structures and stakeholders tended to be opaque, high-level and unresponsive.

The Municipal Money platform was widely welcomed by young people as a catalyst for mobilising active citizenry among the youth and stimulate their interest and engagement in community development matters.

We hosted a closed-door seminar with Treasury officials and UNESCO in February 2018 to fully engage with the findings and explore their effect on the future development of the Municipal Money Online Platform.

Impact of projects

A project on “Reducing Spatial Inequalities through Better Regulation” for the Parliamentary High-level Panel on the Assessment of Key Legislation and Acceleration of Fundamental Change, examined the persistence of spatial inequality in the country and offered policy solutions for a more equal society in future. We presented the findings at two Parliamentary committee meetings during 2017 and the recommendations featured prominently in the Panel’s final report, which is currently being considered by Parliament.



Postcards to Treasury

The City of Cape Town and National Treasury's appreciation of the quality of the backyard shack work is likely to support further work in this area, while DHS also appreciated the highly qualitative and people-centred approach to city evaluation and the shift in understanding the perspectives among the poor about housing and settlement products.

The DRDLR project leaders were impressed with the findings of the land reform and land needs projects that confirmed the unsuitability of universal solutions in South Africa's diverse social, cultural, economic and physical environments. The department will now use a broader and longer-term needs assessment to better understand the dynamics of localised land redistribution challenges that may, in future, change the entire structure of the land reform policy. In addition, participatory evidence-based policy making may be institutionalised and the DLRCs may be used where the expropriation of farmland goes uncompensated.

The surveys on innovation in basic services has great significance for local municipalities through sharing and learning forums. The EPD team hosted a successful third Learning Forum with SALGA as integral to the monitoring and evaluation (M&E) approach and methodology of the IPRDP. The related municipal officials used the forum to share STI and compare service delivery experiences with their counterparts in non-IRPDP municipalities.

EPD also contributed to municipal development through the data involution project, which created a better understanding among the youth of how municipal finances and budgetary processes worked.

The Minister of Arts and Culture commended the EPD team on its work and collaboration with University of Fort Hare in heritage and the cultural economy. The Buffalo City Metropolitan Municipality subsequently asked for our assistance in initiating a wider focus on culture, heritage and township tourism development in 2019.

The most significant EPD intervention in the culture and tourism sector was our contribution to developing a new 2017-2027 Tourism Human Resource Strategy for the Department of Tourism (DoT). Data gathering entailed a comprehensive consultative and participatory research process that produced over seven background papers. The DoT is currently implementing its human resource strategy.

Education and Skills Development (ESD)

Programme Description

ESD's research focuses on national priorities related to Improved Quality of Basic Education for All, and sustaining a Skilled and the Capable Workforce to Support an Inclusive Growth Path. Our mission is to conceive, design and conduct ethical research that ultimately enables better quality education, a more skilled workforce and participation in the workforce, communities equipped with capabilities, and citizens freed from inequalities.

We deliver research expertise in fields of education, skills development and public and science relationships focusing on projects that: address national education and skills priorities; contribute to development of evidence which could inform relevant policies including redress of inequalities; support efficient resource allocation decisions; improve the quality of basic education; and explore ways to expand workforce participation.

The overarching goal of our research is to contribute to the development of educated, skilled and capable South Africans to promote human development and to support economic expansion that

follows an inclusive and sustainable economic growth path.

Highlights of work produced by ESD as innovations in knowledge production and policy advice for the year under review include the following reports:

1. The Occupations in High Demand (OIHD) report produced as part of the Labour Market Intelligence Partnership (LMIP) project.
2. Skills development legislation as a lever of change to reduce poverty, inequality and unemployment.
3. Furthering the Developmental Imperative? An assessment of the past 20 years of education legislation and policy in South Africa.
4. The evaluation of the Early Grade Reading Study (EGRS).

**1. Occupations in High Demand in South Africa: A Technical report
Reddy, Rogan, Mncwango & Chabane (2018)**

The LMIP required the technical analysis to estimate the occupations in high demand in order for the Minister of the Department of Higher Education and Training (DHET) to gazette the 2018 Occupations in High Demand (OIHD) List.

Numerous reports have cited challenges of skill shortages in the country as bottlenecks in both the production of goods as well as in the provisioning of services in the country. For the government, and more specifically, the Post-School Education and Training (PSET) system to respond effectively to the skills needs of the country, it is important to first, understand the nature and extent of skills needs. Only then can specific interventions be adopted to address skills shortages. Thus the imperative to identify occupations in demand both for now and the future, particularly to support government's strategic plans.

In the past, different modalities have been used to estimate the skills needed to inform skills development. Amongst these, are two key instruments: (1) the Annual Report on Skills Supply and Demand in South Africa which was conducted by the HSRC in 2017¹; and (2) the list of OIHD. Our report will thus be used to gazette the next version of the list of occupations in high demand (2018). For the first time in South Africa, the report presents a simple, credible, replicable, and transparent approach for assessing and identifying OIHD.

Using a novel methodology adopted after a detailed review of a number of international approaches (including OECD, MAC, NILS²) the design of the 2018 OIHD project methodology employed a hybrid approach where both top down (statistical) and bottom up (qualitative) evidence were considered and integrated to identify occupations in high demand.



National List of Occupations in High Demand: 2018 by the Department of Higher Education & Training

¹ http://www.hsrc.ac.za/uploads/pageContent/7429/LMIP_SkillsSupplyandDemand_Sept2016.pdf

² Organisation for Economic Co-operation and Development (OECD); Migration Advisory Committee (MAC); National Institute of Labour Studies (NILS).

This exercise yielded a list of 129 occupations at the 4-digit occupation Group with 369 6-digit occupations which are currently in high demand or are expected to be in demand in the future. The list of occupations identified through this process fits well within the existing literature on occupational shortages as well as with future growth initiatives. For example, the OECD identified skills gaps in the broad areas of management, health and teaching. The South African 2018 list identifies, inter alia, finance managers, business managers, ICT managers and construction project managers in the highest group of occupations in demand. Medical laboratory technicians and health care assistants are also in the top group of occupations as identified through the OIHD research. Nurses, while on the list, are slightly farther down in the classifications but, nonetheless, are identified as being in high demand. Also, both primary and secondary phase teachers are identified in the highest group of occupations in the 2018 list. In terms of engineering, our results suggest that civil engineers, mining engineers, industrial engineers as well as several types of engineering professionals and technologists are in the top group of occupations in high demand.

The OIHD list will be used to inform the planning processes of DHET with respect to the post school education and training systems, particularly in relation to enrolment planning, resource allocation, career advice and qualification development. Other stakeholders will also find this list important for strategic decision making regarding skills development and immigration processes.

2. Skills development legislation as a lever of change to reduce poverty, inequality and unemployment - Reddy, Wildschut, Luescher, Petersen & Rust (2017)

In 2016 the Speakers Forum of the National Parliament established a Panel for the Assessment of Key Legislation, to determine how legislation and regulations facilitate and constrain the transformational goals of a 'developmental state'. The Panel identified nine areas for review, with one focusing on skills development. The project employed a novel approach that combined a systemic review of the skills policy system and focussed, in-depth case study analyses of three core Acts. Drawing from this new evidence base, we outline two key findings and their related policy recommendations.

The systemic review considered a total of 66 pieces of legislation, policy and strategic plans/frameworks that directly and indirectly related to skills development in South Africa. The analysis confirmed the overall intent of the system towards being inclusive, but found that it remains oriented primarily towards improving responsiveness and relevance of skills (as illustrated in Figure 1).

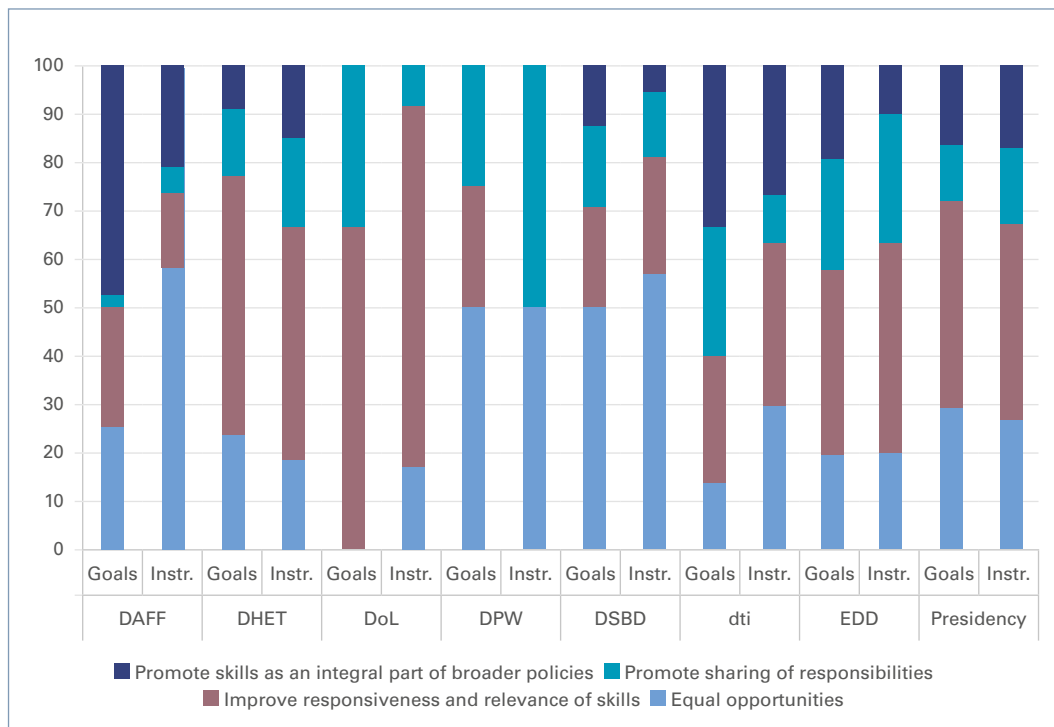


Figure 1: Focus of policy goals and instruments, and principles, by department

Note: The figure reflects relative proportion of policy goals coded and policy instruments identified through the systemic review of legislation and policy. The number of documents from each department is different, with DHET having the most number of documents.

Further analysis reveals that this focus is primarily towards addressing the skills needs of the formal labour market. Relatedly, the analysis finds that the skills policy system emphasis is structured towards the production of high-level skills, and less so to developing core skills and promoting employability. Overall, the systemic review thus finds a disjuncture between the skills policy system and the skills provisioning emphasis as against the actual skills needs in society, where the majority of unemployed and employed South Africans do not even have matric level qualifications. One important recommendation is thus that skills legislation should explicitly respond to the twin challenges of South African skills development, which is that we have a labour market showing demand for high skilled workers, but there is a surplus of low skilled potential workers. While this challenge requires continued investments in a differentiated higher education system, **we argue that a greater impact on poverty, inequality and unemployment can be made by more strongly focusing skills policy on quality lower NQF level qualifications (1 – 4).**

The in-depth analysis of specific core Acts (the National Qualifications Framework Act, the Skills Development Act and the Continuing Education and Training Act) in the PSET policy system augments our understanding of the enabling and impeding factors towards a skills development system that better addresses the challenges of poverty, unemployment and inequality. Here a central finding and major concern is the 'institutional sprawl' of advisory, administrative, planning, governance, funding and quality assurance bodies across PSET; the over-regulation that is sometimes referred to as the 'wet blanket' that suffocates actual provision of PSET-SD. As illustrated in the mapping of the NQF regulated space in Figure 2.

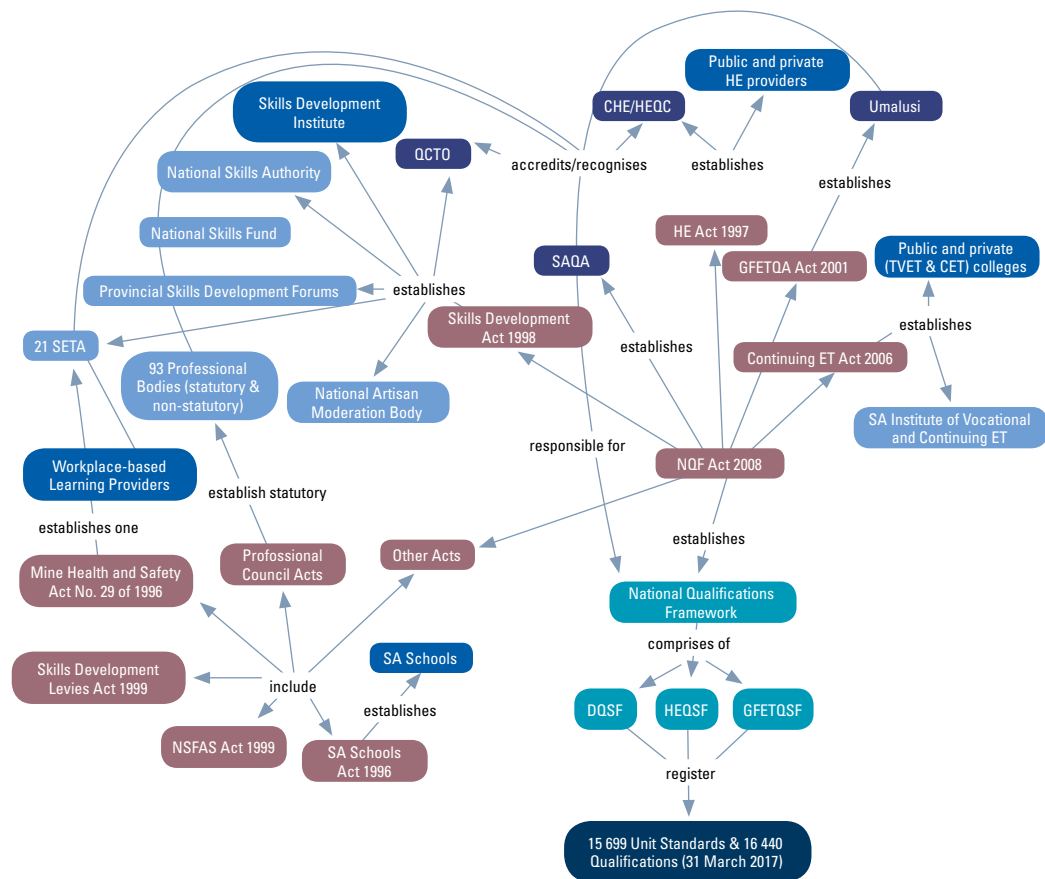


Figure 2: The NQF Act in relation to other SD/ET Acts and Institutions

In this regard, a key recommendation is to shift **the policy gaze away from regulation to skills provision and outcomes** that are concerned with a qualitative change in the lives of South Africans, fostering holistic human development, capabilities for sustainable livelihoods, and self-employment (and entrepreneurship). Thus, **instead of creating more institutions, more focus should be on improving linkages, rationalising regulatory arrangements, and enabling more flexibility for access to, articulation and progression through the post-school education and training (PSET) system as a whole.**

In sum, a key message from the project is that the skills legislative and policy system can become more inclusive by simplifying complexity and focusing on quality provision that aligns with the skills development needs of our South African society.

3. Furthering the Developmental Imperative? An assessment of the past 20 years of education legislation and policy in South Africa

The Education and Skills Development research programme conducted a policy review on behalf of the National Education Collaboration Trust, which set out observations from the past 20 years of education policy in South Africa. This report analysed and reflected on the impact of basic education policy and legislation in the country. In order to do so, it examined aspects of the policy framework which facilitate (affordances) and hinder (blind spots) the achievement of greater equity and quality in the education system. Through qualitative analysis of key pieces of government legislation and policy documents, which relate to all aspect of education, the following areas were examined: governance,

resourcing, teachers, curriculum, assessment, inclusive education and rural education. We examined the intentions of the policies under review in reference to the degree to which they facilitate or hinder development and the pursuit of social justice.

From the assessment, it was concluded that the education system, from a policy point of view, is addressing the base requirements of increasing access, expanding the system for early childhood development, developing a non-discriminatory curriculum and promoting gender equality. Areas where some progress has been made include: the equitable distribution of resources and the standardisation of basic infrastructure for learning. In terms of blind spots, the policy framework has led to the creation of a bifurcated education system with poor quality under-resourced schools on one hand and excellent quality well-resourced schools on the other. As a result, the framework has not been able to ensure equal opportunities for all learners or equal standards of quality education. This calls into question the extent to which learners' well-being and holistic education is being achieved. In order to pursue a developmental and social justice imperative, the goals of the education system must shift. Through addressing the blind spots that have been identified, the move to a system which is of a high quality and driven by excellence can be achieved.

4. The evaluation of the Early Grade Reading Study (EGRS)

Reading for meaning is an integral component of all learning. It is a foundational skill which must be developed in the early grades to facilitate the acquisition of other knowledge and skills. In order to address this challenge, the Early Grade Reading Study (EGRS) was initiated by the Department of Basic Education (DBE) together with academics at the University of the Witwatersrand, the Human Sciences Research Council (HSRC) as well as Georgetown University.

The EGRS was a large-scale randomised control trial implemented in 230 quintile 1-3 schools in the North-West province. There were three intervention models; each aimed to improve reading outcomes in the learners' home language (Setswana). The HSRC collected data over two years: Grade 1 learners were assessed twice in 2015 and again in Grade 2 in 2016 to compare the cost-effectiveness of the three intervention models. The Early Grade Reading Assessment (EGRA) as well as selected items were used to assess learners' skill levels.

Table 1: Three intervention models of EGRS large-scale randomised control trial

Intervention model	1: Training (50 schools)	2: Coaching (50 schools)	3: Parental involvement (50 schools)	Control (80 schools)
Teacher training (two days per semester)	X			
Teacher training (monthly coaching)		X		
Scripted lesson plans	X	X		
Graded readers	X	X		
Community literacy facilitators			X	

Results at the end of the second year indicated that learners in the second intervention group, i.e. Coaching, were the furthest ahead of the control group. These learners were able to read approximately 26% more words per minute than learners from the control group and were 40% of a year of learning ahead. As the other two intervention models had relatively small positive impacts, it was concluded that the second intervention model, coaching, was the most cost-effective intervention. The success of providing ongoing support to teachers so as to improve enactment of the curriculum indicates that the development of effective teaching practices are crucial to the improvement of learner outcomes in South African schools.

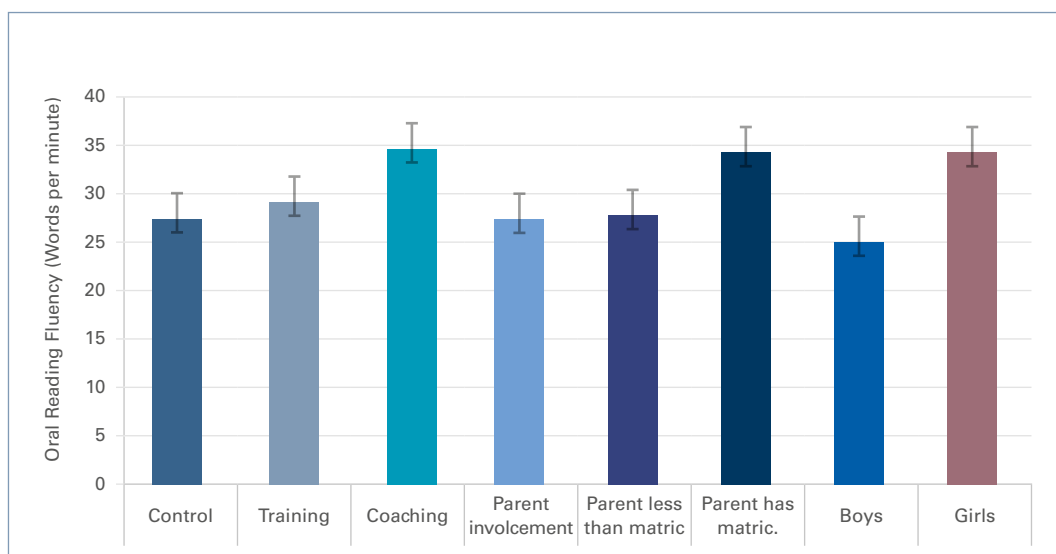


Figure 1: DBE. (2017). Summary Report: Results of Year 2 Impact Evaluation. The Early Grade Reading Study (EGRS).

HIV/AIDS, TB and STI (HAST)

HAST profile

HAST is a UNAID Collaborating Centre on HIV prevention research and policy with a multi-disciplinary team of over 50 full-time researchers who undertake approximately 25 applied social sciences research projects annually. The programme mentors 18 Masters, PhD and post-doctoral research trainees of whom three of the five senior researchers are black females.

Our research specialises in social determinants and social interventions to address HIV/AIDS, sexually transmitted infections and tuberculosis. The research strives to address these health problems at both the social and population levels and includes the social aspects of delivery models for biomedical interventions to improve implementation and effectiveness.

Key research themes

- Epidemiology and Strategic Information (ESI)
- Social, Behavioural and Biomedical Interventions (SBBI)
- Operations and Implementation Research (OIR)
- Social Aspects of HIV/AIDS Research Alliance (SAHARA)

These research themes are achieved by understanding:

- National and provincial surveillance (including the general population, economic sectors and most-at-risk/key populations)
- Socio-economic, cultural and behavioural determinants
- Structural/social, behavioural and biomedical interventions
- Stigma and discrimination
- Health-seeking behaviour, including HIV counselling and testing (HCT)
- Disability
- Mental health
- Implementation science

- Programme monitoring, evaluation and impact assessment.

The following will be included in the work programme going forward:

- Understanding the implications of HIV/AIDS as a chronic disease
- Understanding HIV co-infections with other diseases such as TB, STIs and silicosis and other cancers
- Combined HIV and TB surveillance
- Combined HIV and health surveillance (e.g. non-communicable diseases)
- Sexually Transmitted Infections (STIs)
- Multi-method HIV incidence estimation.

Research highlights

SABSSM series

Since 2002, the SABSSM survey series has provided critical information on the dynamics of the HIV epidemic in South Africa. The research contributes towards the NDP Health Goal 1: Raise the life expectancy of South Africans to at least 70 years and ensure that the under-20s generation is largely free of HIV by 2030.

The 2012 and 2017 surveys included a wider range of health issues, such as the health of infants and their mothers, child health and emerging interventions such as male circumcision. This provided a comprehensive assessment of the health, behaviour, knowledge and HIV status of South Africans to better understand their health and guide future strategies and programmes to reduce the impact of HIV on society.

Key objectives:

- Maintain surveillance of HIV infection and behaviour in South Africa for a better understanding of factors driving the HIV epidemic
- Collect data to evaluate and monitor the implementation and success of the South African National HIV, AIDS and STI Strategic Plan
- Collect data to monitor the HIV indicators required for the country reports disseminated to various international bodies

We conducted a cross-sectional, population-based household survey using a multi-stage stratified cluster random sampling approach. The study design and methods were based on those used and validated in the four previous HSRC surveys in 2002, 2005, 2008 and 2012 (Shisana and Simbayi, 2002; Shisana, et al., 2005, 2009, 2014) and included linked anonymous testing with informed consent (WHO, CDC, UNAIDS, FHI 360, 2017).

Health of educators' study

The HSRC and DBE released the results of a study on The Health of Educators in Public Schools in South Africa in June 2017, which assessed the impact of educators' health on the national objective to produce quality educational outcomes.

Various factors – work dissatisfaction and overload, personal health issues (including HIV infection, tuberculosis (TB) and non-communicable diseases) and exposure to violence – influence the health and wellbeing of educators within the school environment. These factors were identified in a similar study in 2004 and investigated again in a follow-up study in 2015/16.

We conducted the study in 1 380 randomly selected public schools throughout the country. The outcomes could influence public policy positively and encourage an adequate response to the threats of the HIV and TB epidemics in the education sector and other factors related to the health of educators.

Bothell BaTrans: First South African study into the prevalence of HIV in transgender women

Initiated and supported by the United States Centres for Disease Control and Prevention (CDC), with funding from the President's Emergency Plan for AIDS Relief (PEPFAR), the HSRC led the first South African integrated biological and behavioural survey on HIV in transgender women. The study is supported by various South African and international academic and civil society partners and commenced in January 2018.

We will survey 300 transgender women in each of the three study sites with a total sample of 900 respondents who will have access to HIV antibody testing (to test for HIV prevalence), antiretroviral testing, HIV viral load testing (to test the level of HIV in the body), screening for TB and testing for sexually transmitted infections (STIs).

MSM study

We conducted a study, with partners, into the HIV prevention needs of partnered men who have sex with men (MSM). HIV risk and transmission among male-male partnerships continues to be inadequately studied in many countries and under-represented in national HIV surveillance systems and targeted prevention programmes. Cultural and social contexts in Africa further impact negatively on the understanding of the unique behaviours, needs and challenges of male-male partnerships.

The study was conducted in KwaZulu-Natal, South Africa and Namibia in partnership with the Pietermaritzburg Gay and Lesbian Network in KwaZulu-Natal and Positive Vibes in Namibia. The findings were reported at the AIDS Impact Conference, co-hosted by HSRC and Stellenbosch University in Cape Town in November 2017.

Mapping project in Ghana

The HSRC is a technical advisor for the GMS II project, funded by the Ghana AIDS Commission (GAC). The GMS II is a mapping and population size estimate and Integrated Biological and Behavioural Surveillance Survey (IBBSS) to estimate the number of men who have sex with men (MSM) and the HIV prevalence among MSM in Ghana. The implementing partner is the School of Medicine at the Kwame Nkrumah University of Science and Technology (KNUST) in Kumasi, Ghana.

Research activities conducted in 10 regional capital cities in Ghana, namely: Kumasi, Sunyani, Accra, Cape Coast, Koforidua, Tamale, Sekondi-Takoradi, Bolgatanga, Wa and Ho uses a relatively new sampling method to recruit 'hidden' populations, such as MSM, called respondent-driven sampling (RDS).

National TB Prevalence Survey

Fieldwork for South Africa's first National TB Prevalence Survey started late in 2017. We are collaborating with the National Department of Health, South African Medical Research Council and National Institute of Communicable Diseases, with technical support from the World Health Organisation, to estimate the prevalence of TB in the general population with a national sample of 55 000 individuals in 110 clusters across the country. We expect to conclude the survey in November 2018.

Human and Social Development (HSD)

HSD profile

The HSD programme employs critical and theoretical lenses in the humanities and social sciences to explore complex questions about society and groups of people who live in adversity during their life spans (children, youth and families) to overcome legacies of oppression, especially those of inequality, racism, sexism and their intersection, and bring about social change.

We generate evidence to inform the choices and decisions of policy makers and practitioners in responding to South Africa's broad human and social development challenges. Our work centres on children in adversity, youth in the global south, families and reproductive justice, and society and belonging.

We adopt a historical, anthropological and philosophical perspective with a strong emphasis on contemporary narratives and the role of fiction and music in cultural reproduction and identity work. We pay close attention to diversity by interrogating how gender, race, class, sexuality, geography and age intersect in human and social development and how this shapes the trajectories of individuals, families and communities.

Research highlights

Ready or Not! A documentary about students' lives over five years

*HSD recently concluded research into how race, education and emancipation impacts transformation in South Africa's higher education institutions. The study followed a cohort of students from eight South African universities from 2013 to 2017 and portrayed their struggles and actions to change their circumstances and their institutions. In response to an identified need to share the stories, not academically only but with students, directly, we produced the Ready or Not! Black Students' Experiences of South African Universities documentary that reflects the testimony of 23 students at the eight universities.



A stills image from the documentary 'Ready or Not!'

In the current debate about decolonising curricula and knowledge production, the emancipatory, participant-centred documentary emphasises local contexts and provide opportunities for students to voice the challenges they face as the 'agents' in their stories and successes. It also provides a 'performative' social science opportunity as an alternative to traditional forms of dissemination such as publications, reports, conference presentations or policy briefs.

The documentary shares real-life experiences of accessing, starting, staying, passing, stopping, swapping, returning, finishing, graduating and working in the South African university system. These are important aspects that need to be considered at all levels in the tertiary education system.

A monograph, entitled Studying while black: Race, education and emancipation in South African universities, was published with the documentary. We envisage that the book and documentary

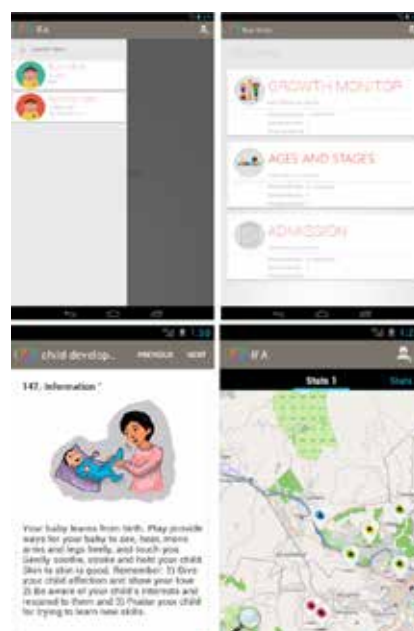
will become key resources for universities to orientate students, reflect on their own practices and conduct outreach to high school students. Despite the announcement of free education for new entering undergraduates, many first-generation university students require support to face the challenges of tertiary education.

Mobile health phone apps: A new frontier

Early childhood is a critical development phase and monitoring this stage to provide appropriate and timely feedback is a challenge in low resource settings. Community-based service providers play a key role in promoting early childhood development in areas where government services are weak.

Community-based service providers often collect, monitor and evaluate data for donors and local government. Usually, data collection aims to provide accountability, learning and correction to improve services. However, such data is often not used effectively to develop and implement programmes. This work focused on testing the feasibility and acceptability of the Information for Action (IFA) mobile phone app.

