

# Review

Volume 16 . Number 1 . January - March 2018

**HSRC flagship projects:**  
Improving the lives of South Africans

Multidimensional wellbeing: Policies that improve and what is missing 4

City-region economies: A new research initiative 6

Creating a transformative governance index 8

**THE FLAME OF DEMOCRACY**

10 DECEMBER 2011

Celebrating the 15<sup>th</sup> anniversary of the signing of the South African Constitution

# Contents

NEWS ROUNDUP	1
STUDY LOOKS AT HIV PREVALENCE IN TRANSGENDER WOMEN FOR THE FIRST TIME	1
HSRC PART OF FIRST NATIONAL TUBERCULOSIS PREVALENCE SURVEY	1
PARTICIPATING IN THINK20	2
SUPPORTING THE STRENGTHENING OF RURAL YOUTH ECONOMIC PARTICIPATION	3
MULTIDIMENSIONAL WELLBEING: WHAT IT IS, AND HOW IT RELATES TO REDUCING POVERTY AND INEQUALITY	4
CITY-REGION ECONOMICS: A NEW RESEARCH INITIATIVE	6
CREATING A TRANSFORMATIVE GOVERNANCE INDEX: MEASURING PROGRESS IN THE ATTAINMENT OF SOCIAL JUSTICE	8
INTIMATE PARTNER VIOLENCE IN KHAYELITSHA SCHOOLS: A CULTURE OF SILENCE	10
ARE SOUTH AFRICANS XENOPHOBIC? MIGRATION POLICIES NEED TO SUPPORT INTEGRATION	13
ADULT EDUCATION AND TRAINING: CHALLENGES IN LOCAL MUNICIPALITIES	15
ECO-INNOVATION IN SOUTH AFRICA: POLICY NEEDED	17
BAMBOO FOR GREEN DEVELOPMENT IN SOUTH AFRICA?	20
CORRUPTION HURTS LOCAL INNOVATION	23
INNOVATION IN LOCAL MUNICIPALITIES: TOOL SHOWS OFFICIALS LACK CAPABILITY	24
ON THE AGENDA: INNOVATION, DEVELOPMENT AND TRANSFORMATIVE CHANGE	26
HSRC PRESS	28

## EDITOR

Antoinette Oosthuizen

## CORRESPONDENCE

For feedback, questions or copies of reports, email  
a.oosthuizen@hsrc.ac.za. An electronic version is  
available on [www.hsrc.ac.za](http://www.hsrc.ac.za)

## PRETORIA

Private Bag X41, Pretoria, South Africa 0001  
Tel: +27 12 302 2000, Fax: +27 12 302 2001

## CAPETOWN

Private Bag X9182, Cape Town, South Africa 8000  
Tel: +27 21 466 8000 Fax: +27 466 8001

## DURBAN

Private Bag X07, Dalbridge, South Africa 4014  
Tel: +27 31 242 5400 Fax: +27 242 5401

## PRODUCTION

The *HSRC Review* is produced by the HSRC's  
science communication unit. Design and layout by  
Iize Visagie

## COVER PHOTO

Adziwili Nematandani; Flame of Democracy;  
Constitution Hill

# Editor's note

The political events of the last few months have provided renewed hope that South Africans are still strong enough to steer the country toward governance that they believe will improve their lives.

In addition to issues of governance, it is also the mandate of the HSRC to focus its social science and humanities research across the African continent on areas that are crucial to development that will boost socio-economic conditions and wellness in communities.

In this issue, we feature three articles about HSRC flagship projects aiming to improve the wellness of South Africans, to strengthen cities and to help realise the transformative impact of our constitutional rights.

Profs Sharlene Swartz and Heidi Van Rooyen report on an HSRC project that looked at how wellbeing is spoken about and measured in South Africa. They looked at which policies and interventions have aimed to improve people's lives - especially in contexts of poverty and inequality. The researchers found that the vast majority of methods used to measure wellbeing are quantitative and that researchers treat 'wellness' as a private phenomenon - largely ignoring the social, relational and collective aspects of wellbeing.

Previously, we reported how migration to cities uplifts people from rural areas. In his article about strengthening city-region economies, Prof Ivan Turok writes that we need to ask probing questions about whether our cities have sufficient powers, technical capabilities and leadership to become more productive, inclusive and resilient. A key objective of this research is to find out why some cities are more successful than others, and what policies and practices can improve conditions on the ground.

