

INTEGRATED ANNUAL REPORT 2020/21



Bringing the social sciences and humanities to the fore
in responding to the challenges of poverty and inequality



science & innovation

Department:
Science and Innovation
REPUBLIC OF SOUTH AFRICA



HSRC
Human Sciences
Research Council



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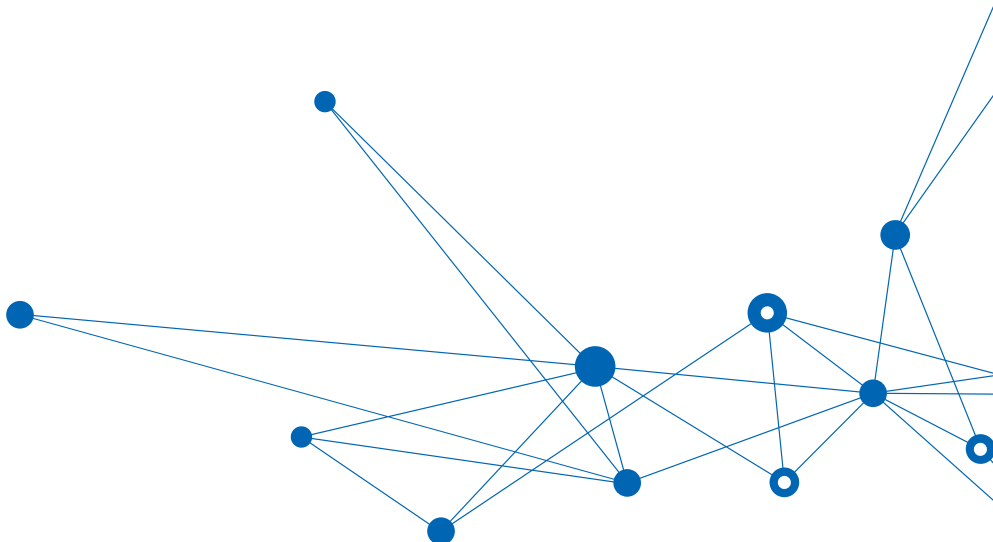
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PART A

GENERAL INFORMATION





1 GENERAL INFORMATION

Registered name of the organisation	Human Sciences Research Council
Physical address	134 Pretorius Street Pretoria 0001
Postal address	Private Bag X41 Pretoria 0001
Telephone number	027 12 302 2000
Fax number	027 12 302 2299
Website	www.hsrc.ac.za
External Auditor	Auditor-General of South Africa 4 Daventry Street Lynnwood Bridge Office Park Lynnwood Manor Pretoria South Africa
Bankers	Standard Bank First National Bank
Board Secretary	Ms Marizane Rousseau

2 LIST OF ABBREVIATIONS/ACRONYMS

ACCORD	African Centre for the Constructive Resolution of Disputes	FSCA	Financial Sector Conduct Authority
ACTS	African Centre for Technology Studies (Kenya)	GBVF	Gender-Based Violence and Femicide
AGSA	Auditor General of South Africa	HSRC	Human Sciences Research Council
AI	Artificial Intelligence	IDRC	International Development Research Centre (Canada)
AISA	Africa Institute of South Africa	IEA	International Association for the Evaluation of Educational Achievement
ARC	Audit and Risk Committee	IED	Inclusive Economic Development
ART	Antiretroviral Therapy	ISIL	Islamic State of Iraq and the Levant
CCBR	Centre for Community-based Research	IT	Information Technology
CEO	Chief Executive Officer	MAC	Ministerial Advisory Committee
CeSTII	Centre for Science, Technology and Innovation Indicators	MTEF	Medium-Term Expenditure Framework
CFO	Chief Financial Officer	NACI	National Advisory Council on Innovation
CoGTA	Cooperative Governance and Traditional Affairs	NAP on WPS	National Action Plan on Women Peace and Security
CoGTA	Department of Cooperative Governance and Traditional Affairs	NATJOINTS	National Joint Operational and Intelligence Structure
CoST	Infrastructure Transparency Initiative	NCAS	National COVID-19 Antibody Survey
CoST IDS	CoST Infrastructure Data Standard	NCCC	National Coronavirus Command Council
DALRRD	Department of Agriculture, Land Reform and Rural Development	NCPD	National Council of and for Persons with Disabilities
DBE	Department of Basic Education	NDA	National Development Agency
DCEO: R	Deputy Chief Executive Officer: Research	NDP	National Development Plan
DDM	District Development Model	NECT	National Education Collaboration Trust
DOJ&CD	Department of Justice and Constitutional Development	NHREC	National Health Research Ethics Council
DPME	Department of Planning, Monitoring and Evaluation	NIHSS	National Institute for the Humanities and Social Sciences
DSI	Department of Science and Innovation	NPO	Non-profit Organisation
ECA	Economic Commission for Africa	NRF	National Research Foundation
EIDM	Evidence-informed Decision-making	NSFAS	National Student Financial Aid Scheme
eRKC	eResearch Knowledge Centre	NSI	National System of Innovation
ETDP SETA	Education Training and Development Practices Sector Education and Training Authority	OECD	Organisation for Economic Co-operation and Development
FAO	Food and Agriculture Organization	PAN	Policy Action Network
FITA	Fair-Trade Independent Tobacco Association	PFMA	Public Finance Management Act
		PPE	Personal Protective Equipment
		PSET	Post School Education and Training

PWGD	Presidential Working Group on Disability	TB	Tuberculosis
PYEI	Presidential Youth Employment Intervention	TIMSS	Trends in International Mathematics and Science Study
REC	HSRC Research Ethics Committee	TIPS	Trade and Industrial Policy Strategies
REC	Research Ethics Committee	ToCs	Theories of Change
RIO	Research Integrity Officer	TVET	Technical and Vocational Education and Training
SADC	Southern African Development Community	UJ	University of Johannesburg
SASAS	South African Social Attitudes Survey	UKZN	University of KwaZulu-Natal
SASL	South African Sign Language	USAf	Universities South Africa
SCM	Supply Chain Management	VE	Violent Extremism
SDG	Sustainable Development Goal	WHO	World Health Organization
		WPS	Women, Peace and Security





Prof. Mvuyo Tom

3 FOREWORD BY THE CHAIRPERSON

To achieve an ambitious mission such as producing leading-edge policy research, through engaged scholarship, to utilise in understanding and explaining social conditions and informing social change for inclusive growth in communities, requires a synchronised combination of leadership and aptitudes. Under the prevalent circumstances, it also requires some flexibility and a considerable measure of tenacity and innovation.

It is a privilege to present this Integrated Annual Report on behalf of the HSRC Board. It is a proud reflection of what it means to be leaders in the production and dissemination of social sciences research for the public good.

The HSRC's new Five-year Strategic Plan came into effect on 1 April 2020. During the five-year period until 2024/25, the organisation will pursue five strategic outcomes, summarised in the acronym LeaPPT+S – Leadership in knowledge production, Policy influence, Partnerships, Transformed research capabilities and Sustainability. It has set itself ambitious annual output indicator targets towards achieving these outcomes. The HSRC has performed exceptionally well in achieving those targets during the year under review.

More critically though, this report reflects on the organisation's contribution to the national COVID-19 response. As the Minister of Higher Education, Science and Innovation mobilised the National System of Innovation for a coordinated response to COVID-19, the HSRC responded promptly

by gathering, assimilating and sharing information that assisted government in understanding the social aspects of the pandemic. To quote Prof. Crain Soudien's piece in *The Conversation* of 10 March 2021:

“Even though biological factors are the immediate cause of our problems, the effects are social. We have ill people, dying people, unemployed people, people unable to get healthcare. Less visible – but no less debilitating – are social trauma and strains in families and communities.

It's therefore no surprise that the role of the social sciences, humanities and arts is so critical right now.”

Soon after the lockdown was announced in March 2020, the HSRC initiated what would become a series of surveys on understanding attitudes, behaviour and perceptions in respect of COVID-19. The results of these fed information back to government as it coordinated its responses and messaging.

While COVID-19 related priorities dominated the research agenda during the year, the results of other important surveys, such as the 2019 Trends in Mathematics and Science Study, the 2018/19 Research & Development Statistical Report, the 2014-2016 Business Innovation Survey and a report on Green Economy Research, to name a few, were also released.

Several collaborative partnerships were forged to enable this work and in support of the HSRC's convening role.

“ This report reflects on the organisation's contribution to the national COVID-19 response by gathering, assimilating and sharing information that assisted government in understanding the social aspects of the pandemic. ”

These include, among others, the universities of Johannesburg and KwaZulu-Natal's collaboration with divisions in the HSRC on the various lockdown and COVID-19 surveys. The National Anti-Body Survey was conducted in collaboration with research partners Epicentre, the National Institute for Communicable Diseases (NICD), the National Health Laboratory Service (NHLS), and the South African Medical Research Council (SAMRC), with funding from the Solidarity Fund. A joint HSRC-Walter Sisulu University research team considered the impact of the lockdown restrictions on funerals and customary practices in rural communities in the former Transkei region in the Eastern Cape. An HSRC-led consortium including the Sol Plaatje University, the Academy of Science of South Africa, the National Research Foundation, International Science Council, Universities South Africa, Faculty of Humanities at the University of Pretoria, Centre for Humanities Research at the University of the Western Cape, and Environmental Humanities South at the University of Cape Town, brought together a selection of panels, plenary sessions, and structured conversations with global thinkers under the theme "Radical Reason" at the 2020 Science Forum.

We are particularly proud of the appointment of Prof. Ivan Turok, Principal Research Specialist in the Inclusive Economic Development (IED) Division of the HSRC, who was awarded a research chair by the South African Research Chairs Initiative (SARChI). He will hold the Research Chair in City-Region Economies in the Department of Economics and Finance and the Centre for Development Support at the University of the Free State. The research chair is the first partnership of this kind between a South African university and the HSRC.

The Board is pleased that these partnerships, alongside many existing ones, provide a solid foundation to build on towards achieving our outcomes on being a recognised and trusted partner to government, scientific communities and civil society.

As we enter a new year, we are presented with more unique opportunities for forging strategic partnerships and collaboration in the National System of Innovation. The location of the departments of Higher Education and Training, and Science and Innovation under the single Ministry for Higher Education, Science and Innovation, has created an opportunity for much closer collaboration and complementary work with universities, as well as with the National Institute of Humanities and Social Sciences (NIHSS). One particular opportunity is now presented to work closely with the NIHSS and the South African Population Research Infrastructure Network (SAPRIN) to respond to the Minister's call for mobilisation of the Human and Social Sciences for COVID-19 Management and the Economic Reconstruction and Recovery Plan. Similarly, the HSRC will collaborate with anchor institutions and role players of the National Policy Data Observatory (NPDO) to achieve its objectives of tracking socio-economic and health impacts from COVID-19, tracking policy responses, and supporting decision-making that can lead to long-term, sustainable recovery in a post-COVID-19 world economic recovery.

Council's major challenge during the year under review was the further reduction of the parliamentary grant. As government reprioritised the fiscus in response to COVID-19, a 10% reduction was implemented on the reduced 2020/21 budget allocation, requiring a careful redistribution of the available envelope. Savings on operational expenditure, both intentional and as a result of COVID-19 restrictions, enabled the organisation to navigate this. However, the impact of the reduction, combined with a moratorium on new appointments to contain the salary bill, was most visible in the inability to fill critical vacancies.

The HSRC Board bid farewell to former CEO, Prof. Crain Soudien, whose contract came to an end on 31 March 2021. The Board wishes to thank him for his dedicated leadership and significant scientific contribution during his tenure. He is a true ambassador for social justice. We wish him well in his future endeavours.

The current Board's term is coming to an end on 31 October 2021. The outgoing Board will set an agenda of pertinent foci that it will initiate and hand over to the next Board, notably recommendations emanating from the 2018 Institutional Review. These include reviewing the financial model and developing a fund-raising strategy to augment the parliamentary grant in a way that alleviates the current pressure on senior researchers to raise funds. The establishment and consolidation of the Impact Centre in the HSRC is another activity which will continue to receive the necessary support over the next three years. This is a critical component of the Council's desire to translate its scientific evidence into policy. Lastly, Council will give pertinent focus to the Department of Science and Innovation's Decadal Plan as it develops the next Annual Performance Plan (2022/23).

When reflecting on the performance reported here, one could easily imagine that the year was without obstacles or challenges. It certainly was not. Many adjustments were required to adapt to the new normal, while still responding to our mandate. I am grateful to each member of the HSRC Executive and staff for their titanic efforts in this regard. I wish also to thank my fellow Board members who have selflessly shared their time, knowledge and insights over the past four years. It has been a privilege to serve on this Board with them. We thank our collaborators and funders who enabled much of the phenomenal work that we produced. Lastly, we express our deep gratitude to the Minister of Higher Education, Science and Innovation and colleagues of the department for their continued support and guidance.



Prof. Mvuyo Tom
Chairperson of the HSRC

26 August 2021



Prof. Leickness Simbayi

4 CHIEF EXECUTIVE OFFICER'S OVERVIEW

As envisaged at the end of 2019/20, new norms became imperative as the impact of the COVID-19 pandemic, and the fall-out of various levels of lockdown with their associated restrictions, unfolded. The outlook for 2020/21 became increasingly austere as demands for a multi-dimensional response intensified. Employee safety and wellbeing, adapting to remote working, budget reprioritisation, IT security and establishing new research protocols, are just some of the pertinent priorities that the HSRC successfully managed during the year.

The organisation achieved an overall performance of 90%, which is its highest in recent years. This can be ascribed to several contributing factors, including:

1. The work-from-home approach that was implemented from March 2020, afforded research staff more time than usual to focus on writing for publication, yielding more publications than in previous years.
2. The technical indicator definitions of certain indicator targets were revised for the 2020/21 review year onward, to refine definitions and allow for more efficient tracking and reporting. Among other things, this allowed the HSRC to achieve its targets for convening scientific events, despite the lockdown restrictions.
3. The opportunity to adjust the Annual Performance Plan (APP) targets following the Special Adjustment Budget, allowed for the reduction of targets associated

with the appointment of PhD trainees and enabled the organisation to achieve this target, which would otherwise not have been possible.

One of the targets which the organisation unfortunately could not meet was the percentage of external income generated in relation to the Parliamentary Grant. Here the HSRC fell short by 51%. The reason for this is two-fold; the organisation has secured several grants for large-scale, multiple-year projects, but could not recognise the income because hard lockdown restrictions prevented fieldwork at community level for the first six months of the review period. With research activities unable to continue, milestone and expenditure invoices could not be raised to recognise the income. Secondly, with the further downturn in the economy as global priorities were redirected to respond to COVID-19, raising new grants was more difficult than usual.

It was anticipated that the impact of the pandemic would remain a limiting factor well into the 2021/22 financial year. Hence, when considering the prospect of achieving this target in the current global economic climate, and based on historical trend data for the organisation, this output indicator target was reduced from 48% to 45% for the MTEF period commencing 2021/22.

As anticipated, spending on all expense accounts was substantially below budget. The impact of COVID-19 restrictions was especially visible in relation to research

“Adaptation and implementation of new research methods enabled the HSRC to ensure that ongoing research studies proceeded, responding to opportunities necessitated by the need for evidence-based responses to the impacts of COVID-19.”

costs which were 52% below budget, as research activity, particularly fieldwork components, could not continue for at least six months.

The organisation consequently ended the year with a surplus of R22.5 million, mainly because of underspending on research, administrative and operational costs. A request to retain the cash surplus in terms of section 53(3) of the PFMA will be submitted to the National Treasury. Funding from the retained 2019/20 surplus was effectively utilised for several critical core and operational projects during the year under review. This included a substantial allocation to replace obsolete Information Technology infrastructure and equipment, which assisted considerably in addressing one of the HSRC's strategic risks.

As in the previous year, the Internal Audit review of Supply Chain Management (SCM) revealed some weaknesses in controls in the period under review. Mitigation plans to address these are under way and are being monitored by the Audit and Risk Committee. Nonetheless, 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 bids in the year under review.

The HSRC complied with all lockdown regulations as issued in terms of the Disaster Management Act, to prevent loss of life and maintain the well-being of staff, while at the same time maintaining business continuity in critical organisational areas. It successfully adopted a work-from-home approach from March 2020 and continues to manage office access in the best interests of employees' safety and wellbeing.

Many research projects had to be adjusted as the various levels of lockdown came into effect. This required research protocols to be revised and re-submitted for ethics review to account for new risks and different forms of engagement with research participants. Adaptation and implementation of new research methods enabled the HSRC to ensure that ongoing research studies proceeded, and structures were set in place to respond to opportunities necessitated by the need for evidence-based responses to the impacts of COVID-19.

A major challenge in the organisation remains the ongoing restrictions on the cost of employment (CoE). Managing staff members' remuneration expectations, while not being able to pay rewards or implement any cost-of-living increases, remains a continuing risk. In addition to producing low levels of motivation and morale among employees, it is also exacerbating existing barriers to recruiting and retaining skilled staff from designated groups, impacting directly on the HSRC's transformation objectives. The HSRC Executive will address this by implementing appropriate policies to facilitate an employee reward system outside the parameters of the CoE.

Important new activities include two exciting partnerships with the Department of Science and Innovation (DSI). The first is the Presidential Youth Employment Initiative, a demonstration project that forms part of the Presidential Employment Stimulus Plan, which was launched on 15 October 2020. The project aims to provide 1 000 unemployed graduates with training and experiential learning to improve their marketability in the labour environment and encourage social entrepreneurship. Through this demonstration project, the HSRC will create job opportunities for 1 000 graduates across academic disciplines, by enrolling them in six-month paid placements. The first placement cohort of graduates was randomly selected from 5 454 applicants.

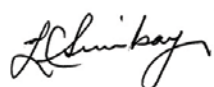
The second activity involves the transfer of the DSI Internship Programme from the National Research Foundation to the HSRC. The purpose of the internship, as articulated by the DSI, is to provide work experience for unemployed graduates by placing them in Research, Development and Innovation (RDI), National System of Innovation (NSI) and other relevant institutions in both the public and private sectors. In addition to management, monitoring and evaluation of the programme, the HSRC will implement an effective tracking study on programme beneficiaries.

The HSRC remains a going concern as confirmed by the audit. Its going-concern status is enabled, amongst other things, by several multi-year, large-scale projects for which funding has been secured. A priority in the 2021/22 financial year will be to make key appointments to capacitate research teams to deliver on their grant agreements.

With no blueprint to manage a crisis of the extent that was created in the wake of the COVID-19 pandemic, we are exceptionally proud to present this Annual Report. The successes reflected here were only possible because of the innovation, determination, and agility of a team of dedicated research and support staff.

I am grateful to the HSRC Executive who navigated these unprecedented circumstances with the required leadership and compassion, despite their own anxieties.

We keep in our thoughts those colleagues whom we have lost during this year, as well as their dear family members and friends.



Prof. Leickness Simbayi
Acting CEO of the HSRC

26 August 2021

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

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

- All information and amounts disclosed in the Integrated Annual Report are consistent with the Annual Financial Statements audited by the Auditor-General of South Africa;
- The Integrated Annual Report is complete, accurate and free from any omissions;
- The Integrated Annual Report has been prepared in accordance with the guidelines on the Integrated Annual Report as issued by the National Treasury;
- 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 HSRC;
- The Accounting Authority is responsible for the preparation of the Annual Financial Statements and for the judgments made in this information;
- The Accounting Authority is responsible for establishing and implementing a system of internal control designed to provide reasonable assurance as to the integrity and reliability of the performance information, the human resources information and the Annual Financial Statements; and
- 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 2021.



Prof. Leickness Simbayi
Acting CEO of the HSRC

26 August 2021



Prof. Mvuyo Tom
Chairperson of the HSRC

26 August 2021

6 STRATEGIC OVERVIEW

6.1 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.

6.2 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.

6.3 VALUES

Acceptance

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.



7 LEGISLATIVE AND OTHER MANDATES

7.1 LEGISLATIVE AND POLICY MANDATE

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.

7.2 INSTITUTIONAL POLICIES AND STRATEGIES

The HSRC Strategic Plan is strongly aligned with national strategies, notably the NDP: 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.

7.3 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.

8 ORGANISATIONAL STRUCTURE

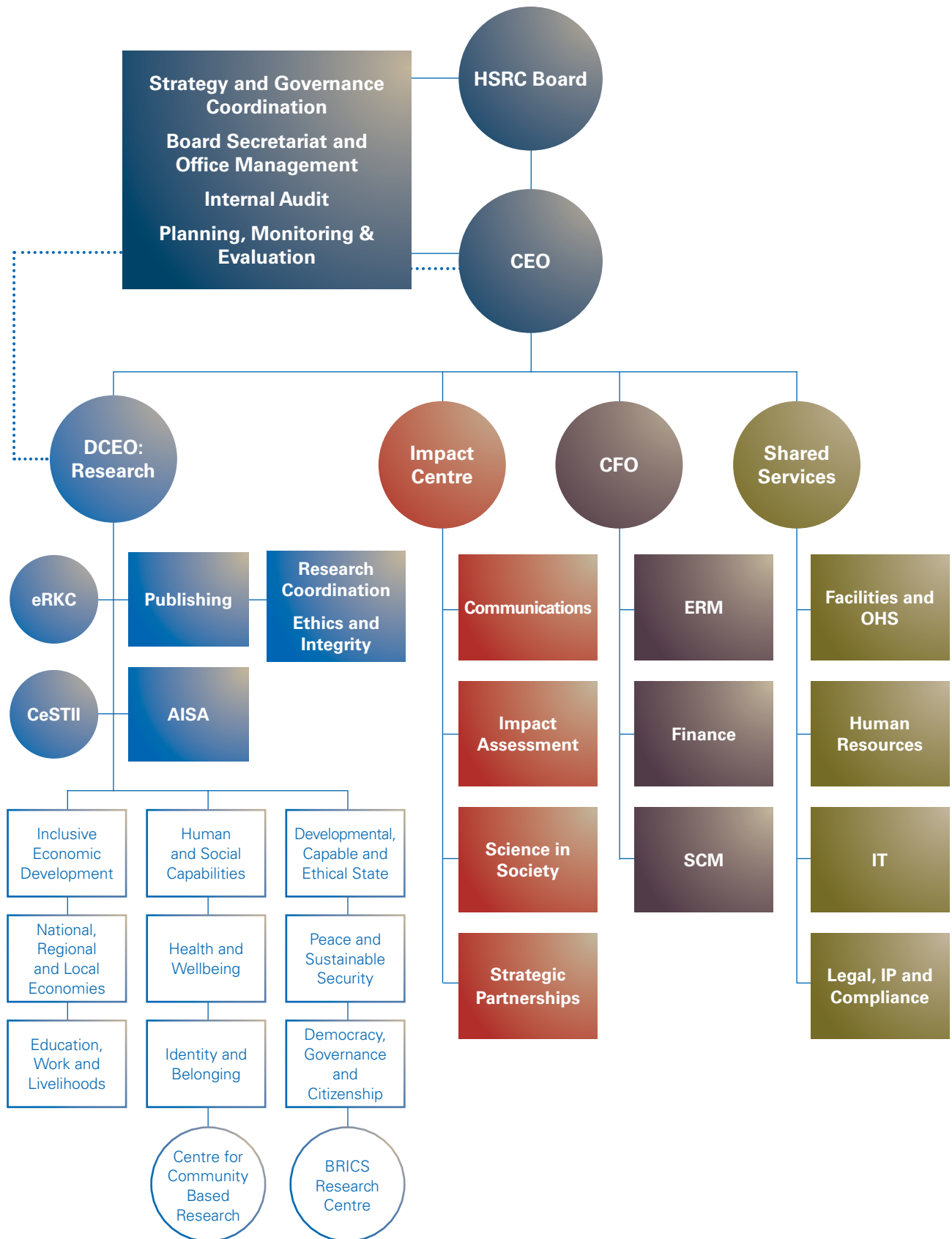


Figure 1: Organisational Structure of the HSRC

9 BOARD MEMBERS



Prof. Mvuyo Tom
Chairperson



Prof. Crain Soudien
Chief Executive Officer
(Term ended 31 March 2021)



Ms Nasima Badsha



Prof. Mark Bussin



Adv. Roshan Dehal



Prof. Relebohile Moletsane



Ms Precious Sibiya



Prof. Lindiwe Zungu

10 EXECUTIVE MANAGEMENT



Prof. Crain Soudien
Chief Executive Officer
(Term ended 31 March 2021)



Prof. Leickness Simbayi
Deputy Chief Executive
Officer: Research (DCEO: R)



Dr Glenda Kruss
Executive Head: Centre for
Science, Technology and
Innovation Indicators (CeSTII)



Prof. Heidi van Rooyen
Group Executive:
Impact Centre



Prof. Sharlene Swartz
Division Executive: Inclusive
Economic Development (IED)



Dr Narnia Bohler-Muller
Division Executive:
Developmental, Capable and
Ethical State (DCES)



Prof. Khangelani Zuma
Division Executive: Human
and Social Capabilities (HSC)



Prof. Cheryl Hendricks
Executive Head: Africa
Institute of South Africa (AISA)



Ms Jacomien Rousseau
Chief Financial Officer (CFO)



PART B

PERFORMANCE INFORMATION



1 AUDITOR-GENERAL'S REPORT: PREDETERMINED OBJECTIVES

The Auditor-General of South Africa (AGSA) currently performs the necessary audit procedures on the performance information to provide reasonable assurance in the form of an audit conclusion. The audit conclusion on the performance against predetermined objectives is included in the report to management, with material

findings being reported under the heading Predetermined Objectives in the section Report on Other Legal and Regulatory Requirements of the auditor's report.

Refer to page 129 of the Annual Report for the Auditor's Report, published under Part E: Financial Information.

2 SITUATIONAL ANALYSIS

2.1 SERVICE DELIVERY ENVIRONMENT

The Political Landscape/Government

An important reality for the HSRC is being able to inform government policy while, as a non-partisan state entity, simultaneously providing it with critical advice and analysis. As the Ministry of Higher Education, Science and Innovation mobilised the National System of Innovation for a coordinated response to COVID-19, the HSRC responded promptly by gathering, assimilating and sharing information that assisted government in understanding the social aspects of the pandemic.

The Economic Landscape

The adverse effect of the local economic climate on the HSRC has been documented in various submissions and planning documents. The single biggest pressure point to manage in the organisation remains negotiating a declining senior research complement with increased pressure to produce high quality research and procure external income.

In direct response to the declining parliamentary grant, the HSRC, for the second continuous year, was not able to offer performance-based bonuses to its staff. It was further not able to give staff any cost-of-living salary adjustments. While staff members appreciated the reasons for this reduction in the parliamentary grant, these steps, which had to be taken in conjunction with the moratorium on filling of vacancies in the organisation, have exacerbated already low levels of staff morale.

Whilst critical vacancies could be filled, the mounting pressure to alleviate strain on the salary bill did impede the appointment of additional PhD trainees over the short and medium term. This output indicator target was subsequently reduced when an Addendum to the approved 2020/21 Annual Performance Plan was tabled in July 2020, following the Special Budget Adjustment.

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 redirect funding within its available envelope to respond to national priorities, including COVID-19. Whereas the parliamentary grant was supplemented with external income to a reasonable extent in previous years, the current financial year saw a sharp decline in external income, as both public and private funders were compelled to reprioritise budget allocations.

Social Considerations

The HSRC previously articulated two pertinent social considerations that have a direct impact on its ability to fulfil its mandate. These were:

- The bias in both the public and private sectors towards the 'hard sciences' as opposed to those considered to be 'soft sciences'
- Changes in the burden of disease in the country. The increase in the incidence of tuberculosis (TB) is affecting funding streams available to the HSRC, for example a particular stream such as HIV/AIDS.

Both considerations remain valid. Changes in the burden of disease also required the organisation to redirect both its focus and available resources to respond to the COVID-19 pandemic. This could not be done, however, in isolation or at the cost of progress in understanding, explaining and offering solutions to other life-threatening diseases. A balanced and integrated approach was therefore required to retain momentum in HIV/AIDS and TB work, while also contributing to the programme of work on COVID-19.

As a public social science institute, the HSRC has a definitive and distinct role to play in generating an understanding of a pandemic for which the best

guidance available is based on social factors – social distancing and associated behavioural changes. The complexities around those factors in a society which is grossly unequipped for it are questions for which social scientists are best prepared to respond. Paying attention only to the biomedical and the pharmaceutical aspects of the crisis will not sufficiently address its complexity. A fuller response demands insights into and an understanding of human behaviour and the multi-dimensional socio-economic fabric underpinning and influenced by such behaviour. Out of this could emerge an integrated and multidisciplinary response to the crisis. In this the HSRC has played a convening role in the social science community.

A further important point in addressing COVID-19 is acknowledging how significantly it is exacerbating the challenges of poverty and inequality in South Africa and globally. Mindful of its strategic commitment to assist government in its objective of alleviating poverty and reducing inequality, the HSRC sought to assist the country and the world in finding ways of using the opportunity presented by the crisis to reset their political and social agendas.

Legal Considerations

Regulations issued in terms of the Disaster Management Act (No. 57 of 2002, as amended) placed restrictions on movement and persons as a result of the various risk adjusted levels of the national lockdown. This compelled the HSRC to suspend all face-to-face fieldwork projects for a significant portion of the year until such time as revised protocols could be developed and approved by affected funders, as well as the HSRC Research Ethics Committee (REC). As a result, project delays had an adverse effect on the organisation's spending and invoicing ability in relation to external income.

2.2 ORGANISATIONAL ENVIRONMENT

As a responsive, research-based and learning organisation, the internal organisational environment of the HSRC remains stable yet dynamic. At the level of senior management, the end of this financial year also marked the end of the CEO's term of office on 31 March 2021. This period of transition was included in the approach to strategic and operational planning for the strategic planning cycle of 2020–2025.

Effective from 1 April 2020, the HSRC implemented an organisational realignment with a more streamlined structure of research divisions, better reflecting the areas of ongoing and future focus of the HSRC. This was part of the implementation plan envisioned in the Strategic Plan 2020–2025. The new five-year strategy necessitated a realignment of the organisational structure to ensure that resources were allocated optimally to achieve the outcomes envisaged in the strategy.

When considering the internal environment, the HSRC is confronted with both strengths in support of, and weaknesses to overcome in its capacity to deliver its mandate. Some of the most pertinent considerations are outlined below.

Human Resources

The HSRC faces the challenge of a limited number of senior researchers, who are required not only to raise funds, but also to implement a range of contract research projects, and reach scholarship targets. Filling of vacancies for senior research staff has been constrained by salary caps implemented by the National Treasury and further reductions in the allocation for the Compensation of Employees. While the appointment of additional, new research staff is not possible to the extent required, opportunities for providing tenure to existing staff are being considered within the framework of enabling organisational policies.

The organisation has historically struggled to achieve its transformation targets at senior researcher levels. Resignation data show that black researchers are in demand and are offered very high salaries in the university and private sectors. The organisation loses its transformation capital when it loses these researchers. The HSRC Human Resource strategic focus therefore remains growth in and retention of transformation capital through career path development and recruitment.

Information Technology

The extent of the risks around the organisation's lack of Information Technology (IT) infrastructure and resources was emphasised when staff were required to work from home, and once again as cyber security alerts were raised globally. The HSRC was increasingly reliant on IT infrastructure to conduct day-to-day work and deliver projects.

A substantial allocation for IT infrastructure was enabled with the approval of the National Treasury, through retained earnings at the 2019/20 financial year-end. However, with no capital expenditure allocation or dedicated budget allocation for IT support and infrastructure, this remains a major obstacle and budget item that requires much-needed financial resources.

Moving beyond the purely technical aspects of infrastructure provision, the IT Unit has begun to be more strategic in supporting research. It leverages disruptive modern technologies such as mobility, cloud technologies and real-time data capturing at source to optimise the research environment and introduce efficiencies into the ways in which research is conducted. Although the HSRC has begun to embrace new technologies, it needs to ensure that it remains abreast of developments in the field if it is to become a major competitor in the social science arena. This, however, is largely dependent on access to resources.

eResearch Knowledge Centre

A critical partner to IT and to 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. However, 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 the COVID-19 pandemic. 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.

2.3 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.

3 PROGRESS TOWARDS ACHIEVEMENT OF INSTITUTIONAL IMPACTS AND OUTCOMES

The HSRC identified five strategic outcome-oriented goals for the strategic planning period 2020–2025 starting from the 2020/21 reporting year. These goals, represented by seven letters forming the acronym 'LeaPPTS', were informed by the mandated goals and institutional imperatives of the HSRC.

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 the major developmental challenges in South Africa and on the continent.

The HSRC will lead in initiating and convening to foster and increase co-operation, 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 the understanding and use of science by communities.

The HSRC will approach these outcomes through a programme of work organised around three divisions aligned with the National Development Plan (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, to respond to calls for proposals, and will also initiate grant proposals. It will retain its ability to respond to short-term projects, but not as a main income stream.

In both instances, only those projects that are clearly aligned with the HSRC's research focus will be pursued.

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 a strengthened business development activity.



The HSRC identified seven strategic outcome indicators to support the Department of Science and Innovation (DSI) outcomes, Medium-Term Strategic Framework (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:

- Achievement of 179 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.
- Achievement of 556 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.
- The five-year target of one (1) applied outcome emanating from collaboration on the African continent will be a continued focus of the current research objectives and future research envisioned.
- The five-year target of one (1) government service or function where the HSRC research results provided decision support was achieved during the reporting period. Findings from the 'Lockdown Survey', a national public survey conducted by the HSRC, provided decision support to the Minister of Health as well as the Minister of Cooperative Governance and Traditional Affairs (CoGTA), especially in relation to the implications of lockdown regulations prohibiting the sales of tobacco products. This resulted in the Minister of Health requesting the HSRC to coordinate

the 'No Tobacco Day 31 May 2020' activities. The HSRC survey report was also relied upon by the Minister of CoGTA in an important court challenge by the Fair-Trade Independent Tobacco Association (FITA) against the 30 April 2020 gazetted regulations on the selling of tobacco and tobacco-related products as part of the Level 4 national lockdown restrictions. The HSRC survey findings and the Minister's reliance thereon was cited in the court judgement handed down on 26 June 2020 in favour of the President, cited as first respondent, and the Minister of CoGTA, cited as second respondent.

- The five-year target of one (1) community innovation supported or enabled by HSRC research was achieved during the reporting period. The innovation of 'Double Storey Alternative Housing' was developed under the project: Realising the potential of urban density to create more prosperous and liveable informal settlements in Africa.
- Achievement of 51.2% was recorded as the percentage of senior researchers from designated groups with permanent appointments, 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 on permanent appointments.
- Achievement of R61 million of 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.

4 PROGRAMME PERFORMANCE INFORMATION

4.1 PROGRAMME 1: ADMINISTRATION

4.1.1 Purpose

This programme is responsible for the strategic direction and overall management of the HSRC.

An **Impact Centre** was established in 2020 to focus on research use and impact, providing support and mechanisms for collaboration, and convening and communicating the HSRC's work so that it is able to position itself as the flagship for human and social sciences research in the country. A coherent and articulated strategy that helps answer the questions underpinning impact is being combined with a process for making the HSRC's work more visible. This work informs reporting on a key indicator of the extent to which there is uptake and utilisation of the knowledge produced by the HSRC to create impact in communities.

The Administration Programme further provides centralised shared services to support the 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

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

4.1.2 Outcomes, outputs, output indicators, targets and actual achievement

Programme 1: Administration, 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 Research 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.

During the reporting period significant achievements included meeting and exceeding the annual targets for cited publications, dataset downloads, collaborative projects with universities, PhD trainees employed during the period and training academies for emerging scholars. Targets were also met for the event convened on 'Working from anywhere' dealing with promotion of employment and effects of inequalities, as well as the targets on percentage of black senior researchers and the percentage of researchers with PhDs.

The target on percentage of senior researchers who are female was not met during the reporting period. The prioritisation of demographic representation 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 1: Originally tabled Annual Performance Plan indicators revised in the re-tabled Addendum to the Annual Performance Plan

Programme 1: Administration									
Outcome	Output	Output Indicator	Audited Actual Performance 2018/19	Audited Actual Performance 2019/20	Planned Annual Target 2020/21	*Actual Achievement 2020/21 (until re-tableting in July 2020)	Deviation from Planned Target to Actual Achievement 2020/21	Reasons for Deviations	Reasons for Revisions to the Annual Targets
4 Transformed research capabilities	Trained researchers: Skills	4.4 The number of PhD trainees	54	47	45	29	(16)	During the first quarter the HSRC was not able to appoint PhD trainees due to budget constraints and a moratorium on appointments.	The COVID-19 pandemic resulted in a 10% reduction in the HSRC's budget allocation for 2020/21 which necessitated priority considerations and shifts.

* Actual achievement reported in relation to the performance information reflected in the originally tabled Annual Performance Plan until date of re-tableting in July 2020.

Table 2: Report against the re-tabled Annual Performance Plan

Programme 1: Administration									
Outcome	Output	Output Indicator	Audited Actual Performance 2018/19	Audited Actual Performance 2019/20	Planned Annual Target 2020/21	**Actual Achievement 2020/21	Deviation from Planned Target to Actual Achievement 2020/21	Reasons for Deviations	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	171	313	160	179	19	Higher achievement is seen as a positive indication of the quality of HSRC-produced publications based on the citations thereof in the research community.	
	High-quality research	1.6 The number of curated datasets downloaded for secondary use	661	608	520	556	36	Higher achievement is seen as a positive indication of the contribution made to the research community through downloads of HSRC-produced datasets.	
	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	New	1	1	0	N/A	

Outcome	Output	Output Indicator	Audited Actual Performance 2018/2019	Audited Actual Performance 2019/2020	Planned Annual Target 2020/2021	**Actual Achievement 2020/2021	Deviation from Planned Target to Actual Achievement 2020/2021	Reasons for Deviations
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	New	3	6	3	Higher achievement is seen as a positive indication of the HSRC's commitment towards collaboration with universities and science councils in SA.
		4.1 The percentage of senior researchers (SRS/SRM+) who are black	Revised	Revised	46%	46.25%	0.25%	Higher achievement is seen as a positive indication of the HSRC's commitment towards the recruitment and advancement of black researchers.
4 Transformed research capabilities	Trained researchers: Skills	4.2 The percentage of senior researchers (SRS/SRM+) who are female	Revised	Revised	35%	32.5%	(2.5%)	This is a very challenging target. The pool for this resource is very small and universities and other research institutions in South Africa are competing for it. The HSRC remains committed to ensuring representivity throughout the organisation and will continue to single out the group of senior researchers by setting high targets for female representation.
		4.3 The percentage of researchers (excluding trainees) with PhDs	New	New	75%	78.51%	3.51%	Higher achievement is seen as a positive indication of the expertise employed by the HSRC and the contribution it is able to make to the research community and society.
		4.4 The number of PhD trainees	54	47	25	31	6	Higher achievement is seen as a positive 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	New	2	3	1	Higher achievement is seen as a positive indication of HSRC's commitment to the growth and empowerment of emerging scholars in SA as well as other African countries.

Outcome	Output	Output Indicator	Audited Actual Performance 2018/2019	Audited Actual Performance 2019/2020	Planned Annual Target 2020/2021	**Actual Achievement 2020/2021	Deviation from Planned Target to Actual Achievement 2020/2021	Reasons for Deviations
5 Sustainable income streams	Partnerships	5.1 The percentage of total income that is extra-parliamentary	45.54%	39.11 % (3706% restated as per 2020/21 AFS due to prior period adjustment)	48%	38.93%	(9.07%)	The HSRC was able to secure sufficient external funding for the 2020/21 financial year, but due to the impact of COVID-19 was not able to realise expenditure and draw down the secured funding from the various project investment accounts, resulting in an increase of R70 million in income received in advance. This was largely due to the strict national lockdown regulations that prevented fieldwork in communities as the HSRC Research Ethics Committee halted all fieldwork in line with lockdown restrictions for at least six months. Data collection activities constitute a significant portion of the externally funded research activities of the HSRC.
		5.2 The number of internationally funded collaborative projects involving multi-year grants of R5 million or more	New	New	2	4	2	Higher achievement is seen as a positive indication of the HSRC's commitment towards collaborative research and securing multi-year international funding towards these initiatives.