The IFA app was designed for use by community health volunteers (CHVs) and repackages routinely collected data about children into useful, offline decision support for caregivers. CHVs move door-to-door to support caregivers with the IFA app to collect routine child development data (such as height and weight). The app can turn these data into important information to assist CHVs and caregivers to better understand how well the child is developing.



A mobile phone app screen shots that turn M & E data into a child development decision-support tool

This innovative M&E approach shows how the creative, simultaneous collection and use of data can benefit caregivers and children. The IFA forms part of a wide-scale series of HSRC mobile applications developed as tools to the provision of community-based care.

Speaking Back! A photovoice exhibition



The invitation to the Speaking Back project exhibition, hosted in the Sweetwaters community hall where the study was conducted.

The Amazwi Ethu [Our Voices] project used photovoice methodology to gain insights about the challenges of vulnerable youth in the Sweetwaters community. Sweetwaters is a semi-rural area on the outskirts of Pietermaritzburg in KwaZulu-Natal with high levels of unemployment, HIV infection and extreme poverty.

The project allowed participants to "speak back" through the camera in support of the National Youth Policy (2015–2020) that emphasises the agency of young people to address their educational and economic needs and challenges.

Photovoice is a participatory action research strategy conceived by Caroline Wang and May Ann Burris in the early 1990s. The use of photography, combined with other ethnographic techniques such as critical dialogue and experiential knowledge, encourages participants to speak about social concerns in their communities to help ignite

social change. The photovoice methodology generates social awareness among stakeholders and policy makers and encourages their engagement with community concerns.

The youth in Sweetwaters were invited to take photos of their daily lives and share the images in a focus group discussion to stimulate conversations about their hopes, dreams, challenges and fears. The printed photos were exhibited in gallery exhibitions in Pietermaritzburg and the Sweetwaters community hall.

One 17-year-old female participant photographed a friend with an older man and added the following commentary: "This is an old man and this is my friend in her mini-skirt... This thing [the skirt] is for blessers... the girl is alright but she needs that old man just for money! So that is the existing risk for most women because they need money!" Some photographs reflected problems with alcohol, drugs and waste in the Sweetwaters environment, while others depicted faith and electricity as drivers of hope for the future.



"This picture best describes me, it describe who I am"



"Hope for the future: Free electricity: People are suffering because of the cost of electricity"



"This picture best describes young people that are about my age in my community"



"The picture shows the risk that young men face in my community"



"Goals for the future: this picture describes my dreams for the future"

Smallholder farmer's knowledge and attitudes towards livestock vaccinations

There is general consensus that smallholder livestock farming provides pathways out of poverty and contributes towards food security and sustainable livelihoods. The 2004 Integrated Sustainable Rural Development Strategy also identifies livestock farming as an agricultural activity that can be used to address food security and fight poverty in small-scale communal farming areas in South Africa. Similarly, the NDP's Vision 2030 regards agriculture as a vehicle for job creation in rural areas and within the agricultural development agenda, women as 'the invisible agricultural producers' are seen as key to eradicating global hunger.

Sustainable livestock-based livelihoods, however, are threatened intermittently by disease that reduces the productive capacity of animals and the supply of meat and other animal products. The Department of Agriculture, Forestry and Fisheries (DAFF) instituted the use of vaccination to combat devastating and infectious diseases.

Farmers need to be sufficiently knowledgeable about diseases and how to preventing them and implement practices that optimise livestock production and minimise the risk of disease outbreaks and other causes of livestock loss. Smallholder livestock farmers often lack knowledge and training in vaccination.

The HSRC partnered with the Agricultural Research Council to study the knowledge and practices of smallholder livestock farmers and their attitudes towards primary animal healthcare (PAHC), with a focus on vaccination. A total of 593 smallholder livestock farmers were interviewed in five provinces in South Africa (KwaZulu-Natal, Free State, North West, Mpumalanga and Eastern Cape) and direct farmer engagements explored gender dynamics in farming and how gender affected ownership and labour.

Key findings include:

- Only two thirds of farmers surveyed vaccinate their livestock while 65% use dewormers, with dipping as the most commonly used method of disease control
- Very few farmers isolate and restrict access to sick animals
- Close to 80% use antibodies to boost animal immune systems
- Farmers spend on average R2 272 per annum on animal healthcare and prevention products
- Smallholder farmer practices across the five provinces in the survey varied greatly
- Factors such as education, total household income and number of cattle owned significantly influenced farmers' spending on animal healthcare

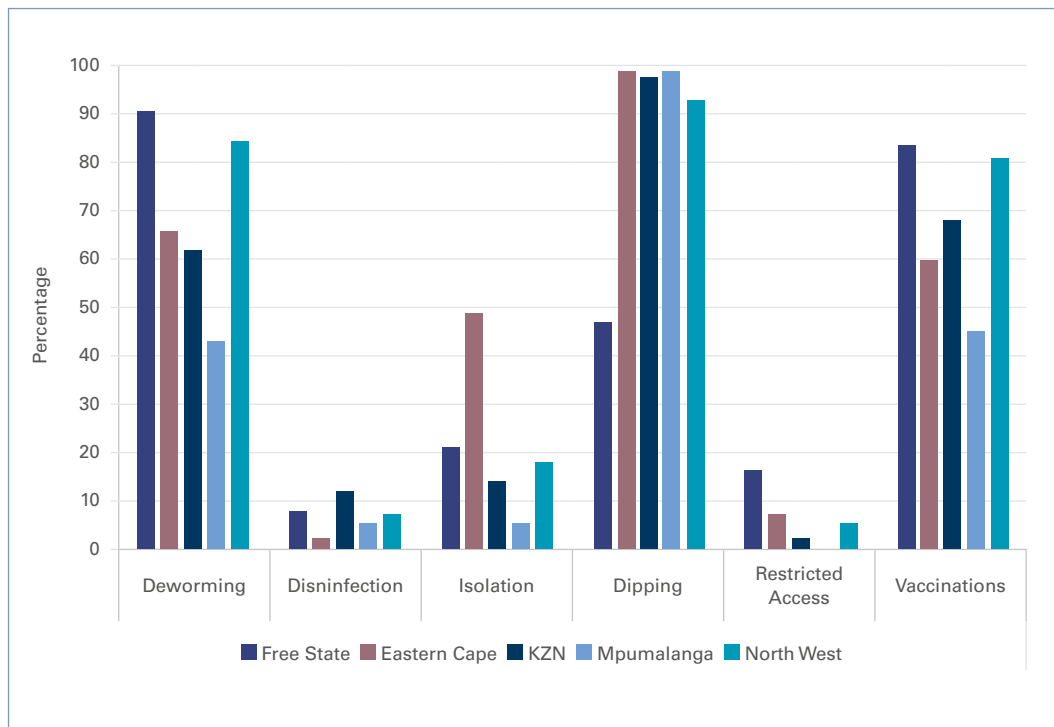


Figure 5: Six disease control measures adopted by farmers in the five provinces.

Despite the indicated spending on animal healthcare, farmers in rural areas regard vaccines as too expensive and inaccessible. Competing demands and scarce resources make livestock health a priority only when there are signs of sickness. Most rural livestock farmers also prefer a vaccine that can be used to prevent multiple diseases.

These research findings were shared with DoA, DoH and DSD representatives, as well as smallholder livestock farmers, state veterinarians, animal vaccine manufacturers, retailers and academics at a stakeholder engagement workshop in Pretoria in November 2017. The review of policies that regulate the distribution of animal vaccines to small-scale livestock farmers was a key recommendation to develop an effective livestock vaccine delivery strategy for the country.

The study also called for extension services to improve and revolutionise the delivery of animal health services in rural areas; education-level tailored training programmes for livestock farmers and the roll out of vaccines that address multiple animal diseases to limit costs and improve accessibility and use.

Population Health, Health Systems and Innovation (PHHSI)

PHHSI Profile

The programme uses social, economic, behavioural and human sciences to generate evidence for health policy, systems and promotion and enhance the impact on population health. The key research pillars are health economics and health systems; health promotion; disease prevention and behavioural sciences; nutrition and food security; and social and behavioural epidemiology.

Research highlights

The HSRC conducts research to address the triple challenge of poverty, inequality and inclusive development, which requires an understanding of South Africa's social, economic, political, cultural and environmental drivers. These challenges manifest in multiple ways in the health sector today.

The burden of disease is characterised by a quadruple burden of diseases including the HIV/AIDs and TB epidemics, increasing prevalence of non-communicable diseases (NCDs), high maternal and child mortality rates and high levels of violence and injuries.

Our research is relevant to the social determinants of health, strengthening of health systems, health promotion, disease prevention and behaviour change and addressing nutrition and food security.

Research projects

HealthRise Intervention

The HealthRise Intervention project aims to improve the detection, management and control of cardiovascular disease and diabetes among underserved populations. The project demonstrates how trained community health workers (CHWs) can contribute to health systems by strengthening and filling critical gaps in the NCD care continuum and delivery of a comprehensive range of services. Two local non-governmental organisations are responsible for implementing these services in two districts in South Africa. CHWs were trained on NCDs, health education, screening for diabetes and hypertension and referrals to the health care facilities to confirm diagnoses and patient follow-ups.

Over 15 000 people have been screened to date during visits to households, public health clinics, places of work and by participating in community health education campaigns. A total of 719 people screened positive for high blood glucose (≥ 11.0 mmol/L) and 2 849 for raised blood pressure, all of whom were referred to a clinic. Of those with positive screens, 45% and 28% were, respectively, newly detected cases and unaware that they had the risk factors.

The CHWs use mobile data collection systems. Household visits enable them to screen and monitor patients in rural areas who would otherwise not have travelled to a clinic to access health care.

Teen MomConnect

The study uses a combined, tailored M-Health program and motivational interviewing intervention to improve the outcomes of teenage pregnancy. The DoH uses an existing mobile intervention, MomConnect, to register pregnancies on a central database. The moms-to-be receive health education text messages and are encouraged to attend antenatal clinics. An identified weakness is that the messages are cognitively more appropriate for adult pregnant women rather than for teenagers.

Teen MomConnect is designed as a youth-friendly programme aimed at adolescents. Existing MomConnect messages have been tailored by age, motivational variables, appointment adherence, language and culture. Health workers at antenatal clinics will be trained to deliver motivational counselling to pregnant teenagers to enhance the impact of the Teen MomConnect intervention. The project's messaging system has been developed and 100 - 200 teenagers are being recruited as a pilot to test the feasibility, user acceptability and preliminary efficacy of Teen MomConnect.

The intervention is a health communication programme that provides enhanced health messages to a large number of pregnant teenagers via SMS and MI behavioural counselling. The study consisted of two phases.

Focus groups and individual in-depth interviews with pregnant teenagers (between ages 13-20) and healthcare workers were conducted to maximise message creation that is age-, cultural-, cognitive- and health status-appropriate. Findings from the qualitative phase informed the design of the MI intervention content, structure and design of the Teen MomConnect SMSs.

The quantitative phase will consist of collecting data from the 200 pregnant teenage girls in the pilot study, followed by randomly allocating 100 pregnant girls into the behavioural intervention of Teen-MomConnect plus MI and 100 to receiving the “usual care” through the standard MomConnect mobile intervention.

Findings from the qualitative phase show that in addition to inappropriate messages for teenagers, the negative attitudes and behaviours of maternal health care workers significantly influenced the perceptions and experiences of pregnant teenagers about reproductive and maternal health services.

The results from the quantitative phase will create an evidence-based data repository for the future work of maternal health experts at the Department of Health. Useful data and lessons learned will be shared with the global m-health movement, practicing obstetricians and academics in cognitive behavioural science and E-health.

Supporting Policy Engagement for Evidence-based Decisions (SPEED) for Universal Health Coverage in Uganda (SPEED): 2015-2020

This is a collaborative HSRC-Makerere University School of Public Health (MakSPH) project to enhance policy analysis and influence to achieve universal health coverage in Uganda. The programme consists of five main activity clusters: 1) Strengthening resources and expertise for policy analysis, 2) Knowledge generation, 3) Stakeholder identification and engagements, 4) Support for policy development and 5) Monitoring of selected policy implementation arrangements.

The HSRC is providing expertise in health policy and health system research and contributing to and supporting the production of the book documenting the state of the Uganda health system and policy implications for progress to universal health coverage, as well as leading the design, protocol development and analysis and reporting for the Policy Implementation Barometer (PIB) in years 1, 3 and 5.

One of our many successes during the 2017/18 financial year was a SPEED project symposium on health financing for universal health coverage in Kampala, Uganda that attracted participants from over 30 low-, medium- and high-income countries. The event created opportunities for partners and policy makers to engage about Uganda’s malaria and child survival policies.

The HSRC, as the responsible partner for the design and implementation of the PIB, assisted with the first wave survey that focused on malaria, family planning, maternal and child health and the production and dissemination of a technical report in Uganda and elsewhere.

The HSRC led the publication of the PIB protocol in a peer-reviewed journal and convened the first PIB seminar in March 2017 successfully to popularise the concept for application in South Africa. Discussions at the event highlighted many policy implementation challenges, while participants agreed about the importance and relevance of conducting similar policy implementation studies locally to facilitate implementation and stakeholder engagements.

The HSRC also contributed to two chapters of a recently launched book on “Universal Health Coverage in Uganda: Looking Back and Forward to Speed Up Progress” by the Makerere University School of Public Health, Kampala 2018 (ISBN 978-9970-627-00-4). (Available at <https://news.mak.ac.ug/2018/05/book-universal-health-coverage-uganda-launched-president-uhuru-engaging-mak-researchers>)

Research use and Impact Assessment (RIA)

RIA profile

The RIA research and knowledge-brokering programme is an inter-disciplinary team of 40 professionals (researchers and practitioners) that works across the research, science communication, policy advice, evaluation, and publishing value chain. The coordination and vertical integration of units working in these various parts of the value chain is premised upon synergies from digital connectivity and customer relations management, the sharing of feedback loops, and increased social/policy influence. RIA both conducts research in its own right and fulfils the HSRC's public good mandate by communicating research findings to the general public, convening multi-stakeholder forums, managing digital platforms, coordinating media liaison activities, and publishing scholarly book (both hard copies and via open access channels). A significant dimension of RIA's value proposition is as a network orchestrator.

The programme's responsibilities and activities are targeted at the interfaces between scientific knowledge, translation and interpretation, social policy, and programme implementation; and at the interfaces between various categories of state and non-state actors. As a result, our research and knowledge brokering activities are focused upon enhancing the quality, capability, and accountability of institutions. This is the golden thread that ties together South Africa's National Development Plan.

Our work is premised upon transdisciplinary theoretical and methodological perspectives, the diversity of the cultural expressions and peoples on the African continent, and the value of a participatory vibrancy in government-civil society interactions. Our research expertise encompasses root cause analysis, critical discourse analysis, costing and value for money assessments, systems analysis and decision-making, data aggregation, implementation science, M&E frameworks, disaster risk reduction, indicator validation and narrative change.

Research Highlights

Using HSRC dataset and indicators to track performance improvement in select government priorities

Nationally and globally, public sector organisations have recognised the need to adopt new technologies and move towards an open data approach, which supports the principles of data accessibility and openness. As a public research organization, in the context of government's expressed need for databases and knowledge hubs that track performance improvement in select government priorities, one of the HSRC's responses was to task RIA with leading an organization wide task team on developing an HSRC Indicator Dashboard.

In the first phase of this project to upgrade the HSRC's data reporting platforms, the work undertaken included:

- A scoping exercise of HSRC-produced dataset and the technology and programming work needed to develop an HSRC Indicator Dash Board
- Producing a centralised web-based indicator dashboard accessible by internal research staff members, across the HSRC network
- Directly link HSRC data to national, regional and international development priorities, i.e. the national Medium Term Strategic Framework (MTSF), Africa's Agenda 2063, and the Sustainable Development Goals (SDGs)
- Developing a project proposal on presenting an aggregated time series (where possible) overview of key indicators drawn from HSRC survey data

- Providing the means to drill into detailed results of surveys whilst accessing the aggregated indicator trend dashboard
- Mapping metadata definitions to individual indicators and questions
- Securing access to the data dashboard, using the HSRC Active Directory (Microsoft Windows system to control logon access to the HSRC network) and the application of access rules

In phase 2 of the project, the team will provide secure facilities to enable the public to access the HSRC dashboard, and also provide for public access to and the use of data analysis tools to browse granular data and identify trends.

Knowledge brokering highlight

Examining intergenerational trauma and fostering intergenerational dialogues

Discussions about the roots of contemporary social challenges often give cursory attention to the role that our traumatic past plays in these challenges. The appeal is often that we should forget about the past, and focus on the present and the future. Based upon the hypothesis that the long term individual and collective traumatic impact of historical injustices in contemporary South Africa have not been adequately addressed the HSRC in partnership with the Department of Science and Technology and Freedom Park hosted a seminar entitled: 'Intergenerational trauma and memory'.

Among the 108 delegates who attended the seminar were representatives from national and provincial government departments, academic institutions, the media, the HSRC, the Salvokop Youth Development Forum, the Voortrekker Monument, SA Women in Dialogue, Johannesburg Holocaust and Genocide Centre, the Consul-General of Bolivia, representatives of the Netherlands embassy, military veterans, and learners from the Pretoria Technical High School.

A notable presentation was that of Prof. Pumla Gobodo-Madikizela, who holds a Research Chair for Historical Trauma and Transformation at Stellenbosch University. Gobodo-Madikizela's presentation focused on the case of Nomonde Calata and her son Lukhanyo. Her husband, Fort Calata and three others were brutally murdered by the apartheid government and police in the 1980s and became known as 'The Cradock Four'.

Lukhanyo, who was only five years old when his father was murdered, was among the eight SABC employees that were dismissed for speaking against government's silencing of broadcasts on violent protests and in turn, himself became part of a number in public discourse – 'The SABC Eight'.

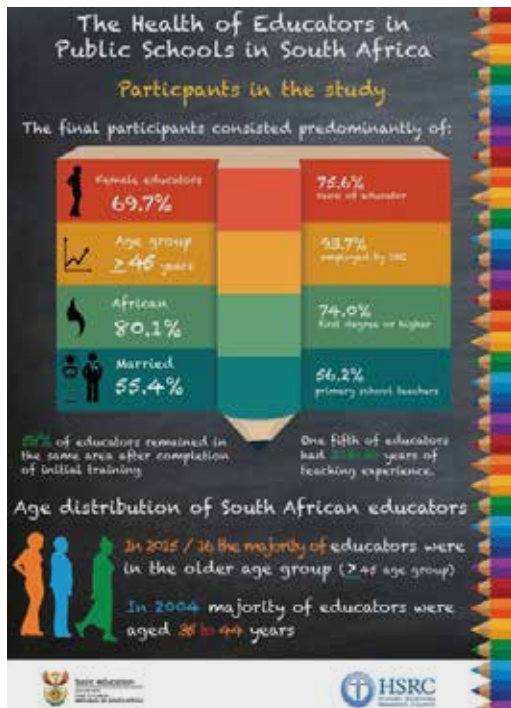
In addition to examining other case studies on and lived experiences of human rights violations, the grim daily realities of marginalized and vulnerable communities, and issues of collective shame and guilt – the seminar was also structured to facilitate conversations between the various generations of participants and knowledge practitioners. A key outcome of the seminar were proposals for new research collaborations on intergenerational trauma with Prof. Tholene Sodi from the University of Limpopo, with Prof. Ian Liebenberg from the Centre for Military Studies at Stellenbosch University, with the Centre for the Study of Violence and Reconciliation, and with the Khulumani Support Group.

This project and the new proposals extend similar humanities-centred work that RIA has been doing for the past decade on the experiences and contributions of military veterans. As contracted by the Department of Military Veterans, in 2017 RIA provided research assistance to a cohort of military veterans (Teboho Molotsi, Eddie Funde, Dan Mdhluli, and Themba Dlamini) in writing and publishing their autobiographies.

Profiling the HSRC through innovative communication

During the 2017/18 reporting period, the HSRC's communication programme generated publicity for the organisation of approximately R131 033 179 in advertising value equivalent (AVE) across a variety of media platforms (print, broadcast, digital). This included at least media 290 interviews about a range of issues.

Launch of the Health of Basic Educators study



In close collaboration with the research programme, The Health of Basic Educators report was simplified for easier public consumption. This entailed the production of promotional material, including fact sheets, news releases and infographics. Simplifying and publicising the content resulted in national coverage (print, broadcast, digital) of the implications of this study in establishing a strong and effective education system.

The HSRC's principal investigator, Professor Khangelani Zuma, conducted 20 interviews across mainstream and community print and broadcast platforms in a range of languages.

Release of the HSRC's Vuwani protests study

The communication team worked closely with the principal Investigator of this study to achieve the maximum coverage for the research. Positioned as an exploratory case study and possibly the basis for further research, the results yielded significant insights into the phenomenon of protest action in South Africa.

The strategic release of the study on 20 March 2018 ahead of Human Rights Day, resulted in avid media attention that generated nine media interviews in one week for the principal research investigator and significant exposure through print, broadcast and online coverage, such as in Business Day, Pretoria News (lead story) and AfroVoice (online platform).

Some examples of coverage received



Bizcommunity online platform



SABC Channel 404 broadcast



The Daily News (KZN) print platform

HSRC Press

HSRC Press achieved a ten-year record of publishing 21 new book titles during the 2017/18 financial year, undoubtedly one of the most exciting ranges of new titles published in a decade. Eight of the new titles were authored by HSRC researchers and/or research programme teams, which in itself is a noteworthy achievement. Fourteen are scholarly books and research reports under the HSRC Press imprint (www.hsrcpress.ac.za) and seven are general academic/non-fiction titles under the Best Red imprint (www.bestred.co.za).

HSRC Press, Africa's leading scholarly book publisher, carries scholarly and academic trade titles. Books in the social sciences and humanities are highly relevant with impactful evidence-based analysis from and about South Africa, Africa and the global south. Books produced by HSRC Press are distributed and sold across three continents and marketed on the HSRC Press open access platform.

The core focus of the list was inequality and poverty, which saw the publication of three seminal volumes that, respectively, address poverty and unemployment in the informal sector; critical links between development, social policy and community action, with important policy implications; and post-school learning and equality. The latter is a long-awaited critique and sequel to the 2007 volume that occasioned ground-breaking and policy-defining research in school education in rural and urban South Africa.

Some of the other new HSRC Press titles include analyses/discussions on capitalism and terrorism through the lens of modernity and tradition that conceptually reframes human wellbeing; the liberation struggle and Africa's position in defining democracy and freedom across the world; the philosophy of Biko; AP Mda's role in Africa's global leadership stature; the role of the media in addressing inequality; and the media backstory of the SKA. The second volume of New SA Thinkers expands the focus on Agenda 2063 and showcases scholarship from emerging writers.

Five new titles are scholarly contributions from HSRC researchers and three are landmark HSRC research reports: The TIMSS Grades 5 and 9 reports and new MIMMS report. HSRC Press also produced and printed 18 policy briefs.

Despite an 18% shrinkage in the publishing market locally, HSRC Press achieved an 15% increase in trade and academic retail sales during the past year, which attests to a growing mainstream recognition and uptake of HSRC Press books and reflects increasing levels of customer satisfaction. This is due also to successful events, effective promotional activities and significant publicity. A new book on inequality in cricket during apartheid, for instance, was publicised countrywide through the media and gave substance to the public debate and understanding of transformation in sport.

In addition, one of the new books was shortlisted for the NIHSS Awards in the best new nonfiction category, while Exclusive Books listed another as one of its Top African nonfiction titles.

During the past year, we increased stakeholder collaboration, which strengthened our networks with, inter alia, ZED, AUP, CASS, CODESRIA, NMF, UWC, UCT, DST, CSA, NIHSS, Wits, UFS, UFH and several other institutions locally and throughout Africa. We also established relationships and

expanded our networks through participating in international events, such as ECAS 2017 in Basel, Switzerland and key local events, such as the South Africa Book Fair, in Newtown, Johannesburg.

The ASSAf and CREST studies of scholarly publishing in South Africa (2017), indicates that the HSRC Press represents approximately 18,5% of South Africa's scholarly book outputs, including imports from international publishers. This sizeable and significant contribution, in local and international terms, is due in part to the country's impressive 7,1% global citation factor despite the fact that South Africa contributes only 0,1% to the global output of books and journals.

During the reporting period, we also launched the new HSRC Press website with increased functionality and navigation for mobile users throughout Africa and worldwide. This new platform supports our open access strategy and will increase dissemination and research impact.

Table 2: Scholarly Books

HSRC PRESS 2017/2018		
No	Title	Publication date
1	Media and Citizenship: Between marginalisation and participation	Aug 17
2	Biko: Philosophy, Identity and Liberation	Oct 17
3	Development, Social Policy and Community Action: Lessons from Below	Dec 17
4	The Stars in Our eyes: Representations of the Square Kilometre Array telescope in the South African Media	Dec 17
5	Broadcasting Democracy: Radio and Identity in South Africa	Mar 18
6	Young Families: Gender, sexuality and care	Jan 18
7	Learning for living: Towards a new vision for post-school learning in South Africa	Apr 18
8	The South African Informal Sector: Creating jobs, reducing poverty	Apr 18
9	New African Thinkers Agenda 2063: Culture at the heart of sustainable development	Feb 18
10	TIMMS 2015 Grade 5 National Report: Understanding mathematics and science achievement amongst Grade 5 learners in South Africa	Jan 18
11	TIMMS 2015 Grade 9 National Report: Understanding mathematics and science achievement amongst Grade 9 learners in South Africa	Jan 18
12	Moral Eyes: Youth and justice in Cameroon, Nigeria, Sierra Leone and South Africa	Apr 18
13	Studying while Black: Race, education and emancipation in South African universities	Jun 18
14	Monitoring Maternal and Child Morbidity and Mortality in South Africa: Strengthening surveillance strategies	Apr 18

Table 3: Best Read Titles

BEST RED 2017 2018		
No	Title	Publication date
1	Imonti Modern: Picturing the life and times of a South African Location	Jan 18
2	The Lone Wolves' Legion: Terrorism, colonialism and capital	Feb 18
3	Africa's cause must triumph: The collected writings of AP Mda	Mar 18
4	At the foot of the volcano: Reflections on teaching at a South African university	Mar 18
5	Divided Country: The History of South African Cricket Retold Volume 2 - 1914-1950s	Mar 18
6	Barometer of Fear: An insider's account of rogue trading and the greatest banking scandal in history	Sep 17
7	When the walking defeats you: One man's journey as Joseph Kony's Bodyguard	Nov 17

Research Methodology and Data Centre (RMDC)

RMDC profile

RMDC is a cross-cutting HSRC Research Stream programme that provides data curation, fieldwork and data capturing services, geographic information systems and statistical analysis to all HSRC research programmes and external clients. We conduct research by responding to relevant tenders in areas not specific to any of the HSRC research programmes.

Our key strategic objectives are to:

- Conceptualise relevant and efficient study designs to respond to specific research questions
- Ensure geographical representativity in sample designs
- Conceptualise spatial components of the research process
- Contribute towards development of quantitative data collection tools
- Provide fieldwork mapping tools
- Provide support on statistical and spatial analyses techniques to research
- Provide quantitative and qualitative data capturing services
- Promote and provide best practice in terms of data management standards
- Conduct methodological (statistical, demographic, spatial and GIS) research that aims to contribute to the knowledge and advancement of scholarly research

Research highlights

- Involved in key HSRC projects in health and HIV/Aids, namely the TB Survey and SABBSM V and led and guided others, such as Research & development trends in state-owned enterprises in South Africa and the Second Victim Satisfaction Survey. The latter focused on empowering and providing dignity to women in marginalised communities under severely stressful situations, while the TB survey focused on those marginalised because of their health and identifying the determinants of the disease
- Published four peer-reviewed publications during the past year, co-authored two monographs, one policy brief and one client report, co-published a number of HSRC review articles and presented two conference papers

Fieldwork and data capturing

The RMDC has successfully established digital data collection processes for two key national surveys:

- Fifth national HIV prevalence survey
- First TB prevalence survey

Data analysis

RMDC staff published a number of publications in this regard.

GIS

The successful consolidation of our GIS expertise during the past year ensures that the national sampling frame used to develop the HSRC Master Sample for panel surveys is maintained diligently to provide uninterrupted sample access for repeated surveys and data weighting.

Our continued support to the TB survey, SASAS, SABSSM V and other HSRC surveys included the creation of fieldwork maps for fieldworkers, advice to project teams on optimal survey locations aligned with the study criteria and telephonic guidance for fieldworkers.

We also managed the fieldwork and related outcome of the Second Victim Satisfaction Survey that focused on femicide and sought to make the Criminal Justice System (CJS) more victim-friendly and reduce secondary victimisation experiences. The findings highlighted an increase in domestic violence compared to the previous survey and recommended improved access to and the integration of Victim Empowerment Centre (VEP) services and increased resources.

The Gauteng Human Settlements Satisfaction Survey considered respondents' satisfaction with housing conditions. The GIS team provided input into the survey questionnaire and advised on sample design, data collection, data analysis and presentations. The team was also involved in a cross-organisational project, Developing an HSRC Indicator Dashboard, to create quick and easy results for reporting purposes for the HSRC's own datasets.

Data curation

Data curation has consistently ensured that the HSRC meets the targets of datasets curated year-on-year. During the reporting period, 24 new datasets were made available for secondary use (listed in Annexure A). The attributes of the 164 publicly-available datasets in the HSRC's research data collection (<http://datacuration.hsrc.ac.za/>) are described in Table 1.

