



**HUMAN SCIENCES
RESEARCH COUNCIL**

INTEGRATED
ANNUAL
REPORT

21/22



science & innovation

Department:
Science and Innovation
REPUBLIC OF SOUTH AFRICA



HSRC
Human Sciences
Research Council



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**GENERAL
INFORMATION**

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PUBLIC ENTITY'S GENERAL INFORMATION

REGISTERED NAME:	Human Sciences Research Council
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POSTAL ADDRESS:	Private Bag X41 Pretoria 0001
TELEPHONE NUMBER:	+27 12 302 2000
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WEBSITE ADDRESS:	www.hsrc.ac.za
EXTERNAL AUDITOR:	Auditor-General South Africa 4 Daventry Street Lynnwood Bridge Office Park Lynnwood Manor Pretoria South Africa
BANKERS:	Standard Bank First National Bank
COMPANY/BOARD SECRETARY:	Ms Marizane Rousseau

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LIST OF ABBREVIATIONS/ ACRONYMS

AGSA	Auditor-General South Africa	ESS	Election Satisfaction Survey
AI	Artificial Intelligence	FOCAC	Forum on China-Africa Cooperation
AISA	Africa Institute of South Africa	GBV	Gender-Based Violence
ARC	Audit and Risk Committee	GDP	Gross Domestic Product
ART	Antiretroviral Therapy	GERD	Gross Domestic Expenditure on Research and Development
B-BBEE	Broad-Based Black Economic Empowerment	GRAP	Generally Recognised Accounting Practice
BRICS	Brazil, Russia, India, China, and South Africa	HDI	Historically Disadvantaged Institutions
CCBR	Centre for Community-Based Research	HSRC	Human Sciences Research Council
CEO	Chief Executive Officer	HSS	Humanities and Social Sciences
CeSTII	Centre for Science, Technology and Innovation Indicators	IBACF	Infrastructure Built Anti-Corruption Forum
CDC	Centers for Diseases Control	IED	Inclusive Economic Development
CFO	Chief Financial Officer	IESBA	International Ethics Standards Board for Accountants
CoP	Community of Practice	ISAs	International Standards on Auditing
CoST	Construction Sector Transparency Initiative	IT	Information Technology
CSIR	Council for Scientific and Industrial Research	LDL	Life During Lockdown
DBE	Department of Basic Education	M&E	Monitoring and Evaluation
DCEO: R	Deputy Chief Executive Officer: Research	MEC	Member of Executive Council
DCES	Developmental, Capable and Ethical State	MTEF	Medium-Term Expenditure Framework
DPME	Department of Planning, Monitoring and Evaluation	MTSF	Medium-Term Strategic Framework 2019-2024
DSD	Department of Social Development	NAP	National Action Plan
DSI	Department of Science and Innovation	NDP	National Development Plan
eRKC	eResearch Knowledge Centre	NECT	National Education Collaboration Trust
ERM	Enterprise Risk Management	NHREC	National Health Research Ethics Council
EDCTP	European and Developing Countries Clinical Trials Partnership	NRF	National Research Foundation
		OHS	Occupational Health and Safety
		OSF-SA	Open Society Foundation for South Africa

PAA	Public Audit Act, 2004 (Act No. 25 of 2004)	SETA	Sector Education and Training Authority
PAN	Policy Action Network	SIU	Special Investigating Unit
PEPFAR	President's Emergency Plan for AIDS Relief (United States)	SMME	Small, Medium and Micro Enterprises
PFMA	Public Finance Management Act, 1999 (Act No. 1 of 1999 as amended)	SRHR	Sexual and Reproductive Health and Rights
PSET	Post-School Education and Training	SRM	Senior Research Manager
R&D	Research and Development	SRS	Senior Research Specialists
RDI	Research, Development and Innovation	STI	Science, Technology and Innovation
REC	Research Ethics Committee	TB	Tuberculosis
SABSSM	South African Behavioural, Sero-Status and Media Impact Survey	TIMMS	Trends in International Mathematics and Science Study
SADC	Southern African Development Community	TSHRD	Tourism Sector Human Resource Development
SAMRC	South African Medical Research Council	UBIG	Universal Basic Income Guarantee
SASAS	South African Social Attitudes Survey	UJ	University of Johannesburg
SCM	Supply Chain Management	UKZN	University of KwaZulu-Natal
SDG	Sustainable Development Goal	USAf	Universities South Africa
SET	Science, Engineering and Technology	WHO	World Health Organization
		WPS	Women Peace and Security



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Dr Cassius Lubisi
Chairperson of the Board



FOREWORD BY THE **CHAIRPERSON**

As in the previous year, the HSRC performed exceptionally well during the year under review, achieving 19 of the 21 (90%) output indicator targets set for the year.



It is my honour and privilege to present the 2021/22 Annual Report on behalf of the Accounting Authority of the Human Sciences Research Council (HSRC), the HSRC Board. This board took office seven months into the year under review, on 1 November 2021. It is therefore apt that we acknowledge and extend our gratitude to the outgoing Board members, under the leadership of Prof. Mvuyo Tom, for their guidance and invaluable contribution in service of the HSRC over the past four years.

As in the previous year, the HSRC performed exceptionally well during the year under review, achieving 19 of the 21 (90%) output indicator targets set for the year. Beyond the numbers, researchers continued producing impactful contributions and insights, as highlighted in this Annual Report. Much of this work was done in partnership, or collaboration with colleagues in the academic fraternity; local, provincial or national government; or with international collaborators and funders. These stakeholders, critical friends as we think of them, are an essential part of our research strategy and we continually seek to strengthen and broaden this circle.

A thorough induction session provided the incoming Board not only with an overview of the organisational structure and key operational functioning, but also allowed members to gain significant insight into the HSRC's strategic focus and its most prevalent challenges, notably: a high vacancy rate which continues to put pressure on the available human resources, and Information Technology (IT) infrastructure and security which are threatened by a lack of dedicated infrastructure investment. Despite ongoing financial and economic constraints, the HSRC managed financial pressures with the resources at its disposal. The financial model, however, remains contentious in that it detracts from the ability of senior researchers to respond to critical research needs while having to simultaneously raise funds. A comprehensive review of this situation is ongoing. Three priorities, however, demanded the Board's immediate attention as it took office:

- » Before their term expired in October 2021, the previous Board could not fill the position of CEO, which has been vacant since April 2021. This Board commenced with a renewed recruitment process, which was under way at the time of the publishing of this report.
- » HSRC staff endured significant emotional and financial hardship for the past three years, as cost-of-living adjustments or performance-based increases were disallowed for several years. I am pleased that, following extensive consultation with the Executive Authority, the National Treasury and independent senior counsel, the Board was able to implement modest cost-of-living adjustments to bring much-needed relief and an improvement in staff morale.
- » It emerged in 2020 that a deviation from the prevalent tax legislation at the time occurred during a payroll system transition in 2016. As a result of a human and system programming error, the requisite tax on unapproved risk policies attached to the

HSRC Pension Fund was not paid over to SARS. This anomaly was identified by our management and when reported to the Board in August 2020, was corrected immediately. A process for calculating the outstanding liability was concluded and a process of applying for Voluntary Disclosure Relief from SARS, is underway.

The Board had an opportunity to meet with the Minister of Higher Education, Science and Innovation during an inaugural meeting, at which the minister articulated research foci to support national development imperatives. The combination of this engagement and the induction provided the Board with a firm foundation on which to refine the HSRC's research agenda. In keeping with the HSRC's current strategic focus, the Board will provide strategic guidance during its tenure to reposition the mandate of the HSRC in the light of new material conditions in South Africa, the region and on the continent. These conditions include growing levels of social inequality, poverty and unemployment, technological disruption, climate change, loss of biodiversity and global health pandemics.

We take on board the lessons learnt during the past two years of a global pandemic. We accept that we are moving forward in a changing environment, with new norms. We realise that the shape and extent of challenges and threats might have changed, but we also believe that these are balanced by the possibility of growth and new opportunities. We stand ready to seek out and embrace these opportunities.

I would like to express my appreciation to the Minister of Higher Education, Science and Innovation, Dr Bonginkosi 'Blade' Nzimande, for entrusting me and my fellow Board members with the responsibility of overseeing this Council. We commit ourselves to be ambassadors for the humanities and social sciences in the interest of social justice and public good. We also thank our colleagues at the Department of Science and Innovation, under the leadership of Dr Phil Mjwara, for their continued guidance and support. The pages in this Annual Report tell the story of people's commitment to an organisation and the greater good, tenacity to keep going when it seems plausible to question reason, and passion to make a difference in the lives of ordinary people. For this, we thank Prof. Leickness Simbayi, the acting CEO, along with senior executives of the HSRC, who have been carrying an additional load for an extended period because of critical vacancies, and each employee who contributed to the successes reflected here.

It always seems impossible, until it is done.
(Nelson Mandela)



Dr Cassius Lubisi
Chairperson of the Board
Human Sciences Research Council

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Prof. Leickness Simbayi
Chief Executive Officer
(Acting)



CHIEF EXECUTIVE OFFICER'S OVERVIEW

The completion of project activities and milestones on several large-scale projects enabled the HSRC to exceed its external income target by 22%. In line with this, research costs and depreciation expenses were above the budgeted amounts because of increased research activities during the financial year.



The organisation ended the year with a surplus of R45 million. This is primarily due to a significant decrease in the administrative and other operating costs in the organisation resulting from the hybrid working model, and other efficiencies gained through a decline in the demand for operational resources. A request to retain a cash surplus in terms of Section 53(3) of the PFMA will be submitted to National Treasury.

The completion of project activities and milestones on several large-scale projects enabled the HSRC to exceed its external income target by 22%. In line with this, research costs and depreciation expenses were above the budgeted amounts because of increased research activities during the financial year. All other expense items were below budget and increased only marginally compared to the previous year.

Spending trends changed over the past two financial years during the COVID-19 pandemic. Budget allocations for the current financial year were subsequently adjusted to align with actual operational expenditure over those two financial years, rather than anticipated expenditure. This allowed the organisation to allocate funding towards strategic research projects and infrastructure needs. The organisation recognises the need to strike a balance between cost-containment and underspending to avoid an accumulation of huge surpluses. One of the most significant realities for the HSRC remains the pressure to manage and navigate the declining senior research complement amid increasing pressure to produce high-quality research and procure external income. Several key and senior positions, including those of the CEO and the Group Executive: Shared Services, remained vacant during the period. These vacancies contributed significantly to savings on the salary bill, but such human capacity constraints are a substantial risk to the organisation, which is critically dependent on human capital. It has been challenging to fill many senior researcher positions, because the HSRC is in direct competition with universities and other research organisations for the level of researchers that are required. This, coupled with the organisation's inability hitherto to offer competitive salaries or tenure, and the added pressure of fundraising, has negatively affected the HSRC's ability to attract and retain senior research staff.

Some of the immediate interventions that are anticipated to assist the organisation in addressing the recruitment challenges include:

- » Conversion of baseline-funded, limited-duration contracts to permanent conditions of service by the end of 2022
- » An ongoing process of implementing revised pay grades and a pay progression model
- » A review of the financial model to relieve senior researchers from the current fundraising pressures
- » The possibility of recruiting senior research capacity from the rest of Africa, following the Department of Home Affairs' revised scarce skills list.

The DSI-HSRC Internship Programme was successfully transferred from the National Research Foundation to the HSRC in June 2021. The HSRC will take forward the management and also the monitoring and evaluation of the programme, which involves placing approximately 450 unemployed graduates in Science, Engineering and Technology (SET) and Humanities and Social Sciences (HSS) disciplines at various institutions throughout the country over a two-year period as part of a work integrated learning programme.

Not unlike the previous two financial years, the controls in Supply Chain Management (SCM) were assessed as requiring major improvement. Irregular expenditure of R37 361 000 is disclosed for the 2021/22 financial year. This pertains mostly to sub-awards paid to donor-preferred partners without the prior approval of National Treasury, a contravention in terms of Paragraph 8.5 of SCM Instruction Note 03 of 2016/2017. The matters arose because of the incorrect interpretation of the terms "sole supplier" versus "single-source supplier". Whereas sole suppliers are approved in terms of the entity's approved delegation of authority, the latter requires pre-approval by National Treasury. Corrective action has been implemented in this regard and mitigation plans are being monitored by the Audit and Risk Committee.

SCM systems and procedures that are aligned with the PFMA and pertinent National Treasury guidelines and instruction notes remain in place and functional.

The HSRC did not conclude any unsolicited bid proposals in the year under review.

On 5 April 2022, the HSRC Board approved a once-off payment and a 4% cost-of-living adjustment, effective from 1 April 2021 and amounting to R16.97 million of accrued staff costs. The financial statements were adjusted to reflect the accrual.

The HSRC's ability to raise 45% of its own income during the year under review contributes to its going-concern status, as confirmed in the audit. Besides the Parliamentary Grant, additional external research funding of R144.1 million was received from various government entities and R100.3 million from international donors. Whereas the organisation fell short of its external income target by 51% in the 2020/21 financial year, it managed to exceed the target by 22% in 2021/22. The HSRC's financial sustainability is further strengthened by the number of multi-year grants that exceed R5 million or more, which were secured during the year.

For the second successive year, we managed to achieve all but two of the set indicator targets: (i) The percentage of researchers (excluding trainees) with PhDs, where we fell short by 7%, and (ii) The number of scholarly book chapters published by HSRC researchers, where we fell short by seven (7). By contrast, the targets for scholarly books and peer-reviewed journal articles published, were exceeded.

These results are produced by the people of the HSRC – researchers, assisted by support staff. The results reflect their determination to go beyond a sense of duty, and speak to their genuine desire to pursue a vision of being national, regional and global leaders in producing and disseminating transformative social science and humanities research in the interests of a just and equal society. It is only through living the values of acceptance, critical friendship, integrity, respect, excellence and trust that an organisation is able not only to weather the storm, but to rise above it.

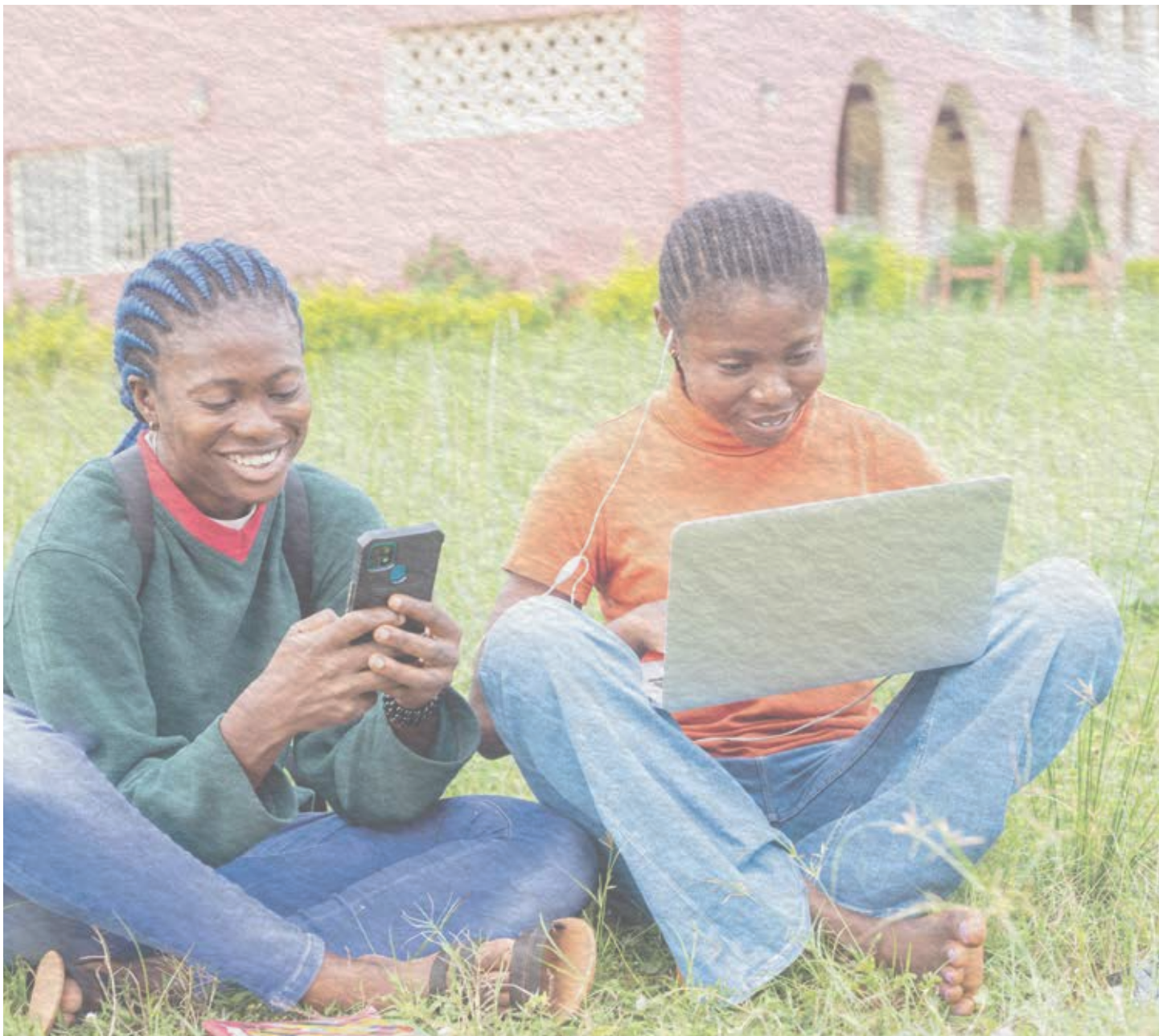
It has been my honour to lead my colleagues as acting CEO since April 2021. I thank members of the

executive for their support. I also extend appreciation to Prof. Mvuyo Tom and members of the previous Board, and Dr Cassius Lubisi and the new Board for listening, understanding and taking decisive action in our best interest.



Prof. Leickness Simbayi

Chief Executive Officer (Acting)
Human Sciences Research Council



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STATEMENT OF RESPONSIBILITY AND CONFIRMATION OF **ACCURACY FOR THE ANNUAL REPORT**

To the best of our knowledge and belief, we confirm the following:

1. All information and amounts disclosed in the Integrated Annual Report are consistent with the Annual Financial Statements audited by the Auditor-General South Africa.
2. The Integrated Annual Report is complete, accurate and free from any omissions.
3. The Integrated Annual Report has been prepared in accordance with the guidelines on the Integrated Annual Report as issued by the National Treasury.
4. The Annual Financial Statements (Part E) have been prepared in accordance with the standards of GRAP, as well as the PFMA, as applicable to the Human Sciences Research Council (HSRC).
5. The Accounting Authority is responsible for the preparation of the Annual Financial Statements and for the judgments made in this information.
6. The Accounting Authority is responsible for establishing and implementing a system of internal controls designed to provide reasonable assurance as to the integrity and reliability of the performance information, the human resources information and the Annual Financial Statements.
7. The external auditors are engaged to express an independent opinion on the Annual Financial Statements.

In our opinion, the Integrated Annual Report fairly reflects the operations, the performance information, the human resources information and the financial affairs of the HSRC for the financial year ended 31 March 2022.

Yours faithfully



Prof. Leickness Simbayi
CEO (Acting), HSRC

31 July 2022



Dr Cassius Lubisi
Chairperson of the Board, HSRC

31 July 2022

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STRATEGIC OVERVIEW

VISION

The HSRC will be a national, regional and global leader in the production and dissemination of transformative social science and humanities research in the interests of a just and equal society.

MISSION

The HSRC produces leading-edge policy research, through engaged scholarship, to utilise in understanding and explaining social conditions and informing social change for inclusive growth in communities.

VALUES

Respecting equality and embracing ideas; speaking out against discrimination of any kind.

Critical friendship

Pursuing non-partisanship but collaborating with all stakeholders, including government.

Integrity

Conducting business honestly, diligently and underpinned by ethical principles.

Embracing, but not abusing, intellectual freedom.

Respect

Treating colleagues, stakeholders and members of the public with dignity and humility.

Observing organisational policies and processes.

Preserving the environment and natural resources.

Excellence

Undertaking leading-edge research while remaining relevant.

Trust

Creating a safe and supportive working environment for colleagues.

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LEGISLATIVE AND OTHER MANDATES

The HSRC is a statutory research council, mandated to perform in terms of the Human Sciences Research Council Act, 2008 (Act No. 17 of 2008) (HSRC Act). This act highlights the public purpose of the HSRC and, in terms of Section 3, requires the organisation to:

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

While most of the clauses under Section 3 explain how the HSRC should do its work, Section 3(f) provides a strategic lens to help focus the research agenda of the organisation. The emphasis is on engaged research to address needs and development issues relevant to (unequal and poor) vulnerable and marginalised groups in such a way that it contributes to improving the quality of their lives.

In terms of Section 4 of the HSRC Act, the organisation is allowed to undertake or commission research on any subject in the field of the human

sciences and to charge fees for research conducted or services rendered at the request of others.

Section 2(2) of the HSRC Act confirms that the Public Finance Management Act, 1999 (Act No. 1 of 1999 as amended) (PFMA) applies to the organisation. The HSRC is listed as a national public entity in Schedule 3A of the PFMA and complies with the PFMA requirements set for institutional governance, as well as for financial and performance management and reporting.

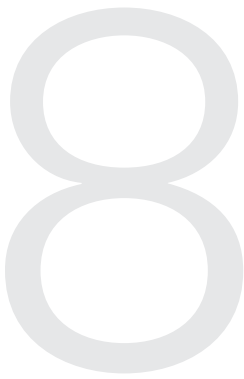
The way in which the HSRC undertakes research is also informed by clauses in the National Health Act, 2003 (Act No. 61 of 2003). The definition for 'health research' is broad, and explicitly includes "any research which contributes to knowledge of the biological, clinical, psychological or social processes in human beings." The HSRC thus adheres to the requirements for ethical conduct of research outlined in Chapter 9 of the National Health Act and associated regulations and guidelines.

INSTITUTIONAL POLICIES AND STRATEGIES

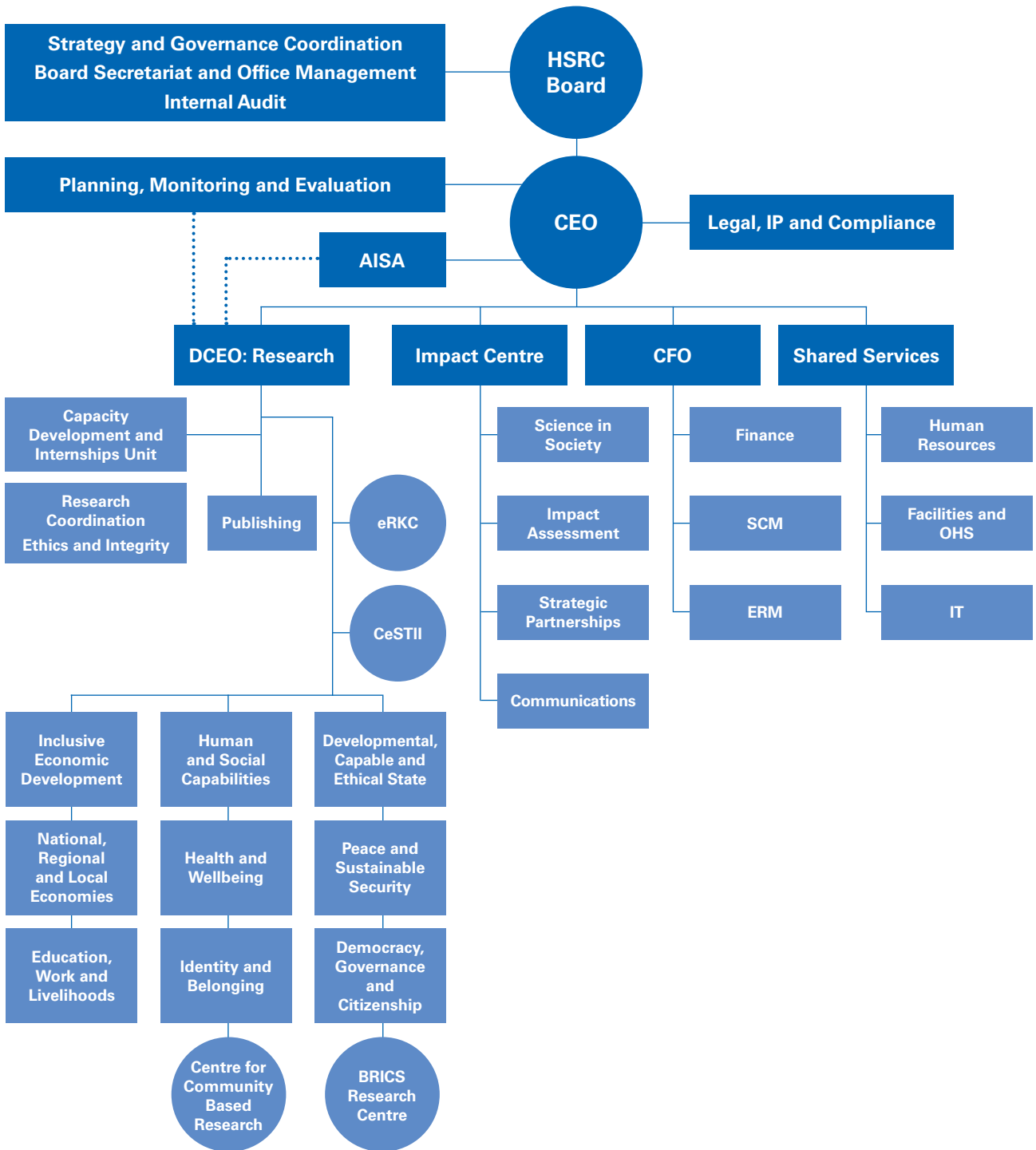
The HSRC Strategic Plan is strongly aligned with national strategies, notably the National Development Plan: Vision 2030 (2012), government's Medium-Term Strategic Framework for the 2019–2024 electoral period, and the White Paper on Science, Technology and Innovation (2019) and associated five-year and decadal implementation plans. Although the HSRC is not directly involved with the provision of post-school education and training, it is also cognisant of the objectives of the 2013 White Paper for Post-School Education and Training (PSET), and supports several of these objectives, directly as well as indirectly, through its work.

CONTINENTAL AND GLOBAL INITIATIVES

The HSRC's Strategic Plan and associated research agenda are strongly aligned with the United Nations Sustainable Development Goals (SDGs) and the African Union Agenda 2063.



ORGANISATIONAL STRUCTURE



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BOARD MEMBER SHORT BIOGRAPHICAL PROFILES

HSRC BOARD: 1 NOVEMBER 2017 – 31 OCTOBER 2021



Prof. Mvuyo Tom (Chairperson)

Prof. Tom has a rich background through 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 the 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.



Ms Nasima Badsha

Ms Badsha is the former chief executive officer of the Cape Higher Education Consortium. Previous positions include 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. 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*.



Adv. Roshan Dehal

Adv. Dehal is an advocate of the High Court of South Africa; a human rights and litigation lawyer in practice for over 35 years, first as an attorney and conveyancer and 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.



Prof. Relebohile Moletsane

Prof. Moletsane is professor and John Langalibalele Dube Chair in Rural Education at the 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.



Ms Precious Sibiya

Ms Sibiya, a member of the South African Institute of Chartered Accountants, 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, the Development Bank of Southern Africa, Eskom, PRASA and SekelaXabiso. She has served and continues to serve as a member on various boards and audit committees within private and public-sector companies within the SADC region and has also chaired the audit and risk committees of various companies.



Prof. Lindiwe Zungu

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

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 has supervised over 30 postgraduate students to graduation (22 Masters and 14 Doctoral) within the discipline of Health Sciences.

Through a Harvard University Scholarship and Unisa Research Professor's Funding, she was one of the 2017/18 Global Clinical Scholar Research Training (GCSRT) fellows at Harvard Medical School. She was a member of the University Council at Unisa (2017–2019) and also served on the Technical Expert Panel for the Centre of Research Excellence at the Mine Health and Safety Council (2017–2020). She served on the boards of the South African Medical Research Council (2016–2019), the Examination Board for Texila American University (2017–2018) and is currently a member of the editorial board for the South African open access scientific journal, *Family Medicine and Primary Health Care*.

HSRC BOARD: EFFECTIVE 1 NOVEMBER 2021



Dr Cassius Lubisi (Chairperson)

Dr Lubisi holds a PhD from the University of Nottingham, United Kingdom, a BSc from the then University of Natal, a Higher Diploma in Education, and a Bachelor of Education degree. He was appointed Chairperson of the HSRC on 1 November 2021.

He served as special advisor to the former Minister of Education Kader Asmal in 2003 and as Deputy Director-General: General Education in the Department of Education in 2004. Dr Lubisi has worked in various capacities over the years, including as a member of the National Advisory Group of the Culture of Learning Presidential Lead Project in 1995, a member of the Ministerial Review Committee on Curriculum 2005, chairperson of the Ministerial Project Committee on the National Curriculum Statement Grade 10–12 and member of the education advisory committee of the Nelson Mandela Foundation. Dr Lubisi served as Superintendent-General of the KwaZulu-Natal Department of Education from June 2005 to October 2010 and Director-General in the Presidency from 2010 until August 2020. He was appointed as a member of the board of Armscor in December 2020 and Chairperson of Morar Incorporated in April 2021.

He is currently a member of the Ministerial Task Team Investigating Allegations of Corruption, Fraud and Maladministration in the South African National Defence Force, and chairperson of the Ministerial Committee on the Issuance of Visas and Permits by the Ministry of Home Affairs.



Dr Kgomotso Kasonkola

Dr Kasonkola obtained a PhD (Organisational Behaviour) from the University of Pretoria. He is currently Senior Director: Human Resources at the University of the Witwatersrand (Wits), and chair of the university's Retirement Fund. Because of his role at the university, he serves on the Remuneration Committees of the Wits Enterprise and Wits Health Consortium, and is a member of the university Senate. From a higher education sector perspective, he chairs the HR Directors' Forum (a Community of Practice under the auspices of the Universities South Africa [USAf]), and represents this body at the HR Steering Committee of the Association of Commonwealth Universities. He is also a member of USAf's HR and Remunerations Committee. Dr Kasonkola has previously served on the boards of Protec, Vaal University of Technology's Provident Fund (Chair), Bestmed, Wits University Medical Aid (until it was incorporated into Discovery Health), and the ETDP-SETA where he chaired its Research Chamber. He has supervised Master's students at Vaal University of Technology, served as an external examiner for its HR programmes, and currently supervises an MBA student at the Wits Business School.



Dr Len Konar

Dr Konar is a Chartered Accountant, CA(SA), and holds a BCom degree, a Master's in Accounting, a Doctorate in Commerce, as well as a Postgraduate Diploma in Accounting, and Certificates in Tax Law, Electricity Tariffs and Risk Management Assurance.

He was previously executive director of the Independent Development Trust where he was, amongst other activities, responsible for the Internal Audit and Investments Portfolios. Prior to that, he was Professor and Head of the Department of Accountancy at the University of Durban-Westville. He also lectured to graduate students at various South African Universities.

He has been a member of the King Committee on Corporate Governance, the Corporate Governance Forum, the Institute of Directors and the National Association of Corporate Directors (USA).

Dr Konar is a past independent non-executive director of several listed, unlisted and State-Owned entities.

He is a mentor/supervisor to PhD and MBA candidates at GIBS, WBS and UNISA, and part-time faculty presenter on the Executive Leadership Programmes at GIBS, WBS and Duke University Corporate Education.



Dr Ibbo Mandaza

Dr Mandaza is a Zimbabwean academic, author and publisher. He holds a Doctorate of Philosophy (DPhil) in Political Economy from the University of York in England (1979) and taught at the Universities of Botswana, Zambia, Dar re Salaam and Zimbabwe (part-time).

He has researched and written extensively on issues of governance, international relations and public policy; and was one of the first senior African civil servants in post-independent Zimbabwe (1980–1990), having been a member of the (Zimbabwe) National Liberation Movement, in the Department of Research, Education and Manpower, ZANU Headquarters, Maputo, Mozambique. He served as director of the National Manpower Survey, and permanent secretary in the Ministry of Manpower Planning and Development; as deputy chairman of the Public Service Commission and member of the Defence Forces Commission; and as chairman of the Parastatals Commission, before his early retirement from the civil service in July 1990 at the age of 42.

Dr Mandaza is currently Executive Chairman: Southern African Political Economy Series (SAPES) Trust, a regional think tank; and convenor of the Policy Dialogue Forum.



Ms Shameme Manjoo

Ms Manjoo holds a Master's degree in Education (Curriculum Development) from the then University of Natal. An educationalist by training, her expertise lies in the umbrella discipline of Human Rights Education (HRE). She has a deep understanding of the pedagogical, theoretical and legislative frameworks that underpin HRE, and has developed curricula and conducted cross-sectoral training in various HRE approaches including Civic and Democracy Education (CDE) and Anti-racist Anti-sexist Education, and published human rights school textbooks for Southern Africa with Macmillan.

Her experience spans 20 years of engagement with substantive human rights, democracy and electoral matters at the South African Human Rights Commission (SAHRC) from 2000 to 2007 and the Electoral Commission of South Africa (IEC) from 2008 to 2020.

At the SAHRC she co-convened the National Forum for Democracy and Human Rights Education (2000–2007), managed the National Consultative Forum against Racism in Education (2002–2005) and served on the executive of the Democracy, Human Rights, Peace Education and Elections Standards Generating Body for the South African Qualifications Authority (2003–2005).

As Senior Manager: Civic Education, Research and Knowledge Management at the IEC (2008–2020), she steered the design and implementation of CDE. She also lectured on the educational mandates of African electoral management bodies at Unisa, as part of the Management of Democratic Elections in Africa Programme (2011–2019).

As head of the Civil Society Advocacy Programme (CSAP) at the SAHRC, Ms Manjoo managed a suite of studies promoting institutional strengthening (2006–2007). At the IEC she managed the research agenda and deliverables, which included longitudinal study series emanating from the IEC/HSRC partnership, notably Voter Participation and Election Satisfaction Surveys.

Ms Manjoo has worked extensively on inclusion related to race, disability and gender. Promoting access to the vote for marginalised groups has been pivotal. She spearheaded the design and production of the Universal Ballot Template, an assistive voting device for the visually impaired. Most recently, in her current role as an HRE Democracy and Elections Adviser, she co-authored a self-study manual *Advancing Political and Electoral Inclusion for LGBTQI+ People* (2021).



Dr Alex Mohubetswane Mashilo

Dr Mashilo studied Labour Law (Dip. NQF 7), having first obtained a National Diploma in the field of Engineering while working in the automotive manufacturing industry. He started work in the automotive manufacturing industry in the late 1990s first as an apprentice in electrical engineering.

As part of an engineering maintenance team in the automotive manufacturing industry, he was appointed by the National Union of Metalworkers of South Africa (NUMSA) to various positions, including national automotive and new tyre manufacturing sector co-ordinator, chief negotiator in the Automobile National Bargaining Forum and the New Tyre Manufacturing Industry Bargaining Council, and Head of Department for Organising, Collective Bargaining and Campaigns. He furthered his studies while working for NUMSA and holds an MA in Labour Policy and Globalisation (2010) and a PhD (2019) from the University of the Witwatersrand. Dr Mashilo's PhD study focused on Economic and Social Upgrading in Global Production Networks, using the automotive manufacturing industry as the empirical case. His research interests are based on his MA and PhD studies – economic and social upgrading; global production networks/value chains; and changes in the labour process and production technology, their implications for work, workers, and their responses.

Dr Mashilo is currently a visiting researcher at the Southern Centre for Inequality Studies of the University of the Witwatersrand, and a special advisor to the Premier of Limpopo Province. He served the National Institute for the Humanities and Social Sciences, and the Manufacturing, Engineering and Related Sector Education and Training Authority as a non-executive board member, and on the council of the North-West University.



Prof. Zethu Nkosi

Prof. Nkosi holds a Doctoral degree from the University of KwaZulu-Natal and is currently Deputy Executive Dean: College of Human Science, University of South Africa.

She has published more than 40 articles in accredited journals, and supervised 16 PhD and 25 MA students to completion.

Prof. Nkosi is a fellow of the Global Nursing Leadership Institute (GNLI), a leadership programme initiative of the International Council of Nurses (ICN). She is also an active member of the World Health Organization Collaborating Centre (WHO CC) in the Afro region.



Adv. Pansy Tlakula

Adv. Tlakula holds a BProc degree from the University of the North (now University of Limpopo), an LL.B degree from the University of the Witwatersrand and an LL.M degree from Harvard University. In 2006 she was awarded an Honorary Doctorate in Legal Studies by the Vaal University of Technology.

Adv. Tlakula has held high profile positions in academia and the public and private sectors. These include senior law lecturer at the then University of Bophuthatswana (now North-West University), national director of the Black Lawyers Association, a founding commissioner of the South African Human Rights Commission, chairperson of the Board of the National Credit Regulator, chairperson of the Council of the then University of the North-West (now North-West University) and Chancellor of the Vaal University of Technology. She was also an independent non-executive director of the Bidvest Group Limited and the Electoral Commission of South Africa (IEC). She is a former chairperson of the African Commission on Human and People's Rights (AU Organ) and its special rapporteur on Freedom of Expression and Access to Information.

Adv. Tlakula is currently a member of the United Nations Committee on Elimination of Racial Discrimination.



Prof. Fiona Tregenna

Prof. Tregenna holds the DSI/NRF South African Research Chair (SARChI) in Industrial Development, leading this centre of research, training and policy engagement, and is also a professor of Economics at the University of Johannesburg.

She serves part-time on the South African Competition Tribunal, where she adjudicates competition cases. She is also a member of the Presidential Economic Advisory Council. Prof. Tregenna serves on a number of boards, panels and councils, and has extensive corporate governance experience. She has consulted for and advised international organisations such as UNIDO, UNCTAD and the ILO, and has contributed to various flagship United Nations publications.

Prof. Tregenna's primary research interest is in issues of structural change, de-industrialisation and industrial development. She has published on poverty, inequality and unemployment and recently co-edited two major volumes with Oxford University Press (*The Oxford Handbook of the South African Economy*; and *Structural Transformation in South Africa: The Challenges of Inclusive Industrial Development in a Middle-Income Country*). She has delivered keynote addresses at many international conferences. Her research has been recognised through a number of grants and awards, and she has served as Principal Investigator for large research projects. She is an elected member of the Academy of Science of South Africa (ASSAf), and serves on several ASSAf bodies. She currently serves on the editorial boards of several international journals and a book series.

Prof. Tregenna holds a PhD in Economics from the University of Cambridge, a Master's degree in Economics from the University of Massachusetts (Amherst), and earlier degrees from the universities of the Witwatersrand and Natal.



Dr Sean Phillips

(1 November 2021 – 16 January 2022)

Dr Phillips' areas of expertise include service delivery improvement, public service governance and administration, infrastructure procurement and delivery management, project and programme management, operations management, and monitoring and evaluation.

He has more than 20 years of experience in senior management positions in government, including as Director-General: Department of Performance Monitoring and Evaluation in the Presidency, Chief Operations Officer: Department of Public Works, and provincial head of department and Chief Executive Officer of government agencies such as the Municipal Infrastructure Support Agency and Johannesburg Road Agency. Dr Phillips has also been a chairperson and board member of several government entities.

He has an Honours degree in engineering design and appropriate technology, a Master's degree in project management and public and development management and a Doctorate in civil engineering, obtained at the University of the Witwatersrand and the University of Warwick, respectively.



Prof. Leickness Chisamu Simbayi (Acting CEO)

Prof. Simbayi holds a BSc in Biology and Psychology (University of Zambia), an MSc in Psychology specialising in Comparative and Physiological Psychology (University of Utah, USA) and a DPhil in Experimental Psychology (Sussex University, United Kingdom).

He is currently an honorary professor in the Department of Psychiatry and Mental Health at the University of Cape Town and is also a Member of Academy of Science of South Africa (ASSAf). He is rated as a C1 researcher by the National Research Foundation (NRF) of South Africa.

Before joining the HSRC, Prof. Simbayi spent 15 years as an academic during which time he taught courses in research methods and statistics in psychology and biological psychology at both undergraduate and postgraduate levels at five different universities in Southern Africa. During the past two decades at the HSRC, Prof. Simbayi has mostly conducted his research in the area of social aspects of HIV/AIDS and sexually transmitted infections (STIs). In particular, his research, especially using biobehavioural surveys, has focused on second-generation HIV surveillance; HIV/AIDS-related stigma and discrimination; orphans and vulnerable children (OVC); and determinants of HIV infection (such as poverty, alcohol and drug use, gender-based violence, sex in the presence of blood, multiple sexual partnerships, and male circumcision). His theory-based HIV social and behavioural risk reduction interventions include positive prevention which targets people living with HIV/AIDS who are aware of their status. Since the onset of COVID-19 in early 2020, he has also undertaken biobehavioural survey research on the national sero-prevalence of COVID-19 antibodies.

Prof. Simbayi has published 138 scientific articles in both local and international peer-reviewed academic journals, 26 research reports, 15 abstracts, and 12 book chapters. He co-edited a book entitled *HIV/AIDS in South Africa 25 Years on: Psychosocial Perspectives*, published by Springer, New York in 2009. He has also presented more than 300 papers and posters at both local and international conferences. He is an Associate Editor of the *Journal of Psychology in Africa*.

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EXECUTIVE MANAGEMENT
**SHORT BIOGRAPHICAL
PROFILES****Prof. Leickness Chisamu Simbayi (Acting CEO)**

To review Prof. Simbayi's biography, refer to page 23 in the HSRC's Board Member section of this report.

**Prof. Narnia Bohler-Muller**

Prof. Narnia Bohler-Muller is Divisional Executive: Developmental, Capable and Ethical State Research Division and acting Group Executive: Shared Services (since April 2021). She holds a Doctor of Law (LLD) degree from the University of Pretoria and specialises in participatory democracy and social justice, as well as gender equality and the fulfilment of socioeconomic rights.

Prof. Bohler-Muller spent sixteen years as an academic, during which time she taught numerous courses in law and legal philosophy, beginning her career at the Port Elizabeth campus of Vista University. She served as a professor at Nelson Mandela University (then known as Nelson Mandela Metropolitan University) before joining the Africa Institute of South Africa in 2011 as a research director. In 2012, she became deputy executive director of the HSRC's former Democracy, Governance and Service Delivery Research Division. Prof. Bohler-Muller was an adjunct professor of law, University of Fort Hare (2015-2020) and is currently a research associate with the Centre for Gender and Africa Studies, University of Free State.

At the HSRC, Prof. Bohler-Muller has led numerous large projects for the Department of Justice and Constitutional Development, the Department of Monitoring, Planning and Evaluation in the Presidency, the European Union Commission in South Africa, and the UK Commonwealth and Foreign Office. She has also led collaboration with the University of Johannesburg on the COVID-19 democracy survey, with five rounds of the survey conducted between April 2020 and November 2021.

Prof. Bohler-Muller has published 49 scientific articles in local and international peer-reviewed academic journals, six books, 15 book chapters and 30 research reports. She has presented more than 100 papers at local and international conferences, many of them as an invited keynote speaker. She is on the editorial board of one national and two international accredited journals, regularly conducts peer reviews for journals and writes book reviews. She is often called upon to assist with the National Research Foundation's researcher ratings.

Prof. Bohler-Muller has officially represented South Africa at international fora, including Brazil, Russia, India, China, and South Africa (BRICS) economies, India Brazil and South Africa (IBSA) dialogue, the Women20 (W20) and the Indian Ocean Rim Association (IORA). She has completed visiting research fellowships at Birkbeck University (London), Griffith University (Brisbane) and the BRICS Research Centre (Rio de Janeiro).



Prof. Cheryl Hendricks

Prof. Cheryl Hendricks, Executive Head of the Africa Institute of South Africa in the HSRC from July 2018 to September 2021. She was appointed as a Professor in the Department of Politics and International Studies at the University of Johannesburg in April 2013 and served as the head of the department from 2014 to 2017. Prof. Hendricks also spent many years working at the Institute for Security Studies (ISS) first as Program Head for the Southern Africa Human Security Programme and then as Senior Research Fellow in the Conflict Management and Peacebuilding Division. She has also worked at the Centre for Conflict Resolution (CCR) and at the University of the Western Cape (UWC).

She holds a PhD in Government and International Relations from the University of South Carolina and a Master's degree in Southern African Studies from the University of York, England. She has a wealth of knowledge and expertise in the areas of conflict management (conflict prevention, peace-making, peacekeeping, post conflict reconstruction and peacebuilding); women, peace and security; and African Regional Security Architectures. She has published widely on these topics and engages a range of policy makers, academics, researchers, and civil society on these issues.



Dr Glenda Kruss

Dr Glenda Kruss is the Executive Head of the Centre for Science, Technology and Innovation Indicators (CeSTII) unit at the HSRC. She holds a Master's degree from the University of Cape Town and a DPhil from the University of Ulster, North Ireland in 1992.

Before joining the HSRC in June 2001, she was an Associate Professor at the University of the Western Cape. Her areas of research interest include: higher education, innovation and development, exploring the issue of responsiveness to economic and social needs, and the contribution of the post-school sector to skills development strategies. She has collaborated widely on comparative projects with research teams in Africa, Latin America, Asia and Europe, and led large scale projects for national government departments.

Dr Kruss's publication record spans the authoring and co-authoring of more than 40 conference presentations and 20 journal articles, as well as two books and a number of research monographs. Her most recent work, published in the Journal of Development Studies, investigated universities and knowledge-based development in sub-Saharan Africa.



Ms Jacomien Rousseau

Ms Rousseau is an astute and qualified Chartered Accountant with extensive experience as an Executive Manager, Chief Financial Officer, Financial Manager, Auditor and Business Manager. She has a proven success record in steering projects and operations in line with set organisational objectives and goals. She is a management all-rounder, with versatile management skills coupled with excellent communication, interpersonal and leadership skills. Her strong ability lies in leading and managing people and business units in challenging and diverse environments. Ms Rousseau holds a B.Com (Honours) in Accounting Science, a Certificate in Auditing, APT and is registered with SAICA as a Chartered Accountant.



Prof. Sharlene Swartz

Prof. Swartz is Divisional Executive: Inclusive Economic Development Research. She has been with the HSRC since 2008 and has held positions as Executive Director: Education and Skills Development Programme and Research Director: Human and Social Development. A sociologist by training, she has been an adjunct associate professor of Sociology at the University of Cape Town (2012–2019) and is currently an adjunct professor in Philosophy at the University of Fort Hare (2019–to date).

Her research focuses on what she terms “navigational capacities for the just inclusion of youth in societies in the Global South.” She researches and writes extensively on transformative education, reimagined inclusive economic development, and decolonising and emancipatory practices in research. Prof. Swartz holds a PhD from the University of Cambridge, UK; a Master’s degree in Education from Harvard University, USA; and undergraduate degrees from the University of the Witwatersrand (Life Sciences) and the University of Zululand (Philosophy). Her doctoral thesis, in the sociology of education, considered how young people who live in poverty, understand, represent and enact morality.

Prof. Swartz has authored six books, edited a further five, and has completed nearly 70 journal articles and book chapters, produced 14 research reports, an ethnographic documentary and presented more than 120 local and international invited lectures and conference papers, including a number of keynote addresses.

Prof. Swartz is currently President (2018–2022) and an executive member of the International Sociological Association Sociology of Youth Research Committee, and is on the editorial boards of the *Journal of Moral Education*, *Journal of Youth Studies*, *Youth and Globalisation* and *Autonomie Locali e Servizi Sociali*. She has been involved in multiple civil society organisations focussing on youth and justice, has held positions on committees of the National Research Foundation, and has been a visiting fellow at the Faculty of Education and Centre for Development Studies at the University of Cambridge, and at the Centre for Health and Human Rights at Harvard University. She is a nationally rated researcher in South Africa.



Prof. Heidi van Rooyen

Prof. van Rooyen is the Group Executive of the Impact Centre and Acting Deputy CEO. Her 30-year professional career spans government, higher education, and the science council environments. She is a social scientist and clinical psychologist, holding an honorary professorship from the University of the Witwatersrand. She is a member of the Academy of Science of South Africa and one of only a few social scientists on the Ministerial Advisory Committee on COVID-19 in South Africa. Prof. van Rooyen is an internationally recognised and accomplished scholar with an NRF B rating, over 140 publications, a Google Scholar index of 35 and an H-Index of 58 on Scopus. Her research has addressed HIV risks and vulnerabilities as well as the broader contexts and inequalities that shape this risk, the influence of sexual orientation and gender identity as social determinants of health, race and identity and the use of poetry/as/in/for research. Prof. van Rooyen is also a certified life coach.



Prof. Khangelani Zuma

Prof. Zuma is Divisional Executive of Human and Social Capabilities and head of Biostatistics. He has over 12 years of experience as a statistician. He holds a PhD in Statistics from the University of Waikato, New Zealand, and an MSc in Biostatistics from Hasselt University (formerly Limburgs Universitaire Centrum). He has taught statistics at both undergraduate and postgraduate levels and been involved in large scale surveys and clinical trials focusing on conceptualisation, design and implementation of these studies.