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

4.1.3 Strategy to overcome areas of under performance

The strategic objective of transformed research capabilities continues to receive attention at all levels in the HSRC. Tables in the HR part in this annual report provide evidence of good overall performance at institutional level. Senior Researchers were intentionally selected as the most challenging subset of employees from the perspective of representation, for ambitious target setting and reporting in the context of institutional transformation. The target of 35% for senior researchers who are female was not met. Reasons for under-performance in terms of this indicator are known and include: the limited 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 from designated groups 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 cap on salary-related expenditure implemented by National Treasury made it even more difficult to achieve this objective. The HSRC remains committed to the

prioritisation of the appointment of female researchers at senior levels in the recruitment process as well as the retention of senior female staff. This is also supported by the development strategy in terms of growing internal capacity to the level of senior researchers.

In relation to the strategic objective of financial sustainability, the target for extra-parliamentary income as a ratio of 48% external income to 52% parliamentary grant allocation was not met. This was again due to the impact of COVID-19 and the national lockdown regulations that prevented fieldwork and other research activities that directly correlate with the achievement of actual external income recognised for the period. The HSRC was able to secure sufficient external funding for the period under review, but due to external factors this could not be translated into achievement of this target. Securing and realising sufficient external funding therefore remains a high priority for the HSRC. When considering the prospect for achieving this target in the current global economic climate, and based on historical trend data for the organisation, this output indicator target was reduced to 45% over the MTEF period commencing 2021/22.



4.2 PROGRAMME 2: RESEARCH, DEVELOPMENT AND INNOVATION

4.2.1 Purpose

This programme conducts basic and applied research to generate and apply knowledge with a distinct social science and humanities focus in support of national developmental priorities.

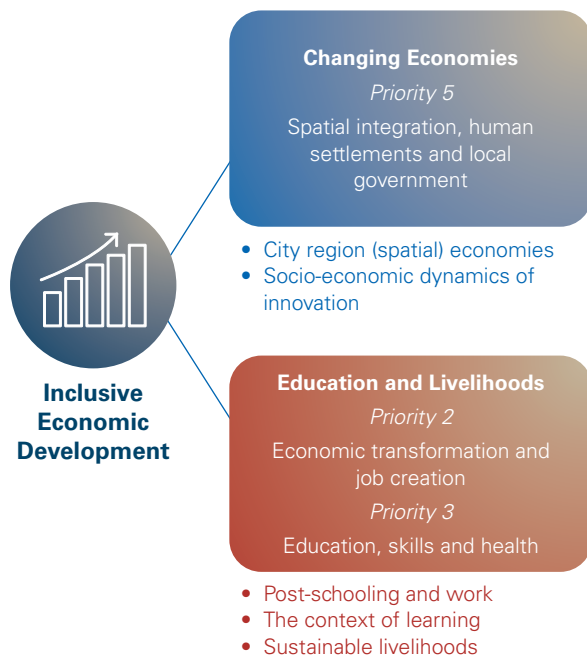
Programme 2 includes the Africa Institute of South Africa (AISA).

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:

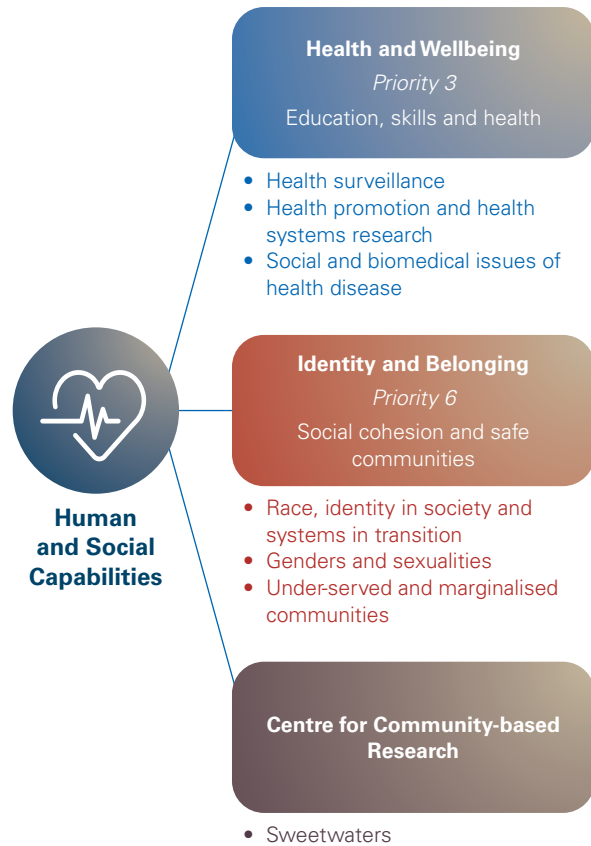


Sub-Programme 2: Human and Social Capabilities

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:



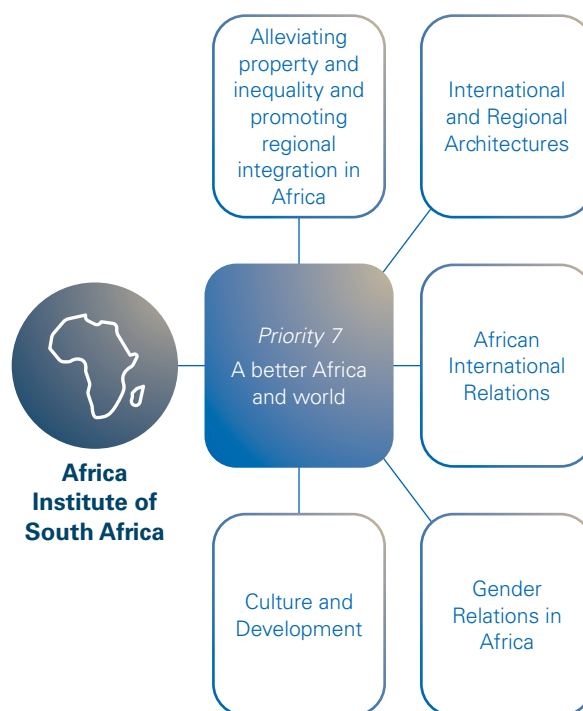
Sub-Programme 4: Africa Institute of South Africa

Purpose:

To lead, provide strategic direction and co-ordinate 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:

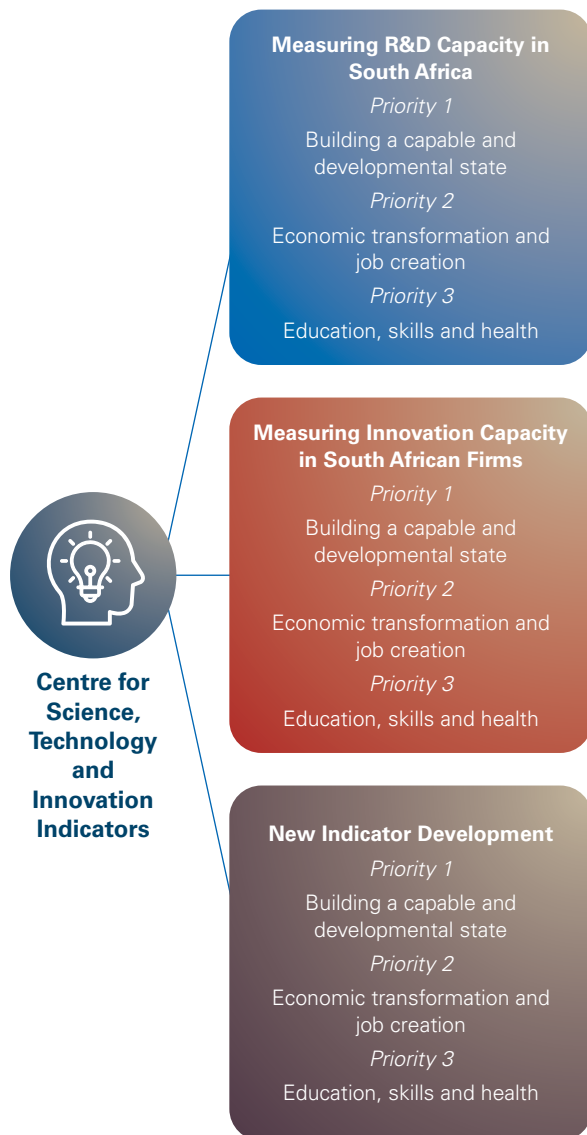


Sub-Programme 5: Centre for Science, Technology and Innovation Indicators

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:



4.2.2 Outcomes, outputs, output indicators, targets and actual achievement

Programme 2: Research, Development and Innovation, contribute towards the institutional outcomes of: (i) Leadership in Knowledge Production, through targets on peer-reviewed journal articles produced by HSRC researcher, collaboration with authors from other African countries on peer-reviewed journal articles, 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 meeting and exceeding the annual targets for

journal publications, book publications, book chapters published, and policy briefs produced. This high volume of publications and research outputs can be contributed to the dedication and work ethic demonstrated by our researchers wherein the implications of COVID-19 and working from home was taken as an opportunity to focus on the outcomes of our research during the period when fieldwork was not possible. This was also achieved during a time when renewed focus and rapid-response research was conducted on the various COVID-19 related studies as demonstrated through this Integrated Annual Report.

Research engagements with government and communities also demonstrated the efforts of the HSRC in producing data to support decision making by the National Coronavirus Command Council (NCCC) and government during the various levels of national lockdown in response to COVID-19.

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



Table 3: Originally tabled Annual Performance Plan indicators revised in the re-tabled Addendum to the Annual Performance Plan

Programme 2: Research, Development and Innovation									
Outcome	Output	Output Indicator	Audited Actual Performance 2018/19	Audited Actual Performance 2019/20	Planned Annual Target 2020/21	*Actual Achievement 2020/21 (until re-tableting in July 2020)	Deviation from Planned Target to Actual Achievement 2020/21	Reasons for Deviations	Reasons for Revisions to the Annual Targets
3 Recognition as a trusted and engaged research partner within scientific communities and civil society	Trained researchers: Skills	3.5 The number of incoming international exchange visits or fellowships active during the period under review	Revised	Revised	6	4	(2)	During the first quarter the HSRC was not able to appoint new visiting fellows because of COVID-19 and international travel restrictions.	The national lockdown and international travel restrictions in response to the COVID-19 pandemic prevented the HSRC from engaging visiting fellows during the period.

* Actual achievement reported in relation to the performance information reflected in the originally tabled Annual Performance Plan until date of re-tableting in July 2020.

Table 4: Report against the re-tabled Annual Performance Plan

Programme 2: Research, Development and Innovation								
Outcome	Output	Output Indicator	Audited Actual Performance 2018/19	Audited Actual Performance 2019/20	Planned Annual Target 2020/21	**Actual Achievement 2020/21	Deviation from Planned Target to Actual Achievement 2020/21	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	1.06	0.78	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	10	9	10	19	9	Higher achievement is seen as a positive indication of HSRC staff productivity in producing meaningful research outputs.
		1.3 The number of scholarly books published by HSRC researchers	18	17	7	13	6	It is not always easy to predict exactly when a book (and therefore also book chapter) will be released. Compilation books with numerous chapters were published in the last quarter. 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	93	86	45	118	73	It is not always easy to predict exactly when a book (and therefore also book chapter) will be released. Compilation books with numerous chapters were published in the last quarter. Higher achievement is seen as a positive indication of HSRC staff productivity in producing meaningful research outputs.

Outcome	Output	Output Indicator	Audited Actual Performance 2018/19	Audited Actual Performance 2019/20	Planned Annual Target 2020/21	**Actual Achievement 2020/21	Deviation from Planned Target to Actual Achievement 2020/21	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	Revised	6	12	6	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	New	3	9	6	During 2020/21 the HSRC conducted and completed several significant research studies and the outcomes of these resulted in numerous structured engagements with government through which the HSRC was able to make meaningful contributions on various issues including COVID-19.
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	New	5	9	4	During 2020/21 the HSRC conducted and completed several significant research studies and emanating from these, numerous research-related engagements with communities and civil society forums were held.
		3.2 The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers	New	New	1	2	1	Higher achievement is seen as a positive indication of the HSRC's contribution to the research community.
	High-quality research use mechanisms	3.3 The number of community innovations supported or enabled by HSRC research	New	New	1	1	0	N/A
	Trained researchers: Skills	3.5 The number of incoming international exchange visits or fellowships active during the period under review	Revised	Revised	4	4	0	N/A

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

4.2.3 Strategy to overcome areas of under performance

Not applicable: There were no instances of under-performance for Programme 2 in the year under review.

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

In line with the COVID-19 regulations, the HSRC was faced with severe restrictions but complied 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.

The HSRC developed a COVID-19 response plan that covers risk exposure, impact on operations, safety measures, action plans and potential impact on revenue. This document was also informed by directives from the Presidency and the DSI.

As part of the HSRC's ongoing response to the effects of COVID-19 and its profound impact on the workforce, the HSRC, in the year under review, adapted to a remote and virtual working environment. This was followed by a phased return to work.

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

- Establishing a COVID-19 HSRC task team;
- Developing a COVID-19 Risk Register;
- Keeping employees safe and restricting possible workplace exposures and infection rates;
- Permitting employees to keep working from home as far as possible;
- Continuous circulation of educational material on COVID-19;

- Compliance with national lockdown regulations;
- Adapting research and fieldwork protocols in line with national lockdown restrictions; and
- Engaging management and on-going electronic communication.

Many research projects had to be adjusted as the various levels of lockdown came into effect, with research protocols revised and re-submitted for ethics review to account for new risks and different forms of engagement with research participants. Through adaptation and implementation of new research methods the HSRC was able to ensure that ongoing research studies proceeded and structures were set in place to respond to new opportunities necessitated by the need for evidence-based responses to the impacts of COVID-19.

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 synchronously 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 are being deployed.



4.4 LINKING PERFORMANCE WITH BUDGETS

Table 5: Programme 1 – Administration

Programme/activity/ objective	2020/21			2019/20		
	Budget	Actual Expenditure	(Over)/Under Expenditure	Budget	Actual Expenditure	(Over)/Under Expenditure
	R'000	R'000	R'000	R'000	R'000	R'000
Administration	229 160	133 711	95 449	214 184	119 097	95 087
Total	229 160	133 711	95 449	214 184	119 097	95 087
Economic classification:						
Current payments	214 342	133 711	80 631	199 572	119 097	80 475
Compensation of employees	118 202	60 348	57 854	107 098	71 757	35 341
Goods and services	84 562	65 911	18 651	83 360	40 035	43 325
Agency and support/ outsourced services	6 087	2 058	4 029	5 792	1 415	4 377
Audit costs	4 703	3 182	1 521	4 475	3 994	481
Bank charges	620	189	431	590	232	358
Communication	14 142	7 551	6 591	13 456	8 325	5 131
Computer services	-	-	-	-	-	-
Contractors	14 882	7 634	7 248	15 111	-20 517	35 628
Inventory	4 624	148	4 476	4 399	662	3 737
Lease payments	13 088	9 970	3 118	12 453	12 041	412
Legal fees	443	33	410	421	21	400
Non-life insurance	2 832	1 841	991	2 694	1 813	881
Repairs and maintenance	15 639	5 939	9 700	14 880	8 791	6 089
Training and staff development	2 303	482	1 821	2 192	289	1 903
Travel and subsistence	3 012	14 665	(11 653)	4 103	12 131	(8 028)
Other costs	2 187	12 219	(10 032)	2 794	10 836	(8 042)
Depreciation and interest	11 578	7 452	4 126	9 114	7 305	1 809
Depreciation	10 080	6 910	3 170	7 688	6 289	1 399
Interest and fair valuations	1 498	542	956	1 426	1 016	410
Transfers and subsidies to:	14 818	-	14 818	14 612	-	14 612
Non-profit institutions	14 818	-	14 818	14 612	-	14 612
Total	229 160	133 711	95 449	214 184	119 097	95 087

Table 6: Programme 2 – Research, Development and Innovation (RDI)

Programme/activity/ objective	2020/21			2019/20		
	Budget	Actual Expenditure	(Over)/Under Expenditure	Budget	Actual Expenditure	(Over)/Under Expenditure
	R'000	R'000	R'000	R'000	R'000	R'000
Research, Development and Innovation	337 230	255 740	81 490	385 757	302 238	83 519
Total	337 230	255 740	81 490	385 757	302 238	83 519
Economic classification:						
Current payments	309 711	255 740	53 971	358 623	302 238	56 385
Compensation of employees	135 821	194 171	(58 350)	205 812	222 601	(16 789)
Goods and services	169 482	58 625	110 857	148 617	76 814	71 803
Agency and support / outsourced services	1 776	203	1 573	2 084	200	1 884
Audit costs	-	273	(273)	-	716	(716)
Bank charges	-	60	(60)	-	59	(59)
Communication	5 891	1 476	4 415	5 739	2 342	3 397
Computer services	759	-	759	773	-	773
Contractors	207	12	195	126	311	(185)
Inventory	642	1 261	(619)	753	-618	1 371
Lease payments	426	195	231	500	253	247
Legal fees	-	-	-	-	-	-
Non-life insurance	-	7	(7)	-	28	(28)
Repairs and maintenance	555	7 115	(6 560)	651	1 506	(855)
Research and Development	146 234	45 131	101 103	122 824	40 077	82 747
Training and staff development	1 235	127	1 108	1 448	638	810
Travel and subsistence	527	595	(68)	857	1 732	(875)
Other costs	11 230	2 171	9 059	12 862	29 568	(16 706)
Depreciation and interest	4 408	2 944	1 464	4 194	2 823	1 371
Depreciation	4 408	2 944	1 464	4 194	2 823	1 371
Interest and fair valuations	-	-	-	-	-	-
Transfers and subsidies to:	27 519	-	27 519	27 133	-	27 133
Non-profit institutions	27 519	-	27 519	27 133	-	27 133
Total	337 230	255 740	81 490	385 757	302 238	83 519

5 REVENUE COLLECTION

Table 7: Itemised revenue collection

Sources of Revenue	2020/21			2019/20*		
	Estimate	Actual Amount Collected	(Over)/Under Collection	Estimate	Actual Amount Collected	(Over)/Under Collection
	R'000	R'000	R'000	R'000	R'000	R'000
Research revenue	237 234	117 150	120 084	224 201	118 076	106 125
Parliamentary grants	251 587	251 587	-	272 917	272 917	-
Other operating revenue	37 033	43 206	(6 173)	61 077	42 644	18 433
Total	525 854	411 943	113 911	558 195	433 637	124 558

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

Revenue collected achieved was 78% against the budgeted estimated for the 2020/21 financial year, versus 80% in the 2019/20 year. This reduction in achievement was the result of certain research activities not being realised against secured funding. Delays experienced included postponement of and in some instances reinventing and shifting to virtual alternatives for activities planned for the 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.

6 CAPITAL INVESTMENT

The HSRC did not have any infrastructure projects planned or funded for the 2020/21 financial year.



7 THE HSRC'S ACHIEVEMENTS – 2020/21

7.1 THE CONTEXT FOR THE HSRC'S PERFORMANCE IN A COVID-19 YEAR

In March 2020, the global COVID-19 (coronavirus) pandemic reached South Africa. The ensuing declaration of a national state of disaster on 15 March, and announcement of a national lockdown which came into effect at midnight on 26 March, had a profound impact on every inhabitant of the country. The social and economic impact of the national lockdown became apparent almost immediately.

The HSRC, too, was affected and its entire workforce had to rapidly adapt to a remote and virtual working environment. Several physical engagements, including training events, workshops or contributions at international conferences had to be cancelled, impacting on planned performance in some instances. Many research projects had to be adjusted, with research protocols revised and re-submitted for ethics review to account for new risks and different forms of engagement with research participants.

An important reality for the HSRC is being able to inform government policy while, as a non-partisan state entity, simultaneously providing it with critical advice and analysis.

As the Ministry of Higher Education, Science and Innovation mobilised the National System of Innovation for a coordinated response to COVID-19, the HSRC added to these efforts by gathering, assimilating and sharing information to assist government in understanding the social aspects of the pandemic.



Following the declaration of the national state of disaster, the government required all organs of state to make their resources available in its efforts to deal with the pandemic. In the case of the HSRC, new research projects were launched to address the critically-important human and social aspects of the disease. This included public perceptions and understanding, the lived experiences of critical workers, appropriate messaging, and preventative and mitigating strategies. More information on how government utilised the research results to inform further planning and roll-out of regulations and prioritised interventions is provided in the following sub-section.

7.2 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

7.2.1 Surveys to understand attitudes, perceptions and behaviours in relation to COVID-19

The HSRC conducted a number of surveys aimed at informing government planning and messaging for coordinated and effective COVID-19 responses. The nature of the pandemic and the COVID-19 safety protocols necessitated an agility and innovation in how the HSRC conducted its research. Much of the work conducted by the HSRC took place using online platforms, primarily the biNu Moya messaging platform which is also data free. This helped the HSRC to reach its intended audiences in a more targeted way.

7.2.1.1 The Lockdown Survey conducted by the HSRC

The first socio-behavioural survey in the 'Street Talk/Asikhulume' series began on 27 March 2020 – the day on which South Africa entered Level 5 of its national lockdown. This survey, entitled the Lockdown Survey, aimed to gather information from the country's citizens so that their perspectives, experiences and situations could be better understood. The survey comprised two parts:

- The first wave (launched on 27 March) used the #datafree Moya messaging platform and reached 19 330 respondents. The Moya messaging platform was chosen because of its large user base of about four million members and one million daily engaged users, many of whom are from less privileged and more vulnerable communities. The focus of the first wave of the survey was to get a better sense of awareness levels and knowledge about the virus.
- The second wave (starting on 8 April) included qualitative interviews with participants using telephone communication, video platforms or an internet-based questionnaire. The purpose of this survey wave was to obtain better insight into the impact of the lockdown on lived experiences of respondents.

A Rapid Assessment and Response (RAR) approach was followed to speed up the process of review, analysis, feedback and responses. HSRC researchers worked with a range of partners, including, the University of KwaZulu-Natal, Nelson Mandela University (NMU), Harambee, South African Population Research Infrastructure

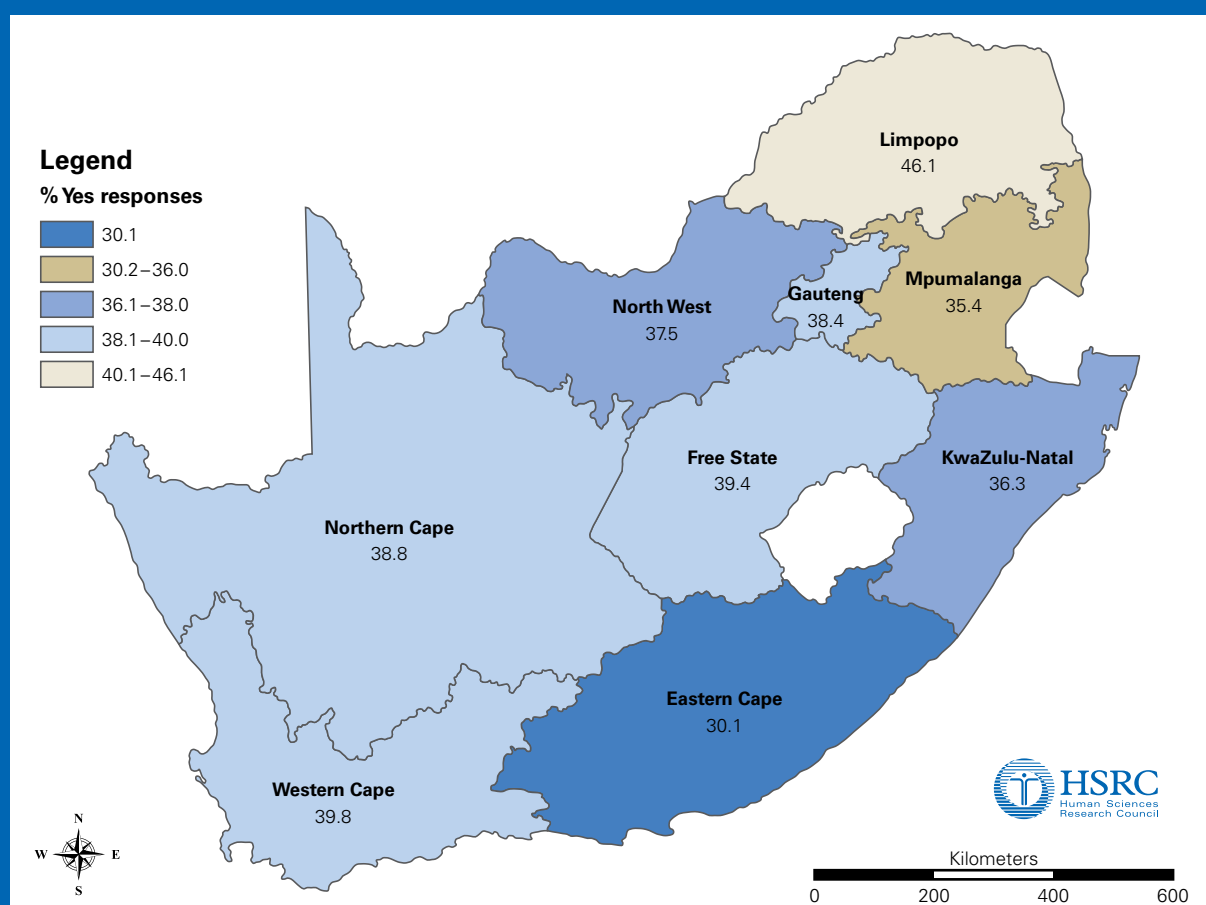


Figure 2: Percentage of respondents who believed that provincial government could handle the threat of the Coronavirus

Network (SAPRIN) located at Agincourt, Walter Sisulu University, the National Institute for the Humanities and Social Sciences (NIHSS) and Acumen Media to reach the required respondents and keep a finger on the pulse of national sentiment.

These surveys produced very useful data on the public's perceptions and understanding of the COVID-19 pandemic and its impact on the lives of South African citizens.

The research results were presented to the Minister of Higher Education, Science and Innovation on 21 April 2020, and then to President Cyril Ramaphosa, Dr Zweli Mkhize and Dr Blade Nzimande during a special briefing. The team presented the findings to the National Coronavirus Command Council (NCCC) on 23 April 2020. The outcomes of the survey were released to the public on 26 April 2020 and received significant media coverage. The survey results were packaged together with key recommendations which took the data to action and provided government with clear, concise ways forward.

7.2.1.2 The UJ/HSRC COVID-19 Democracy Survey

The HSRC partnered with the University of Johannesburg's Centre for Social Change on the UJ/HSRC COVID-19 Democracy Survey. This multilingual survey was conducted on the Moya datafree messaging platform through cell phones, social media and the internet, with no cost to participants. The survey aimed to determine public perceptions of the economic, social and political impact of COVID-19 on life across the country.

Round 1 of the COVID-19 Democracy Survey was segmented into three waves covering 13–18 April, 18–27 April and 27 April to 13 May 2020.

Data from these surveys were rapidly analysed, and results released in a timely and effective manner. As one of the world's most unequal societies, the circumstances of South Africans caught up in the confinement differed dramatically from those of other countries; however the manner in which these factors impacted on the SA population's mental health received relatively little statistical attention locally.

The study looked at a number of variables related to mental health and indicated that South Africa was in a 'moment of psychological crisis'. The data also demonstrated that broad support existed for policy interventions that would assist the poorest sections of society through, amongst others, the distribution of food parcels, introduction of a basic income grant, and increased social grants.

The research team released the data to the media using the *Daily Maverick* platform on which ten opinion pieces on various elements of the survey were published. These included:

- Class and the COVID-19 crisis: questions of convergence and divergence

- Unlocking the public's preferences: What South Africans think of lockdown and policy responses
- 'We are getting cold': Lifting of clothing-sale ban comes not a moment too soon
- Up in Smoke: Public reflections on decision to extend the ban on tobacco sales
- Human rights remain essential during the COVID-19 crisis
- Reopening of schools: Bold leadership and planning required
- Calls for bolder action as lockdown exposes fault lines of inequality
- 'Hungry – we are starving at home'
- President Cyril Ramaphosa's job performance
- The hidden struggle: The mental health effects of the COVID-19 lockdown in South Africa.

Other outcomes of the survey included:

- A public seminar (webinar) under the theme 'Democracy and authoritarianism: Systems, ideologies, freedom and vulnerabilities in the era of COVID-19', held on 15 April 2020.
- Participation by the HSRC in a webinar on 'Assessing the socio-economic impact of COVID-19 in Africa and Latin America' on 5 May 2020. The seminar was organised by the South African Institute of International Affairs, the BRICS Policy Centre based in Brazil and the Konrad Adenauer Foundation. This was the first in a series of webinars focusing on the socio-economic impact of COVID-19 on Africa and Latin America, as well as the need for greater international cooperation in the face of the pandemic.
- A public seminar (webinar) on 'The COVID-19 Pandemic: Class, mental health and human rights', held on 4 June 2020. This webinar was televised on SABC Channel 404 and the following topics arising from the surveys were discussed:
 - Class, schools and masks: What the data is telling us
 - Not in the mood: How lockdown has affected the mental health of South Africans
 - The Paradox of human rights in a pandemic

Round 2 of the COVID-19 Democracy Survey covered the period 3 July 2020 to 8 September 2020. The survey was again segmented into three waves, with the first running from 3 to 17 July, and covering the latter part of Level 3 of the national restrictions (1 June–17 August). The second wave ran from 17 July to 31 July, and the third wave covered August and the first week of September, corresponding with the tail end of Level 3 and the first few weeks of Level 2 (17 August onwards).

Data from the Round 2 surveys were again rapidly analysed, and results released in a timely and effective manner. Analysis was based on the comparison of Round 2 data with the Round 1 results. The dissemination of the findings adopted a similar strategy to Round 1, with strategic use of *Daily Maverick* articles, television and radio interviews, as well as a webinar launch event.

The *Daily Maverick* published the following articles based on Round 2:

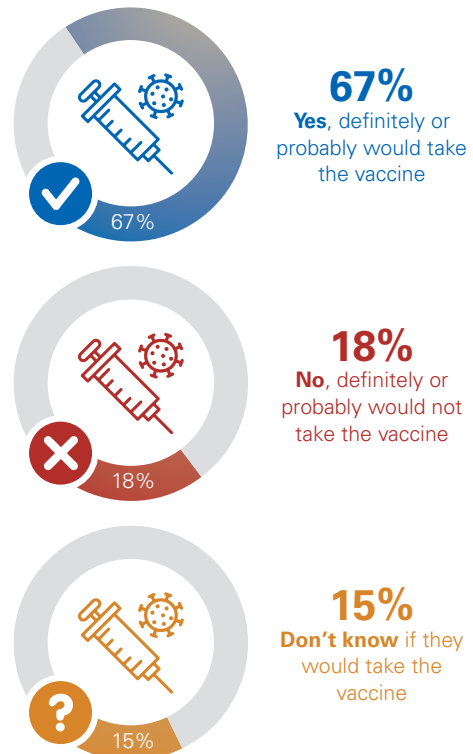
- Survey shows government's schools policy is opposed by a large majority
- Smoke and mirrors? Public perceptions on banning the sale of cigarettes
- The calculus of trust: Diminished public confidence in the president's performance
- Masks – Who wears them and why it matters
- Human rights sacrifices during the pandemic: Who and why?
- How the COVID-19 lockdown impacted on SA's mental health
- The Ubuntu nation? Changing views on social solidarity and the COVID-19 pandemic
- A BIG need: COVID-19 has rammed home the necessity of social protection and a universal basic income grant
- Survey confirms hunger in South Africa is escalating in the wake of the COVID-19 lockdown
- Surveys show one in three adults in South Africa does not wear a mask when leaving home
- Pandemic fatigue and complacency during lower lockdown levels increase likelihood of second wave

Other outcomes of Round 2 of the survey included:

- A public seminar (webinar) under the theme 'What's trust got to do with it?' to launch the Round 2 results, held on 19 August 2020. The seminar focused primarily on three presentations relating to (i) Social dynamics in relation to face-mask compliance and schooling preferences, (ii) The nature and correlates of confidence in the performance of COVID-19 leadership, (iii) Willingness to sacrifice human rights to stop the spread of the pandemic.
- As part of a special COVID-19 thematic focus in the *HSRC Review*, the survey results were showcased in short articles addressing mental health challenges during the lockdown, as well as the need for civil society collaboration to address the varied and far-reaching effects of the pandemic on communities, households and individuals.

Round 3 of the UJ/HSRC COVID-19 Democracy Survey was rolled-out between 29 December 2020 and 6 January 2021 in the context of the second wave of the pandemic. Use was again made of the biNu Moya messenger platform, with the intention being to capture attitudinal and behavioural dynamics under lockdown Level 1, and as cases surged with the onset of the second wave of the pandemic. A total of 10 618 fully completed questionnaire responses were collected as part of the round, and benchmarked with StatsSA population estimates. The results of the round were used to address pressing policy-relevant issues, such as schooling decisions and vaccine hesitancy.

Willingness to take the COVID-19 vaccine



The following articles were published in the *Daily Maverick* based on analysis of Round 3 data:

- A hesitant nation? Survey shows potential acceptance of a COVID-19 vaccine in South Africa
- SA survey sheds some light on what lies behind coronavirus vaccine hesitancy
- Approval rate of Ramaphosa's handling of the pandemic linked to whether South Africans comply with regulations

Three policy briefs based on the UJ/HSRC COVID-19 Survey analysis were finalised as part of the HSRC series. These addressed COVID-19 social protection measures, COVID-19 and human rights, and the relevance of confidence in COVID-19 leadership. The first two were published in the financial year and can be downloaded from the HSRC website's *Policy Brief* page:

- The BIG question: COVID-19 and policy support for a basic income grant
- COVID-19 and human rights limitations: Taking public opinion into account

The vaccine hesitancy findings received considerable policy and media attention. On the policy front, presentations on these results were made to the Ministers of Health and Science and Innovation, Drs Zweli Mkhize and Blade Nzimande, based on a briefing report released in late January 2021. Detailed engagements with GCIS were also undertaken regarding the communications campaign implications based on a profile of vaccine acceptance

and hesitancy in the country. Further vaccination attitude results, derived from the annual round of the South African Social Attitudes Survey (SASAS), which was completed in February 2021, were also presented to the ministers in March, with follow-up presentations to the Inter-ministerial Committee (IMC), the National Joint Operational and Intelligence Structure (NATJOINTS) and NEDLAC.

There was widespread media interest in the findings. Many print and online newspapers reported on the results. Prof. Bohler-Muller appeared on the MNET investigative journalism show, *Carte Blanche*, on 3 February 2021. As part of a segment entitled 'The COVID-19 Infodemic: Dispelling disinformation', she discussed the vaccine hesitancy results. In addition, a University of Johannesburg webinar on the topic on 17 February 2021 led to further TV coverage, including the appearance by HSRC doctoral researcher Ngqapheli Mchunu on eNCA.

The survey results on the willingness of South Africans to temporarily sacrifice human rights to contribute to the collective fight against the pandemic have been the subject of webinars, policy and media engagement, and peer reviewed publications.

Plans are under way for a fourth round of the UJ/HSRC COVID-19 Democracy Survey, as well as the preparation of a book based on the survey findings. Both are being supported by a grant award from the NIHSS.



Professor Narnia Bohler-Muller speaking to Carte Blanche



Researcher Ngqapheli Mchunu speaking to eNCA

INVITATION

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Who wants the vaccine, who doesn't, and why? Findings and analysis from the UJ/HSRC COVID Democracy Survey.

GUEST SPEAKER 1 • Professor Kate Alexander holds the South African Research Chair in Social Change at the University of Johannesburg. She was joint principal investigator of the UJ/HSRC COVID-19 Democracy Survey. Her research interests are comparative labour history, social movements and protests, and race, class and the state.

GUEST SPEAKER 2 • Mr Ngqapheli Mchunu is a doctoral candidate in Political Science at Stellenbosch University. He holds a Master of Social Sciences in Political Science from the University of KwaZulu-Natal. He was a senior researcher in the UJ/HSRC COVID-19 Democracy Survey. His research interests are corruption, governance, public opinion studies and service delivery.

DATE • 17 February 2021
TIME • 15h00 CAT
 Please use <https://zoom.us/j/96298802423> to join.

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7.2.1.3 HSRC and UKZN's School of Medicine release results of Health Workers Survey

Recognising the impact of the COVID-19 pandemic on health workers who are also frontline workers, the HSRC, in partnership with the Nelson R. Mandela School of Medicine, University of KwaZulu-Natal (UKZN), conducted a survey looking at the impact of COVID-19 on healthcare workers.

The study was led by the HSRC in collaboration with UKZN (with specific involvement of its College of Health Sciences and the Edendale Hospital, in KwaZulu-Natal). The team garnered the voices of the Health Professions Council of South Africa (HPCSA), the South African Nursing Council (SANC), the South African Democratic Nursing Organisation, the South African Pharmacy Council, other health professions associations as well as the Department of Health Heads of Department in all nine provinces.

This socio-behavioural survey, conducted from 11 April 2020 to 7 May 2020, aimed to ascertain the impact of COVID-19 on South African healthcare workers in all aspects of their lives. This survey highlighted that healthcare workers required psychosocial support which was in keeping with global recommendations.

The study entitled, "Front line talk: A national survey of South African healthcare workers' response to COVID-19" reached at least 7 607 healthcare workers over the age of 18 years across all nine provinces of South Africa. Despite lockdown restrictions prevalent at the time, research participants could be reached online via Moya messaging, the datafree online platform.

The survey included the following areas:

- Training received to respond to COVID-19
- Levels of knowledge, awareness and attitudes to COVID-19
- The use and access to Personal Protective Equipment (PPE) in the workplace
- Perceptions of risk in the workplace
- Concerns in relation to COVID-19
- Health and psychosocial wellbeing of the research participants

The results of the Healthcare Workers Survey were presented to the Minister of Higher Education, Science and Innovation and DHET Director Generals on 11 July 2020.



They were then presented to the NATJOINTS Committee on 12 July 2020 and later the same day presented again to the Minister of Higher Education, Science and Innovation and the Minister of Health. On 13 July 2020 the team made a presentation to the Ministerial Health Committee chaired by the Minister of Health. On 14 July 2020 the team was invited to present the Healthcare Workers Survey results to the NCCC, chaired by President Cyril Ramaphosa. The key recommendations for improvement were deliberated upon.

On 6 August 2020 the HSRC and UKZN released the results of the survey to the general public through a webinar: "Front line talk: A national survey of South African healthcare workers' response to COVID-19". The study results included information on the demographics of respondents, their reported knowledge of incubation period, symptoms and transmission of COVID-19, the sources of information they had used, training received, their perceptions of risks, use of PPE and their general health and wellbeing.

On 26 August 2020, the HSRC and UKZN team engaged with the World Health Organization (WHO) Expert Committee responsible for assisting South Africa with its response to the COVID-19 pandemic.