Table 4: Attributes of curated datasets

Attribute	Number of datasets
Data type	
Qualitative	19
Quantitative	145
Origin	
Combination of primary and secondary data	11
Primary data	148
Secondary data: Compilation of existing data sources	5
Granularity	
Micro level data	153
Aggregated data	11
Kind of data	
Geospatial data	2
Relational database	12
Single tabular (component of related datasets)	63
Single tabular (one separate matrix of data values)	68
Thematic text collection	19
Time method	
Cross-sectional	46
Longitudinal	12
Longitudinal: Cohort/event-based	5
Longitudinal: Panel: Interval	3
Longitudinal: Trend/repeated cross section	73
Time Series: Discrete	3
Other	22

The datasets are used mainly for research and educational purposes and are monitored to provide a quantitative measurement of use. We launched a new performance indicator in April 2017 to identify the number of unique downloads of HSRC curated datasets.

We also launched an initiative in 2017 to give prominence to large-scale, repeat national surveys through dedicated websites to:

- showcase the survey as an important and worthwhile research endeavour
- enhance the uptake/impact of the findings of the survey
- promote and facilitate the use of the research products (data, findings, publications) of the survey as a knowledge, research and educational resource

The objective is to provide researchers and students with raw data and share analytical results in an interactive, easy-to-use way as an information resource for policy makers, the media and the public. The first of these websites went live in March 2018 (<http://sasas.hsrc.ac.za/>).

Strategic Performance

Performance against predetermined objectives

Performance against ADEPTS targets set in the Annual Performance Plan 2017/18

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 predetermined objectives at the end of the reporting period ending 31 March 2018 was 70% (16/23). When analysing at the ADEPTS level, performance in relation to each strategic outcome-oriented goal was as follows:

- A- Advancing knowledge and scientific excellence
88% (Out of 8 indicators: 7 achieved)
- D- Developing collaborative networks and applied research
67% (Out of 3 indicators: 2 achieved)
- E- Enhancing research skills and public awareness 67% (Out of 6 indicators: 4 achieved)
- P- Preserving and sharing data for further analysis
100% (Out of 2 indicators: 2 achieved)
- T- Institutional Transformation
0% (Out of 2 indicators: 0 achieved)
- S- Financial Sustainability
50% (Out of 2 indicators: 1 achieved)

Table 5: Summary of performance against ADEPTS targets set for 2017/18

	A	D	E	P	T	S
Out of 23	88%	67%	67%	100%	0%	50%

Table 6 presents a summary of performance against targets for the year ending 31 March 2018 as aligned with National Treasury guidelines for quarterly performance reporting (August 2011). In response to a request from DST, the table provides additional information (i.e. alignment with entity mandated objectives and priorities in the NDP) that explains the positive and negative variations.

Table 6: Key to performance information report

	Target for reporting period achieved or exceeded.
	Target for reporting period not achieved.

Table 7: Performance information: Planned and actual outputs and variants annalsis for the period ending 31 March 2018

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
1	A - Advancing knowledge and scientific excellence	For all of the indicators related to strategic outcome-orientated goal "A" contributions are made towards addressing: NDP priorities: 9, 13 HSRC Act: Section 3(a)					
Objective 1A: Disseminating of knowledge through publications and public dialogue							
1.1	Peer-reviewed journal articles (acknowledged journals) per researcher. (Programme 2: RID)	NDP priorities: 9, 13 HSRC Act: Section 3(a)	0.8	1.10 (200/181)	0.30	It is not easy to predict whether or when an externally-reviewed journal article will be published. Higher performance came at no additional monetary cost to the HSRC.	No remedial action required.
	RID excluding AISA		0.8	1.14 (191/168)	0.34	As above.	As above.
	AISA		0.8	0.77 (10/13)	(0.03)	As above. AISA researchers focused more on books and book chapters than journal articles.	As above.
1.2	Scholarly books published (Programme 2: RDI)	NDP priorities: 9, 13 HSRC Act: Section 3(a)	15	16	1	It is not easy to predict exactly when a book will be released. Higher performance is seen in a positive light and was achieved at no additional monetary cost to the HSRC.	No remedial action required.
	RDI excluding AISA		13	13	0	Not applicable.	Not applicable.
	AISA		2	3	1	As above (HSRC Programme 2).	No remedial action required.
1.3	Scholarly book chapters published (Programme 2: RDI)	NDP priorities: 9, 13 HSRC Act: Section 3(a)	54	42	(12)	It is not easy to predict when a book (and book chapter) will be released. The HSRC has numerous book chapters in the publication pipeline, some awaiting publication but not published as at 31 March 2018.	Ongoing review of progress with book chapters that are planned for publication in future financial years (review of progress: predominantly managed at individual research programme level).

Table 7: Performance information: Planned and actual outputs and variants analysis for the period ending 31 March 2018 (continued)

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
	RDI excluding AISA		48	34	(14)	As above.	As above.
	AISA		6	8	2	As above. Higher performance is seen as positive and was achieved at no additional monetary cost to the HSRC.	As above.
1.4	HSRC research seminars convened (Programme 2: RDI)	NDP priorities: 9, 13 HSRC Act: Section 3(a)	50	69	19	A high target was been set for the year, hence all relevant seminar opportunities are pursued. The over-achievement represents a small positive variance and came at no additional monetary cost to the HSRC.	No remedial action required.
1.5	HSRC Review publications produced (Programme 2: RDI)	NDP priorities: 9, 13 HSRC Act: Section 3(a)	4	4	0	Not applicable.	Not applicable.
Objective 1B Informing effective formulation of government policy							
1.6	Policy briefs produced and published (Programme 2: RDI)	NDP priorities: 9, 13 HSRC Act: Section 3(a)	15	19	4	There were several policy briefs in the production, review and publication pipeline during 2017/18. The HSRC does not always have control over external review and production processes. The target was met and exceeded without additional costs incurred.	No remedial action required.
	RDI excluding AISA		14	18	4	As above.	As above.
	AISA		1	1	0	Not applicable.	Not applicable.

Table 7: Performance information: Planned and actual outputs and variants annalsis for the period ending 31 March 2018 (continued)

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
1.7	Public dialogues on poverty and inequality hosted (Programme 1: Admin)	NDP priorities: 9, 13, as well as NDP triple challenges of poverty, inequality and unemployment HSRC Act: Section 3(a), 3(f)	4	4	0	Not applicable.	Not applicable.
1.8	Number of peer-reviewed journal articles by HSRC author or authors with at least 10 citations listed within 5 years from publication (Programme 1: Admin)	NDP priorities: 9, 13 HSRC Act: Section 3(a)	6 (annual target)	187	181	This is a new indicator. The target was set during 2016, when preliminary benchmarking was done based on a few published articles. During 2017/18, a full-scale project was undertaken to identify and track citations of all articles published during the past five years. Many more articles had high academic impact (as evidenced by the citations received) than originally anticipated. Note that this is an impact indicator. The HSRC cannot control how many times an article will be cited – it is only the quality, relevance and accessibility of the article that will determine future reference. Higher performance came at no additional monetary costs to the HSRC.	No remedial action required. The target is still low for 2018/19 but may be adjusted upwards for 2019/20.
2	D – Developing collaborative networks and applied research	For all of the indicators related to strategic outcome-orientated goal “D”, contributions are made towards addressing: NDP priorities: 3, 7, 9, 13 HSRC Act: Section 3(d), 3(e)					
Objective 2A Supporting collaborative research networks							

Table 7: Performance information: Planned and actual outputs and variants annalsis for the period ending 31 March 2018 (continued)

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
2.1	Historically Disadvantaged Institutions with which HSRC actively collaborated during the reporting period (Programme 2: RDI)	NDP priorities: 3, 7, 9, 13 HSRC Act: Section 3(d), 3(e)	5	6	1	To complement MoU-driven collaborative activities, other recognised forms of collaboration between research programmes and HDIs are also recorded. More than one research programme may collaborate with the same HDI. Centralised information sharing promotes synergies. Higher performance came at no additional monetary cost to the HSRC.	No remedial action required.
	RDI excluding AISA		4	6	2	As above.	As above.
	AISA		1	2	1	As above.	As above.
Objective 2B Promoting an African research agenda							
2.2	African research fellows hosted by the HSRC (Programme 2: RDI)	NDP priorities: 3, 7, 9, 13 HSRC Act: Section 3(d), 3(e)	14	7	(7)	Immigration regulations are posing numerous challenges and delays when longer-term appointments are considered. Some distinguished African researchers may be interested to collaborate with the HSRC but not necessarily to relocate to South Africa for an extended period.	A revised policy to allow for the short-term appointment of African research fellows, alongside the existing longer-term appointments, was approved in May 2017. Regular meetings are held with research programmes to help identify and address remaining bottlenecks.
	RDI excluding AISA		11	7	(4)	As above.	As above.
	AISA		3	0	(3)	As above.	As above.

Table 7: Performance information: Planned and actual outputs and variants annalsis for the period ending 31 March 2018 (continued)

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent (Programme 2: RDI)	NDP priorities: 3, 7, 9, 13 HSRC Act: Section 3(d), 3(e)	6	18	12	This is a relatively new indicator. It is not always possible to predict when journal articles will be published. HSRC researchers and their counterparts in other African countries responded positively and exceeded the target. The positive deviation came at no additional monetary cost.	No remedial action required.
	RDI excluding AISA		4	17	13	As above.	As above.
	AISA		2	1	(1)	As above. AISA staff focused more on books and book chapters than on collaborative journal articles during the past year.	Ongoing encouragement to co-publish journal articles with research counterparts in other parts of Africa.
3	E – Enhancing research skills and public awareness	For all of the indicators related to strategic outcome-orientated goal "E", contributions are made towards addressing: NDP priorities: 3, 9, 13 HSRC Act: Section 3(b), 3(c) and 3(d)					
Objective 3A Attracting skills for the development of a skilled and capable workforce							
3.1	Master's level interns (Programme 1: Admin)	NDP priorities: 3, 9, 13 HSRC Act: Section 3(b), 3(c) and 3(d)	42	45	3	The HSRC is committed to building research capacity and a positive deviation is deemed commendable.	No remedial action required.
	Admin excluding AISA		38	41	3	As above.	As above.
	AISA		4	4	0	Not applicable .	Not applicable.

Table 7: Performance information: Planned and actual outputs and variants analysis for the period ending 31 March 2018 (continued)

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
3.2	PhD level interns (Programme 1: Admin)	NDP priorities: 3, 9, 13 HSRC Act: Section 3(b), 3(c) and 3(d)	49	55	6	The HSRC is committed to building research capacity and a positive deviation is deemed commendable.	No remedial action required.
	Admin excl AISA		45	51	6	As above.	As above.
	AISA		4	4	0	Not applicable.	Not applicable.
3.3	Post-Doctoral Fellows (Programme 1: Admin)	NDP priorities: 3, 9, 13 HSRC Act: Section 3(b), 3(c) and 3(d)	25	23	(2)	There is significant competition (with the public, private and academic sector) for postdoctoral appointments. The HSRC managed to appoint one more postdoctoral fellow during Q4. If 2 PhD interns had completed their studies (see Indicator 3.5), this target could have been achieved.	No remedial action required.
	Admin excl AISA		23	23	0	Not applicable.	Not applicable.
	AISA		2	0	(2)	Comments as for HSRC, above.	As above.
Objective 3B Building research capacity for the human sciences							
3.4	Completed Master's level research internship (Programme 2: RDI)	NDP priorities: 3, 9, 13 HSRC Act: Section 3(b), 3(c) and 3(d)	5	7	2	It is not easy to predict how many interns will complete their degree programme during a particular year. Ongoing monitoring of study progress and dissertation submission remained in place. The target was exceeded, which is regarded as positive and did not come at additional cost to the HSRC.	No additional remedial action required.

Table 7: Performance information: Planned and actual outputs and variants annalsis for the period ending 31 March 2018 (continued)

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
3.5	Completed PhD level research internship Programme 2: RDI)	NDP priorities: 3, 9, 13 HSRC Act: Section 3(b), 3(c) and 3(d)	8	0	(8)	As explained above, for Master's degree interns. Several PhD candidates have already submitted their dissertations but the external examination process is often protracted with little control over the process.	The HSRC continues to monitor progress at programme and institutional levels. No additional remedial action required or possible.
	RDI excluding AISA		7	0	(7)	As above.	As above.
	AISA		1	0	(1)	As above.	As above.
Objective 3C Raising awareness of opportunities and contributions in social science and humanities research							
3.6	Training academy ("winter/summer school" or methodology workshop) hosted (Programme 2: RDI)	NDP priorities: 3, 9, 13 HSRC Act: Section 3(b), 3(c) and 3(d)	1	1	0	Not applicable	Not applicable
4	P - Preserving and sharing data for further analysis	For all of the indicators related to strategic outcome-orientated goal "P", contributions are made towards addressing: NDP priorities: 9, 13 HSRC Act: Section 3(g)					
Objective 4A Preserving research data and artefacts							
4.1	Preserved datasets (Programme 2: RDI)	NDP priorities: 9, 13 HSRC Act: Section 3(g)	23	24	1	The process of depositing, reviewing and curating data is time-consuming and it is not always easy to predict exactly when the curation process of an individual dataset will have been completed. The annual target has been slightly exceeded, at no additional cost to the HSRC. This is seen in a positive light.	No remedial action required.

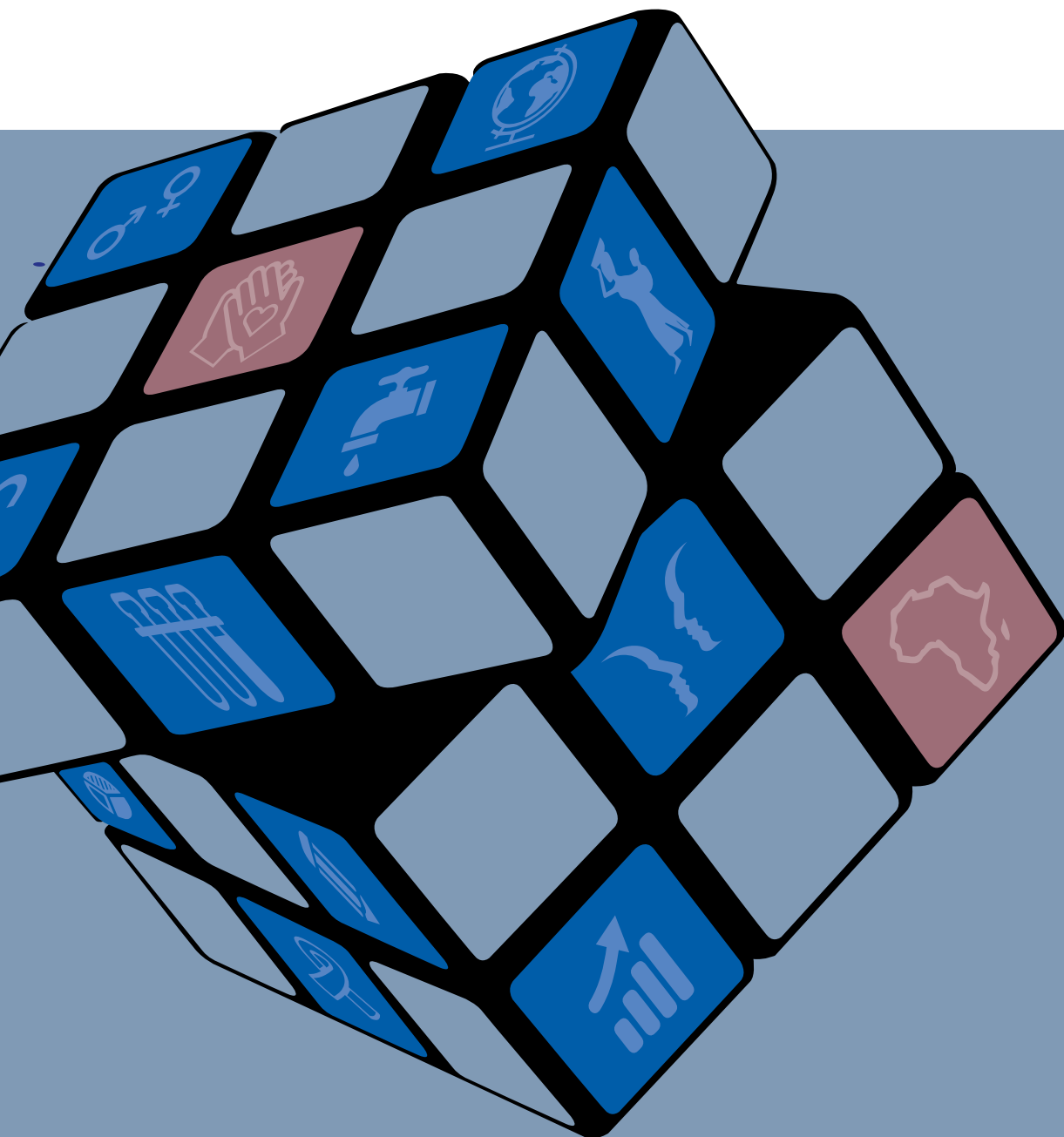
Table 7: Performance information: Planned and actual outputs and variants analysis for the period ending 31 March 2018 (continued)

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
Objective 4B Managing and promoting secondary use of research data							
4.2	Unique downloads of curated datasets (Programme 2: RDI)	NDP priorities: 9, 13 HSRC Act: Section 3(g)	450	507	57	This is a new indicator, designed to measure the impact and use of curated datasets. The number of downloads cannot be predicted or directly managed. A positive deviation is seen as commendable and was achieved at no additional cost to the HSRC.	No remedial action required.
5	T- Institutional transformation	For all of the indicators related to strategic outcome-orientated goal "T", contributions are made towards addressing: NDP priorities: 13 HSRC Act: Section 3(d)					
Objective 5A Ensuring ongoing transformation at the level of senior researchers							
5.1	Percentage South African senior researchers who are African ¹ (Programme 2: RDI)	NDP priorities: 13 HSRC Act: Section 3(d)	56%	33.33% (26/78)	(22.67%)	This is a very challenging target. The pool of senior researchers who are African is very small and universities and other research institutions are competing for it. The HSRC remains committed to ensuring representivity and will continue to single out senior researchers and set high targets for African (not only black) representivity.	In the recruitment process, the appointment of African researchers at senior levels is prioritised. The retention and internal promotion of senior African staff is also a priority.
	RDI excluding AISA		56%	28.77% (21/73)	(27.23%)	As above.	As above.
	AISA		56%	100% (5/5)	44%	The senior AISA research team historically consisted of African researchers only.	No immediate remedial action proposed but more diversity (especially appointing or promoting more senior female researchers) is a priority.

Table 7: Performance information: Planned and actual outputs and variants analysis for the period ending 31 March 2018 (continued)

Ind ref No	Performance indicator description	Contribution to national priority/ entity mandate	Cumulative target (for the year)	Cumulative output (for the year)	Variance <over/ (under)>	Challenges/Comments	Response to challenges / Remedial action
5.2	Percentage senior researchers who are female (Programme 2: RDI)	NDP priorities: 13 HSRC Act: Section 3(d)	49%	42.31 % (33/78)	(6.69%)	This is a very challenging target. The pool is small and universities and other research institutions are competing for it. The HSRC remains committed to ensuring representivity and will continue to single out the group of senior researchers and set high targets for female representivity.	In the recruitment process, the appointment of female researchers at senior levels is prioritised. Retention, accompanied by internal promotion, of senior female staff is also a priority.
	RDI excluding AISA		49%	45.21 % (33/73)	(3.79%)	As above.	As above.
	AISA		49%	0% (0/5)	(49%)	As above.	As above.
6	S – Financial Sustainability	For all of the indicators related to strategic outcome-orientated goal "S," contributions are made towards addressing: NDP priorities: 3, 13 HSRC Act: Section 4(2)					
Objective 6A Ensuring financial sustainability by securing extra-parliamentary income							
6.1	Extra-parliamentary income as a percentage of total income (Programme 2: RDI)	NDP priorities: 3, 13 HSRC Act: Section 4(2)	48%	52.03% (R289 863 000/ R557 106 000)	4.03%	It is not easy to predict the actual amounts of external income to be achieved and drawn down per quarter and per year. The small positive deviation is due largely to the high cost of major fieldwork activities being recovered from external grants and regarded in a positive light.	Ongoing monitoring of progress made towards achieving external income targets. No remedial action required.
6.2	Multi-year grants (Programme 2: RDI)	NDP priorities: 3, 13 HSRC Act: Section 4(2)	56%	39.53% (51/129)	(16.47%)	Short-term grants are also needed to help secure external income. It is not easy to predict the exact balance between long-term and short-term grants that are awarded.	No additional remedial action required.

² This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access, by promoting capacity building and career development of Black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.



Part C

Governance

Introduction

The Human Sciences Research Council (HSRC) is a Schedule 3A national public entity in terms of the Public Finance Management Act, 1 of 1999. The Minister of Science and Technology, as the Executive Authority, appoints the HSRC Board as the Accounting Authority to oversee the HSRC.

Portfolio Committees

HSRC delegations made two presentations to the Portfolio Committee on Science and Technology during the year under review:

- 3 May 2017: Presentation of the HSRC Annual Performance Plan for 2017/18
- 5 October 2017: Presentation of the HSRC Annual Report for 2016/17

The Standing Committee on Appropriations invited the HSRC to:

- Comment on the 2017 Appropriation Bill and discuss key issues on basic education, higher education, health, infrastructure, SMMEs, spatial development, economic growth, job creation, land reform and reforming State Owned Entities (SOEs)
- Provide a briefing on the Medium-Term Budget Policy Statement

Following this briefing, HSRC researchers did a rapid appraisal on publicly-funded learner transport to provide the Committee with evidence-based research on the extent and benefits of providing state-funded transport to learners attending public schools.

Executive Authority

As required by the PFMA and associated Treasury Regulations, the HSRC submitted the following reports to the Executive Authority during the year under review:

- Quarterly performance reports on 21 July 2017, 20 October 2017, 22 January 2018 and 20 April 2018 on progress made in the implementation of the Annual Performance Plan, including:
 - ▶ A report on actual revenue and expenditure up to the end of the quarter, as well as a projection of expected revenue and expenditure for the remainder of the financial year
 - ▶ A PFMA Compliance Report
 - ▶ A PPPFA Compliance Report
 - ▶ A Risk Management Report
 - ▶ A detailed Key Performance Indicator (KPI) report
- An Annual Report (25 August 2017)

The Board (Accounting Authority)

The role of the Board

The primary purpose and role of the HSRC Board are to provide effective corporate governance and oversight over the performance of the HSRC management. The Board is accountable to the Minister of Science and Technology (the Minister) and Parliament in respect of its functions and responsibilities.

Board Charter

The Charter is reviewed annually and allows an annual Board self-evaluation to assist the Board in, inter alia, reflecting on its compliance with the Charter.

Composition of the Board

The Board is appointed by the Minister of Science and Technology and consists of:

- a chairperson designated by the Minister
- not less than six and not more than nine other members
- the chief executive officer, who is a member of the Board by virtue of his office

The composition of the Board must be broadly representative of:

- the demographics of the Republic
- the various sectors in the field of the human sciences

At least one of the members appointed to the Board has financial expertise and at least one other member appointed to the Board is a distinguished representative of the social science research community in the rest of Africa.

The previous Board's term expired on 31 October 2017 and a new Board was appointed for a four-year term, effective 1 November 2017. The HSRC Board members for the 2017/18 financial year are reflected in the following table.

Table 8: HSRC Board members for the periods 1 April 2017 to 31 October 2017 and 1 November 2017 to 31 March 2018

Board members for the period 1 April 2017 to 31 October 2017	Date appointed	Qualifications	Board meetings attended			
			30 May 2017	31 Aug 2017	15 Dec 2017	27 Feb 2018
Ms Nasima Badsha (Chairperson)	1 Nov 2013	MSc (Medical Sciences)	A	P	P	P
Prof Crain Soudien (CEO)	1 Sep 2015	PhD (Social Foundations)	P	P	P	P
Prof Mark Bussin	1 Nov 2013	Doctor of Commerce	P	P	A	P
Adv Roshan Dehal	1 Nov 2013	LLB	A	P	A	A
Prof Shireen Hassim	1 Nov 2013	PhD (Political Sciences)	P	P	a	a
Prof Amanda Lourens	1 Nov 2013	PhD (Applied Statistics)	P	P	a	a
Prof Relebohile Moletsane	1 Nov 2013	PhD (Major: Curriculum Studies; Cognate: Teacher Education)	P	P	A	P
Prof Adebayo Olukoshi	1 Nov 2013	Doctor of Philosophy (Politics)	P	A	a	a
Prof Lulama Qalinge	1 Nov 2013	PhD (Social Work)	A	P	a	a
Dr Bothale Tema	1 Nov 2013	PhD (Science Education)	P	P	a	a
Board members for the period 1 November 2017 to 31 March 2018	Date appointed	Qualifications	Board meetings attended			
			30 May 2017	31 Aug 2017	15 Dec 2017	27 Feb 2018
Prof Mvuyo Tom (Chairperson)	1 Nov 2017	MB ChB (Bachelor of Medicine and Surgery); Master of Science in Public Policy and Management (Sociology); Master of Family Medicine	b	b	P	P
Prof Crain Soudien (CEO)	1 Sep 2015	PhD (Social Foundations)	P	P	P	P
Ms Nasima Badsha	1 Nov 2017	MSc (Medical Sciences)	A	P	P	P
Prof Haroon Borat	1 Nov 2017	PhD (Economics)	b	b	P	P
Prof Mark Bussin	1 Nov 2017	Doctor of Commerce	P	P	A	P
Adv Roshan Dehal	1 Nov 2017	LLB	A	P	A	A
Dr Abdalla Hamdok	1 Nov 2017	PhD (Economics)	b	b	A	P
Prof Relebohile Moletsane	1 Nov 2017	PhD (Major: Curriculum Studies; Cognate: Teacher Education)	P	P	A	P
Ms Precious Sibiya	1 Nov 2017	CA(SA)	b	b	P	P
Prof Lindiwe Zungu	1 Nov 2017	PhD (Occupational Health Nursing)	b	b	P	A

P: Present

A: Member absent with an apology

a: term ended 31 October 2017

b: newly appointed board members effective 1 November 2017

Board Committees

The HSRC has constituted the following sub-committees to assist it in its various oversight responsibilities:

The Audit and Risk Committee (ARC)

The ARC assists the Board in exercising fiduciary oversight of the HSRC. This committee is constituted in terms of section 51 (1)(a)(iii) of the PFMA, 1 of 1999. The Committee's responsibilities include oversight of reporting, combined assurance, financial information, internal and external audit, risk management and legal and regulatory compliance.

The Human Resources and Remuneration Committee

The aim of the Human Resources and Remuneration Committee is to assist the HSRC Board in fulfilling its corporate governance responsibilities, particularly in:

- determining, agreeing and developing the HSRC's general policy on executive and senior management remuneration
- determining specific remuneration packages for the executive of the HSRC
- determining and negotiating annual wage increases of senior management (CEO, EDs, DEDs, Directors)
- mandating the management team to conclude annual wage negotiations with the Union in respect of staff below director level
- determining any criteria necessary to measure performance of executive directors in discharging their function and responsibilities

The Research Committee

The Research Committee contributes to the development of the overall research portfolio and approach of the HSRC by working with management and staff to strengthen the research programme and support the CEO in terms of the HSRC's re-orientated strategic direction.

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

- identifying the HSRC research gaps (e.g. humanities-centred research)
- building capacity
- setting the Africa research agenda
- determining the research-policy nexus
- determining the relevance of the organisation's research focus areas
- assisting with strategies, such as improving journal article publications and research quality

Table 9: Sub-committee attendance: 1 April 2017 to 31 October 2017

Committee	No of meetings	No of members	Names of members
Audit and Risk Committee	3	7	Prof Amanda Lourens Prof Mark Bussin Dr Botlhale Tema Ms Maemili Ramataboe *Ms Crystal Abdoll **Mr Peter Grant **Mr Cedric Boltman
Human Resources and Remuneration Committee	2	3	Prof Mark Bussin Ms Nasima Badsha Prof Lulama Qalinge
Research Committee	2	5	Prof Adebayo Olukoshi Prof Shireen Hassim Prof Relebohile Moletsane Dr Botlhale Tema Prof Crain Soudien

* Member resigned effective 1 September 2017

** Members appointed effective 18 September 2017

Table 10: Sub-committee attendance: 1 November 2017 to 31 March 2018 (following the reconstitution of sub-committees of the newly appointed HSRC Board)

Committee	No of meetings	No of members	Names of members
Audit and Risk Committee	1	4	Ms Precious Sibiya Prof Mark Bussin Mr Peter Grant Mr Leon Moser Prof Haroon Borat
Human Resources and Remuneration Committee	1	4	Prof Mark Bussin Ms Nasima Badsha Prof Mvuyo Tom Prof Lindiwe Zungu
Research Committee	1	4	Prof Relebohile Moletsane Prof Haroon Borat Dr Abdalla Hamdok Prof Crain Soudien

Board orientation and induction

Following the reconstitution of the Board in November 2017, members were invited to an Inaugural Meeting hosted by the Minister of Science and Technology. The purpose of the meeting was introductory and also an opportunity for the Minister to share pertinent matters for the Board to focus on during its four-year term.

The entire Board participated in an induction on 15 December 2017 that included:

- an overview of the HSRC role and mandate
- governance structures
- a financial overview
- an overview of the Board organisational matters

Board evaluation

In keeping with the recommendations of King, the HSRC Board conducts an annual self-evaluation to assess its performance. The self-evaluation questionnaire assessed the following areas:

- Board structure
- Interaction
- Board focus and function

Members of the Board unanimously agreed that the Board was effective in the discharge of its duties.

Remuneration of Board members

The HSRC Board members are remunerated for attendance of Board meetings, as well as meetings called by the Minister of Science and Technology and any other HSRC committee meetings that they may be required to attend.