His expertise and research interests include survey design, complex data analyses, linear and non-linear mixed models, hierarchical Bayesian models, and (correlated) survival data analyses. Much of his work has focussed on epidemiology: modelling infectious diseases data, HIV incidence estimation and monitoring and evaluation of HIV intervention programmes.

His recent publications include authoring and co-authoring papers published in peer-reviewed journals in the areas of HIV/AIDS, sexually transmitted infections, migration and biostatistics. He has presented papers at both local and international conferences. He currently chairs the ministerial Health Data Advisory and Co-ordinating Committee and is a member of the Statistics Council of Statistics South Africa.



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**PERFORMANCE
INFORMATION**

1

AUDITOR'S REPORT: PREDETERMINED OBJECTIVES

The Auditor-General South Africa (AGSA) currently performs the necessary audit procedures on the performance information to report on material findings. The material findings on the performance against predetermined objectives is included in the report to

management and the audit report under the heading Report on the annual performance.

Refer to pages 146 to 147 of this Annual Report for the Auditor's Report, published under Part E: Financial Information.

2

OVERVIEW OF PERFORMANCE

2.1 SERVICE DELIVERY ENVIRONMENT

The HSRC, as a public entity reporting to the Ministry of Higher Education, Science and Innovation, carries out research-based services to inform government planning, policy and development. As a non-partisan state entity, the HSRC is able to provide critical advice and analysis to government and stakeholders on various issues, drawing from a humanities and social sciences perspective. The HSRC made various contributions to public planning, decision-making and government services during the year under review.

Some examples include:

- » Taking responsibility for hosting the Department of Science and Innovation (DSI)-HSRC Internship Programme since June 2021. This programme was previously hosted by the National Research Foundation (NRF). The HSRC is responsible for the management, monitoring and evaluation (M&E) of the programme and will place approximately 450 unemployed graduates in Science, Engineering and Technology (SET) disciplines as well as those in Humanities and Social Sciences (HSS) disciplines at various institutions throughout the country over a two-year period as part of a work integrated learning programme.

- » Partnering with the Council for Scientific and Industrial Research (CSIR) and the Department of Science and Innovation (DSI) on their Waste Research, Development and Innovation (RDI) Programme, to include at least 10 dedicated interns specifically for the Waste Sector as part of the DSI-HSRC Internship Programme. The objective of this initiative is to build capacity within the Waste Sector and ensure graduates are retained within the sector.
- » Providing insights from the 2019/20 South African Social Attitudes Survey (SASAS) results on the public's awareness of historical events that President Ramaphosa referenced in his letter to the nation, dated 14 June 2021, leading up to the Youth Day commemoration of the fateful events of June 16th, 1976. On this day, brave young men and women in Soweto and other parts of the country rose up against the iniquity of Bantu Education. In his address, President Ramaphosa referenced the SASAS data that found close to 40% of Generation Z had not heard of, or knew very little about, the historical events of June 16, leading to a call on the country to do more to ensure that the message of this event is carried forth to future generations.
- » Undertaking research on the Construction Sector Transparency initiative (CoST) South Africa, which led to the establishment of the Infrastructure Built Anti-Corruption Forum (IBACF), launched by the Minister of Public Works and Infrastructure (DPWI) and the Head of the Special Investigating Unit (SIU). The HSRC was invited to join the IBACF and provide the forum with research support to identify, gather and analyse data to help identify priority risk areas for use by the forum in its mandate of corruption prevention.
- » Partnering with the University of KwaZulu-Natal (UKZN), the KwaZulu-Natal Department of Health, and Vula Mobile to undertake a collaborative project, Connect TB, that brings together the private and public healthcare sectors in providing tuberculosis (TB) care. The project provides a one-stop shop for TB testing in the private sector through free access to the National Health Laboratory Service (NHLS) for GP practices via the Vula App. The first client in the novel Connect TB study successfully and timeously completed treatment for TB at the end of October 2021. This milestone highlights the success and value of private and public health partnerships in detecting and treating people with TB.
- » Partnering with the Open Society Foundation for South Africa (OSF-SA) on a Municipal Capacity and Skills Assessment Study. The aim of the study was to understand the capacity realities and support requirements of municipal officials, and to inform training and capacity-building interventions that will ultimately lead to improvements in the performance of municipalities. The study results were released on 18 November 2021 with much interest from media and other public institutions.
- » Assisting the Department of Social Development (DSD) with the production of the Social Security Review 2021, released by Minister of Social Development, Lindiwe Zulu, on Tuesday 8 February 2022. The Social Security Review was produced as a flagship publication, promoting the generation of independent knowledge and thereby contributing to robust public policy discourse on social security. The launch saw the Minister reiterating her commitment to keeping a basic income grant on the table along with other measures to combat poverty and inequality as supported by the publication.

2.2 THE ECONOMIC LANDSCAPE AND SOCIAL CONSIDERATIONS

A number of adverse events had a very negative effect on the local economic climate in the period under review. As an entity rooted in this context the HSRC, like all South African organisations and citizens was also affected. Examples of these events include the social unrest in KwaZulu-Natal and Gauteng during July 2021, and the Russian invasion of the Ukraine in February 2022 which had a significant impact on global fuel prices and concomitant effects on the delivery of goods and services. Other events, like the burning of the parliament building in Cape Town, also had an impact on the public environment and calendar.

One of the most significant realities for the HSRC remains the pressure to manage and navigate the declining senior research complement, with increased pressure to produce high-quality research and procure external income.

The declining Parliamentary Grant continues to constrain, rather than facilitate the HSRC's mandate. Despite this, the HSRC has an obligation and desire to respond to the most pressing social questions in the country and will continue to direct available funding to respond to national priorities, including COVID-19. The HSRC remains committed to sourcing supplementary external income to enable such demands.

In direct response to the declining Parliamentary Grant, the HSRC, for the third continuous year, was not able to offer performance-based bonuses to its staff. The hope is that staff morale will improve with the lifting of the moratorium on staff costs in the coming year, which will allow for the recruitment of much needed capacity and the filling of vacancies to alleviate some of the pressures on the organisation and its staff.

The ongoing impact of the COVID-19 pandemic and the consequences thereof on social interactions, service delivery, the health sector and the economy remained significant for the 2021/22 financial year. The restrictions in place and other consequential effects on movement and normal research activities remained a challenge as the organisation had to adapt research plans to navigate these, whilst still meeting contractual obligations and responding to critical demands within the resources available.

2.3 ORGANISATIONAL ENVIRONMENT

The HSRC, as an organisation, is at the forefront of producing social sciences and humanities research that is responsive to societal issues, hence the stability of its internal structure is pertinent. Currently, the organisational environment is stable although it is in a transitional phase regarding management. A new Board was appointed in November 2021, and the process to recruit a new CEO was advertised. It is expected that this position will be filled during the 2022-2023 financial year.

In alignment with the Strategic Plan 2020-2025, the organisation increased its focus on impact and has strategically aligned divisions and centres to work towards impact as a key focus of its Theory of Change. Another strategic action was to constitute the Impact Centre whose mandate is to envision and actualise the relevance, visibility and impact of the work of the organisation. The internal environment of the organisation has strengths that support its ability to fulfil its mandate, although there are weaknesses that still need to be overcome. Some of the pressing issues that need attention are:

Human Resources

In this reporting period the HSRC continued to grapple with the challenge of limited senior researcher capacity in divisions and centres. This cadre of employees is essential for fundraising, implementation of contract research projects as well as reaching scholarship targets. Recruitment to senior positions has been under such pressure that in a few instances the same position has had to be advertised as many as six times over a two-year period. There is scarcity of the unique skill sets required in many of the positions, especially in Top and Senior Management levels.

Information Technology

The HSRC was increasingly reliant on IT infrastructure to conduct day-to-day work and deliver projects during the 2021/22 financial year. The substantial allocation for IT infrastructure made during the previous year improved the extent to which the IT Unit was able to support the organisation. There is, however, a continued need for a capital expenditure allocation or dedicated budget allocation for IT support and infrastructure.

The IT Unit continued to enhance its ability and skills to leverage disruptive modern technologies such

as mobility, cloud technologies and real-time data capturing to optimise the research environment and introduce efficiencies in the research process. However, there is a need to remain abreast of developments in IT and digital technologies in research.

eResearch Knowledge Centre

A critical partner to IT and the rest of the organisation is the eResearch Knowledge Centre (eRKC). It supports the research process by providing professional research information services, establishing data standards, preserving and sharing HSRC data and research outputs, and offering spatial computation and data analytics. The organisation has strong eRKC support systems in place. Ensuring relevance and further strengthening these systems remain a priority within the available funding resources.

Financial Resources

The current financial model of the HSRC depends significantly on external funding to support research and the broader mandate of the HSRC. There is continued pressure on the HSRC to increase external income earnings at a faster pace than the growth in its parliamentary grant, to ensure that all necessary budget commitments in terms of staff, administration, infrastructure and research can be met. This unhealthy pressure is expected to increase over the Medium-Term Expenditure Framework (MTEF) period due to budget cuts to the HSRC's parliamentary budget allocation. Furthermore, given the current economic climate, it is unlikely that the HSRC will be able to grow its external income while public and private funders are under pressure to redirect and reprioritise funding in response to COVID-19. It is envisaged that even committed funding might be withdrawn as funders are under pressure to direct money elsewhere.

Funding strategies will be reviewed as the realities of the economic climate unfold. The HSRC's commitment to quality research and engagement thereon remain a strong foundation for the HSRC to compete for available funding. Opportunities must also be explored to unlock funding as part of the emphasis shift from research generation to research use.

2.4 KEY POLICY DEVELOPMENTS AND LEGISLATIVE CHANGES

There were no major changes to relevant policies or legislation affecting the operations of the HSRC during the period under review.

2.5 PROGRESS TOWARDS ACHIEVEMENT OF INSTITUTIONAL IMPACTS AND OUTCOMES

The mandate of the HSRC, as captured in the preamble as well as Sections 3 and 4 of the Human Sciences Research Council Act, 2008 (Act No, 17 of 2008), shows strong alignment with national priorities, including the challenges highlighted and addressed in South Africa's National Development Plan: Vision 2030 (NDP), adopted in 2012. The 2019 Electoral Manifesto and 2019–2024 Medium-Term Strategic Framework (MTSF), described as government's five-year NDP Implementation Plan, highlight seven prioritised commitments requiring concentrated attention during the current strategic planning period.

The HSRC identified five strategic outcome-oriented goals for the strategic planning period 2020 to 2025. These goals, represented by seven letters forming the acronym 'LeaPPT+S', were informed by the mandated goals and institutional imperatives of the HSRC and are explained as follows:

Lea Leadership in Knowledge Production

National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment.

Through its vision of being a national, regional and global leader in the production and dissemination of transformative social science and humanities research in the interests of a just and equal society, the HSRC will contribute to addressing major developmental challenges in South Africa and on the continent.

The HSRC will lead in initiating and convening to foster and increase cooperation, collaboration and communication among excellent researchers and research institutions. The aim is to deliver knowledge for policymaking and devise solutions for pressing public matters.

The HSRC's own demonstrated research excellence and proven capability to bring the right experts together will be measured by indicators such as publications, citations and targeted events.

P Policy Influence

A consolidated relationship of trust and influence with government to help guide and inform policy.

The HSRC will demonstrate the value and impact of the knowledge it produces to forge relationships with all spheres of government, including parliament and the judiciary, in support of creating a capable state.

To achieve this, it needs to forge meaningful partnerships within government and disseminate relevant information in suitable formats to government stakeholders. This requires a robust stakeholder and

communications strategy, as well as a strengthened business development plan to ensure that the HSRC becomes a preferred service provider in terms of government's research needs.

By being a trusted partner to government, the HSRC can assist policy makers by guiding and informing policies and decision-making through careful knowledge-brokering of high-quality, high-impact output.

The success in achieving this will be measured by means of indicators to track requests received and information provided to government.

P Partnerships

Recognition as a trusted and engaged research partner with scientific communities and civil society.

The HSRC will contribute to developing the capabilities of South Africans by establishing itself as a trusted and engaged partner with both scientific communities and civil society. By forging active collaborations in the scientific community, it will be able to share, and share in, resources, and provide complementary research to other research disciplines.

To achieve this, the HSRC will require support from its Executive Authority to facilitate processes, systems and structures that are conducive to collaborative projects, rather than competition. In addition, it must endeavour to understand the needs of communities and be able to package and present science for sharing through community networks.

A suite of indicators tracking community involvement and active collaboration in the science community, including reciprocal skills transfer with colleagues in the global south, will be used to monitor progress.

These collaborations will be used to stimulate community innovation through knowledge sharing and enhancing communities' understanding and use of science.

The HSRC will approach these outcomes through a programme of work organised around three divisions aligned with the NDP implementation pillars. Transformative and inclusive development will be central to each of the divisions. The divisions will each focus on two programmatic themes.

T Transformed Research Capabilities

The HSRC's approach to transformation over the five-year period will not be limited to demographic transformation. It will also focus on:

- » Developing the required internal processes and systems to enable economic, efficient and effective implementation of the HSRC mandate
- » Approaching the research life-cycle (including data gathering, reporting and dissemination, data storage and sharing, and knowledge use) in new and innovative ways
- » Building research capacity and transforming human capital.

To achieve this, the HSRC will put in place appropriate policies and strategies to support the core business strategy, including a suite of Human Resources, Information Technology, Business Development and Research Use Strategies.

Building research capacity and transforming human capital will also contribute to developing capable South Africans. Towards this end, the organisation will measure progress against a set of indicators on employment equity, and learning and development.

S Sustainability

The HSRC must secure a steady income stream to ensure its sustainability and alleviate the pressure on senior researchers to raise income year-on-year. To achieve this, it is imperative that it focuses on securing multi-year grants of between three to five years. It will forge collaborative partnerships with universities, science councils and the private sector, locally and internationally, not only to respond to calls for proposals, but also to initiate grant proposals. It will retain its ability to respond to short-term projects, but not as a main income stream.

In addition to the parliamentary grant, the HSRC will continue to pursue a ring-fenced government allocation to ensure sustainable funding, especially for selected longitudinal surveys. These surveys are instrumental in providing comparative data in key areas of health, social attitudes and education, and generate knowledge that should be used in both government planning and monitoring.

Forging funding partnerships and diversifying sources of income will require strengthened business development activity.

The HSRC identified seven strategic outcome indicators to support DSI outcomes, MTSF priorities and NDP Vision 2030 as contained in the HSRC Strategic Plan 2020–2025. These strategic outcomes are realistically expected to be achieved over the next ten years, hence the five-year targets should be regarded as contributing towards the achievement of goals that are aligned with a vision for 2030.

Progress made towards the achievement of the five-year targets during the reporting period include:

1. Achievement of 176 research articles with a citation count of 10 within five years of initial publication against the five-year target of 170. Continued focus on quality research outputs will aim to ensure that this achievement remains consistent over the five-year period and beyond.
2. Achievement of 574 curated datasets downloaded for secondary use toward the five year target of 663. Continued commitment towards the curation of quality datasets and promotion thereof will be implemented to build towards this five-year target.

3. The five-year target of one applied outcome emanating from collaboration on the African continent will be a continued focus of the current research objectives and future research envisioned.
4. The five-year target of one government service or function where the HSRC research results provide decision support was achieved during the reporting period. The establishment of the Infrastructure Built Anti-Corruption Forum (IBACF), launched by the Minister of Public Works and Infrastructure (DPWI) and the Head of the Special Investigating Unit (SIU), was informed by HSRC research undertaken on the Construction Sector Transparency Initiative (CoST) South Africa. The HSRC was invited to join the IBACF and provide the Forum with research support to identify, gather and analyse available data to help identify priority risk areas for use by the Forum in its mandate of corruption prevention.
5. The five-year target of one community innovation supported or enabled by HSRC research was achieved during the reporting period. The innovation of 'Recycled sacks community vertical gardens for subsistence' was developed by the Centre for Community-Based Research (CCBR) conducting research with rural and peri-urban communities in and around the Greater Edendale area of Pietermaritzburg, in collaboration with the Operation Sukuma Sakhe (OSS) War Room.
6. The percentage of senior researchers from designated groups with permanent appointments was 40%, against the five-year target of 70%. This will remain a continued focus towards retaining and growing the expertise of senior researchers from designated groups within the organisation through permanent appointments via a two-phased tenure proposal to convert baseline-funded, fixed-term contracts to permanent conditions of service.
7. Achievement of R93 million in annual income derived from international funding agencies was recorded against the five-year target of R80 million per annum. Continued focus will be placed on securing and realising research funding from international sources to build towards this five-year target.

The following sections provide more detail on institutional performance against performance indicators contained in the Annual Performance Plan under each of the strategic outcome-oriented goals, and reflect achievements, challenges and future strategies to continue and improve the HSRC's institutional performance.

Table 1 shows how the five outcome-oriented goals of the HSRC, captured under the acronym LeaPPT+S, are aligned with the HSRC's mandated objectives and NDP and MSTF priorities:

Table 1: Relating HSRC outcome-oriented goals with entity mandated objectives, NDP priorities and MTSF priorities

HSRC Mandated Objective		NDP Priority	MTSF Priority
<p>Lea Leadership in knowledge production</p> <p><i>National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment.</i></p>	<p><i>Section 3 (e), to "initiate, undertake and foster strategic basic and applied research in human sciences, and to address developmental challenges in the Republic, elsewhere in Africa and in the rest of the world by gathering, analysing and publishing data relevant to such challenges, especially by means of projects linked to public sector oriented collaborative programmes";</i></p> <p><i>Section 3 (f), to "respond to the needs of vulnerable and marginalised groups in society through research and analysis of developmental issues, thus contributing to the improvement of the quality of their lives"; and</i></p> <p><i>Section 3 (g), to "develop and make available data sets underpinning research, policy development and public discussion of developmental issues."</i></p>	<p>9: Improving education, training and innovation</p> <p>13: Building a capable and developmental state ... in the interest of addressing national priorities and the triple challenge of poverty, inequality and unemployment.</p> <p>HSRC research areas cover:</p> <p>3: Economy and employment</p> <p>5: Environmental sustainability</p> <p>6: Inclusive rural economy</p> <p>7: South Africa in the region and the world</p> <p>8: Transforming human settlement and the national space economy</p> <p>9: Improving education, training and innovation</p> <p>10: Promoting health</p> <p>11: Social protection</p> <p>13: Building a capable and developmental state</p> <p>15: Transforming society and uniting the country</p>	<p>Priority 1: Building a capable, ethical and developmental state</p> <p>Priority 2: Economic transformation and job creation</p> <p>Priority 3: Education, skills and health</p> <p>Priority 7: A better Africa and world</p> <p>HSRC research areas cover all seven MTSF priorities, namely:</p> <p>Priority 1: Building a capable, ethical and developmental state</p> <p>Priority 2: Economic transformation and job creation</p> <p>Priority 3: Education, skills and health</p> <p>Priority 4: Consolidating the social wage through reliable and quality basic services</p> <p>Priority 5: Spatial integration, human settlements and local government</p> <p>Priority 6: Social cohesion and safe communities</p> <p>Priority 7: A better Africa and world</p>
<p>P Policy influence</p> <p><i>A consolidated relationship of trust and influence with government to help guide and inform policy.</i></p>	<p><i>Section 3 (b), to "inform the effective formulation and monitoring of policy, as well as evaluate the implementation thereof"; and</i></p> <p><i>Section 3 (c), to "stimulate public debate through the effective dissemination of fact-based research results."</i></p>	<p>9: Improving education, training and innovation</p> <p>13: Building a capable and developmental state</p>	<p>Priority 1: Building a capable, ethical and developmental state</p> <p>... while addressing the seven MTSF priorities through its research</p>

HSRC Outcome Oriented Goal	HSRC Mandated Objective	NDP Priority	MTSF Priority
<p>P Partnerships</p> <p><i>Recognition as a trusted and engaged research partner within scientific communities and civil society.</i></p>	<p><i>Section 3 (c), to “stimulate public debate through the effective dissemination of fact-based research results”;</i></p> <p><i>Section 3 (d), to “help build research capacity and infrastructure for the human sciences”;</i></p> <p><i>Section 3 (e), to “foster research collaboration, networks and institutional linkages”;</i></p> <p><i>Section 3 (f), to “respond to the needs of vulnerable and marginalised groups in society through research and analysis of developmental issues, thus contributing to the improvement of the quality of their lives”;</i> and</p> <p><i>Section 3 (h), to “develop new and improved methodologies for use in the development of such data sets.”</i></p>	<p>3: Economy and employment</p> <p>7: South Africa in the region and the world</p> <p>9: Improving education, training and innovation</p> <p>13: Building a capable and developmental state</p>	<p>Priority 1: Building a capable, ethical and developmental state</p> <p>Priority 2: Economic transformation and job creation</p> <p>Priority 3: Education, skills and health</p> <p>Priority 6: Social cohesion and safe communities</p> <p>Priority 7: A better Africa and world</p> <p>... while addressing the seven MTSF priorities through its research</p>
<p>T Transformed research capabilities</p> <p><i>Transformed research capabilities.</i></p>	<p><i>Section 3 (d), to “help build research capacity and infrastructure for the human sciences.”</i></p>	<p>3: Economy and employment</p> <p>7: South Africa in the region and the world</p> <p>9: Improving education, training and innovation</p> <p>13: Building a capable and developmental state</p>	<p>Priority 1: Building a capable, ethical and developmental state</p> <p>Priority 2: Economic transformation and job creation</p> <p>Priority 3: Education, skills and health</p> <p>Priority 7: A better Africa and world</p>
<p>S Sustainability</p> <p><i>Sustainable income streams.</i></p>	<p><i>Section 4 (2)(b), which states that the HSRC may “at the request of any person or organisation and subject to such conditions and the payment of such fees as may be agreed upon, conduct or cause to be conducted any research relating to any matter in the field of the human sciences”, and Section 4 (2)(c) “in respect of any other service rendered by it in terms of this Act—</i></p> <p>(i) charge such fees; or</p> <p>(ii) make such other financial arrangements with the concurrence of the Minister of Finance, as the Council considers necessary.”</p>	<p>3: Economy and employment</p> <p>13: Building a capable and developmental state</p>	<p>Priority 1: Building a capable, ethical and developmental state</p> <p>Priority 2: Economic transformation and job creation</p> <p>... while addressing the seven MTSF priorities through its research</p>

3

INSTITUTIONAL PROGRAMME

PERFORMANCE INFORMATION

3.1 PROGRAMME 1: ADMINISTRATION

Purpose

This programme is responsible for the strategic direction and overall management of the HSRC. As a key development in this programme an Impact Centre was established in 2020 to focus on enhancing research use and impact of the HSRC's research. In the year under review, the centre provided support and institutional mechanisms to facilitate impactful collaborations for HSRC researchers, while also creating a foundation for the institutionalisation of impact by developing an impact programme that consists of an Impact Strategy underscored by the Research Use and Communication Strategy. These strategies articulate a coherent approach to impact which aims to enhance the relevance, visibility and impact of HSRC research.

The Administration Programme further provides centralised shared services to support core research activities and ensure that such activities comply with good governance principles, applicable legislation and funder requirements.

Programme 1 consists of:

The Office of the Chief Executive Officer (CEO)

- » CEO
- » Board Secretariat
- » Internal Audit
- » Planning, Monitoring and Evaluation

The Office of the Deputy Chief Executive Officer: Research (DCEO: R)

- » Research Coordination, Ethics and Integrity
- » HSRC Publishing
- » eResearch Knowledge Centre
- » DSI-HSRC Internship programme (transferred to the HSRC from June 2021)

The Group Executive: Impact Centre

- » Impact Assessment
- » Strategic Partnerships
- » Communications

The Office of the Chief Financial Officer (CFO)

- » Finance
- » Supply Chain Management
- » Enterprise Risk Management

The Office of the Group Executive: Shared Services

- » Human Capital and Capacity Development
- » Facilities and Occupational Health and Safety
- » Legal Services, Intellectual Property and Compliance
- » Information Technology



Outcomes, outputs, output indicators, targets and actual achievement

Programme 1: Administration

This programme contributes towards the institutional outcomes of: (i) Leadership in Knowledge Production through targets on articles with citation counts of more than ten within five years of publication; curated datasets downloaded for secondary use; and events convened on poverty eradication, inequality reduction and employment promotion; (ii) Partnerships, through a target on collaborative research projects with universities or science councils in South Africa; (iii) Transformed Capabilities, through targets on the percentage of senior researchers who are black and female respectively, percentage of researchers with PhDs, number of PhD trainees employed during the period, and conferences or training academies held for emerging scholars; and (iv) Sustainable Income Streams through targets on percentage of total income that is extra-parliamentary, and internationally funded collaborative projects with multi-year grants of R5 million or more.

Significant achievements for 2021/22

During the reporting period significant achievements included meeting and exceeding the annual targets for cited publications, dataset downloads, poverty and inequality events hosted, collaborative projects with universities and science councils, extra-parliamentary revenue and multi-year, internationally funded collaborative projects. Targets were also met for the percentage of senior researchers who are black, percentage of senior researchers who are female, PhD trainees employed, and training academies held for emerging scholars.

The target on the percentage of researchers with PhDs was not met during the reporting period. The prioritisation of highly qualified research capacity remains a high priority focus in the organisation's recruitment and advancement strategies.

Some of these indicators were not directly linked to prioritising women, youth and persons with disabilities, but in all activities and outputs demographics were taken into account in the scope of study samples, data and analysis as well as the outcomes reflected.

Table 2: Actual achievement versus performance as per the Annual Performance Plan

Programme 1: Administration								
Outcome	Output	Output Indicator	Audited Actual Performance 2019/20	Audited Actual Performance 2020/21	Planned Annual Target 2021/22	Actual Achievement 2021/22**	Deviation from Planned Target to Actual Achievement 2021/22	Reasons for Deviations
1 National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment	High-impact publications and knowledge products	1.5 The number of HSRC research articles that have achieved a citation count of at least 10 within five years of initial publication	313	179	160	176	16	Higher achievement is seen as a positive reflection of the quality of the HSRC's knowledge production efforts, demonstrated by the citations thereof in the research community.
	High-quality research	1.6 The number of curated datasets downloaded for secondary use	608	556	546	574	18	Higher achievement is seen as a positive reflection of the quality and relevance of the datasets produced by the HSRC research.
	Use mechanisms	1.7 The number of events dealing with the eradication of poverty, reduction of inequality and/or promotion of employment convened by the HSRC	New	1	2	3	1	Higher achievement is seen as a positive reflection of the HSRC's research focus on the area of poverty, inequality, and employment promotion.
3 Recognition as a trusted and engaged research partner within scientific communities and civil society	Partnerships	3.4 The number of collaborative research projects with universities (including HDIs) and science councils in South Africa	New	6	4	6	2	Higher achievement is seen as a positive indication of the HSRC's commitment towards collaboration with universities and science councils in South Africa.

Outcome	Output	Output Indicator	Audited Actual Performance 2019/20	Audited Actual Performance 2020/21	Planned Annual Target 2021/22	Actual Achievement 2021/22**	Deviation from Planned Target to Actual Achievement 2021/22	Reasons for Deviations
4 Transformed research capabilities	Trained researchers: Skills	4.1 The percentage of senior researchers (SRS/SRM+) who are black	Revised	46.25%	48%	48%	0	Target achieved as an indication of the HSRC's commitment towards the recruitment and advancement of black researchers.
		4.2 The percentage of senior researchers (SRS/SRM+) who are female	Revised	32.5%	37%	37%	0	Target achieved as an indication of the HSRC's commitment towards the recruitment and advancement of female researchers.
		4.3 The percentage of researchers (excluding trainees) with PhDs	New	78.51%	76%	69%	(7%)	Deviation due to staff turnover and project-specific recruitment of lower-level research staff. The HSRC remains committed to supporting staff to obtain PhD degrees as well as the recruitment of higher-level research capacity towards the HSRC's contribution to the research community and society.
5 Sustainable income streams	Partnerships	4.4 The number of PhD trainees	47	31	27	27	0	Target achieved as an indication of the HSRC's commitment to the growth of research capacity in the country.
		4.5 The number of conferences or training academies for emerging scholars	New	3	2	2	0	Target achieved as an indication of the HSRC's commitment to the growth and empowerment of emerging scholars in South Africa as well as other African countries.
		5.1 The percentage of total income that is extra-parliamentary	39.11%	38.93%	45%	54%	9%	Target achieved as the HSRC was able to secure and realise sufficient external funding for the 2021/22 year. Further efforts towards external funding to secure the sustainability of the organisation remains a priority.
		5.2 The number of internationally funded collaborative projects involving multi-year grants of R5 million or more	New	4	3	5	2	Higher achievement is seen as a positive indication of the HSRC's commitment to collaborative research and securing multi-year international funding towards these initiatives.

** Actual achievement reported in relation to the performance information reflected in the tabled Annual Performance Plan

Linking performance with budgets

Table 3: Programme 1 – Administration

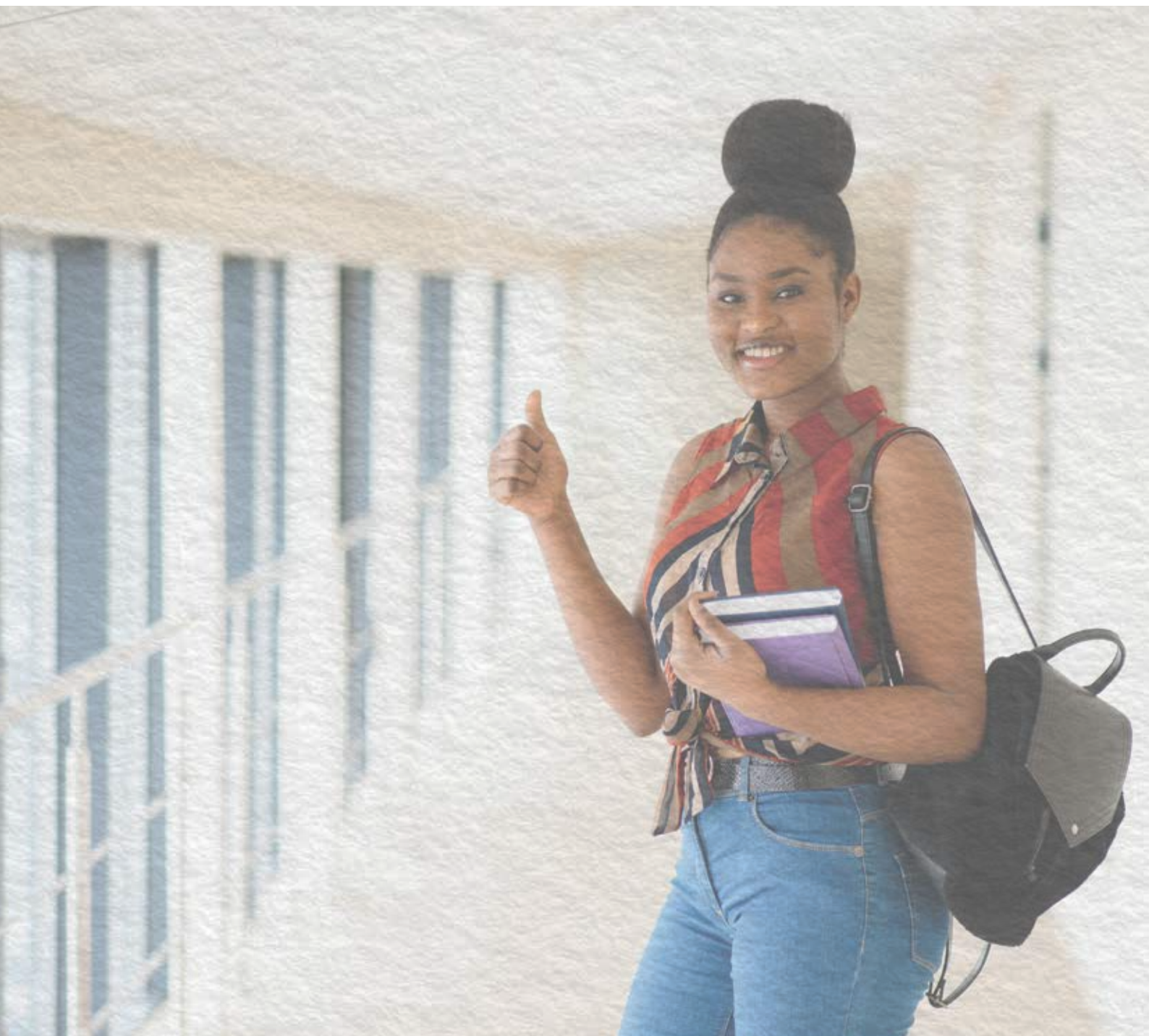
Programme/activity/objective	2021/22		2020/21*		(Over)/Under Expenditure R'000
	Budget R'000	Actual Expenditure R'000	Budget R'000	Actual Expenditure R'000	
Administration	242 997	180 910	222 834	179 230	43 604
Total	242 997	180 910	222 834	179 230	43 604
Economic classification:					
Current payments	228 777	180 910	209 625	179 230	30 395
Compensation of employees	128 953	101 501	117 469	108 263	9 206
Goods and services	86 849	68 923	79 967	63 393	16 574
Agency and support/outsourced services	1 917	(370)	1 655	2 771	(1 116)
Audit costs	5 621	4 833	4 703	3 182	1 521
Bank charges	741	447	620	193	427
Communication	10 963	6 645	9 940	8 149	1 791
Computer services	1 153	1	1 000	5	995
Contractors	13 464	1 640	12 323	484	11 839
Inventory	5 055	951	4 624	808	3 816
Lease payments	14 742	308	13 088	266	12 822
Legal fees	529	2	443	33	410
Non-life insurance	3 016	1 530	2 500	1 841	659
Repairs and maintenance	18 955	8 055	16 521	1 164	15 357
Training and staff development	2 419	529	2 303	905	1 398
Travel and subsistence	2 528	11 607	2 012	14 766	(12 754)
Other costs	5 746	32 743	8 235	28 826	(20 591)
Depreciation and interest	12 975	10 486	12 189	7 574	4 615
Depreciation	11 527	9 390	10 989	7 032	3 957
Interest and fair valuations	1 448	1 096	1 200	542	658
Losses from:	-	-	-	-	-
Sale of fixed assets	-	-	-	-	-
Transfers and subsidies to:	14 220	-	13 208	-	13 208
Non-profit institutions	14 220	-	13 208	-	13 208
Total	242 997	180 910	222 834	179 230	43 604

* Comparative figures have been restated due to reclassifications and prior period adjustments.

Strategy to overcome areas of under-performance

The strategic objective of transformed research capabilities continues to receive attention at all levels in the HSRC. Although there is evidence of good overall performance on transformation at the institutional level, recruitments at the Senior Researcher level continues to be challenging. The target of 76% of researchers (excluding trainees) who have PhD degrees was not met. Reasons for under-performance in terms of this indicator are known and include: limitations in the pool of suitably qualified and experienced candidates;

strong competition from universities, government and international employers, making it difficult for the HSRC to recruit and retain staff at these levels; and more favourable conditions of employment, including permanent appointments available at other institutions. During the year under review, funding constraints and the continued cap on salary-related expenditure imposed by National Treasury made it even more difficult to achieve this objective. The HSRC remains committed to the prioritisation of the appointment of suitably qualified researchers and support for staff obtaining PhD degrees whilst in the employ of the HSRC, as well as retention of qualified staff.



3.2 PROGRAMME 2: RESEARCH, DEVELOPMENT AND INNOVATION

Purpose

This programme conducts and disseminates basic and applied research, generating and applying knowledge that addresses and provides deeper insights into some of the challenges that society is grappling with. It applies distinct social science and humanities approaches to provide knowledge that supports national developmental priorities.

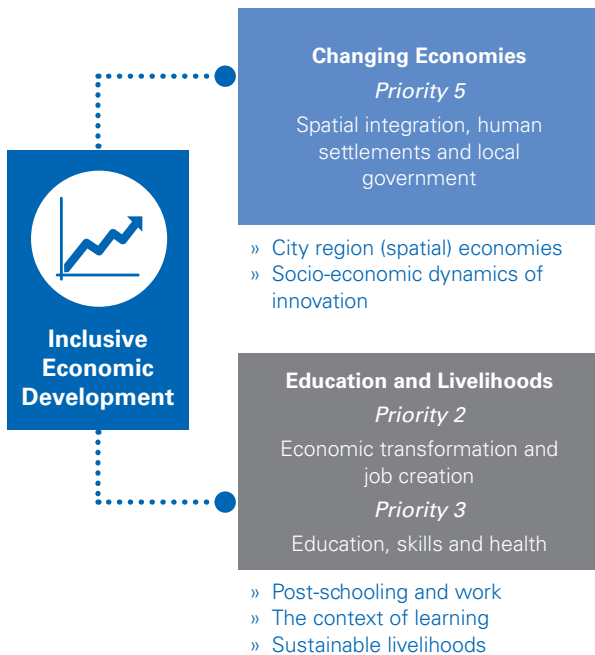
Programme 2 includes the Africa Institute of South Africa (AISA). The following are sub-programmes under this programme:

Sub-Programme 1: Inclusive Economic Development

Purpose:

Research to identify priority actions to generate faster national economic growth.

Work in this sub-programme is divided into two streams as illustrated below:

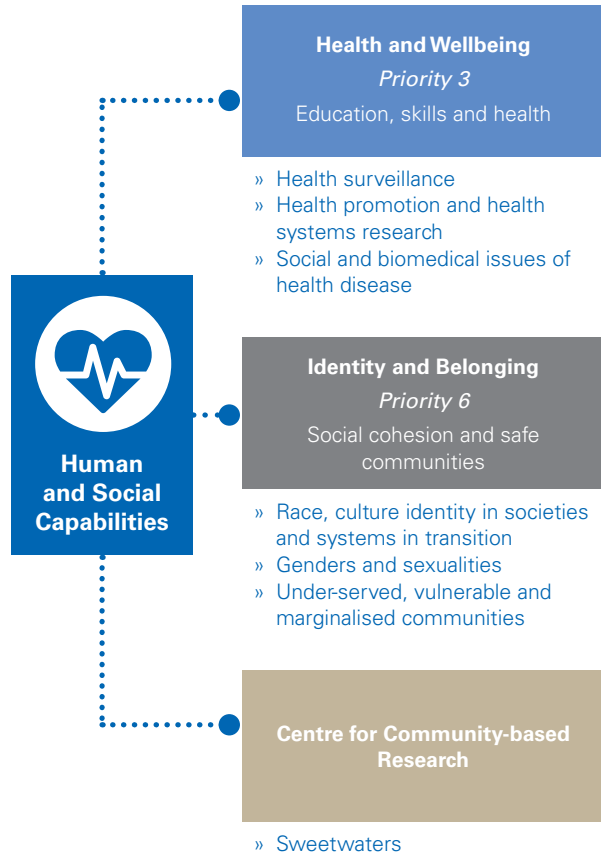


Sub-Programme 2: Human and Social Capabilities

Purpose:

To actively explore the ways in which agency, attitudes, aspirations, capabilities and other psychosocial factors reinforce or liberate people from the constraints imposed by their social environments.

Work in this sub-programme is divided as illustrated below:

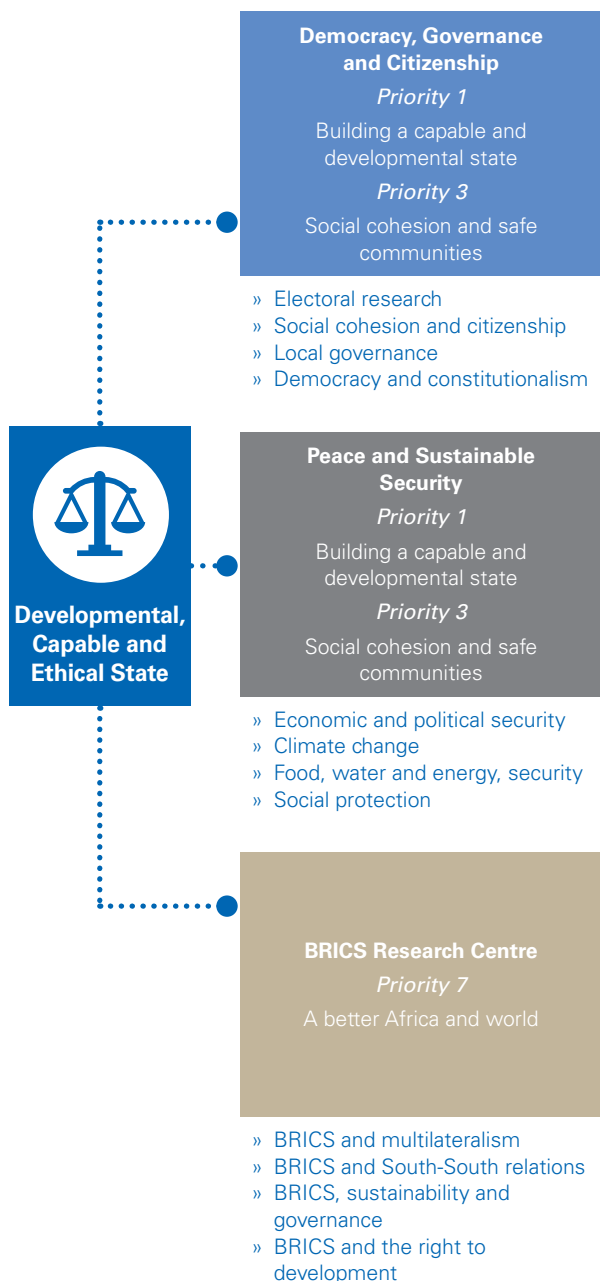


Sub-Programme 3: Developmental, Capable and Ethical State

Purpose:

Research, implementation and advocacy support in the service of the public good and South Africa’s national priorities to strengthen social cohesion; create safe communities; build a capable, ethical and developmental state; and work towards a better Africa and world.

Work in this sub-programme is arranged around themes as illustrated below:



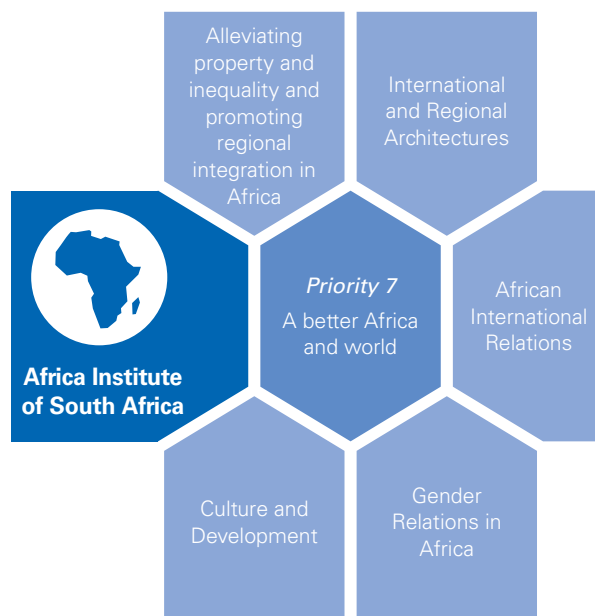
Sub-Programme 4: Africa Institute of South Africa

Purpose:

To lead, provide strategic direction and coordinate the organisation’s Pan-African Programme of Work by:

- » Providing a hub for Africa-centred knowledge production and dissemination, policy engagement, and implementation support
- » Providing thought leadership on key questions facing the continent and being a catalyst for transformation
- » Driving the intellectual project for a ‘Better Africa’
- » Collaborating with and convening African leaders, scholars, practitioners, policymakers and civil society; amplifying African voices; and leveraging existing capacities to improve knowledge, policy and practice
- » Building capacity and training young scholars, future leaders and women in Africa.

This programme of work is organised around five themes as illustrated below:

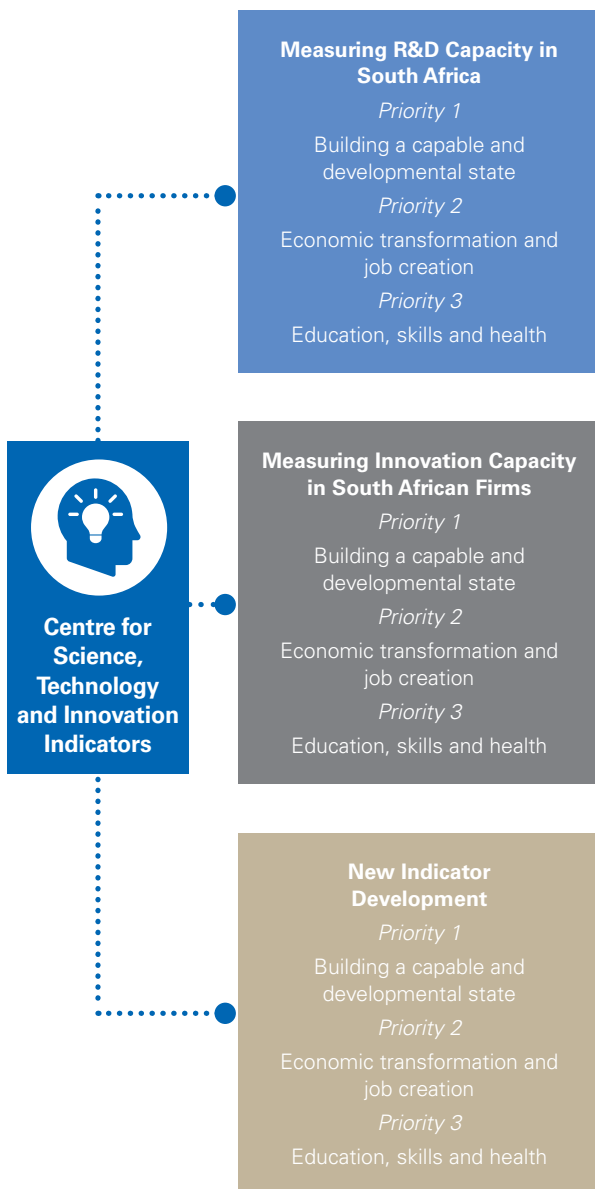


Sub-Programme 5: Centre for Science, Technology and Innovation Indicators

Purpose:

CeSTII is mandated by the Minister of Higher Education, Science and Innovation to contribute to official science, technology and innovation statistics in South Africa. Countries measure and monitor research and experimental development (R&D) and innovation activities, to track the dynamics and patterns of human resources, expenditure and focus areas, in relation to how they promote economic growth.

Work in CeSTII is organised around three themes as illustrated below:



Outcomes, outputs, output indicators, targets and actual achievement

Programme 2 – Research, Development and Innovation

the programme contributes towards the Institutional outcomes of: (i) Leadership in knowledge production through targets on peer-reviewed journal articles produced by HSRC researchers, collaboration with authors from other African countries on peer-reviewed journal articles, and book publications and book chapters published during the period; (ii) Policy influence, through targets on policy briefs produced and structured research engagements with government, policy makers and implementers; and (iii) Partnerships, through targets on research-related engagements with communities and civil society forums, involvement in solution-oriented communities of practice, community innovations supported or enabled by HSRC research, and hosting incoming international exchange visits or fellowships at the HSRC.

During the reporting period significant achievements included exceeding the annual targets for journal publications, book publications and policy briefs produced. This high volume of publications and research outputs can be attributed to the dedication and work ethic demonstrated by our researchers, despite the ongoing realities of COVID-19 and working from home.

Research engagements with government and communities also demonstrated concerted efforts by the HSRC to create an enabling environment for engagement on data produced and research findings in support of constructive engagements and decision support.

These indicators were not directly linked to prioritising women, youth and persons with disabilities, but these demographics were taken into account in the various projects to ensure representative data and analysis.

Linking performance with budgets

Table 4: Programme 2 – Research Development and Innovation (RDI)

Programme/activity/objective	2021/22			2020/21*		
	Budget R'000	Actual Expenditure R'000	(Over)/Under Expenditure R'000	Budget R'000	Actual Expenditure R'000	(Over)/Under Expenditure R'000
Research, Development and Innovation	339 164	362 425	(23 261)	298 724	211 982	86 742
Total	339 164	362 425	(23 261)	298 724	211 982	86 742
Economic classification:						
Current payments	312 376	362 425	(50 049)	274 195	211 982	62 213
Compensation of employees	144 433	153 881	(9 448)	134 118	147 544	(13 426)
Goods and services	164 499	201 320	(36 821)	137 669	61 576	76 093
Agency and support/outsourced services	2 221	747	1 474	1 776	149	1 627
Audit costs	-	-	-	-	273	(273)
Bank charges	-	39	(39)	-	40	(40)
Communication	7 284	3 138	4 146	5 891	878	5 013
Computer services	969	57	912	759	5	754
Contractors	1 858	2 580	(722)	-	104	(104)
Inventory	1 259	2 339	(1 080)	642	601	41
Lease payments	1 420	14	1 406	426	23	403
Legal fees	-	-	-	-	-	-
Non-life insurance	-	204	(204)	-	7	(7)
Repairs and maintenance	915	8	907	107	7 109	(7 002)
Research and Development	138 163	178 406	(40 243)	120 120	49 169	70 951
Training and staff development	1 851	183	1 668	1 235	213	1 022
Travel and subsistence	1 246	4 320	(3 074)	827	658	169
Other costs	7 313	9 286	(1 973)	5 887	2 347	3 540
Depreciation and interest	3 444	7 224	(3 780)	2 407	2 862	(455)
Depreciation	3 444	7 224	(3 780)	2 407	2 862	(455)
Interest and fair valuations	-	-	-	-	-	-
Losses from:						
Sales from fixed assets	-	-	-	-	-	-
Transfers and subsidies to:						
Non-profit institutions	26 788	-	26 788	24 530	-	24 530
Total	339 164	362 425	(23 261)	298 724	211 982	86 742

* Comparative figures have been restated due to reclassifications and prior period adjustments.