Adv Gary Pienaar, Prof Narnia Bohler-Muller and Dr Michael Cosser describe an HSRC project that aims to encourage a multi-stakeholder process to assemble a body of evidence in support of the development of a multi-year index to help spur social accountability and responsiveness. A key objective is to help track efforts to address the overarching challenges of poverty, inequality and exclusion. The project will also generate evidence to provide clear guidance regarding the 'minimum core' content of socio-economic rights intended to address people's fundamental human rights, needs and wellbeing.

We also feature several articles related to the role of sustainable innovation in our economy.

Dr Alexis Habiyaemye writes about how corruption stifles innovation. He distinguishes between grand corruption (large-scale corrupt acts involving important government officials), and petty corruption where payments are made to speed up processes when inefficient bureaucracy impedes a business transaction.

In an article about eco-innovation, Cheryl Moses writes that although manufacturing industries show greater interest in sustainable production, and adopting corporate social initiatives, and are innovating, that does not always lead to environmental improvement.

Dr Andreas Scheba writes about the potential contribution of bamboo cultivation as a renewable resource. He writes that we need more research and policy attention to create an appropriate regulatory environment that can maximise the socio-economic benefits and minimise environmental risks that come with bamboo commercialisation.

Drs Sikhulumile Sinyolo, Irma Booyens and Peter Jacobs share new evidence on the innovation capabilities of municipal officials and the tool used to assess innovation maturity. So far, the tool shows that municipalities have not yet reached a stage where innovation principles are entrenched.

Other articles in this edition focus on the challenges of adult education in municipalities, the need for migration policies to support the integration of immigrants and a study at schools in Khayelitsha in the Western Cape where researchers found high levels of sexual violence accompanied by a culture of silence.

Please also see the latest books published by the HSRC Press.





## STUDY LOOKS AT HIV PREVALENCE IN TRANSGENDER WOMEN FOR THE FIRST TIME

Led by the HSRC, the first South African study to look at HIV prevalence in transgender women has commenced at sites in Gauteng, the Western Cape and the Eastern Cape.

The first South African integrated biological and behavioural survey on HIV in transgender women was initiated and supported by the United States Centers for Disease Control and Prevention with funding from the President's Emergency Plan for AIDS Relief. It is supported by various South African and international academic and civil society partners.

"Transgender women have often been neglected in South Africa's response to HIV," said Prof Leickness Simbayi, the HSRC's deputy chief executive for research, at the study's launch in East London in January. "This study is therefore an important first step in ensuring that transgender women have a voice - both in terms of how HIV affects transgender women but equally about what can be done to help transgender women to protect themselves. Our public health campaigns must become more responsive if we are to impact decisively on combatting HIV and AIDS."

Global statistics show that transgender women are nearly 49 times more likely



The HSRC's Allanise Cloete, project director (left), Prof Leickness Simbayi, the HSRC's deputy chief executive for research and principal investigator, and Helen Savva, CDC activity manager (right), at the launch of the survey on HIV in transgender women in East London.

to be infected with HIV than other adults of reproductive age. Despite this, there is little information in South Africa about the specific HIV vulnerabilities of transgender women. HIV prevalence amongst transgender women also remains undocumented and as a result, transgender women remain underserved.

The study contributes to South Africa's commitment to the UNAIDS global target to ensure that by 2020, 90% of all people living with HIV will know their HIV status, 90% of all people with diagnosed HIV infection will receive sustained antiretroviral therapy and 90% of all people receiving antiretroviral

therapy will have viral suppression. South Africa aims to reduce new infections of HIV by 60% from 270 000 in 2016 to less than 100 000 by 2022.

The three study sites are in the Cape Town, Johannesburg and Buffalo City metropolitan areas. These sites are home to civil society organisations that work with transgender women, including Social, Health, Empowerment (S.H.E.) Feminist Collective in East London, Sex Workers' Advocacy and Education Taskforce (SWEAT), Gender Dynamix and Access Chapter 2 (AC2).

**Contact:** Allanise Cloete  
acloete@hsrc.ac.za



## HSRC PART OF FIRST NATIONAL TUBERCULOSIS PREVALENCE SURVEY

The first survey to assess the incidence of tuberculosis (TB) in South Africa has commenced. The HSRC, the South African Medical Research Council (SAMRC) and the National Institute for Communicable Diseases (NICD) will conduct this survey that was commissioned by the National Department of Health (NDoH).

The survey aims to determine the bacteriological or laboratory confirmed prevalence of TB in South Africa by enrolling an estimated 55 000 participants. Researchers will collect data in 110 clusters across all nine provinces.