HSRC Board member remuneration is mandated by section 6 of the HSRC Act, 17 of 2008 and implemented in accordance with Treasury Regulation 20.2.2. Applicable rates are determined by the Minister of Finance and regulated by National Treasury, which amends these tariffs annually by means of a circular.

According to the Act, all Board members who are not in the full-time employ of the state must be paid such allowances as the Minister of Finance determines. No current HSRC Board members are employed full-time by the state and all Board members are therefore remunerated in accordance with the above-mentioned provisions.

In addition to remuneration, Board members are also compensated for travel/transport and accommodation expenses.

Board remuneration for the year under review is set out as part of the notes to the Annual Financial Statements on page 147.

Internal Audit and Audit Committee

The role of the Internal Audit Activity (IAA) is to determine whether the organisation's network of risk management, internal control and governance processes, as designed and implemented by management, is adequate and effective to ensure that:

- risks are appropriately identified and managed
- significant financial, managerial and operational information is reliable, accurate and timely
- resources are acquired economically, used effectively and protected adequately
- the organisation's objectives, goals, programmes and plans are achieved

Opportunities for improving controls, governance processes, risk management processes, service delivery and the organisation's image may be identified during the audits.

The IAA at the HSRC is outsourced. The Internal Audit Service Provider (IASP) annually prepares a three-year rolling and annual audit coverage plan for approval by the Audit and Risk Committee. The plan is risk-based and the scope of each audit is determined and agreed upon prior to each audit.

The following audits were completed during the year under review:

- Research Management
- Occupational Health & Safety
- Human Resources
- Audit of Predetermined Objectives
- Information Technology
- Follow Up: Performance Audit on Legal Services
- Supply Chain Management
- Asset Management
- Finance Review

Table 11: Audit and Risk Committee membership and meeting attendance

Name	Qualifications	External/ Internal	Date appointed	Date terminated	Meeting attendance			
					18 May '17	28 Jul '17	30 Oct '17	9 Feb '18
Prof Amanda Lourens	PhD (Applied Statistics)	External Board member	1 Nov '13	31 Oct '17	P	P	P	
Prof Mark Bussin	Doctor of Commerce	External Board member	1 Nov '13	Current	A	P	P	P
Dr Botlhale Tema	PhD (Science Education)	External Board member	8 Dec '16	31 Oct '17	P	P	P	
Ms Precious Sibiya	CA (SA)	External Board member	15 Dec '17	Current				P
Prof Haroon Borat	PhD (Economics)	External Board member	15 Dec '17	Current				A
Ms Crystal Abdoll	CA (SA)	External independent specialist	1 Jul '11	1 Sep '17	P	P		
Mr Cedric Boltman	MBA	External independent specialist	18 Sep '17	Current			P	A
Mr Peter Grant	Accounting	External independent specialist	18 Sep '17	Current			P	P
Mr Leon Moser	CA (SA)	External independent specialist	10 Jan '18	Current				P
Ms Maemili Ramataboe	CA (Lesotho) MBA	External independent specialist	1 Sep '11	31 Oct '17	P	P	P	

P: Present

A: Member absent with an apology

Board Secretary

The HSRC Board is assisted by a Board Secretary who provides secretariat and administrative support to the Board and its subcommittees.

The role and function of the Board Secretary include acting as liaison between the Board and the organisation, providing comprehensive support and guidance to the Board, 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.

HSRC Board Members



Prof Mvuyo Tom

Chairperson

Prof Tom has a rich background to his roles in South African higher education, public service, health system and social justice. With roots in the Eastern Cape, he studied and worked in various parts of the country and also has international experience. His undergraduate medical studies were at the University of KwaZulu-Natal and his post graduate studies in Family Medicine at University of the Witwatersrand. He earned a Master of Science in Public Policy and Management at the University of London's School of Oriental and African Studies.



Prof Crain A Soudien

Chief Executive Officer (CEO)

Prof Soudien is formerly a deputy vice-chancellor of the University of Cape Town where he remains an emeritus professor in Education and African Studies. His publications in the areas of social difference, culture, education policy, comparative education, educational change, public history and popular culture include three books, four edited collections and over 190 articles, reviews, reports and book chapters, including a 2017 publication entitled *Nelson Mandela: Comparative Perspectives of his Significance for Education*.

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 had 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.



Ms Nasima Badsha

Ms Badsha is the former chief executive officer of the Cape Higher Education Consortium. Previous positions include as Deputy Director-General in the former Department of Education (1997–2006); advisor to the Minister of Education (2006–2009); and advisor to the Minister of Science and Technology (2009–2012). She is a 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 Haroon Borat

Haroon Borat is Professor of Economics and Director of the Development Policy Research Unit at the University of Cape Town. He's co-authored two books and published over 150 academic journal articles, book chapters and working papers, covering labour economics, poverty and income distribution. He recently co-edited The Oxford Companion to the Economics of South Africa.

He is a non-resident Senior Fellow at the Brookings Institution, an IZA Research Fellow (Institute for the Study of Labour), a member of the World Bank's Commission on Global Poverty and a member of the UN-WHO's High Level Commission on Health Employment and Economic Growth. He is a member of the Board of the UNU World Institute for Development Economics Research (UNU-WIDER) and a member of the Editorial Advisory Board of The World Bank Economic Review.

He holds a highly prestigious National Research Chair, is an Advisor on the South African Parliament's High-Level Panel on Acceleration of Change and Transformation and has served as economic advisor to former South African Ministers of Finance. He was also an economic advisor to former Presidents Thabo Mbeki and Kgalema Motlanthe, formally serving on the Presidential Economic Advisory Panel.



Prof Mark Bussin

Prof Bussin is chairperson of 21st Century Pay Solutions Group; professor at the University of Johannesburg; professor extraordinaire at North West University; commissioner in the Presidency as a member of the Independent Commission for the Remuneration of Public Office Bearers; chairperson and member of various boards and remuneration committees; and immediate past president and executive committee member of the South African Reward Association. He is the 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.

HSRC Board Members

(continued)



Advocate Roshan Dehal

Advocate Dehal is an 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 currently as an advocate; and has been a commissioner of the small claims court since October 1996.

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

He obtained distinctions in several law subjects, in his BProc, LLB and LLM degrees and has received several leading community awards of distinction from centres in South Africa, India, UK and Asia. He was the youngest admitted attorney (at age 22 in 1979) and holds several liberation struggle awards for successfully defending/prosecuting human rights matters, especially in the apartheid days of South Africa and as a historically disadvantaged lawyer.



Dr Abdalla Hamdok

Policy Analyst/Economist by profession with over thirty years' experience with public, private and international organisations, with extensive work experience in Africa and the Middle East. Over the years developed an interest in economic and social policy analysis, focusing on issues related to sustainable development, strategic and corporate planning, poverty analysis, labour market, social protection and micro-credit, governance and public financial management and accountability, macroeconomic policies, institutions, capacity development and resource management. Currently works as Deputy Executive Secretary and Chief Economist, United Nations Economic Commission for Africa, based in Addis Ababa, Ethiopia.



Prof Shireen Hassim*

Prof Hassim is a professor of political studies and 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. She is 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.

She 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*. She 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*. She is an international research advisor to the project *Gendering Institutional Change*, based at the University of Manchester; has been a member of the senate of the University of the Witwatersrand for five years; was 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*

Prof Lourens is director: IDSC Consulting Pty (Ltd); a research fellow: Higher Education South Africa (HESA); and extraordinary associate professor at North-West University (Potchefstroom Campus). She was previously, vice-rector: research and planning at North-West University (Potchefstroom Campus); and a member of the National Research Foundation THRIP Advisory Board; the HESA Research and Innovation Strategy Group; and the ministerial committee for the development of a national integrated cyber-infrastructure system. She is a past president of the Southern African Research and Innovation Management Association and the South African Statistical Association; and past chairperson of the Southern African Association for Institutional Research.



Prof Relebohile Moletsane

Prof. Moletsane is a Professor and John Langalibalele Dube chairperson in Rural Education, College of Humanities, University of KwaZulu-Natal. She is a member of the UMALUSI Council and of the editorial committee and Board of the Agenda Feminist Media Project.

HSRC Board Members

(continued)



Prof Adebayo Olukoshi*

Prof Olukoshi is the former director: United Nations African Institute for Economic Development and Planning and interim executive director: Africa Governance Institute, both at Dakar and Senegal. He is professor of international economic relations and former executive secretary: CODESRIA. He previously served as director of research at the Nigerian Institute of International Affairs; senior research fellow/research programme co-ordinator at the Nordic Africa Institute; and was a senior programme staff member at the South Centre in Geneva.



Prof Lulama Qalinge*

Prof. Qalinge is a former 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, North West University. She is a member of Board of the Lesotho Highlands Development Authority, serving on the sustainable development subcommittee; and a member of Board of the Health Professions Council of South Africa (HPCSA).



Ms Precious Sibiyi

Ms Sibiyi, a member of the South African Institute of Chartered Accountant, studied at the University of KwaZulu-Natal and completed her CA articles with Deloitte in Durban in 1997. She has more than 20 years' work experience within areas of risk management, internal auditing and finance from junior to executive level of management. She has worked for, amongst others, SAB, Standard Bank, Development Bank of Southern Africa, Eskom, PRASA and SekelaXabiso. Precious has served and continues to serve as a member on various boards and audit committees within private and public-sector companies within SADC region. She has also chaired audit and risk committees of various companies.



Dr Botlhale Tema*

Dr Tema is managing director: African Creative Connections; a member of the advisory panel of the Network for the Co-ordination 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; and former ex-officio member of the South African National Commission of the UNESCO.



Prof Lindiwe Zungu

Professor Lindiwe Zungu is a National Research Foundation (NRF) C-rated researcher in the discipline of Health Sciences specializing in Occupational Health and Safety at the University of South Africa, College of Human Sciences and Department of Health Studies. Her illustrious academic career spans more than 10 years in positions from lecturer (2005) to Associate Professorship (2009); and from full Professorship (2011) and Research Professorship (2016).

Within the horizon of only one decade in academia, she has produced over 90 research outputs in the form of 45 articles in peer reviewed scientific local and international journals, 11 book chapters, 6 technical and policy reports and over 30 papers presented at scientific meetings. In addition, she assiduously supervised over 30 postgraduate students to graduation (22 Masters and 14 Doctoral) within the discipline of Health Sciences.

Through a Harvard University Scholarship and the University of South Africa (UNISA) Research Professor's Funding, she is one of the 2017/2018 Global Clinical Scholars Research Training (GCSRT) fellows at Harvard Medical School. She is a member of the University Council at UNISA (2017-2019) and also serves on the Technical Expert Panel for the Centre of Research Excellence at the Mine Health and Safety Council (2017-2020). Prof Zungu currently serve on the Boards of the South African Medical Research Council (2016-2019), Human Sciences Research Council (2017-2021), the Examination Board for Texila American University (2017-2018) and a member of the editorial board for the newly launched South African open access scientific journal, Family Medicine and Primary Health Care.

* term expired on 31 October 2017

Executive Management



Prof Crain A Soudien

Chief Executive Officer (CEO)

Prof Soudien is formerly a deputy vice-chancellor of the University of Cape Town where he remains an emeritus professor in Education and African Studies. His publications in the areas of social difference, culture, education policy, comparative education, educational change, public history and popular culture include three books, four edited collections and over 190 articles, reviews, reports, and book chapters, including a 2017 publication entitled *Nelson Mandela: Comparative Perspectives of his Significance for Education*.

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, former president of the World Council of Comparative Education Societies and former chair of the Ministerial Committee on Transformation in Higher Education.

He 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 Leickness Simbayi

Deputy Chief Executive Officer (DCEO): Research

Prof Simbayi is the DCEO: Research and the founding executive director of the HAST research programme, the largest and most successful research programme in the HSRC, a position which he held since its founding in July 2010 until 31 May 2016. Prof. Simbayi joined the HSRC on 1 November 2001 in the position of research director in charge of the Behavioural and Social Aspects of HIV/AIDS Research Unit in the then Social Aspects of HIV/AIDS and Health (SAHA) research programme, as well as the regional co-ordinator of SAHARA. He held this position until June 2007, after which he served as the deputy executive director of the SAHA programme until June 2009. After taking on the acting executive director position in February 2008, Prof. Simbayi was appointed as the executive director of SAHA in July 2009, and held this position until June 2010.

Prof Simbayi holds a DPhil Degree in Experimental Psychology from the University of Sussex in England, United Kingdom. He is a registered research psychologist with the HPCSA's Professional Board of Psychology and a Member of ASSAf. He is currently an honorary professor in the Department of Psychiatry and Mental Health at the University of Cape Town.



Ms Crystal Abdoll

Group Executive: Shared Services and Chief Financial Officer (CFO)

Ms Abdoll is a chartered accountant who has more than 25 years of experience in governance, risk and financial management. She previously occupied the position of Chief Audit Executive (CAE) at PetroSA (SOC) Ltd. She serves as a member of a number of audit committees in the public sector.



Dr Claudious Chikozho

Executive Director: Africa Institute of South Africa (AISA)

Dr Chikozho is the executive director for the AISA programme within the HSRC. He has more than 18 years' experience in the applied social science research and development sector. Dr Chikozho holds a PhD in Applied Social Sciences; a Master's Degree in Public Administration; and a BSc Honours Degree in Politics and Administration from the University of Zimbabwe. He also holds a Postgraduate Diploma in Monitoring and Evaluation from the University of Stellenbosch in South Africa.



Dr Vijay Reddy

Executive Director: Education and Skills Development (ESD)

Dr Reddy is the executive director: ESD and holds a PhD in Science Education from the University of KwaZulu-Natal. The three major thrusts of her research are large scale achievement studies, skills planning and public understanding of science. In addition she also conducts life history research. Dr Reddy has published a number of journal articles, book chapters, peer reviewed monographs and research reports. She has presented at many local and international conferences, including presenting a number of keynote addresses. She co-ordinated the South African component of the Trends in International Mathematics and Science Study in 2003, 2011, 2015 (and will continue in 2019) and has published extensively on TIMSS. She led the multi-year research project to support Department of Higher Education and Training building the Skills Planning Mechanism. She was the lead author of the Skills Supply and Demand Report as well as the technical report to estimate Occupations in High Demand.

Dr Reddy was acting DCEO: Management Support from 16 March 2017 until 31 August 2017

Executive Management

(continued)



Prof Narnia Bohler-Müller

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

Prof Bohler-Müller is the executive director: DGSD and is an adjunct professor at the University of Fort Hare. She is an admitted advocate of the High Court of SA, and is leading the Blue Economy Core Group of the Indian Ocean Rim Association.

Her research interests include international and constitutional law, human rights, democracy, governance and social justice. Her largest project with the Department of Justice and Constitutional Development, the Constitutional Justice Project, has been positively received. In 2016 she was shortlisted for the position of public protector.



Prof Ivan Turok

Executive Director: Economic Performance and Development (EPD)

Prof Turok is the executive director: EPD, as well as the editor-in-chief of the journal, Regional Studies, and chairman of the City Planning Commission for Durban. He is also, honorary professor at the universities of Cape Town and Glasgow, and has a PhD in Economics, MSc in Planning and BSc in Geography.

Prof Turok has 30 years' teaching experience in urban and regional economics, policy analysis and evaluation, local labour markets, economic development, urban regeneration and spatial planning. He has supervised 12 PhDs and many master's student to successful completion.



Prof Khangelani Zuma

Executive Director: Research Methodology and Data Centre (RMDC)

Prof Zuma serves as the executive director: RMDC. He was formerly the research director and head of Biostatistics in the HAST Research Unit. Prof. Zuma holds a PhD in Statistics from the University of Waikato, New Zealand, and an MSc in Biostatistics from Hasselt University (former Limburgs Universitaire Centrum) in Belgium. He has over ten years' experience as a statistician and has been involved in large-scale surveys and clinical trials as a statistician focusing on the conceptualisation, design and implementation of these studies.



Prof Geoffrey Setswe

Executive Director: HIV/AIDS, TB and STI (HAST)

Prof Setswe is the acting executive director: HAST, prior to which he was professor of Public Health at Monash University, Australia and founding head of the School of Health Sciences at Monash South Africa, where he also served as chair of the Senate (Board of Studies) between 2010 and 2013.

During his first term at the HSRC (2006–2010), Prof. Setswe was research director and also served as regional director and acting director: SAHARA. He was the founding director of the AIDS Research Institute at Wits University, where he co-ordinated HIV/AIDS research from 2003–2005.

Prof Setswe holds a Doctor of Public Health from the University of Limpopo, Master's of Public Health from Temple University, Honours BCur from MEDUNSA, BA Cur Degree from UNISA, as well as six diplomas in nursing and health management from UNISA.

Resigned 30 June 2017



Dr Heidi van Rooyen

Executive Director: Human and Social Development (HSD)

Dr Van Rooyen is the executive director: HSD and is a social scientist with a PhD in Psychology from UKZN. For the past 23 years, she has worked in the HIV field in various capacities, from counselling and training, to clinical and academic supervision, mentoring and research to policy development.



Dr Temba Masilela

Executive Director: Research use and Impact Assessment (RIA)

Dr Masilela is the Executive Director: RIA and previously served a five-year stint as the Deputy CEO for Research in the HSRC. His research interests include social development, public management, multi-stakeholder engagements and policy analysis. Before joining the HSRC in July 2006 as an Executive Director, he worked for a number of years as a special adviser to the minister of social development in the government of South Africa. He has degrees in economics, politics and communication; and is an alumnus of the Senior Executive Program for Southern Africa, run by Harvard Business School.

Organogram

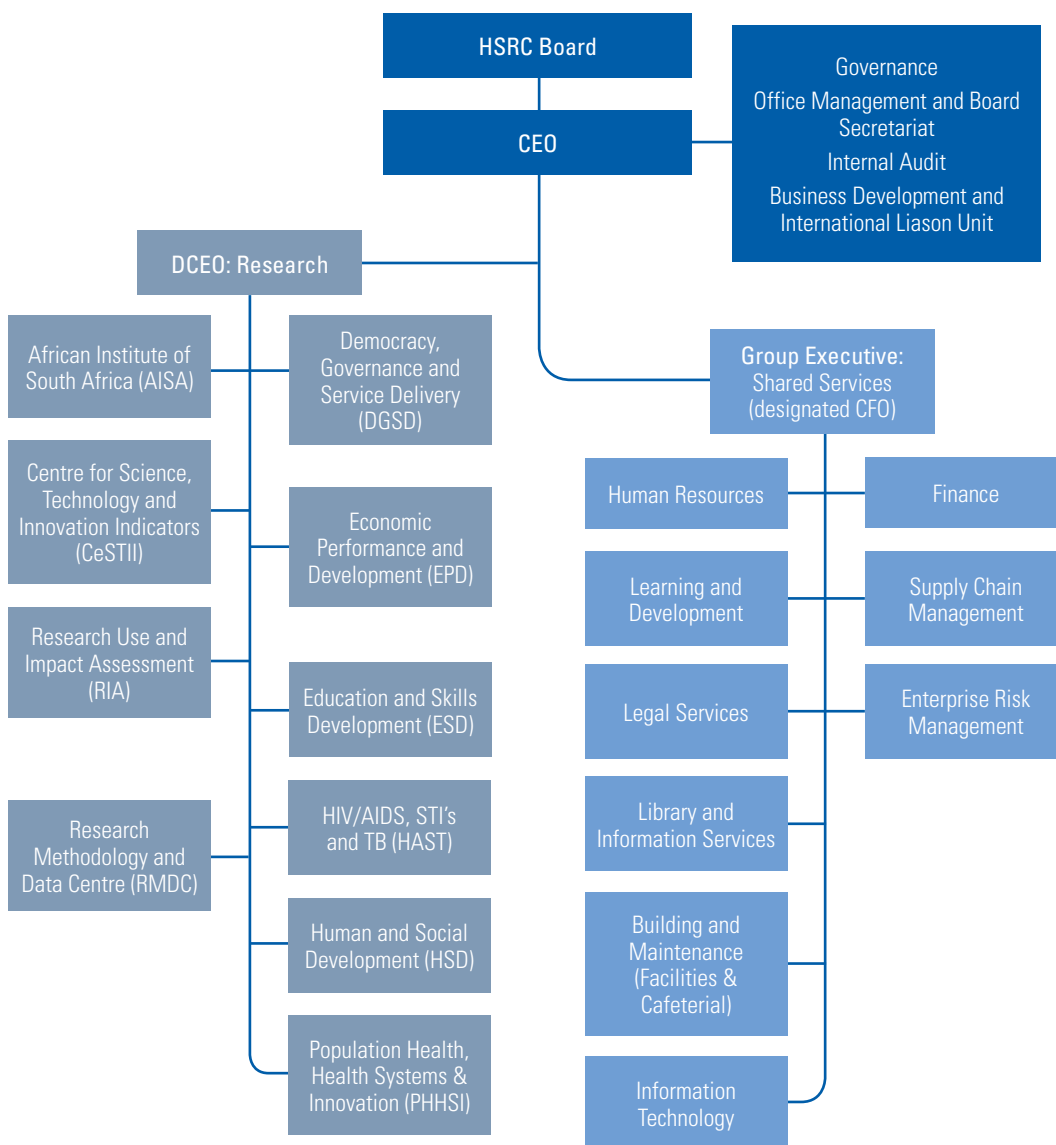


Figure 6: Organogram of the HSRC.

Ethical leadership

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

Research ethics

The HSRC functions in accordance with a Board-approved Code of Research Ethics. The establishment of a Research Ethics Committee (REC) was approved by the HSRC Council (now known as the HSRC Board) in 2002. The HSRC REC was constituted in 2003 and is the only internal institutional ethics review committee of the HSRC. International equivalent titles of the REC are “Institutional Review Board” (IRB) or “Independent Ethics Committee”. The REC aims to promote respect for human rights in research, as well as ethical values and research integrity within the HSRC. To this end, it reviews and monitors research proposals and practices in the HSRC from an ethical perspective and reports annually to the HSRC Board.

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 granted a permanent registration number, REC-290808-015-RA (Level 01). In February 2018, the fourth formal annual report was submitted to the NHREC, covering the 2017 calendar year. The next NHREC audit of the work of the HSRC REC will take place in July 2018.

In terms of international recognition, 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 for compliance with national research ethics guidelines (NHREC, 2015). Data collection may not commence until full ethics approval has been granted. The REC may grant exemption from ethics review to research that meets certain criteria, for example systematic 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.

The HSRC REC is constituted and conducts its work in accordance with formal Terms of Reference (TOR) and Standard Operating Procedures (SOP) that reflect requirements set by the NHREC as well as international oversight bodies. Its members are drawn from within and outside the HSRC. 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. Internal members are identified by executive directors of research programmes, to ensure that the committee has the capacity to review proposals across the areas of research specialisation in the HSRC.

The chairperson of the REC (Professor Douglas Wassenaar of the University of KwaZulu-Natal) is an independent external expert, supported by two deputy chairs — one (Professor Anne Pope) also

external and the other (Dr Mokhantšo Makoae) internal to the HSRC. HSRC REC members normally serve a three-year term of office. Members concluded their three-year term from 1 November 2014 until 31 October 2017 in the course of the 2017/18 financial year. The majority of external members were willing to continue with their work on the REC and the Board approved their re-appointment as well as the appointment of two new external members for a period of one year, as of 1 November 2017. New internal members, with alternates representing all the research programmes, were also identified and appointed.

The external members of the REC are:

- Professor Douglas Wassenaar – REC Chairperson, University of Kwazulu-Natal (UKZN)
- Professor Anne Pope – Deputy Chairperson, University of Cape Town (UCT)
- Professor Peter Cleaton-Jones — Steve Biko Centre for Bioethics, University of the Witwatersrand
- Professor Warren Freedman – UKZN (since 1 November 2017)
- Professor Theresa Rossouw – Faculty of Health Sciences, University of Pretoria
- Professor Jerome Singh – UKZN and University of Toronto
- Professor Anne Strode – UKZN (since 1 November 2017)
- Ms Nothemba Vusani – Community Representative Member

Ms Shirley Mabusela, a community member representative until 31 October 2017, chose not to continue her membership of the HSRC REC beyond her completed term of office.

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 proposed community engagement plans:

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

In compliance with national guidelines (2015), ethics approval is only given for a one-year period - annual ethics approval must be applied for in relation to all ongoing projects, failing which, the ethics approval lapses. Approval letters 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.

The REC met 10 times via video- and teleconference, as scheduled between 1 April 2017 and 31 March 2018. A total of 89 new applications were considered, of which 42 were internal to the HSRC and 47 were external. Two new applications (both internal) were formally granted exemption from full review.

There were 21 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 17 applications for 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 Evaluation¹ (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. Apart from the above-mentioned TRREE training, no additional formal workshops dealing with research ethics were offered to REC members or HSRC staff during 2017/18. This is expected to receive more attention in 2018/19, now that the re-constituted REC has taken office.

¹ *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.treee.org>)

Research integrity

The HSRC remains 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), during the reporting period. 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

In terms of compliance requirements, the HSRC met all the requirements as set by the Office of Research Integrity (ORI) in the United States of America, for research funded by their Department of Health and Human Services (DHHS). During the year under review, no allegations of potential misconduct by HSRC staff members were received.

A number of enquiries from persons who had experienced problems with individuals or issues falling outside the jurisdiction of the HSRC and its RIOs were received and advice offered. Networking relations with RIOs at three higher education institutions in South Africa were maintained and one of the two RIOs (Dr Van Zyl) was asked to serve as a member of the interim steering committee of an emerging African research integrity network (ARIN) which was established in 2015. Training and awareness raising to promote responsible conduct of research continued.

With active involvement of ARIN members, a day-long workshop on research integrity in Africa was hosted at the May 2017 conference of the Southern African Research and Innovation Management Association (SARIMA), which was held in Windhoek, Namibia. Through ARIN, the HSRC also contributed to a session entitled, “Research Integrity: A matter of global and African concern” at Science Forum South Africa (SFSA) held in Pretoria in December 2017. Three HSRC-specific workshops were hosted in collaboration with experts from within and outside the HSRC:

- authorship issues, plagiarism and predatory journals on 26 June 2017
- financial conflict of interest in research on 4 September 2017
- practical workshop dealing with plagiarism and its detection and prevention on 4 December 2017

CSI and stakeholder relations

Key national and international partners are critical to enhancing the profile of the HSRC and supporting the research programme priorities.

Key highlights

5th Annual eThekweni Research Symposium

Under the broad theme “Strengthening Research collaboration to Support Radical City Transformation” the 5th Annual eThekweni Research Symposium took place at the Durban Chief Albert Luthuli International Convention Centre on 1-2 June 2017. This collaboration comes within the context of the MOU signed between the HSRC and the eThekweni Municipality, as part of a consortium of universities and research bodies in KwaZulu-Natal, in 2015. The partnership is aimed at strengthening evidence-based policy, planning and development implementation.

Other partners included the Durban University of Technology (DUT), Mangosuthu University of Technology (MUT), University of KwaZulu-Natal (UKZN); University of South Africa (UNISA) and the University of Zululand (UNIZULU).

Knowledge Collaboration Workshop: HSRC, StatsSA and Parliament

The HSRC participated in a workshop on knowledge collaboration to enhance the depth of analysis in the National Development Plan (NDP), South African Development Community (SADC), Agenda 2063 and Sustainable Development Goals (SDGs) on 16 May 2017. The workshop concentrated on the support that STATSSA and HSRC can provide to the Parliament Knowledge and Information Services Division.

Delegation from the Chinese Academy of Social Sciences visits HSRC

The HSRC and the Chinese Academy of Social Sciences (CASS) have enjoyed a productive partnership since the re-signing of the MOU in 2015. Over this period, several joint collaborative activities have been hosted. During the year under review, a range of key research themes were identified for collaboration, including issues related to governance, urbanisation, new technologies, political science and industrial economics.

HSRC Team Meets with UNAIDS Delegation

A delegation from UNAIDS met with an HSRC delegation in Pretoria in February 2018. Areas of focus included the memorandum of understanding governing the partnership and emerging priorities which would guide future collaboration.

The MoU between HSRC and UNAIDS aims to strengthen the collaboration in the following areas:

- highlighting the results of the HSRC studies and findings at international forums, most notably International AIDS Conferences and ICASA and providing a platform for promoting HSRC capabilities
- increasing the understanding of the role of structural drivers of the HIV epidemic in South Africa and the effective community engagement and non-biomedical interventions to end the epidemic
- analysing data and research findings from HSRC studies and conducting systematic reviews and meta-analyses to inform policy and programmes

SARIMA 2017

The Southern African Research and Innovation Management Association (SARIMA) 2017 Annual Conference took place from 22-25 May 2017 at the Safari Court Hotel and Conference Centre in Windhoek, Namibia. SARIMA is a membership organisation of Research and Innovation Managers that operates at an institutional, national and international level, as well as across the value chain, from research through to successful innovation (commercialisation).

The purpose of the association is to promote research and innovation management for the benefit of southern Africa. At the conference the HSRC hosted a pre-conference workshop as well as an exhibition.

Research Integrity Workshop

The HSRC hosted a pre-conference workshop that dealt with Research Integrity in Africa. The day-long workshop took place on 22 May and was attended by 20 delegates from various research institutions in Botswana, Malawi, Namibia, South Africa and Tanzania, as well as a Namibian permanent delegate to UNESCO. The interactive sessions and final panel discussion aimed to:

- raise awareness on research integrity in Africa
- identify priority areas for future attention
- consider opportunities for further dialogue and possible collaborative networking

BRICS Research Centre participates in the T20 Think Tank

On 30 May, Dr Jaya Josie from the HSRC's BRICS Research Centre, participated in a roundtable discussion themed: "Refugees in Low-and-Middle-Income Countries." This was followed by a presentation made by Mr Krish Chetty and Ms Nozibele Gcora on the topic of T20 Germany and Beyond: Digital economy. The presentations at the roundtable discussion involved key recommendations from the two T20 policy briefs on Bridging Digital divide: Skills for the new age and measuring digital literacy.