Table 5: Report against the Annual Performance Plan

Programme 2: Research, Development and Innovation								
Outcome	Output	Output Indicator	Audited Actual Performance 2019/20	Audited Actual Performance 2020/21	Planned Annual Target 2021/22	Actual Achievement 2021/22**	Deviation from Planned Target to Actual Achievement 2021/22	Reasons for Deviations
1 National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment	High-impact publications and knowledge products	1.1 The number of peer-reviewed journal articles published per HSRC researcher	0.78	1.17	1	1.17	0.17	Higher achievement is seen as a positive indication of HSRC staff productivity in producing meaningful research outputs. This came at no additional monetary cost to the HSRC.
		1.2 The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa	9	19	12	24	12	Higher achievement is seen as a positive indication of HSRC staff productivity in producing meaningful research outputs and efforts towards collaboration in the African continent.
		1.3 The number of scholarly books published by HSRC researchers	17	13	8	13	5	It is not always easy to predict exactly when a book (and therefore also book chapter) will be released. Higher achievement is seen as a positive indication of HSRC staff productivity in producing meaningful research outputs. This came at no additional monetary cost to the HSRC.
		1.4 The number of scholarly book chapters published by HSRC researchers	86	118	47	40	(7)	It is not always easy to predict exactly when a book (and therefore also book chapter) will be released. The high volume of book chapters released in the final quarter of the prior year impacted on the pipeline of publications for the current year. The HSRC remains committed to producing meaningful research outputs on an ongoing basis.

Outcome	Output	Output Indicator	Audited Actual Performance 2019/20	Audited Actual Performance 2020/21	Planned Annual Target 2021/22	Actual Achievement 2021/22**	Deviation from Planned Target to Actual Achievement 2021/22	Reasons for Deviations
2 A consolidated relationship of trust and influence with government to help guide and inform policy	High-impact publications and knowledge products	2.1 The number of policy briefs and/or evidence reviews completed and published	Revised	12	9	18	9	Higher achievement is seen as a positive indication of HSRC staff productivity in producing meaningful research outputs and contributions made to the policy debate. This came at no additional monetary cost to the HSRC.
	Use mechanisms	2.2 The number of structured research engagements with government, policy makers and implementers	New	9	6	11	5	Higher achievement is seen as a positive indication of the HSRC's commitment to engage government and stakeholders on meaningful and significant research outcomes achieved and supported by the various research studies undertaken.
3 Recognition as a trusted and engaged research partner within scientific communities and civil society	Use mechanisms	3.1 The number of research-related engagements with communities and civil society forums	New	9	6	12	6	Higher achievement is seen as a positive indication of the HSRC's commitment to engage with communities and civil society forums towards collaborative research and informative feedback based on research outcomes.
		3.2 The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers	New	2	1	3	2	Higher achievement is seen as a positive indication of the HSRC's efforts to engage the research community and create opportunities to share knowledge and initiatives.
	High-quality research use mechanisms	3.3 The number of community innovations supported or enabled by HSRC research	New	1	1	1	0	Target achieved as an example of innovative research outcomes that make a positive contribution to communities and society.
	Trained researchers: Skills	3.5 The number of incoming international exchange visits or fellowships active during the period under review	Revised	4	4	7	3	Higher achievement is seen as a positive indication of the HSRC's commitment towards fostering international research relationships and building research capacity in the continent and beyond.

**Actual achievement reported in relation to the performance information reflected in the tabled Annual Performance Plan.

Strategy to overcome areas of under-performance

The strategic objective of leadership in knowledge production remains at the forefront of the HSRC's commitment to national, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment.

The target of 47 book chapters published was not met during the year under review. One of the contributing factors is that the book publication process is lengthy and it is dependent on many factors, most of which are beyond the control of the organisation or researchers. During the final quarter of the prior year (2020/21) numerous books were published resulting in 118 book chapters published against the then annual target of 45. During the current financial year (2021/22) a total of 40 book chapters were published against the annual target of 47. The effects of the significant publications during the prior year resulted in a decline in publications reaching the final publication phase during the current year. The HSRC's commitment to quality and refereed research outputs remains a key focus that requires ongoing navigation of the publication pipelines and processes towards successful and meaningful publications.

3.3 THE HSRC'S RESPONSE TO THE COVID-19 PANDEMIC

The adjustments in COVID restrictions provided some relief for the HSRC and its operations, as it did for the rest of the country. The HSRC continued to comply with lockdown regulations to prevent loss of life and maintain the well-being of staff, while at the same time maintaining business continuity in critical organisational areas. Staff were now conversant with the regulations and it was easier to conduct research and practice under lockdown restrictions.

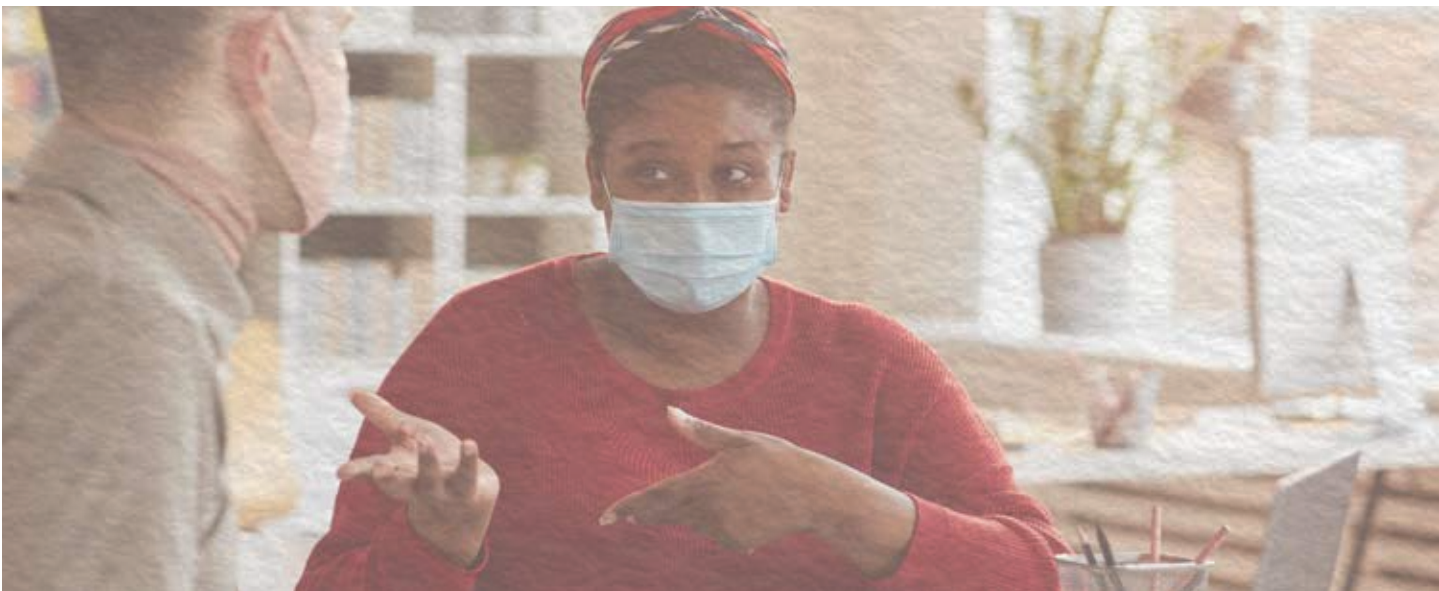
The organisation continued to work on, and modify its COVID-19 response plan covering risk exposure, impact on operations, safety measures, action plans and potential impact on revenue. The modifications were continually informed by directives from the Presidency and the DSI.

For the most part, the HSRC continued to operate within a remote and virtual working environment.

The HSRC approach to mitigating the impact of the COVID-19 pandemic included:

1. Establishing a COVID-19 HSRC task team
2. Developing a COVID-19 Risk Register
3. Keeping employees safe and restricting possible workplace exposures and infection rates
4. Permitting employees to keep working from home as far as possible
5. Continuous circulation of educational material on COVID-19
6. Compliance with national lockdown regulations
7. Adapting research and fieldwork protocols in line with national lockdown restrictions
8. Engaging management and on-going electronic communication

The organisation adapted and implemented new research methods to ensure that ongoing research proceeded. The IT Department's Strategic Plan was tested during the pandemic. In its third year of existence, the IT Strategic Plan enabled 'working from home' via the mobility strategy, with servers having been moved to the cloud. Thus during the pandemic, the architecture was already in place allowing a seamless 'work from home' ability. Security was enhanced and tweaked in sympathy with unfolding risks. User awareness education increased to ensure minimum exposure to cybercrime. Policies were created or modified to improve the IT user experience when working from home and additional cloud security technologies continue to be deployed.



4

REVENUE COLLECTION

Table 6: Itemised revenue collection

Sources of Revenue	2021/22			2020/21*		
	Estimate R'000	Actual Amount Collected R'000	(Over)/ Under Collection R'000	Estimate R'000	Actual Amount Collected R'000	(Over)/ Under Collection R'000
Research revenue	229 068	280 088	(51 020)	195 200	116 948	78 252
Parliamentary grants	273 386	273 386	-	251 587	251 587	-
Other operating revenue	38 699	35 513	3 186	37 033	42 658	(5 625)
Total	541 153	588 987	(47 834)	483 820	411 193	72 627

* Comparative figures have been restated due to reclassifications and prior period adjustments.

Revenue collected was 9% above the budget estimated for the 2021/22 financial year, versus 85% of the budget estimated in the 2020/21 year. This improvement in achievement was the result of largescale research studies commencing fieldwork activities previously delayed. Delays experienced

included postponement of, and in some instances reinventing and shifting to virtual alternatives for, activities planned for the prior year. The main reason for this was the international travel restrictions and the South African national lockdown which impacted negatively on the feasibility of planned activities.



5

CAPITAL INVESTMENT

The HSRC completed a number of infrastructure projects, some which are still in progress.

Infrastructure projects completed in the reporting period

- » Recommissioning and testing of fire hydrant
- » Recommissioning and testing of sprinkler system
- » Wet pipe fire sprinkler heads, rosette and library area
- » Fire water pipe flow direction and coding

Infrastructure projects currently in progress

- » The refurbishment of two fire pumps – this involves Occupational Health and Safety (OHS) issues paramount to the safety of the building and its occupants

- » The replacement of all fluorescent light bulbs
- » Maintenance and servicing of equipment – 11KV High Voltage Transformers and Low Tension Switchgear to conform with the requirements of OHS Act No. 85 of 1993 and SANS 10142. The initial project was successfully completed, however the service provider highlighted the additional need for one switch gear to be repaired.

Progress made on the maintenance of infrastructure

The HSRC is on track with refurbishment of critical fire systems. This includes refurbishment of fire pumps, both diesel and electrical to meet the safety standards as set out in the OHS Act.



6

THE HSRC'S ACHIEVEMENTS – 2021/22

6.1 PERFORMANCE CONTEXT

On 17 February 2021, South Africa rolled out its national vaccination programme against COVID-19. The government set targets aimed at a vaccine coverage of at least 70% by December 2021. As the roll-out continued throughout 2021 it became evident that despite availability and free access to vaccines across all communities in both urban and rural areas, vaccination uptake was much lower than anticipated. Several reasons for poor uptake were cited, including vaccine myths, misinformation, and cultural and religious reasons, among others.

In its efforts to inform policy and facilitate evidence-based narratives, the HSRC engaged in a number of research projects and engagements to inform a coordinated response to COVID-19 by government. The HSRC also strengthened its capacity to realise impact and started a few initiatives that were intended to enhance the impact of HSRC research. Further information on this body of work is presented in the sections below.

6.2 NATIONAL, REGIONAL AND GLOBAL LEADERSHIP IN THE PRODUCTION AND USE OF TARGETED KNOWLEDGE TO SUPPORT THE ERADICATION OF POVERTY, THE REDUCTION OF INEQUALITIES AND THE PROMOTION OF EMPLOYMENT

Research uptake and/or impact

In the period under review the HSRC strengthened its efforts to produce and disseminate social sciences responsive to the needs and challenges faced by society. Several efforts were made to facilitate the visibility and uptake of research by government, civil society and the public at large. These efforts yielded results, with the following being some examples of the uptake of HSRC research in different domains.

6.2.1 Social Security launch

The national Department of Social Development (DSD) conceptualised a Social Security Review aimed at disseminating reliable and accessible information about the history and fundamentals of social security, including policy issues, regulatory frameworks and topical issues within the social security environment.

The HSRC assisted the DSD in editing and producing this review, to reflect on the legal and policy architecture that has shaped South Africa's social security system and to understand the context



underpinning its development. This first edition of the *Social Security Review* has been designed as a resource for those involved in social security policy, strategy, programming, implementation and research. The review brings together a collection of ten commissioned papers, drawing on a diverse and exceptional group of contributors who are experts in

their given fields. Each chapter provides insight into a specific aspect of social security as a comprehensive overview.

A Universal Basic Income Guarantee (UBIG) was one of the recommendations of the *Social Security Review 2021*. The book, edited by Shirin Motala, Stewart Ngandu and Tim Hart of the HSRC, considers social security in South Africa from historical, human rights, economic and policy viewpoints. Stakeholders from government, business, civil society, and academia gathered at the launch to discuss ways of facilitating greater economic inclusion.

At the launch of the book, Minister Zulu reiterated her commitment to keeping a basic income grant on the table, along with other measures to combat poverty and inequality.



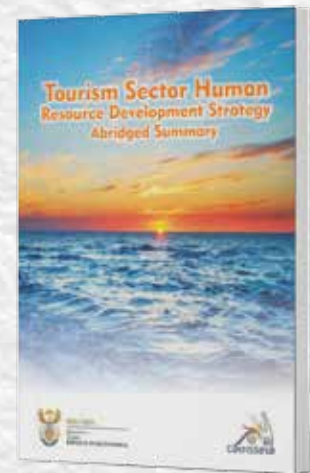
6.2.2 Implementation of the Tourism Sector Human Resource Development Strategy

The Tourism industry has been recognised as having significant growth potential as it contributes to gross domestic product (GDP), economic growth and employment creation in the country. Growth potential could be harnessed to a much greater extent if certain conditions are met. Hindering this growth potential are factors such as global competitiveness, excellent visitor experience, and safety and security. All of these factors are, to a varying extent, influenced by the quality of human resource development in the industry.

The National Department of Tourism (NDT) commissioned the HSRC to facilitate a skills audit and develop a Tourism Sector Human Resource Development (TSHRD) Strategy. The two project deliverables were the Tourism Industry Skills Audit Report and the Tourism Human Resource Development Strategy (2017–2027) for Tourism in SA Report.

The TSHRD Strategy was endorsed by sector stakeholders and the Minister of Tourism, and adopted by the Department of Tourism for implementation.

In March 2022 the department provided the HSRC with a progress report on outcomes thus far. This confirmed the commitment of the department and the uptake of the strategy.



6.2.3 Implementation of HSRC street level innovation in Buffalo City

In 2021 the renaming and decolonisation of South Africa's towns and cities emerged as a high-level priority for the South African Government, especially in the Eastern Cape where several city and town names were changed, including Port Elizabeth to Gqeberha and King William's Town to Qonce. Gomo was proposed as a new name for East London. As part of this initiative to address the legacies of the colonial past in this province, the HSRC developed street level signage and storyboards that revisited the colonial heritage narratives of the city and its development in collaboration with Buffalo City Development Agency. The boards were backed up by visual histories and in-depth explanatory materials which could be activated on smart devices through a Q-code application on each of the boards. The intervention applied state-of-the-art digital tourism product development to the city's Tourism Master Plan. The boards and digital tourism routes designed by the HSRC are currently being implemented through street level infrastructure as part of remodelling the beachfront and esplanade.

DESTEA INVITES YOU TO A
2021 TOURISM PUBLIC LECTURE
 AS PART OF 2021 TOURISM MONTH ACTIVITIES

17 September 09:00 Hotel School Atrium, CUT

WITH KEYNOTE, PROF LESJIE BANK,
 RESEARCH PROFESSOR- HSRC

RSVP by 15 September 2021: Bellebelle Maghalla
 Email: maghalla@destea.guza | Tel: 0514003584 | Cell: 0834672588

AND PANEL MEMBERS: NTRANZANA MASHONGU, NATALIE OZGA, ANASTY KEMBE, WENDY LUNDE, GUSTAF YLITIN, SIMONETU THULI

Logos: South Africa, NDP, STAN SAFE, and the Department of Tourism, Republic of South Africa.

Professor Bank of the HSRC shares BCM heritage concept with the Deputy Minister and teams of experts.

The key concepts and implementation strategy were shared with the Deputy Minister of Tourism on Heritage Day in a keynote address at an event arranged by the Department of Tourism. It is anticipated that the concept developed will be extended to other precincts and tourist destinations in future.



Bank, L. (2022) Placing the Smart City: Innovation, Infrastructure and Inclusive Urban Development in South Africa. https://www.researchgate.net/publication/359392108_Placing_the_Smart_City_Innovation_Infrastructure_and_Inclusive_Urban_Development_in_South_Africa

6.2.4 The HSRC 2019/20 SASAS survey results in the Presidential Weekly Newsletter

As part of his weekly newsletter to the nation, President Cyril Ramaphosa referred to the SASAS results in his letter dated 14 June 2021. This message came in the days leading up to the commemoration of the fateful events of 16 June, 1976, when brave young men and women in Soweto and other parts of the country rose up against the iniquity of Bantu Education.

In his letter, President Ramaphosa said: “The 2019/2020 SA Social Attitudes Survey published by the Human Sciences Research Council found that close to 40% of Generation Z has not heard of the historical events of June 16. A similar percentage has heard about it but knows very little or nothing about it.” He further stated that this was a “disturbing” revelation which needed to be corrected.

“This is a collective responsibility of government, schools, tertiary institutions, parents, families, musicians, artists and all of society. The generation born after apartheid ended inherited a country with a democratic constitution and where fundamental freedoms are protected. Due to the sacrifices of the 1976 generation, the opportunities young black men and women have today are vastly different and greatly improved.”

The President said it was, however, consoling that the survey nevertheless found that Generation Z was open to learning about key historical events and believed in their importance. Ramaphosa said that Youth Day needed to serve as a reminder of the power that lies in the youth to create a better future for themselves.

“We need to do more as a country to ensure that the message of this event, of young people taking charge of their destiny and standing up against apartheid rule, is transmitted faithfully. Keeping the story of June 16th alive is a reminder to today’s generation of the great sacrifices made to secure their freedom. But it is much more than that. Youth Day is also a reminder of the immense power and agency that young people have to create a better future for themselves.”



6.3 SURVEYS TO GAIN BETTER INSIGHT AND UNDERSTANDING OF PREVALENT AS WELL AS EMERGING SOCIETAL CHALLENGES

In the period under review, the HSRC continued to implement large-scale surveys through ground-breaking methodologies to gain better insights into societal challenges. These surveys provided data that informs programmatic, policy and societal decision-making. A particular focus was on informing processes of recovery from COVID-19 across all sectors. The following are some of the projects that were undertaken:

6.3.1 Nation-wide survey of South African business innovation gets under way

On 14 March 2022, the HSRC launched South Africa’s official Business Innovation Survey (BIS) with survey fieldworkers engaging 5 500 businesses over six months. This is the seventh BIS performed by the HSRC on behalf of the Department of Science and Innovation. The survey analysis and results will follow in 2022/23 upon completion of data collection.

Innovation is internationally recognised as a key driver of economic growth. It takes place in many businesses – big, small,

micro and informal. Countries are best placed to solve wide-ranging social and economic challenges when innovative products and processes are adopted, and technological capacity is built.

Covering a three-year period, 2019–2021, the survey uses international measurement tools to compare South Africa with other countries and collects information about business innovations. This may include new products, new processes, as well as improvements to existing products or ways of working.



The survey is self-completed online or via telephonic interview and collects data from a sample of enterprises drawn from the business register held by Statistics South Africa, including enterprises in:

- » Mining
- » Manufacturing
- » Electricity, gas and water supply
- » Services, including wholesale and retail trade
- » Transport, storage and communication
- » Financial intermediation
- » Computer and related activities
- » Research and development
- » Architectural and engineering activities, and technical testing and analysis.

6.3.2 The sixth South African HIV Prevalence, Incidence, Behaviour and Communication Survey

On Tuesday, 8 February 2022, the HSRC and its partners launched the sixth South African HIV Prevalence, Incidence, Behaviour and Communication Survey (also known as the sixth South African Behavioural, Sero-status and Media Impact Survey (SABSSM VI) to gather information on HIV incidence, prevalence and other related indicators in South Africa.

The SABSSM VI survey is funded by the United States President's Emergency Plan for AIDS Relief (PEPFAR) through the US Centers for Diseases Control and Prevention (CDC). The study is conducted by the HSRC in partnership with the CDC, South African Medical Research Council (SAMRC), the University of Cape Town (UCT), the National Institute for Communicable Diseases (NICD), and PEPFAR South Africa.

First commissioned by Former President Nelson Mandela in 2001, the study is a population-based, cross-sectional survey of households throughout South Africa.

It is conducted to understand the factors driving the HIV epidemic and its dynamics and is used to inform policies and strategies to tackle the epidemic.

This year marks the 20th anniversary of the first round of the survey, which is repeated approximately every five years. An important addition to this sixth study is that a sub-sample of participants will be randomly selected to test for SARS-CoV-2 antibodies, towards better understanding the true impact of SARS-CoV-2 on South Africa.

The HSRC uses cutting-edge technology and a vast network of fieldworkers to engage with people across the length and breadth of the country, to ensure that the data gathered is accurate and useful. The data is used to determine HIV prevalence, incidence, antiretroviral therapy (ART) exposure, viral load suppression, HIV drug resistance, and risk behaviours in South Africa. This information is critically important in shaping the country's HIV policy and strategy at the highest level.

The study will take place across all nine provinces, targeting a total of 93 000 participants from approximately 25 000 households.

The research team has created a SABSSM VI WhatsApp line for queries about the study.



6.3.3 Phase two of the National Food and Nutrition Security Survey

The second phase of the National Food and Nutrition Security Survey (NFNSS) commenced in the Free State in February 2021. The survey will provide an analysis of the link between food security and nutrition, while also assessing the reasons for household vulnerability to hunger and poor nutrition, and the impact of COVID-19. The results will determine policy recommendations, effective planning and deployment, and enable targeted food and nutrition security interventions to ensure that every household in South Africa has access to adequate food and nutrition.



6.3.4 The South African Social Attitudes Survey

To track societal values in changing times, the South African Social Attitudes Survey (SASAS) is a nationally representative, cross-sectional survey that has been conducted annually by the HSRC since 2003. The survey series charts and explains the interaction between the country's changing institutions, its political and economic structures, and the attitudes, beliefs and behaviour patterns of its diverse populations.

Designed as a time series, SASAS is increasingly providing a unique, long-term account of the speed and direction of change in underlying public values and the social fabric of modern South Africa. SASAS thus represents a notable tool for monitoring evolving social, economic and political values among South Africans, and also demonstrates promising utility as an anticipatory, or predictive, mechanism to inform decision- and policy-making processes.

A module on collective memory was added to the survey to explore public awareness of key historical events in the country, namely the Freedom Charter of 1955, the Sharpeville Massacre of 1960 and the Soweto Youth Uprising of 1976.

The results suggest that basic public awareness of key historical events in the country is low as seen in Figure 1. Nevertheless, those who were surveyed recognised the importance of remembering the past. This suggests that more needs to be done to ensure the public is well-informed of key events in South African history, and the relevance they have for contemporary issues.

Level of awareness of the Sharpeville Massacre relative to the Freedom Charter and 1976 Soweto Uprising (%)

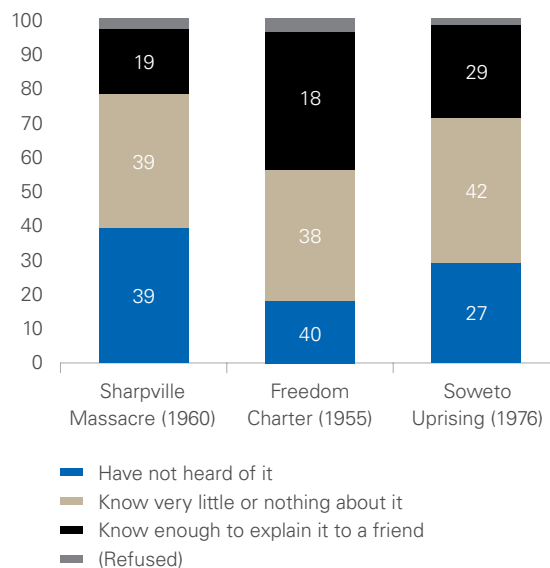


Figure 1: Public awareness of key historical events in South Africa

The HSRC will expand on this module in subsequent rounds of the survey to gain further insights into the patterns of collective memory and how lived experiences and other factors might impact on the public's awareness and memory of these and other key historical events in the country.

6.3.5 The University of Johannesburg/ HSRC COVID-19 Democracy Survey

The HSRC partnered with the University of Johannesburg's (UJ) Centre for Social Change to conceptualise and administer the UJ/HSRC COVID-19 Democracy Survey. This survey was conducted through cell phones, social media and the internet, with no cost to participants, on the Moya Messenger #datafree platform. The main aim of the survey was to provide critical social data to understand public perceptions of the economic, social and political impact of COVID-19 on life across the country, and examine how these inform behaviour, future outlook and policy preferences. A particular emphasis of the research was to monitor changes in knowledge, attitudes, beliefs and behaviour as the country's pandemic response progressed from



the 'hard' Level 5 phase of the national lockdown to less restrictive phases, and with successive waves of pandemic-related cases.

The following are some of the findings of Round 5 of the survey:

- » 38% of adults (18 years and older) reported their willingness to vaccinate but had not yet done so. This raised an important question: why had those who indicated they were favourable towards being vaccinated not done so already?
- » Predominant barriers to vaccination related to a lack of awareness of where to get a COVID vaccine (23%) and issues of access – either sites being difficult to get to (17%), the cost of getting to a vaccination site being too much (17%), or not having the time (16%). A large share (28%) said that they faced no barriers to vaccination, leaving it unclear why there was still a gap between intention and uptake of vaccination. The analysis showed that structural barriers were likely leading to delays in people who are pro-vaccination getting vaccinated. These structural barriers reflect broader socio-economic inequalities. While there are still some issues with vaccine hesitancy amongst this group, the analysis clearly suggests that structural barriers are constraining further success of the vaccine rollout.

The study recommended that greater attention be placed on utilising mobile vaccination units to overcome these structural barriers to ensure that COVID-19 vaccines are easily available to all who want them. It also emphasised that this should be accompanied by targeted information campaigns to address lingering knowledge gaps, as well as uncertainties and concerns relating to COVID-19 vaccination.

6.4 CONTRIBUTING TOWARDS A CAPABLE STATE

6.4.1 Infrastructure Built Anti-Corruption Forum

The Auditor-General South Africa's (AGSA) annual audit reports have noted growing corruption and maladministration in the design, procurement and delivery of infrastructure projects in South Africa. Given this context, the HSRC was commissioned by the Infrastructure Transparency Initiative (previously, the Construction Sector Transparency initiative – 'CoST') South Africa to undertake a scoping study to:

- a) Identify how transparency and accountability within the current systems for planning, procuring and delivering infrastructure may need to be improved at national and sub-national level
- b) Identify attitudes towards transparency and accountability in general, and CoST in particular, amongst individuals and institutions across government, industry and civil society

- c) Establish a baseline measure of 'transparency' in publicly funded infrastructure projects (national and sub-national)
- d) Explore how the CoST approach to transparency and accountability, and its core features of disclosure, assurance, multi-stakeholder collaboration and social accountability could add value to current systems for planning, procuring and delivering infrastructure (national and sub-national).

The CoST model promotes transparency by disclosing, validating and using data from public infrastructure investment. This helps to inform and empower citizens, enabling them to hold decision-makers to account. Informed citizens and responsive public institutions can influence the introduction of reforms to reduce mismanagement, inefficiency, corruption and the risks that poor infrastructure pose to the public.

Findings from the study indicated that there is a need for:

- » *Increased infrastructure transparency.*
Analysis indicated that a high proportion of the CoST-Open Contracting for Infrastructure Data Standard (OC4IDS) data points have to be legally disclosed in terms of South African law. This information is, however, likely to be proactively disclosed in the procuring entities' required reports to legislatures, which is far too late in the infrastructure procurement and delivery process for it to be useful to any stakeholder responsible for or interested in enhancing the real-time effectiveness and efficiency of the infrastructure procurement and delivery process. The study found that actual disclosure is much more limited than the law stipulates, and erratic in practice. Mismanagement and corruption are therefore not identified until it is too late to undertake preventive or corrective action.
- » *Increased evidence base to improve accountability.*
More broadly, there is significant confusion about the legal requirements for infrastructure procurement, a lack of capacity and experience in some procuring entities, and paralysing fear on the part of many officials regarding the potential legal and personal financial consequences if they get it wrong. This includes the legal requirements for public participation in the planning and delivery of public infrastructure, and the definition and requirements for local content. CoST's independent assurance review could be of great assistance in producing evidence from practice that could help clarify several of these issues.
- » *Restoring trust among stakeholders.* Several stakeholders acknowledged that experiences of corruption in the private and public sector have contributed to a breakdown in mutual trust. CoST's multi-stakeholder process and (confidential) assurance review of both disclosed and non-disclosed information could help facilitate the restoration of trust through the careful sharing of information from independent and credible sources, and would be widely welcomed.

These findings were shared directly with national and provincial treasuries, and with civil society organisations, and published in an *HSRC Policy Brief* and other research outputs. They were also shared by CoST with various ministers.

As a result of these outputs and engagements, in May 2021 the HSRC was invited to join the newly established multi-stakeholder Infrastructure Built Anti-Corruption Forum (IBACF). The HSRC was asked to provide the forum with research support to identify, gather and analyse available data to help identify priority risk areas for use by the forum in its mandate of corruption prevention.

6.4.2 CSIR Waste RDI Programme

Background

In 2012, the then Department of Science and Technology (DST) and the Council for Scientific and Industrial Research (CSIR) embarked on a process to develop a *Waste Research, Development and Innovation (RDI) Roadmap* to guide South Africa's public and private sector investment in waste RDI over the next ten years. CSIR Waste RDI, as a DSI-funded programme, seeks to increase knowledge and skills capacity in the waste sector in South Africa, particularly in the private sector. To this end the CSIR, as the implementer of the programme, has hosted and funded a range of initiatives including funding of bursaries for undergraduate and postgraduate studies relevant to the waste sector.

The concern however has been that many of the funded graduates are not securing employment and for others who have secured employment it has not been in the Waste Sector. This lack of retention of skills within the waste sector, led the CSIR to engage the HSRC for guidance on how the problem can be addressed. The HSRC team presented possible solutions based on lessons from research on school to work transitions. This included the need for enabling internships to support retention. The CSIR engaged with the relevant Sector Education and Training Authorities (SETAs) to explore how this could be implemented and the HSRC shared the DSI-HSRC Internship Model that was being rolled out and urged the CSIR to ask waste industry stakeholders to apply as host institutions.

On 13 August 2021, the DSI departments that fund the CSIR Waste RDI Programme and the DSI-HSRC Internship Programme, together with the CSIR and HSRC as implementing partners, agreed that additional resources would be contributed to the DSI-HSRC Internship Programme for at least ten internships specifically for the waste sector. These internships would be ring-fenced and managed as part of the DSI-HSRC Internship Programme. The CSIR undertook to customise the call for applications for both prospective interns and host institutions and share it with waste sector partners and graduates.

The response was very positive, with over 15 waste industry stakeholders applying for the internship and 80% of them applying to host internships. Although several interns who have graduated with qualifications relevant to the waste sector applied, we have not quantified the number as there are many disciplines within this sector, some of which may not directly appear to be associated with the waste or circular economy sectors.

The HSRC team will collaborate with Prof. Linda Godfrey, Manager of the Waste RDI RoadMap Implementation Unit at the CSIR on this initiative to facilitate a pipeline from school to work for Waste RDI-funded undergraduates and postgraduates via the DSI-HSRC Internship Programme. The HSRC will track and report on the outcomes of the ten Waste Sector Interns included in the DSI-HSRC Internship Programme over the next three years.

6.4.3 Municipal Capacity and Skills Assessment Study findings

The HSRC partnered with the Open Society Foundation South Africa (OSF-SA) to undertake a Municipal Capacity and Skills Assessment Study. The aim of the study was to understand the capacity realities and support requirements of municipal officials, and to inform training and capacity-building interventions that will ultimately lead to improvements in the performance of municipalities.

Key Findings

- » Municipal officials felt that there is an **unsupportive institutional environment** coupled with a bureaucratic and rigid institutional structure, which inhibits the adequate absorption and application of new skills, policies, regulations and practices.
- » Other municipal officials indicated that municipalities are an **over-regulated environment**, which places pressure on officials to fulfil the many requirements to work with other departments. Civil society study participants working in the municipalities hold that the many regulations and a compliance-driven approach complicates internal procedures that make attracting and retaining skilled officials very difficult in this context.
- » The internal municipal environment is primarily one of **destructive power struggles between the political and the administrative branches** of local authorities, and this organisational culture negatively affects the morale and agency of officials.
- » Senior municipal officials identified a “deep” or entrenched organisation-wide **lack of trust** – between (especially senior) municipal councillors from various political parties, officials and oversight committees, and councillors.
- » A **lack of culture of excellence** exists to support high quality service delivery, oversight, coordination, and coherent planning between municipal departments. Instead, “chaos, disarray, mistrust, poor oversight [and] lack of accountability” characterise organisational culture in municipalities.
- » The severe dysfunctionality in municipalities is also partly due to **poor oversight** especially by national or provincial line function departments. Municipal oversight requires municipalities to ensure that communities have access to information that goes beyond placing certain information online, but municipalities must create conditions for the poor to more easily access information and to consult communities to share insights from their lived experiences.
- » There is a large **mismatch between skills development plans, training efforts and the actual capacity** of municipal officials to implement the acquired skills.
- » The interviews revealed that in both the political branch and the administrative branch at senior management level, public representatives and

officials have relatively **weak capacity to engage in collaborations**, partnership building, coalition politics and to engage with the private sector, community groups, etc.

- » One municipal official said that “**internal collaboration is actually punished** by the system, with stories of departments punished for transferring resources to other departments”.

The study findings attracted wide-scale media attention and was reported in various newspapers, on television and other online media.

6.4.4 The 2021 Local Government Elections Election Satisfaction Survey results: “Voice of the voter”

On 3 November 2021 the HSRC released the results of the Election Satisfaction Survey (ESS), which was conducted on election day of the 2021 Local Government Elections.

In 2021, the Independent Electoral Commission (IEC) of South Africa commissioned the HSRC to conduct two nationally representative studies related to the 2021 Local Government Elections: firstly, a Voter Participation Survey (VPS), which was conducted between September and October 2021, and secondly an Election Satisfaction Survey (ESS) conducted on Election Day, 1 November 2021.





The main aim of the ESS 2021 was to determine opinions and perceptions of voters regarding the 'freeness and fairness' of the electoral process. A further aim was to assess the operational efficiency of the IEC in managing the 2021 Local Government Elections. This is important in evaluating the credibility and integrity of the 2021 elections.

The study was conducted among more than 12 000 South Africans who voted in the 2021 Local Government Elections. The target population for the study was individuals aged 18 years and older who are South African citizens, and who were registered as voters for the 2021 Local Government Elections. A nationally representative sample of 300 voting stations countrywide was selected to ensure the results of the survey could be properly weighted to the population of registered voters in the country. At the actual voting stations, fieldworkers used random sampling to select voters to ensure a fair representation in terms of gender, race, age, and disability status.

Based on an assessment of voter interviews collected on Election Day, the HSRC found that the voting public was overwhelmingly confident that the 2021 Local Government Elections were both free and fair. As with previous national and provincial as well as municipal elections, voters provided an overwhelmingly positive evaluation of the management performance of the IEC and the conduct of officials at voting stations. These voter evaluations point firmly to the continued integrity of elections in the country.

The enthusiastic views of voters on Election Day can be contrasted with the more critical political mood and electoral attitudes of the general voting age public in the lead-up to the 2021 Local Government Election. The Voter Participation Survey pointed to a significant decline in satisfaction with democracy, trust in core political institutions, a belief in the duty to vote, as well as the sense that one's vote makes a difference. This growing disillusionment was found to be a strong influence on registration and electoral participation tendencies.



Apart from these studies, the HSRC also conducted an online survey for the Commission focusing on issues of COVID-19 and elections. This provided key insight into registration, voting intention, electoral attitudes, and the role of COVID-19 in shaping these predispositions.

These studies form part of a long-standing partnership between the IEC and the HSRC, that dates back to the late 1990s, to undertake a programme of electoral research. This focuses on generating survey-based as well as qualitative insight to inform operational planning and outreach efforts.



The detailed findings and a results summary document can be found on the HSRC website: <http://www.hsrc.ac.za/en/media-briefs/general/iec-ess-2021-summary-results>

6.4.5 Understanding violence between South African nationals and African immigrants in Gauteng Province

The South African Presidency commissioned the HSRC to conduct a study on 'Understanding violence between South African nationals and African immigrants in Gauteng Province'. This initiative came as a result of policy concerns on prevalent anti-immigrant

attacks and violent confrontations between the local population and immigrants who pursue precarious and informal livelihood strategies in the urban centres, informal settlements and townships. The project contributed to ongoing multi-sectoral discussions among decision-makers on the implementation of the National Action Plan (NAP) to Combat Racism, Racial Discrimination, Xenophobia and Related Intolerance.

Table 7: Summary of key research findings

Thematic Area	Key Research Findings: Perception on Driving Factors of Xenophobia at Macro, Meso and Micro Levels
Perceptions on factors that trigger xenophobia	It is impossible to effectively prevent and respond to xenophobia by identifying and addressing triggers – there is a need to address persisting relational and structural factors in immigrant host communities
	State inertia on xenophobia has been the main criticism by the media and the government has been accused of 'xenophobia denialism' by many in the press
	Lack of synergy of current legislation and policies, leading to inconsistent implementation of policies
	Existence of labour practices by business owners perceived as "unfair" or even "illegal", but favour foreign nationals, thus creating animosity between "insiders" and "outsiders"
	The notion of foreign nationals is used for excluding non-members from opportunities as well as antagonising identifiable immigrants (African and South Asian immigrants)
	There is nothing inherently negative about nationalism, however, informal movements on social media platforms tend to emphasise the idea that "South Africa is for South Africans" and have become exclusionary
	South Africans with anti-immigrant views associate irregular immigration with negative effects on state capacity to provide citizens with services and economic opportunities
	South Africa's liberalised economy disadvantages citizens and provides foreigners with a loophole to trade illegally without being detected
	Laws are viewed as biased towards providing solutions to grievances of South Africans who live in disadvantaged areas, including informal settlements and townships
	How have state actors and partners responded?
Actions needed to effectively curb anti-foreign immigrant sentiments and xenophobia	The unpredictability of triggers of xenophobic attacks make it difficult to put preventive measures in place; focus should be on underlying structural factors
	Lack of information and educational programmes to help understand the country's immigration policies and challenges better, as well as to distinguish between refugees, asylum seekers and immigrants
	Corruption undermines immigration policy implementation, but it is ignored
	Illegal actions by State officials lay the foundation for violation of human rights and vulnerability of immigrants and contribute to criminality and corruption
	Institutional coordination is weak, and interventions to build social cohesion are weak and unsustainable
Need for a radical change in legislation to prioritise and protect the socio-economic interests of South Africans without violating foreigners' human rights	
The NAP is only a technical framework, and development of more detailed anti-xenophobia programmes is needed	
Need to improve general practices in the management of immigration and integration of immigrants that ignore the relationship of South Africans with their state	
Need for professionalism among officials of various government departments mandated to regularise immigrants – implement laws fairly and ensure compliance in their administrative roles	
Address issues concerning opportunistic political leadership; weak institutional capacity and coordination in asylum seeker system management; complex immigration legislative and policy instruments; implementation challenges; corruption and exploitation of immigrants	

Key Recommendations

- » The government should strengthen governance and oversight to address corruption among officials responsible for implementing the laws in different sectors of government such as asylum seeker permits, domestic trade licensing, and business zoning certificates.
- » The government and its social partners need to develop programmes that will foster reconciliation between immigrants from Africa, Pakistan, and Bangladesh and South Africans by addressing injustices and oppression inherent in xenophobic violence and its perceived causes.
- » The NAP is silent on how South Africans can raise legitimate concerns about criminality, administrative and labour practices in relation to immigration that may jeopardise social cohesion, without resorting to radical and harmful actions. There should be a dedicated mechanism for confidential and emergency reporting of xenophobic threats in communities and public spaces, as is the case with other forms of violence.
- » Promote recognition that immigration is integral to the development agenda of the country and that it is in the interest of South Africa that immigrants who decide to settle in the country are assisted through social development processes to integrate into its socioeconomic structure.
- » The government should consider working with the African diaspora and social actors in the country to break the silence around immigrants' positive contributions to society.
- » Working with civil society and other partners, put in place programmes that promote knowledge about immigration, regularly provide information on immigrants, the circumstances of various categories of foreign nationals, and the contribution of immigrants to the country's socioeconomic development.

6.5 CONTRIBUTING TO EQUITABLE AND QUALITY HEALTHCARE

6.5.1 Milestone as the first client completes treatment as part of the ConnectTB Study

The HSRC, in partnership with the University of KwaZulu-Natal (UKZN), the KwaZulu-Natal Department of Health, and Vula Mobile undertook a collaborative project, Connect TB, that brings together the private and public healthcare sectors in providing tuberculosis (TB) care. This project is led by Dr Jody Boffa and Dr Tsholofelo Mhlaba from UKZN and Dr Sizulu Moyo from the HSRC, and is expected to play a major role in improving the detection and care of TB patients.

The study is being undertaken throughout the eThekweni District and is funded by the Stop TB Partnership's TB REACH programme and the Bill and Melinda Gates Foundation. The study enables clients to receive their results via text message and provides treatment adherence support to people diagnosed with TB over the telephone. Adherence support provides a safe support structure for people taking TB medication, helping clients to overcome barriers to treatment completion like stigma, inadequate access to services, and food insecurity.

The first client to be enrolled in the novel Connect TB study was diagnosed with TB in early May 2021. She started treatment in the public system two days later and has now completed treatment on time and with pride at the end of October 2021. This milestone highlights the success and value of private and public health partnerships in detecting and treating people with TB.

Ten more clients will soon be following suit, an exciting milestone for the study. The clients enrolled to date range from 17 to 65 years of age and all live in eThekweni. They include school-going children, students at tertiary institutions, the employed and unemployed and pensioners.

Clients diagnosed through the study are often linked to care and start treatment within two days of diagnosis. Most importantly, adherence facilitators provide counselling support to help clients understand their diagnosis, to extend screening and testing to their household members, and to cheer them on through a difficult treatment journey.

Currently, more than 50 people have been diagnosed with TB through the GPs involved in the study, and connected to TB treatment. Early experiences of clients suggest that with the support, clarity, guidance, and reassurance provided by an adherence facilitator over the phone, the TB treatment journey can be a positive experience.



6.5.2 The South African National Survey on Health, Life Experiences and Family Relations

The South African National Survey on Health, Life Experiences and Family Relations (SANSHEF) is the first nationally representative household survey on gender-based violence (GBV) in South Africa. The study will provide baseline data on prevalence, patterns of gender-based violence victimisation and perpetration and associated factors. It will also investigate the effects of the global COVID-19 pandemic on women's vulnerability to intimate partner violence and non-partner sexual violence. The study aims at estimating prevalence, patterns of gender-based violence victimisation and perpetration, and associated factors among women and men across sexual orientations and gender identities and women with disabilities in all provinces in South Africa. It is further designed for potential rollout in the Southern African Development Community (SADC) region, working with the SADC Gender Unit.

The study is funded by the European Union through the Department of Science and Innovation, Ford Foundation, Bill and Melinda Gates Foundation, and the United Nations.

Intensive training and refresher training, aimed at preparing data collection staff, was convened over three training sessions in August and October 2021, and April 2022. While training was focussed on data collection in the field, a strong emphasis was placed on equipping data collection staff with the background knowledge related to gender identity and attitudes to gender roles, issues of masculinity and toxic

masculinity, and how to deal with trauma experienced by data collection staff and participants.

Data collection is currently under way in the nine provinces, targeting a total of 23 318 participants aged 18 and older, with 3 647 from the LGBTQI+ and people living with disabilities (PLWDs) populations. Data collection will cease by July 2022.



6.5.3 African cultural practices and rites of passage undergone by adolescent girls and young women in three South African districts

Despite legal and constitutional efforts to curb harmful cultural practices such as *ukuthwala*, they continue to negatively impact the lives of adolescent girls and young women in South African communities. This is precipitated by a lack of knowledge about women's lived experiences as well as the factors that contribute to their persistence in the context of South Africa. In response to the call to 'stop stolen childhoods', the United Nations Population Fund (UNFPA) has commissioned the HSRC to conduct an exploratory qualitative study to gain a deeper understanding of cultural practices and rites of passage that adolescent girls and young women undergo in three South African districts, namely uThukela (KwaZulu-Natal), and Alfred Nzo, and Nelson Mandela (Eastern Cape). Purposive and snowball sampling were used to select study participants. In total the sample is 96–141 participants.

The HSRC team collected data in Matatiele (Alfred Nzo district) in April 2021. The preliminary findings indicate that some of the participants underwent the cultural practices and rites of passage such as *ukuthwala*, virginity test, *Ntonjane*, *Imbeleko* and *uKwaluka*. Data collection is ongoing in the Nelson Mandela and uThukela districts. This information will be essential in informing the development of evidence-based targeted interventions to curb cultural practices that may be harmful to adolescent girls and young women in South African communities. Critically, it will also inform the development of protective legislation for adolescent girls and young women in support of the drive towards gender equality.



6.5.4 The Life During Lockdown Study

The Life During Lockdown (LDL) Study is a qualitative dominant, mixed methods, longitudinal study that commenced in 2020. The study was supported by the Centre for Community-based Research (CCBR) and led by Dr Candice Groenewald and Dr Zaynab Essack.

The LDL study aimed to explore South Africans' experiences during the first year of the COVID-19 lockdown. Data was collected at several time points throughout 2020, and the study enrolled a wide range of participants (n=104), including children (5–17 years), adults (18–59 years), and older persons (60+ years). Given the novelty of the COVID-19 pandemic and the limited understanding of how the pandemic would unfold (at the time), participants were asked to document their experiences using photos, short voice notes shared through WhatsApp (an instant messaging application), texts and traditional interviews.

Early data, produced during the first half of 2020, showed that participants experienced a wide range of interrelated challenges including economic, mental health, educational and relational difficulties. For example, amongst adults a decrease was observed in the number of persons who were employed (either full-time or part-time) from 43.5% before the lockdown to 34.5% during the lockdown. Relatedly, in both the qualitative and quantitative data, participants consistently identified food insecurity as a key challenge, where half (49.3%) of the participants indicated that they did not have access to enough food to feed their families during the lockdown. Some adults were also concerned about the long-term financial implications, questioning whether they would "survive financially".

The study also highlighted the challenges that children and parents faced in adopting the mandated 'schooling from home' approach implemented during the lockdown. While many understood and supported the health and safety related benefits of this strategy, some parents struggled to 'play the role of teacher' considering the various other responsibilities they had to juggle. At the same time, many parents initially rejected the idea of children returning to school during 2020, fearing COVID-19 transmission and questioning whether schools would be able to accommodate the safety needs of children (see Groenewald, Essack, Ntini, Maluleka & Mkhize, in press).

The interactive nature of the study further allowed for the exploration of participants' thoughts on significant government decisions that were made during the lockdown. This included the controversial 'alcohol ban' which entailed a "total ban on the sale of alcohol including spaces where alcohol is sold and consumed onsite, and premises where alcohol is sold for offsite consumption" (Essack, Groenewald, Isaacs et al., 2022, p. 1). Study findings showed that the ban ignited the 'lives versus livelihoods' debate where the majority of participants (n=49 adults) supported the ban considering the broader implications of alcohol consumption for COVID-19 risk. Amongst the few who opposed the ban, reasons cited focused on livelihoods, and recognising the economic implications of the ban for those who rely on the alcohol industry for income (see Essack et al., 2022).