Recommendations emanating from the study results included:

- Regular surveillance of healthcare workers within the healthcare system
- Improvements to communication strategies, and the need to develop clear implementable plans for public health emergencies
- In-service training and continuing medical education should be timely, equitable, impactful and comprehensive
- Support for workplace environments by:
 - Ensuring sufficient infrastructure/spaces for infection control
 - Clear protocols for screening, referral, testing, managing and isolating patients
 - Providing adequate PPE for all staff in accordance with infection prevention and control (IPC) guidelines
 - Strategic allocation of procedures for health professionals with underlying health conditions, to minimise their risk
 - The sharing of information between facilities across provinces at all levels to share experiences of COVID-19 management
- Comprehensive training and practice of correct use of PPE
 - Instruction on the correct types of PPE to be used in each COVID-19 management procedure
 - Adequate provision of all required PPE for all levels of staff
- Pro-active health and well-being programmes should be developed and implemented to support health professionals

7.2.1.4 National COVID-19 Antibody Survey

The National COVID-19 Antibody Survey (NCAS) was launched in October 2020 by the HSRC together with research partners, Epicentre, the National Institute for Communicable Diseases (NICD), the National Health Laboratory Service (NHLS), and the South African Medical Research Council (SAMRC).

The study was requested by the Ministerial Advisory Committee (MAC) on COVID-19 to inform both the modelling of the disease and further decisions to be taken by the Government of South Africa to mitigate the impact of the epidemic on the country. Results will be shared with the Minister of Health, the MAC on COVID-19, and the National Department of Health.

The survey aims to understand and generate a national picture of how many South Africans may have been infected with the virus, including those who may have been infected without knowing it because they were asymptomatic or not able to access testing facilities. This data will help South Africa to track the spread of the virus in the country, identify factors driving infections, and estimate the number of people who have been infected with the virus but have not been included in official case counts. The survey will also provide information about immune responses to COVID-19 through its secondary

objective that will assess levels of neutralising antibodies in a subset of participants.

The study is a cross-sectional, population-based, household, sero-prevalence survey. It targeted a random sample of 6 540 households in 436 selected geographic areas or Small Area Layers (SALs) to realise an estimated eligible sample of 19 620 respondents, with at least 70% giving a blood sample for antibody testing.

Respondents completed a short questionnaire, adapted from the WHO COVID-19 Study Questionnaire, to obtain information at the individual level on socio-demographic characteristics and various key risk factors for COVID-19 virus infection. It also included information on the history of COVID-19 infection, the history of exposure to contacts, co-morbidities, and behavioural prevention practices such as hand washing and social distancing. A small volume of blood was then collected for laboratory testing.

A preliminary analysis of the survey data was conducted at the end of February 2021 and preliminary results were presented to the survey Advisory Committee. The committee affirmed the significance of the study and recommended that it be extended with a modified design to address the challenges and limitations of implementing a household-based study during lockdown restrictions. The study is scheduled for completion in June 2021.

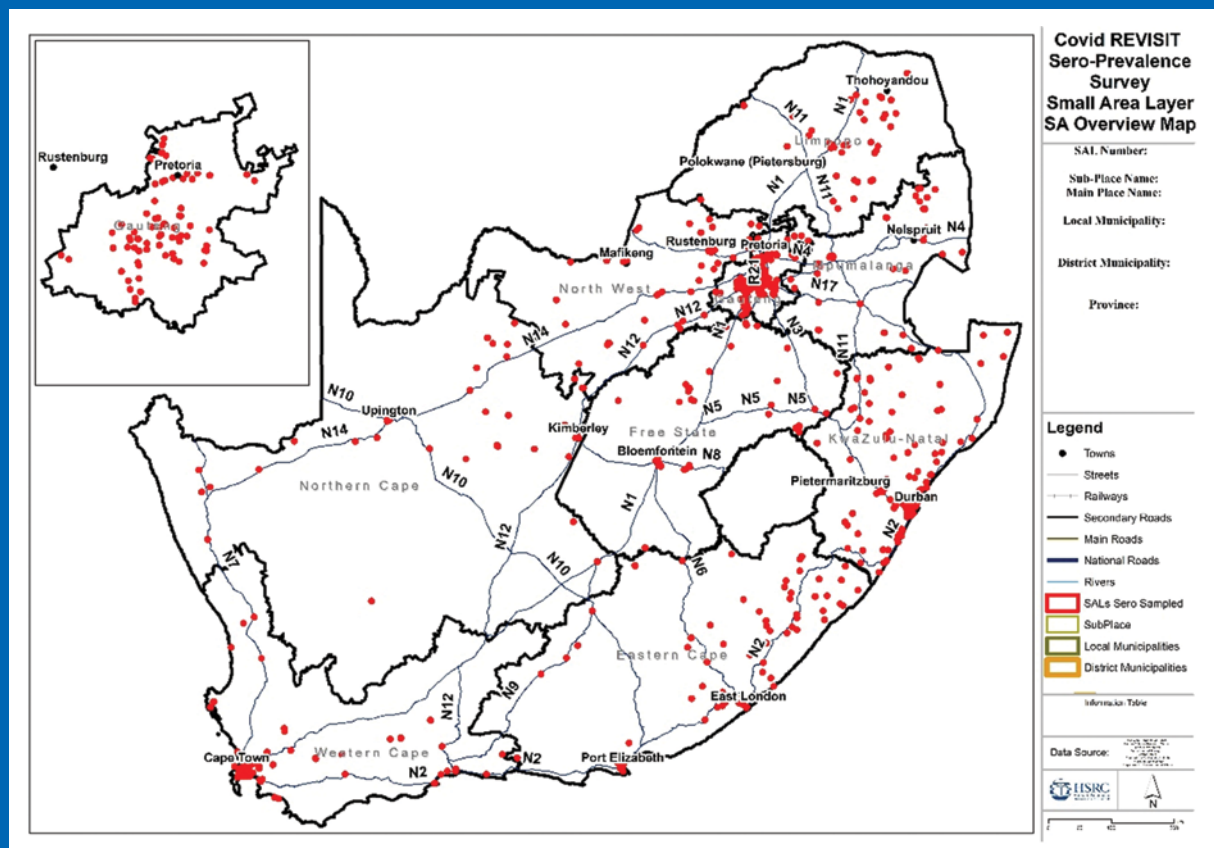


Figure 3: National sample of Small Area Layers for NCAS

7.2.1.5 Key contributions to work led by the National Education Collaboration Trust

Within the context of the five-level, risk-adjusted strategy to ease the lockdown restrictions implemented by national government, the Department of Basic Education (DBE), together with the NCCC, was required to formalise a plan of action for the staggered return of South African learners to schools across the nation.

To support the DBE and the NCCC, the HSRC participated in a consortium led by the National Education Collaboration Trust (NECT) to assist the DBE in planning for, and managing the staggered return of learners to schools across the nine provinces.

The HSRC's involvement included professional and technical expertise to analyse and report independently on the results of the School Readiness Survey, to ascertain whether schools would be ready to reopen for the remainder of the academic year. This entailed reporting on 24 998 schools across all nine provinces. The School Readiness Survey data were analysed on provincial and school quintile levels.



The HSRC team reported on successive waves of responses, and in each case took into account the response patterns of different provinces and quintiles of schools so as to present a balanced national picture of the extent of schools' readiness to re-open.

The consortium presented the results of the School Readiness Survey to the DBE and Provincial MECs on various occasions, and these findings were taken into account when plans for the phased return to schools were developed.

The HSRC provided inputs into two national surveys of schools, the selection of several representative samples of schools, daily analysis and reporting on data collected telephonically and online from school principals, and reporting to the Minister of Basic Education and Provincial Education MECs. The work contributed to the reopening of most schools to Grade 12 and Grade 7 learners and subsequently assessed readiness to admit learners in other grades during July and August 2020.

7.2.1.6 The impact of COVID-19 on R&D and innovation in South African businesses

Level 4 restrictions, gazetted in terms of South Africa's Disaster Management Act, were in place from 1 to 31 May 2020. They included strict measures to limit community transmission of COVID-19, while allowing some business activities to resume after the preceding, even harsher, level 5 restrictions that severely curtailed business activities.

In June 2020, StatsSA conducted a dedicated business impact survey on the COVID-19 pandemic in South Africa. Researchers from CeSTII contributed to the survey instrument design, drafting questions on R&D and innovation.

Data was analysed from a total of 1 079 businesses. The sample included businesses in all nine provinces, from various industries as well as size classes ranging from one to ten employees, to more than 250 employees. Many of these businesses (740) reported conducting innovation activity during this period, as defined by the OECD's Oslo Manual, while 440 businesses reported conducting R&D as defined by the OECD's Frascati Manual.

The survey found that despite the unprecedented challenges posed by COVID-19 resulting in 40% of business decreasing their expenditure on R&D, many businesses in South Africa continued to invest in research and development while having to make tough choices. Businesses with innovation activity – including R&D but also other types of activity – quickly adapted to the challenging context, adopting new coping and survival strategies such as reducing staff or working hours.

7.2.1.7 Death without Dignity? COVID and custom in rural South Africa

A research team led by Prof. Leslie Bank and Dr Nelly Vuyokazi Sharpley, head of the Department of Social Sciences at Walter Sisulu University, considered the impact of the lockdown restrictions on funerals and customary practices in rural communities in the former Transkei region in the Eastern Cape.

The project was commissioned by the Eastern Cape Socio Economic Consultative Council (ECSECC), which is a multi-stakeholder organisation that coordinates government and civil society interaction in the province and was funded by the Office of the Premier. The project management team included representatives from the Provincial AIDS Council, the Department of Health and the House of Traditional Leaders.

The project was auto-ethnographic in nature and active in ten rural communities in the OR Tambo and the Chris Hani district municipalities, which were leading hot-spots for COVID-19 infections in rural South Africa at the time. Researchers kept daily diaries and field notes as they

tracked funerals held in their own communities over several months. They also networked on social media to keep abreast of local developments. When ethical clearance for face-to-face interviews was achieved, they interviewed stakeholders in their own villages, such as chiefs, clerics, traditional healers, and grave diggers.

The research found that rural families and communities were experiencing considerable spiritual insecurity and trauma because of the way dead bodies were regulated, especially the wrapping of bodies in plastic, and funeral rituals altered under COVID-19 conditions. The research advocated the removal of plastic wrapping on bodies and coffins and restoration of dignity in death through consultation with communities. The research team advocated a 'peoples science approach' based on closer cooperation between bio-medical experts, state officials and local communities than was the case in South Africa at the time.

The findings of the study were widely published in media, with articles appearing in the *Daily Maverick*, the *Mail and Guardian*, in the *HSRC Review*, and on the African Argument international website on a regular basis. Over 20 articles were written and published on topics such as:

- People's science in the time of COVID-19
- The public must develop safe death rites
- Will COVID-19 in South Africa be another case of "death without weeping"?
- People's science and trans-locality in the time of COVID-19
- Beyond a bio-medical fix: The value of people's science.
- Rural retreat: Allowing people to return home during lockdown
- Fear of the body: How the government got it wrong on COVID-19 burials
- Plastic bodies, public policy and popular anger in rural South Africa
- COVID-19 reveals migration links in South Africa's human economy
- The politics of cultural defiance: Exhumations and rural reburials in COVID times
- "Closing the gate" on rural communities: Health care during COVID-19

The research was also featured on national television, and was the basis of two special issue enquiries:

- NewzRoomAfrika Special on "Cultural practices and COVID-19 in rural South Africa"; 18 August 2020
- eNCA Special on "Funeral crisis and COVID-19 in South Africa"; 23 August 2020

The main findings and policy recommendations were also published in a research monograph, 'Closing the gate: Death, dignity and distress in the rural Eastern Cape in the time of COVID-19.' Internationally, and following further research into the second wave in the

rural Eastern Cape in December 2020 and January 2021, the research team was invited to submit a manuscript to the global book series, *African Arguments*. A book entitled 'COVID and custom in rural South Africa', to be published by Hurst Press London, will appear in this series later in 2021. The project won several awards in 2020/21, including 3rd place in the national HSRC Medal Awards for best team projects by social scientists in South Africa.



Peer-reviewed research monograph, published in September 2020

7.2.1.8 Home delivery and monitoring of ART during COVID-19

With strict stay-at-home orders in place, there was serious concern that ongoing care and support for people living with HIV would suffer. Home delivery and monitoring of antiretroviral therapy (ART) is known to be convenient, overcomes many of the barriers introduced by COVID-19 lockdowns, and could increase ART adherence and viral suppression particularly among men who are already known to engage less in clinic-based HIV care than women. If clients pay for this service and the benefits are sufficient, it could be a scalable strategy.

The Centre for Community Based Research (CCBR) and its partners conducted a randomised trial, the Deliver Health Study, of a fee for home delivery and monitoring of ART compared to clinic ART delivery in Pietermaritzburg, KwaZulu-Natal, during the COVID-19 pandemic. People living with HIV on ART or willing to initiate ART in the community were recruited and randomised to: (1) Fee for home delivery and monitoring of ART; or (2) Clinic-based ART (standard of care). The one-time fee for home delivery was tiered based on participant income (ZAR 30, 60, and 90). The outcomes were payment of the fee for home delivery; acceptability of the delivery service; and viral suppression, assessed using log-linear regression and adjusting for gender and age. The researchers worked with a routing scientist at Amazon to develop a routing algorithm to determine efficient delivery routes and prioritise patients who had a low supply of ART.

Around 400 persons were screened by April 2020; of the 180 persons living with HIV, 162 were enrolled of whom 82 were randomised to the fee for home delivery group and 80 to the standard of care group. Overall, 87 participants (54%) were men, 22% were <30 years, 101 (62%) were on ART, and 98 (60%) were unemployed. Among participants in the fee for home delivery group, 40 (49%), 32 (40%), and 9 (11%) were in the ZAR 30, 60, and 90 fee groups, respectively. Median follow-up was 47 weeks (interquartile range 43–50 weeks) spanning COVID-19 restrictions. Retention at exit was 96%. In the fee payment group, 98% of participants paid the full user fee and acceptability was high with 100% reporting willingness to continue to pay a fee. Compared to standard clinic care, fee for home delivery of ART significantly increased viral suppression from 74% to 88%. The impact was particularly marked among men. Among South African adults living with HIV on ART or initiating ART during COVID-19, a fee for home delivery and monitoring of ART significantly increased viral suppression compared to clinic-based ART. Client payment of a fee for home delivery and monitoring of ART was highly acceptable in the context of low income and high unemployment, and improved health outcomes as a result.

7.2.1.9 Schooling and post-schooling during the COVID-19 pandemic in South Africa

During the year under review, HSRC researchers conducted a large number of studies into the ways that COVID-19 had affected the education sector in South Africa. Researchers reported widely on their findings in public and professional media for the benefit of policy makers, education leaders, teachers, parents and the public at large. Among the first matters to consider were the impact that so-called 'emergency remote learning' would have on teaching and learning in the education sector. As early as April 2020, Prof. Sharlene Swart and Mr Krish Chetty convened a widely attended international webinar titled 'Coronavirus – Lessons in remote learning from Europe and China' with academics from China, Italy, Germany, and South Africa. At the same time, research teams centred in the HSRC were formed, including experts from across the national science and policy community and international experts, to study education in the context of COVID-19.

Research and public engagements on the schooling sector

Among the first contributions on the impact of the pandemic on schooling was the article 'Learning losses due to COVID-19' by Dr Vijay Reddy, Prof. Crain Soudien and Dr Lolita Winnaar, published in the widely read online publication *The Conversation*. This was followed by multiple public engagements including an interview by Dr Andrea Juan on Radio 786 on online learning and home-schooling as a result of school closures. By early May 2020, the research team, centred on Dr Reddy, was able

to diagnose the impact of school closures on education outcomes (published in *The Conversation*), which was followed by engagements with the Ministerial Advisory Sub-committee on Getting Children Back to School Safely and a webinar on 'Getting Children Back to School Safely: What the medical experts say.'

In the course of July and August 2020, the public engagement of schooling experts from the HSRC continued. Dr Andrea Juan participated in interviews on SABC News on the question of whether schools should remain closed due to COVID-19 and on radio, exploring the low-cost ways to keep children learning at home during school closures. As the year progressed, the ongoing research and reflective work also began to be published in professional and scholarly publications, including an article by Dr Charlotte Nunes and Dr Angelina Wilson on 'Rethinking the role of the South African teacher in a COVID-19 schooling context: Challenges and possibilities.' In-depth engagement with policy makers on schooling during COVID-19 also involved preparing policy briefs, including one on 'Improving psychosocial support in SA schools during and after COVID-19 as part of a recovery plan' by Ms Catherine Namome, Dr Lolita Winnaar and Mr Fabian Arends, and a second policy brief by Dr Stephen Rule, Mr Fabian Arends and Dr Lolita Winnaar on 'Schooling during COVID-19: Strategies for mitigating inequities.' Findings and mitigating strategies relating to learning losses during COVID-19 continued as a topic of public engagement, and included in an interview with Dr Lolita Winnaar on the Islam International Channel.

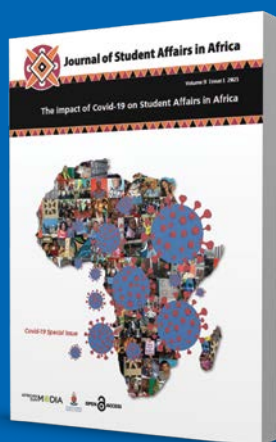
Research and public engagements on the post-schooling sector

Multiple research projects and public engagements were conducted on conditions in the Post-School Education and Training (PSET) Sector in the context of COVID-19. Dr Angelina Wilson of the HSRC and Dr Angelique Wildschut from the National Student Financial Aid Scheme (NSFAS) conducted a study to investigate the PSET student experience of COVID-19 and its impact on well-being for a NSFAS research report. Their work is the subject of a forthcoming scholarly article. Between September and December 2020, Dr Adam Cooper of the HSRC was part of the sector-wide webinar series focused on Technical and Vocational Education and Training (TVET). The series 'Re-imagining TVET: The implication of COVID-19' was a partnership between universities, TVET colleges, the HSRC, the departments of Higher Education and Training and Science and Innovation, and other partners.

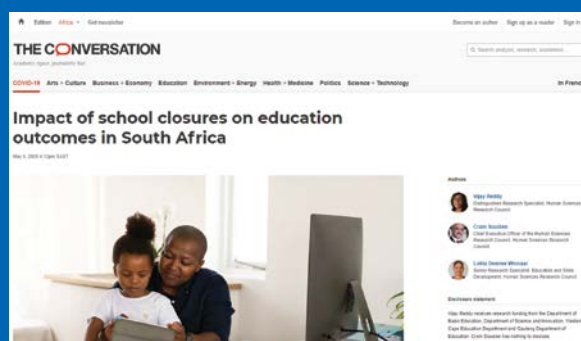
The implications of COVID-19 for the Higher Education Sector came under the spotlight with work done by research teams led by Prof. Thierry Luescher. Mr Krish Chetty and Prof. Luescher conducted a continent-wide study on African universities' response to COVID-19 lockdowns and the factors that determine a successful migration of university teaching and learning into the online space.

The study was presented by Mr Chetty at a webinar and will be published in a forthcoming issue of the scholarly journal *Africa Insight*. Prof. Luescher was also part of the global research consortium on the impact of COVID-19 on student affairs and services. First results of the global survey were presented at a joint webinar between the HSRC and Universities South Africa (USAf) in June 2020. It showed the unequal impact of COVID-19 on different student groups in South Africa. A key message to the sector from that seminar was that universities should consider a staggered re-opening as soon as possible to allow the return of those students who needed the campus environment and infrastructure the most. These included students from disadvantaged homes whose home conditions were not conducive to online learning; students with special needs and disabilities; and students who required specialised scientific learning environments for practical learning, such as laboratories, studios and workshops. Follow-up engagements on the findings were held online with multiple professional and scholarly bodies in South Africa and abroad. Core insights of the work were published in the article 'The impossibility of separating learning and development' in *University World News* in September 2020 and parts of the global survey findings are forthcoming in several scholarly journals in Africa and abroad.

The consorting power of the HSRC was leveraged to better understand the impact of the pandemic on student learning and development. Thus, original research on the impact of COVID-19 on higher education and student affairs in South Africa and the continent was collected in a special issue of the *Journal of Student Affairs in Africa*, edited by Prof. Luescher of the HSRC as lead editor and including Prof. Teboho Moja from New York University, Dr Martin Mandew of the University of the Free State (Qwaqwa campus) and Dr Birgit Schreiber for the University of Freiburg.



Special Issue of the *Journal of Student Affairs in Africa* edited by Prof. Thierry Luescher (HSRC, lead editor) with Prof. Teboho Moja (NYU, USA), Dr Birgit Schreiber (University Freiburg, Germany), Dr Martin Mandew (UFS), Dr WP Wahl (UFS) and Dr Bekele Workie Ayele (Kotebe Metropolitan University, Ethiopia).



Article in *The Conversation* on "Impact of school closures on education outcomes in South Africa" by HSRC researchers Dr Vijay Reddy, Prof. Crain Soudien and Dr Lolita Winnar

7.2.2 Contributing to the quest for equitable education in South Africa

7.2.2.1 DBE and HSRC release the TIMSS 2019 study results

The DBE and the HSRC released the results of South African participation in the Trends in International Mathematics and Science Study (TIMSS) 2019 on Tuesday, 8 December 2020. TIMSS is a project of the International Association for the Evaluation of Educational Achievement (IEA), which released the international results of the study on the same day.

South Africa participated in the TIMSS 2019 study at the Grade 5 and Grade 9 levels. TIMSS is an assessment of the mathematics and science knowledge of learners around the world. The IEA designed TIMSS to allow participating nations to monitor their educational achievements and changes in achievement over time, and to compare educational achievement across borders in the key subjects of mathematics and science.

Forty-six countries and entities participated at the grade 8 or 9 level in TIMSS 2019. The top five ranked countries were again from East Asia – Singapore, Chinese Taipei, Republic of Korea, Japan and Hong Kong SAR. The five lowest performing countries were Oman, Kuwait, Saudi Arabia, South Africa and Morocco – countries from Africa and the Middle East.

The HSRC has been responsible for conducting the TIMSS study in South Africa since 1995.

While South Africa continued to perform at the lower end of the ranking order, the TIMSS 2019 mathematics achievement score of 389 and the science score of 370 is an increase of 17 points and 12 points respectively since the TIMSS 2015 assessment.

Between the 2003 and 2019 TIMSS assessment South Africa improved by 104 points for mathematics and 102 points for science i.e. one standard deviation. Mathematics and science ability levels increased from 11 % of learners demonstrating that they had acquired basic mathematical and science knowledge in 2003, to 41% of mathematics learners and 36% of science learners demonstrating this ability in 2019.



The South African TIMSS 2019 Mathematics and Science Study

While the improvement in educational achievement is acknowledged, the rate of improvement is decreasing. This is illustrated by examining two eight year periods: In the 2003 to 2011 time period, the rate of mathematics improvement was 7.4 points a year, and for the 2011 to 2019 period these figures fell to 4.6 points a year. For South Africa to meet the TIMSS developmental objectives, set in the Medium-Term Strategic Framework (2019–2024), strategically targeted interventions and additional effort from all education role players are required to accelerate the pace of improvement.

South African achievement continues to be unequal and socially graded. Achievement gaps, though decreasing, continue to be linked to socio-economic background, spatial location, attending fee paying or no-fee schools, and the province of residence. This confirms the well-known narrative that advantage begets advantage, and home disadvantages continue to impede schooling.

In addition to collecting achievement data, TIMSS also collects data about the home, school and classroom conditions and environments in order to understand the context in

which learners live and learn. The survey found that home conditions continue to be unequal, and some households still lack basic amenities and are not conducive to learning activities. Language, educator qualifications and access to resources are also contributing factors for educational success.

7.2.3 The question of unemployment

7.2.3.1 Presidential Youth Employment Intervention Project

The unemployment rate in South Africa rose from 29% in 2019 to an all-time high of 32.5% at the end of 2020, affecting approximately 7.2 million people. Over 40% of young people are unemployed. Notably, thousands of young South Africans who have graduated and hold University degrees remain unemployed, and many have been employed in short-term work that is not sustainable.

In the aftermath of the COVID-19 pandemic, modelling by the National Treasury predicted that 1.8 million jobs and perhaps more could be lost as a result of the pandemic and the consequences of the national lockdown. Employment prospects in general and for youth in particular can be expected to become increasingly dire.

In his 2020 State of the Nation Address, President Ramaphosa reiterated government's commitment to reducing youth unemployment through implementation of the Presidential Youth Employment Intervention (PYEI), consisting of six priority actions over the next five years. This is the largest and most comprehensive plan to address youth unemployment in South Africa's democratic history. The PYEI should therefore ensure holistic development for young people as well as meaningful opportunities. The PYEI has committed R100 billion for employment creation, as part of an employment-oriented adjustment budget that radically reprioritises the resources available to meet new and urgent demands.

The PYEI has created an opportunity for the HSRC to implement the recommendations made for social compacts to initiate behaviour change interventions at community level.

Evidence from socio-behavioural data gathered during the COVID-19 pandemic has provided the impetus for action. Communities at grassroots level will benefit from behaviour change agents working at community level in collaboration with Community-Based Organisations (CBOs).

The HSRC has partnered with the DSI in developing this PYEI project. The current demonstration project is funded by the DSI and forms part of the larger Presidential Employment Stimulus Plan, launched on 15 October 2020. The project aims to provide 1 000 unemployed graduates with training and experiential learning to improve their marketability in the labour environment and encourage social entrepreneurship. This will contribute to the long-term goal of the PYEI, which is for graduates to engage in sustainable and meaningful work, thereby providing an improved quality of life for them and their families in the future.

The HSRC is responsible for the production and dissemination of social science and humanities research in South Africa, which includes addressing issues of poverty, inequality and employment. This is the first time that a science council has been afforded the opportunity to build capacity and engage with young, unemployed graduates on this scale. In fulfilling its aims, the HSRC recommended involving the graduates in building social compacts to initiate behaviour change interventions at community level during the early stages of the COVID-19 pandemic. The project team, led by Prof. Priscilla Reddy, used innovative processes to implement a programme of this enormity on virtual platforms during the COVID-19 pandemic. A separate long-term monitoring and evaluation framework has been developed by the Presidency to measure improvement in employment.

Through this demonstration project, the HSRC will create job opportunities for 1 000 graduates across academic disciplines, by enrolling them in six-month paid placements. The placement cohort of graduates was randomly selected from 5 454 applicants.

A cohort of 850 graduates will be based in their own communities where they will establish community-level socio-behavioural health surveillance, by obtaining data relating to COVID-19 prevention behaviours, and the impact of COVID-19 on their communities, from samples of community members. This will be done using a questionnaire and qualitative interview schedule.

A smaller cohort of up to 200 will be based within the institutional framework of the HSRC, where they will shadow administrators and researchers, thus gaining on-the-job training in their specific disciplines as well as being able to provide support to the community-based cohort.

During their placement at the HSRC, the graduates will undergo experiential learning, training in basic research skills and personal skills development. Both cohorts of graduates will be exposed to five interventions delivered through a rapid learning curriculum online:

- 1) An induction which comprises a process of introducing a formal institution, being the HSRC
- 2) A course on Motivational Interviewing (MI) for life skills and health behaviours

- 3) A Leadership, Affirmation, Resilience and Purpose (LARP) intervention
- 4) Basic research skills
- 5) Courses in the administrative area of placement
- 6) Preparation for future employment.

7.2.4 The quest for quality healthcare

7.2.4.1 The SA National Survey on Health, Life Experiences and Family Relations

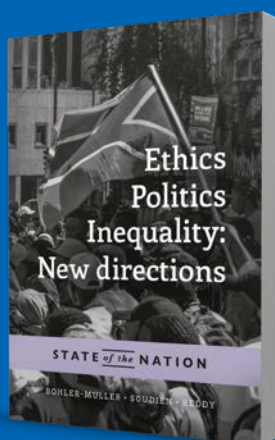
The HSRC, in collaboration with key stakeholders and development partners, is implementing the first National Gender-Based Survey. This survey responds directly to the imperatives of Pillar 6 of the National Strategic Plan on Gender-Based Violence and Femicide (NSP GBVF), namely to conduct research and provide information that will assist the country to have an "Improved understanding of the forms, extent and nature of GBVF broadly, and in relation to specific groups in South Africa".

The study will be implemented from 2021 and the results will be released in December 2022 during the 16 Days of Activism for No Violence against Women and Children. The study will be conducted in all nine provinces and plans to interview 23 381 participants aged 18 years and above. It will provide the country with baseline data on the forms, extent and nature of GBV victimisation and perpetration, using a nationally representative sample, internationally recommended methodology and instruments. It will also document the forms, extent and nature of GBV directed at women with disabilities and LGBTQIA+ persons, since these are populations that are hidden, most at risk and often left out of such studies.

The results of this study are critical for tracking the national response to GBV as outlined in the NSP GBVF and the study itself is a critical building block towards establishing a national GBV surveillance system, as has been done with HIV, for example. This national level data will provide comprehensive evidence that can inform policies and interventions on GBV, ensuring that future work on GBV is evidence-based and responds to the areas identified in the study. Lastly, as envisaged in the NSP GBVF, this information will be made available across different government management information systems in order to inform effective solutions and responses for the crisis of GBV in our country.

The study involves key stakeholders – from the Presidency, government and civil society, to the research sector – throughout its lifecycle, ensuring that results will be communicated timeously thus increasing the chances of policy and programmatic implementation. It is funded by DSI through grants from the European Union, Ford Foundation, Bill and Melinda Gates Foundation and the United Nations.

7.2.5 State of the Nation Volume 2021: Ethics, Politics, Inequality: New directions



The State of the Nation 2021 edition 'Ethics, Politics, Inequality: New directions' builds on preceding volumes by showcasing cutting-edge thinking about social science research on poverty and inequality and providing independent analyses of the national agenda in reducing poverty and inequality. The edition speaks to the multi-layered inequalities and the sense of insecurity that has long been the hallmark of South African life. Furthermore, the more recent uncertainties around COVID-19 have led to greater shared experiences of vulnerability among South Africans. This volume of State of the Nation therefore offers perspectives that may help to navigate our way through the 'new normal' in which we find ourselves. Foremost among the unavoidable political and socio-economic interventions that will be required are interventions based on ethics of care. Care, as an essential attribute, must be inserted into all the diverse contexts that structure needs, desires and relations of power. Ethics of care require us to reconsider relations of domination, oppression, injustice, inequality, or paternalism within the State. In a democratic post-apartheid state that confirms human connectedness, bodies matter and this knowledge must be driven by active citizenship.

The volume consists of nineteen chapters arranged into six parts: Part 1 focuses on 'Politics, ethics and the State'; Part 2 on 'The South African political economy'; Part 3 'South African society'; Part 4 'Well-being and identity'; Part 5 'Culture'; and Part 6 focuses on 'South Africa and the world'.

7.2.6 Focusing on the rights of persons with disabilities

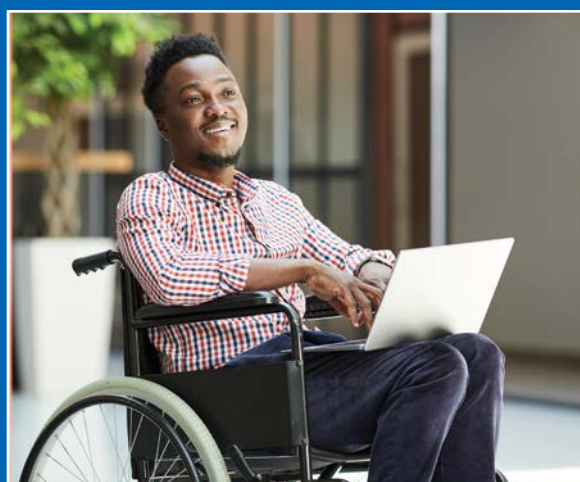
7.2.6.1 National Survey on Persons with Disabilities in COVID Times

On 3 December 2020 during National Disability Rights Awareness Month in South Africa, it was announced that an international consortium of researchers and disability service providers had been awarded a novel Global Challenges Research Fund's COVID-19 Agile Response Grant by the Engineering and Physical Sciences Research Council (EPSRC). This is part of a United Kingdom Research and Innovation (UKRI) project to conduct a study on the socio-economic, wellbeing and human rights-related experiences of people with disabilities in COVID-19 times in South Africa.

The consortium is led by Dr Mary Wickenden of the Institute of Development Studies (IDS), in the United Kingdom. The HSRC's Dr Tim Hart is the South African co-investigator and project manager, in partnership with Ms Nthabiseng Molongoana of the National Council of and for Persons with Disabilities (NCPD).

The consortium was established to ensure rigorous and robust research that recognises and reports on the voices of all persons with disabilities who volunteer to participate in the study. The team has developed a digital survey tool to cover the various impairments. This is designed to elicit information on the specific challenges and experiences people may have had during the pandemic and the lockdown and ideas about the future. The research team will use ICTs such as feature phones, smartphones, tablets and computers to engage with persons with disabilities to complete the online survey, to avoid the risk of contact and adhere to lockdown regulations.

The consortium will be sharing the findings in different ways, including at least two webinars during the nine-month study to share findings with different audiences. Online facilities will be provided to accommodate persons with disabilities.



7.3 PARTNERSHIPS

7.3.1 HSRC and partners deliberate on social issues at the 2020 Science Forum

From 9 to 11 December 2020, the HSRC brought together a consortium of humanities and social sciences partners, under the theme *Radical Reason*, at the DSI's 2020 Science Forum.

The HSRC-led consortium included the Sol Plaatje University, the Academy of Science of South Africa, the National Research Foundation, International Science Council, Universities South Africa, Faculty of Humanities at the University of Pretoria, Centre for Humanities Research at the University of the Western Cape, as well as Environmental Humanities South at the University of Cape Town.

The consortium brought together a selection of panels, plenary sessions, and structured conversations with global thinkers at the 2020 Science Forum. Discussions and insights were shaped by the current reality of how COVID-19 has impacted on, and indeed disrupted, the global socio-economic environment, and will potentially influence evidence-based solutions to come.

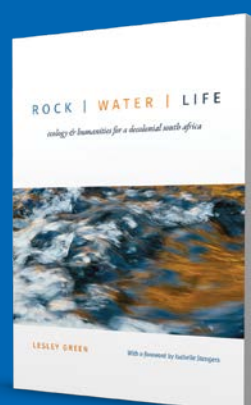
Themes and issues deliberated upon included:

- South Africa's response to the COVID-19 pandemic
- Influencing science in Africa through a gendered lens
- Education and social justice: themes, debates and dilemmas in post-apartheid South Africa
- Violence Against Women: Gender and social justice
- What we know about adolescents living with HIV in South Africa
- African histories of technology: African narratives of artificial intelligence
- Roundtable discussion on discourses of race

The 2020 Science Forum also hosted two book launches by the HSRC-led consortium.



The fabric of dissent: Public intellectuals in South Africa (launched 9 December 2020)



Rock | Water | Life: Ecology and humanities for a de-colonial South Africa (launched 10 December 2020)



7.3.2 Ways to address the requirements of hearing impaired and deaf adults in light of the increased use of virtual video platforms

In April 2020, Mr Fanie du Toit of the National Council of and for Persons with Disabilities (NCPD) invited the HSRC's Dr Tim Hart to join a working group looking at various virtual meeting platforms to see how they could ensure that hearing impaired and deaf non-South African Sign Language (SASL) users could adapt to the changes brought about by virtual communication platforms. The purpose is to ensure that the work and social communication of this group of hearing impaired people is minimally disrupted. A major concern was that many of these people live alone and lockdown affected both their work and social lives, especially as virtual platforms have their own communication challenges and can result in limited or no socialisation. A related concern is that there is no closed captioning in public and private news broadcasts to cater for this group and their specific impairment, further socially disabling them and denying rights enshrined in the Constitution and the White Paper on the Rights for Persons with Disabilities.

Monthly meetings of approximately 1.5–2 hours in duration began from May until the end of January 2021. These were regularly attended by ten hearing impaired individuals from different organisations; mainly disability support organisations and businesses owned by hearing impaired South Africans. A professional social worker participated in the discussions and an SASL interpreter was present at all meetings. One of the participants is a member of the Presidential Working Group on Disability (PWGD) and conveyed findings, important discussions and progress from this working group to the PWGD working group.

The working group jointly compiled a response to the Independent Communications Authority of South Africa's (ICASA) disability inclusive broadcasting working paper around closed captioning on public and private television channels and particularly news broadcasts. This was intended to keep the South African population aware of COVID-19 regulations and changes during the pandemic and as vaccinations begin to be rolled out. A brief on guidelines to accommodate hearing impaired people and those with other disabilities during virtual meetings, and to generally improve the tone and accessibility of everybody to such meetings, is planned for mid-2021.

A further outcome of the working group was the establishment of a formal memorandum of understanding between the NCPD (a civil society organisation) and the HSRC as a science council. This facilitated the work done by the group and established a strong foundation for national disability research in collaboration with the Institute of Development Studies.

7.3.3 HSRC and the Chicago Centre on Democracy undertake the South African Democracy Expert Survey



In late 2016, the Chicago Center for Democracy at the University of Chicago, together with political scientists at Dartmouth College, the University of Michigan, and the University of Rochester, established a multi-university initiative called Bright Line Watch (<https://brightlinewatch.org>). The purpose of this initiative is to monitor democratic practices, their resilience, and potential threats in the United States, and increasingly in other nations around the world. Bright Line Watch's flagship activity is a set of quarterly surveys of political science experts and the general American public that provide a fine-grained picture of the performance of US democracy over time. Since February 2017, they have completed seven 'waves' of surveys, which ask respondents about their views on the importance and US performance on 27 principles of democratic governance.

A new partnership has been formed with the Chicago Centre for Democracy to replicate the Bright Line Watch expert survey in South Africa. In the coming months, political scientists at tertiary institutions and other academic institutions around the country will complete a survey on the importance of key components of democracy and assess the performance against these democratic ideals. The project is being led by HSRC senior researcher, Prof. Joleen Steyn-Kotze. It is hoped that this will form the first in a longitudinal series monitoring the state of democracy in the country, and will be accompanied with matching surveys of the South African public. Surveying began in March 2021.

7.4 COMMUNICATING SCIENCE AND PUBLIC ENGAGEMENT WITH SCIENCE

7.4.1 Seminars and workshops

Following the announcement of national lockdown regulations in 2020, HSRC seminars continued to take place and draw active participants from academia, public service, 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 (<https://www.youtube.com/user/HumanSciencesRCSA/videos>).

In the year under review, 48 seminars were held.



7.4.1.1 Universities South Africa and the HSRC joint dialogue series

USAf and the HSRC co-hosted a webinar titled 'The Impact of Universities' COVID-19 Response on Different Student Groups' on Monday, 22 June 2020. The webinar commemorated Youth Month 2020, marking the first collaboration event in the new HSRC-USAf Dialogue Series. The event was chaired by Prof. Crain Soudien, CEO of the HSRC, whilst Prof. Ahmed Bawa, CEO of USAf, played the role of discussant.

The HSRC-USAf Dialogue Series is a joint programme in which the two organisations will facilitate public engagements, formalised through a memorandum of understanding. Through this collaboration, the two organisations aim to assemble experts to share information on any matter of wide societal concern, or to share on-going research projects; to jointly fundraise for research in areas of common interest; and to disseminate research findings jointly in pursuit of common goals.

7.4.1.2 DoJ&CD and HSRC joint seminar on Anti-immigration sentiments in the current South African context

To commemorate the 2021 Human Rights Month, a seminar on 'Anti-immigration sentiments in the current South African context' was hosted by the HSRC and the Department of Justice and Constitutional Development (DOJ&CD). The seminar looked at the rights of refugees, asylum seekers, stateless persons and migrants. This was part of a larger effort by the DOJ&CD to conduct research on racism, racial discrimination, xenophobia and related intolerance and the promotion of social cohesion within South African society.

Data were presented from the South African Social Attitudes Survey (SASAS) 2003–2018 as well as the Ipsos Migration Survey 2019. The webinar targeted policy makers including key government departments, Chapter 9 Institutions, UN agencies, the International Labour Organization and civil society organisations.