Recommendations from these policy briefs form part of the important threads that have been taken up by the G20 policy makers under Digitalisation. As the member of the T20 Think Tank, the HSRC's BRICS Research Centre shall continue to champion broad based knowledge sharing around G20 priority areas, networking and opportunities for further collaborations.

Dr Josie and Dr Konosoang Sobane also contributed to a policy brief on "Education and Skills Development in the Context of Forced Migration", which also produced recommendations that were accepted by the T20.

Science Forum 2017

The DST Science Forum South Africa took place on 7 and 8 December at the CSIR International Convention Centre in Pretoria. The 3rd Forum was held under the theme "Ignite Conversations about Science", which had a specific focus on the social sciences and humanities, as well as the role of science in Africa's development.

The HSRC enjoyed a strong presence at the Science Forum. A number of researchers participated in a very successful panel titled, *Can Inclusive Development Be Transformative?* During this panel discussion, HSRC researchers presented the innovative work we are undertaking in this area.

Another successful panel was coordinated by the HSRC's Dr Michael Gastrow which focused on the Square Kilometre Array (SKA) telescope, which is arguably South Africa's flagship science

project. It has had a significant impact on economic and human development. The SKA has provided hundreds of bursaries and other forms of support for skills development. Technological spin-offs and partnerships have boosted financial sustainability and innovation capabilities and high-capacity ICT infrastructure in local communities.

This panel reflected on the relationship between the SKA and human development, drawing on theoretical debates at this interface. The opportunity was also used to launch Gastrow's book, *The Stars in Our eyes: Representations of the Square Kilometre Array Telescope in the South African media*.

HSRC chairs Indian Ocean Rim Association (IORA) academic group

The HSRC's Professor Narnia Bohler-Muller chaired the meeting of the IORA Academic Group. The Academic Group agreed on a number of important regional initiatives including:

- strengthening the Academic Group as IORA's think tank. South Africa will lead a sub-committee to drive the reforms needed, including the institutionalisation of an annual Indian Ocean dialogue, which will be hosted in South Africa in 2018
- encouraging cross regional collaboration, including the increased mobility of academics, researchers and students
- ensuring a comprehensive research agenda, including peace and security, the blue economy and women's empowerment as priority areas

The HSRC will ensure that academics and researchers from across the country are involved in research related to the IOR, with team leaders from the HSRC, the University of Johannesburg, Stellenbosch University, North-West University, the University of Fort Hare, the Cape Peninsula University of Technology and the University of South Africa.

AIDS Impact Conference

The HSRC and Stellenbosch University jointly hosted the 13th AIDS Impact conference from 13 -15 November 2017.

The AIDS Impact conference is held biannually and is one of the leading platforms for understanding, updating and debating the behavioural, psychosocial and community facets of HIV in light of changing social conditions and medical advances.

Studies have shown links between HIV and poverty and inequality and have led to development of policies to mitigate this. This session interrogated HIV poverty and inequality in different population groups to determine the status quo and the impact of policies aimed at addressing the situation.

The HSRC also co-hosted a writing for publication workshop, titled, "How to get it 'write': emerging scholars in the Global South." The session included informative presentations and discussions on addressing personal barriers to writing, the writing process and tips on how to ensure work is published.

Risk Management

The Board is responsible for the governance of risk and has delegated the management of risk to the Chief Executive Officer. Responsibility for the governance of risk management is expressed in the board charter and the HSRC's Enterprise Risk Management Policy.

The enterprise risk management process involves the continuous identification, assessment, mitigation and monitoring and reporting of significant risks that threaten achievement of the HSRC's strategic and business objectives. The strategic risk profile of the HSRC is considered, reviewed and updated by the Executive directors on a quarterly basis and submitted to the Audit and Risk Committee and the Board for approval.

A Risk Management Committee (RMS) has been established comprising Senior Management and an independent member who chairs the committee. The RMC assists management in implementing the approved risk policies and frameworks and considers operational and strategic risks on a regular basis. Risk Management Committee meetings were not held since October 2017 when the chairperson's term on the Audit and Risk Committee came to an end. A new board was appointed on 1 November 2017 and Audit and Risk Committee members and independent members were appointed on 15 December 2017. A new independent chairperson will be appointed in the new financial year and meetings will be reconvened to drive and embed risk management in the organisation.

Research and administrative programmes have conducted risk assessments and identified and implemented risk mitigations during the year under review. Operational risks are managed and monitored through the implementation of policies and procedures, approval and reporting governance frameworks and monitoring mechanisms.

Listed below are the HSRC's top five strategic risks which have been appropriately mitigated by Management:

- Insufficient external and internal funding to deliver on the HSRC mandate
- Inability to attract and retain critical skills and human resources
- Inability to demonstrate the relevance of the HSRC as a research institution
- Compromised research integrity
- Cybersecurity

Fraud and Corruption

The HSRC is committed to protecting its funds and other assets from any kind of corruption and as such will not tolerate corrupt or fraudulent activities emanating from either internal or external sources. Any detected corrupt activities are investigated and, where so required, reported to the relevant authorities.

The HSRC further recognises that its business requires high quality scientific expertise and this requirement, by nature, is based on prior experience. The HSRC therefore acknowledges that having an interest does not necessarily mean having a conflict of interest. Anti-corruption objectives of the HSRC, as expressed in the Risk Management Policy Statement, are achieved through the implementation of an Anti-Corruption Strategy. The objective of this strategy is to give effect to the expressed commitment of the HSRC Board to prevent and respond to corruption.

The strategy facilitates the development of controls which assist in the prevention and detection of corruption. It also provides guidelines to respond, should instances of corruption be identified. In order to strengthen these values, the Board recently approved a separate Whistle-blower Policy and Procedure, providing for a safe mechanism whereby employees and stakeholders can report breaches of the Code of Ethics without fear of victimisation. This encourages employees to report breaches and gives employees the assurance that they will not be subjected to occupational detriment on account of having made a protected disclosure and provides for the protection of whistle-blowers if the disclosure was made in good faith.

The Anti-Corruption Strategy is fully operational and is reviewed and updated regularly in line with best practice.

Information Technology

The HSRC maintains the highest levels of excellence as a research-led institution of international standing by provisioning infrastructure, systems and services which securely process and deliver appropriate and accurate information to stakeholders in a timely manner.

In the year under review, the HSRC adopted the ISO 27002 Information Security Framework (ISF) for implementation. Since cybersecurity was identified as one of the major business risks of the organisation, it was imperative and prudent for the HSRC to adopt this International Standard and use it as a benchmark with which the maturity of the organisation's IT Security practices are set and measured.

The ISF is the basis from which all aspects of information security governance, security policies, procedures and guidelines of the HSRC shall be derived and underpins the HSRC Information Security practices.

The security policy applies to all hardware, software, data, information, network, personal computing devices, support personnel and users of HSRC information resources.

Audit and Risk Committee Report

We are pleased to present our report for the year ended 31 March 2018.

Audit Committee members and attendance

The HSRC Board's term expired on 31 October 2017 and the ARC was duly reconstituted following the appointment of a new Board in November 2017. In accordance with the approved Audit and Risk Committee (ARC) Charter, the Committee meets at least three times per year. The Committee met four times during the year under review:

Table 12: Audit and Risk Committee meetings 1 April 2017 to 31 March 2018

Name	Meeting attendance			
	18 May '17	28 Jul '17	30 Oct '17	9 Feb '18
Prof Amanda Lourens*	P	P	P	
Prof Mark Bussin	A	P	P	P
Dr Botlhale Tema*	P	P	P	
Ms Precious Sibiya**				P
Prof Haroon Bhorat**				A
Ms Crystal Abdoll***	P	P		
Mr Cedric Boltman****			P	A
Mr Peter Grant****			P	P
Mr Leon Moser*****				P
Ms Maemili Ramataboe*	P	P	P	

P: Present

A: Member absent with an apology

** Member's term expired 31 October 2017*

*** Member appointed December 2017*

**** Member resigned effective 1 September 2017*

***** Member appointed September 2017*

****** Member appointed January 2018*

Audit Committee responsibility

The Committee reports that it has complied with its responsibilities arising from section 51(1)(a)(iii) of the Public Finance Management Act (PFMA), 1 of 1999, sections 76 and 77 of the Act and the relevant National Treasury Regulations.

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

Annual self-assessment

The Committee performs an annual self-evaluation of its activities and functioning to assess the efficacy of the organisational audit and risk management process. Although very positive, the outcome of the assessment highlights only a few areas for improvement.

Integrated reporting

In overseeing integrated reporting, the committee:

- recommends the integrated report for approval by the Board
- considers all factors and risks that may impact on the integrity of the integrated report
- reviews and comments on the financial statements, the accounting practices and the effectiveness of the internal financial controls
- reviews the disclosure of sustainability issues in the integrated report to ensure that it is reliable and does not conflict with the financial information

The effectiveness of internal control and risk management processes

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 adequate and effective to assist the organisation to achieve its goals and objectives.

In its oversight role, the Committee determined that risk and compliance management processes for the year under review were inadequate. Management's mitigation proposals to address the deficiencies in the risk and compliance management processes have been noted and will be monitored at each Committee meeting. The combined assurance model has not been fully implemented and will be addressed as part of the risk management process enhancement.

However, in considering the various Internal Audit reports, as well as 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 its effectiveness. 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 of South Africa's 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
- noted that there were no material adjustments resulting from the audit

In-year management and quarterly reporting

The HSRC has reported quarterly to the National Treasury and Department of Science & Technology (the Executive Authority) as is required by the PFMA.

Internal Audit

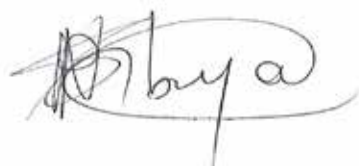
The Committee reviewed and approved the annual internal audit plan and internal audit charter during the year under review. The Internal Audit function of the HSRC is outsourced. The Committee met separately with the director of the Internal Audit service provider.

In addition to providing assurance on governance, risk management and control processes during the year under review, the Internal Audit function added value to the organisation by presenting timely and relevant reports to management and the Committee. The Committee is satisfied with the effectiveness and independence of the Internal Audit function.

There are no outstanding or unresolved matters with Internal Audit.

Auditor's Report

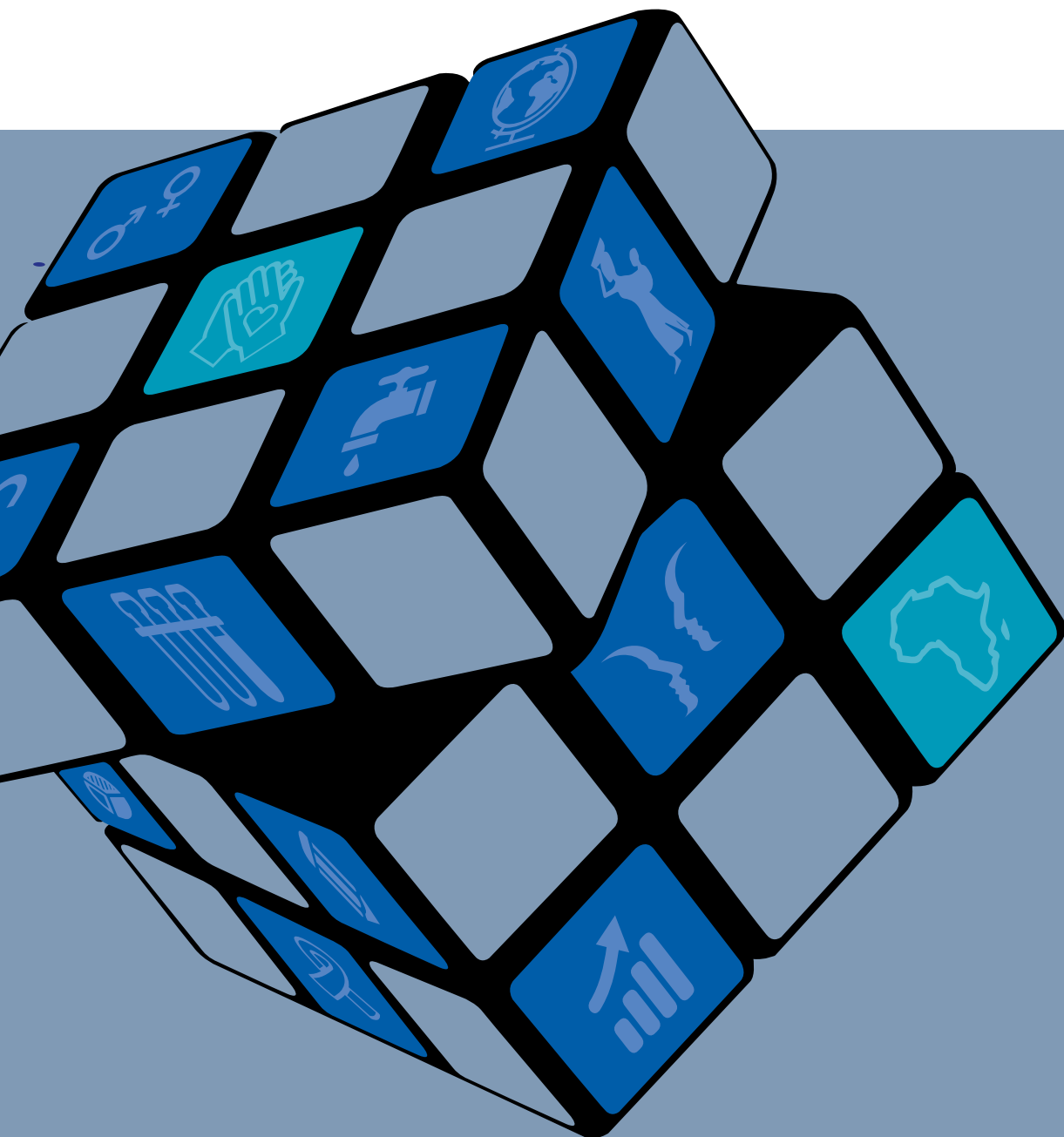
The Audit and Risk Committee concurs and accepts the conclusions of the Auditor-General on the annual financial statements and is of the opinion that the audited annual financial statements be accepted and read together with the report of the Auditor-General.



Ms Precious Sibiyi

Chairperson: HSRC Audit and Risk Committee

31 July 2018



Part D

Human Resources

Overview

In support of the mandate of the HSRC and in view of the skills shortage and competition to secure the services of suitably qualified researchers, the HSRC prioritises the attraction, development and retention of highly skilled individuals.

The HSRC is committed to:

- creating of a culture and environment that encourages and supports employee wellbeing;
- embedding and driving a culture of high performance; and
- building a succession pipeline by focusing on career development and capacity building.

During the year under review, the HSRC achieved the following milestones, among others:

- implemented SkillsMap, an on-line job application system to streamline and expedite the recruitment process;
- refined the performance management process by introducing greater objectivity through SMART key performance indicators and clear written statements of how success in achieving objectives will be measured and tracked;
- enhanced disciplinary procedures and early consultation with the ER Manager, while the proactive management of employee grievances resulted in a reduction in dispute referrals to the CCMA; and
- finalised short-term contracts aligned with the Basic Conditions of Employment Act (BCEA) and Labour Relations Act(LRA) to replace freelance fieldworker contracts.

The HR Unit has been particularly challenged for the period under review as key personnel resigned. The process of recruiting a new HR Director has been initiated and the HR strategy is being reviewed to inform the appropriate resource allocation and structure of the unit.

Human capital expenditure

The following table summarises overall spending on human capital for the year under review. The total expenditure increase in the HSRC workforce can be attributed to increased research activities such as SABSSM V and the National TB Survey. A cost-of-living increase of 7% was implemented during the period under review.

Table13: Human capital expenditure for the period ending 31 March 2018

Classification	Expenditure (R'000)	%
Total expenditure of the HSRC	556 235	100,0
Personnel expenditure	282 656	50,8
Training expenditure	1 091	0,4
Study bursaries	991	0,4

HSRC workforce

Two executive directors were appointed during the 2017/2018 financial year. The Executive Director for the HIV/AIDS, STIs and TB (HAST) research programme resigned in May 2017. The total number of staff decreased from 575 in 2016/17 to 558 in 2017/18, due mainly to employment contracts coming to an end at the completion of projects and a moratorium on appointments as a result of cuts in baseline funding.

Table 14: Number of HSRC employees as at 31 March 2018

Occupational Level	HSRC Total Staff Complement	%
Top Management	14	2%
Senior Management	26	5%
Professional	146	26%
Skilled	161	29%
Semi-skilled	154	28%
Unskilled	7	10%
Total	558	100%

New appointments 2017/2018

48 (72%) of the appointments made during the year under review were African and 42 (63%) females were appointed.

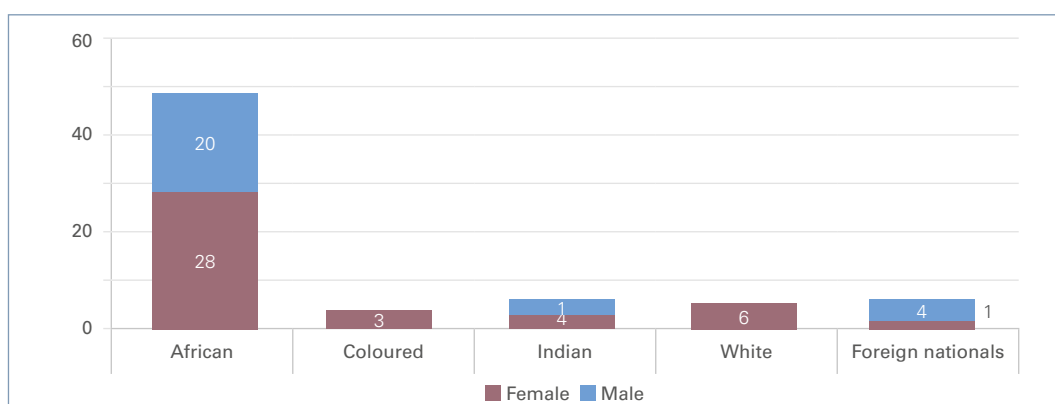


Figure 7: New appointments 2017/18.

Terminations 2017/2018

80 (86%) Black South Africans and 56 (60%) females left the HSRC during the year under review. 41 (44%) of the terminations were due to resignations of which 34 (83%) were Black South Africans. 42 (45%) contracts came to an end due to the completion of projects.

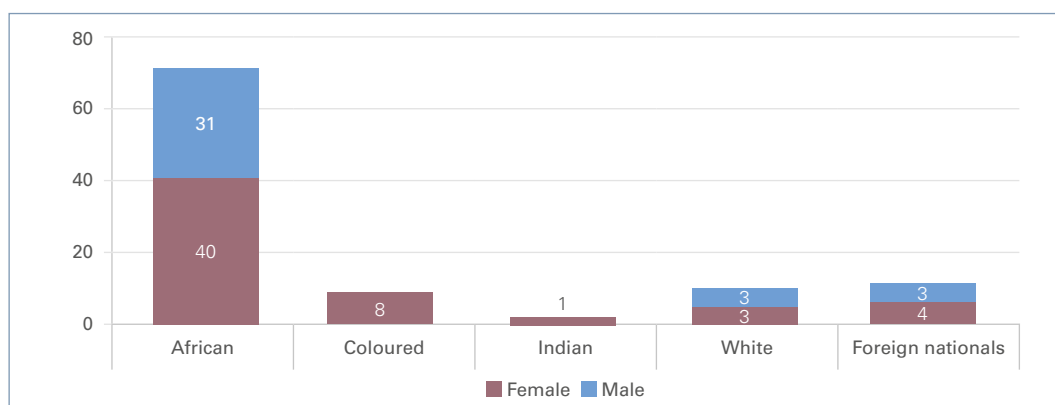


Figure 8: Terminations 2017/18.

Employment equity (EE)

The HSRC is committed to transformation that reflects South African demographics and has set targets to monitor progress towards achieving this objective. The Labour Relations and Employment Equity Acts are entrenched in the organisation's policies and its strategies and processes, such as recruitment and management of staff members infected with HIV and labour related issues, are aligned accordingly.

The HSRC staff complement consists of 434 (78%) Black South Africans of whom 326 (75%) are African and 321 (58%) are female, which represents a 1% increase compared to the previous year. 0.9% (2016/17: 0.7%) of HSRC staff are people with disabilities.

The HSRC employed 54 (2016/17: 55) foreign nationals representing 10% (2016/17: 10%) of the workforce during the period under review.

The relevant EE reports were submitted to the Department of Labour and the HSRC Board and targets for gender and diversity awareness were met for the reporting period.

Table 15 reflects the HSRC staff complement as at 31 March 2018 according to occupational level, gender, race and nationality.

Table 15: HSRC staff complement as at 31 March 2018

Occupational Level	Female					Male					Foreign Nationals			Total
	A	C	I	W	Total	A	C	I	W	Total	F	M	Total	
Top Management	0	2	2	3	7	3	1	0	2	6	0	1	1	14
Senior Management	4	2	1	5	12	2	1	1	4	8	0	6	6	26
Professional	17	16	11	15	59	16	10	8	14	48	13	26	39	146
Skilled	65	11	4	16	96	47	5	2	2	56	5	3	8	160
Semi-skilled	67	18	6	8	99	52	2	1	1	56	0	0	0	155
Unskilled	28	2	0	0	30	25	2	0	0	27	0	0	0	57
Total	181	51	24	47	303	145	21	12	23	201	18	36	54	558

Key: A – African; C – Coloured; I – Indian; W – White; F – Female; M – Male

Learning and development

The HSRC is committed to research capacity development and employs 79 (85%) researchers in internship positions and 14 (15%) post-doctoral researchers. 56 (61%) of these researchers are females, 53 (94%) of whom are Black.

Table 16: Internship Programme by staff classification, gender and race

Staff classification	Female					Male					Foreign Nationals			Total
	A	C	I	W	Total	A	C	I	W	Total	F	M	Total	
Masters interns	17	2	0	1	20	12	0	0	1	13	0	0	0	33
PhD Interns	20	5	3	2	30	10	1	0	0	11	4	1	5	46
Post-docs	2	1	3	0	6	0	0	1	1	2	1	5	6	14
Total	39	8	6	3	56	22	1	1	2	26	5	6	11	93

Key: A – African; C – Coloured; I – Indian; W – White; F – Female; M – Male

During the 2017/18 financial year, the HSRC participated in the National Research Foundation (NRF) internship programme and hosted 15 interns of whom 13 completed undergraduate degrees and 2 completed Honours degrees. The interns were placed in Research Programmes and Shared Services units and mentors were assigned. The assignments of 12 NRF interns ended on 31 March 2018; 3 interns were appointed on fixed-term contracts.

Qualifications

The HSRC is committed to the development and transformation of its employees and funded a number of staff who pursued short courses and formal qualifications during the year under review. In addition, a host of formal and informal training programmes were offered to both research and administrative staff. Various training offerings were taken up by 203 (36%) HSRC employees during the year, comprising 72 (35%) males and 131 (65%) females. 90% of the staff who attended courses were Black South Africans.

95 (17%) HSRC employees have a Masters qualification and 80 (14%) have a Doctoral qualification. 60 (63%) of employees with Masters qualifications are female and 69% are Black South Africans. 36 (45%) of Post-doctoral researchers are female and 46% are black South Africans.

Table 17: HSRC staff qualifications as at 31 March 2018

Staff Classification	Female				Male				Total
	Black	White	FN	Sub Total	Black	White	FN	Sub Total	
Masters	44	9	7	60	22	4	9	35	95
Doctorate	21	8	7	36	16	8	20	44	80
Total	65	17	14	96	38	12	29	79	175

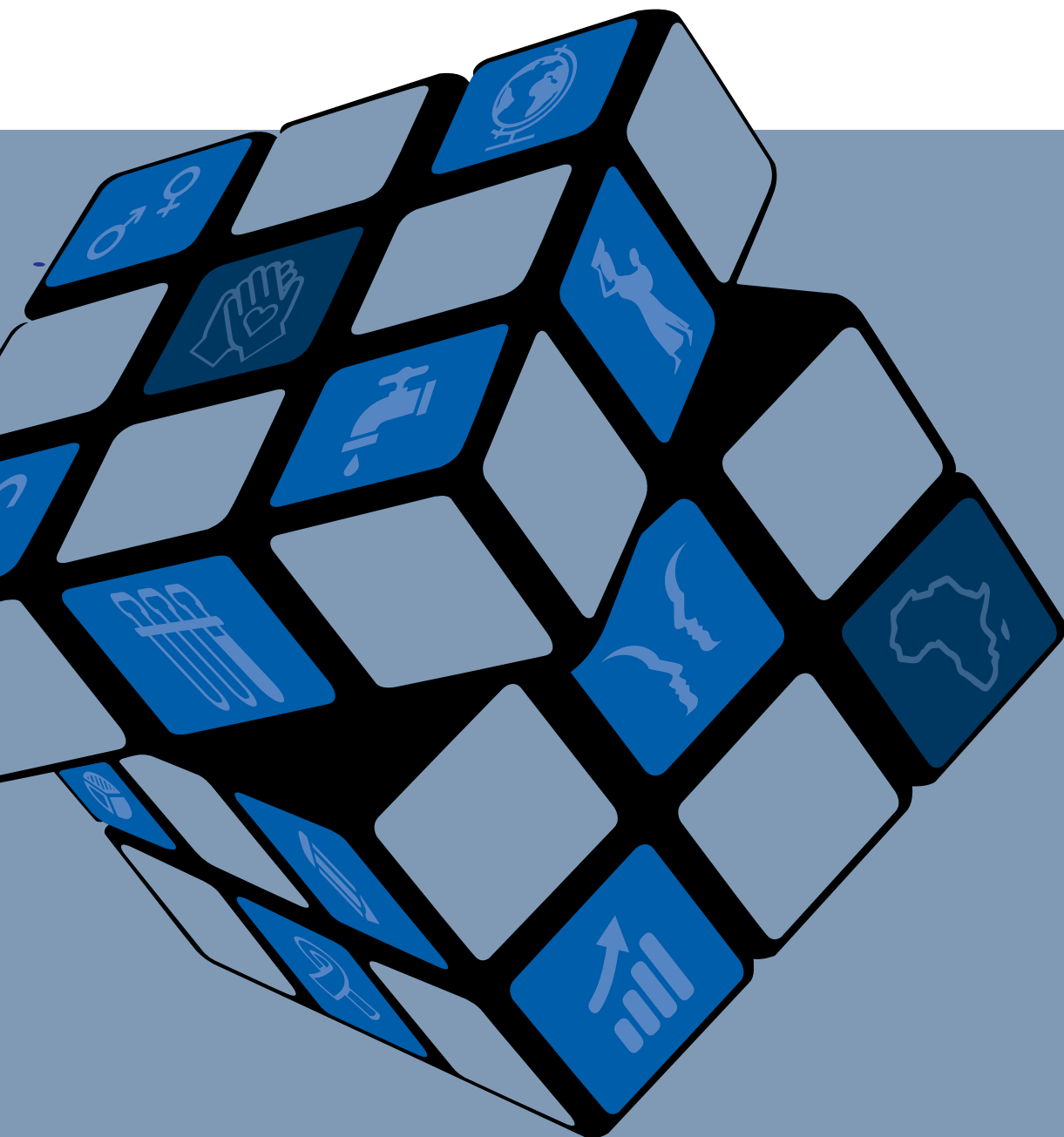
Key: Black – Black South Africans; White – White South Africans; FN – Foreign Nationals

Employee wellness

In an effort to secure the skills of suitably qualified researchers, the HSRC recognises that great emphasis is needed on employee wellness to improve the organisation's employee value proposition.

The Employee Assistance Programme (EAP) is designed to enhance productivity and job performance by addressing the psychosocial, legal, financial and work-related problems encountered by staff in the HSRC. Various awareness campaigns were conducted throughout the year and services such as financial coaching, will and estate planning, debt management and legal aid were offered.





Part E

Annual Financial Statements

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Report of the Auditor-General to Parliament on the Human Sciences Research Council

Report on the audit of the financial statements

Opinion

1. I have audited the financial statements of the Human Sciences Research Council set out on pages 102 to 164, which comprise the statement of financial position as at 31 March 2018, the statement of financial performance, statement of changes in net assets, cash flow statement and statement of budget to actual results for the year then ended, as well as the notes to the financial statements, including a summary of significant accounting policies.
2. 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 2018, and its financial performance and cash flows for the year then ended in accordance with the South African Standards of Generally Recognised Accounting Practice (SA Standards of GRAP) and the requirements of the Public Finance Management Act of South Africa, 1999 (Act No. 1 of 1999).

Basis for opinion

3. I conducted my audit in accordance with the International Standards on Auditing (ISAs). My responsibilities under those standards are further described in the auditor-general's responsibilities for the audit of the financial statements section of my report.
4. I am independent of the entity in accordance with the International Ethics Standards Board for Accountants' Code of ethics for professional accountants (IESBA code) and the ethical requirements that are relevant to my audit in South Africa. I have fulfilled my other ethical responsibilities in accordance with these requirements and the IESBA code.
5. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Responsibilities of the accounting authority for the financial statements

6. The accounting authority is responsible for the preparation and fair presentation of the financial statements in accordance with the SA Standards of GRAP and the requirements of the PFMA, and for such internal control as the accounting authority determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.
7. In preparing the financial statements, the accounting authority is responsible for assessing the entity's ability to continue as a going concern, disclosing, as applicable, matters relating to going concern and using the going concern basis of accounting unless the accounting authority either intends to liquidate the entity or to cease operations, or has no realistic alternative but to do so.