Further, the study highlighted the significant impact of the pandemic on children and adolescents' wellbeing. This cohort was generally knowledgeable about the pandemic and used photos and videos to show how they kept safe and obeyed non-pharmaceutical interventions, as shown in the image above. These younger participants described feelings of anxiety and fear when thinking about the pandemic and also felt 'locked-down' by all the social restrictions. However, many found solace in the closer relationships they were able to form with their family members. Additionally, it was found that many children and adolescents' missed their school environment, including teachers and peers, during the lockdown. Participants felt overwhelmed with schoolwork, and some struggled to cope with the increased pressures of schooling during this stressful time.

The study findings have been disseminated through different platforms including seminars, short infographics, *HSRC Review* articles, academic journal publications and a book chapter. Further outputs are currently under way with the hope of providing an in-depth and insiders' perspective of the impact of the pandemic on various societal groups.

6.5.5 The COVID-19 and Families Study

Upon conclusion of the LDL study, the COVID-19 and Families Study was implemented to explore the impact of the COVID-19 pandemic on families and members during the second year of the pandemic. The study was led by Dr Candice Groenewald and funded by the DST-NRF Centre of Excellence in Human Development. While the LDL study explored the impact of the pandemic at an individual level, this longitudinal study was interested in understanding how families were

affected by the pandemic. Recognising that families' experiences may be influenced by the construction and socio-economic positioning of the family unit, this study enrolled a purposive sample (n=45) of families, who participated in the study between January 2021 and January 2022. This included families with young children, adolescents, older persons, students, single parent families, 'nuclear' families, and families with no children. The study incorporated innovative visual methods and participatory methodologies to encourage participants' engagement in the study.

While analysis of this work is currently ongoing, preliminary findings show that family life was significantly disrupted by the pandemic. Preliminary findings have been disseminated at different local conferences and/or seminars. Upon completion of in-depth analyses, further dissemination will be conducted through traditional and alternative science communication, including academic publications, seminars and conferences, short information graphics and online engagements.

6.5.6 The COVID-19 Pandemic and Youth Study

This study was commissioned by the Department of Social Development (DSD), led by Dr Candice Groenewald and Dr Zaynab Essack. The aim of the study was to explore a purposive sample of youth's experiences during the COVID-19 pandemic and the impact of the pandemic on their wellbeing. Specifically, the study focuses on 'known youth', defined as individuals (16–35 years old) who have received psychosocial and/or financial support from DSD or the South African Social Security Agency (SASSA) over the past five to ten years.

The study was implemented in three phases and followed a cohort of known youth (n=129) between April and December 2021 to investigate their experiences. Data was collected via three structured online surveys disseminated directly to participants. Results showed that participants had adequate knowledge on COVID-19 symptoms and participants generally adhered to non-pharmaceutical interventions (NPIs). COVID-19 information was predominantly accessed via traditional news media and this information medium was also the space through which participants verified COVID-19 information. Positive shifts were observed in participants' mental health, where many reported that the pandemic did not significantly impact their mental health and felt optimistic about their future. Furthermore, an optimistic decrease was found in the number of youths who had reportedly been unemployed during July 2021 and December 2021, when compared to before this period.

Devastatingly, increases were observed in different forms of violence, substantiating the need for concerted efforts to address the 'shadow pandemic' that increased during the lockdown. Moreover, vaccine

acceptability was high and by the end of the study, the majority of the sample had already registered or had received at least one jab of a COVID-19 vaccine.

The findings of this study will be disseminated through stakeholder engagements in collaboration with the DSD throughout 2022. Study findings will also be disseminated through traditional and alternative science communication activities.

6.5.7 Understanding the demographic, health, psycho-social and economic implications of COVID-19 on older persons in South Africa

The DSD recognised the need to study the impact of the COVID-19 pandemic on older persons in South Africa. The project commenced in July 2021, led by Dr Inbarani Naidoo and Dr Candice Groenewald from the Human and Social Capabilities Division of

the HSRC. They, along with other HSRC researchers are collaborating in this study with experts at the South African Medical Research Council, University of KwaZulu-Natal and the National Health Laboratory Services.

A quantitative approach has been applied focusing on the target age group of older persons aged ≥ 60 years and the “near old” aged 50–59 years. The project aims to describe and track the progression of COVID-19 among older persons using multiple data sources. A review of the rapidly emerging literature found relatively few documented studies stratifying ages to include older persons in 2021. Data analyses are ongoing and preliminary findings have been reported to the project’s steering committee with further engagements planned through the Department of Social Development in 2022. It is envisaged that the findings will assist in deriving evidence-informed interventions and policy recommendations for older persons in South Africa.

6.6 THE QUEST FOR THE WELL-BEING OF PEOPLE WITH DISABILITIES IN SOUTH AFRICA

6.6.1 The impact of COVID-19 and subsequent interventions on people with disabilities in South Africa

The HSRC collaborated with the Institute of Development Studies (IDS) in the United Kingdom (UK), and South African civil society organisation the National Council of and for Persons With Disabilities (NCPD) on this research study on experiences of people with disabilities in COVID-19 times in SA, funded by the UK Research and Innovation (UKRI).

A key purpose of the study was to understand the experiences of persons with disabilities in South Africa during the first 15 months of the pandemic and to share this broadly among stakeholders locally and internationally.

The data, collected via an online survey to which 1 857 people with disabilities responded, is being used to advocate, lobby and engage with relevant government agencies to ensure recommendations are taken forward to inform an enhanced disability-inclusive framework for action during pandemics and other disasters. The current Disaster Management Act and Risk Management Framework do not consider persons with disabilities as a very specific but extremely diverse and highly vulnerable marginalised group in society. Thus, their specific needs and rights are overlooked. A key finding was the inadequacy of the State’s communication about COVID-19, interventions, assistance etc. to this segment of the population. The study also revealed that the recommendations of the White Paper on the Rights of Persons with Disabilities



are not being adequately acknowledged or in some cases not adopted at all. Most respondents felt that the government and others were doing an inadequate job of being disability inclusive during this time. Many had been denied access to therapy because of lockdown restrictions and carer services were disrupted.

Since July 2021 the partnership has produced various media pieces and made media appearances on television and radio reporting on the progress and findings of the study. In October 2021 the entire research team presented the results to more than 200 local and international stakeholders. Most of the stakeholders came from the disability sector and an interactive discussion was had to consider the findings and the implications for the sector. Dr Tim Hart (DCES, HSRC) was asked to travel to the UK to present the study findings.

6.6.2 Socio-Economic Wellbeing and Human Rights-Related Experiences of People with Disabilities in COVID-19 Times in South Africa (Published January 2022)

During the early months of the global pandemic the international Disability Rights Monitor group survey illustrated the circumstances of persons with disabilities around the world. Gradually literature on the situation for persons with disabilities in sub-Saharan Africa started to emerge. As members of an informal network looking at issues affecting this group, some of the authors of this report realised that much of the research done was not specifically focusing on their perceptions during the pandemic and that it was not using the WG-SS questions. Having noticed a gap in the type of data being collected by other scholars and the media, this small informal network identified a need for a survey that would look at both experiences and perceptions of persons with disabilities focussing on lived experiences of socioeconomic impacts and access to human rights during the pandemic in South Africa.

This report summarises some of the key findings of the study, which was conducted on-line using Google Forms from the 1 July to 31 August 2021. All percentages displayed are rounded to the nearest percent and this may affect what is displayed in charts. While we cite some literature in this report, a separate literature review was written by the team, and was used to guide the research and focus the questions.



<https://opendocs.ids.ac.uk/opendocs/handle/20.500.12413/17239>

6.6.3 Literature Review to Support a Survey to Understand the Socio-economic, Wellbeing and Human Rights Related Experiences of People with Disabilities During COVID-19 Lockdown in South Africa (Published in February 2022)

COVID-19 pandemic and associated national responses have had ramifications for societies around the world, including South Africa. The marginalisation of people with disabilities is well documented in pre-COVID times, and emerging evidence suggests that the crisis has made this worse, as well as presenting new challenges for people with disabilities. This paper presents a review of published research and grey literature of relevance to the proven or anticipated socio-economic, wellbeing and human right-related impacts of COVID-19 on people with disabilities in South Africa and other contexts. Its purpose is to summarise evidence to inform a study on the experiences of South Africans with disabilities during the COVID-19 pandemic and the development of an improved inclusive framework for future management of such crises in South Africa.



<https://opendocs.ids.ac.uk/opendocs/handle/20.500.12413/17206>



6.7 CONTRIBUTING TO QUALITY EDUCATION

6.7.1 The South African TIMSS 2019 Grade 5 and Grade 9 result reports

The Trends in International Mathematics and Science Study (TIMSS) team produced two research reports: The South African TIMSS 2019 Grade 9 Results (<https://www.timss-sa.org/publication/the-south-african-timss-2019-grade-9-results>) and the South African TIMSS 2019 Grade 5 Results (<https://www.timss-sa.org/publication/the-south-african-timss-2019-grade-5-results>). The reports look at how school, classroom, home and individual factors are related to Grade 5 and Grade 9 learners' mathematics and science achievement. The results show that while achievements are improving at Grade 9 level, the pace of improvement is slowing down. The projected scores from the present achievement trajectory fall far short of the MTSF targets of 420 points for TIMSS 2023.

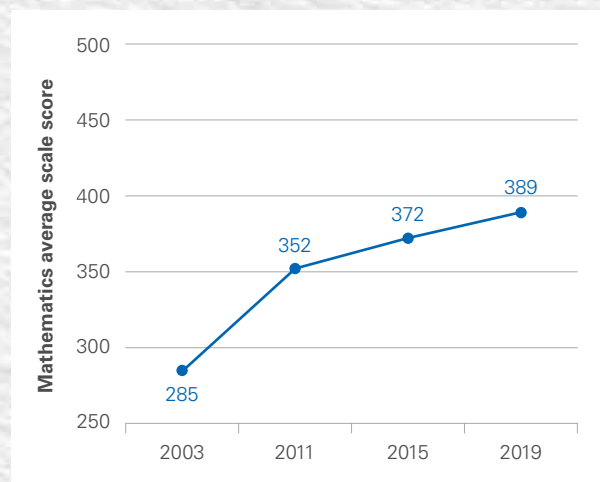


Figure 2: TIMSS cycle (Grade 9)

Key recommendations to improve the quality of education emerging from these studies are:

- » South Africa must continue monitoring achievement through participation in international trend studies
- » The State must focus on whole school development and increasing the number of well-functioning schools
- » Resources and how they are used matters – all learners must have their own textbooks and workbooks and in the longer term there must be greater access to computers and internet connectivity
- » We need to know more about educator qualifications and their specialisations as well as how they are utilised in schools and how timetabling occurs
- » Greater attention needs to be paid to the non-cognitive dimensions that are associated with achievement.

In the course of the year, these findings were shared as high-level engagements with Department of Basic Education (DBE) officials as well as with practitioners through TIMSS mathematics and science item analysis workshops to inform classroom practices. Further engagements with the Department of Planning, Monitoring and Evaluation (DPME) were held to plan a high-level dissemination strategy for findings, and training on the technical dimensions of the TIMSS design and statistical analysis was held with university researchers, culminating in the publication of multiple working papers.

6.7.2 Evaluation of the National Education Collaboration Trust

An evaluation of the National Education Collaboration Trust (NECT) – the agency established to provide support to the Department of Basic Education (DBE) in meeting the education objectives of the National Development Plan – was conducted between January and November 2021. Funded by the FirstRand Empowerment Foundation and managed by Tshikululu Social Investments, a four-way partnership – led by Developmental, Capable and Ethical State and the Inclusive Economic Development (IED) research divisions of the HSRC, Outsourced Insight and Citofield, with oversight by Profs Elaine Unterhalter, Molefe Ralenala and Mvuyo Tom, a comprehensive evaluation of the NECT from its inception in 2013 to the present. The evaluation involved a literature review; an on-line survey of provincial education officials, school governance and management personnel, teachers, learners, and parents of learners; in-person interviews with DBE officials in six provinces (the Eastern Cape, KwaZulu-Natal, Limpopo, Mpumalanga, North West, and the Northern Cape); in-person on-site interviews and focus group discussions with principals and teachers in two schools (one primary, one secondary) in each of the six provinces; and interviews with key informants from the NECT (the entire management team), the NECT Board, the national office of the DBE, teacher unions, business, and civil society.



The study was conducted, and the key findings were reported in line with NECT's programmes. Programme 1: District Improvement Programme was found to have made a meaningful contribution to the education system, particularly in terms of capacity development. Given the generally continuing poor learner outcomes in quintile 1 and 2 schools, there was an ongoing need for the support provided by this programme. Collaborations to enhance systemic change through Information and Communications Technology (ICT) – the focus of Programme 2: Systemic intervention – had begun to impact on the operations of the DBE and needed to be continued. Programme 3: Innovation Programme was found, through the EdHub project, to be highly effective in making the key connection between research, policy engagement and practice to embed changes around education technology in practice. Programme 5: Education DialogueSA had proved itself effective in addressing some of the key challenges of the education system while influencing key stakeholders. In terms of Programme 6: Governance and finance, the NECT was found to have an effective governance model with excellent working relationships between the Board and management and strong Board support for implementation of NECT interventions. The growing portfolio of NECT programme interventions, linked to strategic partnerships (the focus of Programme 7), suggested that work on strategic partnerships was both evolving and responsive to the changing needs and pressures within the education sector. Finally, Programme 8: Monitoring and evaluation had enjoyed discernible success in the provinces in which the NECT's work was concentrated through a range of actions monitoring participation and feedback – work which needed to be strengthened through evaluation, synthesis, results review, and critical engagement.

Amongst the range of recommendations made, arguably the key recommendation concerned the need to improve learning outcomes: that the NECT should focus on building monitoring and evaluation capacity in every public school in South Africa.

6.8 PARTNERSHIPS

The organisation employed a strategic, value-driven approach to partnerships and strategic events to ensure institutional sustainability and mutual benefit. Nineteen strategic dialogues that were beneficial to the visibility and work of the HSRC were held in the reporting period. The organisation also held several strategic bilateral and multilateral engagements to enhance the footprint of the organisation internationally and regionally. The following sections provide details of these partnership activities.

6.8.1 Establishment of solution-oriented communities of practice to respond to national challenges

M&E Community of Practice for Science Councils

The HSRC, in collaboration with the CSIR, coordinated and convened the M&E Community of Practice for Science Councils. The main objective of the community is to learn from one another any actions that can be done collaboratively or co-creatively. The purpose of this meeting was to:

1. Gain a clear understanding of the various Science Council Impact Frameworks that are partners in this endeavour
2. Understand which science councils have managed to develop web-based routine monitoring and reporting tools
3. Understand the impact agenda of different organisations and mechanisms to achieve it.

The engagement was a success as the majority of invited stakeholders attended, were engaged and expressed interest in continuing engagement. There was a strong appreciation for the engagement, and buy-in from the various councils. Furthermore the HSRC, in partnership with the CSIR, will lead the development of a collaboration strategy as requested by the community of practice.

Electronic Monitoring System from Department of Correctional Services with CSIR

The HSRC convened the Bilateral Steering Committee meeting between the CSIR and HSRC to recommend the proposal for the Project-specific Agreement (Electronic Monitoring System from the Department of Correctional Services), and re-affirm and scope the areas for collaboration under the bilateral agreement.

The meeting also looked at ways to resuscitate the relationship and reconfirm the representation of members so as to ensure that work does not stall.

The Project Specific Agreement (Electronic Monitoring System for the Department of Correctional Services) was signed and approved by the steering committee through a round-robin. The due date for delivery of the final report for Part 1 of the Project, which is executed by the HSRC through the DCES, is 30 May 2022. The HSRC continues to coordinate this engagement.

Global South Youth Studies Scholars Community of Practice

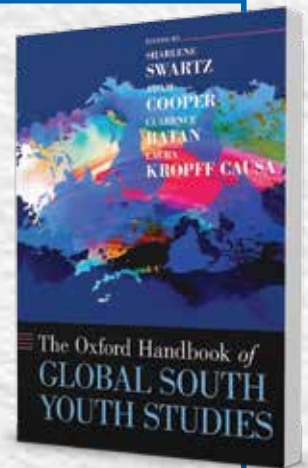
Following the publication in 2021 of *The Oxford handbook of global south youth studies*, HSRC researchers convened a community of practice (CoP) aimed at addressing the decolonisation of knowledge and promoting southern theory, methods and scholarship. The Global South Youth Studies CoP provides:

1. A networking platform for youth studies scholars from the global south to convene and discuss how to overcome the imbalance around knowledge production focused on young people.
2. A tangible opportunity for publication in prestigious volumes of work with high visibility that showcase the work of southern scholars and begins to remake Youth Studies by offering southern perspectives with global resonance.
3. A series of seminars, with sufficient depth to present and discuss topics in detail, including issues concerning youth precarity, racism, intersectionality and the navigational capacities young people require in order to thrive in contexts of inequality and hardship.
4. An opportunity to strengthen southern theorising about young people's practices, what the convenors term 'epistepaxis' – a realignment of theory, practice and politics.
5. A Southern Charter for Global Youth Studies that aims to outline the responsibilities of both northern and southern scholars in redressing the imbalances of youth studies scholarship.

Founding members of the CoP include the HSRC; the University of Santo Tomas, Philippines; the National Scientific and Technical Research Council, Argentina; and the Commonwealth Secretariat, United Kingdom.

The inaugural meeting of the CoP included the following papers:

- » Global youth studies to benefit the world: realigning theory, practice and justice – Prof. Sharlene Swartz, HSRC, University of Fort Hare, South Africa
- » Youth in the global south: why their experiences matter – Dr Adam Cooper, HSRC, Nelson Mandela University, South Africa
- » Youth studies, its forms and differences amongst the South – Prof. Ana Miranda, Academic Director, FLACSO; National Scientific and Technical Research Council (CONICET); University of Buenos Aires, Argentina
- » Youth studies, its forms and differences between the North and South – Prof. Clarence Batan, Department of Sociology, University of Santo Tomas, Philippines



Disability and Employment Community of Practice

Despite a suite of legislation, policies and programmes to ensure greater inclusion, people with disabilities continue to face significant challenges in gaining access to and progressing in the labour market. This denies them the ability to maintain a decent standard of living and locks them into poverty and reliance on welfare systems.

To foster increased knowledge and understanding of the barriers and enabling factors regarding access to the labour market, a Community of Practice on Disability and Employment was launched in March 2022 with representatives from eight institutions across government, higher education, and the private sector and non-profit sectors. In an inaugural workshop, Community of Practice (CoP) members identified negative employer attitudes and perceptions, lack of disability awareness by the public, transport challenges and lack of disability accommodation support as barriers to employability. There was consensus that incentivising employers, rather than enforcement of quotas was a key enabling factor.

The CoP has established a web presence hosted by HSRC as a platform for members to share information and actively engage with each other (<http://www.hsrc.ac.za/en/departments/ied/de-cop>). In addition, the webpage hosts a document repository to digitally store, organise and share documents on themes including employment, skills development and entrepreneurship.

6.8.2 DSI and HSRC commemorating the life and times of Dr Kenneth Kaunda in Education

As part of the DSI's programmes on International Cooperation and Resources, the HSRC was approached to implement a programme to commemorate the life and times of Dr Kenneth Kaunda in Education, Science, Technology, and Innovation in South Africa and regionally. The HSRC supported AISA with the implementation and coordination of the event in collaboration with the Ministry of Higher Education (MOHE) of Zambia, and the National Science and Technology Council (NSTC) of Zambia. The seminar aimed to recognise the contributions of Dr Kenneth Kaunda and his commitment to the liberation struggle. The HSRC provided the secretariat and technical support (IT, communication and marketing) ensuring that the seminar was successfully held on 30 August 2021.

In addition, the HSRC was approached by the DSI to coordinate possible areas of collaboration for South Africa-Kenya relations as part of DSI's programmes on International Cooperation and Resources.

The following areas were submitted to the DSI for the South Africa-Kenya Plan of Action 2022:

Area	Focus	Action	Collaborator
Creative industries and economic security	Build research capacity, foster research collaboration, networks and institutional linkages	Joint research – ACP-EU Culture Programme Eastern Africa call Proposal submitted to the European Union (EU)	DCES Technical University of Kenya Kenya Institute for Public Policy, Research and Analysis (KIPPRA)
Local innovation, smart cities and migration		Joint training and capacity building in the following areas: 1. Youth entrepreneurship 2. Smart cities initiatives 3. Migration	HSRC/IED/City of Tshwane/ KIPPRA
Knowledge production/development	Submission of joint research proposals to the collaborative research programme	Joint training and capacity building in the following areas: 1. Disaster risk management 2. Methodology training in qualitative research methods and in participatory approaches to research 3. Human settlements policy, financing, and practice	IED PASGR AISA KIPPRA
Joint research programmes	Joint research and capacity building	Joint research projects in the following areas: 1. School to work transitions and skills development 2. Unemployment and job creation 3. Social protection 4. Human security and state security 5. Food and nutrition security 6. Climate change and adaptation 7. AI and 4IR	IED IED IED AISA IED IED HSC/CSIR

The HSRC will be an important partner in taking the SA-Kenya relationship forward.

6.8.3 European and Developing Countries Clinical Trials Partnership (EDCTP)

On 27 October 2021, the HSRC met with South African Medical Research Council (SAMRC) and the European and Developing Countries Clinical Trials Partnership (EDCTP) to discuss collaboration on hosting the Malaria Vaccine Dialogue. This came in light of the World Health Organization (WHO) recommendations on malaria vaccine in Africa. The policy dialogue was aimed at allowing different stakeholders a platform to engage and unpack the advancement, opportunities and bottlenecks in the research and policy environment as well as innovation in the continent.

The policy dialogue was coordinated by the HSRC in partnership with the SAMRC, EDCTP and Nabio.

The EDCTP is currently transitioning from EDCTP2 to EDCTP3. COVID needs dictated how EDCTP2 was concluded, shaping the discussions and outlook for EDCTP3, most importantly, the value of engaging the community, epidemiology and social sciences. Whilst community engagement was not prominent during the EDCTP2 portfolio, it is now an important aspect of the EDCTP3 portfolio.

6.8.4 African Institute for Mathematical Sciences (AIMS) – The Next Einstein Initiative (NEI)

The HSRC engaged with African Institute for Mathematical Sciences (AIMS) to map out possible areas of collaboration. The Next Einstein Initiative (NEI) is an AIMS initiative and a platform that connects science, society and policy in Africa and the rest of the world – with the goal of leveraging science for human development globally (the largest scientific network in Africa). Although it is a Mathematics institute, AIMS has opened up to more fields, particularly the social sciences. The meeting focused on the need to strengthen research use/dissemination and impact (policy, community, etc.).

The following were highlighted as key areas for engagement and action through this partnership:

- » Science engagements
- » Strategic partnership workshops for exchange, policy, and impact work
- » Source grants for exchanges
- » Capacity building opportunities
- » Interdisciplinary research and joint publications

To kick-start the partnership, the HSRC and AIMS-NEF have developed a programme for Africa Science Week. AIMS-NEF has committed a budget of \$250 700 towards Africa Science Week.

6.9 HSRC STRATEGIC RESEARCH-RELATED MULTISECTORAL ENGAGEMENTS THAT ARE RESPONSIVE TO NATIONAL CHALLENGES

BigQuestionsForUBIG: How to defeat poverty and inequality?

In keeping with its mandate to promote public dialogue on matters that have the potential to address poverty and inequality, the HSRC, the Institute for Economic Justice (IEJ) and #PayTheGrants, co-hosted a series of four webinars on the call for a Universal Basic Income Guarantee (UBIG). The webinar series started with difficult questions about the fiscal affordability of UBIG, while the subsequent sessions focused on design attributes of income guarantee schemes, the potential impacts and how to get there.



The first webinar, *Can we afford it?* was held on 20 October 2021 and considered various financing options for UBIG include a mix of wealth taxes, market debt, quasi-state funds, and efforts to close corporate tax loopholes. Every UBIG includes a multiplier effect that positively stimulates the economy, thereby making the grants more affordable fiscally.



Watch the recording at:
<https://www.facebook.com/HumanSciencesResearchCouncil/videos/2847416192236409>



The second webinar *Why does design matter?* was held on 3 November 2021. Presenters and participants zeroed in on best practice options to design UBIG for South Africa. Poverty targeting, according to international evidence, comes with many inclusion and exclusion errors. Unpacking detailed evidence presents a compelling case for a universal BIG for all those aged 18 through to 59. UBIG design is also about implementation options such as phasing in or incremental approaches and pathways toward a UBIG over different time horizons.

Watch the recording at: <https://www.facebook.com/119846772271/videos/357455676148918>



The third webinar *What is the impact?* was held on 17 November 2021. Presenters and participants examined competing theories about the developmental impacts of UBIG, bringing together an extraordinary volume of empirical evidence. Cash-transfer programmes have positive effects on the welfare outcome of vulnerable populations, such as reducing hunger, reducing malnutrition among children, inequality and school drop-out rates. For example, the provision of food parcels, the COVID-19 SRD grant and other social programmes during the pandemic significantly reduced hunger. These insights must now be blended with more practical research about complementary UBIG interventions as it is not a silver bullet for impactful developmental outcomes.

Watch the recording at: <https://web.facebook.com/HumanSciencesResearchCouncil/videos/655773435583694/?t=22>



The fourth and final webinar *How do we get there?* was held on 1 December 2021. It focussed on the making of political contestations and choices surrounding policy making. Civil society movements confront formidable macro-economic and political opposition in the battle for a UBIG, which includes anti-BIG narratives and the persistence of divisions and fragmentation among these movements. A need exists for a giant social movement for UBIG and critical conversations about how to bring such a movement into being. The delinked conceptualisation of a basic grant and cost of living are contradictory, and thus evade equitable social security reform, redistributive justice and social solidarity. Lessons from history suggest that it will be a battle on multiple fronts.

Watch the recording at: <https://www.facebook.com/HumanSciencesResearchCouncil/videos/1575026199512297/>

6.10 HIGH-LEVEL ENGAGEMENTS

6.10.1 Release of results of Higher Health COVID-19 impact study on students in the post school education system

On Monday 14 June 2021, Minister of Higher Education, Science and Innovation Dr Blade Nzimande released the findings of a study on the social impact of the COVID-19 pandemic on young people in the Post-School Education and Training (PSET) Sector.

The study explored young people's experiences and perspectives on the social impact of COVID-19 on education and learning in South Africa.

The study was conducted by the HSRC and Higher Health, and targeted 13 119 students from universities, Technical Vocational Education and Training (TVET), and Community Education and Training (CET) colleges across the country. Study participants were between the ages of 18 and 35, with the majority being first-year students. The survey was conducted from 18 June 2020 to 18 September 2020 amid the first wave of COVID-19 in South Africa.

The study covered a wide range of themes and assessed access to accommodation, food security, quality of remote learning and impact on mental health, as well as substance use and exposure to violence during lockdown.

Key findings of the study included:

- » 40% of PSET students moved back home during lockdown
- » 41% of students were unable to purchase their own food during lockdown, of which 10% relied on food donations and 15% went hungry on some days
- » 42% of students thought they would be able to cope with their workload after lockdown, with older students being more confident than younger ones
- » More than 80% of students at universities and universities of technology received institutional support in the form of data bundles, data-free access to websites and online learning platforms
- » 38% of TVET college students reported that their institutions offered virtual learning
- » 50% of students reported difficulty communicating with their institutions during lockdown, with more difficulty reported among TVET students.

6.10.2 Launch of the City Spatialized Economic Data Reports

On 14 May 2021 the National Treasury Director-General, Mr Dondo Mogajane and the HSRC launched eight Metropolitan Municipality Spatialized Economic Data Reports based on the mining of anonymised tax data sources. This was a first for South Africa and aimed at filling a strategic gap to inform better and more integrated metro planning and performance analysis.

The importance of having spatialized data means that for the first time the country is able to understand and compare what is happening over time to formal firms and jobs within specific city spaces – the central business districts and smaller economic nodes, industrial parks and Special Economic Zones, townships and logistics hubs – and also where jobs are being created and where firms are locating at a city-wide level.

Previously, economic modelling and expensive business surveys were used to estimate these trends. Having this information available at a sub-metro level means that South Africa is now in a far stronger position to tackle the spatial transformation of its cities and address the persistent apartheid legacy of a mismatch between where people live and work.

Sub-metro economic data is integral to the work of policymakers, planners and practitioners within cities to enable better informed, data-driven decisions and policies to address spatial and structural inequalities within cities and boost economic growth. This may include identifying locations for low-income housing, evaluating transportation infrastructure investment, deciding on how to subsidise various modes of transport or identifying areas earmarked for commercial or industrial investment.

6.10.3 Financing sustainable urban development

On 29 September 2021 Prof. Ivan Turok was invited to deliver a keynote address to an international workshop in Pretoria. The workshop launched a consultative exercise on a new European/UN-Habitat programme to fund investment in infrastructure in African cities. South Africa has been selected along with Ghana, Senegal and Kenya to develop a framework to support sustainable urban development, funded by the European Investment Bank. Prof. Turok spoke about the challenge of low-income, low-investment urbanisation in Africa and the potential for investment in infrastructure to transform the trajectory into a more prosperous and inclusive direction.

This requires upgrading and consolidating existing urban areas as well as accommodating new greenfield development. It requires investment in 'soft' institutions – especially city governments – as well as 'hard' infrastructure. It also requires an integrated approach rather than piecemeal projects and siloed programmes. Other speakers were senior officials from National Treasury, the Department of Human Settlements, the Department of Cooperative Governance and Traditional Affairs (COGTA) and the governments of Ghana, Senegal and Kenya.

6.10.4 Webinar on the socioeconomic experiences of persons with disabilities during COVID-19 well received by the sector

On 13 October 2021 the HSRC, the Institute of Development Studies (UK) and the National Council of and for Persons with Disabilities (SA) engaged with survey participants and stakeholders in the civil society disability sector to report the findings of the research project – *Socio-economic wellbeing and human rights-related experiences of people with disabilities in COVID-19 times in South Africa*. The project is funded by the United Kingdom Research and Innovation (UKRI) Newton Fund Agile Response and included a final sample of 1 857 valid cases. Real-time transcription services and South African Sign Language interpreters were available during the event and the subsequent dialogue.

Critical areas of the initial presentation focused on challenges related to pandemic mitigation measures and included communication, food insecurity, financial consequences, and the desire for the vaccine. During the discussions, webinar participants felt that they continued to be overlooked and ignored.

This was a combined event for both civil society and government stakeholders with 231 civil society representatives and persons with disabilities in attendance, as well as 25 participants from various national, provincial and local government departments. A representative from the Southern African Development Community Parliament attended, as did representatives from Mauritius and other African national governments. Outcomes of the plenary deliberations included the following:

- » Agreement that the study results be used to lobby government for changes in terms of acknowledging the diversity of persons with disability and how they are providing for the specific needs of this group during the pandemic
- » Agreement for further engagements to strategize about closer working relationships between researchers, government and civil society disability sector organisations and individuals to overcome the existing barriers to collaboration

- » Agreement to further discuss other key areas of protecting disability and socio-economic rights during the pandemic and to guide steps towards disability inclusive recovery
- » Agreement to look at ways of involving those often excluded from surveys and representation due to residence in care centres, the homeless and those in rural areas.

6.10.5 Forum on 21 years of China-Africa Cooperation by the HSRC BRICS Research Centre and the Afro-Sino Centre of International Relations, Ghana



On 21 October 2021 the HSRC's BRICS Research Centre and the Afro-Sino Centre of International Relations, Ghana held a Forum on 21 years of China-Africa Cooperation (FOCAC). The forum, conducted virtually, was themed: Assessing Preparedness for win-win Sino-Africa Multilateral and Bilateral Collaborations. His Excellency Minister Counsellor Yu Yong, Embassy of the People's Republic of China in Pretoria, South Africa and Dr Jakkie Cilliers, Chair of the Board, Head African Futures and Innovation, Institute for Security Studies delivered the opening addresses at the forum.

Since its inaugural meeting in 2000, the FOCAC triennial summit has become a major event in global politics as it sets the tone for Sino-African relations.

The focus of this years' summit was the three priority areas of vaccine cooperation, economic recovery, and transformative development.

The panel of speakers included:

- » Prof. Siphamandla Zondi, Chair, South African BRICS Think Tank Council and University of Johannesburg, on the topic: The African agency in the convergence of emergence between Africa and China.
- » Ms Pamela Carslake, Executive Director, Afro-Sino Centre of International Relations, Ghana, on the topic: The necessity of an assessment of FOCAC: Africa's agency in securing a win-win collaboration.
- » Dr Robert Lisinge, Chief, Energy, Infrastructure and Services, United Nations Economic Commission for Africa, on the topic: China-Africa collaboration and its impact on the African Continental Free Trade Area Agreement (AfCFTA).

- » Prof. Mammo Muchie, Tshwane Institute of Technology, Chair, Rated Research Professor in Innovation Studies, on the topic: Putting Africa first: necessity of individual country's readiness in bilateral relations with China towards Agenda 2063 achievements.
- » Prof. Paul Tembe, Senior Research Fellow and Senior Lecturer, Department of Linguistics and Modern Languages, University of South Africa (UNISA), on the topic: Africa at the centre of China shaping the world in the 21st Century.
- » Prof. Tang Xiaoyang, Deputy Director, Carnegie-Tsinghua Center for Global Policy, Mingzhai 320, Tsinghua University, on the topic: Infrastructure construction and knowledge exchange: how can China and Africa improve the quality and sustainability of their cooperation?

6.10.6 Achieving climate change goals through BRICS cooperation

In a submission to the BRICS Academic Forum of 2021, Mr Krish Chetty of the HSRC outlined findings from the South African BRICS Energy Research Cluster, coordinated by the SA BRICS Think Tank. The paper discusses BRICS' long support for knowledge sharing to advance economic growth, particularly within the renewable energy sector – the BRICS having launched their Energy Research Cooperation Platform in 2018, limiting membership to leading experts, ministers and government officials. The paper argues for expanding this membership to include municipal officials and Renewable Energy Association representatives who

have crucial knowledge about the sector. In addition, the renewable energy sector comprises vulnerable emerging businesses keen to develop partnerships that would benefit from platform engagements. By accelerating partnership creation in the renewable energy sector, it is believed that the BRICS will accelerate their attainment of climate change targets and that such expansion will result in job creation and economic growth.



Watch the recording at: https://youtu.be/Tv_ZNxcjkIE?t=1178

Chetty, K. (2021) Achieving common climate change goals through BRICS cooperation. (Paper presented at the BRICS Seminar on Governance 2021: Building Consensus and Confidence for BRICS Cooperation with a Shared Future, 3 November). <http://hdl.handle.net/20.500.11910/19416>

Chetty, K. (2021) Green energy cooperation in BRICS. (Paper presented at the BRICS Academic Forum, 20 July). <http://hdl.handle.net/20.500.11910/19417>

6.11 COMMUNICATING SCIENCE AND PUBLIC ENGAGEMENT WITH SCIENCE

The HSRC enhanced its science communication and public engagement activities in a quest to improve research uptake and impact. In the period under review there was a concerted effort to focus on engagements that inform national and continental debates on pressing societal challenges. A series of seminars and workshops was organised to facilitate the visibility of HSRC research in national and international discourses and debates.

6.11.1 Seminars and workshops

HSRC seminars continued to take place and draw active participants from academia, public service, the general public and the media. Whereas face-to-face seminars had previously allowed for virtual participation thanks to the HSRC videoconference facilities and a video link, all seminars hosted during the period under

review took place virtually, in the form of webinars with interaction enabled via meeting applications such as Zoom. This important platform for engagement offered by the HSRC remains accessible after the events, with video recordings of webinars and other HSRC interviews available on the HSRC YouTube page.



Watch the recordings at: <https://www.youtube.com/user/HumanSciencesRCSA/videos>

In the year under review, **39** seminars were held.



Events held during the period under review were as follows:



15 April 2021
'Cities in a post-COVID world'

20 April 2021
Disaggregating BRICS SOEs Governance and Developmental Growth

3 June 2021
Archie Mafeje Memorial Lecture to unpack positionality of Africans on science and innovation

23 June 2021
The impact of innovation on productivity in South African manufacturing and services businesses

24 June 2021
Addressing the Marginalization of Refugees, Asylum Seekers and Foreign Workers in South Africa

24 June 2021
Youth Dialogue: 4IR and Youth Unemployment: harnessing the 4th Industrial Revolution to COVID-19 game-changers

28 June 2021
2021 – Year of the Arts, Culture and Heritage: Levers for Building the Africa We Want

4 August 2021
The new macroeconomic policy paradigm: what does it mean for South Africa?

The objective of the dialogue was to argue for the need to come to terms with more fundamental macroeconomic constraints. In part, these objective features are typical of nations on the semi-periphery of global production and the international monetary hierarchy.

12 August 2021
'It is okay not to be okay' – Mental health issues and coping skills among the youth amidst the COVID-19 pandemic

19 August 2021
Civil society sector regulatory frameworks

30 August 2021
The contributions of Kenneth Kaunda in higher education, science and technology and commitment to the liberation struggle

14 May 2021
City Spatialised Economic Data Launch

26 May 2021
Virtual Poetry Webinars: Intersections of silence and (in) visibility – a conversation in three parts

28 May 2021
Global Narratives of Artificial Intelligence Sub-Saharan Africa – Afro-/African Futurisms

7 July 2021
The BRICS bank finance-development in the post COVID-19 era for the global south

21 July 2021
Launch of the national roll out of the Municipal Innovation Maturity Index

26 July 2021
The pasts and futures of the African university

The aim of the seminar was to understand the impact of university education on mostly first-generation graduates – both their career trajectories and their contributions to family, community, and society.

8 September 2021
Exploring literacy in the South African schooling and higher education contexts

28 September 2021 – 1 October 2021
International literacy



1 October 2021

Virtual emerging and early career African scholars Research Training Academy

12 October 2021

Diversity and gender equity in health R&D

13–15 October 2021

Transformative innovation policy: perspectives from South Africa

This colloquium aimed to broaden and deepen the Transformative Innovation Policy Community of Practice in South Africa and identify a common language to use and implement Transformative Innovation Policy. In preparation for the colloquium, resources and reflective questions were circulated, complemented by short consultative meetings. As a result, the colloquium successfully deepened the community of practice by creating a space for co-creation and learning. This provided a foundation to widen the community of practice to more policymakers working on sustainable and inclusive development across government departments and levels.

13 October 2021

Socio-economic wellbeing and human right-related experiences of people with disabilities in COVID-19 times in South Africa

15 October 2021

Requirements for transforming the Civil Society Sector in SA

18 October 2021

A macroeconomic framework for South Africa's developmental state: financialisation, value chains and economic transformation

20 October 2021

#BigQuestionsForUBig: Can we afford it?

21 October 2021

Forum on China-Africa Cooperation (FOCAC) at 21 years: Assessing preparedness for a win-win Sino-Africa multilateral and bilateral collaborations

1 December 2022

HSRC to present the findings of the South African National COVID-19 Antibody Survey (NCAS)

1 December 2022

#BigQuestionsForUBig: How do we get there?

10 March 2022

COVID-19 vaccination acceptance intentions and other related factors in South Africa: unpacking beyond the dichotomy of "vaccine hesitancy" discourse

17 March 2022

COVID-19 vaccination acceptance intentions and other related factors in South Africa: unpacking beyond the dichotomy of "vaccine hesitancy" discourse

23 March 2022

Renewable energy promotion in BRICS cities: generating opportunities for economic development

28 March 2022

School segregation in post-apartheid South Africa

3 November 2021

#BigQuestionsForUBig: Why does design matter?

17 November 2021

#BigQuestionsForUBig: What would be the impact?

24 November 2021

Strengthening innovation measurement practice in firm-level surveys: new methodological imperatives

24 November 2021

Malaria vaccine: insight, developments and implications

30 November 2021

The state of democracy in South Africa

8 February 2022

Boosting international trade in services? South Africa's export potential in digital services and transport/logistics



Image: V. Shaw/TIPC




More information on seminars, dialogues and events can be found on the HSRC website: <http://www.hsrc.ac.za/en/events>

6.11.2 Policy Action Network


The Policy Action Network (PAN) works with policy actors from various sectors to enhance the effectiveness and legitimacy of decision-making through technology. In 2021/22, PAN continued its collaboration with partners around evidence synthesis and policy maker support. This included finalising a Health Systems Evidence Map with DPME, implementing a short course for policy makers from Africa and Asia on artificial intelligence (AI) with GIZ, and launching an African Observatory on Responsible AI with Research ICT Africa and the IDRC. In addition, PAN promotes the use of data for more accountable and effective public interest decision-making, such as by running data journalism training sessions for community media houses with SAASTA and collaborating on hackathons and workshops under the Open Government Partnership.



 More information is available on the PAN website: <https://policyaction.org.za/>

HSRC seminar audiograms

HSRC seminar audiograms are being piloted on PAN's Twitter under #PANHSRCPodcasts and LinkedIn under #PANHSRCPodcasts.

 Find all the HSRC podcasts at: <https://anchor.fm/hsrc>

6.11.3 HSRC Review

In 2021/22, two editions of the HSRC's quarterly *HSRC Review* magazine focused on specific divisions or projects and the other two represented a broader selection of work from all divisions and centres.

Volume 19 – No. 2 of the *HSRC Review*, June 2021, featured a selection of articles on the results of South Africa's 2019 Trends in International Mathematics and Science Study (TIMSS 2019). Starting with an article on the history of TIMSS in South Africa, the edition provides a snapshot of the education system's performance in mathematics and science. It covers several factors that have influenced achievement in this survey, which is conducted every four years. The articles examined factors such as gender differences, language, school leadership, classroom practice, learners self-efficacy, homework, home environment and school climate.

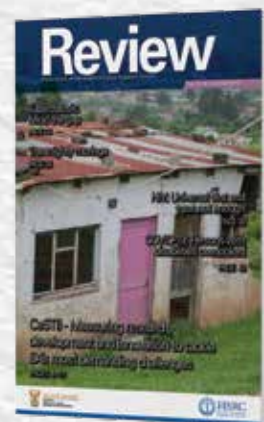


Volume 19 – No. 3 of the *HSRC Review*, September 2021, looked at the dangers associated with the 'publication race', as well as several other issues affecting researchers and the research process during the COVID-19 pandemic. An article on questionable and predatory journals looks at what happens when the publication process becomes compromised by the pressure to publish, allowing poor-quality research to enter the public sphere. Former HSRC CEO Prof. Crain Soudien describes the important role of social scientists in the COVID-19 response. A team of HSRC researchers report back on a literature review to examine the effectiveness of South Africa's COVID-19 disaster risk reduction actions, noting that the pandemic became a heavy burden in contexts of poverty, weak infrastructure, and limited access to health and other services. Another article examines issues related to conducting health research remotely during epidemics and crises. The authors discuss the strengths and limitations of methods such as telephone interviews. A team of researchers also reports back on an HSRC initiative to provide 1 000 unemployed graduates with training and experiential learning to improve their marketability in the labour environment.



Volume 19 – No. 4

of the *HSRC Review*, December 2021, focused on the work of the Centre for Science, Technology and Innovation Indicators (CeSTII), profiling CeSTII projects and expertise. Articles examined how STI measurement and the development of new indicators can provide evidence for innovation aimed at some of the country's most demanding challenges. Other articles looked at the importance of research and development (R&D) investment in the manufacturing sector and the efforts of three state-owned enterprises to gear up research, development and innovation. Based on a 2017/2018 baseline survey, researchers also described innovation in the informal sector in Sweetwaters, KwaZulu-Natal. Commemorating World AIDS Day on 1 December, the *Review* also featured two articles on HIV/AIDS and tuberculosis, conditions overshadowed by the COVID-19 pandemic but still counting among South Africa's most serious health challenges. Andrea Teagle wrote about an HSRC paper on the feasibility of the universal test-and-treat approach to manage the HIV epidemic. She also spoke to the HSRC's Dr Sizulu Moyo about the results of South Africa's first national tuberculosis survey, which was commissioned by the Department of Health.



Volume 20 – No. 1

of the *HSRC Review*, March 2022, features an article on the launch of fieldwork for the 6th South African HIV Behavioural, Sero-status and Media survey (SABSSM), which has been tracking HIV in the country for two decades. Qinisile Dlamini, a senior research data curator at the HSRC, also spoke to the *HSRC Review* about the importance of sharing data sets from such longitudinal studies in support of open science. Dr Ben Roberts, coordinator of the HSRC's South African Social Attitudes Survey (SASAS), spoke to the *HSRC Review* about the meaning of the latest SASAS trends for the state of South Africa. Several articles in this edition focus directly or indirectly on the plight of the most vulnerable in society, especially children. Just over a third of children in South Africa live with their biological father. However, the State of South Africa's Fathers 2021 report, a first-of-its-kind



survey on fatherhood, paints a much more nuanced picture than simply a nation of absent fathers, writes Andrea Teagle. She also spoke to Prof Charles Hongoro about a recent study investigating health inequalities in India and South Africa. The researchers found that in India, children in rural areas were more likely to be food insecure, while the opposite was true in South Africa. We cover an HSRC policy forum, where the findings of the HSRC's first survey on innovation in agriculture catalysed rich debate among actors from universities, farming councils and government departments. We also report on the first two HSRC debates on a universal basic income guarantee and Dr Vuyo Mjimba talks to Andrea Teagle about the African Continental Free Trade Area agreement, which aims to eliminate import tariffs on 97% of the goods and services traded between African countries. Dr Mario Clayford writes about the findings of the HSRC's annual survey on R&D indicators and Dr Adam Cooper reports on a special edition of the *Journal of Education*, which looked at how the COVID-19 pandemic and other crises have influenced education systems and choices in the context of existing inequalities in the Global South.



Copies of previous HSRC Reviews can be found here:

https://hsrcacza-my.sharepoint.com/:f:/g/personal/hsrcwebsite_hsrc_ac_za/EjCBvDszrdxOvjG3lrBQAMBRjpReY1nKeFBXZx52C7IQ?e=QSH930

6.12 RESEARCH OUTPUTS

6.12.1 Research outputs produced in 2021/22

In the year under review, 496 research outputs were produced and curated. Figure 3 indicates the distribution of all research outputs per type, including those contributing to the applicable LeaPPT+S performance indicators, as well as other non-contributing outputs.

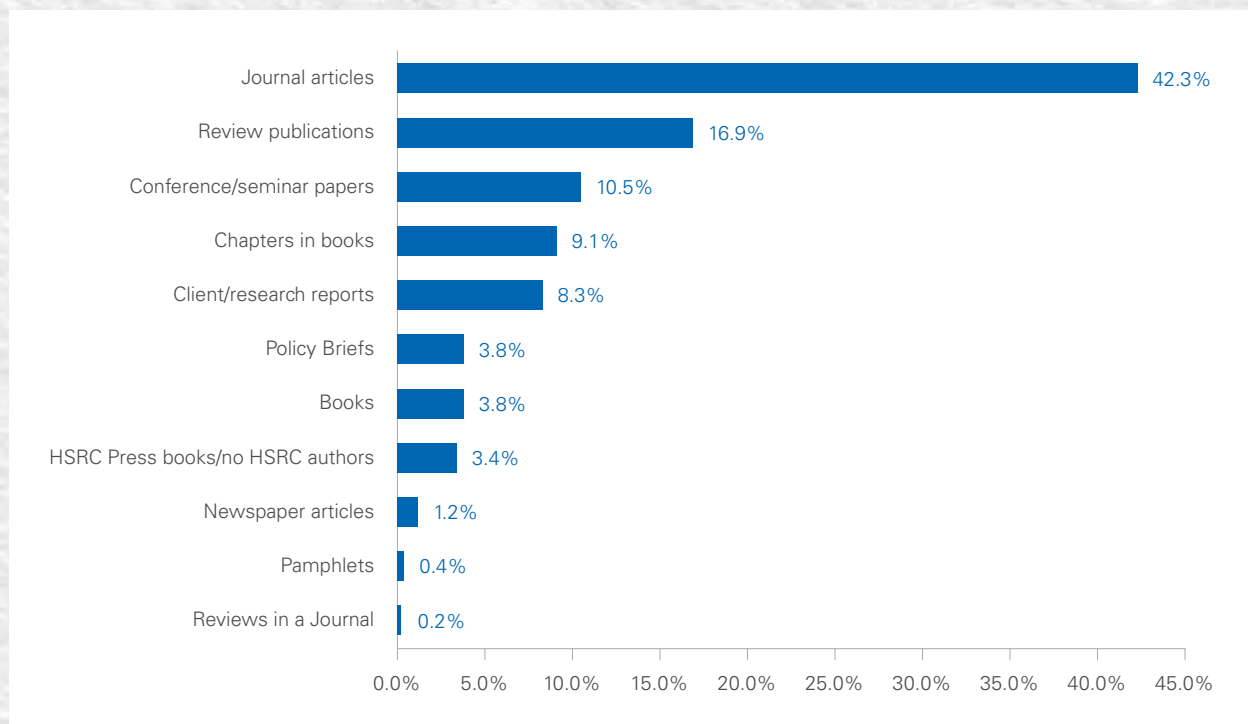


Figure 3: Percentage of produced and curated research outputs per type

Figure 4 indicates the contribution towards LeaPPT+S per research output type. Most (42.3%) of the research outputs produced in 2021/22 were journal articles, of which 47% were accredited by the Department of Higher Education and Training (DHET) or peer-reviewed, and 15% were non peer-reviewed.