7.4.1.3 Launch of the South African National Action Plan on Women, Peace and Security: 2020–2025

On 18 March 2021, the Department of Defence, the Department of Women, Youth and Persons with Disabilities and the Department of International Relations and Cooperation launched the South African National Action Plan (NAP) on Women Peace and Security (WPS): 2020–2025.

A multi-departmental national task team was set up in 2017 to drive the development of the NAP on WPS. The HSRC's Prof. Hendricks served as the expert on Women, Peace and Security and was the lead drafter of the NAP on WPS based on her technical expertise and strategic guidance.

7.4.1.4 Engagements with communities and civil society fora

The HSRC held two community engagements during February and March 2021 to share the findings of the HSRC/UJ COVID-19 Democracy Survey. One engagement included residents and community leaders from the Bo-Kaap, while the other included community leaders from Lavender Hill and Vrygrond. The workshops provided an opportunity for researchers to explain the work of the HSRC, and invite people to share their experiences, views and suggestions for the HSRC to improve both its research processes and impact.

Some specific outcomes included:

- Dissemination of research findings at the community level
- Outreach: Introducing the HSRC to participants by informing them of the broader research work done by the HSRC

- Feedback and reflections: Participants gave feedback on both HSRC's work and more specifically their perceptions on COVID-19-related research, and allowed participants to share their own views, experiences and responses to the pandemic, reflecting on lessons and challenges
- Opportunity for bridging knowledge: The workshop brought together community leaders and residents who faced similar challenges and were thus able to share their experiences and ideas
- Ideas for improving the research – community interface: Participants shared a series of ideas on how they believe research, such as that done by the HSRC could relate to their own work and experiences.

7.4.2 Policy Action Network

On 25 May 2020 the HSRC posted a news item, 'COVID-19 HSRC Surveys and Analysis', to the rebranded and re-invigorated Policy Action Network (PAN) website. The dedicated PAN website can be found at <https://policyaction.org.za/>

7.4.2.1 Open data engagements and toolkit

PAN is working with partners in the Open Data South Africa initiative to host regular workshops on using data for social impact and policy action. PAN also maintains the open data toolkit.

7.4.2.2 AI and Data: Topical Guide Series

PAN collaborated with the University of Pretoria to publish a series of Topical Guides on the social and policy implications of artificial intelligence (AI) and data.

All nine AI and Data Topical Guides can be downloaded from the PAN website:

- AI & Data Series 1 – Introducing the Series: Can AI and Data Support a More Inclusive and Equitable South Africa?
- AI & Data Series 2 – Responsible Use of Artificial Intelligence for Crime Prevention in South Africa
- AI & Data Series 3 – AI and Data in Education: Policy Considerations for South Africa
- AI & Data Series 4 – AI and Data in South Africa's Cities and Towns
- AI & Data Series 5 – AI, Biometrics and Securitisation in Migration Management: Policy Options for South Africa
- AI & Data Series 6 – AI and Data in South Africa's Health Sector
- AI & Data Series 7 – South Africa's Digital Economy: The Changing Nature of Competition and Data Regulation
- AI & Data Series 8 – The Politics of AI and Data: Media and Elections in South Africa
- AI & Data Series 9 – AI and Data in South Africa's Finance Sector: Toward Financial Inclusion.

7.4.2.3 Training on data journalism

PAN is collaborating with the South African Agency for Science and Technology Advancement (SAASTA) to run data journalism workshops for emerging journalists and programme managers from community media houses across the country.

7.4.2.4 Evidence mapping and synthesis

PAN is working with the departments of Planning, Monitoring and Evaluation (DPME) and Cooperative Governance and Traditional Affairs (CoGTA) to identify and synthesise evidence related to health systems and local government respectively.

Supporting evidence-informed decision-making (EIDM) requires proactive development and maintenance of evidence bases from which relevant research can be sourced, and synthesised reactive identification of research to respond to an emerging policy need. In both cases, the research is often needed quickly but the process of sourcing, appraising and synthesising literature needs to be sufficiently rigorous to ensure that policy actors can trust the findings. PAN is applying specific systematic review methodologies for gathering evidence, as well as broader concepts relevant to EIDM support.

PAN's work with the DPME aims to build a health systems evidence base, and the current phase will end in March 2021. The current phase of work with CoGTA ended in 2020.

7.4.3 Informing awareness and public debate around the social and human dimensions of COVID-19 restrictions

7.4.3.1 Processing responses to gazetted amendments to the Disaster Management Act Regulations

The HSRC was requested to receive, on behalf of government, email responses from the general public to the gazetted amendments to the Disaster Management Act Regulations: Alert Level 3 (Government Gazette 43521 of 12 July 2020) during COVID-19.

The comments@hsrc.ac.za email address received 636 emails by 24 July 2020. The emails received were not representative of the general population, were qualitative in nature, and were voluntarily sent mostly by individuals as opposed to organisations and groups.

The HSRC team developed a framework for capturing individual emails. These were sorted by sector and collated into themes in the framework spreadsheet using qualitative analysis to identify themes and sentiments emerging from the data. Summaries were written for every 100 comments and collated into a single document.

Summary of themes emergent in the data

As South Africa and the rest of the world were battling with the COVID-19 pandemic, the implemented regulations to curb the spread of the virus elicited different reactions from the people of South Africa. While the regulations were meant to achieve a balance between saving lives and saving the economy, the general tenor of the responses was one of frustration among citizens regarding the official approach by government to the pandemic. The bulk of responses were to the lockdown regulations. While there was some support for government's strategy, most responses expressed dissatisfaction with perceived contradictions in the regulations.

The responses ranged from complete agreement with government actions on the one hand to strong opposition on the other. Those who were in favour of the government regulations in managing the COVID-19 pandemic held the view that the escalating infections called for government to either maintain the current measures or even revert to a hard lockdown – Level 5. Loss of livelihoods underpinned much of the opposition. Evident in the emails was a cross-cutting concern with the impact of the lockdown on the economy.

The public sentiment report was submitted directly to the Minister of Cooperative Governance and Traditional Affairs (CoGTA), Dr Nkosazana Dlamini Zuma. The team then presented the findings to the National Coronavirus Command Council (NCCC) Chair on 4 August 2020.

7.4.3.2 Science engagement: COVID-19 Africa Rapid Grant

The University of Johannesburg (UJ) School of Communication, in collaboration with the HSRC and the Namibian School of Science and Technology (NUST) Journalism Department are carrying out a project on 'Innovative Message Framing for Comprehension and Uptake of Health Crisis Communication during COVID-19 in Namibia and South Africa'. This National Research Foundation (NRF) funded project aims to establish the effectiveness of the fear-appeal frame in facilitating the comprehension and uptake of government messaging during this crisis and explores the ways in which the media amplified and repurposed this frame in an attempt to further influence specific social and behavioural changes among the public in the two countries. The project will provide insights into the value of reflecting on message framing in developing health communication strategies, in order to reach the desired impact on target populations.

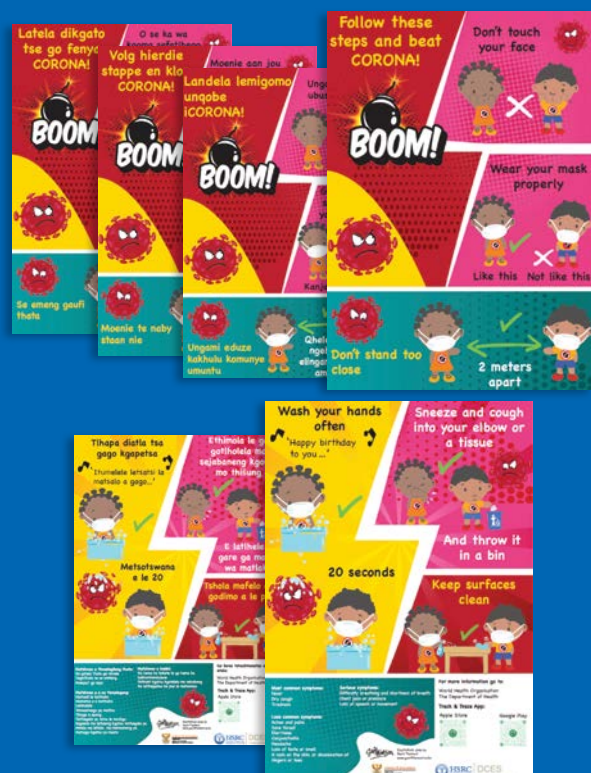
7.4.3.3 COVID-19 comic for distribution to communities

A COVID-19 related comic strip was circulated during the HSRC's annual field work round for the South African Social Attitudes Survey (SASAS). This was in an effort to ensure that health promotion messages would be provided to

communities country-wide during lower levels of the national lockdown. This was seen as critical in addressing the risk of spread of the pandemic due to wavering adherence to basic preventative measures (mask wearing, hand-washing and social distancing). The English version of the cartoon was translated into five other languages, namely isiZulu, isiXhosa, seSotho, Setswana and Afrikaans, to enhance the uptake of the message. In addition to hard copies, the interviewing teams had electronic copies that they could disseminate to households and community members on request. The SASAS fieldwork began in February 2020, but was interrupted due to the national lockdown, and resumed in November 2020. This means that communities and households around the country received critical health promotion messaging at the time of the onset of the first and second waves of the pandemic.

Positive feedback has been received from fieldworkers and community members, with gratitude being expressed for the information and for the referral numbers provided. In many instances, people voiced concern that COVID-19 health promotion information was not adequately reaching them through local structures, and in the rural locations where surveying was undertaken there was only circumscribed knowledge of the pandemic. For these reasons, there was general appreciation that the HSRC had taken the initiative to provide basic COVID-related health promotion information.

The Gauteng City Region Observatory (GCRO) expressed interest in the comic strip, and is currently distributing it as part of its provincial Quality of Life Survey, which began in late 2020 and will run until mid-2021.



7.4.3.4 Special edition *HSRC Review*, April 2020, with a focus on COVID-19



The HSRC produced a special edition of the *HSRC Review* in April 2020, with a focus on COVID-19. One of the articles provides a report on a webinar, including tips for first-time online webinar organisers. See <http://www.hsrc.ac.za/en/review/hsrc-review-covid19-april-2020>.

7.4.4 Research outputs

7.4.4.1 Research outputs produced in 2020/21

In the year under review, 404 research outputs were produced and curated. Figure 4 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 5 represents the contribution towards LeaPPT+S per research output type. Most (54%) of the research outputs produced in 2020/21 were journal articles, of which 69% were DHET accredited or peer-reviewed and 31% non-peer-reviewed. The journal articles were closely followed by chapters (29%) published in scholarly peer-reviewed books.

Figure 6 represents the 1 351 requests for HSRC research outputs that were delivered during the year under review. Requests for research outputs mostly originated from South Africa (93%), United States of America (1%) and the United Kingdom (1%). The individuals who enquired about research outputs mainly hailed from higher education institutions (46%) or requested the outputs in their private capacity (29%). HSRC staff contributed to 11% of the total requests, while the majority of the requests were received from non-HSRC individuals (89%).

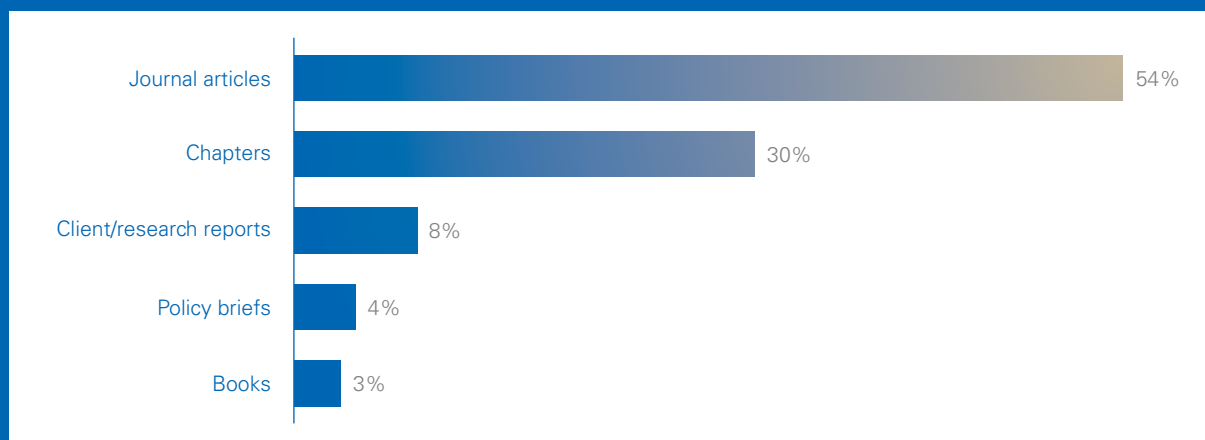


Figure 4: Percentage of produced and curated research outputs per type

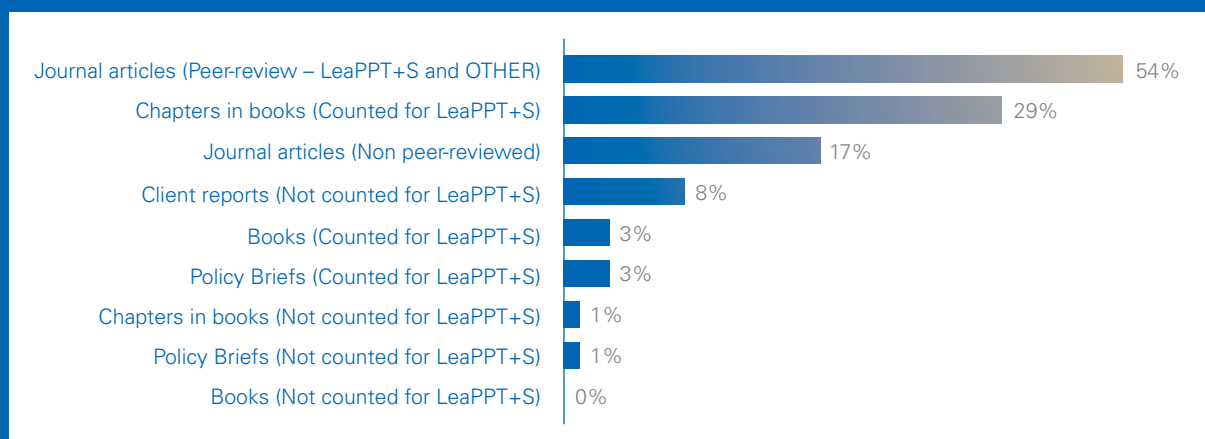


Figure 5: Percentage of research outputs per type, with contribution towards LeaPPT+S indicated

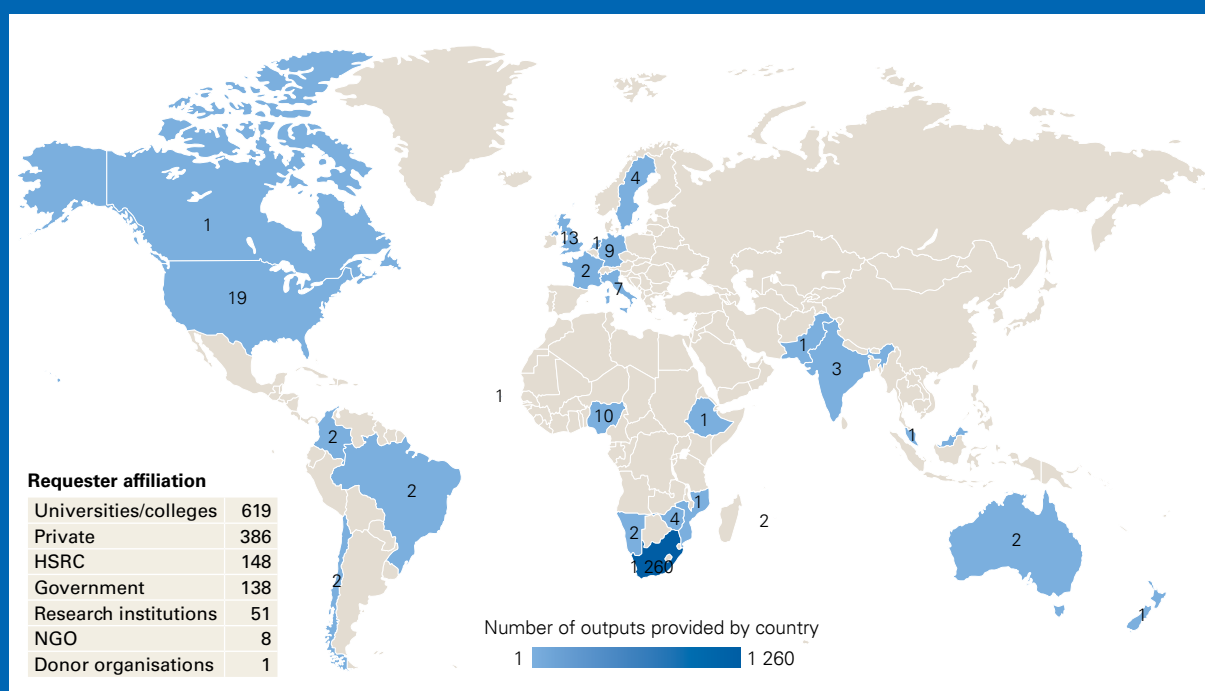


Figure 6: Delivered requests for HSRC research outputs

7.4.4.2 HSRC research academic impact for 2020/21

By conducting citation analysis through credible databases, it is possible to determine the citation count of all published journal articles authored by HSRC staff. The process entails the identification of all accredited journal articles produced by the HSRC that had a citation count of 10 or more in the five years prior to the current financial year-end. For the purposes of this reporting period, citation counts of articles published in the five-year period 2015/16–2019/20 were investigated and reported.

An abstract and citation analysis tool called Scopus was used to track citations for the 892 accredited journal articles retrieved from the Research Management System (RMS). It was found that 81.17% of these articles were primarily indexed in Scopus.

The target that was set for 2020/2021 was 160 journal articles that had a citation count of 10 or more. The investigation revealed that 179 of the 892 articles (20.07%) had a citation count of 10 or more, measured over the five-year period. This achievement is 11.88 % above the annual target.

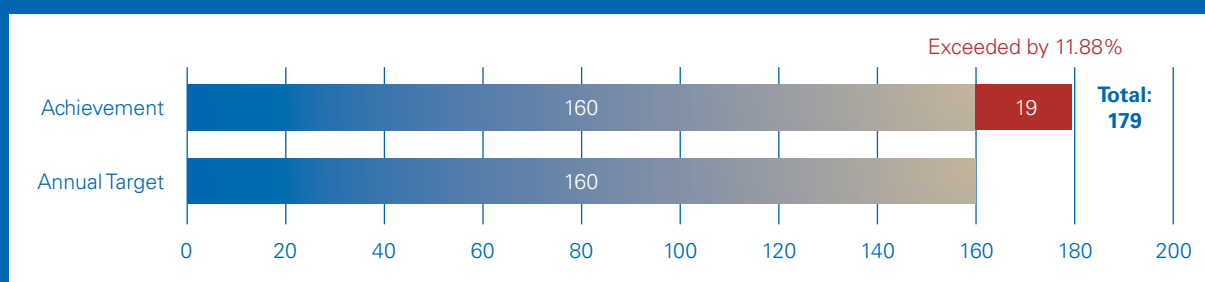


Figure 7: Comparison between the achievement and target for articles with a citation count ≥ 10

Table 8: Number of articles with citation count levels

Years	2015/16	2016/17	2017/18	2018/19	2019/20	TOTAL
Number of Articles with citation count $\Rightarrow 10$	74	49	43	9	4	179
Number of Articles with citation count > 0 and ≤ 9	64	92	100	120	71	447
Number of Articles with citation count $=0$	6	14	15	32	31	98
Not indexed in Scopus	38	35	43	30	22	168
TOTAL Articles	182	190	201	191	128	892

Measuring academic impact through citation analysis provides a view of 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 an article has been available, the higher the chances are of it being cited.

7.4.5 Data availability and use

Curated data sets can be accessed at <http://datacuration.hsrc.ac.za/>. In 2020/21, 94 users downloaded 556 data sets. Data users hail mostly from South Africa (53.6%), but nearly the same number (46.4%) from other countries (Figure 8). Most of the data users from international institutions were from the USA (21.8%) and the United Kingdom (14.7%). Only 4.6% of data users were HSRC staff members compared to 95.4% who were external individuals.

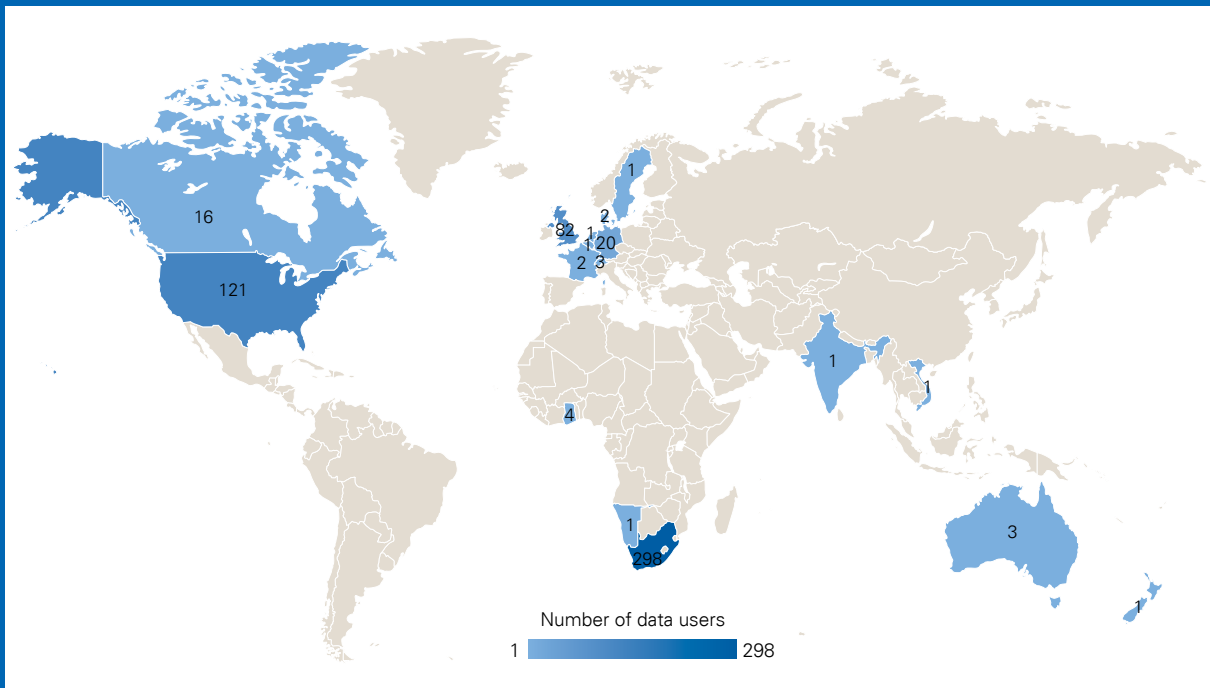


Figure 8: Geographical location of data users

The data sets were mainly used by higher education institutions (67.4%) and science councils/research institutes (25.7%) as per Figure 9.

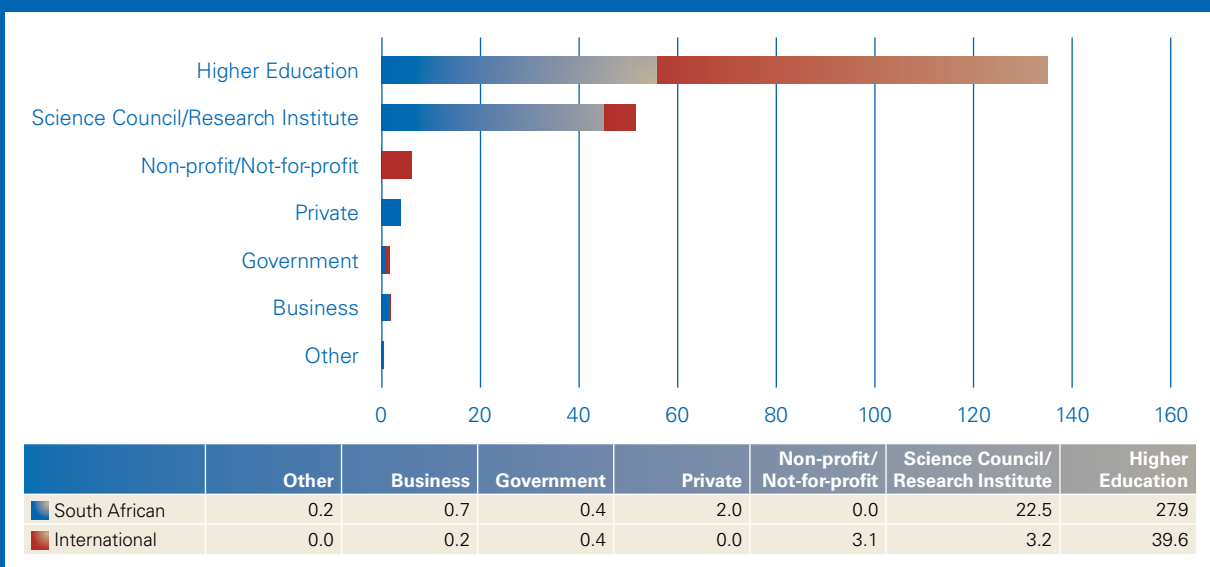


Figure 9: Organisational affiliation of data users per geographical location

An intended use is registered per project for each data user. During the review period 109 requests related to the downloaded data were received. Figure 10 provides an overview of the reasons for requesting access to data. The data sets were mostly used for research projects (55%) and for theses/dissertations/assignments (31.2%).

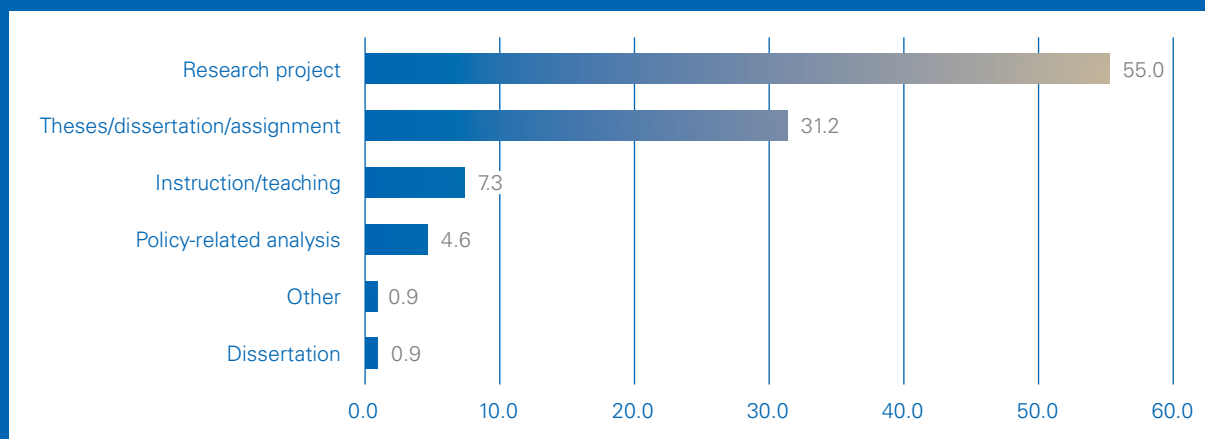


Figure 10: Percentage of data requests received per intended use

7.5 THE HSRC'S AFRICA STRATEGY

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

7.5.1 Webinar with Chinese and Nigerian counterparts

A webinar co-hosted with the Institute of African Studies at Zhejiang Normal University (IASZNU), the National Institute for Policy and Strategic Studies, Nigeria (NIPSS) and the Center for China Studies of Nigeria was held on 17 April 2020. Other participants included representatives from the Institute of Global Dialogue of South Africa, Institute of West Asian African Studies, Institute for Financial Studies at Renmin University of China, University of Juba, Institute for International Strategic Studies of China Central Party School, Centre for Francophone Studies, Director of African Museum and the Research and International Cooperation Department of the Academy of Contemporary China and World Studies.

Discussions focused on the COVID-19 pandemic and addressed the following:

- Africa-China cooperation in fighting the COVID-19 pandemic
- Sharing experiences in combating COVID-19 and working together for a favourable international environment of cooperation

- The Impact of COVID-19 on Africa: Making China-Africa cooperation count at this time
- China-Africa should strengthen 'anti-epidemic' cooperation and build closer China-Africa community with a shared future
- The challenge of the coronavirus outbreak and the imperative for the construction of a community of shared future for all mankind
- Think Tanks in various countries shall take global actions during the epidemic period of COVID-19
- China's role in strengthening Africa's response to fight the COVID-19 pandemic
- Joint hands to promote public health governance
- China and Africa jointly strengthen cooperation to defeat COVID-19
- Leveraging the role of Think Tanks to promote China-Africa cooperation in fighting COVID-19.

7.5.2 Commemorating Africa Day 2020

Due to the ongoing COVID-19 pandemic, Africa Day 2020 was commemorated through a virtual dialogue. The HSRC and the Water Research Commission (WRC), in collaboration with representatives from various institutions, engaged around the theme 'COVID-19 and Africa's future development challenges and opportunities', on 25 May 2020.

Other partners included:

- Ministry of Higher and Tertiary Education, Science & Technology Development, Zimbabwe
- South African Department of Science and Innovation
- Ethiopian Embassy
- African Union (AU)
- United Nations Economic Commission for Africa (UNECA)
- International Science Council (ISC)
- Tshwane University of Technology (TUT)
- Channel Africa
- Thabo Mbeki African Leadership Institute
- Southern African Development Community (SADC)
- Next Einstein Forum (NEF)
- Council for Scientific and Industrial Research (CSIR)
- Aret'e Business Performance
- University of Texas Austin, United States.

7.5.3 Africa Day webinar hosted by the African World Heritage Fund

The HSRC also participated in an Africa Day webinar: 'Cultural Perspectives for Peace Building in the context of COVID-19 in Africa' which was hosted by the African World Heritage Fund under auspices of UNESCO, in partnership with the AU and Faraja Africa Foundation.

7.5.4 Community engagements in Africa as part of the 'School's Out' Project

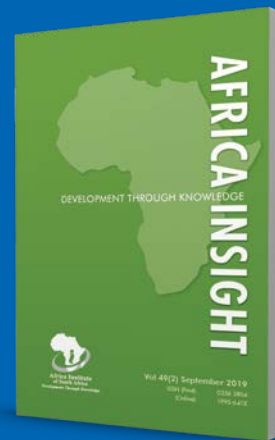
Led by the HSRC and funded by AmplifyChange, the School's Out Project is implemented in ten countries across Africa, and focuses on linking young people in schools to the sexual reproductive health support and services that they need. In June 2020, School's Out in partnership with Generation Alive (GAL), a non-profit organisation based in Zambia, convened community dialogues in the Kasenengwa and Namwali districts of Northern Zambia, Keetmanshoop in Namibia, as well as in Eswatini. These community engagements will be detailed further in the forthcoming *School's Out* newsletter.

7.5.5 HSRC and Facebook launch project to support interdisciplinary research in Africa

The HSRC partnered with Facebook to launch a project to support interdisciplinary and independent academic research across Africa, with a focus on artificial intelligence (AI), ethics and human rights. The COVID-19 pandemic has brought to the fore the importance of digital solutions to contemporary ways of living and service delivery – both in the corporate and public sectors.



7.5.6 Special issue of *Africa Insight*



A special issue of the journal *Africa Insight* was published during the period under review. The publication contains contributions by scholars from different parts of the continent, and provides an opportunity for both scholars and policy makers to reflect on the processes, tools, structures and institutions utilised for conflict management in Africa. The continent is yet again experiencing an increase in conflicts, which indicates that existing mechanisms and processes are not responding sufficiently to the changing conflict context. The current conflict environment is characterised by unconventional typologies of conflict, including violent extremism, transnational crime, cybersecurity threats, energy insecurity, and climate change-induced conflicts, alongside the more conventional struggles generated by lack of access to power and resources. The growth of asymmetric conflicts and warfare and the increasing occurrence of non-state conflict scenarios challenge the ability of post-Cold War conflict management approaches, tools and mechanisms to effectively respond to the complexity and mutational nature of the conflicts. This collection of articles and a book review add to the conversation on the limitations of current conflict management strategies in Africa, and show where changes can be encouraged to take us further in the quest for sustainable peace. The full journal edition can be accessed at https://journals.co.za/content/journal/afrins_v49_n3

7.5.7 Experts unpack rising violent extremist attacks in Mozambique

The HSRC's Africa Institute of South Africa, together with the Friedrich Ebert Stiftung, hosted a seminar on 17 August 2020 to contextualise the emergence of violent extremism in Mozambique and its implications for peace and security in southern Africa. Presenters pointed out that more than 1 000 people have died during violent terrorist attacks and 250 000 people have been displaced owing to land grabs in the country. Attacks are becoming more frequent, while the death toll is rising.

The presence in the northern provinces of Mozambique of violent extremists, who are allegedly affiliated with Islamic State of Iraq and the Levant (ISIL), has raised the level of threat to the lives of people in the SADC countries.

Although the government of Mozambique only formally acknowledged the presence of ISIL-affiliated violent extremists in April 2020, after deadly attacks occurred in the town of Mocimboa da Praia, an extremist group known as Ansar al-Sunnah has been operating for much longer and its attacks can be traced as far back as 2017.

7.5.8 The impact of China's Belt and Road on the African Free Trade Agreement and infrastructure development under the new normal

On 6 August 2020, the HSRC's BRICS Research Centre, the Academy of Contemporary China and World Studies and the African Union Development Agency – New Partnership for Africa's Development (AUDA-NEPAD) hosted an e-Symposium on 'The Impact of China's Belt and Road Initiative on the African Free Trade Agreement and Infrastructure Development under the New Normal'.

The symposium successfully hosted more than 80 participants from the African continent and China. Opening and keynote speakers included Dr Justina Dugbazah (Head: Strategic Initiatives Division, AUDA – NEPAD), Dr Robert Lisinge (Chief: Energy, Infrastructure and Services Section, United Nations Economic Commission for Africa), His Excellency Minister Counsellor LI Nan (Charge d'Affaires ad Interim: Embassy of the People's Republic of China in South Africa) and His Excellency Yu Yunquan (President: Academy of Contemporary China and World Studies). There was also a scholarly panel chaired by Prof. Hu Biliang (Executive Dean: Belt and Road School, Beijing Normal University). Panel members included Dr Cobus van Staden (Senior China-Africa Relations Researcher: South Africa Institute of International Affairs), Liu Naiya (Director: Division for Social and Cultural Studies, the China-Africa Institute) and Dr Vuyo Mjimba (Chief Research Specialist: AISA, HSRC).

7.5.9 Continental dialogue on 20 years of African women's participation in peace and security

On 23 October 2020 the HSRC jointly hosted an online dialogue with civil society organisations across Africa titled: '20 Years of African Women's Participation in Women, Peace and Security: Civil Society Perspectives'.



This event came on the eve of the 20th anniversary of the United Nations Security Council Resolution 1325 (UNSCR 1325) on women, peace and security (WPS) and partners around the world took the opportunity to take stock of progress and to address the gaps in the WPS agenda over the past 20 years.

The event was jointly hosted by 11 civil society organisations across Africa, including the HSRC's Africa Institute of South Africa; Women's International Peace Centre; Femmes Africa Solidarité (FAS); South African Women in Dialogue (SAWID); West Africa Network for Peacebuilding (WANEP); African Women in Dialogue (AfWID); African Leadership Centre; Institute for Security Studies (ISS); Training for Peace (TfP); African Centre for the Constructive Resolution of Disputes (ACCORD); as well as the South African Department of Science and Innovation.

The objective of the virtual meeting was to hear women's voices and perspectives on progress and challenges since the adoption 20 years ago of UNSCR 1325, and to chart new paths for women in Africa in the peace and security arena.

Speakers included: Ms Pravina Makan-Lakha, ACCORD; Ms Shuvai Nyoni, African Leadership Centre; Dr Awino Oketch, University of London School of Oriental and African Studies; and Ms Caryn Dasah, a Youth Leader in Cameroon. Ms Nyoni spoke on women and leadership in peace and security while Dr Oketch spoke about rethinking the WPS agenda, its conceptual and implementation challenges and where to from here. Ms Dasah shared

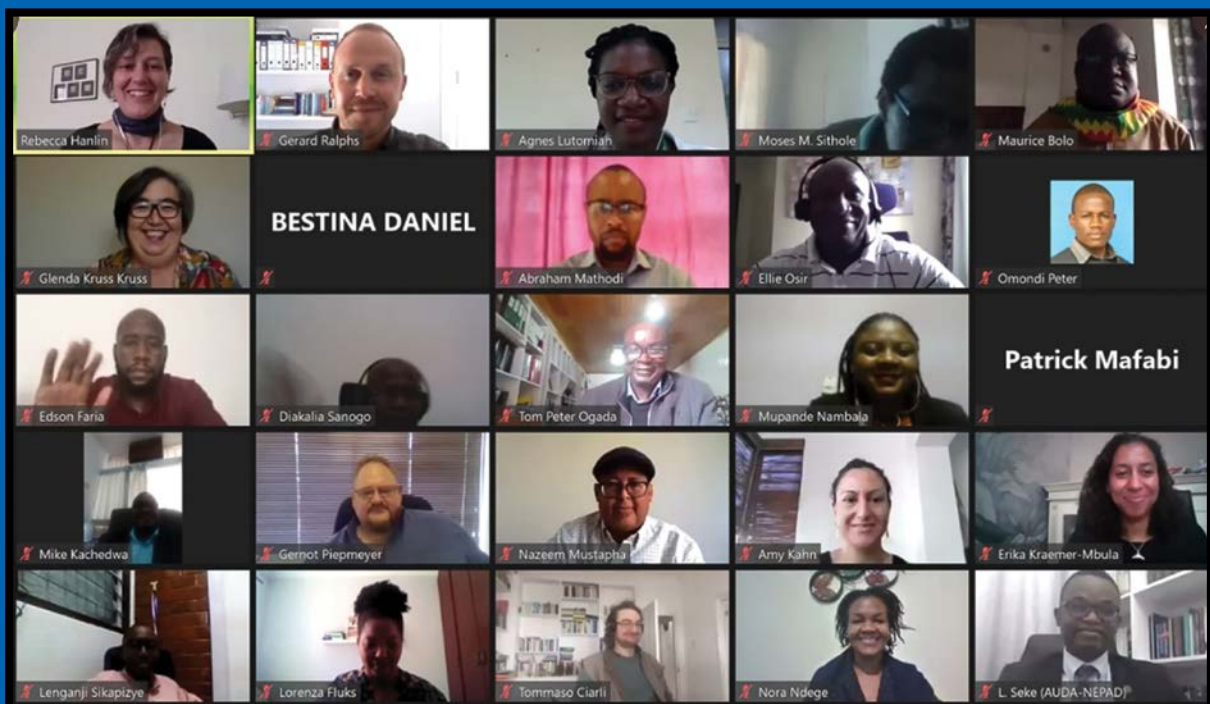
her perspectives on women's participation (especially that of the youth) in peace processes in Cameroon and how things can be done differently.

Following the plenary discussion, participants had the opportunity to engage in breakout rooms on the main four themes: Prevention and protection; Mediation; Peacekeeping; and Post-conflict reconstruction and peacebuilding. The recommendations from the discussions were shared afterwards in a plenary session.

7.5.10 Collaborating with the African Centre for Technology Studies (ACTS) on the Evidence for Policy Making Project

The HSRC's CeSTII has been contracted to collaborate with the African Centre for Technology Studies (ACTS) in Kenya on an Evidence for Policy Making Project, funded by the International Development Research Centre (IDRC), Canada as part of the Science Granting Council Initiative Phase II programme.