Auditor-general's responsibilities for the audit of the financial statements

8. My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with the ISAs will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.
9. A further description of my responsibilities for the audit of the financial statements is included in the annexure to this auditor's report.

Report on the audit of the annual performance report

Introduction and scope

10. In accordance with the Public Audit Act of South Africa, 2004 (Act No. 25 of 2004) (PAA) and the general notice issued in terms thereof, I have a responsibility to report material findings on the reported performance information against predetermined objectives for the selected programme presented in the annual performance report. I performed procedures to identify findings but not to gather evidence to express assurance.
11. My procedures address the reported performance information, which must be based on the approved performance planning documents of the entity. I have not evaluated the completeness and appropriateness of the performance indicators included in the planning documents. My procedures also did not extend to any disclosures or assertions relating to planned performance strategies and information in respect of future periods that may be included as part of the reported performance information. Accordingly, my findings do not extend to these matters.
12. I evaluated the usefulness and reliability of the reported performance information in accordance with the criteria developed from the performance management and reporting framework, as defined in the general notice, for the following selected programme presented in the annual performance report of the entity for the year ended 31 March 2018:

Programmes	Pages in the annual report
Programme 2 – research, development and innovation	46 - 55

13. I performed procedures to determine whether the reported performance information was properly presented and whether performance was consistent with the approved performance planning documents. I performed further procedures to determine whether the indicators and related targets were measurable and relevant, and assessed the reliability of the reported performance information to determine whether it was valid, accurate and complete.
14. I did not raise any material findings on the usefulness and reliability of the reported performance information for the following programme:
 - Programme 2 – research, development and innovation

Other matters

15. I draw attention to the matters below.

Achievement of planned targets

16. Refer to the annual performance report on pages 11 to 55 for information on the achievement of planned targets for the year and explanations provided for the under- or overachievement of a number of targets.

Adjustment of material misstatements

17. I identified material misstatements in the annual performance report submitted for auditing. These material misstatements were on the reported performance information of programme 2 – research, development and innovation. As management subsequently corrected the misstatements, I did not raise any material findings on the usefulness and reliability of the reported performance information.

Report on the audit of compliance with legislation

Introduction and scope

18. In accordance with the PAA and the general notice issued in terms thereof, I have a responsibility to report material findings on the compliance of the entity with specific matters in key legislation. I performed procedures to identify findings but not to gather evidence to express assurance.
19. I did not raise material findings on compliance with the specific matters in key legislation set out in the general notice issued in terms of the PAA.

Other information

20. The accounting authority is responsible for the other information. The other information comprises the information included in the annual report, which includes the audit and risk committee's report. The other information does not include the financial statements, the auditor's report and the selected programme presented in the annual performance report that has been specifically reported in this auditor's report.
21. My opinion on the financial statements and findings on the reported performance information and compliance with legislation do not cover the other information and I do not express an audit opinion or any form of assurance conclusion thereon.
22. In connection with my audit, my responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements and the selected programme presented in the annual performance report, or my knowledge obtained in the audit, or otherwise appears to be materially misstated.
23. I did not receive the other information prior to the date of this auditor's report. After I receive and read this information, and if I conclude that there is a material misstatement, I am required to communicate the matter to those charged with governance and request that the other information be corrected. If the other information is not corrected, I may have to retract this auditor's report and re-issue an amended report as appropriate. However, if it is corrected this will not be necessary.

Internal control deficiencies

24. I considered internal control relevant to my audit of the financial statements, reported performance information and compliance with applicable legislation; however, my objective was not to express any form of assurance on it. I did not identify any significant deficiencies in internal control.

Auditor General

Pretoria

31 July 2018



Annexure – Auditor-general's responsibility for the audit

1. As part of an audit in accordance with the ISAs, I exercise professional judgement and maintain professional scepticism throughout my audit of the financial statements, and the procedures performed on reported performance information for the selected programme and on the entity's compliance with respect to the selected subject matters.

Financial statements

2. In addition to my responsibility for the audit of the financial statements as described in this auditor's report, I also:
 - identify and assess the risks of material misstatement of the financial statements whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for my opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control
 - obtain an understanding of internal control relevant to the audit 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
 - evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the board of directors, which constitutes the accounting authority
 - conclude on the appropriateness of the use of the going concern basis of accounting by the board of directors, which constitutes the accounting authority, in the preparation of the financial statements. I also conclude, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the entity's ability to continue as a going concern. If I conclude that a material uncertainty exists, I am required to draw attention in my auditor's report to the related disclosures in the financial statements about the material uncertainty or, if such disclosures are inadequate, to modify the opinion on the financial statements. My conclusions are based on the information available to me at the date of this auditor's report. However, future events or conditions may cause an entity to cease continuing as a going concern
 - evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation

Communication with those charged with governance

3. I communicate with the accounting authority regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.
4. I also confirm to the accounting authority that I have complied with relevant ethical requirements regarding independence, and communicate all relationships and other matters that may reasonably be thought to have a bearing on my independence and, where applicable, related safeguards.

General Information

Chief Executive Officer	Prof. C Soudien
Chief Financial Officer	Ms Crystal Abdoll
Auditors	Auditor-General of South Africa
Bankers	Standard Bank and First Rand Bank Limited
Registered office	134 Pretorius Street, Pretoria
Physical address	134 Pretorius Street
	Pretoria
	South Africa
	0002
Postal address	Private Bag X41
	Pretoria
	South Africa
	0001
Telephone number	+27 12 302 2000
Fax number	+27 12 302 2001

Approval of annual financial statements

I have reviewed the accompanying annual financial statements of the HSRC for the year ended 31 March 2018. They have been prepared in accordance with the Generally Recognised Accounting Practice (GRAP) standards. All applicable Public Finance Management Act (PFMA) and disclosure requirements have been adhered to. This set of annual financial statements represent a true reflection of the HSRC's financial performance, position and changes in cash flow movements for the financial year ended 31 March 2018.

A handwritten signature in black ink, appearing to read 'Crain Soudien', is written over a long, thin diagonal line that extends from the bottom left towards the top right.

Professor Crain Soudien
Chief Executive Officer
31 July 2018

Statement of Financial Position

at 31 March 2018

	Note	2018 March R'000	2017 March R'000
ASSETS			
Current assets			
Cash and cash equivalents	1	43 756	61 307
Trade and other receivables	2	45 413	43 018
Inventories	3	4 944	6 094
Prepayments and advances	4	6 958	6 832
VAT receivable	5	382	5 781
		101 453	123 032
Non-current assets			
Property, plant and equipment	6	435 242	234 459
Intangible assets	6	3 022	3 382
Prepayments and advances	4	51	35
Operating Lease Receivables	7	3	132
		438 318	238 008
Total assets		539 771	361 040
LIABILITIES			
Current liabilities			
Trade and other payables	8	37 975	49 356
Income received in advance	9	38 761	57 366
Provisions	11	5 578	5 797
		82 314	112 519
Non-current liabilities			
Post retirement medical aid liability	12	2 897	3 294
Operating lease accruals	7	782	506
		3 679	3 800
Total liabilities		85 993	116 319
Net assets		453 778	244 721
NET ASSETS			
Reserves		392 838	184 284
Accumulated surplus		60 940	60 437
Total Net Assets		453 778	244 721

Statement of Financial Performance

for the Financial Year Ended 31 March 2018

	Note	2018 March R'000	2017 March R'000
Revenue		556 738	459 459
Research revenue (from exchange transactions)	14.1	245 137	164 060
Parliamentary grant (from non-exchange transactions)	14.2	267 242	254 517
Other operating revenue	15	44 359	40 882
Expenses		(556 235)	(480 679)
Administrative expenses	16	(53 076)	(53 576)
Research costs	17	(175 507)	(109 619)
Staff costs	18	(282 656)	(271 008)
Other operating expenses	19	(30 482)	(33 471)
Finance costs	20	(1 469)	(1 752)
Depreciation, amortisation and impairment expenses	21	(13 045)	(11 253)
Surplus/(Deficit) for the year	13	503	(21 220)

Statement of Changes in Net Assets

at 31 March 2018

	Revaluation Reserve R'000	Total Reserves R'000	Accumulated surplus R'000	Total Net assets R'000
Opening balance at 1 April 2016	184 284	184 284	82 019	266 303
Prior year adjustments	-	-	(362)	(362)
Deficit for the year (Restated)	-	-	(21 220)	(21 220)
Balance at 1 April 2017	184 284	184 284	60 437	244 721
Revaluation surplus	208 554	208 554	-	208 554
Surplus for the year	-	-	503	503
Balance as at 31 March 2018	392 838	392 838	60 940	453 778

Cash Flow Statement

for the Financial Year Ended 31 March 2018

	Note	2018 March R'000	2017 March R'000
CASH FLOWS FROM OPERATING ACTIVITIES			
Receipts		633 074	532 676
Payments		(643 524)	(555 370)
Net cash flows from operating activities	22	(10 450)	(22 694)
CASH FLOWS FROM INVESTING ACTIVITIES			
Purchase of property, plant and equipment		(7 562)	(27 157)
Proceeds from disposal of property, plant and equipment		461	10
Net cash flows from investing activities		(7 101)	(27 147)
Net decrease in cash and cash equivalents		(17 551)	(49 841)
Net cash and cash equivalents at beginning of year		61 307	111 148
Net cash and cash equivalents at end of year	1	43 756	61 307

Statement of Comparison of Approved Budget to Actual Results

for the Financial Year Ended 31 March 2018

	Budget Notes	2018 R'000 Actual Results	2018 R'000 Approved Budget	Percentage Achieved	Variance R'000
Revenue		556 738	502 700	111%	54 038
Research revenue	29.1	245 137	189 241	130%	55 896
Parliamentary Grants	29.2	258 061	258 061	100%	-
Parliamentary Grants - Ring Fenced	29.3	9 181	9 181	100%	-
Other operating revenue	29.4	44 359	46 217	96%	(1 858)
Expenses		(556 235)	(502 700)	111%	(53 535)
Administrative expenses	29.5	(53 076)	(60 780)	87%	7 704
Research costs	29.6	(175 507)	(109 935)	160%	(65 572)
Staff costs	29.7	(282 656)	(284 390)	99%	1 734
Other operating expenses (Incl. Finance Costs)	29.8	(31 951)	(36 941)	86%	4 990
Depreciation, amortisation and impairment expenses	29.9	(13 045)	(10 654)	122%	(2 391)
Surplus for the year		503	-	-100%	503

The budget was approved by the HSRC Board and submitted to the Executive Authority in terms of section 53(1) of the PFMA. (Both the annual budget and financial statements adopt an Accrual Basis). The budget amount reflected excludes VAT.

Accounting Policies

for the Financial Year Ended 31 March 2018

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. Budget Information

The financial statements and the budget are prepared on the same basis of accounting, which is the accrual. Comparative information is not required for this report.

1.5. 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.

1.5.1. 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:

1.5.1.1. 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 (due to project execution challenges), negotiations are promptly held with the funder where additional funding is requested. Revenue is recognised as work in progress where the probability of additional funding has

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

been assessed as highly probable by the Executive Director and researchers 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.

1.5.1.2. Other operating revenue

Revenue from the sale of goods is recognised when significant risks and rewards of ownership of goods are transferred to the buyer. Sale of goods incorporates sale of publications, sale of food in the canteen located in Pretoria and letting of office and 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.

1.5.1.3. 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. Interest is predominantly earned from funds received in advance prior to the commencement or execution of projects and invested in call accounts.

1.5.1.4. Key judgements and estimates applied by management on research revenue

In determining the stage of completion of a research project, management estimates the stage of completion based on work completed for as assessed by project leaders. This is then compared to costs incurred to date with appropriate revenue recognition processed in the statement of financial performance. Consideration is given to any arrangements with funders to offset any costs incurred in excess of budgeted amounts.

1.1.1. 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.

1.1.1.1. Parliamentary grants

Revenue from parliamentary grants is measured at the amount of the Medium Term Expenditure Framework (MTEF) allocation received by the entity, excluding Valued Added Tax (VAT). The grant received or receivable is recognised when the resources that have been transferred meet the criteria for recognition as revenue and there is not a corresponding liability in respect of related conditions. Where such conditions associated with the grant have not been met, a liability is recognised.

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

1.1.1.2. 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.

1.2. Taxes

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

1.3. Property, plant and equipment

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 our HSRC Pretoria 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, rental income which is capitalised at a market-related rate and the risk, age and condition of the property with existing buildings. Any surpluses that occur due to the revaluation of land and buildings are allocated to the revaluation reserve, except to the extent that it reverses a revaluation decrease of the same asset previously recognised. A revaluation deficit is recognised in the statement of financial performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

Artwork is measured at fair value less accumulated depreciation 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 due to the revaluation of artwork is allocated to the revaluation reserve, except to the extent that it reverses a revaluation decrease of the same asset previously recognised in the statement of financial performance. A revaluation deficit is recognised in the statement of financial performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

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.

1.3.1. 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 is as follows:

1.3.1.1. Freehold land

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

1.3.1.2. 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 to be:

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

1.3.1.3. Equipment, motor vehicles and artwork

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

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

1.3.1.4. Leasehold assets

These assets are depreciated over the period of the rental agreement. Leasehold assets are located in HSRC's regional offices where improvements are made on leased buildings. Leases are disclosed under lease commitments.

1.3.1.5. Donor funded assets

All assets bought with donor funds are depreciated over the shorter of the asset's useful life or project duration.

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

1.3.2. De-recognition of assets

An item of property, plant and equipment is de-recognised upon disposal, returning projects' assets to the funder 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.

1.3.3. Repairs and maintenance

Repairs and maintenance are expensed in the period there are incurred, with such costs only capitalised on an asset if the asset's capacity or future economic benefits associated with the asset will increase.

1.3.4. Key Estimates and assumptions applied by management on property, plant and equipment

1.3.4.1. Property, plant and equipment and Intangible assets

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

1.3.4.2. 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 on 15 January 2018, thereby impacting depreciation for the 2017/18 financial year. The key assumptions used to determine the fair value of the land and buildings are further explained in Note 6.1 and 6.2.

1.4. Intangible assets

1.4.1. 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.

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

1.4.2. 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 lives are reviewed annually.

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

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

1.4.3. Impairment of non-financial assets

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

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

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

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

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

1.5. 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 of completed books and work in progress).

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

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.

1.6. 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.

1.6.1 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.

1.6.2. 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 line 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.

1.6.3.Key judgements applied by management 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 premises occupied by staff in 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 details on the respective lease agreements.

1.7. Employee benefits

1.7.1. 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.

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

1.7.2. Post-employment benefit costs

1.7.2.1. 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 yet been paid. Conversely an asset is recognised to the extent that any contributions have been paid in advance.

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

1.7.2.2. 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.

1.7.3. Key estimates and assumptions applied by management on employee benefits

1.7.3.1. Post-retirement medical aid benefits

The cost of post-employment medical benefits is determined using actuarial valuations. The actuarial valuation involves making assumptions about discount rates, expected rates of return of assets, future salary increases, mortality rates and future pension increases. All assumptions are reviewed at each reporting date. Refer to Note 12 for a full disclosure of post-retirement benefits as at 31 March 2018.

1.7.3.2. Leave accrual

The leave pay accrual is based on actual days accrued at the rate of remuneration at the reporting date, being 31 March. Annually costs of living adjustments are processed. Changes in the rate of remuneration are determined annually and are effective from the first date of the financial year. Leave accrual for all staff is capped to the maximum amount that an employee accumulates in a 12 month cycle.

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

1.8. 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.

1.9. 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.

1.10. Financial instruments, commitments and contingent assets/liabilities

1.10.1 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 allowances for estimated irrecoverable amounts are recognised in profit or loss when there is objective evidence that the asset is impaired.

1.10.2 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. Accruals, being goods and services delivered and not invoiced as at 31 March, are included in trade and other payables.

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

1.10.3. Cash and cash equivalents

Cash and cash equivalents in the statement of financial position comprise of cash at banks and on hand, including funds invested in call accounts held with our bankers and the reserve bank. 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.

1.10.4. Other financial assets

Other financial assets are carried in the statement of financial position at cost.

1.10.5. Commitments

Commitments are not recognised in the statement of financial position as a liability or as expenditure in the statement of financial performance but are included in the notes to the financial statements.

1.10.6. Contingent assets and liabilities

Contingent assets and liabilities are included in the notes to the financial statements when it is probable that an inflow or outflow of economic benefits will flow to or from the HSRC. Contingent assets and liabilities are not recognised in the statement of financial performance and statement of financial position.

1.10.7. Key judgements and estimates applied by management on financial instruments

Impairment of trade and other receivables

An allowance for the impairment of trade receivables is established when there is objective evidence that the HSRC will not be able to collect all amounts due according to the original terms of receivables agreed on when the contractual relationship was entered into. The calculation of the amount to be allowed for impairment of receivables requires the use of estimates and judgements. Significant financial difficulties of the debtor, and default or delinquency in payments (more than 120 days overdue) are considered indicators that the trade receivable is impaired. The allowance recognised is measured for all debtors with indications of impairment.

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

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

1.11. Related parties

The HSRC operates in an economic sector currently dominated by entities directly or indirectly owned by the South African Government. All transactions are at arm's length. Due to the nature of the organisation, transactions with other organs have been disclosed, including those entities falling within the stable of the Department of Science and Technology (DST). This disclosure enhancement provides additional information for users.

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

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

1.12. Restatements and adjustments

When necessary, comparative figures have been reclassified or adjusted to conform to changes in presentation in the current period. The nature and reason for such reclassifications and restatements are also disclosed. Refer to Note 26 for a detailed disclosure of prior year errors recorded.

1.13. 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. Prepayments and advances will be derecognised as and when goods and services are received. There is no contractual right to receive a refund in cash or another financial instrument from the suppliers.

1.14. Irregular and fruitless and wasteful expenditure

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

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. If the expenditure is recoverable, an asset is recognised until it's recovered from the person responsible or written off as irrecoverable in the statement of financial performance.

1.15. Standards issued and not yet effective

At the date of authorization of these financial statements, the following accounting standards of Generally Recognised Accounting Practice (GRAP) were in issue, but not yet effective:

Accounting Policies

for the Financial Year Ended 31 March 2018 (continued)

- ▶ GRAP 20 - Related Parties
- ▶ GRAP 32 - Service concession arrangements: Grantor
- ▶ GRAP 34 - Separate Financial Statements
- ▶ GRAP 35 - Consolidated Financial Statements
- ▶ GRAP 36 - Investments in Associated and Joint Ventures
- ▶ GRAP 37 - Joint Arrangements
- ▶ GRAP 38 - Disclosure of interest in Other Entities
- ▶ GRAP 108 - Statutory Receivables
- ▶ GRAP 109 - Accounting by Principals and Agents
- ▶ GRAP 110 - Living and Non-living Resources

Management believes that the adoption of these standards in future periods will have no material impact on the financial statements when they are adopted as these Standards have been used to formulate and inform the current accounting policies and disclosures where applicable to the HSRC. Application of all of the above GRAP standards will be effective from a date to be announced by the Minister of Finance. This date is not currently available.

1.16. Segment reporting information

The HSRC manages the operations as a combined operations with the Board and Chief Executive Officer (CEO) making key financial decisions based on the combined operations. Resources allocation, assets and liabilities are also managed on a combined basis and as such the organisation has a single reporting entity. Geographical information is also not provided as there are no distinct economic benefits attached to the respective regional offices, with research projects undertaken in all different parts of the country.

1.17. Events after the reporting date

Subsequent events, which are either favourable or unfavourable, occurring between the reporting date and the financial statements authorisation date, are included in the notes to the financial statements.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018

	2018 March R'000	2017 March R'000
1 Cash and cash equivalents		
Cash at bank	11 712	11 488
Cash on hand	112	92
Short-term Investments*	31 932	49 727
	43 756	61 307

*Included in the short-term investments are funds received from HSRC funders for various research projects. These funds had not been utilised as at 31 March 2018.

2 Trade and other receivables		
Trade receivables	40 088	34 399
Other receivables	6 332	9 494
Less: Impairment allowance	(1 007)	(875)
Balance at 31 March	45 413	43 018

2.1 Trade and other receivables: ageing

2.1.1 Ageing of trade receivables

Current (0-30 days)	30 253	29 208
31-60 days	7 431	4 577
61-90 days	590	75
91-120 days	1 316	21
+ 121 days	498	518
Balance at 31 March	40 088	34 399

2.1.2 Ageing of other receivables

Current (0-30 days)	1 013	7 546
31-60 days	155	445
61-90 days	79	19
91-120 days	38	53
+ 121 days	5 047	1 431
Balance at 31 March	6 332	9 494

2.2 Impairment allowance: ageing

+ 121 days	(1 007)	(875)
Balance at 31 March	(1 007)	(875)

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

2 Trade and other receivables (continued)

2.3 Reconciliation of the Impairment allowance

	2018 March R'000	2017 March R'000
Balance at beginning of the year	(875)	(1 459)
Bad debts written off	164	525
Impairment movement	(296)	59
Balance at 31 March	(1 007)	(875)

2.4 Trade and other receivables past due but not impaired

Trade and other receivables which are less than 3 months past due date, are not considered to be impaired. At 31 March 2018, R9 609 000 (2017: R5 190 000) was past due date but not impaired.

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

30 days past due	7 586	5 022
60 days past due	669	94
90 days past due	1 354	74
	9 609	5 190

2.5 Trade and other receivables impaired

As at 31 March 2018, trade and other receivables of R1 007 000 (2017: R875 000) were impaired and provided for. The ageing of these receivables is as follows:

Over 180 days	1 007	875
	1 007	875

The fair value of trade receivables approximates their carrying amounts.

3 Inventories

Finished goods**	4 804	5 898
Publications	4 744	5 820
Cafeteria	60	78
Work in progress *	140	196
	4 944	6 094

* Work in progress consists of books in production.

** Publications to the value of R1.2 million were written off and expensed in the statement of financial performance.

** Publications to the value of R1.1 million were written down in the statement of financial performance due to cost that exceeded the net realisable value.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

	2018 March R'000	2017 March R'000
3 Inventories (continued)		
3.1 Cost of goods sold		
Publications	2 318	1 919
Cafeteria	3 255	4 376
	5 573	6 295
Cafeteria cost of goods sold include costs incurred for internal sales relating to conferences and workshops.		
4 Prepayments and advances		
Prepayments and advances (short-term)*	6 958	6 832
Prepayments and advances (long-term) **	51	35
Total	7 009	6 867
* Short-term prepayments are largely made up of subscriptions to software, pre-paid electricity and flight bookings processed on research projects with travelling set to take place in the new financial year.		
** The long-term portion of prepayments is in respect of computer warranties.		
5 VAT Receivable		
VAT Input	382	5 781
	382	5 781
6 Property, plant & equipment		
Land and buildings	382 002	175 888
Leasehold improvements	7 943	11 603
Artwork	1 354	1 449
Motor vehicles	18 215	18 963
Office furniture	8 103	7 954
Equipment	8 897	9 492
Computer equipment	8 409	8 721
Medical equipment	319	389
	435 242	234 459
Intangible Assets		
Software	1 482	1 709
Usage rights	1 540	1 673
	3 022	3 382
Total Assets	438 264	237 842

For detailed disclosures refer to Notes 6.1 to 6.3

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

6 Property, plant & equipment (continued)

6.1 Property, plant and equipment reconciliation

Balance for the Financial Year Ended 31 March 2018

Reconciliation of carrying value

	Total	Land and Buildings	Leasehold Improvements	Artwork	Motor vehicles	Office furniture	Equipment	Computer Equipment	Medical Equipment
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Opening net carrying amount	234 459	175 888	11 603	1 449	18 963	7 954	9 492	8 721	389
Gross carrying amount	304 453	196 379	13 195	2 123	20 380	13 447	22 752	33 822	2 355
Accumulated depreciation	(69 994)	(20 491)	(1 592)	(674)	(1 417)	(5 493)	(13 260)	(25 101)	(1 966)
Additions and revaluations	215 913	208 910	502	-	-	509	3 272	2 720	-
Additions	7 359	356	502	-	-	509	3 272	2 720	-
Revaluation	208 554	208 554	-	-	-	-	-	-	-
Assets reclassification	(1 952)	(321)	(74)	-	-	(14)	(1 543)	-	-
Cost	(1 952)	(321)	(74)	-	-	(14)	(1 543)	-	-
Accumulated depreciation	-	-	-	-	-	-	-	-	-
Disposals	(696)	(324)	-	-	(174)	-	(2)	(196)	-
Cost of disposal	(1 131)	(400)	-	-	(331)	-	(27)	(373)	-
Accumulated depreciation of disposal	435	76	-	-	157	-	25	177	-
Depreciation	(12 482)	(2 151)	(4 088)	(95)	(574)	(346)	(2 322)	(2 836)	(70)

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

6 Property, plant & equipment (continued)

6.1 Property, plant and equipment reconciliation (continued)

Balance for the Financial Year Ended 31 March 2018

Reconciliation of carrying value

Closing net carrying amount

	Total	Land and Buildings	Leasehold Improvements	Artwork	Motor vehicles	Office furniture	Equipment	Computer Equipment	Medical Equipment
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
	435 242	382 002	7 943	1 354	18 215	8 103	8 897	8 409	319
Gross carrying amount	517 283	404 568	13 623	2 123	20 049	13 942	24 454	36 169	2 355
Accumulated depreciation	(82 041)	(22 566)	(5 680)	(769)	(1 834)	(5 839)	(15 557)	(27 760)	(2 036)
Historical cost would have been:	82 292	81 301		991					

The land is registered as Stand 3242 Pretoria, measuring 7 655 m², Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. Buildings classification combines land, lifts, telephone systems, fixtures and buildings and comprises a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 15 March 2018 by an independent valuer, Mr. Nathan Theron of Spectrum Valuations and Asset Solutions (Pty) Ltd, using the Net Income Capitalisation Method of Valuation to determine the value of the property. The method determines the net normalised annual income of the property, assuming the property is fully let at market related rentals, and market escalations, with an allowance made for vacancies (where applicable). Market related operating expenses are incurred, resulting in a net annual income which is then capitalised at a market related rate. A capitalisation rate of 11% was applied. The capitalisation rate is determined from the market and is influenced in general by rates of return of similar properties, risk obsolescence, inflation, market rental growth rates of return on other investments, as well as mortgage rates. The building is not held as security for any obligations.

Artwork belonging to the HSRC was revalued on 31 March 2015. The valuation was performed by Mr. Gerrit Dyman of Absolut Art Gallery by observing similar artwork in the market and the prices such artwork would cost on the valuation date.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

6 Property, plant & equipment (continued)

6.1 Property, plant & equipment reconciliation (continued)

Balance as at 31 March 2017

Reconciliation of carrying value

	Total	Land and Buildings	Leasehold Improvements	Artwork	Motor vehicles	Office furniture	Equipment	Computer Equipment	Medical Equipment
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Opening net carrying amount	219 906	177 750	8	1 567	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	(64 053)	(18 308)	(3 704)	(556)	(1 995)	(5 113)	(10 099)	(22 383)	(1 895)
Additions and revaluations	26 954	321	11 948	-	1 969	268	6 663	5 785	-
Additions	26 954	321	11 948	-	1 969	268	6 663	5 785	-
Assets Reclassification	(532)	-	-	-	-	-	(395)	(137)	-
Cost	(532)	-	-	-	-	-	(395)	(137)	-
Disposals	(1 218)	-	-	-	(972)	(108)	(16)	(122)	-
Cost of disposal	(5 928)	-	(2 465)	-	(2 132)	(181)	(90)	(1 060)	-
Accumulated depreciation of disposal	4 710	-	2 465	-	1 160	73	74	938	-
Depreciation	(10 651)	(2 183)	(353)	(118)	(582)	(453)	(3 235)	(3 656)	(71)

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

6 Property, plant & equipment (continued)

6.1 Property, plant & equipment reconciliation (continued)

Balance as at 31 March 2017

	Total	Land and Buildings	Leasehold Improvements	Artwork	Motor vehicles	Office furniture	Equipment	Computer Equipment	Medical Equipment
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Reconciliation of carrying value									
Closing net carrying amount	234 459	175 888	11 603	1 449	18 963	7 954	9 492	8 721	389
Gross carrying amount	304 453	196 379	13 195	2 123	20 380	13 447	22 752	33 822	2 355
Accumulated depreciation	(69 994)	(20 491)	(1 592)	(674)	(1 417)	(5 493)	(13 260)	(25 101)	(1 966)
Historical cost would have been:	84 283	83 221		1 062					

The land is registered as Stand 3242 Pretoria, measuring 7 655 m², Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. Buildings classification combines land, lifts, telephone systems, fixtures and buildings and comprises 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 capitalisation rates in the Pretoria CBD range between 9.90% for A-grade properties to 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 revalued on 31 March 2015. The valuation was performed by Mr. Gerrit Dyman of Absolut Art Gallery by observing similar artwork in the market and the prices such artwork would cost on the valuation date.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

6 Property, plant & equipment (continued)

6.2 Intangible assets

Balance for the Financial Year Ended 31 March 2018

Reconciliation of carrying value

Opening net carrying amount

Gross carrying amount

Accumulated depreciation

Additions

Additions

Amortisation

Amortisation

Closing net carrying amount

Gross carrying amount

Accumulated depreciation

Total	Software	Usage rights
R'000	R'000	R'000
3 382	1 709	1 673
6 185	3 522	2 663
(2 803)	(1 813)	(990)
203	203	-
203	203	-
(563)	(430)	(133)
(563)	(430)	(133)
3 022	1 482	1 540
6 388	3 725	2 663
(3 366)	(2 243)	(1 123)

6.3 Intangible assets

Balance as at 31 March 2017

Reconciliation of carrying value

Opening net carrying amount

Gross carrying amount

Accumulated depreciation

Additions and revaluations

Additions processed in the year

AISA Additions

AISA Additions - Cost

AISA Additions - Accumulated Depreciation

Amortisation

Amortisation

Closing net carrying amount

Gross carrying amount

Accumulated depreciation

Total	Software	Usage rights
R'000	R'000	R'000
3 781	1 975	1 806
5 982	3 319	2 663
(2 201)	(1 344)	(857)
203	203	-
203	203	-
-	-	-
-	-	-
-	-	-
(602)	(469)	(133)
(602)	(469)	(133)
3 382	1 709	1 673
6 185	3 522	2 663
(2 803)	(1 813)	(990)

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

	2018 March R'000	2017 March R'000
7 Operating lease receivables and (accruals)		
Lessor		
Operating lease receivables		
Opening Balance 1 April	132	1 473
Movement for the year	(129)	(1 341)
Balance at 31 March	3	132
Lessee		
Operating lease accruals		
Opening Balance 1 April	(506)	(394)
Movement for the year	(276)	(112)
Balance at 31 March	(782)	(506)
7.1 Operating lease arrangements as the lessee		
7.1.1 Future minimum lease payments		
Up to 12 months		
Cape Town lease	8 670	7 968
Durban lease	1 090	1 555
Port Elizabeth lease	134	306
Sweetwaters lease	157	143
CSIR - Disaster recovery site	84	38
Immobilier Lucratif	76	92
Trenjil Investment - Mobile clinics parking	248	-
East London Lease	26	-
	10 485	10 102
1 year to 5 years		
Cape Town lease	4 502	13 073
Durban lease	-	1 090
Sweetwaters lease	345	502
CSIR - Disaster recovery site	126	-
	4 973	14 665

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

7 Operating lease receivables and (accruals) (continued)

7.1 Operating lease arrangements as the lessee (continued)

7.1.2 Other disclosures

Cape Town lease

The HSRC leases office space from Bursa Property Investments (Pty) Ltd at 116 Buitengracht Street, Cape Town, Erf 9 442. The agreement is for a 3 year period effective from 1 October 2016 and culminating on 30 September 2019. The current lease payment per month is R714,471.00 (VAT excluded). The contract includes an annual escalation of 8% (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. A tenant installation amount of R3.2 million was granted with R2.2 million refundable should the HSRC not exercise the renewal option after the initial contract term.