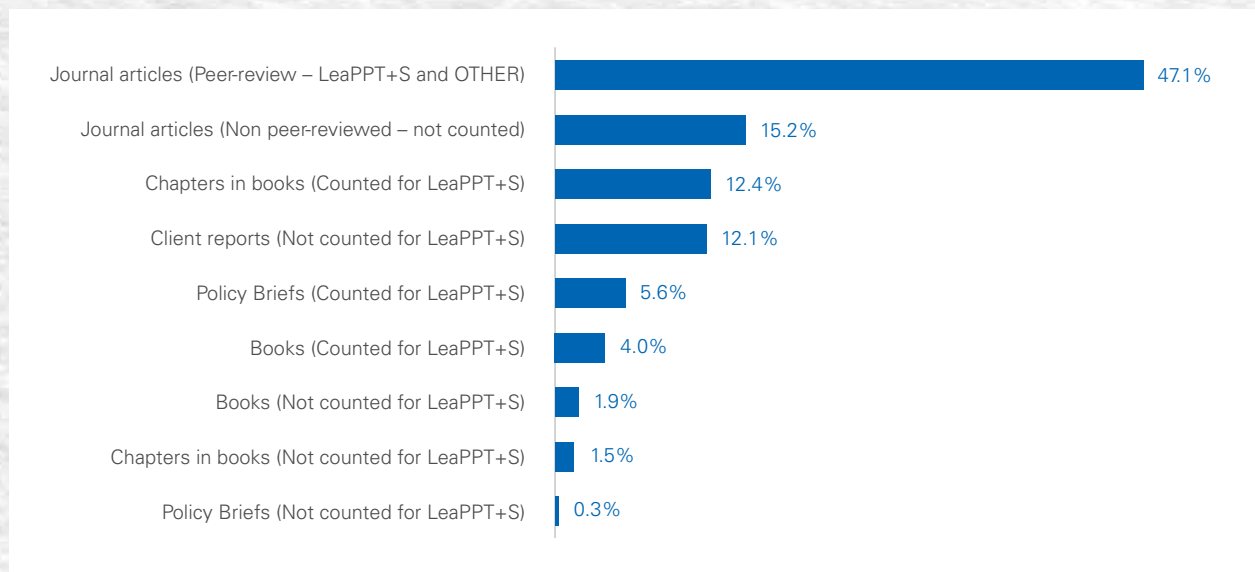


Figure 4: Percentage of research outputs per type with contribution towards LeaPPT+S indicated

Figure 5 represents the geographical spread of the 796 requests for HSRC research outputs that were delivered during the year under review. Requests for research outputs mostly originated from South Africa (92.2%), with a lower number of requests coming from individuals from other countries, such as the United Kingdom (2.3%) and Australia (1.1%).



Figure 5: HSRC research outputs delivered per country

Most of the individuals who enquired about research outputs hailed from higher education institutions (39.9%), government institutions (15.7%) or requested the outputs in their private capacity (32%). HSRC staff contributed to 7.1% of the total requests, while the majority of the requests were received from non-HSRC individuals (92.9%). Table 6 provides an overview of the research outputs requests per country and organisation affiliation.

Table 6: Requests delivered for HSRC research outputs per country and organisation affiliation

Country	Organisation Affiliation	Number of Requests	Percentage of Requests
Australia	Universities/colleges	9	1.1
Bangladesh	Universities/colleges	1	0.1
Brazil	Research institution	1	0.1
Brazil	Universities/colleges	3	0.4
Canada	Government	1	0.1
France	Private	1	0.1
France	Universities/colleges	1	0.1
Germany	Research institution	2	0.3
Germany	Universities/colleges	1	0.1
India	Universities/colleges	7	0.9
Ireland	Universities/colleges	1	0.1
Namibia	Research institution	1	0.1
Nigeria	Universities/colleges	1	0.1
Palestine	Universities/colleges	1	0.1
Poland	Universities/colleges	1	0.1
South Africa	Donor organisations	1	0.1
South Africa	Government	125	15.7
South Africa	HSRC	58	7.3
South Africa	NGO	3	0.4
South Africa	Private	249	31.3
South Africa	Research institution	33	4.1
South Africa	Universities/colleges	265	33.3
Sweden	Universities/colleges	2	0.3
Switzerland	Research institution	1	0.1
Switzerland	Universities/colleges	1	0.1
United Kingdom	Private	2	0.3
United Kingdom	Research institution	1	0.1
United Kingdom	Universities/colleges	15	1.9
United States of America	Private	1	0.1
United States of America	Universities/colleges	6	0.8
Vietnam	Research institution	1	0.1
Total		796	100

6.12.2 Academic impact of HSRC research for 2021/22

By conducting a citation analysis through credible databases, it is possible to determine the citation count of published journal articles authored by HSRC staff. The process entails the identification of all accredited journal articles produced by the HSRC that have had a citation count of ten or more in the five years before the current financial year-end. For purposes of this reporting period, citation counts of articles published in the five years 2016/17–2020/21 were investigated.

Scopus, an abstract and citation analysis tool, was used to track citations for the 855 accredited journal articles retrieved from the Research Management System (RMS) and the citation counts extracted. Figure 7 reflects the citation counts achieved during the past five years.

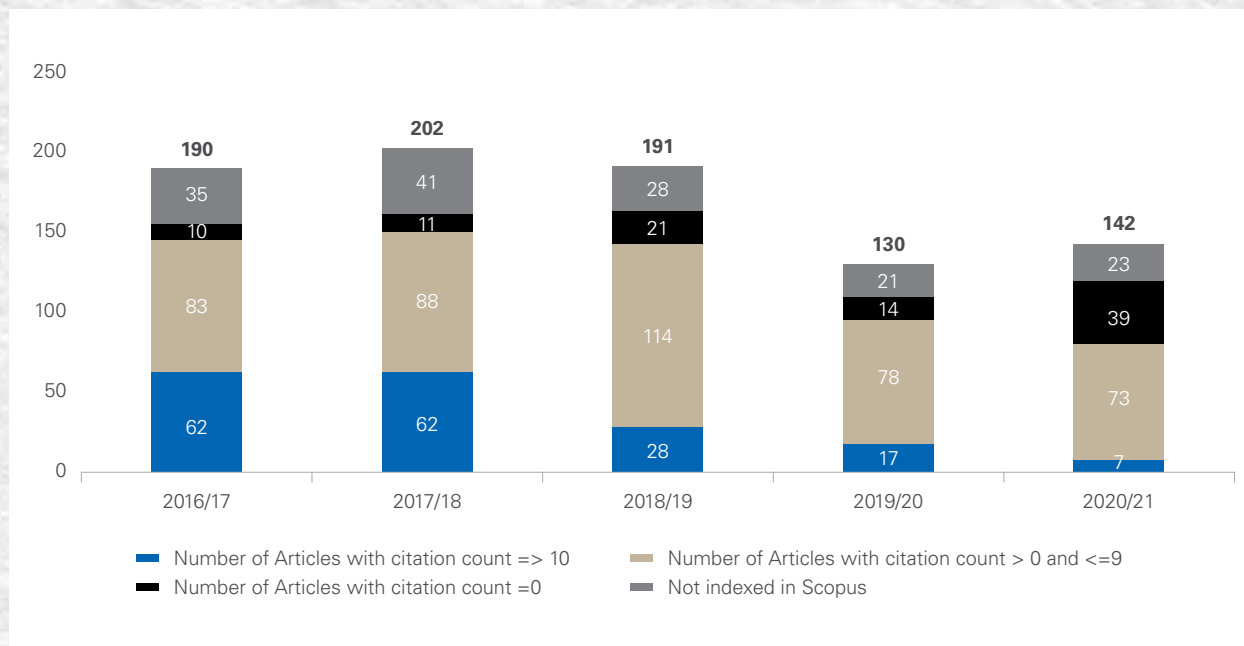


Figure 7: Number of articles with citation count levels for 2016/17–2020/21

The analysis indicated that 176 of the 855 articles (20.58%) had a citation count of 10 or more, measured over the five years. The 2021/22 LeaPTT+S target was 160 journal articles with a citation count of 10 or more. The achievement for 2021/22 was therefore 10% above the annual target of 16 journal articles. Table 8 indicates the citation counts per year.

Table 8: Number of articles with citation count levels for the past five years

Years	Number of Articles with Citation Count => 10	Number of Articles with Citation Count > 0 and <=9	Number of Articles with Citation Count =0	Not Indexed in Scopus	Total Number of Articles
2016/17	62	83	10	35	190
2017/18	62	88	11	41	202
2018/19	28	114	21	28	191
2019/20	17	78	14	21	130
2020/21	7	73	39	23	142
Total	176	436	95	148	855

The citation levels achieved and the fact that the performance target was exceeded reflect the level of the HSRC's impact within the Humanities and Social Science arena. It also indicates areas for improvement and growth. It should, however, be noted that a high citation count can be relative because it can be influenced by various factors such as a topical issue at hand. The period of publication also has bearing, meaning that to some extent, the longer the article has been available, the higher the chances are of it being cited. Citation levels are also related to the number of articles published and the specific journals in which articles were published. Table 9 lists the journals in which HSRC researchers published during the past five years.

Table 9: Journals in which HSRC researchers published six or more articles during the past five years

Journal Name	Number of Articles Published
Journal of Psychology in Africa	26
International Journal of Environmental Research and Public Health	22
BMC Public Health	20
Development Southern Africa	20
PLoS One	19
AIDS and Behavior	16
South African Medical Journal	15
Gender and Behaviour	13
Africa Insight	12
The Lancet	12
Agenda: Empowering Women for Gender Equity	10
AIDS Care	10
Politikon	10
Journal of the International AIDS Society	9
Sahara J: Journal of Social Aspects of HIV/AIDS	8
South African Journal of Science	8
African Journal for Physical Activity and Health Sciences (AJPHEs)	7
South African Journal of Education	7
BMC Health Services Research	6
Journal of International Women's Studies	6
Local Economy	6
Social Indicators Research	6
South African Journal of Psychiatry	6
South African Journal of Psychology	6

Figure 8 lists the journals in which HSRC researchers published articles which attracted more than 100 citations during the five-year period.

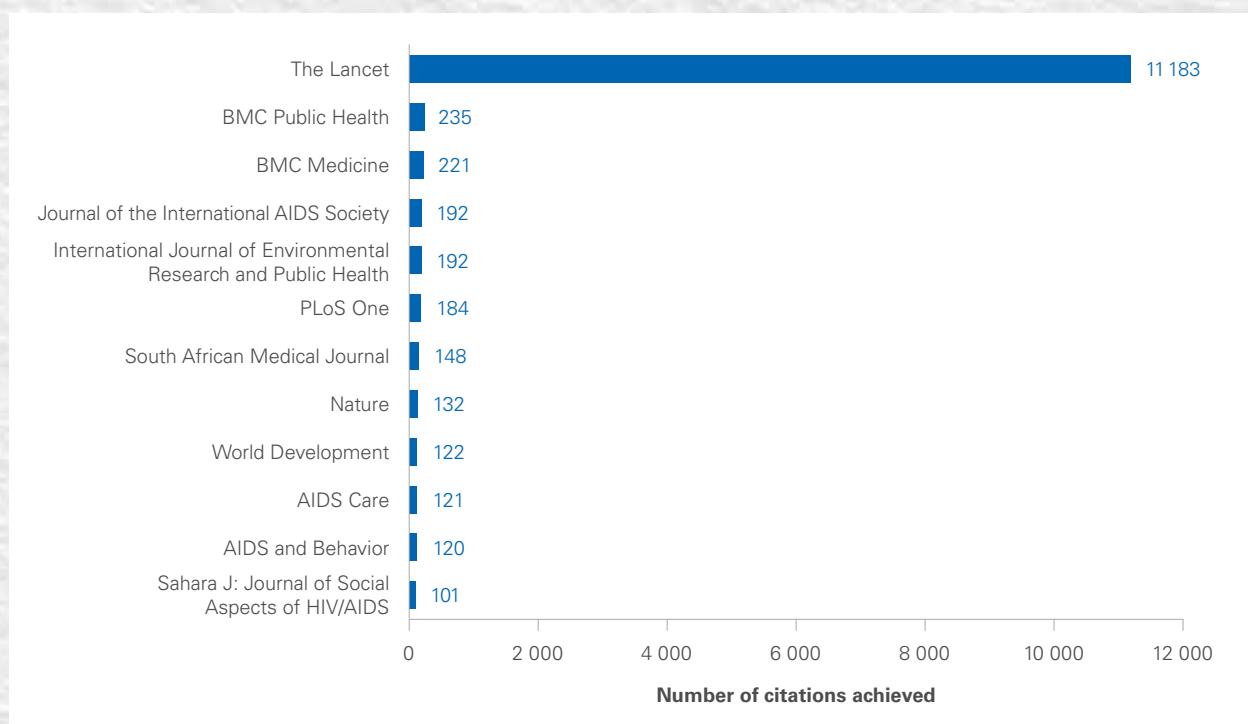


Figure 8: Journals in which HSRC researchers published articles which attracted more than 100 citations

Table 10 lists the number of citations that journal articles, authored by HSRC researchers, attracted during the five-year period per journal. All journals are listed, including those with less than a 100 citations.

Table 10: List of journals with the highest citation count (>=50) related to the articles authored by HSRC researchers during the five-year period

Journal Name	Number of Citations
The Lancet	11 183
BMC Public Health	235
BMC Medicine	221
International Journal of Environmental Research and Public Health	192
Journal of the International AIDS Society	192
PLoS One	184
South African Medical Journal	148
Nature	132
World Development	122
AIDS Care	121
AIDS and Behavior	120
Sahara J: Journal of Social Aspects of HIV/AIDS	101
Journal of Psychology in Africa	95
International Journal of Nursing Practice	83
Public Health	69
Forest Policy and Economics	67
The Lancet Diabetes & Endocrinology	66
Current HIV/AIDS Reports	65
International Journal for Equity in Health	65
Asian Journal of Psychiatry	60
Culture, Health & Sexuality	59
Economics	57
South African Journal of Psychiatry	57
BMJ Global Health	56
Regional Studies	56
Progress in Planning	52
BMC Pregnancy and Childbirth	50
South African Journal of Education	50

Table 11 provides an overview of the journal articles with the highest citation scores during the previous five years.

Table 11: Journal articles with the highest citations during the previous five years

	Bibliographic title	Number of Citations
FINANCIAL INFORMATION	Oladimeji, O. & GBD 2016 Collaborators. (2017) Global, regional, and national incidence, prevalence, and years lived with disability for 328 diseases and injuries for 195 countries, 1990-2016: a systematic analysis for the Global Burden of Disease Study 2016. <i>The Lancet</i> . 390:1211-1259. http://hdl.handle.net/20.500.11910/12049	3 313
	Oladimeji, O. & GBD 2015 Risk Factors Collaborators. (2016) Global, regional, and national comparative risk assessment of 79 behavioural, environmental and occupational, and metabolic risks or clusters of risks, 1990-2015: a systemic analysis for the Global Burden of Disease Study 2015. <i>The Lancet</i> . 388:1659-1724. http://hdl.handle.net/20.500.11910/10649	2 431
	Oladimeji, O & GBD 2016 Risk Factor Collaborators. (2017) Global, regional, and national comparative risk assessment of 84 behavioural, environmental and occupational, and metabolic risks or clusters of risks, 1990-2016: a systemic analysis for the Global Burden of Disease Study 2016. <i>The Lancet</i> . 390:1345-422. http://hdl.handle.net/20.500.11910/12044	1 397
HUMAN RESOURCE MANAGEMENT	Oladimeji, O. & DALYs and GBD 2015 Collaborators. (2016) Global, regional, and national disability-adjusted life-years (DALYs) for 315 diseases and injuries and Healthy Life Expectancy (HALE), 1990-2015: a systemic analysis for the Global Burden of Disease Study 2015. <i>The Lancet</i> . 388:1603-1658. http://hdl.handle.net/20.500.11910/10646	1 271
	Oladimeji, O & GBD 2016 DALYs and HALE Collaborators. (2017) Global, regional, and national disability-adjusted life-years (DALYs) for 333 diseases and injuries and healthy life expectancy (HALE) for 195 countries and territories, 1990-2016: a systematic analysis for the Global Burden of Disease Study 2016. <i>The Lancet</i> . 390:1260-1344. http://hdl.handle.net/20.500.11910/12048	1 132
	Oladimeji, O. & GBD 2016 Mortality Collaborators. (2017) Global, regional, and national under-5 mortality, adult mortality, age-specific mortality, and life expectancy, 1970-2016: a systematic analysis for the Global Burden of Disease Study 2016. <i>The Lancet</i> . 390:1084-1150. http://hdl.handle.net/20.500.11910/12052	414
	Oladimeji, O. & GBD 2016 Healthcare Access and Quality Collaborators. (2018) Measuring performance on the healthcare access and quality index for 195 countries and territories and selected subnational locations: a systematic analysis from the Global Burden of Disease Study 2016. <i>The Lancet</i> . 391:2236-2371. http://hdl.handle.net/20.500.11910/12430	374
GOVERNANCE	Oladimeji, O. & Healthcare Access and GBD 2015 Quality Collaborators. (2017) Healthcare access and quality index based on mortality from causes amenable to personal health care in 195 countries and territories, 1990-2015: a novel analysis from the Global Burden of Disease Study 2015. <i>The Lancet</i> . 390:231-266. http://hdl.handle.net/20.500.11910/11052	321
	Oladimeji, O. & GBD 2015 SDG Collaborators. (2016) Measuring the health-related sustainable development goals in 188 countries: a baseline analysis from the Global Burden of Disease Study 2015. <i>The Lancet</i> . 388:1813-1850. http://hdl.handle.net/20.500.11910/10541	296
	Stangl, A.L., Earnshaw, V., Logie, C.H., van Brakel, W., Simbayi, L.C., Barre, I. & Dovidio, J.F. (2019) The Health Stigma and Discrimination Framework: a global, crosscutting framework to inform research, intervention development, and policy on health-related stigmas. <i>BMC Medicine</i> . 17:Online. http://hdl.handle.net/20.500.11910/15305	221
	Oladimeji, O. & GBD 2016, SDG Collaborators. (2017) Measuring progress and projecting attainment on the basis of past trends of the health-related sustainable development goals in 188 countries: an analysis from the Global Burden of Disease Study 2016. <i>The Lancet</i> . 390:1423-1459. http://hdl.handle.net/20.500.11910/12051	179
PERFORMANCE INFORMATION	Dwyer-Lindgren, L., Cork, M.A., Sligar, A., Streubien, K.M., Wilson, K.F., Provost, N.R., Mayala, B.K., VanderHeide, J.D., Collison, M.L., Hall, J.B., Biehl, M.H., Carter, A., Frank, T., Douwes-Schultz, D., Burnstein, R., Casey, D.C., Deshpande, A., Earl, L., Bcheraoui, C.E., Farag, T.H., Henry, N.J., Kinyoki, D., Marczak, L.B., Nixon, M.R., Osgood-Zimmerman, A., Pigott, D., Reiner, R.C., Ross, J.M., Schaeffer, L.E., Smith, D.L., Weaver, N.D., Wiens, K.E., Eaton, J.W., Justman, J.E., Opio, A., Sartorius, B., Tanser, F., Wabiri, N., Piot, P., Murray, C.J.L. & Hay, S.I. (2019) Mapping HIV prevalence in sub-Saharan Africa between 2000 and 2017. <i>Nature</i> . May:Online. http://hdl.handle.net/20.500.11910/14005	132
	Lund, J.F., Sungusia, E., Mabele, M.B. & Scheba, A. (2016) Promising change, delivering continuity: REDD+ as conservation fad. <i>World Development</i> . August:Online. http://hdl.handle.net/20.500.11910/10050	122
	Khamisa, N., Peltzer, K., Ilic, D. & Oldenburg, B. (2016) Work related stress, burnout, job satisfaction and general health of nurses: a follow-up study. <i>International Journal of Nursing Practice</i> . 22:538-545. http://hdl.handle.net/20.500.11910/9933	83
	Scheba, A. & Mustalahti, I. (2015) Rethinking expert knowledge in community forest management in Tanzania. <i>Forest Policy and Economics</i> . 60:7-18. http://hdl.handle.net/20.500.11910/9922	67
GENERAL INFORMATION	Manne-Goehler, J., Atun, R., Stokes, A., Goehler, A., Houinato, D., Houehanou, C., Hambou, M.M.S., Mbenza, B.L., Sobngwi, E., Balde, N., Mwangi, J.K., Gathecha, G., Ngugi, P.W., Wesseh, C.S., Damasceno, A., Lunet, N., Bovet, P., Labadarios, D., Zuma, K., Mayige, M., Kagaruki, G., Ramaiya, K., Agoudavi, K., Guwatudde, D., Bahendeka, S.K., Mutungi, G., Geldsetzer, P., Levitt, N.S., Salomon, J.A., Yudkin, J.S., Vollmer, S. & Barnighausen, T. (2016) Diabetes diagnosis and care in sub-Saharan Africa: pooled analysis of individual data from 12 countries. <i>The Lancet Diabetes & Endocrinology</i> . October:Online. http://hdl.handle.net/20.500.11910/10279	66
	Nachega, J.B., Adetokunboh, O., Uthman, O.A., Knowlton, A.W., Altice, F.L., Schechter, M., Galarraga, O., Geng, E., Peltzer, K., Chang, L.W., Van Cutsem, G., Jaffar, S.S., Ford, N., Mellins, C.A., Remien, R.H. & Mills, E.J. (2016) Community-based interventions to improve and sustain antiretroviral therapy adherence, retention in HIV care and clinical outcomes in low- and middle-income countries for achieving the UNAIDS 90-90-90 targets. <i>Current HIV/AIDS Reports</i> . 13:241-255. http://hdl.handle.net/20.500.11910/9965	65

Bibliographic title	Number of Citations
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. <i>BMJ Global Health</i> . May:Online. http://hdl.handle.net/20.500.11910/11089	56
Choko, A.T., Kumwenda, M.K., Johnson, C.C., Sakala, D.W., Chikalipo, M.C., Fielding, K., Chikovore, J., Desmond, N. & Corbett, E.L. (2017) Acceptability of women-delivered HIV self-testing to the male partner, and additional interventions: a qualitative study of antenatal care participants in Malawi. <i>Journal of the International AIDS Society</i> . 20:Online. http://hdl.handle.net/20.500.11910/11754	54
Torres, N.F., Middleton, L.E., Solomon, V.P., Chibi, B. & Mashamba-Thompson, T.P. (2019) Evidence of factors influencing self-medication with antibiotics in low and middle-income countries: a systematic scoping review. <i>Public Health</i> . 168:92-101. http://hdl.handle.net/20.500.11910/13421	54
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. <i>South African Medical Journal</i> . 107(4):307-314. http://hdl.handle.net/20.500.11910/10923	53
Jonas, K., Crutzen, R., Van den Borne, B., Sewpaul, R. & Reddy, P. (2016) Teenage pregnancy rates and associations with other health risk behaviours: a three-wave cross-sectional study among South African school-going adolescents. <i>Reproductive Health</i> . 13:Online. http://hdl.handle.net/20.500.11910/9713 http://hdl.handle.net/20.500.11910/9713	49
Chikovore, J., Gillespie, N., McGrath, N., Orne-Gliemann, J. & Zuma, T. (2016) Men, masculinity, and engagement with treatment as prevention in KwaZulu-Natal, South Africa. <i>AIDS Care</i> . 28(S3):74-82. http://hdl.handle.net/20.500.11910/10052	48
Khamisa, N., Peltzer, K., Ilic, D. & Oldenburg, B. (2017) Effect of personal and work stress on burnout, job satisfaction and general health of hospital nurses in South Africa. <i>Health SA Gesondheid</i> . 22:252-258. http://hdl.handle.net/20.500.11910/11038	48
Peltzer, K. & Pengpid, S. (2018) The prevalence and social determinants of hypertension among adults in Indonesia: a cross-sectional population-based national survey. <i>International Journal of Hypertension</i> . August:Online. http://hdl.handle.net/20.500.11910/12497 http://hdl.handle.net/20.500.11910/12497	48

6.12.3 Data availability and use

Curated data sets can be accessed at <http://datacuration.hsrc.ac.za/>. Six new data sets were released in 2021/22. These are listed in Part F.

In 2021/22, 114 users downloaded 574 data sets. Data users hailed mostly from South Africa (56.8%), but nearly the same number (43.1%) from other countries (Figure 9). Most of the data users from international institutions were from the USA (14.7%) and the United Kingdom (6.3%). Only 6.6% of data users were HSRC staff members compared to 93.4% who were external individuals.

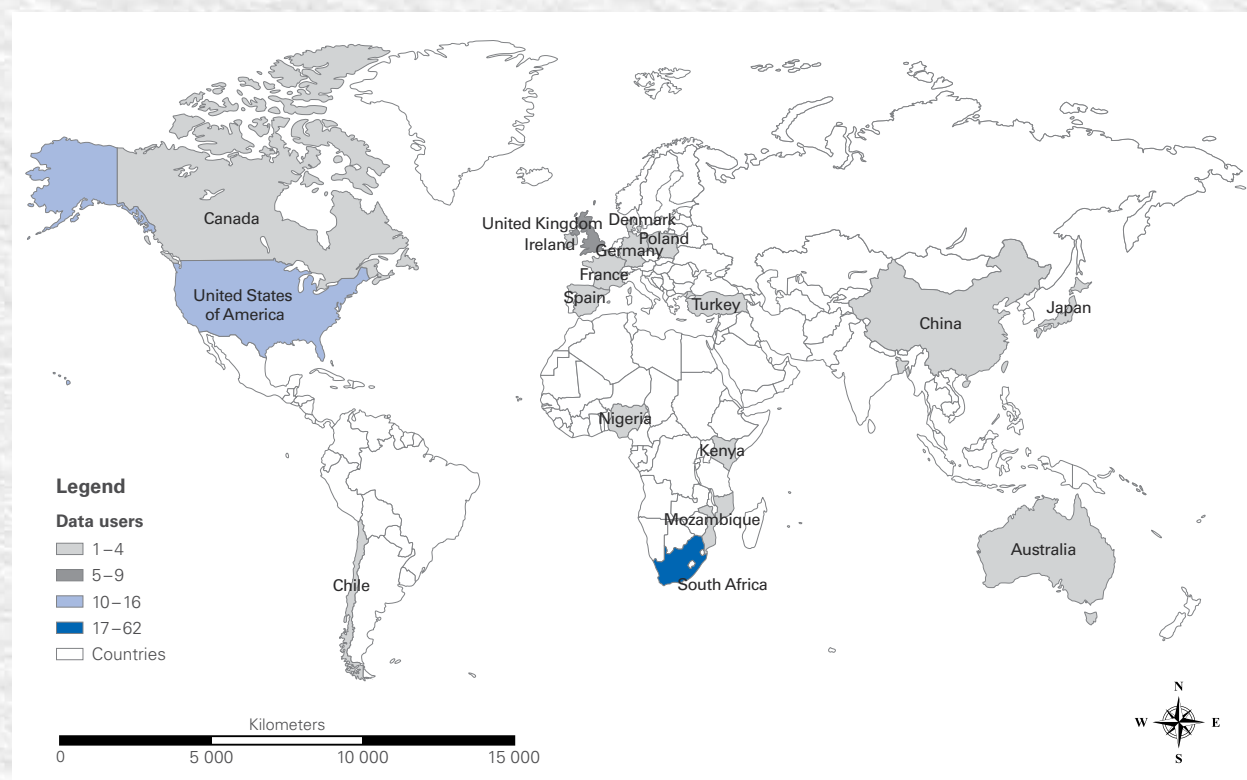


Figure 9: Geographical location of data users

The data sets were mainly used by higher education institutions (77.5%) and science councils/research institutes (12.6.7%) as per Figure 10.

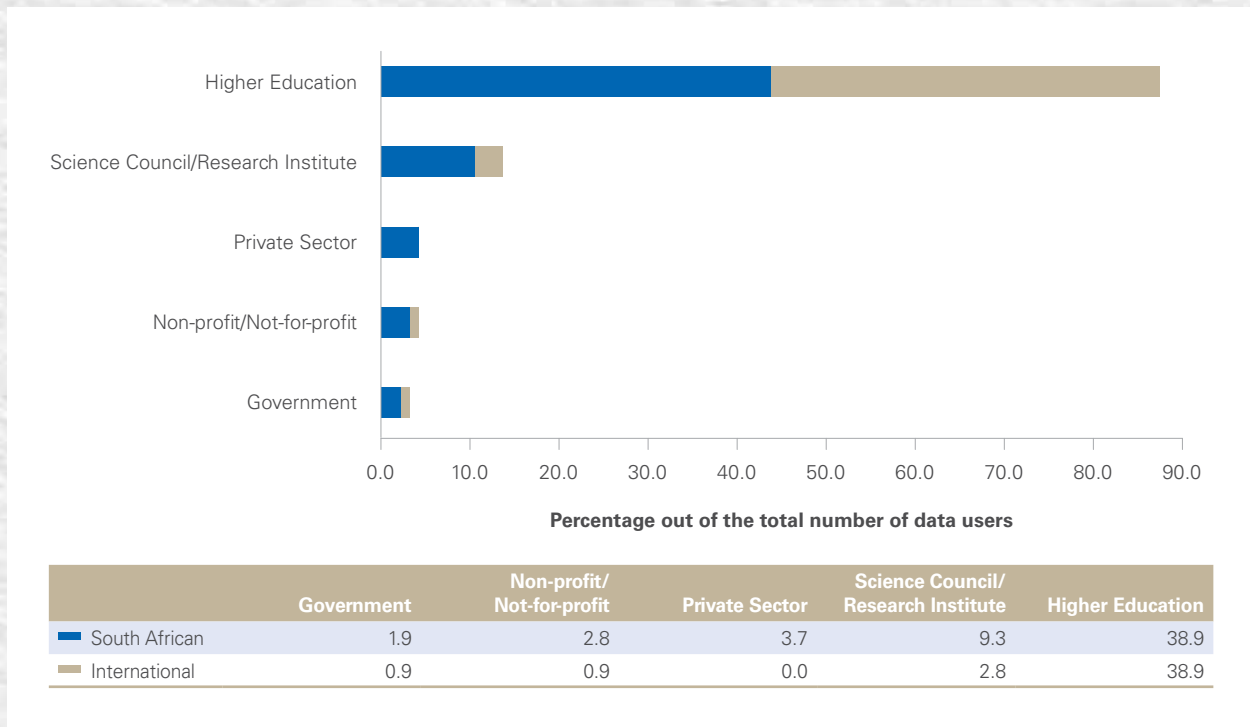


Figure 10: Organisational affiliation of data users per geographical location

The intended use is registered per project for each data user. During the review period, 122 requests relating to the downloaded data were received. Figure 11 provides an overview of the reasons for requesting access to data. The data sets were mostly used for research projects (68.9%) and for theses/dissertations/assignments (13.9%).

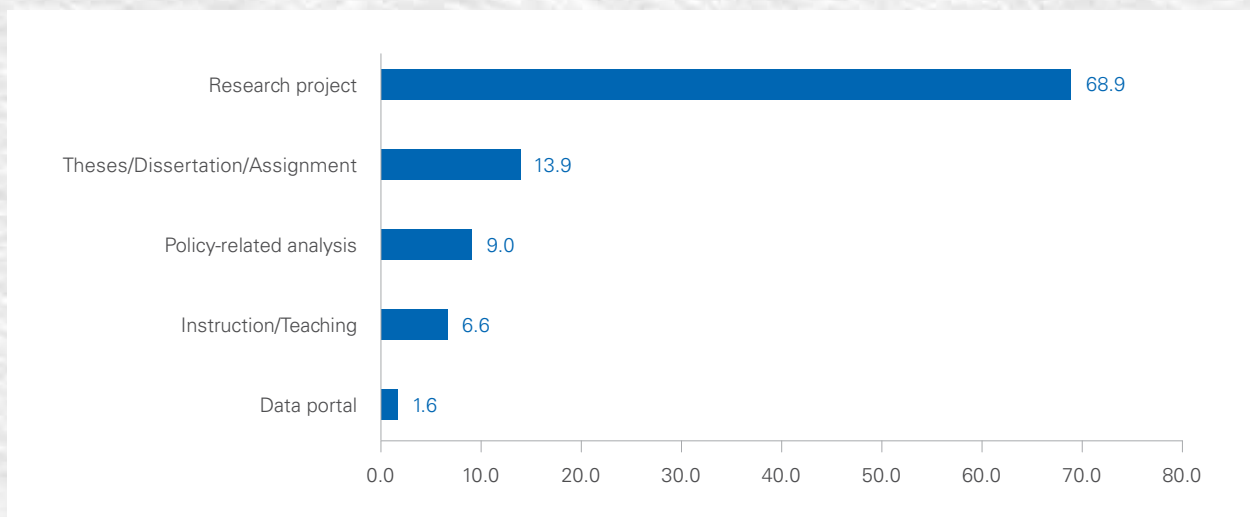


Figure 11: Percentage of data requests received per intended use

Data users downloaded data from the studies listed in Table 12.

Table 12: Studies from which data sets were downloaded

Project ID	Title of Study
CIC	Randomised controlled trial of a couples-based intervention to increase testing for HIV among heterosexual couples (CIC) 2012-14 in Vulindlela, South Africa
EPEP	The evaluation of peer education in Western Cape schools: A longitudinal study (EPEP)
IBCI	Evaluating an Incentivised Behaviour Change Intervention (IBCI)
INNOV	South African Business Innovation Survey (INNOV)
IPDM	Integrated Planning, Development and Modelling (IPDM)
IP-TT	South African National Survey of Intellectual Property and Technology Transfer at Publicly Funded Research Institutions – Inaugural Baseline Study (IP-TT): 2008-2014
MasterSample	HSRC Master Sample (MS)
MIMMS	The improvement of maternal and child morbidity and mortality surveillance system of South Africa (MIMMS) 2014-15 Gap analysis
NCD	Non-communicable disease screening and HIV testing and counselling in rural KwaZulu-Natal, South Africa (NCD) 2015
PPMSA	Perceptions of poverty and its manifestation in three provinces of South Africa (PPMSA) 2014
R&D	National Research and Experimental Development (R&D) Survey
R&D Agri	National Survey on R&D and other S&T Related Activities in Agriculture in South Africa (R&D AGR) 2010/11
SABSSM	South African National HIV Prevalence, HIV Incidence, Behaviour and Communication Survey (SABSSM)
SANHANES	South African National Health and Nutrition Examination Survey (SANHANES-1) 2011-12
SASAS	South African Social Attitudes Survey (SASAS)
STIGMA	People living with HIV Stigma Index: South Africa (STIGMA) 2014
UNEMPL	A longitudinal view of unemployment in South Africa (UNEMPL)
WCD	Adaptation to the Western Cape drought of 2016-18 (WCD)

As per Figure 11, data sets were mostly downloaded from the South African Social Attitudes Survey (SASAS) (42.9%), National Research and Experimental Development (R&D) Survey (34.1%), the South African National HIV Prevalence, HIV Incidence, Behaviour and Communication Survey (SABSSM) (12.7%) and the South African Business Innovation Survey (INNOV) (5.1%).

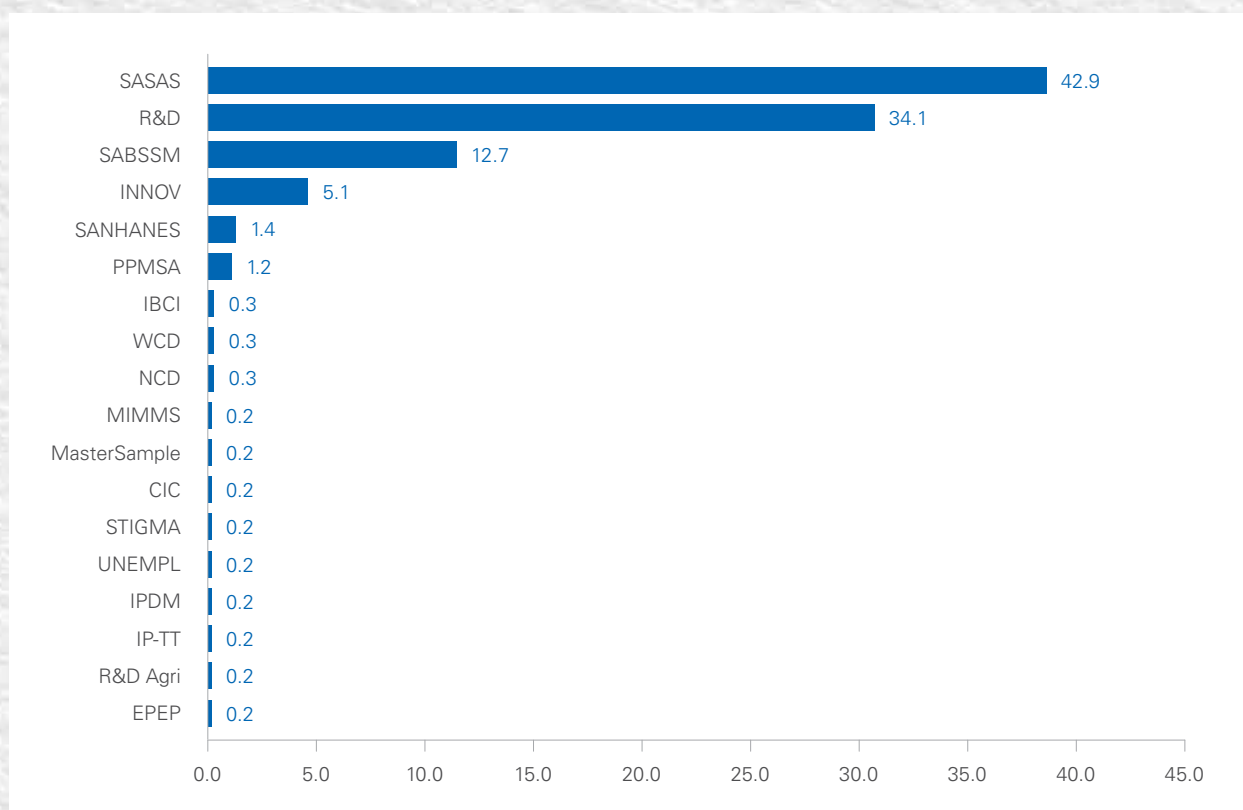


Figure 11: Percentage of data downloads per study

The data sets from the studies with the highest number of downloads were requested for use as indicated in Figure 12.

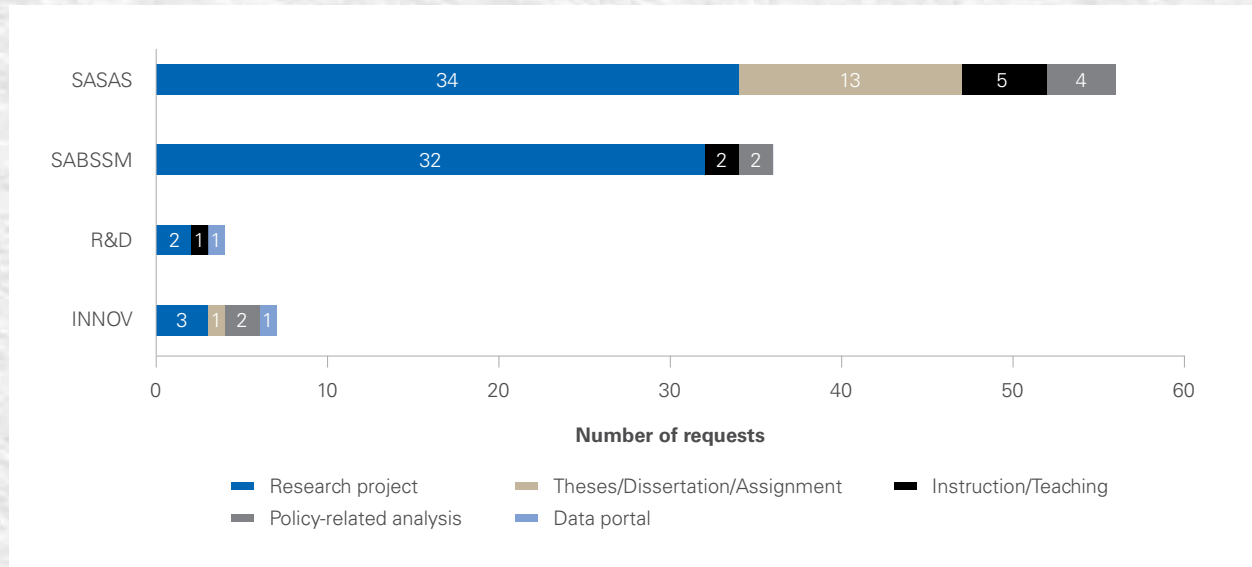


Figure 12: Intended use of the data from the studies with the most data downloads

Data from both the SASAS and SABSSM were mainly used for research projects – 60.7% and 88.9% respectively, while a substantial number of downloads of SASAS data sets were requested for theses/dissertations/assignments (23.2%) and instruction/teaching (8.9%). See Table 13 for details.

Table 13: Distribution of intended use categories per study with the most downloads

Intended Use	INNOV	R&D	SABSSM	SASAS
Research project	42.9	50.0	88.9	60.7
Thesis/Dissertation/Assignment	14.3	0.0	0.0	23.2
Instruction/Teaching	0.0	25.0	5.6	8.9
Policy-related analysis	28.6	0.0	5.6	7.1
Data portal	14.3	25.0	0.0	0.0
Total	100.0	100.0	100.0	100.0

6.13 THE HSRC'S AFRICA STRATEGY

As a key enabler of its research agenda, the HSRC collaborates with counterparts and stakeholders on the African continent.

6.13.1 Building innovation research networks in Africa and the global south

The HSRC's Centre for Science, Technology and Innovation Indicators (CeSTII) continued to build and contribute to formal networks and research collaborations with colleagues in Africa and the global south. CeSTII invests in building strong relationships with diverse institutions in Africa to share learning, exchange research methodologies and publish jointly. Collaborations to develop appropriate innovation indicators for South Africa's development context

have been enhanced by these partnerships and networks. In 2021/22 this took several forms including the publication of papers in accredited journals with colleagues in Africa and participating in a continental project to support African capacity for evidence-based policy making.

EviPol: Supporting data-driven policymaking and data management system development in Africa

Through CeSTII the HSRC participates in EviPol, a project that brings together science granting councils from 15 African countries to share knowledge and experience in the development and implementation of science, technology and innovation (STI) policy and related data management systems.



Funded by Canada's International Development Research Centre and coordinated by the African Centre for Technology Studies in Kenya, EviPoL supports African science councils to:

- » Review national science, technology and innovation policies to deepen policy processes
- » Develop robust monitoring, evaluation and learning frameworks and plans
- » Develop stronger data management systems and frameworks, and systematically collect, analyse and use all relevant data and evidence
- » Promote peer learning and knowledge exchange.

In August 2021 CeSTII hosted an interactive workshop in French and English for EviPoL partners on STI policy and data management systems. This included the practical co-design of a process to develop and implement data management systems for African science councils.

This was followed by a Data Interoperability Master Class, hosted by CeSTII in October 2021 and led by data interoperability expert Marco Davids, who has developed digitalised surveys for CeSTII.

6.13.2 Linking schools to sexual reproductive health support and services

The HSRC's School's Out Project has become a platform for co-creating and coordinating knowledge production on adolescent and youth Sexual and Reproductive Health and Rights (SRHR).

Through various strategies, it has generated valuable evidence on adolescent and youth SRHR over two-and-a-half years across Eastern and Southern Africa in Botswana, Eswatini, Malawi, Mozambique, Namibia, Zambia and Uganda.

The evidence generated explores socio-structural and socio-cultural factors that facilitate or inhibit linkages of schools to SRHR support and services. These findings will now also be disseminated in West and Central Africa as an entry point for possible future expansion of the project.

The School's Out Project ended in June 2021 and as part of the dissemination plan of project findings, a wide range of activities was planned during the period May to October 2021 towards engaging member states in policy and community dialogues.

A School's Out dissemination launch was held on 29 April 2021. The dissemination plan is aimed at:

- » Maximising the reach and impact of the School's Out Project evidence
- » Enhancing the uptake of evidence on linking schools to SRHR support and services
- » Engaging Pan African stakeholders on evidence related to the concept of linking schools to SRHR support and services
- » Strengthening the awareness of the concept of linking schools to SRHR support and services as a development agenda that cuts across three Sustainable Development Goals.

The School's Out dissemination launch was delivered through a combination of digital and face-to-face convenings in the four African regions of Southern, Eastern, Central and West Africa. The launch applied innovative formats to generate and enable a creative discussion environment aimed at fostering productive and lasting dialogue among participants.

The high-level digital meeting brought together various stakeholders including representatives from: the Economic Community of West African States (ECOWAS); the Economic Community of Central African States (ECCAS); the Southern African Development Community (SADC); the African Union; and the United Nations bodies including UNFPA, UNICEF and UNDP. Other key organisations working on adolescent and youth SRHR also participated.

6.13.3 Transformative Leadership in African Contexts – a conference

As part of the longitudinal study of young African graduates, the Imprint of Education (TIE), an Africa-wide conference was held in Zanzibar, Tanzania between 20 and 26 March 2022. Thirty papers were presented on aspects of leadership practices on the African continent, as well as critiques of practices which failed to bring about socially just and meaningful change. Papers included leadership in food security, conservation, girls' schooling, human rights, infrastructure projects, and robotics lessons for young people. Key conclusions reached included distinguishing between various kinds of leadership – transactional leadership that considers styles of leadership, transformational leadership that aims at efficacy in organisations and institutions, and transformative leadership that is aimed at change in the political, social and economic spheres with the clear intention to bring about social justice.

A further finding presented at the conference was that while many graduates who aspired to leadership were familiar with the rudimentary actions of leadership, such as motivating others and transforming good ideas into action, few had the skills to bring about systemic change through the use of policy or by showing how forms of injustice are related e.g., racism, sexism, and prejudice. The delegates concluded that education

in leadership is an urgent need, not only as part of business school offerings or higher education, but also as a core intervention to fast track a new generation of continental leaders across all disciplines, institutions and industries. A focus on how to bring about systemic change, rather than just small-scale interventions, should form the basis of such leadership education.

Papers presented by HSRC researchers included:

- » Principals who are transformative leaders in resource constrained schools in South Africa
- » Precolonial leadership as diverse practices, with examples of both just and unjust practices

- » The grass/glass ceiling: African women and transformative leadership practices
- » How change happens: smash, tame, resist or exit the system
- » Towards a notion of transformative political leadership in Africa
- » Blockchain applications, a pathway to decentralised, autonomous and transformative leadership.



Link to:
Swartz, S. (2022) Transformative Leadership in African Contexts Conference. (Zanzibar, Tanzania, 20-26 March 2022).
<http://hdl.handle.net/20.500.11910/19402>



6.14 UNDERSTANDING SCIENCE, TECHNOLOGY AND INNOVATION INDICATORS

6.14.1 Release of the 2019/20 National Survey of Research & Experimental Development

On 15 December 2021 the HSRC released the results of the 2019/20 National Survey of Research and Experimental Development (R&D). The survey is undertaken annually on behalf of the Department of Science and Innovation, with support from Statistics South Africa.

The survey findings confirmed that trends in R&D expenditure followed a similar trajectory to that observed in the general economic decline. Gross domestic expenditure on research and development (GERD) for 2019/20 amounted to R34.485 billion, at current rand values. GERD is an aggregated measure of in-house R&D expenditure performed domestically in five institutional sectors: government, science councils, higher education institutions, the business sector, and not-for-profits. GERD in constant 2015 prices fell, from R31.367 billion in 2018/19 to R28.140 billion in 2019/20, a year-on-year change of -10.3%. South Africa's R&D intensity, that is, GERD as a percentage of GDP at current prices, declined from 0.69% in 2018/19 to 0.62% in 2019/20.

The survey also found that government maintained strong funding support for R&D, however business expenditure on R&D fell and business shed R&D personnel. R&D continues to trend towards applied research, and the medical and health sciences and social sciences are key research areas.

The 2019/20 results show that the strongest focus of R&D activity is the medical and health sciences (21.5%), followed by the social sciences (16.9%), and engineering sciences (13.4%).