The consortium will work with science granting councils in fifteen African countries in Southern, Eastern and Western Africa, to strengthen their capacity to collect and use evidence to support their activities. CeSTII's role will be two-fold (i) Policy review models, and (ii) strengthening data management systems and practices. CeSTII has participated in various consultative workshops in preparation for project roll-out and implementation with ACTS, Kenya and the University Cheikh Anta Diop de Dakar, Senegal.



7.5.11 Webinar on sub-Saharan Africa making medicines locally

On 24 March 2021, the HSRC hosted a webinar on: 'Sub-Saharan Africa Steps Up in Making Medicines Locally: Pathways, Opportunities and Hurdles'.

Countries in sub-Saharan Africa import between 70 and 90 percent of the medical products they consume, proving a burden for both government and household budgets. This is concerning for a continent where early pharmaceutical producers commenced production in the 1930s, yet the continent has failed to attain self-sufficiency or global competitiveness in over 90 years. Africa still lacks the infrastructure, human capacity and institutional capabilities to produce many pharmaceutical products. This limits the depth and breadth of the continent's integration into the global value chains of pharmaceuticals. The COVID-19 pandemic should provide impetus for African countries to obtain the necessary permits, and exploit opportunities through global agreements such as the Trade-Related Aspects of Intellectual Property Agreement (TRIPS), to produce some of the necessary drugs or their components.

The online seminar focused on:

- Opportunities and challenges in pharmaceutical manufacturing in sub-Saharan Africa: The case of the East African Region – Nazfm Mohamed, international pharmaceutical consultant and vice chair of the Federation of African Pharmaceutical Manufacturers.
- Financial local production of pharmaceuticals – the challenges and possible solutions – Geoffrey Banda, lecturer in Science, Technology and Innovation Studies at the University of Edinburgh.
- Why regional cooperation is key for pharmaceutical manufacturing in Africa – Prof. John Mugabe, professor of Science and Innovation Policy, Graduate School of Technology Management, University of Pretoria.



7.5.12 Webinar on institutional responses to violent extremism

Prof. Hendricks of the HSRC collaborated with the Friedrich Ebert Foundation, Centre for International and Strategic Studies (CEEI), Southern African Defence and Security Management Network (SADSEM), and the Universidade Joaquim Chissano to host an online seminar on 18 February 2021. The webinar was titled 'Institutional Responses to Violent Extremism (VE): Recommendations and Policy Options for Regional and Continental Organisations'. This was the third in a series of online seminars focusing on VE in South Africa.

This virtual debate aimed to draw insights from policy dynamics and institutional responses to VE to develop alternative options for suitable regional and continental deradicalisation and prevention strategies. The deliberations of the debate will be drafted as a policy paper, for presentation and further discussion at an Expert Conference during the year.

7.5.13 Third Africa Regional Science, Technology and Innovation Forum

On 26 February 2021, Dr Palesa Sekhejane participated in the 3rd Africa Regional Science, Technology and Innovation Forum on 'Building forward better: towards a resilient and green Africa to achieve Agenda 2030 and Agenda 2063'. The forum was hosted by the United Nations Economic Commission for Africa (ECA). The director of ceremony was Jean-Paul Adam, Director: Technology, Climate Change and Natural Resources Management, ECA. Keynote addresses were delivered by the former Minister of Higher and Tertiary Education, Innovation, Science and Technology Development, Zimbabwe and Parfait Aime Coussoud Mavoungou, Minister for Scientific Research and Technological Innovation, Congo.

7.5.14 Looking at peace and security in Ethiopia

The HSRC's AISA hosted a diplomatic conversation titled 'Ethiopia at the Crossroad: Implications for Peace and Security in Africa', on 26 February 2021.

This conversation aimed to contextualise the challenging socio-economic and security issues in Ethiopia and their implications for peace and security in Africa, especially for the Horn of Africa. It also aimed to unpack the conflict management strategies employed and provide innovative recommendations for moving processes forward.

7.6 UNDERSTANDING SCIENCE, TECHNOLOGY AND INNOVATION INDICATORS

7.6.1 Report published on Green Economy Research and Development

The HSRC's CeSTII worked with the non-profit company Trade and Industrial Policy Strategies (TIPS) to produce a report entitled 'Measurement of Green Economy Research and Development 2010/11–2016/17', which was published on 5 June 2020. TIPS and the Department of Science and Innovation, with the support of the HSRC's CeSTII, also released a pioneering assessment of SA's investment in green R&D.

See also the article on the *Engineering News* platform entitled 'South African R&D investment insufficient to transition to a green economy – study' available at: https://www.engineeringnews.co.za/article/south-african-rd-investment-insufficient-to-transition-to-a-green-economy-study-2020-06-05/rep_id:4136.

7.6.2 Policy forum on the state of innovation in South Africa

The outbreak of the global COVID-19 pandemic in early 2020 resulted in rapid pivoting across government, business and civil society, as actors adapted to the plethora of new threats, risks, and opportunities. As the impact of the outbreak deepens in South Africa, the role of innovation cannot be overstated in evidence-led planning for the country's economic recovery. South Africa's White Paper on Science, Technology and Innovation, published in 2019, articulates a clear role for innovation in promoting sustainable and inclusive development in a changing world.

In the wake of South Africa's COVID-19 pandemic, innovation is a critical component of evidence-based planning for the country's economic recovery. It is therefore vital to interrogate the available evidence on innovation to inform optimal policy mixes, which are fast-changing in relation to the urgencies presented by national and global, but also sectoral, COVID-19 responses.

The DSI, the National Advisory Council on Innovation (NACI) and the HSRC's CeSTII, jointly organised a virtual forum on 28 August 2020, which featured high level presentations and a panel discussion on key aspects of the country's innovation performance.

Thought leaders and decision-makers from business, government, higher education, industry and civil society participated to consider their experiences and challenges in 2020, and to highlight critical issues for measurement and policy-making going forward. Key questions addressed included:

- What role can and should innovation play in South Africa's recovery post-COVID?
- What adaptations to current policy mixes should be explored based on new evidence?
- Do we have the right kinds of innovation measures appropriate to the South African context?
- What have we learned about innovation from the experience of pivoting to the changes brought by COVID-19, across business, civil society, universities and government?

Policy Forum: **State of innovation in South Africa**



28 August 2020
09h00-13h00

The convenors aimed to use the opportunity for wide reflection on the role of indicators in monitoring the state of the National System of Innovation (NSI), by drawing in key perspectives from the system, and by using evidence to explore how South Africa's NSI is geared towards inclusive and sustainable development.

7.6.3 National innovation survey results released



The South African Minister of Higher Education, Science and Innovation, Dr Blade Nzimande, released the results of the 2014–2016 Business Innovation Survey on 8 July 2020. Produced by CeSTII for the Department of Science and Innovation (DSI), the survey analyses national data on the formal business sector's innovation performance in the three-year reference period.

To respond to the current economic, ecological and health challenges, policy actors and decision-makers need to understand what kinds of innovation firms can implement, and whether the benefits accruing from these forms of innovation can contribute to firms' business strategies and to inclusive and sustainable growth. The survey results provide evidence for users to reflect on the distinctive nature of innovation in South Africa, and point to areas for policy intervention to encourage more firms in all economic sectors to innovate.

Alongside the annual R&D Survey, the HSRC has performed national innovation surveys since CeSTII was established in the early 2000s. South African innovation surveys follow the widely-adopted OECD Oslo Manual methodology to enable international comparisons. The surveys are conducted using a random sample of businesses stratified by size-class and across the industrial and services sectors. Data is weighted to reflect innovation performance across the national population of businesses in those sectors, providing a unique snapshot of innovation performance in the formal economy.

The results of the South African Business Innovation Survey, 2014–2016 also provide insightful data on the barriers that prevent more firms from innovating, whether these relate to cost, market, knowledge or institutional factors.

While islands of excellence exist within the small number of firms that innovate at the technology frontier in ways that are 'new to the world', most firms utilise incremental innovations that marginally modify their existing products and processes, or that are new to the firm and local market. This underscores the need to design policy support mechanisms to mitigate the constraints on these incremental forms of innovation across South Africa's business sector.

7.6.4 Investment in R&D: 2018/19 Statistical Report

On 18 February 2021 CeSTII, together with the Department of Science and Innovation, and StatsSA, released the South African National Survey on Research and Environmental Development's 2018/19 Statistical Report and dataset.

The importance of a well-resourced science, technology and innovation system was highlighted in 2020/21 in the case of the Johnson & Johnson vaccine which South Africa can safely store, roll-out and monitor. South Africa is currently benefitting from past investments made by the DSI in research and development in health and medical research, and also in modernising industries like mining and renewable energy technologies.

Given the immense benefits of past investments, a bigger focus is required across government and the private sector on increased investment in R&D. This is particularly critical now, as COVID-19 continues to affect communities around the world. It calls for increased investment as South Africa's expenditure on R&D has declined again for the first time since recovering after the contractions experienced in 2009/10 and 2010/11.

The R&D Survey provides important information for stakeholders across all sectors regarding the trends in national R&D expenditure and human resources devoted to R&D.

Delivered by CeSTII under challenging fieldwork conditions as a result of COVID-19, the full R&D Survey can be downloaded from the HSRC website: R&D Survey Statistical Report 2018/19.

7.6.5 Understanding innovation in the informal sector

The Innovation in the South African Informal Sector Survey, 2017-2018 (IIS) report was released on 30 March 2021 at a workshop jointly organised by CeSTII and the HSRC's Centre for Community-based Research (CCBR), in Sweetwaters, KwaZulu-Natal.

Small and informal businesses play an important role in South Africa. They provide income and jobs for many people and supply useful goods and services to customers. But for many informal business owners with tuck shops, spazas, sewing businesses and the like, it is still a daily struggle to survive.

The HSRC studies innovation to understand how South Africa can increase economic growth, create new jobs and tackle inequality. As part of this research, nearly 1 000 informal business owners in and around Ward 1 of Sweetwaters (Mpumuza) in KwaZulu-Natal were surveyed to find out more about their businesses and to understand how to support informal businesses better.

In a hybrid virtual and in-person workshop on 30 March 2021, entrepreneurs from Sweetwaters interacted with HSRC researchers, policy-makers from national and provincial government, and NPOs supporting informal traders, to explore the research findings and their policy implications.

The full report can be downloaded from the HSRC website: Statistical Report: Innovation in the South African Informal Sector Survey – Baseline Survey in Sweetwaters, KwaZulu-Natal, 2017–2018.

7.6.6 Modelling R&D investment to inform new DSI Decadal Plan

In 2020/21 CeSTII undertook a joint project with the Department of Science and Innovation to model the requirements to meet the Research and Development (R&D) investment target in South Africa. Informing the drafting of the DSI's Decadal Plan, the project aimed to understand why South Africa struggles to meet national investment and knowledge intensification targets, as well as how, and in which institutional sectors, there are opportunities to grow R&D investment, to achieve the targets.

The team initiated and presented advanced statistical analysis and modelling to assess firm-level determinants of R&D investment and to identify the rate of investment growth required from priority government departments. The work points to the need for a new research agenda to consider the issues impacting on the achievement of national GERD/GDP targets in 2021/22. This could extend to other countries in the SADC region that have expressed an interest in this work, to inform shared regional challenges.



7.7 CELEBRATING THE HSRC'S HUMAN CAPITAL AND THEIR CONTRIBUTION TO THE NATIONAL SYSTEM OF INNOVATION

7.7.1 Prof. Ivan Turok awarded prestigious Research Chair

Prof. Ivan Turok, Principal Research Specialist in the Inclusive Economic Development (IED) Division of the HSRC was awarded a research chair, based at the University of the Free State, by the South African Research Chairs Initiative (SARChI). He will hold the Research Chair in City-Region Economies in the Department of Economics and Finance and the Centre for Development Support at the University of the Free State.

The research chair is the first partnership of this kind between a South African university and the HSRC. Research in the context of this award will seek to understand how cities can accelerate economic growth and inclusive development in SA. It will analyse why some cities are more successful than others, and what policies and practices can improve conditions for citizens and communities. It will also provide funding to increase research capacity through the appointment of postdoctoral, PhD, and master's students.

The research chair, which is co-funded by the South African Cities Network, will have four main themes, namely: The Urban System – Demographics and Economics; Economic Sectors in Space; Dynamic Places; and Strategic Urban Assets. The chair brings together research from



Prof. Ivan Turok, Principal Research Specialist in the Inclusive Economic Development (IED) Division of the HSRC

the departments of Economics and Finance, Urban and Regional Planning, and the Centre for Development Support. The long-term goal is to develop the chair into a centre of excellence. All research will speak directly to the agenda of the South African Cities Network of transforming urban areas in the country.

7.7.2 Prof. Crain Soudien awarded National Research Foundation A-rating

Prof. Crain Soudien, CEO of the HSRC, was awarded the sought-after A-rating by the National Research Foundation. The NRF awards A-ratings to "... researchers who are unequivocally recognised by their peers as leading international scholars in their field for the high quality and impact of their recent research outputs". This is based primarily on the "quality and impact of their research outputs over the past eight years" and "identifies researchers who count among the leaders in their fields of expertise", giving recognition to those consistently producing high quality research outputs.

Prof. Soudien received the A-rating for his research in the field of education and sociology of education, in particular. His work is essentially that of social difference, with a focus on the questions of race, class and gender.

7.7.3 Prof. Heidi van Rooyen appointed to the Ministerial Advisory Committee on COVID-19

On 28 September 2020 Health Minister Zweli Mkhize announced a strengthened and restructured Ministerial Advisory Committee (MAC) for COVID-19 in response to new challenges that would also require a new approach. This led to the expansion of the MAC skills set to ensure that government is now advised on issues that not only relate to medical science but also social sciences, behaviour and the psyche of the population.

Prof. Heidi van Rooyen, Group Executive: Impact Centre of the HSRC, was listed as a newly appointed member to the MAC on COVID-19 for her expertise as a psychologist and more specifically behavioural psychology.

7.7.4 Prof. Cheryl Hendricks appointed as a member of the Ministerial Task Team on Sexual Exploitation and Abuse in the Department of Defence

Prof. Hendricks was appointed as member of the Ministerial Task Team on Sexual Exploitation and Abuse in the Department of Defence in 2020 and was responsible for the report writing. The Report was launched in March 2021 and outlines a number of recommendations to address this issue.

7.7.5 Prof. Priscilla Reddy participates in National COVID-19 Conference

Prof. Priscilla Reddy was invited to participate in the National COVID-19 Conference held on 31 July 2020. The conference, 'Harnessing science, technology and innovation in response to COVID-19: A national and international effort', was hosted by the DSI, the Department of Health and the Department of Trade, Industry and Competition.

Prof. Reddy participated as member of a panel which discussed the role of data modelling and analysis in

managing COVID-19 and its social impact. Her presentation focused on 'Bridging the gap to a 'new world order'. Harnessing social sciences to evoke and stimulate consciousness, resilience and agency relevant to today and beyond'. The conference brought together scientists, governments, businesses and civil society from all over the world, providing a platform for open discussion and contributing to a greater understanding of the impact of COVID-19 on society and the economy.

7.7.6 Mr Stewart Ngandu appointed to the ETDP SETA Higher Education and Research Chamber

Dr Stewart Ngandu was appointed as a member of the Higher Education and Research Chamber of the Education, Training and Development Practices Sector Education and Training Authority (ETDP SETA) for a five-year term. SETA Chambers are stakeholder structures which serve as advisory structures to the Executive Management of the ETDP SETA.

7.7.7 Dr Vijay Reddy appointed to the ISER Advisory Board

Rhodes University's Institute of Social and Economic Research (ISER) announced its newly appointed board members who provide leadership, direction and advice to the ISER team. Dr Vijay Reddy, Distinguished Research Specialist at the HSRC, was appointed as a respected authority on education policy.

7.7.8 Dr Glenda Kruss participates in webinar on Social Science Research in Nigeria

On 31 March 2021, Dr Glenda Kruss participated in a webinar as part of a series on Social Science Research in Nigeria on the topic 'Gender gaps in social science research leadership in Africa: implications for quality and sustainability'. The event was an initiative of the National Centre for Technology Management (NACETEM), with the support of the Global Development Network (GDN) which had just completed a detailed study of the Social Science Research System in Nigeria. The study focused on the factors that affect the production, diffusion and uptake of social science research for sustainable development. The presentation was based on a paper by Dr Kruss and Ms Pilela Majokweni which will feed into CeSTII's contribution to the HSRC's Science Granting Councils Initiative (SGCI) II project on Gender and Science, Technology and Innovation (STI) Policy in Africa.

7.7.9 Prof. Kanyane serves as Deputy Chairperson of the DSI Entities' DDM Coordinating Committee

Prof. Barwa Kanyane was appointed to serve on the DSI Entities' District Development Model (DDM) Coordinating Committee as Deputy Chairperson. The purpose of the DDM Coordinating Committee is to create a coordinated

platform that enables DSI entities to implement programmes and initiatives that support DDM activities in all 44 district municipalities and the eight metropolitan municipalities. The Committee meets on a quarterly basis to report on projects concerning the DDM, launched by the President to accelerate, align and integrate service delivery.

7.7.10 Prof. Bohler-Muller leads Women20 Kickoff Working Group for Environmental Sustainability

Prof. Narnia Bohler-Muller has been appointed to lead the Women20 Kickoff Working Group for Environmental Sustainability. The Women20 dialogue process is founded on the engagement of selected Women20 delegates from all G20 countries. Each year, the respective Women20 presidency appoints delegates to participate in the Women20 dialogue to promote women's economic empowerment in the G20 process. Kickoff of #Women20 marked the official start of the 2021 Women20 activities.

Women 20 is an official G20 engagement group, established during the Turkish presidency in 2015. It is a policy recommendation engagement group which is part of the G20 process but is independent from governments. In its functioning, it mirrors the G20 process. Its primary objective is to ensure that gender considerations are mainstreamed into G20 discussions and translate into the G20 Leaders' Declaration as policies and commitments that foster gender equality and women's economic empowerment.

7.7.11 Dr Yul Derek Davids appointed as Advisory Committee Member of the Unit of Applied Law at Cape Peninsula University of Technology

Dr Davids has played a key role in assisting with the facilitation of continued engagement between paralegal organisations, the legal profession, academia, government institutions, practitioners, employers, non-governmental organisations and corporate entities. This engagement with stakeholders will assist the Unit for Applied Law to equip paralegal graduates with the requisite knowledge, skills, competencies, and attributes to render primary and quasi-legal services to the public and private sectors. Dr Davids will also play a key role in curriculum development for the postgraduate research programme to ensure that postgraduate candidates are equipped with the requisite knowledge, skills, competencies and attributes to conduct interdisciplinary and transdisciplinary applied research on socio-economic rights.

7.7.12 Prof. Priscilla Reddy appointed to the International Race and Health Experts Group

The Race and Health Observatory, situated at the National Health Service (NHS), has established an International Race and Health Experts Group which is chaired by Prof. David Williams from Harvard University. The purpose of the group is to highlight the issue of race as a key driver of health inequalities and point to potential solutions, so that policy makers can make the necessary changes.



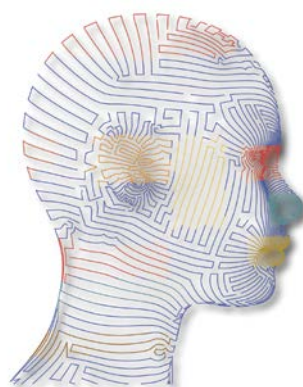
7.8 CELEBRATING SOCIAL SCIENTISTS AND RESEARCHERS IN THE NATIONAL SYSTEM OF INNOVATION

The HSRC Medal in Social Sciences and Humanities is awarded annually to scholars who have made outstanding contributions through their research in the social sciences and humanities.

The 2020/21 Awards were co-hosted with Universities South Africa (USAf) on 19 March 2021 at a virtual event.

The 2020/21 Medal was unique in that, in addition to celebrating the country's academic capital, it considered the contributions of social scientists, researchers and academics to South Africa's fight against COVID-19 through the inaugural team awards. South Africa's efforts to mitigate the spread of the virus through, amongst others, behaviour and attitude changes, would have been ineffective without the work of this cohort of social scientists and academics.

A total of 34 nominations in the categories of Established and Emerging Researcher as well as the inaugural team awards, were received.



Medal for Social Sciences and Humanities



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The final list of awardees included:

- Prof. Jonathan Janssen from Stellenbosch University who was selected as the Established Researcher for 2020. Prof. Jansen is a Distinguished Professor of Education at Stellenbosch University and president of the Academy of Science of South Africa. He is a curriculum theorist and an NRF A-rated researcher, whose research is concerned with the politics of knowledge. His recent books (co-authored, co-edited) include, *The settled curriculum: Radical ideas, institutions and the decolonization of knowledge* (Cambridge, 2021); *Who gets in and why: the politics of admission in South Africa's elite schools* (UCT Press, 2020); and *South African Schooling: The enigma of inequality* (Springer, 2019). His current research includes a national study on the impact of the pandemic on the academic work of women scholars, and a study on the underlying causes of chronic dysfunction in ten South African universities. He holds a PhD (Stanford) and four honorary degrees in education.
- Dr Ryan Nefdt from the University of Cape Town, who was selected as the Emerging Researcher for 2020. Dr Nefdt is a senior lecturer in Philosophy at the University of Cape Town and a fellow at the Center for the Philosophy of Science at the University of Pittsburgh. He is an NRF P-rated researcher and has won multiple research awards including UCT's College of Fellows Young Researcher Award in 2020. He has conducted research at a number of international institutions including Yale, Edinburgh, the University of Texas in Austin, Leeds, and the University of Michigan as well as during his graduate studies at the Universities of St Andrews, Amsterdam, and UCT. His work focuses on the interconnections between language, cognition, and science. He has published numerous articles and book chapters on these issues through some of the top international publishers, as well as an edited

volume with Palgrave Macmillan and a forthcoming monograph with Cambridge University Press. His other interest is in bringing philosophy and the humanities in contact with broader audiences within the public sphere and the sciences. He is currently working on issues related to scientific modelling during the COVID-19 pandemic and how these issues might affect our continent.

- The Durban University of Technology's Urban Futures Centre team, led by Prof. Monique Marks, received the inaugural Team Award for outstanding work during COVID-19, and their huge role in reducing the impact of the pandemic on the most vulnerable in our community – homeless people with a drug use disorder. Their responsiveness during COVID-19 was possible due to their long-term record of running substantive engagement programmes together with network actors, both state and non-state.
- The HSRC's COVID-19 research team led by Prof. Priscilla Reddy, which was at the forefront of South Africa's social sciences research response to COVID-19. From as early as the third week in March 2020, the team initiated a range of qualitative and quantitative research studies to investigate the knowledge, attitudes and behaviours of the public and various at-risk populations regarding the COVID-19 pandemic, and the impact of lockdown measures on their lives, launched as the 'street talk' series. The research team consisted of about 150 people including senior researchers and medical students from multiple universities. The team is currently engaged in designing and conducting 'One Year Later' COVID-19 surveys on, amongst others, COVID-19 vaccine preparedness amongst the respondents.

To access the full list of nominees, go to: <http://www.hsrc.ac.za/uploads/pageContent/1045389/FINAL%20Booklet%2017%20March%202021.pdf>

7.9 POLICY INFLUENCE

7.9.1 Understanding tobacco use and cigarette buying behaviour

South Africa's lockdown restrictions included a ban on all tobacco products. This was severely criticised by consumers and received significant support from tobacco companies and those in the tobacco lobby.

The HSRC used the data from waves 1 and 2 of the Lockdown Survey to conduct further analysis of tobacco use and cigarette buying data. This data was shared with the Minister of Co-operative Governance and Traditional

Affairs (COGTA) during May and June 2020, and used by the State to defend the various cases brought against it in respect of the ban on the use of tobacco products.

Further analysis of survey data, especially in relation to the implications of lockdown regulations prohibiting the sales of tobacco products, provided evidence-based information which was utilised by two different Cabinet Ministers – Health, as well as COGTA – providing examples of immediate uptake and impact, which is rare in the world of research.

In the judgement handed down by the Pretoria High Court in the case of FITA vs the State on 26 June 2020, reference was made to the HSRC report three times – two instances where reference was made to findings in the report, and a third instance where specific mention was made of “... this report and the Minister’s reliance on the report” (page 27).

It is clear that HSRC data played a role in the dismissal of an important case and serious challenge in the wake of COVID-19 lockdown regulations.

7.9.2 Getting better value from public infrastructure procurement (CoST scoping study)

In 2018, the Infrastructure Transparency Initiative (CoST) commissioned the HSRC to undertake a scoping study on the levels of transparency, accountability and stakeholder participation in delivering public infrastructure in South Africa, with a view to considering how CoST might assist.

CoST is a global initiative that works to improve transparency and accountability in public infrastructure. Established by Engineers Against Poverty, CoST works with governments, industry and civil society to promote the disclosure, validation and interpretation of data from infrastructure projects. The programme also helps to inform and empower citizens, enabling them to hold decision makers to account.

In addition to desktop research, the HSRC interviewed a broad spectrum of stakeholders, including national and provincial treasury officials, interested civil society organisations, senior representatives of several large state-owned enterprises and metropolitan municipalities, senior representatives of private sector professional associations, and a number of private construction companies.

The scoping study aimed to identify a number of factors, including:

- How transparency and accountability around public improvement needs to be improved
- Attitudes towards transparency and accountability among the government, private sector and civil society
- How the CoST approach to transparency and accountability and its core features of disclosure, assurance, multi-stakeholder working, and social accountability can add value to current systems for procuring and delivering infrastructure.

The scoping study showed real appetite for change amongst interviewees, and for CoST as a practical, systematic platform to deliver this change through increased transparency and accountability. The core feature of multi-stakeholder working, for instance, has the potential to restore mutual trust and cooperation between the public and private sectors, which recent scandals have eroded.

The study revealed significant gaps in existing transparency mechanisms, underscored by confusion amongst interviewees around the information required to be disclosed. However, private sector interviewees welcomed those instances where procuring entities have begun to disclose more information – whether reactively or proactively – which has enhanced the integrity of the procurement process. Adopting and implementing the CoST Infrastructure Data Standard (CoST IDS) offers the prospect of strengthening understanding and trust between sectors and delivering more consistent performance.

Given the appetite for change amongst key players from government, industry and civil society, the scoping study concluded that CoST is a valuable approach to tackling issues around public procurement in South Africa. Specifically, the study recommends that the CoST model is piloted to assess its practical value; the CoST IDS is incorporated into procurement legislation; and steps are taken to strengthen legislation around access to information.

On Friday 11 September 2020, a delegation of foundations (the Mandela, Kathrada and Tutu Foundations, as well as the Foundation for Human Rights and the Council for the Advancement of the South African Constitution), led by the South African Council of Churches, met with a government delegation led by President Ramaphosa. The group had together made a moral call on 7 August 2020 for public vigilance against corruption, and demanded transparency, accountability and good governance. The purpose of the meeting was for the delegation to express its concern about serious allegations of widespread corruption in COVID-19 PPE procurement, and to exchange ideas with government about possible solutions to corruption, which the President “identified as one of four epidemics confronting South Africa – gender based violence and femicide, poverty and inequality, COVID-19, and corruption.”

Emphasising its call for transparent and accountable government, the delegation laid out several proposals that would make for a social contract between government and South Africa’s people, based on corrective measures to rebuild trust. While welcoming government’s immediate responses to the allegations, the delegation proposed several additional policy initiatives, including reform of the State procurement system to enhance transparency and accountability, and an easily accessible database of all contracts entered into. With the focus on infrastructure projects to kick-start the economy, the delegation urged that “government draw upon the CoST/Infrastructure Transparency Initiative framework to implement measures to reduce mismanagement, inefficiency, corruption and poor quality infrastructure.”

7.9.3 Access to water at the heart of second Constitutional Dialogue

The HSRC, together with the National Foundations Dialogue Initiative (NFDI), hosted the second Constitutional Dialogue on Thursday 19 November 2020 at several venues in Limpopo and online via the Zoom platform. The hybrid virtual-physical dialogue looked at the theme 'Let's Talk about Access to Water and Sanitation,' and adhered to all COVID-19 protocols.

Governments around the world have for many years focused on water security and sanitation as a key human rights issue. The international community elevated this issue when it was included as Millennium Development Goal 7, adopted by Heads of State and Government at the United Nations in 2000. In 2015, the United Nations introduced the Sustainable Development Goals (SDGs), which again included the issue of water access and sanitation – as Goal 6. Through the adoption of the SDGs, Heads of State and Government committed, amongst others, to “achieve universal and equitable access to safe and affordable drinking water for all ... [and] ... adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations by 2030”.



The global outbreak of COVID-19 has brought into sharp focus the need for equitable access to water and good sanitation, as well as the dire implications should this basic human need continue to be unmet.

This multi-stakeholder Constitutional Dialogue came amidst the UN-declared Water Action Decade, 2018–2028. Stakeholders also came together to discuss these important issues on the UN-declared World Toilet Day.

7.9.4 NDA and HSRC host Civil Society Capacities and Capabilities Public Dialogue

The Minister of Social Development, Ms Lindiwe Zulu, delivered a keynote address on Wednesday, 2 December 2020 on 'Creating Capacities and Building Capabilities for the Civil Society Sector in South Africa' at the public dialogue.

Civil Society Organisations (CSOs) in South Africa play an important role in the social, political and economic development of the country. This has particularly been the case since the advent of democracy in 1994. The increasing needs of society have underscored the requirement for CSOs to have the appropriate capacity to address the demands of society. At the same time, they experience many challenges in bridging the gap between the State, society, and themselves, which manifests in a variety of ways.

The National Development Agency (NDA) commissioned the HSRC to conduct a study to identify ways to ascertain the most critical needs, and how best to enhance and create capacities and build capabilities for the civil society sector to inform training and capacity-building interventions that will strengthen constructive engagements between the developmental state and civil society, thereby promoting the objective of improving the quality of service delivery.

The aims of the public dialogue included:

- Presenting the findings of the research and recommendations to both government and the business sector on their critical role in supporting the civil society sector in a coherent and integrated manner
- Bringing together public-private partnerships in strengthening the capacities and capabilities of the sector

The Virtual Public Dialogue attracted 126 participants, largely from government, practitioners, business and the civil society sectors. Several experts spoke on matters of capacity and capability of civil society from the perspective of diverse contexts and sectors, including, amongst others, CSOs, non-profit organisations (NPOs), government, state agencies, business and research institutions.

The NDA, Department of Social Development and the South African Social Services Agency (SASSA) presented on their interventions towards strengthening CSO's capacities and capabilities.

The HSRC presented the findings and recommendations from the study 'Creating capacities and building capabilities for the civil society sector in South Africa'. The underlying issue that emerged from the study is that CSOs are capacity- and capability-constrained. The study emphasised the role of the private sector in providing skills transfer to the CSOs, in addition to funding through corporate social investment. The study made several recommendations in two clusters:

(1) Capacity and capability, and (2) Sustainability and values, which encompassed among others that government should consider establishing an Ombudsman for civil society to handle complaints and to identify necessary interventions; government should promote SETAs' skills levies to support capacity building in the civil society sector; and that government should find ways to encourage development of a stronger philanthropic spirit and a deeper understanding of the role played by CSOs. These recommendations are critical as they were voiced by the CSOs themselves.

From the discussions, it was clear that there is a need for tailor-made programmes to address the differing capacity and capability needs of the CSOs. Another issue of critical importance is corruption in the civil society sector, which must be tackled through a security cluster approach.

The presentations and discussions were informative and insightful, and concluded in calls for a Presidential Social Sector Summit to be convened to come up with a consolidated national position and approach to build the sector in a credible manner.

It was understood that this particular public dialogue was not envisaged to be a once-off event, but rather a starting point for the work that must be done as a collective to address the issues raised in order to strengthen the civil society sector. Other issues identified which require close attention and concerted efforts include (1) The regulatory framework, (b) Transformation, and (c) The funding model.

The NDA pledged its commitment to transform, capacitate and resource the civil society sector through an integrated approach with the private sector. Four thematic engagements in the form of a series of dialogues will follow,

(1) Capacity of the sector, (2) Regulatory mechanism, (3) Resource capacity, and (4) The transformation of the sector. These topics all centre on rebuilding the civil society sector, thereby bringing it back to its optimal functionality even during the period of the COVID-19 pandemic.

7.9.5 Public participation in budgeting

A multi-stakeholder exploratory community of practice (CoP) has been established by National Treasury to identify ways to promote broader public participation in the national budget planning and monitoring processes. South Africa is justly proud of its excellent performance over many years in the International Budget Transparency Index, but the country performs less well in other important areas of constitutional governance, such as public participation and accountability for results. Termed the Fiscal Openness Accelerator (FOA), a pilot project is being facilitated by the International Budget Partnership (IBP) and the Global Initiative for Financial Transparency (GIFT). In addition to National Treasury, a multi-stakeholder CoP has been established in the form of an Advisory Group (AG), which includes the Department of Planning, Monitoring and Evaluation, the City of Johannesburg and four civil society organisations. Based on the HSRC's Developmental, Capable and Ethical State (DCES) work on public participation and state responsiveness over several years, DCES is a core member of the AG. At a meeting in March 2021 the AG agreed by consensus to pilot Pre-Budget Hearings as the preferred form of public participation during 2021. Although this remains subject to formal National Treasury approval, it is hoped that this pilot will have a demonstrable impact in opening up how the national budget is developed and expenditure monitored.



7.9.6 Financial literacy, education and inclusion in South Africa

As part of on-going efforts to better understand, monitor and promote financial literacy and education in South Africa, the HSRC has over the past decade partnered with the Financial Sector Conduct Authority (FSCA), formerly the Financial Services Board. Surveys were undertaken by the HSRC to examine financial knowledge, attitudes and behaviour among adult South Africans. This first round of surveying was conducted in 2010, with replications occurring in 2011, 2012, 2013, 2015 and 2017. The surveys consisted of nationally representative samples, and results reflect the views of South Africans aged 16 years and older. The series was designed to assist with the development of strategies to improve financial literacy levels and inform financial literacy policies. The results have been used to develop financial literacy targets that are included as part of the National Consumer Financial Education Strategy (NCFES, 2013). In the 2020/21 financial year, an in-depth survey on financial literacy and education was included as part of the annual round of the South African Social Attitudes Survey. This included the core 35 multidimensional indicators of financial literacy that have consistently been used for policy monitoring since the early 2010s. The indicators were supplemented with additional content focusing on new priority issues deemed critical by the FSCA and the National Consumer Financial Education Committee (NCFEC). The new findings will be used to stimulate discussion among the public, policymakers, and industry stakeholders, and for updating strategic policy documents and interventions in 2021 and beyond. The new survey data will also provide critical insight into the socio-economic impacts and vulnerabilities resulting from the COVID-19 pandemic in the country.

7.9.7 Understanding pathways from post-school education and training to the labour market

The HSRC's Inclusive Economic Development (IED) unit was commissioned by the ETDP SETA to conduct a Trace and Track Evaluation study in respect of five learning interventions implemented by the ETDP SETA. The overarching purpose of the study was to provide the ETDP SETA with information on the outcomes and impacts of its SETA-funded activities on learners who had completed one of the following learning interventions: bursaries, learnerships, internships and work integrated learning for University of Technology (UoT) and TVET learners.

Explicit in the terms of reference was a requirement that the study be grounded by theory-based evaluation, underpinned by the reconstitution of intervention theories of change (ToC) in the transition from school to work in respect of the five learning interventions.



This requirement is consistent with the drive for greater use of evidence-informed planning and programming, as outlined in the government-wide National Evaluation Framework and specifically in the DHET's requirement for a shift from output, to outcomes and impact assessments using ToCs as a critical entry point for conducting impact evaluation studies within the Post School Education and Training (PSET) Sector.

In June 2020, an HSRC research team facilitated a Roundtable Workshop with approximately 40 stakeholders in the PSET Sector including DHET, SETAs, and Higher Education and Training Institutions in both the public and private sectors. The workshop aimed to reflect on the reconstructed ToCs in respect of the five learning objectives funded by the ETDP SETA for the evaluation study. The research team sought to test the ToC for these post schooling learning interventions with a view to deepening the understanding of the pathways through which the ETDP SETA-funded interventions were expected to realise the envisaged access to the labour market and to identify the challenges of transitioning from education and training into the labour market. The outcome of the workshop was a validation of the reconstructed ToCs and a recommendation that ToCs are mainstreamed as essential components of impact evaluation studies.

79.8 Evidence-based policy leadership on food and nutrition security in the context of COVID-19

The COVID-19 pandemic intensified pressures on the precarious food and nutrition security status of poor South Africans. As the health and economic crises endured, many fault lines in the country's agrofood value chains were revealed, calling for urgent responses. During the months of the hard lockdown, millions of workers in non-essential economic sectors struggled to afford enough food to meet the needs of their families.

In response to the food and nutrition crisis, government, civil society organisations and communities realised that the lack of reliable evidence frustrated speedy and targeted interventions. Identifying those most vulnerable to food and nutrition insecurity became as important as efforts to deliver food parcels to the hungry.

The HSRC's Climate, Land and Agrofood Systems (CLAS) working group supported a wide range of initiatives to realise the policy imperative of adequate food and nutrition for all. It co-hosted a policy dialogue on World Food Day (16 October 2020) with the NDA to launch a Policy Brief based on the latest Food and Nutrition Security Status Report that the team had completed for the NDA. The 2020 World Food Day, under the theme 'Grow, Nourish, Sustain', focused on best practices to satisfy the food and nutrition needs of all in sustainable ways, and to make food systems more resilient and robust so that they can withstand shocks and deliver affordable and sustainable healthy diets for all. With a keynote address by the Minister of Social Development, this event also provided a platform for inputs from Statistics South Africa and the Department of Planning, Monitoring and Evaluation (DPME), and lively exchanges on various food and nutrition security interventions.

The Department of Agriculture, Land Reform and Rural Development (DALRRD), in collaboration with the Food and Agriculture Organization of the United Nations (FAO) also commissioned the CLAS team to conduct a rapid assessment of the impact of the first wave of the COVID-19 pandemic on agriculture and the food system in South Africa.

The project was conducted from March 2020 to October 2020, to (1) to provide a comprehensive overview of the COVID-19 situation in the country in terms of the spread of the disease, the macro-economic and social impacts and containment measures vis-à-vis agriculture and the food system; and (2) to generate clear and actionable proposals to mitigate the impacts of the pandemic on agriculture and the food system. The study produced significant insights into the extent and reach of the first wave of the pandemic and the effectiveness of various response measures, as well as recommendations on supporting and/or reviving various components of the agrofood sector in the country.

The Food and Nutrition Security Status initiative led to the following:

- In terms of knowledge production, three academic articles have been developed from project work i.e. an *HSRC Review* article, a manuscript prepared for submission to a journal outlet, and a working paper.
- In as far as policy influence is concerned, there were continued engagements with officials from DALRRD and the FAO on emerging results during the course of the project, and at the end of project, the HSRC team presented to the national COVID-19 Task Force on insights and recommendations. A draft Policy Brief based on project results has also been prepared.
- The projects involved more than 10 junior researchers and interns, thereby assisting to strengthen the emerging research expertise in food and nutrition security policies.



7.9.9 Informing pro-poor macroeconomic options through policy dialogues

Through its Macroeconomic Policy Dialogues, the HSRC convened a strategic conversation to shed light on the following questions: What are the implications of a prolonged COVID-19 depression for government's latest economic crisis response plan (Economic Reconstruction and Recovery Plan) and the longer-term National Development Plan (Vision 2030)? What policy options exist for sustainable and equitable macroeconomic reconstruction and recovery beyond COVID-19?

These questions dominated the Budget Speech delivered by Finance Minister Tito Mboweni in February 2021, and continue to be intensely discussed in macroeconomic circles. Taking place a week before the February Budget Speech, the Macroeconomic Policy Dialogue attracted extensive media attention, with the HSRC's IED researchers being interviewed by several radio and television networks.