The HSRC leases a property from Immobilier Lucratif (Pty) Ltd situated at 83 Castle Street, unit 4B Castle Gate, Cape Town. The lease commenced on 1 December 2015 and expired on 30 November 2017. The lease was subsequently renewed on 1 December 2017 for a period of 10 months ending 30 September 2018. The current lease payment is R12 705.00 per month (VAT excluded). The contract includes an annual escalation of 10% (compounded annually). The HSRC does not have the option to acquire the building.

Durban lease

The HSRC leases property in Durban from Roelan Trading 45 (Proprietary) Limited situated at Erf 21 (of 1) of Erf 2 128 Durban, Portion 16 of Erf 2 133 Durban, Portion 18 (of 1) of Erf 2 128 Durban, Rem of Portion of Erf 2 133 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 R136,301.06 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the lease agreement. A tenant installation amount of R1 million was granted with R581 532.90 refundable should the HSRC not exercise the renewal option after the initial contract term.

Port Elizabeth lease

The HSRC has recently signed a lease agreement for office space with Luprop Investment, situated at Building No.1, First floor, Ascot Office Park, 1 Ascot Road, Greenacres, Port Elizabeth. The lease agreement is effective from 1 January 2018 and expires on 31 December 2018. The current lease payment is R14,830.00 per month (VAT excluded). The HSRC does not have the option to acquire the building but has an option to renew the lease agreement under the same terms and conditions.

East London lease

The HSRC has a rental agreement with Social Health Empowerment Feminist Collective, for the rental of an interviewing site, located at 92 Currie Street, Quigney Beach, East London, for the purposes of the Trans Women HIV Bio-Behavioral Survey. The duration of the agreement is from 1 January 2018 expiring on 30 September 2018. The rental payment per month is R4, 385.96 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the agreement.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

7 Operating lease receivables and (accruals) (continued)

7.1 Operating lease arrangements as the lessee (continued)

7.1.2 Other disclosures (continued)

Sweetwaters lease

A lease agreement was signed between the HSRC and Mr. FA Bhalya in respect of a property referred to as Sweetwaters Bus Depot. The agreement came into effect 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, expiring on 28 February 2021. The current lease payment per month is R12,968.73 (VAT excluded). The contract includes an annual escalation of 10% (compounded annually). The HSRC does not have the option to acquire the building.

Pretoria lease

The HSRC previously leased a property from Trenjil Investment situated at 260 Charlotte Maxeke Street, Unit 1, Mitchell, Pretoria West, the lease commenced on 1 December 2016 and expired on 30 November 2017. It was renewed for a further one year commencing on 1 January 2018. The current lease payment is R27,500.00 per month (VAT excluded). The HSRC does not have the option to acquire the building but has an option to renew the same lease agreement.

Council for Scientific and Industrial Research (CSIR) lease

The HSRC leases property at the CSIR campus located in Building 14, Scientia. Total space acquired is 63 m² utilised as a disaster recovery site. The lease agreement was renewed on 1 October 2014 for a period of 3 years which expired on 30 September 2017. The lease agreement was renewed for another 3 years commencing 1 October 2017 until 30 September 2020. The contract has no fixed escalation rate, the escalation percentage will be agreed by both Parties on an annual basis. The current lease rental payment per month is R7,002.55 (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 lease agreement.

7.2 Operating lease arrangements as the lessor

7.2.1 Future minimum lease payments

Up to 12 months

Department of Public Works lease

Kopano Solutions Company

	2018 March R'000	2017 March R'000
Department of Public Works lease	1 839	1 703
Kopano Solutions Company	36	-
	1 875	1 703

7.2.2 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, 839, 387.22 (excluding VAT), with an escalation clause of 8% compounded annually. The contract currently runs on a month to month basis awaiting renewal finalisation.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

7 Operating lease receivables and (accruals) (continued)

7.2 Operating lease arrangements as the lessor (continued)

7.2.2 Other disclosures (Continued)

Kopano Solutions Company

The operating lease is undertaken between the HSRC (the lessor) and the Nashua Kopano Solutions Company (Pty) Ltd (the lessee). The leased premises are Unit A (1SA01, 1SA04, 1SA08, 1SA12 and 1SA16), situated at first floor, 134 Pretorius Street, Pretoria. The lease commenced on 1 August 2015 and will expire on 31 July 2018. The monthly rental receivable is R10, 319.09 (excluding VAT), with an escalation clause of 8% compounded annually.

	2018 March R'000	2017 March R'000
8 Trade and other payables		
Trade creditors	3 894	216
Accruals	17 473	31 747
Leave accrual	16 608	17 393
	37 975	49 356

The HSRC considers that the carrying amount of trade and other payables approximate their fair value. Included in the trade and other payables is the leave accrual reconciled as follows:

Leave accrual

Opening Balance

	17 393	14 637
Additional accrual	22 907	21 552
Amounts paid during the year	(3 268)	(1 830)
Amounts utilised during the year	(20 424)	(16 966)
Closing balance	16 608	17 393

The leave accrual reduces when an employee takes official leave days or leaves the HSRC and the accrued leave is paid out to the employee. The leave accrual is capped at leave days accrued in a 12 month cycle.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

	2018 March R'000	2017 March R'000
9 Income received in advance		
Bill & Melinda Gates Foundation	830	830
City of Tshwane	140	140
Department of Higher Education	17	-
University of California	-	869
Department of Science and Technology	7 052	20 846
Department of Rural Development	159	1 071
Hilton Foundation	786	2 015
Other projects/funding agencies	15 991	12 931
Department of Public Works	767	1 942
World Health Organisation	6 025	-
Centre for Communication Impact	2 938	3 214
Industry Association of Responsible Alcohol use - NPC	1 755	-
Medical Research Council - UK	1 469	-
South African National Road Agency	-	720
South African National AIDS Council	832	842
Department of Health	-	11 946
	38 761	57 366

Income received in advance relates to research work where funding has been received from the funder and the research work is incomplete as at 31 March 2018. Research activities pertaining to these funds are envisaged to be completed within the next 12 months.

10 Capital & expenditure commitments

Approved and Contracted	44 899	79 661
Total Commitments	44 899	79 661
Capital expenditure	1 389	2 301
Operational Expenditure	43 510	77 360
Total	44 899	79 661
Less than 1 Year	39 033	59 037
More than 1 year	5 866	20 624
Total	44 899	79 661

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

11 Provisions

Performance Bonus	5 578	5 797
	5 578	5 797

Performance bonuses are paid annually for exceptional staff performance after performance appraisals are completed and moderated.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

	2018 March R'000	2017 March R'000
11 Provisions (continued)		
Analysis of movements in the performance bonus provision		
Opening Balance	5 797	6 095
Additional Provision	2 978	4 920
Amounts paid during the year	(3 197)	(5 218)
Closing balance	5 578	5 797
12 Post-retirement medical aid liability		
12.1 Defined contribution plan		

The HSRC has the following post-retirement medical aid obligations as at 31 March 2018.

Present value of obligation	2 897	3 294
Liability recognised in the balance sheet	2 897	3 294
Reconciliation of defined benefit obligation ("DBO")		
Present value of obligation at beginning of year	3 294	3 476
Interest cost	267	299
Current service cost	14	15
Benefits paid	(441)	(462)
Loss from change in financial assumptions	(237)	(34)
Present value of obligation at year end	2 897	3 294

12.2 Liabilities

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

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

The HSRC offers employees and continuation members the opportunity to belong to a medical aid scheme, which in turn offers a range of options pertaining to levels of cover. Upon retirement an employee may continue membership of the medical scheme, and upon death of a member in service or in retirement, the surviving dependants may continue membership of the medical scheme. This was based on the old medical aid arrangements which were discontinued in 1998.

Members contribute at a rate according to tables of contribution rates which differentiate between them based 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 for continuation member health care costs was done on 31 March 2017. The next assessment of the liabilities needs to be performed at the next financial year end, being 31 March 2019.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

12 Post-retirement medical aid liability (continued)

12.3 Particulars of the liabilities

The current Discovery Health continuation member receives a fixed Employer subsidy which does not increase with medical inflation.

12.4 Particulars of the liabilities

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

	Number of members		Average past service - years	
	2018	2017	2018	2017
Male members (Age band: 50-54)	1	1	27,2	26,2
Total/weighted average	1	1	27,2	26,2

The age of this member was 51 years as at 31 March 2018, compared to 50 years as at 31 March 2017. Average monthly employer contributions: 2018 - R 2,441.00 (2017 - R 2,192.00). 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	
	2018	2017	2018	2017	2018	2017
Total/weighted average	68	70	518	529	82,5	81,7

The table below summarises the profile of the continuation pensioners subsidised by HSRC as at 31 March 2018:

Age band: 50-54	0	Age band: 65-69	2	Age band: 80-84	26
Age band: 55-59	1	Age band: 70-74	3	Age band: 85-89	21
Age band: 60-64	0	Age band: 75-79	9	>90	6

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

12 Post-retirement medical aid liability (continued)

12.5 Key financial assumptions

12.5.1 Summary assumptions

The economic assumptions for the 31 March 2018 valuation are shown in the table below, and compared to those used as at the previous valuation date.

	2018 %	2017 %
Discount rate	8,06	8,69
Consumer Price Inflation	5,27	5,85
Healthcare cost inflation rate - in service employees	6,77	7,35
Net discount rate	1,21	1,25

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 2017, the duration of the liabilities was 7,47 years. At this duration, the discount rate determined by using the Bond Exchange Zero Coupon Yield Curve as at 31 March 2018 is 8,06% per annum.

12.5.1.2 Healthcare cost inflation

A healthcare cost inflation rate of 6,77% was assumed. This is 1.5% in excess of the expected inflation over the expected term of the liability, at 5,27%. However it is the relative levels of the discount rate and healthcare inflation to one another that are important, rather than the nominal values. A net discount factor of 1,21% per annum has been assumed.

12.5.1.3 Decrement assumptions

The following pre-retirement mortality table of SA85-90 and post-retirement mortality table of PA(90) in the current valuation has been applied (refer to 12.5.2).

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

12 Post-retirement medical aid liability (continued)

12.5 Key financial assumptions (continued)

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%	

12.5.3 Continuation percentages

It was assumed, in the previous valuation and current valuation, that continuation of the post-employment health care 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.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

12 Post-retirement medical aid liability (continued)

12.5 Key financial assumptions (continued)

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

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 health care cost inflation. We have made no allowance for volatility in the contributions due to fundamental changes in the underlying demographics of the scheme.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

12 Post-retirement medical aid liability (continued)

12.6 Summary of valuation methods (continued)

12.6.2 Valuation method (continued)

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

	2017 March R'000	2018 March R'000	2019 March R'000
Opening accrued liability	3 476	3 294	2 897
HSRC Liability			
Current service cost	15	14	15
Interest cost	299	267	217
Actuarial gain	(34)	(237)	-
Total annual expense	280	44	232
Contributions (benefits paid)	(462)	(441)	(424)
Closing accrued liability	3 294	2 897	2 705

13 Analysis of surplus/(deficit)

Surplus/(deficit) recorded

	2018 March R'000	2017 March R'000
	* 503	** (21 220)

* A surplus retention application will be submitted to National Treasury in terms of Section 53 (3) of the Public Finance Management Act of 1999 (PFMA) to retain the surplus. The amount is currently disclosed as a contingent liability pending National Treasury approval in Note 23.

** The deficit recorded for the financial year 2016/17 was as a result of utilisation of the prior year's surplus. The surplus retention was approved by National Treasury in terms of Section 53 (3) of the PFMA to retain the surplus that had accumulated from the 2015/16 financial year. Approval was granted on 16 September 2016. The balance of the approved surplus had been committed as at 31 March 2017.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

	2018 March R'000	2017 March R'000
14 Revenue from exchange and non-exchange transactions		
14.1 Research revenue (from exchange transactions)		
International funding agencies	112 438	92 254
National and provincial funding agencies	87 059	56 737
Private sector	44 006	13 003
Professional services and secondment	570	379
Universities	1 064	1 687
	245 137	164 060
14.2 Parliamentary grant (from non-exchange transactions)		
Parliamentary grant received	267 242	254 517
	267 242	254 517
15 Other operating revenue		
Cafeteria income	1 569	2 219
Insurance claims: recoveries	1 854	1 081
Interest received	9 138	9 766
Profit on disposal of assets	1	2
Publication sales	1 395	1 689
Rental income and recoveries	25 968	24 573
Royalties received	735	736
Skills development levy	523	492
Sundry Income	3 176	324
	44 359	40 882
16 Administrative expenses		
Annual license fees, library manuscripts and subscriptions	(13 216)	(11 522)
Audit fees	(4 502)	(5 921)
- External audit	(2 532)	(2 849)
- Internal audit	(1 541)	(2 572)
- Other audits	(429)	(500)
Bank costs / stamp duty / excise duties	(572)	(381)
Outsourced services and systems support	(4 705)	(6 485)
Consumable goods	(4 538)	(5 966)
Insurance	(2 330)	(2 599)
Net foreign exchange loss	(831)	(44)
Postal, telecom and delivery fees	(10 828)	(7 165)
Printing and photocopying	(4 787)	(4 725)
Publicity functions and conferences	(1 909)	(1 594)
Sundry operating expenses	(988)	(709)
Travel and subsistence	(3 872)	(6 465)
	(53 076)	(53 576)

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

	2018 March R'000	2017 March R'000
17 Research costs		
Direct labour expense	(49 301)	(22 700)
Direct research costs	(126 206)	(86 919)
	(175 507)	(109 619)
18 Staff costs		
Wages and salaries *	(262 988)	(248 347)
Defined contribution plan	(19 553)	(19 092)
Social contributions (employer's contributions)		
- official unions and associations	(243)	(211)
Post-retirement medical benefit		
- Employer contributions	(269)	(231)
- Decrease in liability	397	182
Termination benefits	-	(3 309)
Total	(282 656)	(271 008)
Number of staff as at 31 March 2018		
Permanent staff	558	575
Short term staff (12 months or less) ***	109	116
Total	667	691
<p>* Detailed disclosure of Council members' and executive management remuneration is set out in Note 25.2.</p> <p>*** Short-term staff are predominantly linked to various HSRC Research Projects, and staff count varies with project activities undertaken during a given period. The number disclosed in this note refers to staff who are still in employment at 31 March 2018.</p>		
19 Other operating expenses		
Bad debts written off	(32)	(1 281)
Bad debts provision	(132)	584
Legal fees	(569)	(444)
Inventory written off	(1 186)	-
Loss on disposal of assets	(235)	(1 205)
Office refreshments and client relations	(455)	(402)
Rentals, maintenance, repairs and running costs	(25 403)	(26 039)
- Other maintenance repairs and running costs	(3 239)	(6 408)
- Property taxes and municipal rates	(10 512)	(10 384)
- Lease rentals (regional offices)	(11 652)	(9 247)
Staff recruitment costs	(388)	(685)
Staff training	(1 091)	(3 276)
Study bursaries	(991)	(723)
	(30 482)	(33 471)

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

	2018 March R'000	2017 March R'000
20 Finance costs		
Fair valuation cost of receivables and payables	(1 469)	(1 752)
	(1 469)	(1 752)
21 Depreciation, amortisation and impairment expenses		
Depreciation on property, plant and equipment	(12 482)	(10 651)
Amortisation on intangible assets	(563)	(602)
	(13 045)	(11 253)
22 Reconciliation of net cash flows from operating activities to surplus for the year		
Surplus/(deficit) for the year	503	(21 220)
Adjustment for:		
Depreciation, amortisation and impairment expenses	13 045	11 253
Bad debts written off	32	1 281
(Decrease)/increase in provisions relating to employee cost	(219)	2 457
Net Loss on disposal of property, plant and equipment	235	1 205
Net foreign exchange loss	831	44
Bad debts provision movement	132	(584)
Inventory written off	1 186	-
Other adjustments	363	(606)
Items disclosed separately		
Receipts of sales of assets	(461)	(10)
Operating surplus/(deficit) before working capital changes:	15 647	(6 180)
Decrease/(increase) in inventories	1 150	(739)
Decrease/(increase) in other receivables	3 162	(7 396)
Decrease/(increase) in VAT receivable	5 399	(1 659)
Decrease in post retirement medical benefit	(397)	(182)
Increase in trade receivables	(5 689)	(4 650)
Increase in prepayments	(141)	(4 235)
(Decrease)/increase in income received in advance	(18 605)	1 303
Decrease in trade and other payables	(11 381)	(409)
Movement in lease accruals	129	1 341
Movement in lease commitments	276	112
Cash utilised by operations	(10 450)	(22 694)

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

23 Contingent assets and liabilities

Pending claims

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

	2018 March R'000	2017 March R'000
Counter claim made by the HSRC (possible contingent asset)	2 950	2 950
Claim against HSRC (possible contingent liability)	(8 048)	(8 048)
Accumulated surplus for in 2017/18 **	(503)	-
	(5 601)	(5 098)

Case 1: The HSRC terminated a service provider's contract as a result of non-delivery. The service provider subsequently issued a 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 were incurred due to the forced termination of the contract. The parties are considering settling the matter on the basis that, each party withdraw its action and pay its own legal costs. This had not been finalised at 31 March 2018.

Case 2: A case brought forward by a service provider against the HSRC who in October 2015 issued a summons in the amount of R105 400.00 in respect of unpaid handyman services rendered to the HSRC at the Durban office. The HSRC has since filed a notice of intention to defend the matter.

Case 3: A former employee launched a new application in the North Gauteng High Court against the HSRC for breach of contract committed by the HSRC. Relief is sought for payment in the sum of R4 994 769.99, being the contract balance calculated from date of dismissal (27th February 2015) to date of termination of contract, (31st December 2018). Interest on the aforesaid amount at 15, 5% per annum calculated from the 27th February 2015 to date of payment. The HSRC was successful in the High Court. The Applicant now wishes to take the matter on appeal, and needs to apply for leave to appeal. The HSRC will oppose this application, and if dismissed the matter will be finalized. Estimated legal costs to defend these cases amount to R1,445,000.00.

** A surplus retention application will be submitted to National Treasury in terms of Section 53 (3) of the Public Finance Management Act of 1999 (PFMA) to retain the surplus.

24 Events after the reporting date

No reportable events after reporting date.

25 Related parties

The 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.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

25 Related Parties (continued)

25.1 Transactions and balances with related parties

	Services rendered				Services received			
	Year ending 31 March 2018		Year ending 31 March 2017		Year ending 31 March 2018		Year ending 31 March 2017	
	Transactions R	Balance R	Amount Included in Bad Debts Provision as at 31 March 2018 R	Transactions R	Balance R	Amount Included in Bad Debts Provision as at 31 March 2017 R	Transactions R	Balance R
Related Party								
Department of Science and Technology	339 008 306	-	-	315 367 014	-	-	-	-
Agricultural Research Council	1 500 000	500 000	-	1 000 000	500 000	-	-	-
Brand South Africa	100 000	-	-	-	-	-	-	-
CSIR-Council for Scientific and Industrial Research	28 897	620 608	-	-	-	-	679 137	138 715
Department of Basic Education	5 602 146	-	-	2 792 317	-	-	-	-
Department of Higher Education	12 504 051	-	-	8 483 090	-	-	-	-
Department of Housing	774 736	-	-	600 029	-	-	-	-
Department of Public Enterprises	484 000	141 501	84 901	-	-	-	-	-
Department of Public Service and Administration	610 380	443 903	-	94 058	118 812	-	-	-
Department of Rural Development	3 734 889	-	-	3 283 617	-	-	-	-
Department of Social Development	962 755	149 580	3 545	3 092 549	288 562	-	-	-
Department: Planning, Monitoring and Evaluation	913 796	899 978	-	1 205 814	-	-	-	-

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

25	Related Parties (continued)	Services rendered						Services received			
		Year ending 31 March 2018			Year ending 31 March 2017			Year ending 31 March 2018		Year ending 31 March 2017	
		Transactions R	Balance R	Amount Included in Bad Debts Provision as at 31 March 2018 R	Transactions R	Balance R	Amount Included in Bad Debts Provision as at 31 March 2017 R	Transactions R	Balance R	Transactions R	Balance R
25.1	Transactions and balances with related parties (continued)										
	Department of Defence	1 079 318	886 776	-	-	-	-	-	-	-	-
	Department of Environmental Affairs	2 039 311	3 870 236	-	-	-	-	-	-	-	-
	Department of Public Works - Pretoria	27 024 763	-	-	24 322 728	2 828 240	-	-	-	-	-
	Department of Military Veterans	800 000	800 000	-	-	-	-	-	-	-	-
	Ethekwini Metropolitan Municipality	128 634	-	-	1 660 480	-	-	-	-	-	-
	Gauteng Department of Housing	679 867	800 039	-	-	-	-	-	-	-	-
	Local Government Sector Education and Training Authority	1 732 452	443 107	-	389 802	909 539	-	-	-	-	-
	Medical Research Council	1 583 344	252 313	-	-	-	-	603 821	-	12 500	-
	SAHRC	100 000	-	-	-	-	-	-	-	-	-
	SARS	10 499 307	360 755	-	3 744 098	-	-	-	-	-	-
	Sector Education and Training Authority	478 411	-	-	531 645	-	-	-	-	-	-
	The City of Johannesburg Metropolitan Municipality	2 500	-	-	330 600	-	-	-	-	-	-

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

25 Related Parties (continued)

25.1 Transactions and balances with related parties (continued)

	Services rendered				Services received			
	Year ending 31 March 2018		Year ending 31 March 2017		Year ending 31 March 2018		Year ending 31 March 2017	
	Transactions R	Balance R	Amount Included in Bad Debts Provision as at 31 March 2018 R	Transactions R	Balance R	Amount Included in Bad Debts Provision as at 31 March 2017 R	Transactions R	Balance R
The Gauteng City-Region Observatory (GCRO)	194 085	-	-	-	-	-	-	-
The KwaZulu-Natal Department of Transport	1 143 453	827 499	-	-	1 143 453	-	-	-
The Parliament of the Republic of South Africa	950 416	-	-	-	-	-	-	-
Eskom Holdings Limited	-	-	-	157 469	-	-	-	-
Department of Human Settlements	300 000	99 747	-	606 978	-	-	-	-
Financial Service Board	919 963	-	-	545 878	-	-	-	-
National Department of Health	-	-	-	18 000 000	-	-	-	-
National Department of Tourism (NDT)	-	-	-	1 788 336	72 808	-	-	-
National Development Agency	-	-	-	300 000	-	-	-	-
National Research Foundation	-	-	-	1 597 015	-	-	-	-
National Student Financial Aid Scheme	399 405	79 881	-	-	-	-	-	-
Office of the Premier -JHB	-	115 000	-	1 657 071	-	-	-	-

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

25	25.1	Related Parties (continued) Transactions and balances with related parties (continued)	Services rendered				Services received			
			Year ending 31 March 2018		Year ending 31 March 2017		Year ending 31 March 2018		Year ending 31 March 2017	
			Transactions R	Balance R	Amount Included in Bad Debts Provision as at 31 March 2018 R	Transactions R	Balance R	Amount Included in Bad Debts Provision as at 31 March 2017 R	Transactions R	Balance R
		The Commission for Gender Equality	-	-	-	896 411	-	-	-	-
		The Electoral Commission (IEC)	-	-	-	5 564 595	-	-	-	-
		The Presidency	-	-	-	169 828	-	-	-	-
		The South African National Aids Council Trust	-	-	-	232 000	185 600	-	-	-
		The South African Qualifications Authority (SAQA)	-	-	-	23 221	-	-	-	-
		Department of Environmental Affairs	-	-	-	1 960 644	-	-	-	-
		Auditor General South Africa	-	-	-	-	-	-	3 057 816	-
		City of Tshwane	-	-	-	-	-	-	10 429 386	-
		Government Printers	-	-	-	-	-	-	3 000	1 000
		South African Post Office	-	-	-	-	-	-	50 751	-
		Telkom	-	-	-	-	-	-	3 483 069	164 540
		Total	416 279 186	11 290 923	88 446	400 397 287	6 047 014	-	18 306 980	304 255
									16 170 595	-

** Amount disclosed includes MTEF Allocation received from DST

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

25 Related Parties (continued)

25.2 Fees paid to board members and executive management salaries (continued)

Note	Year ending 31 March 2018					Year ending 31 March 2017
	Gross Remuneration R	Post-employment Benefits & Termination Benefits R	Performance Bonus R	Other Allowances R	Total R	
Mrs. N. Badsha (Board Chairperson - 31st August 2017)	24 281	-	-	-	24 281	91 881
Prof. M. Tom (Chairperson, Appointed 1 November 2017)	14 871	-	-	-	14 871	-
Prof. E. Uliana (Board Member, Audit and Risk Committee Chairperson, ended 26 November 2016)	-	-	-	-	-	23 271
Ms. P. Sibiya (Audit & Risk Committee Chairperson, Appointed 1 November 2017)	16 012	-	-	-	16 012	-
Prof. R. T. Moletsane (Board Member)	24 592	-	-	-	24 592	39 680
Prof. A. Olukoshi (Board Member)	14 829	-	-	-	14 829	38 386
Prof. A. Lourens (Board Member, Also served on the Audit & Risk Committee acting chairperson, from 27 November 2016 - 31 October 2017)	42 792	-	-	-	42 792	39 041
Prof. L. Qalinge (Board Member)	23 135	-	-	-	23 135	38 325
Dr. B. Tema (Board Member, Also served on the Audit & Risk Committee)	54 711	-	-	-	54 711	48 550
Prof. S. A. Hassim (Board Member)	10 865	-	-	-	10 865	33 278
Adv. R. R. Dehal (Board Member)	7 178	-	-	-	7 178	65 274

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

25 Related Parties (continued)

25.2 Fees paid to board members and executive management salaries (continued):

Note	Year ending 31 March 2018					Year ending 31 March 2017
	Gross Remuneration R	Post-employment Benefits & Termination Benefits R	Performance Bonus R	Other Allowances R	Total R	Total R
Prof. MHR Bussin (Board Member, also serves on the Audit & Risk Committee)	26 273	-	-	-	26 273	53 415
Prof. L. Zungu (Board Member, Appointed 1 November 2017)	11 055	-	-	-	11 055	-
Prof. H. Bhorat (Appointed 1 November 2017)	11 746	-	-	-	11 746	-
Dr. A. Hamdok (Appointed 1 November 2017)	14 740	-	-	-	14 740	-
Prof. C. Soudien - (CEO)	2 546 045	364 351	-	177 434	3 087 830	2 570 452
Executive Management **	16 632 023	1 501 385	509 210	1 350 577	19 993 195	22 370 257
	19 475 148	1 865 736	509 210	1 528 011	23 378 105	25 411 810

Prof. MHR Bussin (Board Member, also serves on the Audit & Risk Committee)

Prof. L. Zungu (Board Member, Appointed 1 November 2017)

Prof. H. Bhorat (Appointed 1 November 2017)

Dr. A. Hamdok (Appointed 1 November 2017)

Prof. C. Soudien - (CEO)

Executive Management **

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

25 Related Parties (continued)

25.3 The following is a list of executive management for the years ended 31 March 2018 and 31 March 2017

Name	For the year ending 31 March 2018	
	Position	Date/ (Period) of Appointment
Prof. C. Soudien	Chief Executive Officer (CEO)	01/09/2015
Prof. L.C. Simbayi	DCEO: Research	01/01/2016
Dr. B.S.T. Masilela	Executive Director	01/01/2016
Ms. C. Abdoll CA (SA)	Group Executive: Shared Services (Designated CFO)	01/09/2017
Mr. R. Matambo (ACCA ,MBA)	Acting Chief Financial Officer	01/04/2017 - 30/08/2017
Dr. H. van Rooyen	Executive Director: HSD	01/01/2016
Prof. P. Reddy	Acting Executive Director: PHHSI	24/11/2016 - 31/03/2018
Dr V. Reddy	Executive Director: ESD/Acting Executive Director	01/07/2007 - 28/02/2018 (01/03/2018 - 31/03/2018)
Prof. G. Setswe	Acting/ Executive Director: HAST	01/04/2016 - 30/06/2017
Dr. N. Bohler-Muller	Executive Director: DGSD	18/11/2015
Dr. K. Zuma	Executive Director: RMDC,Acting Executive Director: HAST	01/06/2013
Dr. C. Chikozho	Executive Director: AISA	01/11/2016 - 30/04/ 2018
Prof. I. Turok	Executive Director: EPD	01/04/2016

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

25 Related Parties (continued)

25.3 The following is a list of Executive Management for the years ended 31 March 2018 and 31 March 2017 (continued)

For the year ending 31 March 2017		
Name	Position	Date/ (Period) of Appointment
Prof. C. Soudien	Chief Executive Officer (CEO)	01/09/2015
Prof. L.C Simbayi	Executive Director: HAST/ Acting DCEO: Research (01/01/2016)	01/07/2009
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)	01/06/2012-15/03/2017
Mr. R. Matambo (ACCA ,MBA)	Acting Chief Financial Officer	03/01/2017
Ms. P. Singh CA(SA)	Chief Financial Officer (CFO)	01/09/2012-03/01/2017
Dr. H. van Rooyen	Executive Director: HSD	01/01/2016
Prof. P. Reddy	Acting Executive Director: PHHSI	24/11/2016
Dr. V. Reddy	Executive Director: ESD	01/07/2007
Prof. D. Labadarios	Executive Director: PHHSI	01/08/2008-31/03/2017
Prof. G. Setswe	Acting Executive Director: HAST	01/04/2016
Dr. N. Bohler-Muller	Executive Director: DGSD	18/11/2015
Dr. K. Zuma	Executive Director: RMDC	01/06/2013
Dr. C. Chikozho	Executive Director: AISA	01/11/2016
Prof. I. Turok	Executive Director : EPD	01/04/2016

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

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 26.1. 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

Description	Key	Adjustment R'000
Decrease in accumulated surplus	(i)	361
Increase in administrative expenses	(i)	299
Decrease in income received in advance	(ii)	397
Increase in operating lease accruals	(iii)	(27)
Increase in operating lease receivables	(iii)	9
Increase in other operating expenses	(i)	509
Decrease in other operating revenue	(ii)	124
Increase in prepayments	(i)	459
Increase in research costs	(i)	637
Increase in research revenue (from exchange transactions)	(ii)	10
Increase in trade and other payables	(i)	(2 177)
Decrease in trade and other receivables	(ii)	(709)
Increase in inventory	(iv)	108
Surplus for 2016/2017 increase		1 579

- (i) Adjustment as a result of additional expenses received in the 2017/18 pertaining to the 2016/17 financial year and had not been accrued as well as expenses not accounted for correctly as at 31 March 2017.
- (ii) Adjustments noted in (i) above included entries on research projects, prepayments, receivables and also resulted in adjustments in external income and income received in advance.
- (iii) Adjustment relates to leases that had not been correctly accounted for at 31 March 2017.
- (iv) Adjustment as a result of understated stock in the 2016/2017 financial year.
- (v) Adjustments to cash receipts and payments were effected to take into account VAT receipts and payments.