6.14.2 Innovate Durban Funding Map launched on 22 June 2021

Policy Action Network (PAN) collaborated with Innovate Durban, an entity established by eThekweni Municipality, and local innovators to develop a map of innovation funding in South Africa. A beta version of the map was launched at the Innovation Festival in June 2021.

The process of developing the funding map sought to involve local innovators in the process, by introducing them to different funding instruments and by workshopping ways of collecting funding information. The process followed three main steps, implemented over a period of four months as a rapid evidence review, validation and information collection:

1. **Framework and initial map:** Researchers from the HSRC reviewed reports and research on innovation funding. Based on this review they developed a framework of potential funding instruments and populated an initial funding map with potential contacts.
2. **Innovator additions and validation:** Local innovators were invited to assist by adding to and validating content in the initial funding map. This stage included two one-day workshops to review potential funding instruments and explore ways of collecting information on potential funding sources.
3. **Integrated (living) map:** Additional content and feedback from innovators was integrated into a final map, which Innovate Durban intends sharing and updating with regular input from local innovators.

A beta version of the funding map dashboard was launched at the Innovation Festival in June 2021. A presentation on the funding map analysis was made at a webinar in August 2020.

The final framework identified over ten possible instruments that either fund innovation activities directly or subsidise costs associated with innovation (including costs associated with finding funding).

These include:

1. **Direct funding – commercial**, such as traditional venture capital with an emphasis on a financial return on investment
2. **Direct funding – impact**, such as development bank financing, where investors expect a mix of social and financial returns
3. **Direct funding – social**, such as crowdfunding sites or stokvels, where investors expect a mix of social, financial and/or product-related rewards
4. **Direct funding – corporate social investment (CSI)**, with an emphasis on social impact or returns
5. **Procurement of innovation**, through RFIs, RFPs, innovation challenges and freelancer gig-work platforms
6. **Innovation cost reduction**, such as through subsidised infrastructure or services
7. **Reducing cost of innovation or enterprise failure**, such as bankruptcy costs
8. **Finance/funding capacity building**, to source and manage funding efficiently
9. **Market matching**, for raising visibility amongst potential users, customers and investors
10. **Funding intermediary/advisory services**, to assist innovators identify appropriate funding sources and create successful proposals
11. **Technology development/adoption services and incentives**, to subsidise and support the use of emerging technologies.

The joint mapping exercise identified over 700 funding-related contacts relevant to South African innovators. These contacts were clustered according to:

1. **Maturity of innovation** they support, from early (such as angel investors or government grants) to late (such as growth financing or private equity)
2. **Scale of funding** they provide or mediate, from small to large.

6.15 CELEBRATING SOCIAL SCIENTISTS AND RESEARCHERS IN THE NATIONAL SYSTEM OF INNOVATION (HSRC/USAF AWARDS)

The HSRC/USAf awards recognise research excellence. Under the Engaged Scholarship theme, the event was co-hosted by the HSRC and Universities South Africa (USAf) and attended by 87 guests (57 in person and 30 online). The winners were selected from an impressive group of 44 scholars around the country.

The 2021/22 Awardees were:

- » Prof. Deevia Bhana, a National Research Foundation (NRF) B1-rated scholar and a South African Research Chairs Initiative (SARChI) Chair in Gender and Childhood Sexuality, based at the University of KwaZulu-Natal. First appointed a SARChI Chair in 2016 and renewed for a second five-year cycle in 2021, Professor Bhana's recognition as an undisputed international leader in her field was re-affirmed.
- » Dr Witness Maluleke a qualitative Rural Criminology researcher with an interest in agricultural crimes – specifically stock theft. He is currently attached to the University of Limpopo as a senior lecturer in the Department of Criminology and Criminal Justice.
- » The ACE research team, ably led by an NRF-rated academic, Prof. Ruth Jacqueline Stewart, who is a member of the South African Academy of Science and holds advisory roles across national and international bodies.
- » The University of Johannesburg's Centre for Social Change (CSC) in partnership with the HSRC's Developmental, Capable and Ethical State (DCES) Division.

6.16 HSRC PUBLISHING

The HSRC Publishing House continued to publish relevant and innovative research-based books from and about South Africa, Africa, and the world. The books included original scholarly books that cover the social sciences and humanities in South Africa, Africa and the global south and are peer-reviewed through an editorial board to ensure the highest quality content, and world-class research publications. The publishing house has grown to become the leading scholarly publisher in Africa. It has a strong global presence and brand recognition, with direct sales and distribution representation on three continents and online representation worldwide, enabling it to effectively meet both its public purpose and business objectives.

In 2021/22, sales of HSRC Publishing's books in Southern Africa increased by 32% despite an increasingly strained local and global economy. Though sales revenue is not a key driver of scholarly publishing, it is an important indicator of take-up of critical research in the public space in response to societal needs and

changes. Over 47% of sales occurred in the general retail or public space.

The HSRC Press website is an open access platform, designed mainly for public purpose, and use in South Africa and Africa and offers over 500 scholarly books for unlimited viewing and free download. It attracts thousands of viewers each year from over 200 countries. In 2021 there were 990 downloads of scholarly books from the platform.

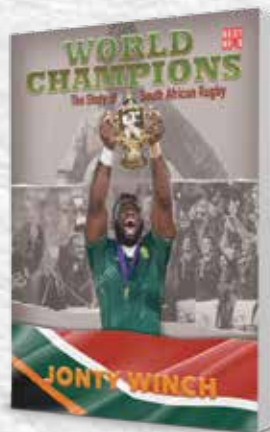
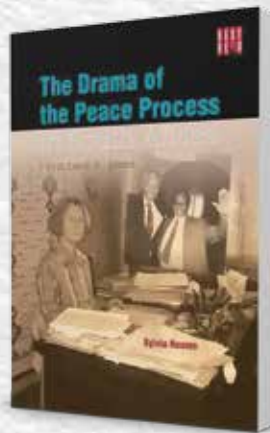
HSRC Publishing published 11 new books in the financial period as well as 14 eBooks which signalled the launch of an additional avenue for dissemination and impact in Africa and globally. Four HSRC Publishing titles were translated and published under licence in Chinese by the Chinese Academy of Social Sciences.

The 11 new books showcased content that is both unique and original while remaining evidence-based in responding to changes in society – from the COVID-19 pandemic and pressing concerns on employment, to the critical challenge of addressing inequality and poverty.

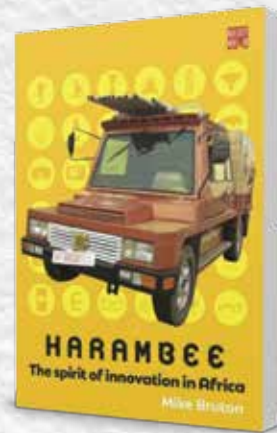
HSRC Press

The Drama of the Peace Process in South Africa: I look back 30 Years is a rare portrayal of the unfolding of the peace process in South Africa from the second half of the 1980s into the 1990s as it links general historical accounts with personal experience. The chief historical figures involved in Neame's narrative are the ANC leaders, Nelson Mandela, who was serving a life sentence, and Oliver Tambo, who led the organisation from exile. What adds to the interest of the book is that the author was able to experience at close hand two important historical events of the late 20th century and to observe from a strategic location in central Europe what she believes was the unfolding of a new epoch of world history in which global human problems would come to the fore.

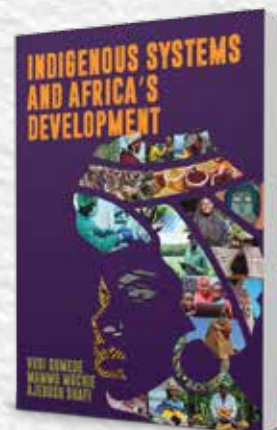
In ***World Champions: The Story of South African Rugby***, the author explores key events, and questions entrenched narratives using meticulous research, to reveal a fascinating window on society. This window examines the way one side of the racial divide enjoyed periods of success as unofficial world rugby champions, while the other struggled in the face of relentless challenges up to – and beyond – unity in 1992.



From ancient times Africa has been the Cradle of Humankind and an important crucible of innovation. Although these roles are widely recognised, no book has yet tried to pull the threads together and reveal the extent and nature of innovation in Africa. Using carefully selected examples of innovations and quotes from innovators, with a strong emphasis on the contributions of women and young innovators, and writing in a bright, accessible style, the author of ***Harambee: The Spirit of African Innovation***, has stitched together the tapestry of African innovation and endeavoured to answer the question: What is the nature of African innovation? This dynamic book serves as a useful introduction to the many significant advances that have been made in science and technology in Africa, at the low-, medium- and high-tech levels.

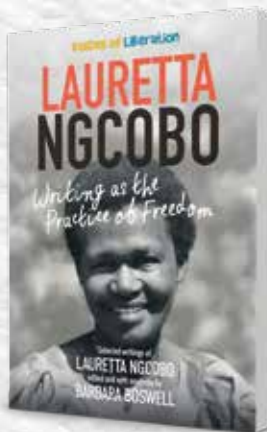


Indigenous Systems and Africa's Development uses Africa as the centre of a thoughtful and wide-ranging discussion on the literature on the state of development and indigenous knowledge systems. It values, recognises and shares knowledge that originated in Africa.



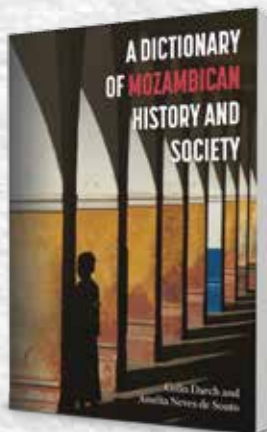
Voices of Liberation: Laureta Ngcobo

celebrates one of three pioneering black South African women writers – the first to publish novels in English from the vantage point of black women. Along with Bessie Head and Miriam Tlali, Ngcobo showed the world, through her fiction, what it was like to be black and a woman in apartheid South Africa. Where Alan Paton’s *Cry, The Beloved Country* (1948) rendered African women “silent, with the patient suffering of black women, with the suffering of oxen, with the suffering of any that are mute,” Ngcobo imagined women characters fully and gloriously human in their complexity.



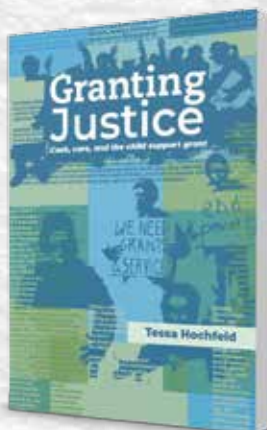
A Dictionary of Mozambican History

is the result of five years of research, and includes an introduction, various appendices, an extensive bibliography of over 100 pages, and a dictionary section with approximately 600 entries, organised alphabetically, with multiple cross-references for ease of use. The book covers all of Mozambican history from earliest times to the period of Portuguese weakness in the late 19th and early 20th centuries when vast tracts of land were rented to concessionary companies. The dictionary includes multiple entries on post-independence history, society, and economic questions up to and including events in 2017–2018.



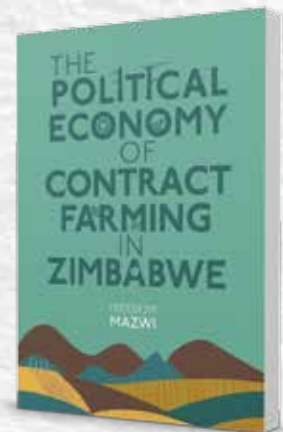
Granting Justice: Cash, Care and the Child Support Grant

draws on a feminist narrative approach to remain as close as possible to the immediacy, intricacy, and intimacy of the lives of six women who feature in the book. These narratives offer clues to critical areas that need to be considered for building a truly just society and point to the unrealised transformative potential of welfare policy. The book also takes issue with the characterisation of the South African state as ‘developmental’ and argues through science a different approach, an approach of care that would grant agency and dignity to recipients.



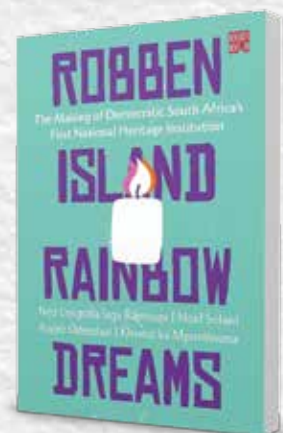
The Political Economy of Contract Farming

offers lessons on how agrarian finance can be structured to be inclusive for the benefit of small-scale farmers. With a specific reference to contract farming of tobacco and sugarcane in Zimbabwe, it explores the scale, extent of power relations and how these impact on land use and the well-being of farmers who benefitted under land reform. It has relevance for societies in South Africa and other countries.



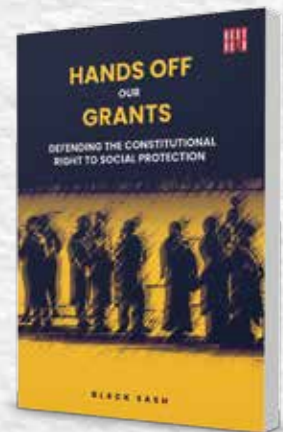
Robben Island Rainbow Dreams

provides an intimate account of the making of democratic South Africa’s first national heritage institution and a world heritage site. Incisive insights challenge disinformation that has often left the public bewildered and disillusioned. The book is a timely reminder of the importance of an informed citizenry to build democracy and ensure the dream of a collective future.



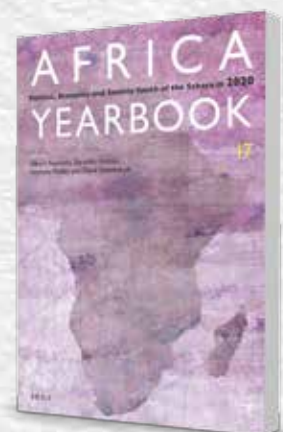
Hands off our Grants: Defending the right to social protection

details how a Black Sash campaign, supported by civil society, mobilised behind beneficiaries to reclaim the constitutional right to social security. The book provides an important reminder that a fair and just society needs citizens who are informed and need to stand together.



Africa Yearbook Volume 17

is a co-publication with Brill, under the auspices of AEGIS, Nordic Africa Institute, ABI and AISA. The book covers major political developments, foreign policy and socio-economic trends in sub-Saharan Africa in one calendar year, providing a rich resource for society.



6.17 RESEARCH OUTPUTS – 2021/22

6.17.1 DHET accredited journal articles counted towards LeaPPT+S

(ISI, IBSS, SA, Scielo SA, Norwegian, Scopus and/or DOAJ listings)

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GOVERNANCE

1

INTRODUCTION

The Human Sciences Research Council (HSRC) is a Schedule 3A national public entity in terms of the Public Finance Management Act, 1999 (Act No. 1 of 1999). The Minister of Higher Education, Science and

Innovation is the Executive Authority, and the HSRC Board is the Accounting Authority of the HSRC. The HSRC is governed by a Board appointed by the Minister of Higher Education, Science and Innovation.

2

PORTFOLIO
COMMITTEES

An HSRC delegation presented the 2021/22 Annual Performance Plan to the Portfolio Committee on Higher Education, Science and Innovation on 7 May 2021.

An HSRC delegation presented its 2021/21 Annual Report to the Portfolio Committee on Higher Education, Science and Technology on 19 November 2021.

3

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 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 report of performance against output indicator targets on 20 July 2021 (Q1), 20 October 2021(Q2), 20 January 2022 (Q3) and 20 April 2022 (Q4).
- » An Annual Report in August 2021.

4

THE BOARD (ACCOUNTING AUTHORITY)

4.1 THE ROLE OF THE BOARD

The HSRC Board is charged with the governance and control of the Council in accordance with the provisions of the Act. The Board is accountable to the Minister of Higher Education, Science and Innovation (the Minister) and Parliament in respect of its functions and responsibilities.

Responsibilities and duties of the Board

Corporate Governance

The Board's strategic role is:

- » To formulate the strategic policies of the HSRC in furtherance of its objects and public purpose
- » To monitor and evaluate the implementation of the HSRC's strategic and business plans.

The Board's corporate governance role is:

- » To ensure that the HSRC's activities, performance and values are in line with the statutory objects and functions as specified in Sections 3 and 4 of the Act
- » To exercise fiduciary oversight over the assets of the HSRC by ensuring that the HSRC's financial records are regularly audited in accordance with best corporate practice; that management of the assets complies with the Public Financial Management Act; and that there are adequate risk management measures, procedures and practices in place to protect the HSRC's assets and reputation
- » To ensure that HSRC practices comply with legislation relating to transformation, labour relations and occupational safety
- » To ensure that the HSRC complies with all other relevant laws, regulations and codes of best business practice
- » To exercise leadership, enterprise, integrity and judgment in directing the affairs of the HSRC.

Responsibilities

The responsibilities of the Board are:

- » To appoint the Chief Executive Officer (CEO) of the HSRC in accordance with the procedures laid down in Section 10 of the Act, as amended
- » To monitor the performance and effectiveness of the HSRC, the CEO and the other employees of the HSRC on the basis of predetermined performance indicators approved by the Board, and to receive periodic reports from the CEO on the functioning and operations of the HSRC
- » To serve as the ultimate employer of all HSRC employees; in this role the Board approves the general terms and conditions of employment, as well as structures for remuneration, allowances,

subsidies and other benefits in accordance with such system as may be approved by the Minister with the concurrence of the Minister of Finance

- » To approve acquisition and alienation of HSRC assets in accordance with the Act, and to regulate the commercialisation of the HSRC's inventions
- » To establish policies and guidelines for the functioning of the HSRC.

4.2 BOARD CHARTER

The Board operates in terms of an approved Charter, which is reviewed annually.

4.3 COMPOSITION OF THE BOARD

The Board is appointed by the Minister of Higher Education, Science and Innovation 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 or her 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 and social 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 sciences research community in the rest of Africa.

The former Board's term expired on 31 October 2021 and the new Board was appointed effective 1 November 2021.



4.4 HSRC BOARD MEMBERS 1 APRIL 2021 TO 31 MARCH 2022

The following members served on the HSRC Board during the 2021/22 financial year:

Name	Designation	Date Appointed	Date Terminated	Qualifications	Area of Expertise	Board Memberships	Other Committees and Task Teams	Number of Meetings Attended
1 April 2021 to 31 October 2021 (Board term expired)								
Prof. Mvuyo Tom	Chairperson	1 November 2017	31 October 2021 Term expired	MChB (Bachelor of Medicine and Surgery) Master of Science in Public Policy and Management (Sociology) Master of Family Medicine	Health Research Governance	1. Council for Higher Education 2. DG Murray Trust 3. Tekano Health Equity South Africa 4. Atlantic Institute 5. Masibumbane Development Organisation 6. Oliver and Adelaide Tambo Foundation	1. Tshikululu of First Rand as lead evaluator for the National Education Collaboration Trust (NECT)	3
Ms Nasima Badsha	Member	1 November 2017	31 October 2021 Term expired	MSc (Medical Sciences)	Higher Education Research Governance	1. WITS University 2. Claude Leon Foundation 3. Sol Plaatje Educational Project 4. The Learning Trust 5. Centre for Higher Education Trust (CHET) 6. AIMS Trust	1. WITS Audit Committee 2. WITS Senior Appointments Selection Committee	3
Prof. Mark Bussin	Member	1 November 2017	31 October 2021 Term expired	Doctor of Commerce	Human Resources Governance	1. 21 st Century 2. Gijima Ltd.	1. Human Resources and/or Remuneration Committees: - Auditor-General South Africa - Gijima Ltd. - South African Football Association (SAFA) - SAFA Development Agency 2. Gijima Ltd Nominations Committee	3

Name	Designation	Date Appointed	Date Terminated	Qualifications	Area of Expertise	Board Memberships	Other Committees and Task Teams	Number of Meetings Attended
Adv. Roshan Dehal	Member	1 November 2017	31 October 2021 Term expired	LLB	Law Governance	<ol style="list-style-type: none"> International Satuwu Baba Ashram Trust South African Council for the Project and Construction Management Professions (SACPCMP) Board International African Men for Sexual Health and Rights (AMSHeR) Board Msunduzi Museum Council International African Men for Sexual Health and Rights (AMSHeR) Board Msunduzi Museum Council 	<ol style="list-style-type: none"> Audit and Risk Committees: <ul style="list-style-type: none"> Department of Cooperative Governance Municipal Infrastructure Support Agency Department of Traditional Affairs Ministry of Economic Development, Tourism & Environmental Affairs-KZN MEC Appeals Panel SACPCMP Chairperson - Disciplinary and Code of Conduct Committee AMSHeR International Funding Committee 	0
Prof. Relebohile Moletsane	Member	1 November 2017	31 October 2021 Term expired	PhD (Major: Curriculum Studies; Cognate: Teacher Education)	Education Gender Research	<ol style="list-style-type: none"> Agenda Feminist Movement Media in Education Trust (MIET) Africa The Wykeham Collegiate Rattray Foundation (Khula Education Trust) Rattray Foundation (Khula Education Trust) 		2
Ms Precious Sibiya	Member	1 November 2017	31 October 2021 Term expired	CA(SA)	Finance Governance	<ol style="list-style-type: none"> AWCA Investment Holdings Reef Tankers Ithala Development Finance Corporation Sentech Sentech 	<ol style="list-style-type: none"> Audit Committees: <ul style="list-style-type: none"> Ithala Development Finance Corporation Sentech Financial Intelligence Centre 	3
Prof. Lindiwe Zungu	Member	1 November 2017	31 October 2021 Term expired	PhD (Occupational Health Nursing)	Health Research	<ol style="list-style-type: none"> UNISA SA Medical Research Council Texila American University MINTEK 		2

Name	Designation	Date Appointed	Date Terminated	Qualifications	Area of Expertise	Board Memberships	Other Committees and Task Teams	Number of Meetings Attended
1 November 2021 to 31 March 2022 (New Board)								
Dr Cassius Lubisi	Member	1 November 2021	N/A	BSc	Education	1. African Wealth Collective Board of Directors	1. Ministerial Committee on the Issuance of Visas and Permits, Ministry of Home Affairs	3
	Chairperson			HDE BA Education DPhil		2. Morar Incorporated Board of Directors 3. ARMSCOR Board of Directors 4. Protected by AI Africa Board of Directors	2. Ministerial Task Team Investigating Allegations of Corruption, Fraud and Maladministration in the South African National Defence Force	
Dr Kgomotso Kasonkola	Member	1 November 2021	N/A	Bachelor of Public Administration	Human Resources	1. COMETSA Capacity Development Agency	1. Universities South Africa (USAf) Human Resources and Remuneration Committee	3
				Honours in Public Administration MA in Psychology PhD in Organisational Behaviour			2. ACU HR Steering Committee 3. WITS Enterprise and WITS Health Consortium Remuneration Committees	
Dr Len Konar	Member	1 November 2021	N/A	BCom	Finance	1. Guardrisk Group 2. Ditsong Museum	1. Guardrisk Group APC Chairperson	3
				PG Dip (Accounting) CA(SA)			2. South African Broadcasting Corporation (SABC) Medical Fund - Audit Committee Chairperson - Investment Committee member SABC Retirement Fund	
				Certificate (Tax Law) Certificate (Electricity Tariffs)			3. - Audit Committee Chairperson - Investment Committee member Council for Built Environment - APC member	
				Master's in Accounting DCom			4. Department of Science and Innovation - Audit Committee Chairperson Wholesale and Retail Sector Education and Training Authority (W&RSETA) - Audit and Risk Strategy Committee member - Audit Committee member	
				Certification in Risk Management Assurance			5. Department of Higher Education and Training - Audit Committee member	
							6. Department of Higher Education and Training - Audit Committee member	
							7. Department of Higher Education and Training - Audit Committee Chairperson	
							8. Nelson Mandela Bay Metropolitan Municipality - Risk Management Committee Chairperson	
							9. Vhembe District Municipality - Audit Committee member	

Name	Designation	Date Appointed	Date Terminated	Qualifications	Area of Expertise	Board Memberships	Other Committees and Task Teams	Number of Meetings Attended
Prof. Ibbo Mandaza	Member	1 November 2021	N/A	BA BSc Special Honours in Political Sciences DPhil (Political Economy)	Section 5 (5)(b) representative	None	None	2
Ms Shameme Manjoo	Member	1 November 2021	N/A	BA BA Honours (English) HDE Bachelor of Education Masters of Education	Human rights Elections and democracy	None	None	3
Dr Alex Mashilo	Member	1 November 2021	N/A	NDip (Engineering) MA (Labour Policy and Globalisation) PhD (Social Science) (Sociology)	Democracy Governance Service delivery	1. Manufacturing, Engineering and Related Services Sector Education and Training Authority (MERSETA)	1. MERSETA Governance and Strategy Committee 2. Automotive Components Manufacturing and Assembly Skills Development Chamber Subject Matter Expert	2
Prof. Zethu Nkosi	Member	1 November 2021	N/A	B CUR MA and PhD in Nursing Management	Health	None	None	3
Dr Sean Phillips	Member	1 November 2021	16 January 2022	BEng Honours MSc (Project Management and Municipal Engineering for Developing Areas) PhD (Civil Engineering) Master's in Project Management and Public Management	Governance	None	None	0
Adv. Pansy Tlakula	Member	1 November 2021	N/A	BProc LLB LLM Hon Doctorate (Legal Studies)	Law	1. Information Regulator of South Africa 2. The Goodluck Jonathan Foundation 3. Africa Digital Rights' Hub 4. African Network of Information Officers	1. UN Committee on the Elimination of Racial Discrimination 2. African Policing Civilian Oversight Forum	2

Name	Designation	Date Appointed	Date Terminated	Qualifications	Area of Expertise	Board Memberships	Other Committees and Task Teams	Number of Meetings Attended
Prof. Fiona Tregenna	Member	1 November 2021	N/A	BSocSci (Economics, Politics) BA Honours (Economics, Politics) MA (Economics) PhD (Economics)	Economics	1. Editorial Boards: - Review of Political Economy - Competition and Change - Economia Politica - New Scholarship in Political Economy 2. National Institute for the Humanities and Social Sciences 3. Gauteng City Region Observatory 4. Institute for Economic Justice	1. Academy of Science of South Africa (ASSAf) Steering Committee on the Just Transition ASSAf Membership Advisory Committee for Humanities and Social Sciences 3. ASSAf Peer Review Panel: Economics and Business Management 4. ASSAf Standing Committee on Science for the Reduction of Poverty and Inequality 5. Scientific Committee for African Programme on Rethinking Development Economics 6. National Research Foundation Reviews and Evaluations Standing Panel 7. Competition Tribunal 8. Industrial Policy Think Tank 9. Presidential Economic Advisory Panel	2
Prof. Leickness Simbayi	Member Acting CEO	1 April 2021	N/A	BSc Biology and Psychology MSc Psychology specialising in Comparative and Physiological Psychology DPhil Experimental Psychology	HIV/AIDS and STIs Behavioural research	1. Partners for Sexual Health 2. Caring Network		2

The induction of the newly appointed Board took place on 13 January 2022. The Minister and members met for the inaugural meeting of the Board on 18 January 2022, during which the Minister outlined key research priorities for the HSRC.

4.5 BOARD SUB-COMMITTEES

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

4.5.1 The Audit and Risk Committee (ARC)

The ARC assists the Board in exercising fiduciary oversight over the assets of the HSRC. This committee is constituted in terms of Section 51 (1)(a)(ii) of the Public Finance Management Act (PFMA) No. 1 of 1999.

The ARC's responsibilities include oversight of integrated reporting, combined assurance, financial information, internal and external audit, risk management and legal and regulatory compliance.

4.5.2 The Human Resources and Remuneration Committee

The Human Resources and Remuneration Committee assists the HSRC Board in fulfilling its corporate governance responsibilities, in particular those relating to human resources and remuneration mandates.

4.5.3 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 to support the CEO in terms of the HSRC's reorientation of its strategic direction.

4.5.4 Sub-committee attendance: 1 April 2021 to 31 March 2022

Committee	No. of Meetings Held	No. of Members	Names of Members
Audit and Risk Committee	3	1 April 2021 to 31 October 2021 (Board term expired)	
		6	Ms Precious Sibiyi Prof. Mark Bussin Ms Nasima Badsha Mr Leon Moser Ms Eileen Wilton Ms Maleshini Naidoo
		1 November to 31 March 2022 (New Board)	
		5	Dr Len Konar Dr Kgomotso Kasonkola Adv. Pansy Tlakula Ms Maleshini Naidoo Mr Leon Moser
Human Resources and Remuneration Committee	5	1 April 2021 to 31 October 2021 (Board term expired)	
		3	Prof. Mark Bussin Prof. Mvuyo Tom Prof. Lindiwe Zungu
		1 November to 31 March 2022 (New Board)	
		3	Dr Kgomotso Kasonkola Ms Shameme Manjoo Dr Alex Mashilo
Research Committee	2	1 April 2021 to 31 October 2021 (Board term expired)	
		4	Prof. Relebohile Moletsane Ms Nasima Badsha Prof. Lindiwe Zungu Prof. Crain Soudien
		1 November to 31 March 2022 (New Board)	
		5	Prof. Zethu Nkosi Dr Cassius Lubisi Prof. Fiona Tregenna Prof. Ibbo Mandaza Prof. Leickness Simbayi

4.6 Board remuneration

Members of the HSRC Board are remunerated for attendance of meetings of the Board, meetings called by the Executive Authority and any other HSRC committees that they may be required to attend.

Remuneration of HSRC Board members is mandated by Section 6 of the HSRC Act, 2008 (Act No.17 of 2008) as amended, and implemented in accordance with Treasury Regulation 20.2.2. Applicable rates are determined and published by the National Treasury

in its Service Benefits Packages for Office Bearers of Certain Statutory and Other Institutions 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 National Treasury determines. Two of the current HSRC Board members are employed full-time by the State. Other Board members are remunerated in accordance with the afore-mentioned provisions.

Board remuneration for the period under review is set out as part of the notes to the Annual Financial Statements on page 190.

5 RISK MANAGEMENT

5.1 GOVERNANCE

The HSRC Board is accountable for risk management and the review of effectiveness of the mitigating strategies in order to reduce, eliminate and or transfer risks. The HSRC Board has further delegated oversight responsibilities to the Audit and Risk Committee (ARC), which provides assurance to the HSRC Board through the review of reports from the Enterprise Risk Management Unit on a quarterly basis. Responsibility for the implementation of Enterprise Risk Management has been delegated to the CFO. Divisional and Executive Directors, together with the CEO, constantly review the HSRC's strategic risk register and update it with latest risks that may negatively impact the organisation's operations.

5.2 RISK MANAGEMENT COMMITTEE

The Risk Management Committee (RMC) is defined as a committee appointed by the CEO to assist in designing, implementing, and coordinating the HSRC's risk initiatives. Due to the HSRC not having a separate Risk Management Committee, the risk management responsibilities of such a committee have been incorporated within the Audit and Risk Committee.

These are outlined in the Audit and Risk Committee Charter, which is annually approved by the HSRC Board.

To assist in risk identification and management, unit heads were tasked with the responsibility of identifying their own Risk Champions to assist the Enterprise Risk Management (ERM) Unit with the risk functions.

Resources in the ERM Unit are limited due to capacity constraints.

Below is a high-level summary of the interventions implemented:

- » Implementation of organisation-wide Risk Management training
- » Review/development of the Risk Management Framework Policies
- » Review of the 2021/22 Strategic Risk Register.

The following revised risk policies were served to the HSRC Audit and Risk Committee and approved by the Board in February 2022.

- » Risk Management Policy
- » Risk Management Strategy
- » Risk Management Implementation Plan
- » Risk Identification and Assessment Methodology
- » Risk Appetite and Tolerance Framework and Gift Policy.

5.3 RISK APPETITE AND TOLERANCE STATEMENT

Risk appetite is the amount and type of risk, at a broad level, that an organisation is willing to accept in pursuit of its strategic objectives. Risk appetite reflects the risk management philosophy that the Board wants the organisation to adopt and, in turn, influences its risk culture, operating style, and decision-making. It sets the boundary around the amount and type of risk an organisation might pursue.

Risk tolerance is the degree, amount, or volume of risk that an organisation is willing to withstand. It develops from the overall risk appetite, but it also needs to be aligned with the organisation's objectives. It reflects the organisation's attitude toward risk.

The table below summarises the risk appetite and tolerance limits.

Description	Risk Appetite Statement	Tolerance
Legislated mandate	The HSRC is willing to accept reasonable risks in a responsible way to achieve strategic ambitions and priorities. The HSRC will pursue and support all endeavours which seek to promote its legislative mandate.	100% alignment of objectives with the legislative mandate
Resources	At the HSRC, financial resources will be allocated effectively, reflecting the balance of risks and rewards in a more integrated and dynamic manner.	Zero tolerance for budgeted expenses exceeding 5%
Compliance or regulatory	The HSRC strives for full compliance with legislation and regulations.	Zero tolerance for non-compliance with legislation
Fraud and corruption	The HSRC has no tolerance for fraud and corruption in any form, or for any criminal conduct.	Zero tolerance for fraud and corruption
Financial	The HSRC avoids risks that will jeopardise the financial sustainability of the company.	Zero tolerance for any irregular expenditure or fruitless and wasteful expenditure
Reputation	The HSRC avoids any risk that will negatively impact its reputation.	Zero tolerance for negative reputation

5.4 RISK MANAGEMENT: COVID-19

COVID-19 itself is essentially an external risk over which the HSRC has no control. However, the organisation has collectively managed the risk to its internal environment through strict compliance with directives from the DSI and in line with all guidelines and proactive precautionary measures pronounced by government. The primary aim has been to minimise the spread of the virus.

The HSRC as an organisation has had to take into account macro realities and introduce innovative ways to maintain relative business continuity while supporting its stakeholders.

The HSRC approach:

- » Keep employees safe and restrict possible workplace exposure and infection
- » Permit employees to work from home as far as possible
- » Assign a COVID-19 HSRC task team
- » Circulate educational material on COVID-19 continuously
- » Develop a COVID-19 Risk Register
- » Comply with the national lockdown regulations
- » Adapt research and fieldwork protocols in line with national lockdown restrictions
- » Ensure management is engaged and pursue on-going electronic communication
- » Regular liaison with tenant.

The HSRC has developed a COVID-19 Response Plan that covers the risk exposure, impact on operations, safety measures, action plans and potential impact on revenue. This document is informed by directives from the Presidency.

Management has also formulated a COVID-19 Return-to-Work Plan which permits The HSRC employees to work from home as far as possible.

5.5 FRAUD PREVENTION POLICY AND PLAN

The HSRC reworked its Anti-Corruption Strategy into a Fraud Prevention Policy and Plan. The Board of the HSRC, along with its Executives and Management, have adopted a zero tolerance approach toward fraud and corruption. Corruption is defined in the HSRC policy as the abuse of a position of employment by the offering or acceptance of a benefit that is not legally due, for the commission of an act in connection with that position of employment, as defined in the Prevention and Combating of Corruption Activities Act, 2004 (Act No. 12 of 2004).

5.6 DECLARATION OF INTEREST

The HSRC has an electronic declaration of interest system in place which is accessible by all employees through the Research Management System (RMS). All eligible employees are required to declare their interest and to update their declarations as and when there are changes. Regular communication is shared with all the employees and employees receive training on a continuous basis.

Gift declaration

The HSRC has an electronic gift declaration system in place which is accessible by all employees via the RMS. All employees are required to declare the gifts received. Regular communications are sent to all employees reminding them about the process of gift declaration.

6

INTERNAL AUDIT AND AUDIT COMMITTEES

The role of the Internal Audit function 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 adequately protected
- » 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 Internal Audit function is outsourced to a service provider that 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:

- » Audit of predetermined objectives, Quarters 1, 2, 3 and 4
- » Research management (follow-up review)
- » Information technology (follow-up review)
- » Finance internal controls
- » Supply chain management review
- » Governance review.

The Board has established an Audit and Risk Committee in terms of Section 8 of the HSRC Act, No. 17 of 2008 to assist it in exercising fiduciary oversight over the assets of the HSRC. This committee is constituted in terms of Section 51 (1)(a)(ii) of the Public Finance Management Act, (PFMA) Act No.1 of 1999 and complies with and operates in accordance with regulations and instructions prescribed in terms of Sections 51, 76 and 77 of the Act and the relevant National Treasury Regulations. The committee is accountable to the Board.

The ARC is responsible for:

- » Overseeing integrated annual reporting
- » Ensuring that a combined assurance model is applied to provide a coordinated approach to all assurance activities
- » Examining and reviewing the Annual Financial Statements, and accompanying reports regarding the HSRC's results or any other financial information to be made public by the Board
- » Reviewing and recommending for the Board's approval the quarterly financial information and strategic performance information
- » Overseeing the internal and external audit and risk management
- » Reviewing the HSRC's compliance with legal and regulatory provisions
- » Assisting the Board in its responsibility for establishing policies and guidelines for the functioning of the HSRC by recommending relevant policies to the Board for approval.

Audit and Risk Committee membership and meeting attendance 1 April 2021 to 31 March 2022

Name	Qualifications	External/ Internal	Position if Internal	Appointment	Resignation/ Term Expired	Number of Meetings Attended
1 April 2021 to 31 October 2021 (Board and Committee term expired)						
Ms Precious Sibiya	CA(SA)	External Board member	N/A	15 December 2017	31 October 2021	2
Prof. Mark Bussin	Doctor of Commerce	External Board member	N/A	15 December 2017	31 October 2021	2
Ms Nasima Badsha	MSc (Medical Sciences)	External Board member	N/A	26 April 2019	31 October 2021	2
Mr Leon Moser	CA(SA)	External Independent specialist	N/A	10 January 2018	31 October 2021	2
Ms Maleshini Naidoo	BCom Honours	External Independent specialist	N/A	4 March 2020	31 October 2021	2
Ms Eileen Wilton	BCom	External Independent specialist	N/A	3 October 2019	31 October 2021	1
1 November 2021 to 31 March 2022 (New Board and reconstituted Committee)						
Dr Len Konar	BCom PG Dip. in Acc CA(SA) MAS (Illinois, USA) Cert. in Tax Law DCom CRMA (USA)	External Board member	N/A	1 December 2021	N/A	1
Dr Kgomotso Kasonkola	Bachelor of Public Administration Honours in Public Administration MA in Psychology PhD in Organisational Behaviour	External Board member	N/A	25 January 2022	N/A	1
Dr Sean Phillips	MEng MSc PhD Master's in Project Management and Public and Development Management	External Board member	N/A	1 December 2021	16 January 2022	-
Adv. Pansy Tlakula	BProc LLB LLM	External Board member	N/A	1 December 2021	N/A	1
Mr Leon Moser	CA(SA)	External Board member	N/A	3 December 2021	N/A	1
Ms Maleshini Naidoo	BCom Honours	External Board member	N/A	3 December 2021	N/A	1

7

COMPLIANCE WITH LAWS AND REGULATIONS

The HSRC Legal Services Unit consists of a Legal Unit, a Compliance Office, and an Intellectual Property and Technology Transfer Office. Within this office compliance with relevant legislation and regulations is monitored and advised on, on a continuous basis. To support the above, the HSRC also employs the services of the Internal Audit function to identify any non-compliance, or risk of non-compliance on an annual basis. An Internal Audit Report is compiled and presented to the CEO, the Board as well as the Audit and Risk Committee. In addition the HSRC Legal Services Unit has access to a panel of legal experts to attend to any litigation against, or on behalf of, the HSRC. This panel is monitored and managed by the Head of Legal Services to ensure optimum service delivery and adherence to fee

agreements. The Legal Services Unit is spearheading a drive to ensure that the organisation complies with the regulations of the Protection of Personal Information (POPI) Act, 2013 (Act No. 4 of 2013). This is a joint effort with other key role players within the organisation. A service provider was appointed to conduct a gap analysis with regard to the HSRC's compliance with the POPI Act. The analysis was completed and a road map has been created to ensure compliance at an operational as well as internal level with regard to policies and procedures. The service provider will also provide training to HSRC staff to ensure understanding and compliance with the terms of the POPI Act. This will be an ongoing process overseen by the Deputy Information Officer, with the support of Legal Services.



8

FRAUD AND CORRUPTION

The HSRC is committed to protecting the organisation's funds and other assets and in doing so, will not tolerate corrupt or fraudulent activities emanating from either internal or external sources. Any detection of corrupt activities is investigated and, where so required, reported to the law enforcement authorities in accordance with the HSRC's Anti-Corruption Strategy.

The HSRC introduced its Fraud and Research Ethics Hotline in August 2007 to create an open platform for the South African public, including stakeholders in research ethics, to report incidents of fraud. The toll-free

hotline and email services are always accessible to the public, including weekends and holidays.

The numbers for the Fraud and Research Ethics Hotline are 0800 205 138 and 0800 212 123. In the year under review there were no reports received via the fraud hotline.

Reports and allegations of fraud, when reported, are submitted to the Head of Legal Services for further investigation and recommendation, and the outcome is tabled for the attention of the ARC.

9

MINIMISING CONFLICT OF INTEREST

Board and staff members must avoid any material conflict between their own interests and those of the HSRC and, in particular:

- » Must not derive any personal economic benefit to which they are not entitled
- » Must notify the HSRC at the earliest possible opportunity, given the circumstances, of the nature and extent of any direct or indirect material conflict of interest which they may have in any dealings with the HSRC.

Should a Board member, or a Board committee member, foresee a conflict of interest at a meeting, they must not participate in any decision-making process that could impact their personal interests. Such members must recuse themselves from deliberations and the Board/committee must take a decision that furthers the interests of the Board or committee. The recusal must be recorded.

There were no conflicts of interest identified during the reporting period.

10

CODE OF CONDUCT

The HSRC's Code of Research Ethics was formally approved in 2002 and updated in 2019. The code outlines principles and values underpinning HSRC research and confirms its commitment to using public funds entrusted to it for research that will benefit all the people of South Africa. It also states that HSRC research belongs to the public domain and as such should be able to withstand public scrutiny at all times. The code importantly highlights the interests of research participants, and the imperative of respecting the rights and dignity of participants in all research undertaken by the HSRC.

In 2005, the principles underpinning the HSRC Code of Research Ethics were applied to the collegial and professional conduct of HSRC staff in an approved Code of Conduct. This code explains how principles of respect, transparency, professionalism, and accountability are to be applied in the context of collegial as well as external relations, and project management.



For more information, see <http://www.hsrc.ac.za/en/about/research-ethics/code-of-research-ethics>

11

ENVIRONMENTAL HEALTH AND SAFETY

The team built proactive environmental, health and safety systems to ensure awareness and, as far as reasonably practicable, prevent or reduce risks and hazards in the workplace. A monthly mandatory inspection programme and audits were implemented to continuously identify shortfalls in the system. Safety awareness topics were shared monthly on the intranet to raise ongoing safety awareness. COVID-19 remains the highest health risk which the HSRC is mitigating within the latest legal framework from government, and HSRC COVID-19 Response Plan. This includes:

- » Safe distance keeping
- » Temperature checking
- » Sanitisation of hands when entering the offices
- » Glass shields for reception
- » Electronic health questionnaire to red flag those with symptoms.

To ensure a safe working environment, the team continued to develop systems and procedures to manage risks relating to, amongst others, trips, slips and falls, since these have been identified as a root cause of accidents on duty. Continual monthly OHS assessments were further strengthened in the year under review.

12

SOCIAL RESPONSIBILITY

The HSRC, through its mandate, is responsible for undertaking research that contributes to the welfare of society and the environment. It is therefore important that the research undertaken, and the manner in which it is carried out, does not alienate this responsibility. As an organisation that conducts research in the areas of social sciences and humanities, the HSRC's research is closely

linked to individuals, communities and society as a whole. The foundation of all research is therefore based on research ethics and integrity towards unbiased, scientific research that respects and protects the participants with whom the organisation engages. This includes putting in place measures to ensure the safety, health and welfare of both research staff and the communities involved.

13

RESEARCH ETHICS AND INTEGRITY

The HSRC is committed to undertaking high-quality research ethically and with integrity. Systems and structures are in place to promote responsible research, and principles of research ethics and research integrity are integrated into the way research is planned, reviewed, conducted, and communicated.

The HSRC functions in accordance with a code of research ethics approved by its Board. The establishment of a Research Ethics Committee (REC) was approved by the HSRC Council (now known as the HSRC Board) in 2002, 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 independently to the HSRC on an annual basis.

The REC is registered with the National Health Research Ethics Council (NHREC) of the Department of Health, (registration number REC-290808-015-RA). In February 2022, the seventh formal annual report of the HSRC REC, covering the 2021 calendar year, was submitted to the NHREC. In terms of international recognition, the HSRC REC has a current Federal-wide Assurance (FWA) registration (registration number FWA 00006347) issued by 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 meeting 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(s). 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, and members are drawn from within and outside the HSRC. External members are recruited and selected for their expertise in required areas of work in accordance with the categories of membership required for NHREC compliance. According to HSRC terms of reference, external members are appointed through nomination, co-option, and advertising.

Internal members are identified by executives of research divisions, to ensure that the committee has the capacity to review proposals across the areas of research specialisations in the HSRC. Members are appointed for a three-year term, which can be renewed for up to two more terms.

Following the processes described above, the selected external and internal members were formally appointed or re-appointed by the Acting CEO in November 2021. In accordance with the Board-approved Terms of Reference for the HSRC REC, these appointments were ratified by the Board. The current term of office for external members will end in October 2024.

External members of the REC, during 2021/22 were:

From 1 April until 31 October 2021:

- » Prof. Theresa Rossouw – University of Pretoria, Chairperson
- » Prof. Anne Strode – University of KwaZulu-Natal (UKZN), Deputy Chairperson
- » Prof. Warren Freedman – UKZN
- » Dr Munira Khan – UKZN
- » Dr Bongile Mabilane – Anova Health Institute
- » Prof. Shenuka Singh – UKZN
- » Prof. Peter Nyasulu – Stellenbosch University

From 1 November 2021 until 31 March 2022:

- » Prof. Ames Dhai – University of Witwatersrand, Chairperson
- » Prof. Anne Strode – University of KwaZulu-Natal (UKZN), Deputy Chairperson
- » Prof. Warren Freedman – UKZN
- » Dr Munira Khan – UKZN
- » Dr Bongile Mabilane – Anova Health Institute
- » Prof. Shenuka Singh – UKZN
- » Prof. Peter Nyasulu – Stellenbosch University

The internal members of the REC, during 2021/22 were:

- » Dr Moses Sithole and Dr Il-haam Petersen – Centre for Science, Technology and Innovation Indicators
- » Dr Buhle Khanyile, Dr Palesa Sekhejane – Impact Centre
- » Dr Vuyo Mjimba – Africa Institute of South Africa
- » Dr Tim Hart and Dr Diana Sanchez Betancourt – Developmental, Capable and Ethical State
- » Dr Alude Mahali, Dr Angelique Wildschut, Dr Andrea Juan and Dr Andreas Scheba – Inclusive Economic Development
- » Prof. Sibusiso Sifunda and Dr Musawenkosi Mabaso – Human and Social Capabilities.

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:

1. Proposed community engagement plans
2. Potential social value
3. Validity of the scientific design
4. Fair selection of participants
5. Favourable risk/benefit ratio
6. Informed consent plans and processes
7. Plans to respect participants' rights and interests during and after the proposed study
8. 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.

Between 1 April 2021 and 31 March 2022, the REC met 11 times as scheduled. All meetings were conducted virtually via the online Zoom platform. A total of 59 new applications were considered, of which 41 were internal to the HSRC and 18 were external, and 13 were COVID-19 related. No requests were submitted for exemption and 26 were submitted for expedited review.

There were 27 requests for amendments to approved studies. Such requests are mainly triggered by a change or extension in the scope of work and coverage area. There were 24 applications for renewal of protocols.

Members of the REC and HSRC researchers are encouraged to participate in relevant training opportunities to ensure basic awareness and continuous professional development in the field of research ethics. All members of the REC have submitted certificates of successful completion of required modules of the on-line Training and Resources in Research Ethics Evaluation (TRREE) training programme, and all applicants who submit protocols for review must also include evidence of successful completion of recognised ethics training modules. Further to this, a formal Research Ethics Training session was offered to REC members on 9 February 2022. This training event was also attended by HSRC staff members.

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". Ms Khutšo Sithole served as the HSRC Research Integrity Officer (RIO) during the reporting period. She works closely with

the Deputy CEO of Research and the chairperson of the HSRC REC, and benefits from collaboration with research programmes and various support units in the HSRC.

The following responsibilities are entrusted to the RIO 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
- » 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 DHHS
- » Ensuring that confidential information made available to the RIO is treated with discretion and in accordance with the principles outlined in the policy on research integrity.

Due to capacity constraints, no formal workshops to promote research integrity were held during the year under review.

However, the HSRC met all the compliance requirements as set by the Office of Research Integrity (ORI) in the United States of America and an annual report covering the 2021 calendar year, dealing with research funded by the DHHS, was submitted.



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AUDIT AND RISK COMMITTEE REPORT

We present our report for the financial year ended 31 March 2022.