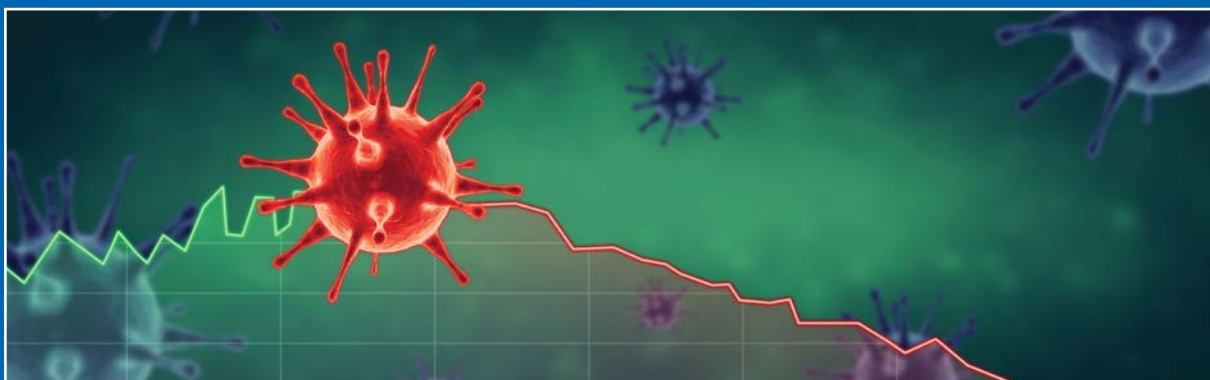
The virtual Policy Dialogue brought together a panel of three macroeconomic experts and one discussant to explore specific themes such as:

- Macroeconomic stimulus for structural change and solidarity funding
- Pro-employment macroeconomic policy frameworks
- Macroeconomic reconstruction and recovery in the age of financialisation

The inaugural Macroeconomic Policy Dialogue was a major success in terms of attendance and forging an emerging network with macroeconomists at university and leading research directorates inside government.

Another achievement of the dialogue was the revival of regard for the HSRC as a trusted source of evidence on national macroeconomic developmental priorities: poverty, inequality and unemployment to inform pro-poor macroeconomic policies.

At the February Policy Dialogue, the HSRC launched a new working paper on lessons from past economic stimulus programmes and disseminated key insights on how to lift the economy out of the COVID-19 macroeconomic downturn and recession.



7.10 HSRC PUBLISHING

The Publishing unit of HSRC felt the effects of the COVID-19 pandemic immediately, with the first hard lockdown in April 2020 bringing to a sudden halt the sales, distribution and circulation of its prestigious books to global readerships. Adjustment to this new, hard-lived reality that affected all countries and peoples across the world, had to be immediate and remain sufficiently flexible to reflect new realities and user behaviours. As the year progressed, it was marked by erratic lags across supply and value chains, presenting a unique context in which to keep the brand stable through the often-sharp downturns and equally sharp upturns. By March 2021, the publishing house could look back on the previous 12 months with a sense of pride in its achievements despite the landscape that was a completely new lived reality.

Foremost, the Publishing Unit had successfully integrated a new team following the merger of the HSRC Press and AISA publishing units in April 2020. The merger yielded three world-class brands in one publishing house within the HSRC, namely HSRC Press, which publishes scholarly books in the social sciences from and about South Africa, Africa and the global south for public benefit; AISA, which publishes books from leading scholars across Africa as well as reference works; and Best Red, a registered trademark of the HSRC, which publishes general, academic non-fiction.

The digital presence of the publishing house, specifically the open access platform of HSRC Press, became more crucial than ever in this new external landscape, enabling the publishing entity to continue to reach out to readers and users across Africa and worldwide, and to expand its dissemination and impact with content that is

openly available for public benefit. The publishing house strengthened its partnerships with key stakeholders, including the NIHSS which continued to fund selected new books to make these affordable and accessible for readers, and with the Chinese Academy of Social Sciences, with whom new licence agreements were concluded resulting in the publication, in Chinese, of several scholarly books originally published by the HSRC Press.

The house embarked on virtual book launches and virtual promotions to keep in touch with readers and users. The team made systems adjustments to ensure the complex commissioning and production processes for new books could continue to maximum effect in constantly changing circumstances. By the end of the year this effort yielded 13 new books, some of which are flagship publications, including a new edition of the popular State of the Nation series that focuses on ethics and care in dealing with poverty; an edited volume that provides a critical scholarly reflection on evidence-based science in State-funded contexts and marks the 50-year anniversary of HSRC; and one of the very first scholarly books to provide a cogent analysis on the Fourth Industrial Revolution (4IR). Some of the new books situated their research-based context within the complex realities of COVID-19, providing important insights. Record book sales were recorded in some periods of the year, and overall a stable distribution and sales trajectory, despite occasional obstacles, demonstrated that the brand had maintained its important position as a leading scholarly book publisher and global presence, with distinctive, relevant and high-quality books.

The new publications for the review period were as follows:

HSRC Press

This new addition to the Voices of Liberation series, *Miriam Tlali: Writing Freedom*, brings together select original writing by Tlali with analyses of the many ways in which she imagined freedom. Like the other books in the Voices of Liberation series, this title shows how Tlali's writing on freedom retains relevance beyond the specific site and conditions of its emergence.

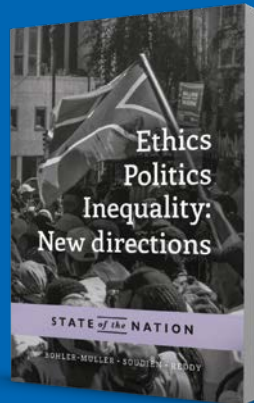


This edited collection commemorates the 90th anniversary of the first South African public social research organisation, the National Bureau for Education and Social Research, and the 50th anniversary of its successor, the Human Sciences Research Council. It is a scholarly reflection on the history of state-based social research, and the challenges facing non-partisan science.

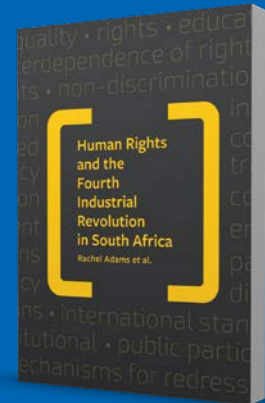


Multi-layered inequalities and a sense of insecurity have long been the hallmarks of South African life. Recently, however, the uncertainties around COVID-19 have led to greater shared experiences of vulnerability among South Africans.

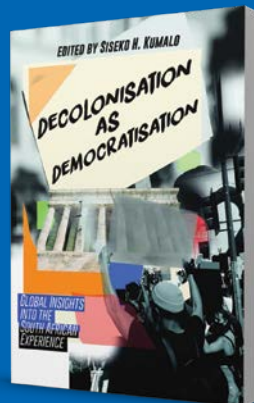
This volume of *State of the Nation* offers perspectives that may help us navigate our way through the 'new normal' in which we find ourselves. Foremost among the unavoidable political and socio-economic interventions that will be required are interventions based on an ethic of care. Care, as an essential attribute, must be inserted into all of the diverse contexts that structure the needs, desires and relations of power.



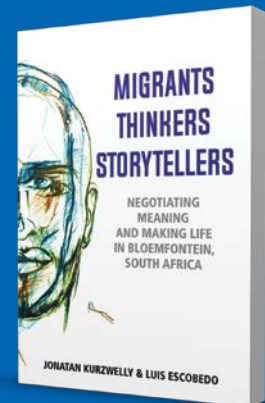
This book constitutes the first major investigation into the real and potential human rights implications of the 4IR in South Africa, following the work of the South African Human Rights Commission in this area. Addressing issues such as unemployment, poverty, development, and local government in the 4IR; bias, discrimination and the digital divide; internet rights and responsibilities; privacy and cybersecurity; and predictive policing, surveillance and digital justice, the book offers an in-depth review of the current and emerging regulatory frameworks relating to human rights and 4IR-related technologies in South Africa.



Decolonisation as Democratisation considers three factors that define the debate in South Africa on the decolonisation of academia: educational aspiration, competing interests and political contestation. The book explores an academic system that attempts to serve two masters, the first being the historical beneficiaries of academia (i.e. whiteness) and the second being those who pin their hopes on the system in order to escape abjection (i.e. blackness or indigeneity).

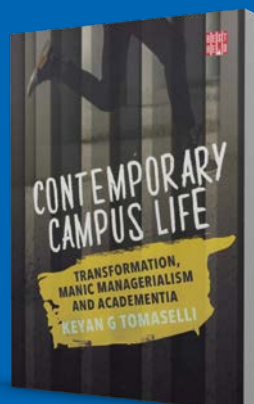


Migrants, Thinkers, Storytellers develops an argument about how individual migrants, coming from four continents and diverse socio-economic backgrounds, are in many ways affected by a violent categorisation that is often nihilistic, insistently racial, and continuously significant in the organisation of South African society. The book also examines how relative privilege and storytelling function as instruments for migrants to negotiate meanings and shape their lives. It employs narrative life-story research as its guiding methodology and applies various disciplinary analytical perspectives, with an overall focus on social categorisation and its consequences.



Best Red

Contemporary Campus Life presents an argument that the COVID-19 pandemic has brought about an ecological correction that affects all of humanity – one that management theory can learn from. Tomaselli presents a cogent critique of managerialism with an incisive satirical humour that delves into the quirks of university academia. This analysis shows how these quirks affect lived relations in academia's practice of science, teaching and reasoning. Academia is not a safe space, but given the truth that the COVID-19 pandemic has exposed, Tomaselli shows how it could become so.



The understanding and retention of mathematics lessons is a challenge faced by teachers, parents, and the Department of Basic Education. This is often because most learners learn mathematics in English, which is not their home language.

This dictionary, based on HSRC-led research, comes as a response to that problem, for learners and teachers. The way it is written makes it easy to navigate new or difficult mathematical concepts, with each concept defined in both English and isiXhosa, based on classroom research. The terms selected in this book were selected by both mathematics experts and teachers, in real life contexts, and with a lived understanding of mathematical challenges in multilingual contexts.



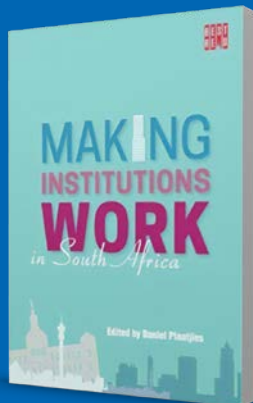
The Fabric of Dissent: Public Intellectuals in South Africa is a pioneering volume, representing a rich tapestry of South Africans who were able to rise beyond narrow formulations of identity into a larger sense of what it means to be human. Each brief portrait provides readers with an opportunity to consider the context, influences and unique tensions that shaped the people assembled here. In its entirety, the book showcases an astonishing array of achievements and bears testimony to the deep imprint of these public intellectuals.



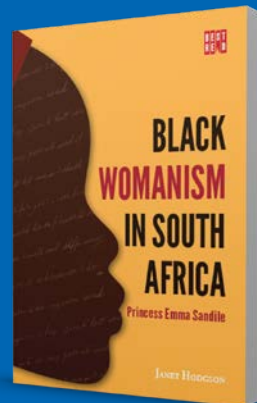
Hack with a Grenade: An Editor's Back Stories of SA News is a newspaper editor's perspective on the characters and events that shape South Africa's psyche. The author, Gasant Abarder, is a journalist who worked in print, radio and television newsrooms in both Cape Town and Johannesburg for 21 years. Along the way, he encountered homeless people, reformed prison gangsters, struggle heroes, artists and sports personalities.



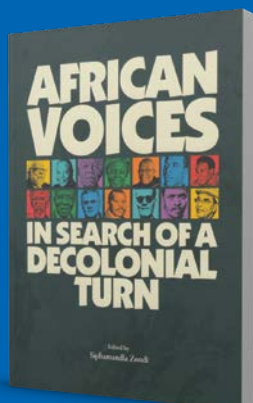
Making Institutions Work recognises that institutions are the pillars of a constitutional democracy and freedom; they evolve through the actions of persons; and as organisations they form structures of dynamic, shared social patterns of behaviour. The book offers critical interdisciplinary commentary by scholars, analysts and experts regarding strategic thinking, structural and functional impediments, and facilitators to institutions.



As the first black woman landowner in Southern Africa, the earliest black woman writer in English, and the only woman to attend the Land Commission, Emma Sandile was one of the pioneers of black womanism in our country. Her courage in bridging her African tradition and the imposed western culture was without precedent. This window on her world gives some understanding of the problems involved in religious and social change. Her courage in fighting for human rights as she weathered the storms of fluctuating fortunes will be an inspiration to those who are following in her footsteps today.



This book discusses the contributions of African thinkers and actors to what Paul Tiyambe Zeleza calls recentring Africa in discussions about major African phenomena. It makes an input into ongoing debates about what it means to decolonise knowledge, the university, the school, the library, the archive and the museum. The book responds to the need for Africa-centred literature to be used by those who teach, discuss and implement the decolonisation and Africanisation of knowledge, power and being. The book hopes to stimulate further conversations about many other African voices engaged in epistemic disobedience.





7.11 RESEARCH OUTPUT 2020/21

7.11.1 HET accredited journal articles counted towards LeaPPT+S (ISI, IBSS, SA, Scielo SA, Norwegian, Scopus and/or DOAJ listings)

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Yu, T. & Kanyane, M. (2021) Inclusive ward delimitation in South Africa: analysing critical issues. *Politikon*. Online:1-16. <http://hdl.handle.net/20.500.11910/15946>

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Chikovore, J. (2020) Addressing the challenges of TB diagnosis in the COVID era. *Public Health Action*. 10(4):132. <http://hdl.handle.net/20.500.11910/15933>

Daftary, A., Furin, J., Zelnick, J.R., Venkatesan, N., Steingart, K., Smelyanskaya, M., Seepamore, B., Schoeman, I., Reid, M., Padayatchi, N., O'Donnell, M.R., Mistry, N., McKenna, L., Mahbub, T., Macdonald, H., Loveday, M., Law, S., Lacourse, S.M., Jaramillo, E., Janssen, R., Hirsch-Moverman, Y., Friedland, G., Creswell, J., Chorna, Y., Chikovore, J., Brigden, J., Boffa, J., Boehme, C., Atre, S., Amico, K.R., Acquah, R. & Engel, N. (2021) Letter to the editor: TB and women: a call to action. *International Journal of Tuberculosis and Lung Disease*. 24(12):1312-1315. <http://hdl.handle.net/20.500.11910/15929>

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Marongwe, F.D., Masamha, B., Nyakudya, E., Mandumbu, R., Kamota, A., Zengeza, T., Mapfeka, R.F. & Nyamadzawo, G. (2021) Exploring food fortification potential of neglected legume and oil seed crops for improving food and nutrition security among smallholder farming communities: a systemic review. *Journal of Agriculture and Food Research*. 3:100-117. <http://hdl.handle.net/20.500.11910/15825>

Morwe, K.G., Garcia-Espana, E. & Luescher, T.M. (2020) Violencia en las calles sudafricanas como unica respuesta: el movimiento de protesta estudiantil sudafricano "#FeesMustFall" (When the streets hold the only answer: the case of the South African "#FeesMustFall" student movement). *Boletin Criminologico*. 189:1-23. <http://hdl.handle.net/20.500.11910/15329>

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Schreiber, B., Moja, T. & Luescher, T.M. (2020) Editorial: racism and Corona: two viruses affecting higher education and the student experience. *Journal of Student Affairs in Africa*. 8(1):v-ix. <http://hdl.handle.net/20.500.11910/15642>

Schreiber, B., Moja, T. & Luescher, T. (2020) Editorial: student affairs in a traumatic year. *Journal of Student Affairs in Africa*. 8(2):5-7. <http://hdl.handle.net/20.500.11910/15727>

Simelane, T., Chikozho, C., Mutanga, S.S., Managa, L.R., Tshililo, F. & Dabata, T. (2021) Status of water security in inland South African cities. *Journal of Digital Food, Energy & Water Systems*. 1(1):34-64. <http://hdl.handle.net/20.500.11910/15653>

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Van Heerden, A., Leppanen, J., Rotheram-Borus, M.J., Worthman, C.M., Kohrt, B.A., Skeen, S., Giese, S., Hughes, R., Bohmer, L. & Tomlinson, M. (2020) Emerging opportunities provided by technology to advance research in child health globally. *Global Pediatric Health*. 7:1-7. <http://hdl.handle.net/20.500.11910/15331>

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Babalola, M.A., Mcata, B. & Maila, M. (2021) The impact of COVID-19 on informal food traders in SA. *HSRC Review*. 19(1):40-41. <http://hdl.handle.net/20.500.11910/16006>

Bank, L. (2020) Circular migration during COVID-19: reflecting on the social and cultural significance of home. *HSRC Review*. 18(3):23-24. <http://hdl.handle.net/20.500.11910/15397>

Bank, L., Sharpley, N.V. & Madini, A. (2020) Death without dignity? Rural funeral practices in the time of COVID-19. *HSRC Review*. 18(4):4-7. <http://hdl.handle.net/20.500.11910/16029>

Bank, L., Sharpley, N.V. & Mkuzo, N. (2021) Closing the gate on rural communities: health care during COVID-19. *HSRC Review*. 18(4):29-31. <http://hdl.handle.net/20.500.11910/16022>

Bohler-Muller, N. & Olorunju, N. (2020) The need for universal health care: what COVID-19 may teach us. *HSRC Review*. 18(2):43-44. <http://hdl.handle.net/20.500.11910/15302>

Bohler-Muller, N., Roberts, B., Runciman, C., Alexander, K. & Mchunu, N. (2021) Vaccine nation?: potential acceptance of a COVID-19 vaccine in South Africa. *HSRC Review*. 19(1):4-8. <http://hdl.handle.net/20.500.11910/15993>

Chetty, K. & Motala, S. (2021) Working from anywhere: is South Africa ready?. *HSRC Review*. 19(1):14-16. <http://hdl.handle.net/20.500.11910/16000>

Cloete, A., Davids, A. & Reddy, P. (2020) Leaving no one behind during Covid-19: relief workers concern for migrants, refugees and asylum seekers. *HSRC Review*. 18(3):30-31. <http://hdl.handle.net/20.500.11910/15409>

Cosser, M. & Sausi, K. (2020) Water in the time of COVID-19. *HSRC Review*. 18(2):9-10. <http://hdl.handle.net/20.500.11910/15364>

Edwards, T., Mkwana, N., Mitchell, J., Bland, R.M. & Rochat, T.J. (2020) Empowering parents for human immunodeficiency virus prevention: health and sex education at home. *Southern African Journal of HIV Medicine*. 21(1):Online. <http://hdl.handle.net/20.500.11910/15844>

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Gordon, S. (2020) Exploiting COVID-19 to spread hatred and fear: South Africa is vulnerable. *HSRC Review*. 18(2):25-26. <http://hdl.handle.net/20.500.11910/15359>

Groenewald, C., Essack, Z. & Teagle, A. (2021) South Africa's multilevel Shecession. *HSRC Review*. 18(4):42-43. <http://hdl.handle.net/20.500.11910/15756>

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- Isaacs, D.H., Ndinda, C., Neluheni, M., Hlatshwayo, T.L. & Setswake, G. (2020) Media sensation in a time of heightened anxiety: analysing reports in three Western Cape newspapers. *HSRC Review*. 18(3):44-45. <http://hdl.handle.net/20.500.11910/15403>
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- Lynch, I. & Teagle, A. (2020) The COVID-19 impact on sexual- and reproductive-health rights and gender based violence. *HSRC Review*. 18(2):36-37. <http://hdl.handle.net/20.500.11910/15356>
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- Mohan, S. & Adams, R. (2021) "But, there is nothing outside of philosophy": conversation between Shaj Mohan and Rachel Adam. *Positions Politics: Episteme*. 4:Online. <http://hdl.handle.net/20.500.11910/15841>
- Motala, S. (2020) Turning off the alcohol tap: steps to limit the risks and hazards arising from risky alcohol consumption. *HSRC Review*. 18(4):8-11. <http://hdl.handle.net/20.500.11910/16028>
- Moyo, S. (2020) Tuberculosis in the context of the COVID-19 pandemic in South Africa. *HSRC Review*. 18(2):14-15. <http://hdl.handle.net/20.500.11910/15362>
- Musekiwa, A., Bamogo, A., Shisana, O., Robsky, K., Zuma, K., Zungu, N.P. & Celentano, D.D. (2021) Prevalence of self-reported HIV testing and associated factors among adolescent girls and young women in South Africa: results from a 2017 nationally representative population-based HIV survey. *Public Health in Practice*. 2:Online. <http://hdl.handle.net/20.500.11910/15815>
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- Naidoo, I., Mabaso, M., Sewpaul, R., Reddy, P. & Parker, S. (2021) Health-care workers: the reluctant heroes?. *HSRC Review*. 18(4):32-35. <http://hdl.handle.net/20.500.11910/16021>
- Neluheni, M., Sinyolo, S. & Ndinda, C. (2021) Sharing information through television and mobile devices can help improve the consumption of fruit and vegetables. *HSRC Review*. 19(1):38-39. <http://hdl.handle.net/20.500.11910/15986>
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Swartz, S. & Chetty, K. (2020) Running remote seminars in a time of COVID-19. *HSRC Review*. 18(2):34-35. <http://hdl.handle.net/20.500.11910/15383>

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Teagle, A. (2021) Beyond the formal economy: meeting young people where they're at. *HSRC Review*. 19(1):17-19. <http://hdl.handle.net/20.500.11910/16005>

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Teagle, A. (2021) Exposure to community violence increases teen boys risk for mental illness. *HSRC Review*. 18(4):36-37. <http://hdl.handle.net/20.500.11910/16020>

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Visagie, J. & Turok, I. (2021) COVID-19 hits poor urban communities hardest. *HSRC Review*. 18(4):26-27. <http://hdl.handle.net/20.500.11910/16023>

7.11.4 Scholarly books counted towards LeaPPT+S

Adams, R., Pienaar, G., Olorunju, N., Gaffley, M., Gastrow, M., Thipanyane, T., Ramkissoo, Y., Van der Berg, S. & Adams, F. (2021) *Human rights and the fourth industrial revolution in South Africa*. Cape Town: HSRC Press. <http://hdl.handle.net/20.500.11910/15962>

Bank, L.J., Sharpley, N. & Paterson, M. (2020) *Closing the gate: death, dignity & distress in the rural Eastern Cape in the time of Covid*. Vincent, East London: Eastern Cape Socio Economic Consultative Council (ECSECC). <http://hdl.handle.net/20.500.11910/15875>

Bohler-Muller, N. & Soudien, C. (eds). (2021) *Ethics, politics, inequality: new directions: state of the nation*. Cape Town: HSRC Press. <http://hdl.handle.net/20.500.11910/15917>

Goldman, I. & Pabari, M. (eds). (2021) *Using evidence in policy and practice lessons from Africa*. London: Routledge. <http://hdl.handle.net/20.500.11910/15436>

Moller, V. & Roberts, B.J. (2021) *Quality of life and human well-being in Sub-Saharan Africa: prospects for future happiness*. Berlin: Springer. <http://hdl.handle.net/20.500.11910/15881>

Ndinda, C., Hongoro, C., Labadarios, D., Mokhele, T., Khalema, F., Weir-Smith, G., Douglas, M., Ngandu, S., Parker, W., Tshitangano, F., Maluleke, T., Manyapel, T., Zama, S., Kheswa, N., Ngubeni, A., Moloto, M., Rathogwa, F., Lekodeba, A., Dlamini, P., Dlamini, Z., Gcwabe, A., Meiring, L., Mahlangu, N. & Chilwane, D. (2021) *A baseline assessment for future impact evaluation of informal settlements targeted for upgrading: study report*. Pretoria: Department of Human Settlements. <http://hdl.handle.net/20.500.11910/15969>

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Nhamo, G., Odularu, G.O.A. & Mjimba, V. (eds). (2020) *Scaling up SDGs implementation: emerging cases from state, development and private sectors*. Berlin: Springer. <http://hdl.handle.net/20.500.11910/15451>

Reddy, V., Bohler-Muller, N., Houston, G., Schoeman, M. & Thuynsma, H. (eds). (2020) *The fabric of dissent: public intellectuals in SA*. Cape Town: BestRed. <http://hdl.handle.net/20.500.11910/15792>

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Soudien, C., Swartz, S. & Houston, G. (eds). (2021) *Society, research and power: a history of the Human Sciences Research Council from 1929 to 2019*. Cape Town: HSRC Press. <http://hdl.handle.net/20.500.11910/15816>

Steyn Kotze, J. & Bohler-Muller, N. (eds). (2020) *Reflections on the 2019 South African general elections: quo vadis?*. Routledge. <http://hdl.handle.net/20.500.11910/15679>

7.11.5 Non-scholarly books not counted towards LeaPPT+S

Sikhwivhilu, K., Mutanga, S. & Siame, J. (eds). (2020) *Understanding the water-energy-health nexus in urban contexts in Africa: towards biogas-supported decentralized water treatment system for communities in Diepsloot (South Africa) and Chambisi (Zambia): a feasibility study*. Pretoria: Africa Institute of South Africa. <http://hdl.handle.net/20.500.11910/15469>

7.11.6 Scholarly chapters in books counted towards LeaPPT+S

Adams, R. (2020) The role of the South African Human Rights Commission in ensuring state accountability to address poverty. In: Durojaye, E. & Mirugi-Mukundi, G. (eds). *Exploring the link between poverty and human rights in Africa*. Pretoria: Pretoria University Law Press. 255-274. <http://hdl.handle.net/20.500.11910/15314>

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Steyn Kotze, J., Houston, G. & Olorunju, N. (2020) Requirements for transforming the civil society sector in South Africa. (Commissioned by the National Development Agency (NDA), November). <http://hdl.handle.net/20.500.11910/15788>

Viljoen, F., Dube, H., Simiyu, M., Ilori, T., Adkinduro, O., Cosser, M., Pienaar, G.D., Mokhele, S., Minnaar, I. & Kadiri, M. (2020) Proactive disclosure of information and elections in South Africa. (Commissioned by the Centre for Human Rights (CHR) at the University of Pretoria, September). <http://hdl.handle.net/20.500.11910/15457>

7.11.9 Policy briefs counted towards LeaPPT+S

Bohler-Muller, N., Roberts, B., Davids, Y.D., Gordon, S. & Majikjela, Y. (2021) COVID-19 and human rights limitations: taking public opinion into account. (HSRC Policy Brief, March). <http://hdl.handle.net/20.500.11910/15909>

Buchana, Y. & Sithole, M. (2020) Innovation and employment growth in South Africa: effects and Implications. (HSRC Policy Brief, December). <http://hdl.handle.net/20.500.11910/15654>

Chetty, K., Kanyane, M., Pillay, K. & Hongoro, C. (2021) Financing clean energy technology in BRICS cities: recommendations from renewable energy financing experts in BRICS. (HSRC Policy Brief, March). <http://hdl.handle.net/20.500.11910/15992>

Gordon, S.L. (2021) Addressing the marginalisation of refugees and asylum seekers in South Africa. (HSRC Policy Brief, February). <http://hdl.handle.net/20.500.11910/15967>

Masamha, B., Simelane, T., Mutanga, S. & Managa, R. (2020) COVID-19, food security and nutrition: implications for vulnerable urban households in South Africa. (HSRC Policy Brief, December). <http://hdl.handle.net/20.500.11910/15658>

Moyo, S., Hunt, G., Feizzadeh, A., Zuma, K. & Rehle, T. (2021) Drug-resistant HIV in South Africa: status and response. (HSRC Policy Brief, March). <http://hdl.handle.net/20.500.11910/15985>

Namome, C., Winnaar, L. & Arends, F. (2021) Improving psychosocial support in SA schools during and after COVID-19 as part of a recovery plan. (HSRC Policy Brief, February). <http://hdl.handle.net/20.500.11910/15829>

Pienaar, G., Davids, Y.D., Roberts, B., Makoe, M. & Hart, T. (2021) The big question: Covid-19 and policy support for a basic income grant. (HSRC Policy Brief, March). <http://hdl.handle.net/20.500.11910/15936>

Turok, I. & Visagie, J. (2020) Technology, tourism, malls and metros – promises and pitfalls of tradable services in Africa. (UNU-Wider Research Brief, September). <http://hdl.handle.net/20.500.11910/15668>

Turok, I., Scheba, A. & Visagie, J. (2020) Social housing and spatial inequality in South African cities. (UE-AFD Research Facility on Inequalities Policy Brief, July). <http://hdl.handle.net/20.500.11910/15670>

Turok, I., Scheba, A. & Visagie, J. (2020) Social housing and upward mobility in South African cities. (UE-AFD Research Facility on Inequalities Policy Brief, October). <http://hdl.handle.net/20.500.11910/15669>

Visagie, J., Turok, I. & Misselhorn, M. (2020) Upgrading dense informal settlements by building upwards: lessons from an informal settlement in Durban, South Africa. (HSRC Policy Brief, May). <http://hdl.handle.net/20.500.11910/15420>

7.11.10 Policy briefs not counted towards LeaPPT+S

Kanyane, M., Plantinga, P. & Houston, G. (2020) Creating capacities and building capabilities for the civil society sector in South Africa. (National Development Agency (NDA) Policy Paper, October). <http://hdl.handle.net/20.500.11910/15667>

Singh, P., Benney, M.T., Galeotti, M., Lunga, W., Otto, C., Sedaoui, R. & Zimmer, M. (2020) Coastal challenges: mainstreaming climate action in the G20 development agenda. (T-20 Saudi Arabia Policy Brief). <http://hdl.handle.net/20.500.11910/15458>

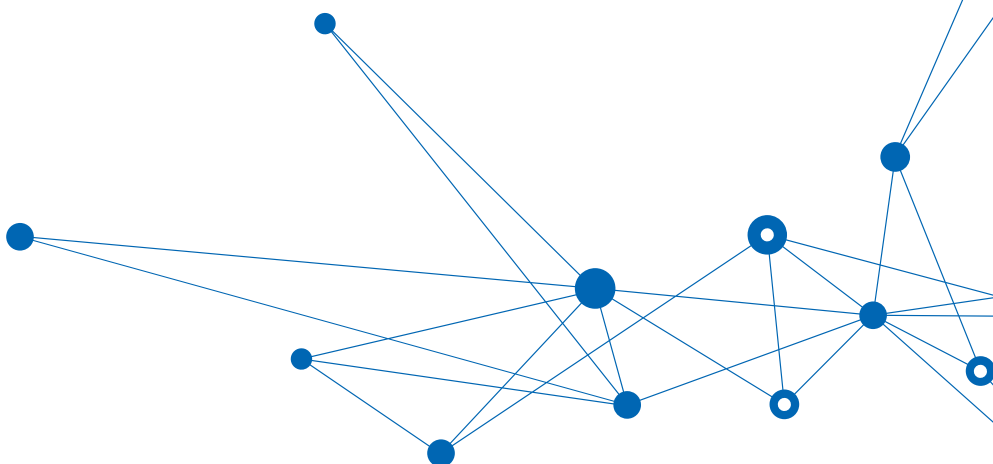
Steyn Kotze, J., Bohler-Muller, N., Houston, G. & Olorunju, N. (2020) Transformative dynamics of South African civil society. (National Development Agency (NDA) Policy Paper, December). <http://hdl.handle.net/20.500.11910/15641>



PART C

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) (PFMA), as amended. 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 the Board which is appointed by the Minister of Higher Education, Science and Innovation.

2 PORTFOLIO COMMITTEES

An HSRC delegation presented its 2019/20 Annual Report to the Portfolio Committee on Higher Education, Science and Technology on 24 November 2020.

The Standing Committee on Appropriations invited the HSRC to provide a briefing on the 2020 Appropriations Bill, on 6 May 2020.

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 Key Performance Indicator (KPI) report on 31 July 2020 (Q1), 20 October 2020(Q2), 21 January 2021 (Q3) and 20 April 2021 (Q4)
- An Annual Report in October 2020.

4 THE BOARD (ACCOUNTING AUTHORITY)

4.1 THE ROLE OF THE BOARD

The primary purpose and role of the HSRC Board are to provide effective corporate governance and oversight over the performance of the HSRC management. The Board is accountable to the Minister of 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 corporate governance functions are:

- 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 determine, monitor and evaluate the implementation of the HSRC's strategic and business plans in conjunction with the CEO, and to conclude a shareholder's agreement with the Executive Authority (the Minister) setting out mutual rights and obligations
- To exercise fiduciary oversight over the assets of the HSRC 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 PFMA; 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
- To monitor the performance and effectiveness of the HSRC, the CEO and the other employees of the HSRC on the basis of predetermined performance indicators laid down by the Board, and to receive periodic reports from the CEO on the functioning and operations of the HSRC

- To serve as the ultimate employer of all HSRC employees; in this role the Board approves the general terms and conditions of employment, as well as structures for remuneration, allowances, subsidies and other benefits in accordance with such system as may be approved by the Minister 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. The Charter sets out the terms of reference for:

- Appointment of the Board
- Responsibilities and duties of the Board
- Board authority
- Composition of the Board
- Meetings of the Board
- Appointment of the Chief Executive Officer.

It also allows for an annual Board self-evaluation, which assists the Board in, *inter alia*, reflecting on its compliance with the Charter. The Charter 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 sciences.

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

The following members served on the HSRC Board during the 2020/21 financial year:

HSRC Board members 1 April 2020 to 31 March 2021

Name	Designation	Date appointed	Date resigned	Qualifications	Area of expertise	Board Memberships	Other Committees and Task Teams	Number of meetings attended
Prof. Mvuyo Tom	Chairperson	1 November 2017	N/A	MB Ch.B (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. Three-way University partnership for leadership programme in Health 2. Tshikululu of First Rand as lead evaluator for the NECT	5
Prof. Grain Soudien	Chief Executive Officer	1 September 2015	31 March 2021 Contract Expired	PhD (Social Foundations)	Education Research Social sciences Humanities	1. National Advisory Council on Innovation (NACI) 2. Academy of Science of South Africa (ASSAf) 3. Independent Examinations Board (IEB) 4. University of the Western Cape Humanities Research Advisory Board 5. Cape Town University of Technology Centre for International Teacher Education Advisory Board	1. Department of Agriculture, Fisheries and Forestry's Education Committee 2. University of Cape Town Children's Institute Management Committee 3. International Advisory Committee of the China-Africa Institute	5
Ms Nasima Badsha	Member	1 November 2017	N/A	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	5

Name	Designation	Date appointed	Date resigned	Qualifications	Area of expertise	Board Memberships	Other Committees and Task Teams	Number of meetings attended
Prof. Mark Bussin	Member	1 November 2017	N/A	Doctor of Commerce	Human Resources Governance	1. 21 st Century 2. Gijima Ltd. 3. St Davids Marist Inanda	1. Human Resources and/or Remuneration Committees: • Auditor-General of South Africa • Gijima Ltd. • South African Football Association (SAFA) • SAFA Development Agency 2. Gijima Ltd Nominations Committee	4
Adv. Roshan Dehal	Member	1 November 2017	N/A	LLB	Law Governance	1. International Satuwa Baba Ashram Trust 2. South African Council for the Project and Construction Management Professions (SACPCMP) Board 3. International African Men for Sexual Health and Rights (AMSHer) Board 4. Msunduzi Museum Council	1. Audit and Risk Committees: • Department of Cooperative Governance • Municipal Infrastructure Support Agency • Department of Traditional Affairs 2. Ministry of Economic Development, Tourism & Environmental Affairs-KZN MEC Appeals Panel 3. SACPCMP Chairperson – Disciplinary and Code of Conduct Committee 4. AMSHeR International Funding Committee	0
Prof. Relebohile Moletsane	Member	1 November 2017	N/A	PhD (Major: Curriculum Studies; Cognate: Teacher Education)	Education Gender Research	1. Agenda Feminist Movement 2. International Journal of School Disaffection		4
Ms Precious Sibiya	Member	1 November 2017	N/A	CA(SA)	Finance Governance	1. AWCA Investment Holdings 2. Reef Tankers 3. Ithala Development Finance Corporation 4. Sentech SOC Ltd	1. Audit Committees: • Ithala Development Finance Corporation • Sentech SOC Ltd • Financial Intelligence Centre	3
Prof. Lindiwe Zungu	Member	1 November 2017	N/A	PhD (Occupational Health Nursing)	Health Research	1. Unisa 2. SA Medical Research Council 3. Texila American University 4. MINTEK		3

4.5 BOARD SUB-COMMITTEES

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

The Audit and Risk Committee (ARC)

The ARC assists the Board in exercising fiduciary oversight over the assets of the HSRC. This committee is constituted in terms of Section 51 (1)(a)(ii) of the PFMA.

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

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. As such, its mandate includes:

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

The Research Committee

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

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

- Identifying research gaps in the HSRC (e.g. humanities-centred research)
- Capacity building
- African research agenda
- Research-policy nexus
- The relevance of the organisation's research focus areas
- Strategies for improving journal article publications and research quality.

Research ethics and integrity

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

The HSRC functions in accordance with a code of research ethics approved by the Board. The establishment of a Research Ethics Committee (REC) was approved by the HSRC Council (now known as the HSRC Board) in 2002. The HSRC REC was constituted in 2003 and is the only internal institutional ethics review committee of the HSRC. International equivalent titles of the REC are 'Institutional Review Board' (IRB) or 'Independent Ethics Committee'. The REC aims to promote respect for human rights in research, as well as ethical values and research integrity within the HSRC. To this end, it reviews and monitors research proposals and practices in the HSRC from an ethical perspective, and reports 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 2021, the seventh formal annual report of the HSRC REC, covering the 2020 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, with the most recent version approved by the HSRC Board in November 2019. The REC substantially revised and expanded its Standard Operating Procedures (SOPs) during the reporting period. The most recent version, which reflects requirements set in the NHREC and among international oversight bodies, was adapted in March 2020 to include special provisions for research, ethics applications and expedited or emergency review procedures in the wake of the COVID-19 pandemic.

REC members are drawn from within and outside the HSRC. External members are selected for their expertise in required areas of work, in accordance with the categories of membership required for FWA and NHREC compliance. Internal members are identified by executive directors of research programmes, to ensure that the committee has the capacity to review proposals across the areas of research specialisations in the HSRC.

The external members of the REC, during 2020/21 were:

- Prof. Theresa Rossouw – University of Pretoria, REC 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
- Ms Nothemba Vusani – Community Representative Member.

During 2020/21, internal membership of the HSRC REC changed due to organisational restructuring. The internal committee members were affected by this restructuring since employees moved to different divisions and centres. Following the completion of the organisational realignment process, the organisation needed to nominate new REC representatives for each division, institute or centre, as per the approved Terms of Reference of the REC.

The internal members of the REC, during 2020/21 were:

- Dr Moses Sithole and Dr Il-haam Petersen – Centre for Science, Technology and Innovation Indicators
- Dr Buhle Khanyile, Dr Palesa Sekhejane and Dr Rachel Adams – Impact Centre
- Dr Vuyo Mjimba – Africa Institute of South Africa
- Dr Tim Hart and Dr Diana Sanches Betancourt – Developmental Capable and Ethical State
- Dr Admire Nyamwanza, Dr Alude Mahali 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 the:

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 – ethics approval must be applied for annually 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 2020 and 31 March 2021, 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. Applications for ethics review must be accompanied by proof of successful completion (by at least the principal investigator) of the South African module of the TRREE programme. Apart from the above-mentioned TRREE training, a formal refresher workshop was offered to REC members on 12 February 2021.