26.2 Reclassification

Description	Adjustment R'000
Increase in administration expenses	1 166
Decrease in research costs	(1 247)
Increase in staff costs	81
Decrease in provisions	17 394
Increase in trade and other payables	(17 394)

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

	2018 March R'000	2017 March R'000
27 Irregular expenditure		
Opening Balance	6 465	3 968
Irregular expenditure - current year	185	6 465
Irregular expenditure - condoned	(6 459)	(3 968)
Irregular expenditure awaiting condonement	191	6 465

Analysis of irregular expenditure

Irregular expenditure incurred in the current financial year relates to procurement that took place without following appropriate supply chain management policies and procedures. Measures implemented in the financial year have resulted in a significant reduction of irregular expenditure in 2017/18 when compared to the previous financial year.

28 Fruitless and Wasteful expenditure		
Opening Balance	3 305	249
Fruitless and wasteful expenditure - current year	185	3 307
Fruitless and wasteful expenditure - condoned	(3 305)	(249)
Recovered	(24)	(2)
Fruitless and wasteful expenditure awaiting condonement	161	3 305

Instances of fruitless and wasteful expenditure recorded for the year

- 1 Fruitless and wasteful expenditure amounting to R24,000 relates largely to traffic fines issued to staff members on hired vehicles and flights missed. The money was recovered from the staff members concerned.
- 2 The other portion relates to an event's catering and accommodation expenses that were incurred and should have been avoided as the organisation did not enjoy the intended benefits due to administration errors.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

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

29.1 Research revenue

Research revenue attainment exceeded expectations, with the organisation exceeding its target set for 2017/18 financial year. This was largely due to a number of flagship projects undertaken in the financial year, which resulted in enhanced partnerships with the private sector when compared to the previous financial year.

29.2 Parliamentary Grants

The 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 Act No 17 of 2008, HSRC's Strategy and Annual Performance Plan (2017/18 financial year), as presented to the Minister of DST and Parliament.

29.3 Parliamentary Grants - Ring Fenced

The ring fenced 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 (2017/18 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 2017/18 financial year.

29.4 Other operating revenue

Other operating revenue is mainly generated from the rental agreement with the Department of Public Works, publication sales, cafeteria sales to the HSRC staff and the public as well as interest earned on unused funds (mainly the parliamentary grant). The target was not achieved largely due to an increased volume of projects undertaken in 2017/18 which resulted in less funding being invested and an under achievement on interest income. The Cafeteria recorded less sales in the period under review.

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 on this line item was below forecasted expenditure largely due to cost containment measures implemented at the beginning of the financial year. This resulted in targeted cost saving initiatives to compensate for the R22 million reduction of parliamentary grant funding in 2017/18.

29.6 Research costs

Research costs exceeded the budgeted amount largely due to additional research activities being undertaken in the 2017/18 financial year. Research activities are funded from external research revenue as well as the parliamentary grant received from the government, spending is in line with additional revenue generated in the financial year.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

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

29.7 Staff costs

Staff costs spending was 1% below budget. This was largely due to some positions that were vacated and not filled as at 31 March 2018. Through the bargaining process in the HSRC, salaries were increased by 7% (6.2% for directors and other executive management) in the financial year under review. Due to the nature of the organisation, being human capital driven, salaries are a significant percentage of the expenditure budget at 51%.

29.8 Other operating expenses

Other operating expenditure was below the budgeted amount for the financial year due to stringent cost containment measures which continue to be implemented with an aim of ensuring that the organisation remains sustainable in the long term, channelling more funding towards core research activities.

29.9 Depreciation, amortisation and impairment expenses

Depreciation expenses exceeded budgeted amounts largely due to research projects undertaken in the year with extensive assets capitalisation. The assets are depreciated at the lower of their useful lives or project duration, hence the increase in the depreciation expenses recorded for the financial year.

30 Financial instruments

30.1 Fair values of financial instruments

Financial instruments consist of receivables, payables and cash & 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. As at 31 March 2018 the carrying amounts and fair values for the Financial assets and liabilities were as follows:

		2018 March		2017 March	
	Note	Carrying Amount R'000	Fair Value R'000	Carrying Amount R'000	Fair Value R'000
Financial assets					
Cash and cash equivalents	1	43 755	43 755	61 307	61 307
Trade and other receivables	2	45 413	45 413	43 018	43 018
		89 167	89 167	104 325	104 325
Financial liabilities					
Measured at amortised cost					
Trade and other payables	8	37 975	37 975	49 356	49 356
		37 975	37 975	49 356	49 356

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

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

30 Financial instruments (continued)

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:

			2018 March			2017 March		
Note	Effective Interest Rate (fluctuating)	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%	11 824	-	11 824	11 580	-	11 580
Short term investments accounts	1	5-6.5%	31 931	-	31 931	49 727	-	49 727
Trade and other receivables	2	0.00%	45 413	-	45 413	43 018	-	43 018
Total financial assets			89 168	-	89 168	104 324	-	104 324
Financial liabilities								
Measured at amortised cost								
Trade and other payables	8	0.00%	37 975	-	37 975	49 356	-	49 356
Total financial Liabilities			37 975	-	37 975	49 356	-	49 356
Net financial assets			51 195	-	51 195	54 969	-	54 969

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

30 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 concentrations of credit risk, consist mainly of cash and cash equivalents and trade receivables from non-exchange transactions. 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 and 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:

		2018 Less than 12 months			2017 March		
	Note	Current R'000	30 days and above R'000	Total R'000	Current R'000	30 days and above R'000	Total R'000
Trade and other receivables	2	31 266	14 147	45 413	36 754	6 264	43 018
		31 266	14 147	45 413	36 754	6 264	43 018
Percentage analysis		69%	31%	100%	85%	15%	100%

30.4 Liquidity risk

The HSRC manages liquidity risk through proper management of working capital, capital expenditure, actual versus forecast cash flows and its cash management policy. In addition adequate reserves and liquid resources are 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 HSRC's financial instruments consist mainly of cash and cash equivalents, payables and receivables. No financial instrument was carried at an amount in excess of its fair value and fair values could be reliably measured for all financial instruments. The following methods and assumptions are used to determine the fair value of each class of financial instruments:

30.6.1 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.

30.6.2 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.

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

31 Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount R
29 March 2018	Archie Mafeje	30	The Annual Archie Mafeje Memorial Lecture Series celebrates the memory of the late Prof. Archie Mafeje, an inspiring figure who worked tirelessly to highlight the importance of being an African through self-knowledge, self control and self-empowerment. The event was held at UNISA who sponsored the catering.	AISA	SCM process	Expenditure	19 825 *
11-16 March 2018	Africa Young Graduates and Scholars Conference (AYGS), 2018	110	Capacity Building Initiative - Providing a platform for University Students to present research papers and present to an academic audience. This year we also included a workshop to assist with research proposal writing, statistics & analysis etc. Students were represented from national and international universities.	AISA	SCM process	Expenditure	781 131 *
25-27 May 2017	Africa Unity of Renaissance Conference 2017	200	The Africa Unity of Renaissance Conference was held at Freedompark with financial contributors DST, TMALI, WRC, TUT, ICSU and BRANDSA. Africa Day is also linked to this conference and the function was held at the KARA Heritage Institute. A PhD colloquium was also held at UNISA 2 days prior to the conference.	AISA	SCM process	Expenditure	2 286 914 *
9- 10 June 2017	Youth in Science and Innovation Indaba	100	Youth in Science and Innovation Indaba Conference	RIA	SCM process	Expenditure	1 614 935 *
13-15 June 2017	8th SA AIDS Conference	1	Sharing innovative practices towards health education, promotion, knowledge generation and capacity building amongst our youth within the post school sector.	RMDG/ HAST	SCM process	Expenditure	50 366 *
06-08 September 2017	The 2017 Human Development and Capacity Association Conference	1	Youth risk behaviour, Vulnerability, Capacity and Impact on Youth Unemployment in South Africa	PHHSI	SCM process	Expenditure	203 300 *

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

31 Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8 (continued)

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount R
27-29 November 2017	3rd AfricaLics Conference	1	This is regional chapter of the bigger Globelics, it connects scholars working within the areas of innovation and development with specific focus on these issues for African countries. It seeks to bring together scholars, researchers and policy analysts who study development, innovation, learning and competence building in an African context.	ESD	SCM process	Expenditure	19 405 *
30 October - 1 November 2017	Africa Talks Jobs	2	Continental Dialogue on Equipping the Youth with Education and Skills for Employment	ESD	SCM process	Expenditure	21 566 *
30 October - 1 November 2017	Africa Talks Jobs	2	Continental Dialogue on Equipping the Youth with Education and Skills for Employment	ESD	SCM process	Expenditure	3 878 *
05-8 July 2017	INS Mid-year Congress: Celebrating 50 years	1	The congress will provide an opportunity to reflect on scientific developments during the past 50 years, and present new frontiers of neuropsychological science and their application for improving the human condition.	ESD	SCM process	Expenditure	7 620 *
23-28 July 2017	18th International Conference on Mathematical Modelling and Applications (ICTMA 18)	1	The conference brings together mathematics education researchers who are currently involved or have been previously involved in research in mathematical modelling.	ESD	SCM process	Expenditure	7 800 *
18-20 August 2017	Imagining a thriving multilingual world: language, education and society in the 21st century	1	Language and Literacy Education.	ESD	SCM process	Expenditure	4 147 *

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

31 Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8 (continued)

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount R
28-29 September 2017	Quantitative Applications in Education Conference	1	Quantitative Applications in Education Conference	ESD	SCM process	Expenditure	1 171 *
03-04 October 2017	Language and STEM education at school- policy and research	1	Language and STEM education at school- policy and research	ESD	SCM process	Expenditure	- *
05-08 December 2017	Researching Work and Learning 10th International Conference	1	Transitions, Transformations and Transgressions in Work & Learning Research.	ESD	SCM process	Expenditure	8 902 *
05-07 September 2017	UKFIET 2017 14th International Conference on Education and Development (Learning and teaching for sustainable development: Curriculum , cognition and context)	1	Procedures and challenges of large scale learner assessments related to impact evaluation. (provisional)	ESD	SCM process	Expenditure	31 618 *
27-29 September 2017	12th International Conference on ICT for Development, Education and Training E-Learning: Localisation of Computer software	1	Localizing an On-line Assessment software to be used by Indigenous Speaking South African Teachers	ESD	SCM process	Expenditure	32 273 *

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

31 Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8 (continued)

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount R
27-30 September 2017	International Society for Quality of Life Studies (ISQOLS)	1	The conference provides a space for scholars to present their research findings on quality of life, well being, and happiness, as well as to discuss their relevance for policy making.	ESD	SCM process	Expenditure	44 055 *
04-06 October 2017	Facing the challenge: Obstacles and opportunities of RRI in Scientific Institutions	1	Facing the challenge: Obstacles and opportunities of RRI in Scientific Institutions	ESD	SCM process	Expenditure	3 504 *
15-16 November 2017	Cosmos Conference	1	The Contentious Politics of Higher Education: Student Movements in Late Neoliberalism.	ESD	SCM process	Expenditure	12 350 *
25-29 March 2018	62nd Annual Meeting of the Comparative and International Education Society (CIES 2018)	1	Re-mapping Global Higher Education: South-North Dialogue	ESD	SCM process	Expenditure	3 205 *
27-30 September 2017	International Society for Quality of Life Studies (ISQOLS)	1	Quality of Life: Towards a better Society	ESD	SCM process	Expenditure	28 908 *
22-25 May 2017	SARIMA Annual Conference	19	Promotion and facilitation of best practice in Research and Innovation management in Southern Africa to ensure the social and economic development of the Southern African region.	ODCEO/ CESTII	SCM process	Expenditure	143 513 *
29-01 July 2017	7th European Conference on African Studies	1	From circumvention to avert resistance at the urban margin	DGSD/L&D	SCM process	Expenditure	34 852 *

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

31 Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8 (continued)

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount R
29 April- 03 May 2017	The annual international Social Survey Programme (ISSP) meeting	2	South Africa has been elected as the convener of the International Social Inequality module which will be fielded by approximately 50 countries in 2019 as part of the International Social Surveys Programme (ISSP). Participating members get together to discuss and finalise ISSP module that will be fielded in the upcoming two years in a national survey in each participating country.	DGSD	SCM process	Expenditure	46 717 *
21-23 August 2017	Geomatics Indaba 2017		This is a fully inclusive geomatics sector conference, exhibition and training event.	RMDC	SCM process	Expenditure	16 810 *
29 Oct- 04 Nov 2017	28th International Population Conference organized by the International Union for the Scientific Study of Population (IUSSP)	1	The aim of the conference is to promote the scientific study of population, encourage exchange between researchers around the globe and stimulate interest in population issues amongst government and non-governmental institutions.	DGSD	SCM process	Expenditure	13 815 *
27 August-01 September 2017	Electrochemistry without borders	1	The conference will serve as an avenue for robust discussion on recent trends and innovations in research evidence and policy, specific in the gender domain.	CESTII	SCM process	Expenditure	37 065 *
31 March-02 April 2017	Rupturing colonial legacies: Colonialisms and Decolonizations in Africa and the African Diaspora	2	The goal of the conference is to problematise historical and contemporary colonial and neo-colonial power structures in relation to Africa and the African Diaspora, as well as to (re)imagine and map out alternative futures both within and outside of these global matrices of power and domination.	RIA	SCM process	Expenditure	70 000 *

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

31 Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8 (continued)

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount R
06-08 April 2017	2017 SRCD (Society for Research in Child Development) Biennial meeting	1	The conference aims to stimulate and support research, to encourage cooperation among individuals engaged in the scientific study of child development, and to encourage applications of research findings.	HSD	SCM process	Expenditure	44 160 *
06-10 April 2017	MPSA 2017 Annual Conference	1	#FeesMustFall and perceptions of subjective wellbeing of South African University students	DGSD	SCM process	Expenditure	29 531 *
05-06 May 2017	Social Movements and Protest: Nonviolent Strategies and the State	1	Networking opportunity with colleagues in the same profession.		SCM process	Expenditure	36 601 *
17-20 May 2017	13th international Congress of Qualitative Inquiry of the International Institute of Qualitative Inquiry	1	The institute aims to facilitate the development of qualitative research methods across a wide variety of academic disciplines.	DGSD	SCM process	Expenditure	23 275 *
11-15 July 2017	The 2nd BRICS Young Scientist Forum	1	Bridging the Developmental Divide- R&D surveys in South Africa	CeSTII	SCM process	Expenditure	16 933 *
12-21 July 2017	Three concurrent conferences: 1. Democracy & Participation in 21st century, 2. World Association of Public Research, 3. European Social Surveys Association	1	Democracy and Participation in the 21st century	RIA	SCM process	Expenditure	52 766 *

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

31 Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8 (continued)

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount R
16-21 July 2017	International Statistical Institute (ISI) 61st World Statistics Congress (WSC)	1	The congress is a premier statistical congress where the international statistical community congregates to exchange ideas, develop new links and discuss new trends and developments in the statistical world, for better use of data and statistics for policy and decision making.	HAST	SCM process	Expenditure	57 831
03-09 September 2017	4th International Conference on Research for Development (ICRD) 2017 Evidence. Engagement. Policies. Bern.	1	The conference will serve as an avenue for robust discussion on recent trends and innovations in research evidence and policy, specific in the gender domain.	RIA	SCM process	Expenditure	56 612
16-17 September 2017	The 6th International Conference on Climate Change (CCA)	1	The conference aims to reinvigorate the response to climate change by bringing together the world's experts to advance knowledge about CCA, present new research findings, and promote and enhance scientific and community collaborations around the world; Promoting activism and community mobilisation that holds leaders, industry, and governments accountable and increases their commitment to an evidence based, human rights affirming CCA response.	RIA	SCM process	Expenditure	28 761
25-26 September 2017	The 2nd World Congress on medical sociology & community health	1	The congress brings global experts on community (public) health. The aim is to provide for all researchers and practitioners in medical sociology and health a platform to share the experiences and expertise on related projects.	AISA	SCM process	Expenditure	20 994
10-13 October 2017	The 15th GLOBELICS International Conference 2017	3	Innovation and capacity building in the context of financialisation and uneven development of the global economy: new roles for the state, productive sector, and social actors.	EPD/CESTII	SCM process	Expenditure	42 087

Notes to the Annual Financial Statements

for the Financial Year Ended 31 March 2018 (continued)

31 Disclosure of costs related to conferences as required by National Treasury Instruction Note 2 of 2016/17, paragraph 8 (continued)

Date of conference	Name of the conference	Number of participants	Purpose of the conference or event	Division or business unit	Description of the contracting procedures	Classification of the expenditure	Amount R
11-14 October	World Lung Health Conference	1	Accelerating Toward Elimination, The focus will be on how to accelerate toward elimination on multiple fronts including TB and co infections, improving tobacco control and reducing air pollution.	HAST	SCM process	Expenditure	15 992
15-16 November 2017	Cosmos Conference	1	The Contentious Politics of Higher Education: Student Movements in Late Neoliberalism.	ESD	SCM process	Expenditure	16 563
16-18 November 2017	Institutions: Creativity and Resilience in Africa	1	Regional Institutions and Transboundary Water Governance: The role of SADC in Southern Africa's Hydro-Politics.	DGSD	SCM process	Expenditure	35 457
22-23 November 2017	The OECD Workshop on new approaches to evaluate the ocean economy	1	The objective of the conference is to share national and international perspectives on progress in valuing the world's growing sea-based commercial activities and crucial marine ecosystems on which our societies rely.	DGSD	SCM process	Expenditure	26 359
Total costs incurred on conferences related costs for 2017/18 financial year							6 053 567

* These costs were largely conference packages for the venue, audio equipment and travel related costs.

Research Outputs – 2017/18

1. DHET Accredited journal articles counted towards ADEPTS (ISI, IBSS, SA, Scielo SA, Norwegian and/or Scopus listings)

- Adeyinka, D.A., Olakunde, B.O., Ozigbu, C.E., Agogo, E.A., Morka, M., Atoba, T., Obanubi, C., Okorie, G., Davies, A. & Oladimeji, O. (2017) Elimination of mother-to-child transmission of syphilis: is it a reality in Nigeria by 2020?. *Scandinavian Journal of Public Health*. October:Online.
- Adonis, C. (2017) Generational victimhood in post-apartheid South Africa: perspectives of descendants of victims of apartheid era gross human violations. *International Review of Victimology*. October:Online.
- Alex, J.K. & Juan, A. (2017) Quality education for sustainable development: are we on the right track?: evidence from the TIMSS 2015 study in South Africa. *Perspectives in Education*. 35(2):Online.
- Alubafi, M.F. & Ramphalile, M. (2017) The shifting iconography of drinking horns in the Western Grassfields, Cameroon. *Cogent Social Sciences*. 3:Online.
- April, F.Y. & Sebola, M. (2016) A comparative analysis of corruption in South Africa and China: evidence from the application of governance theory. *Africa Insight*. 46(3):83-100.
- Arends, F., Winnaar, L. & Mosimege, M. (2017) Teacher classroom practices and mathematics performance in South African schools: a reflection on TIMSS 2011. *South African Journal of Education*. 37(3):Online.
- Arfer, K.B., Tomlinson, M., Mayekiso, A., Bantjes, J., Van Heerden, A. & Rotheram-Borus, M-J. (2017) Criterion validity of self-reports of alcohol, Cannabis and Methamphetamine use among young men in Cape Town, South Africa. *International Journal of Mental Health and Addiction*. May:Online.
- Arnot, M. & Swartz, S. (2018) Gender respect: empirical insights for (moral) educators about women's struggles for respect in the Global South. *Journal of Moral Education*. March:Online.
- Aye, W.L., Puckpinyo, A. & Peltzer, K. (2017) Non-adherence to anti-retroviral therapy among HIV infected adults in Mon state of Myanmar. *BMC Public Health*. 17:Online.
- Bashonga, R. & Khuzwayo, Z. (2017) "This thing of the victim has to prove that the perp intended to assault is kak!": social media responses to sexual violence on South African university campuses. *Agenda: Empowering Women for Gender Equity*. November:Online.
- Berry, K.M., Parker, W., Mchiza, Z.J., Sewpaul, R., Labadarios, D., Rosen, S. & Stokes, A. (2017) Quantifying unmet need for hypertension care in South Africa through a care cascade: evidence from the SANHANES, 2011-2012. *BMJ Global Health*. May:Online.
- Bialostocka, O. (2017) Inhabiting a language: linguistic interactions as a living repository for intangible cultural heritage. *International Journal of Intangible Heritage*. 12:18-27.
- Bohler-Muller, N., Kanyane, M., Pophiwa, N. & Dipholo, M. (2017) Life after judgment: the Nokotyana case re-examined. *Journal of Contemporary African Studies*. December:Online.
- Bohler-Muller, N., Roberts, B.J., Struwig, J., Gordon, S.L., Radebe, T. & Alexander, P. (2017) Minding the protest: attitudes towards different forms of protest action in contemporary South Africa. *SA Crime Quarterly*. 62:81-92.
- Booyens, I. & Rogerson, C.M. (2017) Managing tourism firms in South Africa for competitiveness: an innovation perspective. *Tourism Review International*. 21:49-61.
- Booyens, I., Hart, T.G.B. & Ramoroka, K.H. (2017) Local innovation networking dynamics: evidence from South Africa. *The European Journal of Development Research*. November:Online.

- Botha, F., Booysen, F. & Wouters, E. (2017) Satisfaction with family life in South Africa: the role of socioeconomic status. *Journal of Happiness Studies*. October:Online.
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- Chersich, M.F., Wabiri, M.N., Risher, K., Shisana, O., Celentano, D., Rehle, T., Evans, M. & Rees, H. (2017) Contraception coverage and methods used among women in South Africa: a national household survey. *South African Medical Journal*. 107(4):307-314.
- Chetty, K., Aneja, U., Mishra, V., Gcora, N. & Josie, J. (2017) Bridging the digital divide in the G20: skills for the new age. *Economics*. September:Online.
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- Fongwa, S.N. (2017) South Africa's knowledge-development policy nexus: implications for place-based development in the Eastern Cape Province. *Development Southern Africa*. December:Online.
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Acronyms and Abbreviations

AIDS	Acquired Immunodeficiency Syndrome
AISA	Africa Institute of South Africa
ANPPA	Analysis of Non-communicable Disease Prevention Policies in Africa
APRM	African Peer Review Mechanism
ARC	Audit and Risk Committee
ART	Antiretroviral Treatment
ASTII	African Science and Technology Indicators Initiative
ATR	Annual Training Report
AU	African Union
AYGS	Africa Young Graduate Scholars
BIS	Business Innovation Survey
BMS	Building Management System
CASS	Chinese Academy of Social Sciences
CE	Citizen Engagement
CEO	Chief Executive Officer
CeSTII	Centre for Science, Technology and Innovation Indicators
CGE	Commission for Gender Equality
CONTRALESA	Congress of Traditional Leaders of South Africa
COSO	Committee of Sponsoring Organisations of the Treadway Commission
CPHI	Combination Package of HIV Prevention Interventions
CRO	Chief Risk Officer
CSP	City Support Programme
CVD	Cardiovascular Disease
DBE	Department of Basic Education
DGSD	Democracy, Governance and Service Delivery
DHET	Department of Higher Education and Training
DMV	Department of Military Veterans
DST	Department of Science and Technology
EAP	Employee Assistance Programme
EPD	Economic Performance and Development
ESD	Education and Skills Development
ETDP	Education, Training and Development Practices
EU	European Union
FTF	First Things First
GERD	Gross Expenditure on R&D

HAST	HIV/AIDS, TB and STI
HCT	HIV Counselling and Testing
HEAIDS	Higher Education AIDS
HIV	Human Immunodeficiency Virus
HPCSA	Health Professions Council of South Africa
HSD	Human and Social Development
HSRC	Human Sciences Research Council
IBSS	International Bibliography of the Social Sciences
IEC	Independent Electoral Commission
ILO	International Labour Organisation
IP	Intellectual Property
ISI	International Scientific Indexing
ISSP	International Social Surveys Programme
IT	Information Technology
KPIS	Key Population Implementation Science
LMIP	Labour Market Intelligence Partnership
MOST	Management of Social Transformation
MSA	Multi-sectoral Approach
MSM	Men who have Sex with Men
NACI	National Advisory Council on Innovation
NCD	Non-communicable Disease
NCRST	National Commission on Research, Science and Technology
NEPAD	New Partnership for Africa's Development
NESTI	National Experts for Science and Technology Indicators
NHI	National Health Insurance
NRF	National Research Foundation
NSI	South African National System of Innovation
OECD	Organisation for Economic Co-operation and Development
PEP	Public Employment Programme
PFMA	Public Finance Management Act
PHHSI	Population Health, Health Systems and Innovation
PIB	Policy Implementation Barometer
PMSE	Programmatic Mapping and Size Estimation
PMTCT	Prevention of Mother-to-Child Transmission
PSPPD	Programme to Support Pro-Poor Development
R&D	Research and Development
RARE	Rapid Assessment Response

RIA	Research use and Impact Assessment
RMC	Risk Management Committee
SABSSM V	Fifth South African Behaviour Sero-Surveillance and Media (Survey)
SADC	Southern Africa Development Community
SAHARA	Social Aspects of HIV/AIDS Research Alliance
SAMRC	SA Medical Research Council
SASAS	South African Social Attitude Survey
SETA	Sector Education and Training Authority
SRS/SRM	Senior Research Specialist / Senior Research Manager
SMS	Short Message Service
SPEED	Supporting Policy Engagement for Evidence-based Decision-making
STI	Science, Technology and Innovation
TB	Tuberculosis
TIA	Technology Innovation Agency
TIMSS	Trends in International Mathematics and Science Study
TMR	Transformation, Modernisation and Reindustrialisation
TVET	Technical and Vocational Education and Training
UCT	University of Cape Town
UISP	Upgrading Informal Settlements Programme
UISP	Upgrading of Informal Settlements Programme
UNAIDS	United Nations Programme on HIV and AIDS
UNESCO	United Nations Educational, Scientific and Cultural Organization
VfM	Value for Money
WSP	Workplace Skills Plan

RP309/2018
ISBN: 978-0-621-46605-8