AUDIT AND RISK COMMITTEE RESPONSIBILITY

The committee reports that it has complied with its responsibilities arising from Section 51 (1)(a)(ii) of the Public Finance Management Act and Treasury Regulation 27.1. The committee also reports that it has adopted appropriate formal terms of reference as its Audit and Risk Committee Charter, has regulated its affairs in compliance with this charter and has discharged all its responsibilities as contained therein.

THE EFFECTIVENESS OF INTERNAL CONTROL

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

The following internal audit reviews were completed during the year under review:

- » Audit of predetermined objectives, Quarters 1, 2, 3 and 4
- » Governance review
- » Information Technology general controls review
- » Financial controls review
- » Supply chain management review
- » Research function performance audit.

Based on the current year internal audit rating, the internal controls, as of this moment of reporting, were partially adequate and partially effective. Control challenges were identified; however, there is progress in addressing those challenges and implementation of remedial plans are being monitored by the Audit and Risk Committee.

In considering the various internal audit reports, the management report from the Auditor-General South Africa and discussions with the internal and external auditors, the committee notes that the internal financial controls of the HSRC provided reasonable assurance to support the preparation of reliable

Annual Financial Statements, with the exception of an inaccurate calculation of leave accrual which formed the basis of the AGSA's qualified audit opinion.

QUARTERLY REPORTING

The HSRC has reported quarterly to the National Treasury and the Minister of Higher Education, Science and Innovation (the Executive Authority) as is required by the PFMA.

The Audit and Risk Committee reviewed and recommended the quarterly financial, compliance and performance reports to the Board.

EVALUATION OF THE ANNUAL FINANCIAL STATEMENTS

The committee has:

- » Reviewed the audited Annual Financial Statements to be included in the annual report;
- » Reviewed changes in accounting policies and practices;
- » Reviewed the Auditor-General South Africa's audit report, management report and management's responses thereto;
- » Reviewed the performance information; and
- » Reviewed the entity's compliance with legal and regulatory provisions.

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 had engagements with the Internal Audit Engagement Directors.

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 timeous 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 arising from the internal audit areas covered.

ENTERPRISE RISK MANAGEMENT

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 are still in the process of being implemented. As a result, the combined assurance model has not yet been fully implemented. The implementation plan to address deficiencies in this area is being monitored by the committee.

AUDITOR'S REPORT

The 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, together with the report of the Auditor-General.

The committee has reviewed the entity's implementation plan for audit issues raised in the prior year and we are satisfied that the auditor's recommendations are being addressed.

Dr Len Konar

Chairperson: HSRC Audit and Risk Committee



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B-BBEE COMPLIANCE

PERFORMANCE

INFORMATION

The following table has been completed in compliance with the B-BBEE requirements of the B-BBEE Act of 2013 and as determined by the Department of Trade, Industry and Competition.

Has the Department/Public Entity applied any relevant Code of Good Practice (B-BBEE Certificate Levels 1–8) with regards to the following:		
Criteria	Response Yes/No	Discussion (include a discussion on your response and indicate what measures have been taken to comply)
Determining qualification criteria for the issuing of licences, concessions or other authorisations in respect of economic activity in terms of any law?	No	Not applicable
Developing and implementing a preferential procurement policy?	Yes	The HSRC Supply Chain Management Policy is updated with the preferential procurement regulations. Stemming from the National Treasury communication regarding the Constitutional Court judgement – Preferential Procurement Regulations, 2017 – Minister of Finance v Afribusines NPC (2022) ZACC4 Constitutional Court judgement, the applicable B-BBEE process was put on hold as of 16 February 2022. Board approved HSRC specific goals to continue with procurement in March 2022.
Determining qualification criteria for the sale of state-owned enterprises?	No	Not applicable
Developing criteria for entering into partnerships with the private sector?	No	Not applicable
Determining criteria for the awarding of incentives, grants and investment schemes in support of Broad-Based Black Economic Empowerment?	No	The HSRC does not award incentives, grants and investment schemes in support of Broad-Based Black Economic Empowerment.



HUMAN RESOURCE MANAGEMENT

1 INTRODUCTION

1.1 OVERVIEW OF HR MATTERS

April 2021 presented another year filled with opportunities, despite ongoing challenges in relation to the COVID-19 pandemic. Working from home, where applicable, became an adopted fit, fieldwork resumed, and multiple large-scale research projects demanded intense focus, planning, and razor-sharp process management.

Regrettably, due to pressures on the salary budget, the HSRC was not able to award any performance rewards. Salary increases were also not processed during the year under review, however it should be noted that increments were processed in the early part of the new financial year and backdated to 1 April 2021. The adjustments had a much-appreciated positive impact and have inspired new hope regarding attraction and retention, and aiding in the financial wellbeing of staff.

A special project was undertaken during the year, and with the input and assistance of an external service provider, the HSRC embarked on a Job Description application to inform a Job Evaluation process based on the Patterson Grading System. Part of the project included a salary benchmarking exercise and proposals regarding a revised approach to salary bands. The HSRC Board approved the revised salary band principles, and this led to a supplementary project, the implementation of a pay progression model.

On the recruitment front, there was also a change and in February 2022 the organisation moved to a new recruitment platform. The new platform provides better recruitment management functionalities and access for recruiting line managers to view applications. However,

generally, recruitment was under pressure; many posts were advertised on more than one occasion, particularly due to the need to achieve equity targets.

Reflecting on capacity development, a significant increase in skills development-related offerings was noticeable, including both technical and people skills. Conference attendance increased as lockdown rules changed and travelling became more frequent.

With the demands on the core staff infrastructure, as well as the inability to make appointments when needed, key and critical members of staff worked longer hours to meet work demands. This affected retention and at times resulted in fatigue which ultimately impacted on employee wellbeing.

Nevertheless, employee wellbeing remained a priority and monthly newsletters were distributed to share tools with staff to assist in striving towards overall good health. The annual Wellness Day was again hosted virtually, focusing on *kintsugi*, themed as “The Upside of coping with the Downside.” Wellness Day reminded all that: “Stress doesn’t come from the facts; stress comes from the meaning that we give those facts,” according to Tony Robbins. By focusing on the knowledge that one’s conviction and one’s convenience do not live in the same room, this presented opportunities for individual growth. We learned that change, success, and drive are all inconvenient and disruptive and that our stories are not meant to be our fortress but are actually meant to be our fuel. Wellness Day granted an opportunity to celebrate survival, tenacity, uniqueness, recovery, grace, mercy, and most of all – LIFE.

1.2 SET HR PRIORITIES FOR THE YEAR UNDER REVIEW AND THE IMPACT OF THESE PRIORITIES

Main HR focus areas for 2021/22

Deliverable	Indicator	Reflection
Emerging scholar transformed research capability and on-line learning	Number of conferences or training academies for emerging scholars and learning opportunities supported by a dynamic e-learning platform	Movement on the conference side was still slow. Due to COVID-19 many countries continued to maintain strict travel requirements, thus presenting very few conference attendance opportunities.
Retention	Adopt and implement a new remuneration structure/philosophy	The Job Description, Job Evaluation, and Benchmarking Project was completed in December 2021. Proposals stemming from the outcomes were tabled for EXCO and Board approval and following the Board decision in February 2022, a new remuneration structure was developed. Final approval is expected in the early part of 2021 to 2022. Additionally, backdated salary increments aided in support or retention.
Revised performance management model	Fully implemented revised performance management model which represents a paperless process	A project was undertaken to set up an on-line performance management process moving away from a paper-based process. An external specialist was sourced to help with the performance system set-up. The project will reach its end date in the first quarter of 2022/23. Numerous on-line training sessions were hosted to afford staff the opportunity to become familiar with the on-line process. Certain shortcomings were identified in terms of the actual performance approach, especially as it relates to non-research staff, and future amendments may become applicable.
Equity targeted selection	Number of equity appointments as per Strategic Plan objectives and Employment Equity Plan	The organisation's Equity Plan has been designed based on the core baseline-funded structure of the entity. However, due to the exceptional high number of staff appointed as project staff during the period under review, the actual employee count versus the plan differs significantly. Notwithstanding these vast differences, every attempt was made to make appointments in line with national economically active population numbers, taking work areas into consideration especially as they relate to projects.
HR process flow automation	The number of paper-based workflow processes successfully replaced by an automated paperless process flow	The process of scanning HR-related information onto the VIP/SAGE system proceeded, allowing the documents to flow into the HR environment. Electronically accessible information is invaluable during audit processes and was especially valuable during periods of lockdown where it was not possible to access hard copies. This will remain an ongoing focus area. However, due to limitations on available additional IT process supporting systems, outside the VIP/SAGE environment, some HR processes were not successfully replaced by an automated process flow.
Remuneration equity	Salary disparities addressed following the outcomes of the job description, job evaluation and reward project	A Pay Progression Model design project commenced towards the latter part of the reporting period, which will aid the HSRC in managing salary disparities in the future. It is envisaged that full implementation of this model will take effect in the 2022/23 financial year.

1.3 WORKFORCE PLANNING FRAMEWORK AND KEY STRATEGIES TO ATTRACT AND RECRUIT A SKILLED AND CAPABLE WORKFORCE

The HSRC Strategic Plan identified key objectives to enable transformation in terms of workforce profile and research outputs. Specific workforce targets in relation to the appointment of Senior Research Specialists and above remained a priority. However, the strain faced in relation to attraction and retention of staff, mainly based on compensation competitiveness and the nature of employment contracts, until very late during the reporting period, affected recruitment of strategically skilled employees as well as other appointments. Despite these limitations, the HSRC remains committed to appointing and developing a capable and skilled workforce.

Senior Management appointments at Director level and above, were made during the reporting period by means of both internal placements following a competitive selection process, and the appointment of externally sourced resources. Other senior research related appointments were made, mostly externally sourced, whilst internal promotions were implemented thereby contributing to further development, growth and succession of staff.

1.4 EMPLOYEE PERFORMANCE MANAGEMENT FRAMEWORK

The HSRC's management engages its employees annually to discuss performance and agree on individual performance objectives. Due to budgetary constraints and National Treasury instructions to public entities in relation to the containment of the salary bill, no performance bonuses were awarded. Twenty (20) staff members were promoted following the performance

outcomes process. The HSRC continued to celebrate team and individual success with special non-financial recognition awards. More than 70 employees were recipients of these awards.

1.5 EMPLOYEE WELLNESS PROGRAMMES

The HSRC's Employee Assistance Programme (EAP) wellness provider contract reached its full term during the latter third quarter of the year. Following a tender process, a new agreement was signed to ensure continuity towards employee assistance. Annual statistics showed trauma cases (47) and work-related problems (12) increased in relation to all other problems presented, where in the previous annual reporting period COVID-19 and family-related issues were the top presenting problems. Most employees who utilised the services were in the age group 31 to 40 years, compared to the previous year's 41 to 50 years of age. The majority of the services during the reporting period were utilised by females.

1.6 POLICY DEVELOPMENT

Seven (7) policies and or related procedures were reviewed and approved. Stemming from Board decisions during Quarter 4 of the reporting period, new policies will be designed to incorporate and align with the new decisions and will be implemented accordingly. A new HR Strategy with Business Plan, complementary to the HSRC's overall strategy, was also approved during the reporting period.

1.7 ACHIEVEMENT HIGHLIGHTS

The table below highlights achievement against the HSRC's LeaPPT+S' targets in relation to specific strategic objectives:

Partnerships (P)

Indicator Number	Key Performance Indicator	HSRC Annual Target 2021/22	HSRC Performance 2021/22
Indicator 3.5	The number of incoming international exchange visits or fellowships active during the period under review	4	7

Transformed Research Capabilities (T)

Indicator Number	Key Performance Indicator	HSRC Annual Target 2021/22	HSRC Performance 2021/22
Indicator 4.1	The percentage of senior researchers (SRS/SRM+) who are black	48%	48% (38/79 = 48.10%)
Indicator 4.2	The percentage of senior researchers (SRS/SRM+) who are female	37%	37% (29/79 = 36.71%)
Indicator 4.3	The percentage of researchers (excluding trainees) with PhDs	76%	69% (86/125 = 68.80%)
Indicator 4.4	The number of PhD trainees	27	27

Another achievement which deserves special mention is the revision of employment contracts to include permanent appointments in support of the HSRC's attraction and retention drive. Although this decision was made in February 2022, the positive impact and effect became noticeable virtually immediately.

1.8 HR CHALLENGES

The main challenges faced by the HSRC were:

- » Limited retention ability due to limited-duration appointments whilst competitors offer permanent appointments
- » Loss of key/critical skills in both research and support/shared services and difficulties in replacing them due to non-competitive remuneration packages
- » Bringing about an organisational culture change through performance management measures which are based on a weighted approach
- » The impact of non-payment of performance bonuses on staff morale
- » 0% cost-of-living increases – salary back pay was only announced in the 2022/23 financial year
- » Slow Supply Chain Management (SCM) processes to secure external Learning and Development service providers
- » Researcher capacity development which was hampered due to vacancy and appointment at the end of the third quarter
- » The lack of an e-learning platform to provide easily accessible learning opportunities for all at the HSRC
- » The immense increase in staff numbers and capacity constraints to cope with these volumes in relation to recruitment and selection; for example, an advertisement placed for one of the projects attracted more than 57 000 applications, which placed an enormous burden on staff involved in recruitment and selection processes
- » The absence of robust automated processes and/or platforms, other than VIP/SAGE, burdens and affects capacity especially when dealing with high work volumes
- » Inadequate internal platforms/systems to host skills development-related data that is available to all users to enable accurate and complete tracking of internal skills development initiatives towards the achievement of B-BBEE scoring.

1.9 FUTURE HR PLANS/GOALS

Deliverable	Indicator
Transformed workforce and recruitment planning capabilities	Develop functional workforce and recruitment plans to achieve alignment with equity imperatives and allocation letters.
Develop and implement a talent sourcing strategy	Develop and implement a talent sourcing strategy which enables the HSRC to compete for talent to improve retention.
In consultation with business, ensure that transformed organisational structures, research priorities, and transformed reward and sustainability are maintained	Undertake targeted recruitment to achieve equity targets and actively address equity barriers.
Implement a revised reward structure	Introduce and implement a pay progression model to address salary disparities in a phased approach, aligned with a revised reward structure.
Performance Management and E-performance management process	Assess and review pilot performance management approach and revise as appropriate to support sound and continuous performance management.
Effective and efficient management of recruitment process	Optimal utilisation of recruitment platform capabilities.
Effective and efficient user access to enable self-management of leave and personal information	Mobi app – VIP/SAGE.
Optimisation enabled by automated HR workflow process	Effective and efficient automated HR workflow processes contributing to a paperless environment.
Build a unified organisational identity	Employee participation and inclusivity.
Inspire a culture of work-life balance	Flexible work: Working from home – hybrid model.
Career enhancements exchange	Align talent management, performance, retention, and reward to the employee brand.
Employee value proposition	Policy revisions, and attraction and retention results.

2 HUMAN RESOURCES OVERSIGHT STATISTICS

The number of employees reflected in the tables below represents the headcount of core structure baseline funded employees appointed on either long-term contracts (12 months or longer) or permanent contracts as at 31 March 2022.

Personnel cost by programme

Programme	Total Expenditure for the HSRC (R'000)	Personnel Expenditure (R'000)	Personnel Expenditure as a % of Total Expenditure (R'000)	No. of Employees	Average Personnel Cost per Employee (R'000)
Programme 1	180 910	101 501	18.68%	201	505
Programme 2	362 425	153 881	28.32%	168	916
Total	543 335	255 382		369	692

Personnel cost by salary band

The table below represents the annual Cost to Council (CTC) for the respective occupational levels of baseline staff as per the active employee base at 31 March 2022 and excludes any other forms of compensation e.g. leave payments, travel reimbursements, etc. This expenditure includes the salary adjustment increase CTC backdated to 1 April 2021.

Occupation Level	Personnel Expenditure (R'000)	% of Personnel Expenditure to Total Personnel Cost (R'000)	No. of Employees	Average Personnel Cost per Employee (R'000)
Top Management	18 100	8.36%	11	1 645
Senior Management	28 029	12.95%	23	1 219
Professional Qualified	84 302	38.95%	99	852
Skilled	62 583	28.92%	128	489
Semi-skilled	16 946	7.83%	62	273
Unskilled	6 450	2.98%	46	140
Total	216 410	100%	369	

Performance rewards

Due to budget constraints no performance bonuses were paid during the reporting period. This was the third consecutive year in which the HSRC was not in a position to afford additional financial rewards.

Training costs

Programme	Personnel Expenditure (R'000)	Training Expenditure (R'000)	Training Expenditure as a % of Personnel Cost	No. of Employees Trained	Average Training Cost per Employee
Programme 1	101 501	529	0.52%	141	4
Programme 2	153 881	183	0.12%	128	1

During the year under review, the skills development focus enabled technical and people management skills training. Compared to the previous year, where there were 98 trainees, a total of 174 employees participated in skills training programmes in 2021/22. This increase in participation in training may be attributable to more virtual training opportunities being available and accessible. Out of the 174 employees who received training, 118 employees were female and 56 were male. Furthermore, 127 were Black Africans, 22 were Coloureds, 6 were Indians and 19 were Whites. This highlights HSRC's commitment to increasing skills amongst women and employees who are from previously disadvantaged groups in society. It is also important to note that some employees benefitted from more than one training course during the period.

Over-and-above the training courses presented by accredited service providers, the HSRC offered development opportunities to employees in terms of national, international, and regional conferences. In the latter part of 2021, decreased travel restrictions enabled employees to physically attend conferences. A total of 13 employees were able to travel and attend conferences of which six were national conferences, six were international conferences, and one was a regional conference.

The HSRC also offered 21 bursaries to employees as part of its skills development and career enhancement initiative. The bursaries varied in level, from higher certificates to Doctor of Philosophy degrees.

Employment and vacancies

The table below captures the details of all core baseline funded employees.

Programme	2020/21 No. of Employees	2021/22 Approved Posts	2021/22 No. of Employees	2021/22 Vacancies	% of Vacancies
Programme 1	201	227	201	26	11%
Programme 2	170	186	168	18	10%

Occupation Level	2020/21 No. of Employees	2021/22 Approved Posts	2021/22 No. of Employees	2021/22 Vacancies	% of Vacancies
Top Management	4	13	11	2	15%
Senior Management	22	33	20	10	30%

The Top Management position of Group Executive: Shared Services remained vacant for another year. The position was advertised on several occasions. Applications received generally did not meet the criteria or, where they did, were already earning far higher salaries than budgeted and thus not interested. The position of the CEO remained vacant despite numerous recruitment campaigns. The search is on-going with an executive search now in progress.

Recruitment was under constant pressure during the reporting period. In a few instances, the same

position has been advertised as many as six times over a two-year period. The unique skills sets required in many of the positions, and particularly in the Top and Senior Management levels, together with the related combinations available in the marketplace who would contribute to the HSRC's transformation agenda, are scarce.

Similarly, appointments to senior management positions in the research cadre, remain a challenge as these positions require very specific skill sets which are scarce and difficult to attract.

Employment changes

The HSRC has a unique business model. Due to the nature of the HSRC's business there are six payrolls hosting information on different employee categories. Baseline funded core staff employment contracts consist of both long-term contract staff (12 months or longer) and permanent staff. Similarly, in the case of project funded staff the employment contracts are either long-term or short-term (less than 12 months). Therefore, it is important to note that movements between payrolls impact reporting.

For purposes of this section the information captured represents only core staff who are baseline funded.

Salary Band	Employment at Beginning of Period*	Appointments	Terminations**	Employment at End of Period***
Top Management	13	0	2	11
Senior Management	22	3	5	23
Professional Qualified	95	18	14	99
Skilled	129	23	22	128
Semi-skilled	66	9	12	62
Unskilled	46	0	0	46
Total	371	53	55	369

In the table above the following should be noted as perceived variances:

* "Employment at Beginning of Period" – this captures the actual number of baseline funded staff only as at the beginning of the period.

** "Terminations" – include employees whose last month of service was at the end of the period i.e. March 2022.

*** "Employment at End of Period" – actual active employees as at March 2022 including employees whose employment terminated in the same month.

Calculation variance – adjustments were made to occupational levels if and when applicable.

Reasons for staff leaving

Reason	Number	% of Total Number of Staff Leaving
Death	1	1.8%
Resignation	32	58.2%
Dismissal	3	5.5%
Retirement	4	7.2%
Ill health	0	0
Expiry of contract	15	27.3%
Other	-	-
Total	55	100

The HSRC experienced 55 exits from its baseline appointees during the reporting period including those who left at the end of March 2022.

Of the three dismissals, all were misconduct related but not fraud related.

Sixteen employees took part in exit interviews during the reporting period. Eight employees indicated their reason for leaving was better salary offers and/or job security.

Labour relations: Misconduct and disciplinary action

Nature of Disciplinary Action	Number
Verbal warning	0
Written warning	4
Final written warning	2
Dismissals	4
	(note: 1 dismissal was a project funded employee)

During the reporting period, the HSRC received eight new CCMA referrals. There were, however, additional cases which carried over from previous reporting periods in relation to two former employees. In both instances the cases have been on-going since 2020.

Of the eight new case referrals, five were closed either due to settlement between the parties, or withdrawals submitted by the applicant, or late submission and condonation being unsuccessful. Two of the new referrals were subject to CCMA outcomes, and in both instances the rulings were in favour of the HSRC. In the eighth instance, conciliation was concluded, and arbitration is scheduled.

Equity target and employment equity status

As previously stated, the information captured in the tables below reflects only the baseline funded core structure of the organisation and excludes all other employment types.

The information tabled below portrays the equity profile of South African citizens employed by the HSRC in the stated category, specifically as at

31 March 2022. The HSRC also has Foreign National employees numbering 31 in total, of whom 27 are permanent residents.

The variances between the current numbers and the targeted numbers are mainly due to terminations (employees who left the HSRC). Top Management as well as Senior Management appointments have been hard to fill and numerous rounds of advertising did not yield appointments during the reporting period.

Level	Male (SA Citizens)							
	African		Coloured		Indian		White	
	Current	Target	Current	Target	Current	Target	Current	Target
Top Management	2	2	0	0	0	0	2	2
Senior Management	3	4	1	2	2	2	5	4
Professional Qualified	18	20	7	7	4	3	8	9
Skilled	32	40	6	7	2	3	0	0
Semi-skilled	20	33	0	1	1	1	0	0
Unskilled	20	20	2	2	0	0	0	0
Total	95	119	16	19	9	9	15	15

Level	Female (SA Citizens)							
	African		Coloured		Indian		White	
	Current	Target	Current	Target	Current	Target	Current	Target
Top Management	0	2	1	2	1	1	4	4
Senior Management	4	4	0	0	0	1	3	3
Professional Qualified	16	21	10	10	6	5	8	9
Skilled	57	64	16	15	3	4	9	10
Semi-skilled	34	42	6	6	1	1	0	1
Unskilled	22	21	2	2	0	1	0	0
Total	133	154	35	35	11	13	24	27



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**FINANCIAL
INFORMATION**

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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

Qualified opinion

1. I have audited the financial statements of the Human Sciences Research Council set out on pages 152 to 199, which comprise the statement of financial position as at 31 March 2022, the statement of financial performance, statement of changes in net assets, cash flow statement, statement of comparison of approved budget to actual result for the year then ended, as well as notes to the financial statements, including a summary of significant accounting policies.
2. In my opinion, except for the effects of the matter described in the basis for qualified opinion section of this report, the financial statements present fairly, in all material respects, the financial position of the Human Sciences Research Council as at 31 March 2022, and its financial performance and cash flows for the year then ended in accordance with the Standards of Generally Recognised Accounting Practice (GRAP) and the requirements of the Public Finance Management Act 1 of 1999 (PFMA).

Basis for qualified opinion

Trade and other payable – leave accrual

3. The entity did not accurately record leave accrual in the financial statements, as required by GRAP 1, Presentation of financial statements. Consequently, trade and other payables – leave accrual was understated by R11 279 222. Additionally, there was an impact on the surplus for the period and on the accumulated surplus.

Context for the opinion

4. 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.
5. I am independent of the entity in accordance with the International Ethics Standards Board for Accountants' International code of ethics for professional accountants (including International Independence Standards) (IESBA code) as well as other 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.
6. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my qualified opinion.

Emphasis of matter

7. I draw attention to the matter below. My opinion is not modified in respect of this matter.

Restatement of corresponding figures

8. As disclosed in Note 26 to the financial statements, the corresponding figures for 31 March 2021 were restated as a result of an error in the financial statements of the entity at and for the year ended, 31 March 2022.

Responsibilities of the accounting authority for the financial statements

9. The accounting authority is responsible for the preparation and fair presentation of the financial statements in accordance with GRAP and the requirements of 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.
10. 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 appropriate governance structure either intends to liquidate the entity or to cease operations, or has no realistic alternative but to do so.

REPORT OF THE AUDITOR-GENERAL TO PARLIAMENT ON THE HUMAN SCIENCES RESEARCH COUNCIL (CONTINUED)

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

11. 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.
12. 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 ANNUAL PERFORMANCE REPORT

13. In accordance with the Public Audit Act, 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 usefulness and reliability of the reported performance information against predetermined objectives presented in the annual performance report. The accounting authority is responsible for the preparation of the annual performance report.
14. I performed procedures to evaluate the usefulness and reliability of the reported performance information on selected performance indicators in accordance with the criteria developed from the performance management and reporting framework, as defined in the general notice.
15. I performed the procedures in accordance with the AGSA audit methodology. This engagement is not an assurance engagement. Accordingly, I do not express an opinion or an assurance conclusion.
16. My procedures address the usefulness and reliability of the reported performance information on the selected performance indicators, which must be based on the entity's approved performance planning documents. I have not evaluated the completeness and appropriateness of the performance indicators included in the planning documents. My procedures do not examine whether the actions taken by the entity enabled service delivery. My procedures do not extend to any disclosures or assertions relating to the extent of achievements in the current year or 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.
17. I performed procedures to determine whether the reported performance information was properly presented and whether the performance was consistent with the approved performance planning documents. I performed further procedures to determine whether the selected performance 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.
18. I selected the following material performance indicators contained in programme 2: research, development and innovation presented in the entity's annual performance report for the year ended 31 March 2022 set out on pages 42 to 48. I selected the indicators that measure the entity's performance on its primary mandated functions and which are of significant national, community or public interest.

Programme 2: Research, development and innovation performance indicators

- 1.1 The number of peer-reviewed journal articles published per HSRC researcher
- 1.2 The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa
- 1.3 The number of scholarly books published by HSRC researchers
- 1.4 The number of scholarly book chapters published by HSRC researchers
- 2.1 The number of policy briefs and/or evidence reviews completed and published
- 2.2 The number of structured research engagements with government, policy makers and implementers
- 3.1 The number of research-related engagements with communities and civil society forums
- 3.2 The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers
- 3.3 The number of community innovations supported or enabled by HSRC research
- 3.5 The number of incoming international exchange visits or fellowships active during the period under review

REPORT OF THE AUDITOR-GENERAL TO PARLIAMENT ON THE HUMAN SCIENCES RESEARCH COUNCIL (CONTINUED)

19. I did not identify any material findings on the usefulness and reliability of the reported performance information for the selected material performance indicators.

Other matter

20. I draw attention to the matter below.

Achievement of planned targets

21. Refer to the annual performance report on pages 36 to 48 for information on the achievement of planned targets for the year and management's explanations provided for the under/over achievement of targets.

REPORT ON COMPLIANCE WITH LEGISLATION

22. In accordance with the PAA and the general notice issued in terms thereof, I have a responsibility to report material findings on the entity's compliance with applicable legislation relating to financial matters, financial management and other related matters. The accounting authority is responsible for the entity's compliance with legislation.

23. I performed procedures to test compliance with selected requirements in key legislation in accordance with the AGSA audit methodology. This engagement is not an assurance engagement. Accordingly, I do not express an assurance opinion or conclusion.

24. I selected requirements in key legislation for compliance testing that are relevant to the financial and performance management of the entity, clear to allow consistent measurement and evaluation, while also sufficiently detailed and adequately available to report in an understandable manner. The selection was done through an established AGSA process. The selected legislative requirements are as follows:

Legislation	Sections or regulations
Public Finance Management Act 1 of 1999 (PFMA)	Section 51(1)(a)(iv); Sections 51(1)(b)(i); 51(1)(b)(ii); Section 51(1)(e)(iii); Sections 53(4); 54(2)(c); 54(2)(d); Sections 55(1)(a) - (b); 55(1)(c)(i); Sections 57(b); 66(3)(c); 66(5)
Treasury Regulations	TR 8.2.1; 8.2.2 TR 16A3.2(a); 16A 3.2 (fairness); TR 16A6.1; 16A6.2(a) & (b); TR 16A6.3(a) - (c); 16A6.4; TR 16A6.5; 16A6.6; TR 16A.7.1; 16A.7.3; 16A.7.6; TR 16A.7.7; 16A8.3; 16A8.4 TR 16A9.1(b)(ii); 16A9.1(d) - (f); TR 16A9.2(a)(ii); TR 30.1.1; 30.1.3(a) - (b); TR 30.1.3(d); TR 30.2.1; 31.2.1; TR 31.2.5; 31.2.7(a) TR 32.1.1(a) - (c); 33.1.1; 33.1.3
Construction Industry Development Board Act 38 of 2000 (CIDB)	Section 18(1)
CIDB Regulations	Regulations 17; 25(7A)
Preferential Procurement Policy Framework Act 5 of 2000 (PPPFA)	Sections 1(i); 2.1(a),(b) and (f)
Preferential Procurement regulations (PPR), 2011	Regulations 4.1; 4.3; 5.5; 6.1; 6.5; 7.1; Regulations 9.1; 9.5; 11.2; 11.5

REPORT OF THE AUDITOR-GENERAL TO PARLIAMENT ON THE HUMAN SCIENCES RESEARCH COUNCIL (CONTINUED)

Legislation	Sections or regulations
Preferential Procurement regulations (PPR), 2017	Regulations 4.1; 4.2; 5.1; 5.3; 5.6; 5.7; Regulations 6.1; 6.2; 6.3; 6.5; 6.6; 6.8; Regulations 7.1; 7.2; 7.3; 7.5; 7.6; 7.8; Regulations 8.2; 8.5; 9.1; 10.1; 10.2; Regulations 11.1; 11.2
Prevention and Combating of Corrupt Activities Act 12 of 2004 (PRECCA)	Section 34(1)
NT SCM Instruction Note 05 of 2009/10	Par 3.3
NT SCM Instruction Note 04 of 2015/16	Par 3.4
NT SCM Instruction Note 03 of 2016/17	Par 8.1; 8.2; 8.3; 8.5
NT SCM Instruction Note 4A of 2016/17	Par 6
NT SCM Instruction Note 07 of 2017/18	Par 4.3
NT SCM Instruction note 03 of 2019/20 [Annexure A – FIPDM]	Par 5.5.1(vi); 5.5.1(x)
NT SCM Instruction Note 08 of 2019/20	Par 3.1.1; 3.6; 3.7.2; 3.7.6(i)–(iii)
NT SCM Instruction Note 03 of 2020/21	Par 3.6; 3.7; 5.1(i); 6.1; 6.3
NT SCM Instruction Note 05 of 2020/21	Par 3.2; 3.7; 4.3; 4.6; 4.8; 4.9; 5.3
Erratum NT SCM Instruction Note 05 of 2020/21	Par 1; 2
Second Amendment to NT SCM Instruction Note 05 of 2020/21	Par 1
NT Instruction Note 11 of 2020/21	Par 3.1; 3.4(b); 3.9
NT SCM Instruction Note 02 of 2021/22	Par 3.2.1; 3.2.4(a); 3.3.1; 4.1
SCM Practice Note 8 of 2007/08	Par 3.3.1; 3.3.3; 3.4.1; 3.5
SCM Practice Note 7 of 2009/10	Par 4.1.2

25. The material findings on compliance with the selected legislative requirements, presented per compliance theme, are as follows:

Annual financial statement, performance and annual report

26. The financial statements submitted for auditing were not prepared in accordance with the prescribed financial reporting framework and supported by full and proper records, as required by section 55(1) (a) and (b) of the PFMA. Material misstatements of disclosure items identified by the auditors in the submitted financial statements were corrected but the uncorrected material misstatements resulted in the financial statements receiving a qualified opinion.

Procurement and contract management

27. Some of the invitations for competitive bidding were not advertised for a required minimum period, as required by Treasury Regulation 16A6.3(c).

28. I was unable to obtain sufficient appropriate audit evidence that bid documentation and invitations to tender for procurement of commodities designated for local content and production stipulated the minimum threshold for local production and content, as required by the 2017 Preferential Procurement Regulation 8(2).

Consequence management

29. I was unable to obtain sufficient appropriate audit evidence that disciplinary steps were taken against officials who had incurred irregular expenditure as required by Section 51(1)(e)(iii) of the PFMA. This was because investigations into irregular expenditure were not performed.

REPORT OF THE AUDITOR-GENERAL TO PARLIAMENT ON THE HUMAN SCIENCES RESEARCH COUNCIL (CONTINUED)

OTHER INFORMATION

30. The accounting authority is responsible for the other information. The other information comprises the information included in the annual report. The other information does not include the financial statements, the auditor's report and those selected material indicators in the scoped-in programme presented in the annual performance report that have been specifically reported in this auditor's report.
31. My opinion on the financial statements and material 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 on it.
32. 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 material indicators in the scoped-in programme presented in the annual performance report, or my knowledge obtained in the audit, or otherwise appears to be materially misstated.
33. I did not receive the other information prior to the date of this auditor's report. When I do receive and read this information, if I conclude that there is a material misstatement therein, 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 the auditor's report and re-issue an amended report as appropriate. However, if it is corrected this will not be necessary.

INTERNAL CONTROL DEFICIENCIES

34. 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. The matters reported below are limited to the significant internal control deficiencies that resulted in the basis for the qualified opinion and the findings on compliance with legislation included in this report.
35. Management did not ensure effective monitoring of compliance with applicable legislation resulting in irregular expenditure and material misstatements in the financial statements. Effective and constant consequence management was not always in place.

MATERIAL IRREGULARITIES

36. In accordance with the PAA and the Material Irregularity Regulations, I have a responsibility to report on material irregularities identified during the audit.

Material irregularities in progress

37. I identified a material irregularity during the audit and notified the accounting authority, as required by Material Irregularity Regulation 3(2). By the date of this auditor's report, I had not yet completed the process of evaluating the response from the accounting authority. This material irregularity will be included in next year's auditor's report.

Auditor-General

31 July 2022



AUDITOR-GENERAL
SOUTH AFRICA

Auditing to build public confidence

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 selected programmes 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 accounting authority
 - » conclude on the appropriateness of the accounting authority's use of the going concern basis of accounting in the preparation of the financial statements. I also conclude, based on the audit evidence obtained, whether a material uncertainty exists relating to events or conditions that may cast significant doubt on the ability of the entity 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 my 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 operating as a going concern
 - » evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and determine 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 provide the accounting authority with a statement that I have complied with relevant ethical requirements regarding independence, and communicate with them all relationships and other matters that may reasonably be thought to have bearing on my independence and, where applicable, actions taken to eliminate threats or safeguards applied.

APPROVAL OF THE ANNUAL FINANCIAL STATEMENTS

The HSRC Board has reviewed and approved the accompanying Annual Financial Statements of the HSRC for the year ended 31 March 2022. These have been prepared in accordance with Generally Recognised Accounting Practice (GRAP) standards, and all applicable Public Finance Management Act (PFMA) disclosure requirements have been adhered to. This set of Annual Financial Statements represents a true reflection of the HSRC's financial performance, position and changes in cash flow movements for the financial year ended 31 March 2022. The Board has delegated authority to the Chief Executive Officer (CEO) to submit the Annual Financial Statements to the Auditor-General South Africa (AGSA), Department of Science and Innovation and National Treasury on its behalf.



Prof. Leickness Simbayi

Acting Chief Executive Officer

31 July 2022

STATEMENT OF FINANCIAL POSITION

AS AT 31 MARCH 2022

	Notes	2022 March R'000	2021* March R'000
Assets			
Current assets			
Cash and cash equivalents	1	174 890	206 229
Trade and other receivables	2	102 564	71 085
Inventories	3	5 108	3 398
Pre-payments and advances – Short-term portion	4	8 716	7 041
VAT receivable	5	4 434	1 224
		295 712	288 977
Non-current assets			
Property, plant and equipment	6	276 798	272 807
Intangible assets	6	1 044	1 247
Pre-payments and advances – Long-term portion	4	101	159
Operating lease receivables	7	3 938	2 583
		281 881	276 796
Total assets		577 593	565 773
Liabilities			
Current liabilities			
Trade and other payables	8	49 836	55 770
Income received in advance	9	131 048	159 072
Post-retirement medical aid liability – Short-term portion	12	323	346
Provisions	11	12 286	12 286
		193 493	227 474
Non-current liabilities			
Post-retirement medical aid liability – Long-term portion	12	1 668	2 077
Operating lease accruals	7	324	650
		1 992	2 727
Total liabilities		195 485	230 201
Net assets		382 108	335 572
Net assets			
Reserves		256 017	255 137
Accumulated surplus		126 091	80 437
Total equities		382 108	335 572
Total equities and liabilities		577 593	565 773

* Comparative figures have been restated due to reclassifications and prior period adjustments.

STATEMENT OF FINANCIAL PERFORMANCE

FOR THE PERIOD ENDED 31 MARCH 2022

	Notes	2022 March R'000	2021* March R'000
Revenue		588 987	411 193
Research revenue (from exchange transactions)	14.1	280 088	116 948
Parliamentary grants (from non-exchange transactions)	14.2	273 386	251 587
Other operating revenue	15	35 513	42 658
Expenses		(543 333)	(391 211)
Administrative expenses	16	(38 932)	(31 821)
Research cost	17	(199 835)	(70 634)
Staff cost	18	(255 382)	(245 503)
Other operating expenses	19	(31 477)	(32 817)
Finance cost	20	(1 096)	(542)
Depreciation, amortisation and impairment expense	21	(16 611)	(9 894)
Surplus/(Deficit) for the year	13	45 654	19 982

* Comparative figures have been restated due to reclassifications and prior period adjustments.

STATEMENT OF CHANGES IN NET ASSETS

AS AT 31 MARCH 2022

	Notes	Revaluation Reserve R'000	Total Reserves R'000	Accumulated Surplus R'000	Total Net Assets R'000
Opening balance at 1 April 2020		255 137	255 137	70 573	325 710
Adjustment to accumulated surplus				(10 118)	(10 118)
Restated opening balance as at 1 April 2020				60 455	
*Adjusted surplus for the year		-	-	19 982	19 982
Reported surplus for the year				22 491	
Prior period adjustments	26.1			(2 510)	
*Restated opening balance as reported 1 April 2021		255 137	255 137	80 437	335 574
Surplus for the year		-	-	45 654	45 654
Revaluation surplus		880	880	-	880
Balance as at 31 March 2022		256 017	256 017	126 091	382 108

* Accumulated surplus has been restated due to reclassifications and prior period adjustments.

CASH FLOW STATEMENT

FOR THE PERIOD ENDED 31 MARCH 2022

	Notes	2022 March R'000	2021 March R'000
Cash flows from operating activities			
Receipts			
Parliamentary grant		314 394	319 220
Interest received		7 047	6 489
Other receipts		602 304	320 572
Taxation (VAT receipts)		-	-
		923 745	646 281
Payments			
Employee costs		(331 771)	(251 954)
Suppliers		(166 792)	(108 965)
Parliamentary grant refund		-	(29 895)
Other payments		(436 791)	(193 467)
		(935 354)	(584 281)
Net cash flows from operating activities	22	(11 609)	62 000
Cash flows from investing activities			
Purchase of property, plant and equipment		(19 736)	(7 182)
Proceeds from disposal of property, plant and equipment		6	-
Net cash flows from investing activities		(19 730)	(7 182)
Net increase/(decrease) in net cash and cash equivalents		(31 339)	54 818
Net cash and cash equivalents at beginning of year (1 April)		206 229	151 411
Net cash and cash equivalents at the end of March	1	174 890	206 229

STATEMENT OF COMPARISON OF APPROVED BUDGET WITH ACTUAL RESULTS

FOR THE PERIOD ENDED 31 MARCH 2022

	Budget Notes	2021/22 R'000 Actual Results	2021/22 R'000 Approved Budget	Percentage Achieved	Variance R'000
Revenue		588 987	541 153	109%	47 834
Research revenue	30	280 088	229 068	122%	51 020
Parliamentary grants	30	260 150	260 150	100%	-
Parliamentary grants – Ring-fenced	30	13 236	13 236	100%	-
Other operating revenue	30	35 513	38 699	92%	(3 186)
Expenses		(543 333)	(541 153)	100%	(2 180)
Administrative expenses	30	(38 932)	(51 743)	75%	12 811
Research cost	30	(199 835)	(138 163)	145%	(61 672)
Staff cost	30	(255 382)	(273 386)	93%	18 004
Other operating expenses (incl. finance cost)	30	(32 573)	(62 890)	52%	30 317
Depreciation, amortisation and impairment expense	30	(16 611)	(14 971)	111%	(1 640)
Surplus/(Deficit) for the year		45 654	-	100%	45 654

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 of accounting. Budget and actual amounts reflected exclude VAT.

ACCOUNTING POLICIES

FOR THE PERIOD ENDED 31 MARCH 2022

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 entities 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.

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 basis. 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 the 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 HSRC 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 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 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

ACCOUNTING POLICIES FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

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 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

1.5.2 Revenue from non-exchange transactions

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

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

1.5.2.1 Parliamentary grants

Revenue from parliamentary grants is measured at the amount of the Medium-Term Expenditure Framework (MTEF) allocation received by the entity, 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.

1.5.2.2 Other non-exchange revenues resulting in recognition of assets

Assets and revenue arising from transfer transactions are recognised in the period in which the transfer arrangement becomes binding. Where a transfer is subject to conditions that, if unfulfilled, require the return of the transferred resources, the entity recognises a liability until the condition is fulfilled.

1.6 Income tax

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

1.7 Property, plant and equipment

1.7.1 Initial recognition of cost

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

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

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

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

Land and buildings are measured at fair value less accumulated depreciation on buildings and impairment losses recognised after the date of the revaluation. Valuations of 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 considering 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 surplus that occurs 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.

ACCOUNTING POLICIES FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

A revaluation deficit is recognised in the Statement of Financial Performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

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

1.7.2 Depreciation of assets

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

1.7.2.1 Freehold land

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

1.7.2.2 Freehold buildings

- » Lifts
- » Telephone system
- » Fixtures
- » Buildings

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

Lifts	25 years
Telephone system	25 years
Fixtures	25 years
Buildings	25–100 years
Leasehold improvements	Amortised over the period of the lease

1.7.2.3 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)

1.7.2.4 Leasehold assets

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

1.7.2.5 Donor funded assets

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

1.7.3 Derecognition of assets

An item of property, plant and equipment is derecognised 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 derecognition of the asset (calculated as the difference between the net disposal proceeds and the carrying amount of the asset) is included in the Statement of Financial Performance in the year the asset is derecognised.

1.7.4 Repairs and maintenance

Repairs and maintenance are expensed in the period they 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.

1.7.5 Key estimates and assumptions applied by management on property, plant and equipment

1.7.5.1 Property, plant and equipment and intangible assets

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

1.7.5.2 Revaluation of property, plant and equipment

The HSRC measures its land and buildings at revalued amounts with changes in fair value being recognised in the Statement of Changes in Net Assets. The entity engaged independent valuation specialists to determine fair value on 1 November 2020, thereby impacting depreciation and the carrying amount for the

ACCOUNTING POLICIES FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

2020/21 financial year. The key assumptions used to determine the fair value of the land and buildings are further explained in Notes 6.1 and 6.2.

1.8 Intangible assets

1.8.1 Initial recognition

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

An intangible asset is recognised when:

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

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

1.8.2 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 to write off the cost of intangible assets over their estimated useful lives, using the straight-line method as follows:

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

1.8.3 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 is charged to the Statement of Financial Performance.

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

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

1.9 Inventory

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

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

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

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

1.10 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.

ACCOUNTING POLICIES FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

1.10.1 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.

1.10.2 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.

1.10.3 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. The 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.

1.10.4 Key estimates and assumptions applied by management

1.10.4.1 Property, plant and equipment and intangible assets

Property, plant and equipment and intangible assets are depreciated over their useful lives, considering residual values, where appropriate. The actual lives of the assets and residual values are assessed annually and may vary depending on several factors. In re-assessing asset lives, factors such as technological innovation and maintenance programmes are considered. Residual value assessments consider issues such as future market conditions, the remaining life of the asset and projected disposal values. The HSRC reassessed assets useful lives as at 31 March 2022, with depreciation decreasing by R4 million annually in future financial years.

1.11 Employee benefits

1.11.1 Short-term employee benefits

The cost of short-term employee benefits (those payable within 12 months after the service is rendered, such as cost-to-company (CTC), allowances and performance bonuses) are recognised in the period in which the service is rendered and are not discounted.

1.11.2 Post-employment benefit costs

1.11.2.1 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).

1.11.2.2 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.

1.11.3 Key estimates and assumptions applied by management on employee benefits

1.11.3.1 Post-retirement medical aid benefits

The cost of post-employment medical benefits is determined using actuarial valuations. The actuarial

ACCOUNTING POLICIES FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

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 2022.

1.11.3.1 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.

1.12 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.

1.13 Provisions and contingencies

Provisions are recognised when:

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

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

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

1.14 Financial instruments, commitments and contingent assets/liabilities

1.14.1 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.

1.14.2 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.

1.14.3 Cash and cash equivalents

Cash and cash equivalents in the Statement of Financial Position comprises of cash at banks and on hand, including funds invested in call accounts held with our bankers and the South African 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.

1.14.4 Other financial assets

Other financial assets are carried in the Statement of Financial Position at cost.

1.14.5 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.

1.14.6 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.

ACCOUNTING POLICIES FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

1.14.7 Key judgements and estimates applied by management on financial instruments

1.14.7.1 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 a 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.

1.15 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 of state have been disclosed, including those entities falling within the stable of the Department of Science and Innovation (DSI). 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.

1.16 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.

1.17 Pre-payments 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 pre-payment 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. Pre-payments 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 suppliers.

1.18 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 and it must be incurred upon recognition of a financial transactions as:

- (i) An expenditure in accordance with the Accounting Framework applicable to departments and government components operating on a modified cash basis of accounting;
- (ii) A liability in accordance with the Accounting Framework applicable to government components, constitutional institutions, trading entities and public entities operating on an accrual basis of accounting

When confirmed, irregular expenditure must be recorded in the notes to the financial statements. The amount to be recorded in the notes must be equal to the value of the irregular expenditure incurred unless it is impracticable to determine the value thereof.

Where such impracticability exists, the reasons therefore must be provided in the notes. Irregular expenditure must be removed from the notes when it is either (a) condoned by the National Treasury or the relevant authority; (b) it is transferred to receivables for recovery; or (c) it is not condoned and is irrecoverable. A receivable related to irregular expenditure is measured at the amount that is expected to be recovered and must be de-recognised when the receivable is settled or subsequently written off as irrecoverable.

ACCOUNTING POLICIES FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

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 is recovered from the person responsible or written off as irrecoverable in the Statement of Financial Performance.

1.19 Standards issued and not yet effective

At the date of authorisation of these financial statements, the following accounting standards of GRAP were in issue, but not yet effective:

- » GRAP 104 – Financial instruments – Effective from 1 April 2025
- » GRAP 25 – Employee benefits – Effective date to be determined
- » IGRAP 7 – Limit on a defined benefit asset minimum fund requirement and interact – Effective date to be determined
- » IGRAP 21 – The effect of past decisions on materiality – Effective from 1 April 2023

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.

1.20 Segment reporting information

The HSRC manages the operations as a combined operation 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.