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 was appointed to serve 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
- Taking responsibility for record-keeping and reporting of possible cases of research misconduct, as may be required by the HSRC, as well as local and international funders, including the USA 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. The RIO was nevertheless able to raise awareness of research integrity through a number of initiatives. The 'Research Integrity' page on the HSRC website (i.e. visible to internal as well as external audiences) was updated. Apart from internal communication and advice offered in collaboration with the e-Research Knowledge Centre (eRKC) – notably

around responsible authorship and publication practice – the RIO also engaged with national and international counterparts through involvement in network activities, including membership of the African Research Integrity Network (ARIN).

In terms of compliance requirements, the HSRC met all the requirements as set by the Office of Research Integrity (ORI) in the United States of America for research funded by their DHHS, and an annual report covering the 2019 calendar year, dealing with research funded by the DHHS, was submitted in April 2020. No allegations of potential misconduct by an HSRC staff member were received during the year under review.

4.6 REMUNERATION OF BOARD MEMBERS

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 (No. 17 of 2008) and implemented in accordance with Treasury Regulation 20.2.2. Applicable rates are determined by the Minister of Finance and regulated by the National Treasury. The National Treasury amends these tariffs annually by means of a circular.

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

In addition to remuneration, Board members are also compensated for travel/transport and accommodation expenses where these are not prepaid by the organisation.

Board remuneration for the year under review is set out as part of the notes to the Annual Financial Statements on page 165.

Sub-committee attendance: 1 April 2020 to 31 March 2021

Committee	No. of Meetings held	No of Members	Names of Members
Audit and Risk Committee	5	6	Ms Precious Sibiya Prof. Mark Bussin Ms Nasima Badsha Mr Leon Moser Ms Eileen Wilton Ms Maleshini Naidoo
Human Resources and Remuneration Committee	4	3	Prof. Mark Bussin Prof. Mvuyo Tom Prof. Lindiwe Zungu
Research Committee	3	4	Prof. Relebohile Moletsane Ms Nasima Badsha Prof. Lindiwe Zungu Prof. Crain Soudien

5 RISK MANAGEMENT

The HSRC Board acknowledges its responsibility to ensure that the HSRC has and maintains an effective, efficient, and transparent system of risk management as mandated by the PFMA. The HSRC Board has delegated this responsibility to the CEO of the HSRC and a Risk Management Committee has been formed.

It is the HSRC's responsibility to manage and use public funds in a responsible manner. The organisation is therefore committed to identifying, addressing, and appropriately managing any risks that may affect the safety and wellbeing of employees and the public, or jeopardise the organisation's financial stability and ability to achieve its mission of advancing social sciences and humanities for public use.

The HSRC recognises risk management as an integral part of management responsibility and has therefore adopted an enterprise-wide approach to the management of risks due to the dynamics associated with risks and opportunities, which are often highly interdependent and ought not to be considered in isolation.

RISK MANAGEMENT COMMITTEE

The Risk Management Committee, with an independent external chairperson, assists with the organisation's commitment to embracing risk management as a crucial component of implementing corporate governance. The committee analysed the impact of the control measures on the HSRC's strategic risks and advised the relevant stakeholders to review and adjust the associated mitigating strategies to counteract the identified risks, particularly those pertaining to COVID-19.

Risk awareness, control and compliance are embedded in the HSRC's day-to-day business activities.

Risk management comprises four processes, identification, and definition; assessment; monitoring; and reporting. An Enterprise Risk Management Report, incorporating all matters strategic and operational relating to risk in the organisation was presented to the ARC on a quarterly basis.

The ARC brings together individuals competent in finance and ICT and, using predetermined objectives, monitors the performance of the organisation and reviews the Strategic Risk Register. The committee made a valuable contribution to HSRC management on the effectiveness of risk management in the organisation.

6 INTERNAL AUDIT AND AUDIT COMMITTEES

The purpose of internal audit activity 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 internal audits.

The Internal Audit function at the HSRC is outsourced to a service provider who 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
- Occupational Health and Safety
- Human Resource Management
- Information Technology
- Research Management
- Finance Review
- Supply Chain Management.

The Board has established an Audit and Risk Committee (ARC) 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 PFMA and complies with and operates in accordance with regulations and instructions prescribed in terms of Sections 51, 76 and 77 of the PFMA 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 internal and external audit and risk management
- Reviewing the HSRC's compliance with legal and regulatory provisions
- Assisting the Board in its responsibility of establishing policies and guidelines for the functioning of the HSRC by recommending relevant policies to the Board for approval.

The table below discloses relevant information on the Audit and Risk Committee members.

Audit and Risk Committee membership and meeting attendance 1 April 2020 to 31 March 2021

Name	Qualifications	External/Internal	Position if Internal	Appointment	Resignation	Number of Meetings Attended
Ms Precious Sibiya	CA(SA)	External Board member	N/A	15 Dec 2017	N/A	4
Prof. Mark Bussin	Doctor of Commerce	External Board member	N/A	15 Dec 2017	N/A	4
Ms Nasima Badsha	MSc (Medical Sciences)	External Board member	N/A	26 Apr 2019	N/A	5
Mr Leon Moser	CA(SA)	External Independent Specialist	N/A	10 Jan 2018	N/A	5
Ms Eileen Wilton	BCom	External Independent Specialist	N/A	3 Oct 2019	N/A	5
Ms Maleshini Naidoo	BCom Honours	External Independent Specialist	N/A	4 Mar 2020	N/A	4

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 Act (No. 4 of 2013) (POPI). This is a joint effort with other key role players within the organisation.

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 hotlines 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 relevant units for further investigation and the outcome is tabled for the attention of the Audit and Risk Committee.

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, he or she must not participate in any decision-making process that could impact their personal interests.

The member of the Board or Board sub-committee member must recuse himself or herself from deliberations and the Board/sub-committee must take a decision that furthers the interests of the Board or sub-committee. The recusal must be recorded.

There were no conflicts of interest identified during the financial year.

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

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.

11 HEALTH SAFETY AND ENVIRONMENTAL ISSUES

The team built on, and further embedded, proactive systems designed to raise awareness, and as far as is reasonably possible prevent or reduce the risk of harm occurring. In the year under review these included, amongst others, compliance with COVID-19 safety regulations:

- Safe distance keeping
- Temperature checking
- Sanitising 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 Occupational Health and Safety assessments were strengthened in the year under review.

12 AUDIT AND RISK COMMITTEE REPORT

We are pleased to present our report for the financial year ended 31 March 2021.

AUDIT COMMITTEE RESPONSIBILITY

The committee reports that it has complied with its responsibilities arising from Section 51 (1)(a)(ii) of the Public Finance Management Act 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
- Occupational Health and Safety
- Human Resource Management
- Information Technology (Cyber security review)
- Research Function (Performance Audit)
- Finance Controls Review
- Supply Chain Management Review.

Based on the current year Internal Audit rating of the Supply Chain Management Review, Information Technology (Cyber security review) and Occupational Health and Safety review were rated as requiring major improvement. All other areas were considered to require some improvement.

However, in considering the various Internal Audit reports, the management report from the Auditor-General of South Africa and discussions with both the internal and external auditors, the committee is satisfied that the internal financial controls of the HSRC provided reasonable assurance to support the basis for preparation of reliable Annual Financial Statements.

QUARTERLY REPORTING

The HSRC has reported quarterly to the National Treasury and the Minister of Higher Education, Science & 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 of 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 engaged with the Internal Audit Engagement Director.

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 with Internal Audit.

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 for resolution.

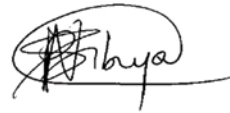
AUDITOR'S REPORT

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 matters have been adequately resolved.

IMPACT OF COVID-19

The impact of COVID-19 continued to limit research project activity and, external revenue generation and related expenditure in the HSRC. The committee is satisfied that the organisation has adequately adapted to the changing operational environment. It is envisaged that the impact of COVID-19 will remain a risk for the foreseeable future. The committee will continue to monitor the adequacy of the response plans and the mitigations thereof.



Ms Precious Sibiya

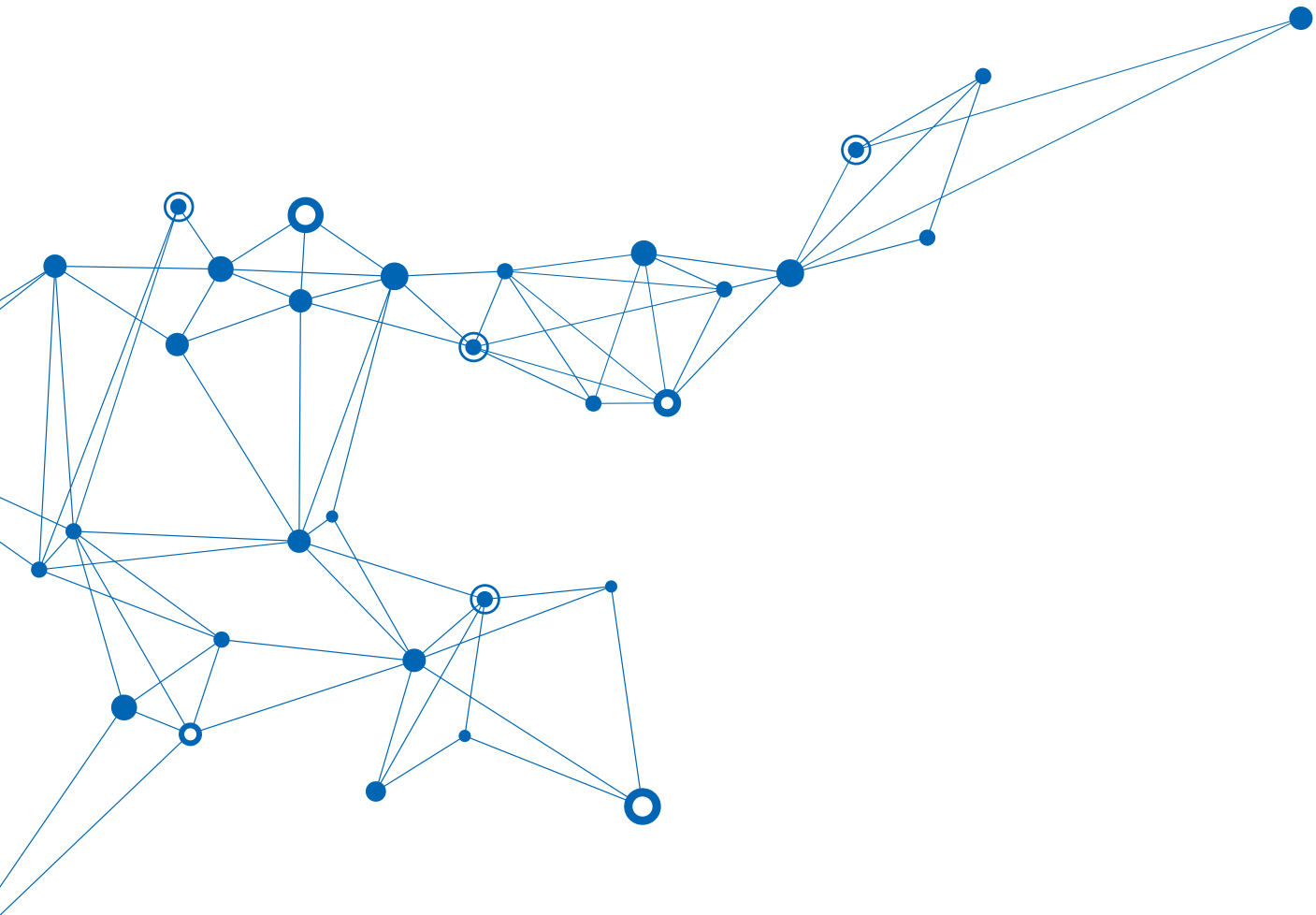
Chairperson: HSRC Audit and Risk Committee



13 B-BBEE COMPLIANCE PERFORMANCE INFORMATION

Has the 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
Determining qualification criteria for the issuing of licences, concessions or other authorisations in respect of economic activity in terms of any law?	No	The HSRC does not issue licences, concessions or other authorisations in respect of economic activity in terms of any law.
Developing and implementing a preferential procurement policy?	Yes	The HSRC Supply Chain Management Policy is updated with the preferential procurement regulations.
Determining qualification criteria for the sale of state-owned enterprises?	No	The HSRC, as a Schedule 3A national public entity in terms of the PFMA, does not enter into transactions relating to the sale of state-owned enterprises.
Developing criteria for entering into partnerships with the private sector?	No	The HSRC does not enter into partnerships with the private sector.
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.





PART D

HUMAN RESOURCE MANAGEMENT



1 INTRODUCTION

OVERVIEW OF HR MATTERS

April 2020 commenced with a national lockdown to curb the COVID-19 pandemic in South Africa. A strategic operational decision was taken after hard lockdown that all employees should continue to work from home, except those identified as essential services for HSRC purposes e.g. protection services staff, maintenance staff, HR Payroll, etc. The notion of working from home soon became the new normal and day-to-day operations mostly continued as usual, except that communications methods changed to electronic communication platforms such as Zoom.

April 2020 also presented the dawn of the newly adopted organisational structure as part of the new Strategic Plan which became effective. Many members of staff in the research areas found themselves with new reporting lines and revised research focus imperatives. Fortunately, successful redeployment of all staff members was actioned and no job losses were experienced as a result of the realignment process.

Regrettably, due to significant budget cuts, the HSRC was not able to award any salary increases during the year. This impacted on staff morale and to curb negative impacts, continuous employee support was offered by means of employee wellbeing awareness.

Due to travel constraints, attendance at national and international research conferences was limited, thus affecting skills development because learning and development

opportunities through conferences decreased. Fortunately, as 2020 progressed, more and more institutions began to host conferences virtually, thus presenting new opportunities for staff to participate in growth and development opportunities.

Since March 2019, a moratorium has been in place limiting new appointments. This moratorium continued throughout the 2020/21 reporting period. As a result of this, and COVID-19 lockdown levels which limited fieldwork due to risks, very few appointments were made during the period. Attraction of staff remains under pressure due to limited qualified resources in the marketplace and, where available, salary offerings that are below those of the open market. Key and critical members of staff worked longer hours to compensate for vacant positions thus affecting retention and at times resulting in fatigue which ultimately impacts on employee wellbeing.

On the COVID-19 front, four positive cases were reported due to fellow staff members being in contact with one another. All other cases reported were unrelated to the working environment and all recovered except one staff member, who sadly passed away.

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

The main HR focus areas for 2020/21 are depicted in the table following:

Deliverable	Indicator	Reflection
Emerging scholar transformed research capability	Number of conferences or training academies for emerging scholars	Due to the impact of COVID-19, limited conference opportunities were available.
Retention	Adopt and implement a new remuneration structure/philosophy	HR priorities planned for 2020/21 involved two major projects. The first project focused on the design and implementation of job descriptions, job evaluations, and a reward structure review. As a result of further budget cuts in July 2020 this project became non-funded. Following a special motivation to National Treasury to retain surplus funding, the HSRC was afforded funding towards this project at the end of the 2020 calendar year. The tender process took place, and a service provider was appointed. It is anticipated that the project will be completed in the new financial year.
Revised performance management model	Implemented revised performance management model	The second project for the year was a review of the current employee performance management model. An internal task team was assigned the responsibility to review and recommend a new approach. Submissions were made to the Executive, and the HSRC Board approved the new policy in March 2021. Implementation will take effect in 2021/22.
Equity targeted selection	Number of equity appointments as per Strategic Plan objectives and Employment Equity Plan	Only 14 appointments were made during the year. All were SA citizens, with nine (9) being African females, three (3) African males, and two (2) Coloured males.
HR Information System optimisation	Scanned electronic data records housed on e-personnel file	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.

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 impact of the moratorium limited the prospects of realising these appointments, thus affecting attraction opportunities and the recruitment of strategically skilled employees, as well as other appointments. Despite the limitations on baseline-funded appointments, the HSRC remains committed to appointing and developing a capable and skilled workforce.

There were no senior management appointments during the reporting period.

EMPLOYEE PERFORMANCE MANAGEMENT FRAMEWORK

The HSRC's management engages its employees annually to discuss performance and agree on individual performance objectives. Because of budgetary constraints and subsequent National Treasury instructions on the containment of the salary bill, no performance bonuses were awarded. Fourteen (14) staff members were, however, promoted following the performance outcomes process. The HSRC continued to celebrate team and individual success with special non-financial recognition awards. More than 50 employees were recipients of these awards.

EMPLOYEE WELLNESS PROGRAMMES

The 2020/21 reporting period presented huge challenges, not only to the HSRC's employees, but also to our country and the world. With the COVID-19 national level five lockdown in April 2020, all employees had to remain at home. Most were able to work from home but cleaners, some administration staff, and maintenance staff were unable to do so.

Despite the changes in working methods, the HSRC hosted a well-attended virtual wellness day on 1 September 2020 with a guest speaker, Ms Mavis Ureke.

In addition, employees were constantly reminded that they could make use of the Employee Assistance Programme (EAP), which they did. No high-risk (suicidal) cases were reported during the period. Most cases (30) were from Gauteng; Managerial referral services were utilised only in the Western Cape (2); and Gauteng had the most self-referrals (26). It is encouraging that employees could make use of the EAP as a safety net during these challenging times.

The top six (6) problem clusters during the reporting period were:

- COVID-19 (20%)
- Family (19%)
- Work related (17%)
- Mental health (14%)
- Trauma (10%)
- Legal (6%)

POLICY DEVELOPMENT

Twelve (12) policies were reviewed and approved. Two (2) of these revisions presented more significant changes, one being the performance management policy. The leave policy changes addressed, among other aspects, the reduction of leave days for pay out purposes upon termination. These changes will become effective in the 2021/22 reporting period.

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 2020/21	HSRC Performance 2020/21
Indicator 3.5	The number of incoming international exchange visits or fellowships active during the period under review	4	4

Transformed Research Capabilities (T):

Indicator Number	Key Performance Indicator	HSRC Annual Target 2020/21	HSRC Performance 2020/21
Indicator 4.1	The percentage of senior researchers (SRS/SRM+) who are black	46%	(37/80) = 46.25%
Indicator 4.3	The percentage of researchers (excluding trainees) with PhDs	75%	(95/121) = 78.51%
Indicator 4.4	The number of PhD trainees	25	30

HR CHALLENGES

The main challenges faced by the HSRC were:

- The impact of the moratorium on baseline-funded appointments
- 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
- Non-unified performance management application in the organisation
- The impact of non-payment of performance bonuses on staff morale
- 0% cost-of-living increases
- Slow Supply Chain Management (SCM) processes to secure external Learning and Development service providers
- Researcher capacity development hampered due to internal problems
- The lack of an e-learning platform to provide easily accessible learning opportunities for all at the HSRC.

FUTURE HR PLANS/GOALS

Deliverable	Indicator
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.
Retention	Adopt and implement a new remuneration structure/ philosophy
Equity targeted selection	Number of equity appointments as per Strategic Plan objectives and Employment Equity Plan
Revised performance management model	Fully implemented revised performance management model which represents a paperless process
Remuneration equity	Salary disparities addressed following the outcomes of the job description, job evaluation and reward project
HR process flow automation	The number of paper-based workflow processes successfully replaced by an automated paperless process flow



2 HUMAN RESOURCES OVERSIGHT STATISTICS

The number of employees reflected in the tables below represents the headcount of employees appointed on long-term contracts (12 months or longer) and permanent employees as at 31 March 2021.

PERSONNEL COST BY PROGRAMME

Programme	Total Expenditure for the HSRC (R'000)	Personnel Expenditure (R'000)	Personnel exp. as a % of Total Expenditure (R'000)	No. of Employees	Average Personnel Cost per Employee (R'000)
Programme 1	133 711	60 363	45.14%	201	300
Programme 2	255 740	183 602	71.79%	220	835
Total	389 452	243 964	62.64%	421	579

PERSONNEL COST BY SALARY BAND

The table below represents the annual cost-to-company (CTC) for the respective occupational levels of staff as per the active employee base as at 31 March 2021 and therefore excludes any other forms of compensation e.g. leave payments, travel reimbursements, etc.

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	23 451	10%	14	1 675
Senior Management	27 075	12%	22	1 231
Professional Qualified	87 317	38%	108	808
Skilled	63 146	28%	146	433
Semi-skilled	20 870	9%	85	246
Unskilled	6 106	3%	46	133
TOTAL	227 965	100%	421	541

PERFORMANCE REWARDS

Due to budget constraints no performance bonuses were paid during the reporting period. This was the second 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	60 363	190	0.31%	85	2
Programme 2	183 602	125	0.07%	13	10

During the year under review the skills development focus enabled technical and people management skills training. 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 offers developmental opportunities to employees in terms of national, international, and regional conferences. Because of COVID-19, only one (1) employee participated in a virtual international conference.

The HSRC offered 18 bursaries to employees as part of skills development and career enhancement.

EMPLOYMENT AND VACANCIES

The table below captures the details of all permanent employees and those on long-term contracts, i.e. 12 months or longer, including those whose salaries are recovered from project funding. The approved vacancies, however, only depict approved Parliamentary Grant-funded positions. The number of vacancies is therefore informed by a comparison between approved posts and actual number of employees and is not a direct reflection of the Parliamentary Grant-funded appointments only.

The variance between the number of employees in 2019/20 and the new approved positions in 2020/21 is partly a result of the strategic realignment process and the redefinition and categorisation of programmes.

Furthermore, the seeming discrepancy between the actual number of employees as at 31 March 2021 and the approved Parliamentary Grant-funded positions is due to employees working in Programme 2 who are project

funded. The vacancies indicated under Programme 2 are thus Parliamentary Grant-funded vacancies, whilst the actual number of employees includes project-funded employees on long-term contracts.

It should also be noted that some of the vacancies under Programme 1 are the result of a decision not to renew the posts.

The Top Management position of Group Executive: Shared Services remained vacant for the 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.

Appointment to senior management positions, especially in the research cadre, remained a challenge as these positions require very specific skill sets which are scarce and difficult to attract. It should also be noted that some of the senior management positions were not filled following further structural considerations.

Programme	2019/20 No. of Employees	2020/21 Approved Posts	2020/21 No. of Employees	2020/21 Vacancies	% of Vacancies
Programme 1	171	222	201	21	9%
Programme 2	297	235	220	15	6%

Occupation Level	2019/20 No. of Employees	2020/21 Approved Posts	2020/21 No. of Employees	2020/21 Vacancies	% of Vacancies
Top Management	14	15	14	1	7%
Senior Management	23	30	22	8	3%

The table above specifically captures the details of Top and Senior Management levels as these are the only two levels which do not have project funded staff which would impact on the vacancy factor.

EMPLOYMENT CHANGES

The HSRC has a unique business model. All recruited appointments are made on long-term contracts, some of which are fully project funded. Movements between payrolls can impact reporting which obscures reporting.

The table below clearly shows that the most frequent movements between start and end dates are at the professional, skilled, and semi-skilled levels. Staff movement at the top and senior management levels varied, with fewer movements. Terminations includes employees who were still in the employ of the HSRC at 31 March 2021, thus forming part of the employment rate at the end of the period. Adjustments were made to occupational levels where it became evident that some employees had previously been incorrectly placed.

Salary Band	Employment at Beginning of Period	Appointments	Terminations	Employment at End of the Period
Top Management	14	0	2	14
Senior Management	23	0	3	22
Professional Qualified	108	3	12	108
Skilled	147	4	29	146
Semi-skilled	130	7	13	85
Unskilled	46	0	2	46
Total	468	14	61	421

REASONS FOR STAFF LEAVING

Reason	Number	% of Total Number of Staff Leaving
Death	2	3%
Resignation	21	35%
Dismissal	2	3%
Retirement	5	8%
Ill Health	2	3%
Expiry of Contract	29	48%
Other	0	0%
Total	61	100%

The HSRC experienced sixty-one (61) exits during the reporting period including those who left at the end of March 2021.

Of the two dismissals, one (1) was due to dishonest conduct following the outcome of a forensic audit investigation, whilst the other was due to other misconduct-related transgressions. Of the twenty-nine (29) expiry of contract departures, nine (9) were project-based appointments while two (2) were resignations from project-based appointments.

Eleven (11) employees took part in exit interviews during the reporting period. Seven (7) 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	2
Final Written Warning	2
Dismissals	2

During the reporting period, two (2) HSRC employees referred cases to the CCMA. One (1) case, which has been on-going for more than a year, was part-heard in KwaZulu-Natal during the reporting period but is still pending due to a shortage of Commissioners in the KZN region.

The second matter relates to one (1) of the employees dismissed during the reporting period. This employee referred more than one case to the CCMA. The first referral was for an unfair dismissal and conciliation took place on 12 January 2021. The applicant was not present, but her Public Service Commission representative was present and there was an indication that this case might be withdrawn. However, withdrawal was not submitted and the case is still pending, awaiting a date for arbitration.

A second referral, from the same employee, was for unfair discrimination. The conciliation was held on 19 March 2021. Neither the applicant, nor a representative was present and the matter remained unresolved. Unfair discrimination cases are subject to Labour Court proceedings. It is unknown at this stage if the applicant will refer the case to the Labour Court as it seems there may be a lack of proper advice or guidance for the applicant in terms of the proper procedures in relation to dispute processes.

Other than the two (2) dismissals mentioned above, a further three (3) disciplinary hearings and one (1) probationary enquiry were held during the reporting period. In the case of one (1) of the disciplinary matters and the probationary enquiry, the outcome was dismissal, but these dismissals fall outside the reporting period.

The one (1) disciplinary matter resulted in a final written warning being issued. The third matter was still in progress at the end of the reporting period.

EQUITY TARGET AND EMPLOYMENT EQUITY STATUS

The tables below portray the equity profile of South African citizens employed by the HSRC. The HSRC also employed thirty-five (35) foreign nationals in the review period, of whom twenty-four (24) have permanent residence status.

The Employment Equity Act requires that designated employers must report on all employees, including those on short-term contracts. The tables below thus also incorporate employees on short-term contracts as at 31 March 2021.

The variances between the current numbers and the targeted numbers are mainly due to terminations (employees who left the HSRC). Short-term contract appointments and exits also impact on the targets as a further variable.

Level	Male (SA Citizens)							
	African		Coloured		Indian		White	
	Current	Target	Current	Target	Current	Target	Current	Target
Top Management	2	2	1	1	0	0	2	1
Senior Management	3	3	1	1	1	1	6	5
Professional Qualified	16	21	9	9	4	4	11	7
Skilled	37	43	7	6	3	3	0	0
Semi-skilled	46	26	1	7	1	5	5	3
Unskilled	21	20	2	2	0	0	0	0
Total	125	115	21	26	9	13	24	16

Level	Female (SA Citizens)							
	African		Coloured		Indian		White	
	Current	Target	Current	Target	Current	Target	Current	Target
Top Management	0	1	2	2	2	2	4	4
Senior Management	2	4	0	1	1	2	3	3
Professional Qualified	15	20	12	12	7	6	11	12
Skilled	66	73	18	17	4	4	10	10
Semi-skilled	66	38	7	9	2	5	2	5
Unskilled	22	21	2	2	0	0	0	0
Total	171	157	41	43	16	19	30	34

Level	Disabled Staff			
	Male		Female	
	Current	Target	Current	Target
Top Management	0	0	1	1
Senior Management	0	0	0	1
Professional Qualified	1	1	1	1
Skilled	1	1	0	0
Semi-skilled	0	0	0	0
Unskilled	0	0	0	0
Total	2	2	2	3

A Coloured female, living with a disability, was dismissed during the year. This position has not been filled and resulted in the variance between the planned target and the actual target in the Senior Management occupational level.



PART E

ANNUAL FINANCIAL STATEMENTS



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

REPORT ON THE AUDIT OF THE FINANCIAL STATEMENTS

Opinion

1. I have audited the financial statements of the Human Sciences Research Council, set out on pages 133 to 173, which comprise the statement of financial position as at 31 March 2021, the statement of financial performance, statement of changes in net assets, cash flow statement and statement of comparison of approved budget to actual results for the year then ended, as well as notes to the financial statements, including a summary of significant accounting policies.
2. In my opinion, the financial statements present fairly, in all material respects, the financial position of the Human Sciences Research Council as at 31 March 2021, 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 opinion

3. I conducted my audit in accordance with the International Standards on Auditing (ISAs). My responsibilities under those standards are further described in the auditor-general's responsibilities for the audit of the financial statements section of my report.
4. I am independent of the entity in accordance with the International Ethics Standards Board for Accountants' *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.
5. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Emphasis of matter

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

Restatement of corresponding figures

7. As disclosed in note 25 to the financial statements, the corresponding figures for 31 March 2020 were restated as a result of an error in the financial statements of the entity at, and for the year ended, 31 March 2021.

Responsibilities of the accounting authority for the financial statements

8. The accounting authority is responsible for the preparation and fair presentation of the financial statements in accordance with the Standards of GRAP and the requirements of the PFMA, and for such internal control as the accounting authority determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.
9. 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.

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

10. 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.
11. A further description of my responsibilities for the audit of the financial statements is included in the annexure to this auditor's report.

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

REPORT ON THE AUDIT OF THE ANNUAL PERFORMANCE REPORT

Introduction and scope

12. In accordance with the Public Audit Act 25 of 2004 (PAA) and the general notice issued in terms thereof, I have a responsibility to report on the usefulness and reliability of the reported performance information against predetermined objectives for selected programmes presented in the annual performance report. I performed procedures to identify material findings but not to gather evidence to express assurance.
13. My procedures address the usefulness and reliability of the reported performance information, 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.
14. I evaluated the usefulness and reliability of the reported performance information in accordance with the criteria developed from the performance management and reporting framework, as defined in the general notice, for the following selected programme presented in the entity's annual performance report for the year ended 31 March 2021:

Programme	Pages in the annual performance report
Programme 2 – research, development and innovation	34–35

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

Other matter

17. I draw attention to the matter below.

Achievement of planned targets

18. Refer to the annual performance report on pages 24 to 35 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 THE AUDIT OF COMPLIANCE WITH LEGISLATION

Introduction and scope

19. 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 specific matters in key legislation. I performed procedures to identify findings but not to gather evidence to express assurance.

Procurement and contract management

20. Some of the goods and services of a transaction value above R500 000 were procured without inviting competitive bids as required by Treasury Regulation 16A6.1 and paragraph 3.4.1 of Practice Note 8 of 2007/2008.

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

OTHER INFORMATION

21. 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 programmes presented in the annual performance report that have been specifically reported in this auditor's report.
22. My opinion on the financial statements and findings on the reported performance information and compliance with legislation do not cover the other information and I do not express an audit opinion or any form of assurance conclusion on it.
23. In connection with my audit, my responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements and the selected programmes presented in the annual performance report, or my knowledge obtained in the audit, or otherwise appears to be materially misstated.
24. If, based on the work I have performed, I conclude that there is a material misstatement in this other information, I am required to report that fact. I have nothing to report in this regard.

INTERNAL CONTROL DEFICIENCIES

25. 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 finding on compliance with legislation included in this report.
26. Management did not adequately monitor controls to ensure compliance with laws and regulations. Review and monitoring processes were not sufficient to ensure that the appropriate authority approved deviations from normal competitive bidding resulting in irregular expenditure.

Auditor-General.

Pretoria

26 August 2021



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 Human Sciences Research Council 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 bear 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 2021 that have been prepared in accordance with the 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 represent a true reflection of the HSRC's financial performance, position and changes in cash flow movements for the financial year ended 31 March 2021. The Board has delegated authority to the Chief Executive Officer (CEO) to submit the Annual Financial Statements to the Auditor-General of South Africa (AGSA) and National Treasury on its behalf.



Prof. Leickness Simbayi

Acting Chief Executive Officer

26 August 2021



Prof. Mvuyo Tom

Chairperson of the HSRC

26 August 2021

STATEMENT OF FINANCIAL POSITION

AS AT 31 MARCH 2021

		2021 March	2020* March
	Note	R'000	R'000
ASSETS			
Current assets			
Cash and cash equivalents	1	206 229	151 411
Trade and other receivables	2	72 877	22 139
Inventories	3	3 398	4 807
Pre-payments and advances – Short-term portion	4	7 041	17 295
VAT receivable	5	1 213	-
		290 758	195 652
Non-current assets			
Property, plant and equipment	6	272 807	412 877
Intangible assets	6	1 247	1 633
Pre-payments and advances – Long-term portion	4	159	-
Operating lease receivables	7	2 583	10
		276 796	414 520
Total assets		567 554	610 172
LIABILITIES			
Current liabilities			
Trade and other payables	8	57 486	45 510
VAT payable	5	-	7 584
Income received in advance	9	158 795	90 913
Post-retirement medical aid liability – Short-term portion	11	346	390
		216 627	144 397
Non-current liabilities			
Post-retirement medical aid liability	11	2 077	1 953
Operating lease accruals	7	650	412
		2 727	2 365
Total liabilities		219 354	146 762
Net assets		348 200	463 410
NET ASSETS			
Reserves		255 136	392 837
Accumulated surplus		93 064	70 573
Total equities		348 200	463 410
Total equities and liabilities		567 554	610 172

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

STATEMENT OF FINANCIAL PERFORMANCE

FOR THE PERIOD ENDED 31 MARCH 2021

		2021 March	2020 [#] March
	Note	R'000	R'000
REVENUE		411 943	433 637
Research revenue (from exchange transactions)	13.1	117 150	118 076
Parliamentary grants (from non-exchange transactions)	13.2	251 587	272 917
Other operating revenue	14	43 206	42 644
EXPENSES		(389 452)	(421 335)
Administrative expenses	15	(32 729)	(30 335)
Research cost	16	(69 706)	(69 598)
Staff cost	17	(243 964)	(277 624)
Other operating expenses	18	(32 617)	(29 984)
Finance cost	19	(542)	(1 016)
Depreciation, amortisation and impairment expense	20	(9 894)	(12 778)
Surplus/(deficit) for the year	12	22 491	12 302

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

STATEMENT OF CHANGES IN NET ASSETS

AS AT 31 MARCH 2021

	Note	Revaluation Reserve R'000	Total: Reserves R'000	Accumulated Surplus R'000	Total: Net Assets R'000
OPENING BALANCE AT 1 APRIL 2019		392 837	392 837	58 271	451 108
Adjusted surplus for the year*		-	-	12 302	12 302
Reported surplus for the year				28 283	
Prior period adjustments	25.1			(15 981)	
RESTATED OPENING BALANCE AS REPORTED 1 APRIL 2020[#]		392 837	392 837	70 573	463 410
Surplus for the year		-	-	22 491	22 491
Revaluation deficit		(137 701)	(137 701)	-	(137 701)
BALANCE AS AT 31 MARCH 2021		255 136	255 136	93 064	348 200

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

CASH FLOW STATEMENT

FOR THE PERIOD ENDED 31 MARCH 2021

	Note	2021 March R'000	2020 March R'000
CASH FLOWS FROM OPERATING ACTIVITIES			
Receipts			
Parliamentary grant		319 220	313 855
Interest received		6 489	8 316
Other receipts		320 572	312 608
Taxation (VAT receipts)		-	1 509
		646 281	636 288
Payments			
Employee costs		(251 954)	(285 642)
Suppliers		(108 965)	(114 591)
Parliamentary grant refund		(29 895)	-
Other payments		(193 467)	(127 470)
		(584 281)	(527 703)
Net cash flows from operating activities	21	62 000	108 585
CASH FLOWS FROM INVESTING ACTIVITIES			
Purchase of property, plant and equipment		(7 182)	(2 009)
Proceeds from disposal of property, plant and equipment		-	37
Net cash flows from investing activities		(7 182)	(1 972)
Net increase/(decrease) in net cash and cash equivalents		54 818	106 613
Net cash and cash equivalents at beginning of year (1 April)		151 411	44 798
Net cash and cash equivalents at end of March	1	206 229	151 411

STATEMENT OF COMPARISON OF APPROVED BUDGET TO ACTUAL RESULTS

FOR THE PERIOD ENDED 31 MARCH 2021

		2021 Actual Results R'000	2021 Approved Budget R'000	Percentage Achieved %	Variance R'000
	Budget Notes				
REVENUE		411 943	525 854	78%	(113 911)
Research revenue	29	117 150	237 234	49%	(120 084)
Parliamentary grants	29	241 413	241 413	100%	-
Parliamentary grants – Ring fenced	29	10 174	10 174	100%	-
Other operating revenue	29	43 206	37 033	117%	6 173
EXPENSES		(389 452)	(525 854)	74%	136 402
Administrative expenses	29	(32 729)	(56 133)	58%	23 404
Research cost	29	(69 706)	(146 234)	48%	76 528
Staff cost	29	(243 964)	(251 590)	97%	7 626
Other operating expenses (incl. finance cost)	29	(33 159)	(57 409)	58%	24 250
Depreciation, amortisation and impairment expense	29	(9 894)	(14 488)	68%	4 594
Surplus for the year		22 491	-	100%	22 491

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 2021

1. POLICIES APPLIED DURING THE FINANCIAL PERIOD UNDER REVIEW

1.1. Basis of preparation

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

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

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

1.2. Going concern assumption

The Annual Financial Statements have been prepared on a going concern basis.

1.3. Offsetting

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

1.4. Budget information

The Financial Statements and the budget are prepared on the same basis of accounting, which is the accrual 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 entity directly in return for services rendered or goods sold, the value of which approximates the consideration received or receivable, excluding indirect taxes, rebates and discounts. The following specific recognition criteria must also be met before revenue is recognised:

1.5.1.1. Research revenue

Revenue that resulted from the rendering of research and related services is recognised using the stage of completion determined according to the percentage of costs incurred to

date in relation to the total estimated cost of the project. The HSRC is not a profit-making organisation and as such, all projects are budgeted with no surplus anticipated to be earned at the end of each project. In instances where possible deficits are anticipated (due to project execution challenges), negotiations are promptly held with the funder where additional funding is requested. Revenue is recognised as work in progress where the probability of additional funding has 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 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 transactions 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

ACCOUNTING POLICIES

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

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, 1962 (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 surpluses that occur due to the revaluation of artwork are allocated to the revaluation reserve, except to the extent that it reverses a revaluation decrease of the same asset previously recognised in the statement of financial performance. A revaluation deficit is recognised in the statement of financial performance, except to the extent that it offsets an existing surplus on the same asset recognised in the asset revaluation reserve.

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

1.7.2. 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
- Motor vehicles
- Computer and other equipment
- Library books and manuscripts
- Artwork
- Mobile clinics (estimated kilometres)

ACCOUNTING POLICIES

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

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. De-recognition of assets

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

1.7.4. 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 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 generate 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 the carrying amount, the carrying amount of the asset is reduced to its recoverable amount. That excess is an impairment loss and it is charged to the statement of financial performance.

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

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

ACCOUNTING POLICIES

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

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. Initial 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.

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 asset useful lives as at 31 March 2021, 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 (HSRC PF) 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.

ACCOUNTING POLICIES

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

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 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 11 for a full disclosure of post-retirement benefits as at 31 March 2021.

1.11.3.2. Leave accrual

The leave pay accrual is based on actual days accrued at the rate of remuneration at the reporting date, being 31 March. Annually cost 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 at 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 comprise cash at banks and on hand, including funds invested in call accounts held with our bankers and the reserve bank. For the purpose of the cash flow statement, cash and cash equivalents consist of cash and cash equivalents as defined above, net of outstanding bank overdrafts.

1.14.4. 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.

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 the contractual relationship was entered into. The calculation of the amount to be allowed for impairment of receivables requires the use of estimates and judgements. Significant financial difficulties of the debtor and default or delinquency in payments (more than 120 days overdue) are considered indicators that the trade receivable is impaired. The allowance recognised is measured for all debtors with indications of impairment.

ACCOUNTING POLICIES

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

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 25 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 the 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 transaction as:

- (i) An expenditure in accordance with the Accounting Framework applicable to departments and government components operating on a modified cash basis of accounting; and
- (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 must be provided in the notes. Irregular expenditure must be removed from the notes when it is either (a) condoned by 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 derecognised when the receivable is settled or subsequently written off as irrecoverable.

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 Generally Recognised Accounting Practice (GRAP) were in issue but not yet effective:

- GRAP 104 – Financial instruments
- GRAP 25 – Employee benefits

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

1.20. 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. Resource 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 2021 (CONTINUED)

	2021 March R'000	2020* March R'000
1 CASH AND CASH EQUIVALENTS		
Cash at bank	17 911	58 557
Cash on hand	80	80
Short-term investments*	188 238	92 774
	206 229	151 411
* Included in short-term investments are funds received from HSRC funders for various research projects. The funds had not been utilised as at 31 March 2021.		
2 TRADE AND OTHER RECEIVABLES		
Trade receivables**	63 983	16 589
Other receivables	11 616	8 245
Less: Impairment allowance	(2 722)	(2 695)
Balance at 31 March	72 877	22 139
** 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	6 825	8 288
	6 825	8 288
2.1 Ageing of trade receivables		
Current (0–30 days)	57 290	8 550
31–60 days	3 602	2 598
61–90 days	972	732
91–120 days	1 005	1 588
+ 121 days	1 114	3 121
Balance at 31 March	63 983	16 589
2.2 Ageing of other receivables		
Current (0–30 days)	9 040	4 592
31–60 days	603	2 402
61–90 days	299	50
91–120 days	66	43
+ 121 days	1 608	1 158
Balance at 31 March	11 616	8 245
2.3 Impairment allowance: Ageing		
+ 121 days	(2 722)	(2 695)
Balance at 31 March	(2 722)	(2 695)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021

	2021 March R'000	2020* March R'000
2.4 Reconciliation of the impairment allowance		
Balance at beginning of the year	(2 695)	(1 639)
Movement for the year	(27)	(1 056)
Balance at 31 March	(2 722)	(2 695)
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 2021.		
30 days past due	4 205	5 001
60 days past due	1 270	782
90 days past due	1 071	1 631
	6 546	7 414
2.6 Trade and other receivables impaired		
As at 31 March 2021, trade and other receivables of R2 721 950 (2020: R2 695 135) were impaired and provided for. The ageing of these receivables is as follows:		
Over 120 days	2 722	2 695
	2 722	2 695
The fair value of trade receivables approximates their carrying amounts.		
3 INVENTORIES		
Finished goods**	3 398	4 807
Publications	3 398	4 807
Work in progress*	-	-
	3 398	4 807
Cost of goods sold		
AISA Publications and HSRC Press	2 105	721
	2 105	721

* No work in progress for publications was recognised as at 31 March 2021.

** Publications to the value of R345 161 (2020: R1.2 million) were written off and expensed in the statement of financial performance.

** Publications to the value of R194 561 (2020: R1.2 million) were written down in the statement of financial performance due to cost that exceeded the net realisable value.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March R'000	2020* March R'000
4 PRE-PAYMENTS AND ADVANCES		
Pre-payments and advances (short-term)*	7 041	17 295
Pre-payments and advances (long-term)**	159	-
Total	7 200	17 295
<p>* Short-term pre-payments 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.</p> <p>** The long-term portion of pre-payments is in respect of computer warranties.</p>		
5 VALUE ADDED TAX		
VAT payable	-	(7 584)
VAT receivable	1 213	-
	2021 March Carrying Amounts R'000	2020* March Carrying Amounts R'000
6 SUMMARY OF PROPERTY, PLANT AND EQUIPMENT		
Land and buildings	230 895	372 971
Leasehold improvements	7	64
Artwork	1 096	1 178
Motor vehicles	15 753	17 048
Office furniture	7 353	7 588
Equipment	9 321	6 851
Computer equipment	8 261	6 993
Medical equipment	121	184
	272 807	412 877
Summary of intangible assets		
Software	112	364
Usage rights	1 135	1 269
	1 247	1 633
Total assets	274 055	414 513

For detailed disclosures refer to Notes 6.1 to 6.2.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

6.1 Property, plant and equipment

	Total	Land and Buildings	Leasehold Improvements	Artwork	Motor Vehicles	Office Furniture	Equipment	Computer Equipment	Medical Equipment
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Reconciliation of carrying value									
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	-
Additions	7 182	-	-	-	66	-	3 852	3 264	-
Revaluation	(137 701)	(137 701)	-	-	-	-	-	-	-
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 2021 (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 buildings classification combines land, lifts, telephone systems, fixtures and buildings and comprises a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 1 November 2020 by an independent valuer, Mr M Vernooij of Rode Property Consultants, Valuers and Town Planners (Pty) Ltd, using comparable sales and 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 is still in progress, figures disclosed in the reconciliation are recognised at carrying value and shall be adjusted once the service provider has completed the exercise.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

Reconciliation of carrying value	Land and Buildings		Leasehold Improvements		Artwork		Motor Vehicles		Office Furniture		Equipment		Computer Equipment		Medical Equipment	
	Total R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Balance as at 31 March 2020																
Opening net carrying amount	423 658	377 351	3 730	1 259	17 525	7 842	7 826	253								
Gross carrying amount	519 169	404 564	13 621	2 122	20 049	13 995	25 421	2 357								
Accumulated depreciation	(95 511)	(27 213)	(9 891)	(863)	(2 524)	(6 153)	(17 595)	(2 104)								
Additions and revaluations	2 026	-	-	-	57	261	741	967								
Revaluation adjustment	-	-	-	-	-	-	-	-								
Additions	2 026	-	-	-	57	261	741	967								
Assets reclassification	-	-	-	-	-	-	-	-								
Cost	-	-	-	-	-	-	-	-								
Accumulated depreciation	-	-	-	-	-	-	-	-								
Disposals	(447)	(4)	-	(10)	-	(264)	(79)	(90)								
Cost of disposal	(4 909)	(5)	-	(19)	-	(456)	(1 079)	(3 350)								
Accumulated depreciation of disposal	4 462	1	-	9	-	192	1 000	3 260								
Depreciation	(12 360)	(4 376)	(3 666)	(71)	(534)	(251)	(1 637)	(1 756)	(69)							
Closing net carrying amount	412 877	372 971	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)							
Historical cost would have been:	78 310	77 461	-	849	-	-	-	-	-							

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (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 buildings classification combines land, lifts, telephone systems, fixtures and buildings and comprises a reception area, offices, parking area, conference centre and a cafeteria built on land as mentioned above. The valuation was conducted on 1 November 2020 by an independent valuer, Mr M Vernoooy of Rode Property Consultants, Valuers and Town Planners (Pty) Ltd, using comparable sales and 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.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

6.2 Intangible assets

Balance as at 31 March 2021

	Total	Software	Usage Rights
Reconciliation of carrying value	R'000	R'000	R'000
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)

Balance as at 31 March 2020

	Total	Software	Usage Rights
Reconciliation of carrying value	R'000	R'000	R'000
Opening net carrying amount	2 051	647	1 404
Gross carrying amount	5 172	2 509	2 663
Accumulated depreciation	(3 121)	(1 862)	(1 259)
Additions and revaluations	-	-	-
Additions processed in the year	-	-	-
Disposal	-	-	-
Cost of disposal	-	-	-
Accumulated amortisation of disposal	-	-	-
Amortisation	(418)	(283)	(135)
Amortisation	(418)	(283)	(135)
Closing net carrying amount	1 633	364	1 269
Gross carrying amount	5 172	2 509	2 663
Accumulated depreciation	(3 539)	(2 145)	(1 394)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March R'000	2020* March R'000
7 OPERATING LEASE RECEIVABLES AND ACCRUALS		
Operating lease receivables – Lessor		
Opening balance 1 April	10	5
Movement for the year	2 573	5
Balance at 31 March	2 583	10
Operating lease accruals – Lessee		
Opening balance 1 April	(412)	(409)
Movement for the year	(238)	(3)
Balance at 31 March	(650)	(412)
7.1 Operating lease arrangements as the lessee		
7.1.1 Future minimum lease payments		
Up to 12 months		
Cape Town lease	8 952	8 366
Durban lease	990	1 421
Sweetwaters lease	205	173
CSIR – Disaster Recovery Site	-	45
	10 147	10 005
One year to five years		
Cape Town lease	4 627	13 579
Durban lease	-	990
Sweetwaters lease	437	-
	5 064	14 569

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

7.1.2. Other disclosures

Cape Town lease agreements

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 (Pty) Ltd situated at Erf 21 (of 1) of Erf 2 128 Durban, Portion 16 of Erf 2 133 Durban, Portion 18 (of 1) of Erf 2 128 Durban, Rem of Portion of Erf 2 133 Durban. The lease agreement 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 contract includes an annual escalation clause of 7% (compounded). The current lease payment per month is R123 795 (VAT excluded). The HSRC does not have the option to acquire the building at the end of the lease agreement but has an option to renew the lease agreement. A tenant installation amount of R1 million was granted with R581 532 refundable should the HSRC not exercise the renewal option after the initial contract term.

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 has been 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 renewed lease payment per month is R14 782 (VAT excluded). The contract includes an annual escalation of 7.5% (compounded). The HSRC does not have the option to acquire the building.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March R'000	2020* 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	21 425	20 212
Evolution Technology Group	89	111
	21 514	20 323
One year to five years		
Department of Public Works lease	72 301	-
Evolution Technology Group	-	89
	72 301	89

7.2.2 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 situated on floor 2 to 8 at 134 Francis Baard Street, Pretoria. The lease commenced on 1 April 2020 for a five year period. The monthly rental receivable is R1 684 357 (excluding VAT). The rental amount will escalate based on the consumer price index (CPI) which is 6% from the second year to fifth year of the lease agreement. The lease agreement will be terminated on the 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 Francis Baard Street, Pretoria. The lease commenced on 1 January 2019 and expires on 31 December 2021. The monthly rental receivable is R9 942 (excluding VAT) with an escalation clause of 10% compounded annually.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March R'000	2020* March R'000
8 TRADE AND OTHER PAYABLES		
Trade creditors	2 046	676
Accruals	38 707	27 422
Leave accrual	16 733	17 412
	57 486	45 510
The HSRC considers that the carrying amount of trade and other payables approximates their fair value.		
Leave accrual		
Opening balance	17 412	17 911
Additional accrual	15 605	24 485
Amounts paid during the year	(2 641)	(4 532)
Amounts utilised during the year	(13 643)	(20 452)
Closing balance	16 733	17 412
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.		
9 INCOME RECEIVED IN ADVANCE		
Bill & Melinda Gates Foundation	830	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	7 573
Department of Science and Technology	22 322	4 572
Ford Foundation	183	183
Mannion Daniels Ltd	6 867	-
Mellon Foundation	824	1 214
Other projects/funding agencies	117 229	74 486
Solidarity Fund	7 803	-
South African National AIDS Council	713	815
USAID	444	-
World Bank	-	130
World Health Organization	308	308
	158 795	90 913

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March R'000	2020* March R'000
10 CAPITAL AND EXPENDITURE COMMITMENTS		
Approved and contracted	111 639	90 590
Total commitments	111 639	90 590
Capital expenditure	12 663	1 381
Operational expenditure	98 976	89 209
Total	111 639	90 590
Less than one year	37 184	49 399
More than one year	74 455	41 191
Total	111 639	90 590
A significant value of the commitments consist of project-related expenses (funded by various funders).		
11 POST-RETIREMENT MEDICAL BENEFITS		
11.1 Defined contribution plan		
The HSRC has the following post-retirement medical aid obligations as at 31 March 2021:		
Present value of obligation	2 507	2 343
Liability recognised in the statement of financial position	2 507	2 343
Reconciliation of defined benefit obligation (DBO)		
Present value of obligation at beginning of year	2 343	2 507
Interest cost	219	202
Current service cost	12	12
Benefits paid	(390)	(389)
(Gain)/loss from change in financial assumptions	239	11
Present value of obligation at year end	2 423	2 343
Reconciliation of current and long-term portion of liability	2 423	2 343
Current portion of liability (due within 12 months)	346	390
Non-current portion of liability	2 077	1 953

11.2 Liabilities

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

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

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

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

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

The previous assessment of the liability with regard to subsidies for continuation member healthcare costs was done on 31 March 2020. The next assessment of the liabilities needs to be performed at the next financial year end, being 31 March 2022.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

11.3 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.

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	
	2021	2020	2021	2020
Male members (Age band: 50–54)	1	1	30.2	29.2
Total/weighted average	1	1	30.2	29.2

The average age of the member was 53.6 years as at 31 March 2021, compared to 53 years as at 31 March 2020. Average monthly employer contributions were 2021: R2 167 (2020: R2 967).

Details of the continuation members (being members no longer employed by the HSRC) as at reporting date:

	Number of Members		Average Premium Principal Member per Month – R's		Average Weighted Age – Years	
	2021	2020	2021	2020	2021	2020
Total/weighted average	58	62	516	484	85.4	84.3

The table below summarises the profile of the continuation pensioners subsidised by HSRC as at 31 March 2021:

Age band: <50	0
Age band: 51–65	1
Age band: 66–75	1
Age band: >75	56

11.4 Key financial assumptions

11.4.1 Summary assumptions

The economic assumptions for the 31 March 2021 valuation are shown in the table below and compared to those used as at the previous valuation date.

	2021	2020
Discount rate	7.94	10.19
Consumer price inflation	4.27	4.85
Healthcare cost inflation rate – in service employees	5.77	6.35
Net discount rate	2.05	3.61

11.4.1.1 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 7.94% per annum has been used. The corresponding index-linked yield at this term is 3.04%. 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 2021.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

11.4.1.2 Healthcare cost inflation

A healthcare cost inflation rate of 5.77% was assumed. This is 1.5% in excess of the expected inflation over the expected term of the liability, at 4.27%. However it is the relative levels of the discount rate and healthcare inflation to one another that are important rather than the nominal values. We have assumed a net discount factor of 2.05% per annum.

11.4.1.3 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 Members
Mortality	SA85-90 (Normal) -1	PA (90) -1 plus 1% future

11.4.2 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 Members
Age difference between spouses		Three years

11.4.3 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.

11.4.4 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 a NRR on retirement of 75%. A salary inflation assumption is used to adjust the salary from the current date to the date of retirement. This assumption should be considered in conjunction with the assumed CPI rate.

11.4.5 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 are noted in the table below:

Age	Males	Female
50	3.00%	3.00%
55+	0.00%	0.00%

11.5 Summary of valuation methods

11.5.1 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.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

11.5.2 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.

11.6 Analysis of past year and future projected liability

	Year Ending 31/03/2020	Year Ending 31/03/2021	Year Ending 31/03/2022
	R'000	R'000	R'000
Opening accrued liability	2 507	2 343	2 423
HSRC liability			
Current service cost	12	12	15
Interest cost	202	219	179
Actuarial loss/(gain)	11	239	-
Total annual expense	225	470	194
Contributions (benefits paid)	(389)	(390)	(346)
Closing accrued liability	2 343	2 423	2 271
		2021 March	2020[#] March
		R'000	R'000
12 ANALYSIS OF SURPLUS/DEFICIT			
Surplus/(deficit) recorded		22 491	12 302

The surplus incurred in the current and prior financial years was primarily due to a significant decrease in the staff costs in the organisation resulting from the moratorium placed on appointments applicable in both financial years. Furthermore, decreases in expenditure occurred due to the restrictions and protocols brought 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 R63.691 million. A submission was made to National Treasury for R45.518 million in 2020 and was approved for retention on 15 November 2020.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March R'000	2020* March R'000
13 REVENUE FROM EXCHANGE AND NON-EXCHANGE TRANSACTIONS		
13.1 Research revenue (from exchange transactions)		
International funding agencies	59 492	49 198
National and provincial funding agencies	35 687	60 068
Private sector	2 996	5 623
Universities	18 975	3 185
	117 150	118 076
13.2 Parliamentary grants (from non-exchange transactions)		
Parliamentary grants received	251 587	272 917
	251 587	272 917
14 OTHER OPERATING REVENUE		
Insurance claims: Recoveries	466	651
Interest received	6 511	8 684
Sale of assets	-	37
Publication sales	1 683	1 655
Rental income and recoveries	26 086	29 185
Royalties received	193	156
Skills development levy	583	541
Sundry income	581	352
Building and maintenance income	7 103	1 383
	43 206	42 644
15 ADMINISTRATIVE EXPENSES		
Annual license fees, library manuscripts and subscriptions	(8 580)	(6 990)
Audit fees	(3 455)	(4 710)
- External audit	(2 571)	(2 710)
- Internal audit	(611)	(1 284)
- Other audits	(273)	(716)
Bank costs, stamp duty, excise duties	(249)	(292)
Outsourced services and systems support	(2 810)	(2 318)
Consumable goods	(3 378)	460
Insurance	(1 848)	(1 842)
Net foreign exchange loss	(62)	411
Postal, telecom and delivery fees	(5 850)	(6 501)
Printing and photocopying	(3 177)	(4 167)
Publicity functions and conferences	(467)	(141)
Sundry operating expenses	(2 764)	(2 876)
Travel and subsistence	(89)	(1 369)
	(32 729)	(30 335)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March R'000	2020* March R'000
16 RESEARCH COST		
Direct labour expense	(9 631)	(16 734)
Direct research cost	(60 075)	(52 864)
	(69 706)	(69 598)
17 STAFF COST		
Wages and salaries*	(224 693)	(257 280)
Defined contribution plan	(18 703)	(19 268)
Social contributions		
- Official unions (employee contributions)	(267)	(302)
Post-retirement medical benefit		
- Employer contributions	(221)	(258)
- Increase in liability	(80)	164
Termination benefits	-	(680)
Total	(243 964)	(277 624)
Number of staff as at 31 March 2021		
Permanent staff	421	468
Short-term staff (12 months or less)***	32	33
Total	453	501
Notes:		
* 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 employed as at 31 March 2021.		
18 OTHER OPERATING EXPENSES		
Bad debts written off	(161)	(2 155)
Bad debts provision	(32)	2 018
Legal fees	(33)	(21)
Inventory written off	(345)	(1 190)
Inventory written down	(195)	(1 185)
Loss on disposal of assets	(46)	(447)
Office refreshments and client relations	(71)	(418)
Rentals, maintenance, repairs and running costs	(30 483)	(24 033)
- Other maintenance repairs and running costs	(5 974)	(4 719)
- Property taxes and municipal rates	(9 666)	(8 378)
- Lease rentals (Regional Offices)	(14 843)	(10 936)
Expensed warranties	(10)	(47)
Staff recruitment costs	(80)	(149)
Staff training	(314)	(1 423)
Study bursaries	(608)	(923)
Actuarial (loss)/gain	(239)	(11)
	(32 617)	(29 984)

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March R'000	2020* March R'000
19 FINANCE COST		
Fair valuation cost of receivables and payables	(542)	(1 016)
	(542)	(1 016)
20 DEPRECIATION AND AMORTISATION		
Depreciation on property, plant and equipment	(9 508)	(12 360)
Amortisation on intangible assets	(386)	(418)
	(9 894)	(12 778)
21 RECONCILIATION OF NET CASH FLOWS FROM OPERATING ACTIVITIES TO SURPLUS FOR THE YEAR		
Surplus/deficit for the financial year end	22 491	12 302
Adjustment for:		
Depreciation and amortisation	9 894	12 778
Bad debts provision (decrease)/increase movement	27	1 056
Net (gain)/loss on disposal of property, plant and equipment	46	447
Net foreign exchange (gain)/loss	62	(411)
Inventory written off	345	1 190
Inventory written down	195	1 185
Post-retirement benefit movement	80	(554)
Movement in lease accruals	238	3
Movement in lease commitments	(2 573)	(5)
Other non-cash adjustments	(628)	2 885
Items disclosed separately		
Receipts of sales of assets	-	37
Operating surplus before working capital changes	30 177	30 913
Increase/(decrease) in VAT payable	(7 584)	1 720
(Increase)/decrease in inventories	1 409	44
(Increase)/decrease in VAT receivable	(1 213)	-
(Increase)/decrease in trade receivables and other receivables	(50 738)	36 197
(Increase)/decrease in pre-payments	10 095	(10 208)
Increase/(decrease) in income received in advance	67 882	54 749
Increase/(decrease) in provisions	-	(5 578)
Increase/(decrease) in trade and other payables	11 972	748
Cash utilised by operations	62 000	108 585

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March	2020* March
	R'000	R'000
22 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)	-
National Treasury surplus**	(63 691)	(45 518)
	(63 803)	(45 518)

* 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. The court case is due to take place in the next financial year and the amount claimed is R111 509.

** 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 R63.691 million in 2021. A submission was made to National Treasury for R45.518 million in 2020 and was approved for retention on 15 November 2020.

23 EVENTS AFTER THE REPORTING DATE

Non-adjusting event: The HSRC Board was approached by the Minister of Higher Education, Science and Innovation in late 2020 with a formal request for the HSRC to take over the management and monitoring and evaluation of the DSI-NRF Internship Programme from the National Research Foundation (NRF) commencing in the 2021/22 financial year. The programme places 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 as part of a work-integrated learning programme aimed to enhance graduates access to the labour market within the SET and HSS sectors. The programme referred to as the DSI-HSRC Internship Programme will be transferred to the HSRC as from 1 June 2021.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

24 RELATED PARTIES

The HSRC is a Schedule 3A national public entity in terms of the Public Finance Management Act (Act No. 1 of 1999, as amended) and therefore falls within the national sphere of government. As a consequence the HSRC has a significant number of related parties, being entities that fall within the national sphere of government. Such transactions are for the research 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 and Innovation (DSI). Amounts disclosed below as related parties relate to the parent department, Department of Science Innovation (DSI) and entities within the DSI.

24.1 Transactions with related entities

* Amount disclosed includes MTEF allocation received from DSI

	Services Rendered						Services Received					
	Period Ending 31 March 2021			Period Ending 31 March 2020			Period Ending 31 March 2021			Period Ending 31 March 2020		
	Transactions	Balance	Bad Debts as at 31 March 2021	Transactions	Balance	Bad Debts as at 31 March 2020	Transactions	Balance	Transactions	Balance	Transactions	Balance
	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Related party												
Department of Science and Innovation – Parliamentary grant*	251 584	-	-	272 917	-	-	-	-	-	-	-	-
Department of Science and Innovation – Building and maintenance	7 103	470	-	8 956	7 573	-	-	-	-	-	-	-
Department of Science and Innovation	15 145	11 456	1 796	931	930	-	-	-	-	-	-	-
CSIR (Council for Scientific and Industrial Research)	-	-	-	-	-	-	368	-	352	9	-	-
CCMA	-	-	-	386	386	-	-	-	-	-	-	-
Department of Agriculture, Land Reform and Rural Development	35 857	35 857	-	-	-	-	-	-	-	-	-	-
Department of Basic Education	446	446	-	-	-	-	-	-	-	-	-	-
Department of Public Enterprises	-	-	-	-	142	142	-	-	-	-	-	-
Department of Public Service and Administration	272	43	43	43	43	-	-	-	-	-	-	-
Department of Social Development	2 009	2 009	-	5	-	1	-	-	-	-	-	-
Department: Planning, Monitoring and Evaluation	272	3	3	1 081	866	218	-	-	-	-	-	-
Department of Defence	-	-	-	999	499	-	-	-	-	-	-	-
Department of Public Works – Pretoria	19 370	1 924	-	2 109	1 924	-	-	-	-	-	-	-

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	Services Rendered						Services Received					
	Period Ending 31 March 2021			Period Ending 31 March 2020			Period Ending 31 March 2021			Period Ending 31 March 2020		
	Transactions	Balance	Bad Debts as at 31 March 2021 R'000	Transactions	Balance	Bad Debts as at 31 March 2020 R'000	Transactions	Balance	Bad Debts as at 31 March 2021 R'000	Transactions	Balance	Bad Debts as at 31 March 2020 R'000
Department of Military Veterans	205	205	-	-	-	-	-	-	-	-	-	-
Gauteng Department of Education – Jhb	-	-	-	1 119	1 119	-	-	-	-	-	-	-
Medical Research Council	94	94	-	39	39	-	-	-	-	-	-	-
MerSETA	-	-	-	500	500	500	-	-	-	-	-	-
SAMRC	94	3	3	5	5	3	426	2	-	-	-	-
South African Council for Natural Scientific Professions	-	-	-	250	150	-	-	-	-	-	-	-
The Parliament of the Republic of South Africa	-	-	-	-	-	-	-	-	31	-	-	-
The Presidency	-	-	-	354	354	-	-	-	-	-	-	-
National Advisory Council on Innovation	-	-	-	132	132	-	-	-	-	-	-	-
National Development Agency	172	172	-	399	399	59	-	-	-	-	-	-
National Gambling Board	-	-	-	1 094	1 094	-	-	-	-	-	-	-
National Health Laboratory Service	-	-	-	-	-	-	1 162	-	1 047	-	-	-
National Research Foundation	650	(93)	4	896	13	-	-	-	-	-	-	-
Office of The Premier – Jhb	499	665	332	665	665	166	-	-	-	-	-	-
OR Tambo District Municipality	-	-	-	318	318	-	-	-	-	-	-	-
Independent Electoral Commission (IEC)	832	832	-	-	-	-	-	-	-	-	-	-
AGSA	-	-	-	-	-	-	3 015	190	3 061	-	-	-
City of Tshwane	-	-	-	-	-	-	9 914	-	7 282	-	-	-
Government Printers	-	-	-	-	-	-	2	-	5	-	-	-
Telkom	-	-	-	-	-	-	1 151	-	1 877	-	-	-
SITA	-	-	-	-	-	-	-	-	245	-	-	-
SALGA	75	75	-	250	250	-	-	-	-	-	-	-
Sekukhune District Municipality	-	-	-	50	50	50	-	-	-	-	-	-
Sub Total	334 679	54 161	2 181	293 498	17 451	1 139	16 038	192	13 900	9		

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

24.2 Fees paid to board members and executive management salaries

	Note	Period Ending 31 March 2021							Period Ending 31 March 2020
		Post-employment Benefits and Termination Benefits		Performance Bonus		Other Allowances		Total	
		Gross Remuneration	R	R	R	R	R	R	Total
Mrs N Badsha (Board member, appointed 1 November 2017)		52 488	-	-	-	-	-	52 488	51 273
Prof. M Tom (Chairperson, appointed 1 November 2017)		28 766	-	-	-	-	-	28 766	41 840
Ms P Sibiya (Audit and Risk Committee Chairperson, appointed 1 November 2017)		32 593	-	-	-	-	-	32 593	32 584
Prof. RT Moletsane (Board member and Chairperson of the Research Committee)		22 124	-	-	-	-	-	22 124	33 788
Adv. Dehal (1 November 2017)		-	-	-	-	-	-	-	3 888
Prof. MHR Bussin (Board member, also serves on the Audit and Risk Committee and the HR Committee)		33 504	-	-	-	-	-	33 504	36 327
Prof. L Zungu (Board member, appointed 1 November 2017)		19 440	-	-	-	-	-	19 440	31 926
Prof. C Soudien (ex officio as CEO, term ended 31 March 2021)		2 705 067	388 661	-	-	-	427 118	3 520 846	3 242 703
Executive management		11 377 574	-	-	-	-	475 598	11 853 172	17 161 031
		14 271 556	388 661	-	-	-	902 716	15 562 933	20 635 360

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

24.3 The following is a list of executive management

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 and Innovation Indicators (CeSTII)	01/04/2020
Dr H van Rooyen	Group Executive: Impact Centre	01/01/2016
Prof. S Swartz	Division 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	Division Executive: Human and Social Capabilities (HSC)	01/06/2013
Prof. C Hendricks	Executive Head: Africa Institute of South Africa (AISA)	01/07/2018
Ms JM Rousseau CA(SA)	Chief Financial Officer: CFO	01/10/2019

Period ending 31 March 2020

Name	Position	Date/(Period) of Appointment
Prof. C Soudien	Chief Executive Officer (CEO)	01/09/2015
Prof. LC Simbayi	Deputy Chief Executive Officer: Research	01/01/2016
Dr BST Masilela	Executive Director: RIA	01/01/2016
Ms C Abdoll CA(SA)	Group Executive: Shared Services(Designated CFO)	01/09/2017–31/08/2019
Dr H van Rooyen	Executive Director: Human and Social Development (HSD)	01/01/2016
Prof. S Swartz	Executive Director: Education and Skills Development (ESD)	01/06/2018
Dr N Bohler-Muller	Executive Director: Democracy, Governance and Service Delivery (DGSD)	18/11/2015
Dr K Zuma	Executive Director: HIV/AIDS, TB and STI (HAST)	01/06/2013
Prof. C Hendricks	Executive Director: Africa Institute of South Africa (AISA)	01/07/2018
Prof. I Turok	Executive Director: Economic Performance and Development (EPD)	01/04/2016
Ms JM Rousseau CA(SA)	Chief Financial Officer: CFO	01/10/2019

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

25 PRIOR PERIOD ERRORS – ADJUSTMENTS

The following prior period errors have been identified and the specific effect on the Annual Financial Statements have been set out in Note 25.1. 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.

25.1 Misstatement of revenue and expenditure items

Description	Adjustment	
	Key	R'000
Increase in administrative expenses	(i)	(160)
Increase in income received in advance	(ii)	7 753
Increase in other operating expenses	(i)	(298)
Decrease in other operating revenue	(ii)	(1 585)
Increase in research cost	(i)	(855)
Decrease in research revenue (from exchange transactions)	(ii)	(12 965)
Increase in staff cost	(ii)	(118)
Increase in trade and other payables	(i)	(1 422)
Decrease in trade and other receivables	(ii)	(6 802)
Total adjustment to the prior year surplus		(15 981)

(i) Adjustment as a result of additional expenses received in 2020/21 pertaining to the 2019/20 financial year and which had not been accrued as well as expenses not accounted for correctly as at 31 March 2020.

(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.

25.2 Reclassification

Description	Adjustment	
		R'000
Increase in research cost		(22 055)
Decrease in administrative expenses		22 055
Adjustment		-

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March	2020* March
	R'000	R'000
26 IRREGULAR EXPENDITURE		
Opening balance	1 290	1 099
Irregular expenditure – current year	3 108	191
Irregular expenditure – identified in the current year but relates to the prior year	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	17 233	1 290

Analysis of irregular expenditure

Irregular expenditure incurred in the current financial year relates to procurement in contravention or not in accordance with applicable legislation regarding:

Irregular expenditure to the amount of R6 123 was incurred due to non-compliance with National Treasury Instruction Note 3 of 2016/17 relating to deviations that exceeds 15% of the original contract not being referred to National Treasury for approval.

Five donor funded sub-contractor appointments to the amount of R3.064 million were awarded in the current financial 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 2016/17.

Twelve donor funded sub-contractor appointments to the amount of R12.835 million were awarded in 2019/20, 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 2016/17.

Both the current and prior period irregular expenditure identified, are due to non-compliance under paragraph 8.5 of SCM Instruction Note 3 of 2016/17 originates 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

Alleged transactions related to irregular expenditure was identified and is in the process of confirmation.

Further determination to identify facts and amounts related to the transactions for the periods 2016/17 to 2018/19 will be concluded by management and reported accordingly.

All amounts are under determination, with appropriate disciplinary steps to be taken.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

	2021 March	2020* March
	R'000	R'000
27 FRUITLESS AND WASTEFUL EXPENDITURE		
Opening balance	417	347
Fruitless and wasteful expenditure – current year	27	79
Fruitless and wasteful expenditure – identified in the current year but relates to the prior year	2	-
Fruitless and wasteful expenditure – written off	-	-
Fruitless and wasteful expenditure – recovered	(2)	(9)
Fruitless and wasteful expenditure closing balance	444	417

Instances of fruitless and wasteful expenditure recorded for the year

The fruitless and wasteful expenditure primarily relates to missed flights and staff members traffic fines that were incurred and should have been avoided. The money shall or will be in the process of being recovered from the staff members concerned.

28 EXPENDITURE RESULTING FROM COVID-19 PANDEMIC

COVID-19 related expenditure during the financial year amounts to R17.5 million as a result of the President of the Republic of South Africa declaring a state of disaster on 15 March 2020. Included in the total figure is an amount of R16.3 million paid to Epicentre Aids Risk Management (Pty) Ltd for the purposes of collecting data for a COVID-19 survey.

29 STATEMENT OF COMPARISON OF APPROVED BUDGET TO ACTUAL RESULTS (EXPLANATORY NOTES)

29.1 Research revenue

Research revenue attained was below expectations. This was largely due to the absence of external revenue generation 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 multi-year big projects which will be undertaken in the 2021/22 financial year. These projects augment baseline funding received from government which has and continues to be characterised by budget cuts.

29.2 Parliamentary grants

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), the HSRC's Strategy and Annual Performance Plan (2020/21 financial year), as presented to the Minister and Parliament. Two budget cuts including a 10% COVID-19 related budget cut were implemented by DSI in response to a re-evaluation of budgetary priorities in response to the global pandemic.

29.3 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's Act, 2008 (Act No. 17 of 2008), the HSRC's Strategy and Annual Performance Plan (2020/21 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 2020/21 financial year.

29.4 Other operating revenue

Other operating revenue is mainly generated from the rental agreement with the Department of Public Works, publication sales, as well as interest earned on investments. The target was 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 cuts implemented by the South African Reserve 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 SARB and will reassess its investment policy and strategies accordingly.

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

29.5 Administrative expenses

Administration costs mainly include audit fees, subscriptions and manuscripts, insurance related costs, printing and photocopying expenses as well as postal and delivery costs. Spending on this line item was below forecasted expenditure largely due to cost containment measures implemented at the beginning of the financial year and due to savings realised from the COVID-19 pandemic. This resulted in targeted cost saving initiatives to compensate for the reduction of parliamentary grant funding in 2020/21.

29.6 Research cost

Research costs were below the budgeted amount largely due to less research activities being undertaken in the 2020/21 financial year compared to the prior year. A number of projects have been finalised and earmarked for the new financial year (2021/22). The effect of the COVID-19 pandemic on research activity has been severe, researchers continue to find alternative ways to complete project milestones.

29.7 Staff cost

Staff cost spending was below the approved budget due to the moratorium on staff appointments in accordance with National Treasury's salary capping instruction.

29.8 Other operating expenses

Other operating expenditure was below the budgeted amount for the financial year due to stringent cost containment measures which continue to be implemented to drive the sustainability of the organisation in the long-term, channelling more funding towards core research activities. The decrease in the prime interest rates from the SARB significantly impacted the valuation of debtors and creditors during the financial year and resulted in a significant decrease in finance costs.

29.9 Depreciation, amortisation and impairment expense

Depreciation expenses were below budgeted amounts largely due to reduced use of assets during the financial year as staff continued to work remotely.

30 FINANCIAL INSTRUMENTS

30.1 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 2021, the carrying amounts and fair values for financial assets and liabilities were as follows:

	Note	2021 March		2020 March	
		Carrying Amount R'000	Fair Value R'000	Carrying Amount R'000	Fair Value R'000
Financial assets					
Cash and cash equivalents	1	206 229	206 229	151 411	151 411
Trade and other receivables	2	72 877	72 877	22 139	22 139
		279 106	279 106	173 550	173 550
Financial liabilities					
Measured at amortised cost					
Trade and other payables	8	40 755	40 755	28 102	28 102
		40 755	40 755	28 102	28 102

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

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

30.2 Interest rate risk

The HSRC manages its interest rate risk by managing surplus cash funds using short- to medium-term fixed deposits to ensure that exposure to unfavourable changes in interest rates are minimised. The interest rate cuts implemented by the SARB during the 2020/21 financial year had a minimal impact on the amount of interest earned from surplus funds. 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 is minimal. The HSRC's exposure to interest rate risk and the effective rates applied to the different classes of financial instruments is as follows:

			2021 March			2020 March		
			Less than 12 months	1–5 years	Total	Less than 12 months	1–5 years	Total
			R'000	R'000	R'000	R'000	R'000	R'000
Note	Effective Interest Rate (Variable Rates)							
Financial assets								
Current accounts	1	2.00%	17 991	-	17 991	58 637	-	58 637
Short-term investments accounts	1	2.90%	188 238	-	188 238	92 775	-	92 775
Trade and other receivables	2	0.00%	72 877	-	72 877	22 139	-	22 139
Total financial assets			278 106	-	279 106	173 551	-	173 551
Financial liabilities								
Measured at amortised cost								
Trade and other payables	8	0.00%	40 755	-	40 755	28 102	-	28 102
Total financial liabilities			40 755	-	40 755	28 102	-	28 102
Net financial assets			238 352	-	238 352	145 449	-	145 449

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

30.3 Credit risk

Financial assets, which potentially subject the HSRC to the risk of non-performance by counterparties 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 counterparty. Trade receivables are presented net of the allowance for doubtful debts. The HSRC manages/limits its treasury counterparty exposure by only dealing with well-established financial institutions approved by National Treasury through the approval of their investment policy in terms of Treasury Regulations. In addition, the credit risk exposure emanating from trade receivables is not considered significant as trade is largely conducted with reputable research partners who have had and maintained good relationships with the HSRC in the past. Thus the HSRC's significant concentration risk is with its research partners. The analysis of ageing of receivables that are 30 days and older is as follows:

	Note	2021 March			2020 March		
		Current R'000	30 Days and Above R'000	Total R'000	Current R'000	30 Days and Above R'000	Total R'000
Trade and other receivables	2	66 330	6 547	72 878	13 141	8 997	22 138
		66 330	6 547	72 878	13 141	8 997	22 138
Percentage analysis		91%	9%	100%	59%	41%	100%

30.4 Liquidity risk

The HSRC manages liquidity risk through proper management of working capital, capital expenditure, actual versus forecast cash flows and its cash management policy. In addition adequate reserves and liquid resources are maintained. Budgets are prepared annually and analysed monthly against performance to ensure liquidity risks are 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 contractual cash flow maturities of its financial liabilities:

	Note	2021 March			2020 March		
		Current R'000	Due within 30 R'000	Due after 30 days R'000	Current R'000	Due within 30 R'000	Due after 30 days R'000
Trade and other payables	8	40 755	40 755	-	28 102	28 102	-
		40 755	40 755	-	28 102	28 102	-

NOTES TO THE ANNUAL FINANCIAL STATEMENTS

FOR THE PERIOD ENDED 31 MARCH 2021 (CONTINUED)

30.5 Market risk

Market risk is the risk that changes in market prices, such as foreign exchange rates, interest rate and price risk, which affect the entity's 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's 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 the South African governmental and private research authorities.

30.6 Fair values

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

30.6.1 Cash and cash equivalents

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

30.6.2 Other receivables

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

31 DISCLOSURE OF COSTS RELATED TO CONFERENCES AS REQUIRED BY NATIONAL TREASURY INSTRUCTION NOTE 2 OF 2016/17, PARAGRAPH 8

Date of Conference	Name of the Conference	Number of Participants	Purpose of the Conference or Event	Division or Business Unit	Description of the Contracting Procedures	Classification of the Expenditure	Amount R
23–26 November 2020	DALRRD Project Workshop	30	DALRRD Project Workshop	AISA	SCM process	Project funded expenditure	41 243
29–31 March 2021	Annual Africa Young Graduate and Scholars Conference (AYGS)	40	Re-imagining Leadership and Gender for Sustainable Development	AISA	SCM process	Expenditure	938 981
08–14 November 2020	ICSA-SA Scientific Events	50	ICSA-SA Scientific Events	HSD	SCM process	Expenditure	380 700
27 February 2021	Community Seminar	30	Community Seminar	DCES	SCM process	Expenditure	11 880
16 March 2021	Community engagement workshop	10	Training workshop of NCRST	DCES	SCM process	Expenditure	5 251
9–12 November 2020	Writing workshop – NRF Wellbeing Project	6	Writing workshop – NRF Wellbeing Project	DCES	SCM process	Baseline funded expenditure	20 869
Total costs incurred on conferences related costs for 2020/21 financial year							1 398 924

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