1.21 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 PERIOD ENDED 31 MARCH 2022

	2022 March R'000	2021* March R'000
1 Cash and cash equivalents		
Cash at bank	22 120	17 911
Cash on hand	60	80
Short-term Investments**	152 710	188 238
	174 890	206 229
** 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 2022.		
2 Trade and other receivables		
Trade receivables***	85 561	64 056
Other receivables	19 347	9 751
Less: Impairment allowance	(2 344)	(2 722)
	102 564	71 085
***Included in trade receivables is research work completed and not yet invoiced. Revenue is recognised using the stage of completion method. Details are shown below:		
Work in progress – Provision	28 682	6 898
	28 682	6 898
2.1 Ageing of trade receivables		
Current (0–30 days)	78 475	56 738
31–60 days	3 754	4 316
61–90 days	1 998	882
91–120 days	642	1 005
+ 121 days	692	1 115
Balance at 31 March	85 561	64 056
2.2 Ageing of other receivables		
Current (0–30 days)	15 216	3 609
31–60 days	1 634	603
61–90 days	743	299
91–120 days	102	2 000
+ 121 days	1 652	3 240

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
Balance at 31 March	19 347	9 751
2.3 Impairment allowance: Ageing		
+ 121 days	(2 344)	(2 722)
Balance at 31 March	(2 344)	(2 722)
2.4 Reconciliation of the impairment allowance		
Balance at beginning of the year	(2 722)	(2 695)
Movement for the year	378	(27)
Balance at 31 March	(2 344)	(2 722)
2.5 Trade and other receivables past due but not impaired		
Trade and other receivables which are less than three months past the due payment date are not considered to be impaired as at 31 March 2022.		
30 days past due	5 388	4 919
60 days past due	2 741	1 181
90 days past due	744	3 005
	8 873	9 105
2.6 Trade and other receivables impaired		
As at 31 March 2022, trade and other receivables of R2 344 483 (2021: R2 721 950) were impaired and provided for. The ageing of these receivables is as follows:		
Over 120 days	2 344	2 722
	2 344	2 722

The fair value of trade receivables approximates their carrying amounts.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
* Comparative figures have been restated due to reclassifications and prior period adjustments.		
3 Inventories		
Finished goods***	4 820	3 398
Publications	4 820	3 398
Work in progress**	288	-
	5 108	3 398
Cost of goods sold		
AISA Publications and HSRC Press	1 237	2 105
	1 237	2 105
** No work in progress for publications was recognised as at 31 March 2021.		
***Publications to the value of R1 071 355 (2021: R345 161) were written off and expensed in the statement of financial performance.		
***Publications to the value of R1 210 135 (2021: R194 561) were written down in the statement of financial performance due to cost that exceeded the net realisable value.		
4 Pre-payments and advances – Long-term portion		
Prepayments and advances (short-term)**	8 716	7 041
Prepayments and advances (long-term)***	101	159
Total	8 817	7 200
** Short-term prepayments are largely made up of subscriptions to software, pre-paid electricity, advanced partner payments 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 Value Added Tax		
VAT receivable	4 434	1 224

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March Carrying Amounts R'000	2021* March Carrying Amounts R'000
6 Summary of property, plant and equipment		
Land and buildings	226 520	230 895
Leasehold improvements	1	7
Artwork	1 390	1 096
Motor vehicles	14 342	15 753
Office furniture	7 144	7 353
Equipment	13 298	9 321
Computer equipment	13 978	8 261
Medical equipment	125	121
	276 798	272 807
Summary of intangible assets		
Software	42	112
Usage rights	1 002	1 135
	1 044	1 247
Total assets	277 842	274 054

For detailed disclosures refer to Notes 6.1 to 6.2

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

6.1 Property, plant and equipment

Reconciliation of carrying value	Total R'000	Land and Buildings R'000	Leasehold Improvements R'000	Artwork R'000	Motor Vehicles R'000	Office Furniture R'000	Equipment R'000	Computer Equipment R'000	Medical Equipment R'000
Balance as at 31 March 2022	272 807	230 895	7	1 096	15 753	7 353	9 321	8 261	121
Opening net carrying amount	385 323	266 858	13 621	2 103	20 172	13 800	28 681	37 731	2 357
Gross carrying amount	(112 516)	(35 963)	(13 614)	(1 007)	(4 419)	(6 447)	(19 360)	(29 470)	(2 236)
Accumulated depreciation									
Additions and revaluations	20 616	-	777	880	-	49	9 535	9 296	79
Additions	19 736	-	777	-	-	49	9 535	9 296	79
Revaluation	880	-	-	880	-	-	-	-	-
Assets reclassification	29	-	-	-	-	-	29	-	-
Cost	29	-	-	-	-	-	29	-	-
Accumulated depreciation	-	-	-	-	-	-	-	-	-
Disposals	(247)	-	-	(74)	-	-	(124)	(49)	-
Cost of disposal	(597)	-	-	(147)	-	-	(351)	(99)	-
Accumulated depreciation of disposal	350	-	-	73	-	-	227	50	-
Depreciation	(16 408)	(4 375)	(783)	(512)	(1 411)	(258)	(5 464)	(3 530)	(75)
Closing net carrying amount	276 798	226 520	1	1 390	14 342	7 144	13 298	13 978	125
Gross carrying amount	405 371	266 858	14 398	2 836	20 172	13 849	37 894	46 928	2 436
Accumulated depreciation	(128 574)	(40 338)	(14 397)	(1 446)	(5 830)	(6 705)	(24 597)	(32 950)	(2 311)
Historical cost would have been:	76 319	75 541		778					

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

The land is registered as Stand 3242 Pretoria, measuring 7 655 m², Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. The building's 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 1 November 2020 by an independent valuer, Mr M Vernooy of Rode Property Consultants, Valuers and Town Planners (Pty) Ltd, using comparable sales as well as income capitalisation methods 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 10% 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, rates of return on other investments, as well as mortgage rates. The building is not held as security for any obligations.

The artwork valuation for 2020/21 has been conducted and accounted for in the 2021/22 financial year.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

6.1 Property, plant and equipment (continued)

Reconciliation of carrying value	Total R'000	Land and Buildings R'000	Leasehold Improvements R'000	Artwork R'000	Motor Vehicles R'000	Office Furniture R'000	Equipment R'000	Computer Equipment R'000	Medical Equipment R'000
Balance as at 31 March 2021									
Opening net carrying amount	412 877	372 970	64	1 178	17 048	7 588	6 851	6 993	184
Gross carrying amount	516 286	404 559	13 621	2 103	20 106	13 800	25 083	34 657	2 357
Accumulated depreciation	(103 409)	(31 588)	(13 557)	(925)	(3 058)	(6 212)	(18 232)	(27 664)	(2 173)
Additions and revaluations	(130 519)	(137 701)	-	-	66	-	3 852	3 264	-
Revaluation	(137 701)	(137 701)							
Additions	7 182	-	-	-	66	-	3 852	3 264	-
Assets reclassification	-	-	-	-	-	-	-	-	-
Cost	-	-	-	-	-	-	-	-	-
Accumulated depreciation	-	-	-	-	-	-	-	-	-
Disposals	(43)	-	-	-	-	-	(10)	(33)	-
Cost of disposal	(444)	-	-	-	-	-	(254)	(190)	-
Accumulated depreciation of disposal	401	-	-	-	-	-	244	157	-
Depreciation	(9 508)	(4 375)	(57)	(82)	(1 361)	(235)	(1 372)	(1 963)	(63)
Closing net carrying amount	272 807	230 895	7	1 096	15 753	7 353	9 321	8 261	121
Gross carrying amount	385 323	266 858	13 621	2 103	20 172	13 800	28 681	37 731	2 357
Accumulated depreciation	(112 516)	(35 963)	(13 614)	(1 007)	(4 419)	(6 447)	(19 360)	(29 470)	(2 236)
Historical cost would have been:	76 319	75 541							849

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

The land is registered as Stand 3242 Pretoria, measuring 7 655 m², Registration division JR, Transvaal and is situated at 134 Pretorius Street, Pretoria. The building's 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 1 November 2020 by an independent valuer, Mr M Vernooy of Rode Property Consultants, Valuers and Town Planners (Pty) Ltd, using comparable sales and as well as income capitalisation methods 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 10% 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, rates of return on other investments, as well as mortgage rates. The building is not held as security for any obligations.

The artwork valuation for 2020/21 was conducted and accounted for in the 2021/22 financial year.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

6.2 Intangible assets

Reconciliation of carrying value	Total R'000	Software R'000	Usage Rights R'000
Balance as at 31 March 2022			
Opening net carrying amount	1 247	112	1 135
Gross carrying amount	5 172	2 509	2 663
Accumulated depreciation	(3 925)	(2 397)	(1 528)
Additions and revaluations	-	-	-
Additions processed in the year	-	-	-
Disposal	-	-	-
Cost of disposal	-	-	-
Accumulated amortisation of disposal	-	-	-
Amortisation	(203)	(70)	(133)
Amortisation	(203)	(70)	(133)
Closing net carrying amount	1 044	42	1 002
Gross carrying amount	5 172	2 509	2 663
Accumulated depreciation	(4 128)	(2 467)	(1 661)
Balance as at 31 March 2021			
Opening net carrying amount	1 633	365	1 269
Gross carrying amount	5 172	2 509	2 663
Accumulated depreciation	(3 539)	(2 145)	(1 394)
Additions and revaluations	-	-	-
Additions processed in the year	-	-	-
Disposal	-	-	-
Cost of disposal	-	-	-
Accumulated amortisation of disposal	-	-	-
Amortisation	(386)	(252)	(134)
Amortisation	(386)	(252)	(134)
Closing net carrying amount	1 247	112	1 135
Gross carrying amount	5 172	2 509	2 663
Accumulated depreciation	(3 925)	(2 397)	(1 528)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
7 Operating lease receivables and accruals		
Operating lease receivables – Lessor		
Opening balance at 1 April	2 583	10
Movement for the year	1 355	2 573
Balance at 31 March	3 938	2 583
Operating lease accruals – Lessee		
Opening balance at 1 April	(650)	(412)
Movement for the year	326	(238)
Balance at 31 March	(324)	(650)
7.1 Operating lease arrangements as the lessee:		
7.1.1 Future minimum lease payments		
Up to 12 months		
Cape Town lease	4 627	8 952
Durban lease	1 247	990
Sweetwaters lease	221	205
	6 095	10 147
One year to five years		
Cape Town lease	-	4 627
Durban lease	864	-
Sweetwaters lease	216	437
	1 080	5 064

* Comparative figures have been restated due to reclassifications and prior period adjustments.

7.1.2 Other disclosures

Cape Town lease agreement

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 three-year period effective from 1 October 2019 and terminates on 30 September 2022. The current lease payment per month is R771 211 (VAT excluded). The contract includes an annual escalation of 7% (compounded) annually. The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the lease agreement.

Durban lease agreement

The HSRC leases property in Durban from Roelan Trading 45 (Proprietary) Limited, situated at Erf 21 (of 1) of Erf 2128 Durban, Portion 16 of Erf 2133 Durban, Portion 18 (of 1) of Erf 2128 Durban, Rem of Portion of Erf 2133 Durban. The lease agreement was for three years effective from 1 December 2015 and expired on 30 November 2018. The lease agreement was renewed for a further three years, expiring on 30 November 2021. The lease has been subsequently renewed from 1 December 2021 for an additional 24 months with an annual 6% escalation rate. The current lease payment per month is R101 860 (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.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

Sweetwaters lease agreement

A lease agreement was signed between the HSRC and Mr FA Bhayla in respect of a property referred to as Sweetwaters Bus Depot. The agreement came into operation on 1 March 2008 and was valid for five years. The lease agreement was renewed on 1 March 2013 for an additional three years and expired on 29 February 2016, after which it was renewed for another five years, expiring on 28 February 2021. A renewal of the contract has been concluded for 36 months and is effective from 1 March 2021. The current lease payment per month is R19 645 (VAT excluded). The contract includes an annual escalation of 7.5% (compounded). The HSRC does not have the option to acquire the building.

Reconciliation of carrying value	2022 March R'000	2021* March R'000
7.2 Operating lease arrangements as the lessor:		
7.2.1 Future minimum lease payments		
Up to 12 months		
Department of Public Works lease	22 711	21 425
Evolution Technology Group	-	89
	22 711	21 514
One year to five years		
Department of Public Works lease	49 591	72 301
Evolution Technology Group	-	-
	49 591	72 301

* Comparative figures have been restated due to reclassifications and prior period adjustments.

Other disclosures

Department of Public Works lease (Pretoria)

The operating lease is undertaken between the HSRC (the lessor) and the Pretoria DPW (Pty) Ltd (the lessee). The leased premises are situated on floors 2 to 8 at 134 Pretorius Street, Pretoria. The lease commenced on 1 April 2020 for a five year period. The monthly rental receivable is R1 785 418.52 (excluding VAT). The rental amount will escalate based on the consumer price index (CPI), which is 6%, from the second year to the fifth year of the lease agreement. The lease agreement will be terminated on 31 March 2025.

Evolution Technology Group

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, situated on the 1st floor, 134 Pretorius Street, Pretoria. The lease commenced on 1 January 2019 and expired on 31 December 2021. The monthly rental receivable was R9 942 (excluding VAT), with an escalation clause of 10% compounded annually. The lease with Evolution Technology Group was discontinued in the current financial year.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
Reconciliation of carrying value		
8 Trade and other payables		
Trade creditors	9 559	2 046
Accruals	21 816	36 991
Leave accrual	18 461	16 733
	49 836	55 770
<p>The HSRC considers that the carrying amount of trade and other payables approximate their fair value.</p>		
Leave accrual		
Opening balance	16 733	17 412
Additional accrual	10 544	15 605
Leave forfeiture	(2 272)	-
Amounts paid during the year	(3 752)	(2 641)
Amounts utilised during the year	(2 792)	(13 643)
Closing balance	18 461	16 733
<p>Leave pay accrual reduces when an employee takes official leave days or leaves the HSRC and the leave is paid out to the employee. Leave accrual is capped at leave days accrued in a 12-month cycle. A change in the official leave policy resulted in forfeiture of staff's accrued leave that took place in the current financial year.</p>		
9 Income received in advance		
Bill & Melinda Gates Foundation	20 333	830
City of Tshwane	140	140
Department of Public Works	503	503
Department of Rural Development	159	159
Department of Science and Innovation – Building and maintenance	-	470
Department of Science and Innovation	8 548	22 322
Ford Foundation	183	183
Department of Science and Innovation – PYEI Project	5 687	-
Department of Science and Innovation – DSI-NRF	7 321	-
Mannion Daniels Ltd	-	6 867
Department of Agriculture, Forestry and Fisheries	37 569	66 031
Mellon Foundation	498	824
Other projects/funding agencies	38 951	42 906
Solidarity Fund	-	7 803
South African National AIDS Council	670	713
Mastercard Foundation	9 734	8 569
USAID	444	444
World Health Organization	308	308
	131 048	159 072

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

Reconciliation of carrying value	2022 March R'000	2021* March R'000
10 Capital and expenditure commitments		
Approved and contracted	7 471	12 663
Total commitments	7 471	12 663
Capital expenditure	7 471	12 663
Total	7 471	12 663
Less than one year	6 193	4 218
More than one year	1 278	8 445
Total	7 471	12 663
A significant value of the commitments consist of project-related expenses (funded by various funders).		
11 Provisions		
Provision for PAYE	12 286	12 286
	12 286	12 286
Provision was made in the current financial year for a PAYE liability incurred in the 2016/17 financial year.		
Analysis of movements in provisions		
Provision for PAYE		
Opening balance	12 286	10 747
Additional provision	-	1 539
Amounts paid during the year	-	-
Closing balance	12 286	12 286

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
12 Post-retirement medical benefits		
12.1 Defined contribution plan		
The HSRC has the following post-retirement medical aid obligations as at 31 March 2022:		
Present value of obligation	1 991	2 423
Liability recognised in the balance sheet	1 991	2 423
Reconciliation of defined benefit obligation (DBO)		
Present value of obligation at beginning of year	2 423	2 343
Interest cost	179	219
Current service cost	15	12
Benefits paid	(346)	(390)
(Gain)/Loss from change in financial assumptions	(280)	239
Present value of obligation at year end	1 991	2 423
Reconciliation of current and long-term portion of liability	1 991	2 423
Current portion of liability (due within 12 months)	323	346
Non-current portion of liability	1 668	2 077

* Comparative figures have been restated due to reclassifications and prior period adjustments.

12.2 Liabilities

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

- » The liability in respect of existing continuation members; and
- » The liability in respect of members in active employment.

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

Members contribute at a rate according to tables of contribution rates which differentiate between them on the type and number of dependants. Some options also differentiate on the basis of income. The eligible employees were entitled to receive a subsidy of 50% of their medical scheme contributions at retirement. However, at retirement, the employer's subsidy is fixed in Rand terms. Continuation members are subsidised on the same principle.

The previous assessment of the liability with regard to subsidies for continuation member healthcare costs was done on 31 March 2021. The next assessment of the liabilities needs to be performed at the next financial year-end, being 31 March 2023.

12.3 Particulars of the liabilities

The current Discovery Health continuation member receives a fixed employer subsidy which does not increase with medical inflation. The AISA and HSRC post-retirement medical subsidy benefit schemes were combined from 1 April 2014.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

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	
	2022	2021	2022	2021
Male members (Age band: 50–54)	1	1	31.2	30.2
Total/weighted average	1	1	31.2	30.2

The average age of the member was 54.6 years as at 31 March 2022, compared to 53.6 years as at 31 March 2021. Average monthly employer contributions: 2022 – R2 968 (2021 – R2 167).

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		Average Weighted Age – Years	
	2022	2021	2022	2021	2022	2021
Total/weighted average	56	58	499	516	86.4	85.4

The table below summarises the profile of the continuation pensioners subsidized by the HSRC as at 31 March 2022:

Age band: < 50	0
Age band: 51–65	1
Age band: 66–75	1
Age band: >75	54

12.4 Key financial assumptions

12.4.1 Summary assumptions

The economic assumptions for the 31 March 2022 valuation are shown in the table below, and compared to those used as at the previous valuation date.

	% per annum	
	2022	2021
Discount rate	8.58	7.94
Consumer Price Inflation	5.90	4.27
Healthcare cost inflation rate – In service employees	-	5.77
Net discount rate	8.58	2.05

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

12.4.1.1 Discount rate

GRAP 25 stipulates that the choice of this rate should be derived from government bond yields consistent with the estimated term of the post-employment liabilities. However, where there is no deep market in government bonds with a sufficiently long maturity to match the estimated term of all the benefit payments, current market rates of the appropriate term should be used to discount shorter term payments, and the discount rate for longer maturities should be estimated by extrapolating current market rates along the yield curve. Consequently, a discount rate of 8.58% per annum has been used. These rates do not reflect any adjustment for taxation. These rates were deduced from the interest rate data obtained from the Johannesburg Stock Exchange after the market closed on 31 March 2022.

12.4.1.2 Healthcare cost inflation

A healthcare cost inflation rate of 0% was assumed. This is below the expected inflation over the expected term of the liability which is 5.77%. However, it is the relative levels of the discount rate and healthcare inflation to one another that are important rather than the nominal values. We have thus assumed a net discount factor of 8.58% per annum.

12.4.1.3 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.

Assumption	Active Employees	Continuation Pensioners
Mortality	SA85-90 (Normal) -1	PA (90) -1 plus 1% future

12.4.2 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	3 years

12.4.3 Continuation percentages

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

12.4.4 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 an NRR on retirement of 75%. A salary inflation assumption is used to adjust the salary from the current date to the date of retirement. This assumption should be considered in conjunction with the assumed CPI rate.

12.4.5 Withdrawal and ill health assumptions

The withdrawal assumptions have been set in line with those generally observed in the South African market. A sample of the withdrawal rates is noted in the table below:

Age	Male	Female
50	3.00%	3.00%
55+	0.00%	0.00%

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

12.5 Summary of valuation methods

12.5.1 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.

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

Basis of valuation

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

12.6 Analysis of past year and future projected liability

	Year Ending 31/03/2021 R'000	Year Ending 31/03/2022 R'000	Year Ending 31/03/2023 R'000
Opening accrued liability	2 343	2 423	1 991
HSRC liability			
Current service cost	12	15	8
Interest cost	219	179	157
Actuarial loss/(gain)	239	(280)	-
Total annual expense	470	(86)	165
Contributions (benefits paid)	(390)	(346)	(323)
Closing accrued liability	2 423	1 991	1 833

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
13 Analysis of surplus/deficit		
Surplus/(deficit) recorded	45 654	19 982
The surpluses incurred in the current and prior financial year were primarily due to a significant decrease in administrative and other operating costs in the organisation resulting from the hybrid working model and other efficiencies from COVID-19. The decreases in expenditure occurred due to restrictions and protocols put in place by National Government in an effort to curb the COVID-19 pandemic, which consequently reduced project expenses and the demand for operational resources, as employees continue to work from home.		
The surplus/deficit annual declaration to National Treasury is calculated in accordance with Instruction Number 12 of 2020/21 and amounts to R88.7 million. A submission was made to National Treasury for R63.7 million in 2021 and was approved for retention on 11 October 2021.		
14 Revenue from exchange and non-exchange transactions		
14.1 Research revenue (from exchange transactions)		
International funding agencies	100 352	59 566
National and provincial funding agencies	144 143	35 411
Private sector	4 086	2 996
Universities	31 507	18 975
	280 088	116 948
14.2 Parliamentary grants (from non-exchange transactions)		
Parliamentary grants received	273 386	251 587
	273 386	251 587
15 Other operating revenue		
Insurance claims: Recoveries	476	466
Interest received	7 047	6 511
Sale of assets	6	-
Publication sales	1 262	1 628
Rental income and recoveries	25 067	26 085
Royalties received	194	193
Skills development levy	563	225
Sundry income	428	447
Building and maintenance income	470	7 103
	35 513	42 658

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
16 Administrative expenses		
Annual licence fees, library manuscripts and subscriptions	(11 661)	(8 451)
Audit fees	(4 834)	(3 456)
- External Audit	(3 829)	(2 572)
- Internal Audit	(1 003)	(611)
- Other Audits	-	(273)
Bank costs/Stamp duty/Excise duties	(486)	(232)
Outsourced services and systems support	(5 708)	(2 832)
Consumable goods	(859)	(3 387)
Insurance	(1 734)	(1 848)
Net foreign exchange loss	(218)	(51)
Postal, telecom and delivery fees	(6 332)	(5 850)
Printing and photocopying	(3 451)	(3 177)
Publicity functions and conferences	(1 267)	(467)
Sundry operating expenses	(1 888)	(1 976)
Travel and subsistence	(494)	(94)
	(38 932)	(31 821)
17 Research cost		
Direct labour expense	(94 688)	(9 595)
Direct research cost	(105 147)	(61 039)
	(199 835)	(70 634)
18 Staff cost		
Wages and salaries**	(237 742)	(226 232)
Defined contribution plan	(17 257)	(18 703)
Social contributions		
- Official unions (employee contributions)	(242)	(267)
Post-retirement medical benefit		
- Employer contributions	(133)	(221)
- Decrease in liability	432	(80)
Termination Benefits	(440)	-
Total	(255 382)	(245 503)
Number of staff as at 31 March 2022		
Permanent Staff	464	421
Short-term staff (12 months or less)***	1 025	32
Number of staff as at 31 March 2022	1 489	453

Note:

* Comparative figures have been restated due to reclassifications and prior period adjustments.

** Detailed disclosure of board members' and executive management remuneration is set out in Note 24.2

*** 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 in employment at 31 March 2022. In the current year there were a large number of short-term project-funded staff as compared to the previous financial year.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

FINANCIAL INFORMATION

HUMAN RESOURCE MANAGEMENT

GOVERNANCE

PERFORMANCE INFORMATION

GENERAL INFORMATION

	2022 March R'000	2021* March R'000
19 Other operating expenses		
Bad debts written off	(393)	(161)
Bad debts provision	377	(32)
Legal fees	(2)	(33)
Inventory written off	(1 071)	(345)
Inventory written down	(1 210)	(195)
Loss on disposal of assets	(248)	(46)
Office refreshments and client relations	(51)	(71)
Rentals, maintenance, repairs and running costs	(27 291)	(30 487)
- Other maintenance repairs and running costs	(8 077)	(5 979)
- Property taxes and municipal rates	(8 838)	(9 666)
- Lease rentals (Regional offices)	(10 377)	(14 843)
Expensed warranties	(58)	(10)
Staff recruitment costs	(305)	(80)
Staff training	(713)	(314)
Study bursaries	(792)	(804)
Actuarial(loss)/gain	280	(239)
Total	31 477	32 817
20 Finance cost		
Fair valuation cost of receivables and payables	(1 096)	(542)
	(1 096)	(542)
21 Depreciation and amortisation		
Depreciation on property, plant and equipment	(16 408)	(9 508)
Amortisation on intangible assets	(203)	(386)
	(16 611)	(9 894)

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
22 Reconciliation of net cash flows from operating activities to surplus for the year		
Surplus/Deficit for the financial year end	45 654	19 982
Adjustment for:		
Depreciation and amortisation	16 611	9 894
Bad debts provision (decrease)/increase movement	(378)	27
Net (gain)/loss on disposal of property, plant and equipment	248	46
Net foreign exchange (gain)/loss	218	51
Inventory written off	1 071	345
Inventory written down	1 210	195
Post-retirement benefit movement	(432)	80
Movement in lease accruals	(326)	238
Movement in lease commitments	(1 355)	(2 573)
Other non-cash adjustments	(2 163)	(10 895)
Items disclosed separately		
Receipts of sales of assets	6	-
Operating surplus before working capital changes:	60 363	17 390
Increase/(Decrease) in VAT payable	-	(7 584)
(Increase)/Decrease in inventories	(1 710)	1 409
(Increase)/Decrease in VAT receivable	(3 210)	(1 224)
(Increase)/Decrease in trade receivables and other receivables	(31 479)	(48 946)
(Increase)/Decrease in prepayments	(1 616)	10 254
Increase/(Decrease) in income received in advance	(28 024)	68 159
Increase/(Decrease) in provisions	-	12 286
Increase/(Decrease) in trade and other payables	(5 934)	10 256
Cash utilised by operations	(11 609)	62 000

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

	2022 March R'000	2021* March R'000
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:		
Counter claim made by the HSRC (Possible contingent asset)	-	-
Claim against HSRC (Possible contingent liability)**	(112)	(112)
National Treasury surplus ***	(88 717)	(63 691)
	(88 829)	(63 803)

* Comparative figures have been restated due to reclassifications and prior period adjustments.

** On 20 September 2017, a motor vehicle collision occurred between the plaintiff and a then employee of the HSRC: Mr D van Aswegen. The plaintiff claims that the collision was caused due to the sole negligence of the employee of the HSRC. It is difficult to predict the final financial implications of the court case, as the case has yet to be finalised.

*** Reported accumulated surplus will be submitted for retention. The surplus/deficit declared to National Treasury is calculated in accordance with Instruction Number 12 of 2020/21 and amounts to R88.7 million in 2022. A submission was made to National Treasury for R63.7 million in 2021 and was approved for retention on 11 October 2021.

24 Events after the reporting date

On 5 April 2022, the HSRC Board approved a once-off payment and 4% cost of living adjustment effective from 1 April 2021 amounting to R16.97 million of accrued staff costs. This has been adjusted for under Note 8 of the financial statements. There are no significant non-adjusting subsequent events that have been identified from the end of the financial year until the financial statements were authorised for issue by the Accounting Authority.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

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 & Innovation (DSI). Amounts disclosed, below, as related parties relates to the parent department, Department of Science & Innovation (DSI) and entities within the DSI.

25.1 Transactions with related entities

Related Party	Services rendered				Services rendered			
	Period ending 31 March 2022		Period ending 31 March 2021		Period ending 31 March 2022		Period ending 31 March 2021	
	Transactions R'000	Balance R'000	Bad Debts as at 31 March 2022 R'000	Transactions R'000	Balance R'000	Bad Debts as at 31 March 2022 R'000	Transactions R'000	Balance R'000
Department of Science and Innovation – Parliamentary Grant**	273 386	-	-	251 584	-	-	-	-
Department of Science and Innovation – Building and Maintenance	470	-	-	7 103	470	-	-	-
Department of Science and Innovation CSIR – Council for Scientific and Industrial Research	83 591	12 080	-	15 145	11 456	1 796	-	-
Department of Agriculture, Land Reform and Rural Development	25 512	12 017	-	-	-	-	486	368
Department of Basic Education	3 033	1 802	-	446	446	-	-	-
Department of Public Service and Administration	-	-	-	272	43	43	-	-
Department of Social Development	4 160	1 990	317	2 009	2 009	-	-	-

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

25.1 Transactions with related entities (continued)

	Services rendered				Services rendered			
	Period ending 31 March 2022		Period ending 31 March 2021		Period ending 31 March 2022		Period ending 31 March 2021	
	Transactions R'000	Balance R'000	Bad Debts as at 31 March 2022 R'000	Transactions R'000	Balance R'000	Bad Debts as at 31 March 2022 R'000	Transactions R'000	Balance R'000
Department: Planning, Monitoring and Evaluation	-	-	-	272	3	3	-	-
Department of Defence	-	-	-	-	-	-	-	-
Department of Public Works – Pretoria	21 425	1 924	-	19 370	1 924	-	-	-
Department of Military Veterans	-	-	-	205	205	-	-	-
Gauteng Department of Education – Johannesburg	1 168	746	-	-	-	-	-	-
Medical Research Council	-	-	-	94	94	-	-	-
SAMRC	-	-	-	94	3	3	426	2
National Development Agency	-	-	-	172	172	-	-	-
National Health Laboratory Service	-	-	-	-	-	-	4 730	1 162
National Research Foundation	1 893	-	-	650	(93)	4	-	-
Office of the Premier – Johannesburg	-	332	332	499	665	332	-	-
OR Tambo District Municipality	-	318	318	-	-	-	-	-
The Independent Electoral Commission (IEC)	-	-	-	832	832	-	-	-
Auditor-General South Africa (AGSA)	-	-	-	-	-	-	3 646	3 015
City of Tshwane	-	1 364	-	-	-	-	9 159	9 914
Government Printers	-	-	-	-	-	-	-	2
Telkom	-	-	-	-	-	-	702	1 151

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

25.1 Transactions with related entities (continued)

	Services rendered				Services rendered			
	Period ending 31 March 2022		Period ending 31 March 2021		Period ending 31 March 2022		Period ending 31 March 2021	
	Transactions R'000	Balance R'000	Bad Debts as at 31 March 2022 R'000	Transactions R'000	Balance R'000	Bad Debts as at 31 March 2022 R'000	Transactions R'000	Balance R'000
SALGA	-	-	-	75	75	-	-	-
Academy of Science South Africa	-	-	-	-	-	-	49	-
Department of Employment and Labour	1 230	124	-	-	-	-	-	-
ETDP SETA	684	786	-	-	-	-	-	-
Financial Sector Conduct Authority	2 314	2 662	-	-	-	-	-	-
National Institute for Humanities and Social Sciences	313	300	-	-	-	-	-	-
Public Service Commission	261	240	-	-	-	-	-	-
Technology Innovation Agency	3 325	153	-	-	-	-	-	-
Western Cape Education Department	1 863	2 143	-	-	-	-	-	-
Sub Total	424 628	38 981	967	334 679	54 161	2 181	19 229	16 038
							486	192

** Amount disclosed includes MTEF allocation received from the DSI.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

25.2 Fees paid to Board members and Executive Management salaries:

	Notes	Gross Remuneration	Post-employment Benefits and Termination	Period ending 31 March 2022			Total R	Period ending 31 March 2021
				Performance Bonus	Other Allowances	Total R		
Mrs N Badsha – Board Member, appointed 1 November 2017–31 October 2021		25 515	-	-	-	25 515	52 488	
Prof. M Tom – Chairperson, appointed 1 November 2017–31 October 2021		10 460	-	-	-	10 460	28 766	
Ms P Sibiyi – Audit & Risk Committee Chairperson, appointed 1 November 2017–31 October 2021		18 236	-	-	-	18 236	32 593	
Prof. RT Moletsane – Board Member, terminated 31 October 2021		15 193	-	-	-	15 193	22 124	
Adv. Dehal – appointed 1 November 2017–31 October 2021		-	-	-	-	-	-	
Prof. MHR Bussin – Board Member, terminated 31 October 2021		19 944	-	-	-	19 944	33 504	
Prof. L Zungu – Board Member, appointed 1 November 2017–31 October 2021		11 664	-	-	-	11 664	19 440	
Dr RC Lubisi – Chairperson, appointed 1 November 2021		16 964	-	-	-	16 964	-	
Dr KW Kasonkola – appointed 1 November 2021		20 305	-	-	-	20 305	-	
Dr D Konar – appointed 1 November 2021		13 978	-	-	-	13 978	-	
Mr S Manjoo – appointed 1 November 2021		14 823	-	-	-	14 823	-	
Prof. FM Trengenna – appointed 1 November 2021		13 122	-	-	-	13 122	-	
Prof. ZZ Nkosi – appointed 1 November 2021		15 436	-	-	-	15 436	-	
Prof. IDJ Mandaza – appointed 1 November 2021		4 860	-	-	-	4 860	-	
Dr AM Mashilo – appointed 1 November 2021		-	-	-	-	-	-	
Dr S Phillips – appointed 1 November–16 January 2022		-	-	-	-	-	-	
Adv. FDP Tlakula – appointed 1 November 2021		-	-	-	-	-	-	
Prof. L Simbayi – Acting CEO, appointed 1 April 2021		2 259 734	135 584	-	356 907	2 752 225	2 705 067	
Prof. C Soudien – Previous CEO, term ended 31 March 2021		-	-	-	-	-	3 520 846	
Executive Management**	25.3	9 861 637	921 577	-	719 003	11 502 217	11 853 172	
		12 321 871	1 057 161	-	1 075 910	14 454 942	18 268 000	

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

25.3 The following is a list of Executive Management

For the year ending 31 March 2022

Name	Position	Date/(Period) of Appointment
Prof. LC Simbayi	Deputy Chief Executive Officer: Research/Acting CEO	01/01/2016 / 01/04/2021
Dr H van Rooyen	Group Executive: Impact Centre/ Acting Deputy Chief Executive Officer: Research	01/01/2016 / 01/04/2021
Prof. S Swartz	Divisional Executive: Inclusive Economic Development (IED)	01/06/2018
Dr N Bohler-Muller	Divisional Executive: Developmental, Capable and Ethical State (DCES)/ Acting GE: Support Services	18/11/2015 / 01/04/2021
Dr K Zuma	Divisional Executive: Human and Social Capabilities (HSC)	01/06/2013
Prof. C Hendricks	Executive Head: Africa Institute of South Africa (AISA)	01/07/2018–30/09/2021
Ms JM Rousseau CA(SA)	Chief Financial Officer	01/10/2019
Dr G Kruss	Executive Head: Centre for Science, Technology and Innovation Indicators (CeSTII)	01/04/2020

For the year ending 31 March 2021

Name	Position	Date/(Period) of Appointment
Prof. C Soudien	Chief Executive Officer (CEO)	01/09/2015–31/03/2021
Prof. LC Simbayi	Deputy Chief Executive Officer: Research	01/01/2016
Dr G Kruss	Executive Head: Centre for Science, Technology & Innovation Indicators (CeSTII)	01/04/2020
Ms JM Rousseau CA(SA)	Chief Financial Officer	01/10/2019
Dr H van Rooyen	Group Executive: Impact Centre	01/01/2016
Prof. S Swartz	Divisional Executive: Inclusive Economic Development (IED)	01/06/2018
Dr N Bohler-Muller	Divisional Executive: Developmental, Capable and Ethical State (DCES)	18/11/2015
Dr K Zuma	Divisional Executive: Human and Social Capabilities (HSC)	01/06/2013
Prof. C Hendricks	Executive Head: Africa Institute of South Africa (AISA)	01/07/2018

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (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 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
Increase in administrative expenses	(i)	779
Increase in income received in advance	(ii)	(276)
Increase in other operating expenses	(i)	(200)
Decrease in other operating revenue	(ii)	(548)
Increase in research cost	(i)	(800)
Decrease in research revenue (from exchange transactions)	(ii)	(203)
Increase in staff cost	(ii)	(1 539)
Decrease in trade and other payables	(i)	1 208
Increase in provisions	(i)	(12 286)
Decrease in trade and other receivables	(ii)	(1 792)
Increase in VAT receivable	(ii)	11
Total adjustment to the prior year surplus		(2 510)

- (i) Adjustment as a result of additional expenses received in 2021/22 pertaining to the 2020/21 financial year which had not been accrued as well as expenses not accounted for correctly as at 31 March 2021.
- (ii) Adjustments noted in (i) above included entries on research projects, receivables and also resulted in adjustments in external income and income received in advance.

26.2 Reclassifications

Description	Adjustment R'000
Decrease in direct research cost	(215)
Increase in direct research cost	129
Increase in direct labour expense	215
Decrease in administrative expenses	(129)
Adjustment	-

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

27 Irregular expenditure

	2022 March R'000	2021 March R'000
Opening balance	17 233	1 290
Irregular expenditure – Current year	792	3 108
Irregular expenditure – Identified in the current year but relating to the prior year	19 579	12 835
Irregular expenditure – Identified as non-compliance in the prior year	-	-
Irregular expenditure – Written off	-	-
Irregular expenditure – Recovered	-	-
Irregular expenditure – Condoned	-	-
Irregular expenditure closing balance	37 604	17 233

Analysis of irregular expenditure

Irregular expenditure incurred in the current financial year relates to procurement in contravention or not in accordance with applicable legislation.

Irregular expenditure to the amount of R231 056 was incurred due to non-compliance with National Treasury Instruction Practice Note 08 of 2007/8 relating to the proper SCM acquisition process followed.

Six (6) requests for quotations for procurement of commodities designated for local content and production did not stipulate the minimum threshold for local production and content as required by the 2017 Preferential Procurement Regulation 8(2). Six (6) awards were made to suppliers who did not submit a declaration on local production and content in accordance with paragraph 3.4 of National Treasury Instruction Note 4 of 2015/2016. Payments made in the current year amount to R241 699.

Four (4) tenders were advertised for less than the required number of days and found to not be in compliance with the requirements of Treasury Regulation 16A 6.6(c). No payments were made in the current year.

One (1) donor-funded sub-contractor appointment in the amount of R319 315 was awarded in the year under review without the prior written approval of National Treasury in terms of deviating from normal bidding processes under Paragraph 8.5 of SCM Instruction Note 3 of 2016/2017.

Seven (7) donor-funded sub-contractor appointments in the amount of R17.612 million were awarded in the periods: 2016/2017 to 2018/2019, without the prior written approval of National Treasury in terms of deviating from normal bidding processes under Paragraph 8.5 of SCM Instruction Note 3 of 2016/2017. The remainder of R1.967 million relates to payments of donor-funded sub-contractor/s already identified in 2020/21.

Both the current- and prior-period irregular expenditure identified regarding donor funding are due to non-compliance under Paragraph 8.5 of SCM Instruction Note 3 of 2016/2017 and originate from the incorrect interpretation of "sole supplier" versus "single source supplier". Sole supplier deviations are approved in terms of the entity's delegation of authority, but all single source suppliers must be pre-approved by National Treasury.

Irregular expenditure under determination

All amounts are under determination, with appropriate disciplinary steps to be taken.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

28 Fruitless and wasteful expenditure

	2022 March R'000	2021 March R'000
Opening balance	444	417
Fruitless and wasteful expenditure – Current year	14	27
Fruitless and wasteful expenditure – Identified in the current year but relating to the prior year	-	2
Fruitless and wasteful expenditure – Written off	-	-
Fruitless and Wasteful Expenditure – Recovered	(4)	(2)
Fruitless and wasteful expenditure closing balance	454	444

Instances of fruitless and wasteful expenditure recorded for the year

The fruitless and wasteful expenditure primarily relates to missed flights and staff member's traffic fines that were incurred and should have been avoided. The money is currently in the process of being recovered from the staff members concerned.

29 Expenditure resulting from the COVID-19 pandemic

COVID-19 related expenditure during the financial year amounts to R17.090 million (incl. VAT) as a result of the President of the Republic of South Africa declaring a state of disaster on 15 March 2020.

30 Statement of comparison of approved budget to actual results (Explanatory notes)

30.1 Research revenue

Research revenue attained was above expectations. This was largely due to the completion of external projects undertaken in the financial year under review. The continuation of the COVID-19 pandemic has had a significant impact on research activity due to restrictions in travel and data collection. Strategic engagements in new funding markets continue to be explored, especially on the flagship projects on poverty and inequality. The organisation is engaged in a number of significant multi-year projects which will be undertaken in the 2022/23 financial year. These projects augment baseline funding received from government which has and continues to be characterised by budget cuts.

30.2 Parliamentary grant

The Parliamentary Grant allocation received from the Department of Science and Innovation (DSI) was fully utilised during the year under review, in line with the HSRC's mandate as stipulated in the HSRC Act 2008 (Act No. 17 of 2008), and the HSRC's Strategy and Annual Performance Plan (2021/22 financial year), as presented to the Minister and Parliament. No budget cuts were instituted in the current financial year.

30.3 Parliamentary grants – Ring-fenced

The ring-fenced allocation received from the Department of Science and Innovation (DSI) was fully utilised during the year under review, in line with the HSRC's mandate as stipulated in the HSRC Act 2008 (Act No. 17 of 2008), and the HSRC's Strategy and Annual Performance Plan (2021/22 financial year), as presented to the Minister 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 2021/22 financial year.

30.4 Other operating revenue

Other operating revenue is mainly generated from the rental agreement with the Department of Public Works, publication sales, as well as interest earned on investments. The target was not achieved during the current financial year. Other operating income is utilised to augment the parliamentary grant in the maintenance of the building and other operational costs within the HSRC. Interest rate changes implemented by the South African Revenue Bank (SARB) had a minimal effect on interest income earned during the year from short-term investment accounts. Management will continue to monitor the forthcoming announcements from the SARB and will reassess its investment policy and strategies accordingly.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

30.5 Administrative expenses

Administration costs include mainly 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 forecast expenditure largely due to cost containment measures implemented at the beginning of the financial year and savings realised from the COVID-19 pandemic.

30.6 Research costs

Research costs were above the budgeted amount largely due to increased research activities being undertaken in the 2021/22 financial year compared to the prior year. A number of projects have been finalised and earmarked for the new financial year ahead (2022/23). The effect of the COVID-19 pandemic on research activity has been eased as researchers continue to find alternative ways to complete project milestones.

30.7 Staff costs

Staff costs were below the approved budget due to the moratorium on staff appointments in accordance with National Treasury's salary capping instruction.

30.8 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 to drive the sustainability of the organisation in the long term, channelling more funding towards core research activities. The increase in the prime interest rate by the SARB has had a significant impact on the valuation of debtors and creditors during the financial year and has resulted in a significant increase in finance costs.

30.9 Depreciation, amortisation and impairment expense

Depreciation expenses were above budgeted amounts, largely due to increased use of assets during the financial year as staff continued to work remotely.

31 Financial instruments

31.1 Financial instruments consist of receivables, payables and cash and cash equivalents. In the case of all financial instruments, the carrying value approximates the fair value on initial recognition. All financial liabilities are subsequently recognised at amortised cost. As at 31 March 2022, the carrying amounts and fair values for the financial assets and liabilities were as follows:

	Notes	2022 March		2021* March	
		Carrying Amount R'000	Fair Value R'000	Carrying Amount R'000	Fair Value R'000
Financial assets					
Cash and cash equivalents		174 890	174 890	206 229	206 229
Trade and other receivables	1	102 564	102 564	71 085	71 085
	2	277 454	277 454	277 314	277 314
Financial liabilities					
Measured at amortised cost					
Trade and other payables	8	31 376	31 376	39 037	39 037
		31 376	31 376	39 037	39 037

* Comparative figures have been restated due to reclassifications and prior period adjustments.

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

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

31.2 Interest rate risk

The HSRC manages its interest rate risk by managing surplus cash funds using short- to medium-term fixed deposits to ensure exposure to the change of unfavourable interest rates are minimised. The interest income is incidental to the core revenue generation activities of the HSRC and therefore the related effects on the performance of the organisation are minimal. The HSRC's exposure to interest rate risk and the effective rates applying on the different classes of financial instruments are as follows:

	Notes	Effective Interest Rate (Variable rates)	2022 March			2021* March		
			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	2.75%	22 180	-	22 180	17 991	-	17 991
Short-term investments accounts	1	3–9.9%	152 710	-	152 710	188 238	-	188 238
Trade and other receivables	2	0.00%	102 564	-	102 564	71 085	-	71 085
Total financial assets			277 454	-	277 454	277 314	-	277 314
Financial liabilities								
Measured at amortised cost								
Trade and other payables	8		31 376	-	31 376	39 037	-	39 037
Total financial liabilities			31 376	-	31 376	39 037	-	39 037
Net financial assets			246 078	-	246 078	238 277	-	238 277

* Comparative figures have been restated due to reclassifications and prior period adjustments.

31.3 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/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 the HSRC's significant concentration risk is with its research partners. The analysis of ageing of receivables that are 30 days and older is as follows:

	Notes	2022			2021*		
		Less than 12 Months			Less than 12 Months		
		Current R'000	Above 30 Days and R'000	Total R'000	Current R'000	Above 30 Days and R'000	Total R'000
Trade and other receivables	2	93 691	8 873	102 564	60 347	10 738	71 084
		93 691	8 873	102 564	60 347	10 738	71 084
Percentage analysis		91%	9%	100%	85%	15%	100%

* Comparative figures have been restated due to reclassifications and prior period adjustments.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

31.4 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 managed.

The HSRC monitors its cash flow on a daily basis. Typically, the organisation ensures that it has sufficient cash on demand to meet expected operational expenses, including the servicing of financial obligations; this excludes the potential impact of extreme circumstances that cannot be predicted reasonably, such as natural disasters.

The following analysis shows the HSRC's contractual cash flow maturities of its financial liabilities:

	Notes	2022 March			2021 March		
		Current R'000	Due within 30 Days R'000	Due after 30 Days R'000	Current R'000	Due within 30 Days R'000	Due after 30 Days R'000
Trade and other receivables	8	31 376	31 376	-	39 037	39 037	-
		31 376	31 376	-	39 037	39 037	-

31.5 Market risk

Market risk is the risk of changes in market prices, such as foreign exchange rates, interest rate and price risk, which affect the entities income or the value of its holdings of financial instruments. The objective of market risk management is to manage and control market risk exposures within acceptable parameters, while optimising the return. The HSRC exposure to market risks is insignificant to the operations of the organisation as a large component of the organisation's revenue is denominated in the local currency with South African governmental and private research authorities.

31.6 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 instrument:

31.6.1 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.

31.6.2 Other receivables

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

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (CONTINUED)

32 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 ZAR
17/03/2022	Social Knowledge for Policy Uptake Workshop	20	Linking schools to sexual reproductive health support and services	HSC	SCM process	Conference costs	19 474
27/11/2021	ESS Training	25	ESS training	DCEs	SCM process	Conference costs	5 716
23/08/2021	SABSSM VI Pilot Training	41	Training for fieldworkers	HSC	SCM process	Conference costs	430 640
05/10/2021	SABSSM VI Main Training 1	150	Training for fieldworkers	HSC	SCM process	Conference costs	2 671 922
26/10/2021	SABSSM VI Main Training 2	250	Training for fieldworkers	HSC	SCM process	Conference costs	3 139 099
20/03/2022	SABSSM VI Main Training 3	250	Training for fieldworkers	HSC	SCM process	Conference costs	6 504 034
11/11/2021	Digital Story Telling Workshop	17	Digital story telling workshop	CeSTII	SCM process	Conference costs	15 958
12/11/2021	Innovation in the Informal Sector (IIS) Project, Measuring Innovation in Informal Businesses in South Africa	45	Consultative	CeSTII	SCM process	Conference costs	120 273
31/01/2022	CeSTII Induction Meeting	16	Welcoming of new staff	CeSTII	SCM process	Conference costs	1 905
04/02/2022	CeSTII Lekgotla	30	Strategic planning meeting with all staff	CeSTII	SCM process	Conference costs	45 972
28/08/2021	National Food & Nutrition Security Survey (NFNSS)	87	Training of fieldworkers for data collection in Mpumalanga	AISA	SCM process	Conference costs	665 600

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2022 (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 ZAR
08/11/2021	National Food & Nutrition Security Survey (NFNSS)	65	Training of fieldworkers for data collection in North West	AISA	SCM process	Conference costs	785 437
30/01/2022	National Food & Nutrition Security Survey (NFNSS)	70	Training of fieldworkers for data collection in Free State	AISA	SCM process	Conference costs	838 680
13/02/2022	National Food & Nutrition Security Survey (NFNSS)	60	Training of fieldworkers for data collection in Northern Cape	AISA	SCM process	Conference costs	778 320
04/02/2022	National Food & Nutrition Security Survey (NFNSS)	10	Report writing workshop for Limpopo Province	AISA	SCM process	Conference costs	62 835
24/03/2022	Arts, Culture and Heritage: Rethinking, Remaking and Rebuilding Africa	64	Annual conference for young African scholars	AISA	SCM process	Conference costs	164 997
29/03/2022	Nigeria: Democracy without Development: How to Fix It	40	Book launch in collaboration with Prof. Omano, UJ	AISA	SCM process	Conference costs	24 986
24/11/2021	Innovative Affirming Ministries (IAM) Robert Carr Workshop	21	Innovation youth education for enhanced leadership	HSC	SCM process	Conference costs	113 478
24/11/2021	Gender and Youth Sexual and Reproductive Health and Rights Knowledge Hub Stakeholders' Meeting	10	Hybrid meeting aimed at bringing together stakeholders to share their expertise and insights towards laying a strong foundation for the Gender and Youth SRHR Knowledge Hub in Southern Africa	HSC	SCM process	Conference costs	9 193
17/03/2022	Social Knowledge for Policy Uptake Workshop	10	Aimed at narrowing the gap between researchers, civil society organisations and policy-makers	HSC	SCM process	Conference costs	93 112
22/08/2021	SANSHEF Training	58	SANSHEF training	HSC	SCM process	Conference costs	2 411 854
Total conferences related costs for the 2021/22 financial year							18 903 485

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