This process commenced in KwaZulu-Natal in August 2017 and is scheduled to conclude in Gauteng in November 2018. The researchers expect to announce results in 2019.

"The survey will not only provide an estimate of South Africa's true TB burden, but it will also provide invaluable information to strengthen South Africa's response needed to stop and end TB in our lifetime," says Dr Yogan Pillay, deputy director-general responsible for HIV and AIDS, TB and

maternal, child and women's health programmes at the NDoH.

TB is the leading cause of death in South Africa and 2014 data revealed that 8.4% of deaths nationally were attributed to the disease. Data from 2015 estimated that 454 000 people developed TB, while 300 000 were treated for the disease. Of those patients, only 252 000 were successfully treated and an estimated 19 500 patients lost to follow-up.

"The survey is using the latest technology that is highly sensitive and specific for diagnosing TB," says Dr Nazir Ismail, head of the NICD's Centre for Tuberculosis.

People are not fully aware of the signs and symptoms of TB, and as a result the disease is diagnosed at an advanced stage when medical intervention is sought. These patients are at risk of death. About a third of patients who are diagnosed with TB do not start with treatment and are regarded as "missing" cases.

"The survey will also provide information on how people who

might have TB seek care in South Africa. It follows scientifically valid methodologies that have been used globally. The survey targets everyone who is 15 years and older in the selected areas," says the HSRC's Dr Sizulu Moyo, principal investigator.

"The findings of this survey will be a landmark event in the epidemiology of TB in South Africa. The results will influence response strategies, programmes and interventions to build on the existing successes in managing the TB epidemic," says the SAMRC's Prof Martie van der Walt, co-principal investigator of the survey.

The HSRC is responsible for field operations, the database and data elements of the survey. The field teams comprise medical officers, HSRC researchers, field data technicians, radiologists, nurses and interviewers.

### Principal investigators

Prof Martie van der Walt:

vdwalt@mrc.ac.za

Dr Sizulu Moyo: smoyo@hsrc.ac.za

**Source:** SAMRC media release



## HSRC PARTICIPATES IN THINK20

Prof Narnia Bohler-Muller and Dr Konosoang Sobane represented the HSRC at a recent Think20 meeting in Buenos Aires, Argentina.

Think20 is a network of research institutes and think tanks from countries that are part of the Group of Twenty (G20), a leading forum of the world's major economies.

The G20 seeks to develop global policies to address the most pressing challenges in the world and Argentina has taken over from Germany as its head.

Think20 provides research-based policy advice to the G20, facilitates interaction among its members and the policy community, and communicates with the broader public about issues of global importance.

Its activities include developing policy recommendations and publishing policy briefs, analysis and opinion pieces by high-level experts on key issues ahead of the G20 Summit.

The Think20 gathering was held from 29 January to 2 February, 2018.

### Focus on gender equity and Africa

Think20 has established a task force on gender economic equity to bring evidence-based research forward to support the agenda of Women20, a network of women's organisations, female entrepreneurs associations and think tanks that promote women's economic empowerment. The task force will focus its research on entrepreneurship and the care economy. It will look at labour, financial and digital inclusion, as well as the fate of rural women. Bohler-Muller is the South Africa representative on the task force and has been invited to join Women20. Her contributions are in the areas of the Blue Economy, focusing on women's labour inclusion, rural women, sustainability and food security. Think20 also established a task force that will focus on cooperation with Africa. The HSRC is a member of the Think20 Africa group, which was launched in Berlin in 2017. This group will form the core of the task force engaging with policy-makers.

### The HSRC contribution

South Africa is a member of the G20, where Africa is underrepresented. The contributions of the HSRC would therefore allow an African and Southern voice to be heard in policy advice.

Participation in Think20 dovetails with the HSRC's work on BRICS and the Indian Ocean Rim Association with a strengthened focus on global governance, an area of high impact for the HSRC. The HSRC's BRICS Research Centre (BRC) has been involved in the Think20 for a number of years focusing on inequality and the digital economy. Dr Jaya Josie and Krish Chetty from the BRC lead this research.

Sobane from the HSRC's Research Use and Impact Assessment unit is a member of Think20's migration taskforce; and Dr Shingi Mutanga from the HSRC's Africa Institute of South Africa is driving contributions to the Think20 Africa group. Appreciating the impact that providing policy advice to members of the G20 can make, the HSRC has decided to take a more strategic role in Think20.

**Contact:** Prof Narnia Bohler-Muller; [nbohlermuller@hsrc.ac.za](mailto:nbohlermuller@hsrc.ac.za)

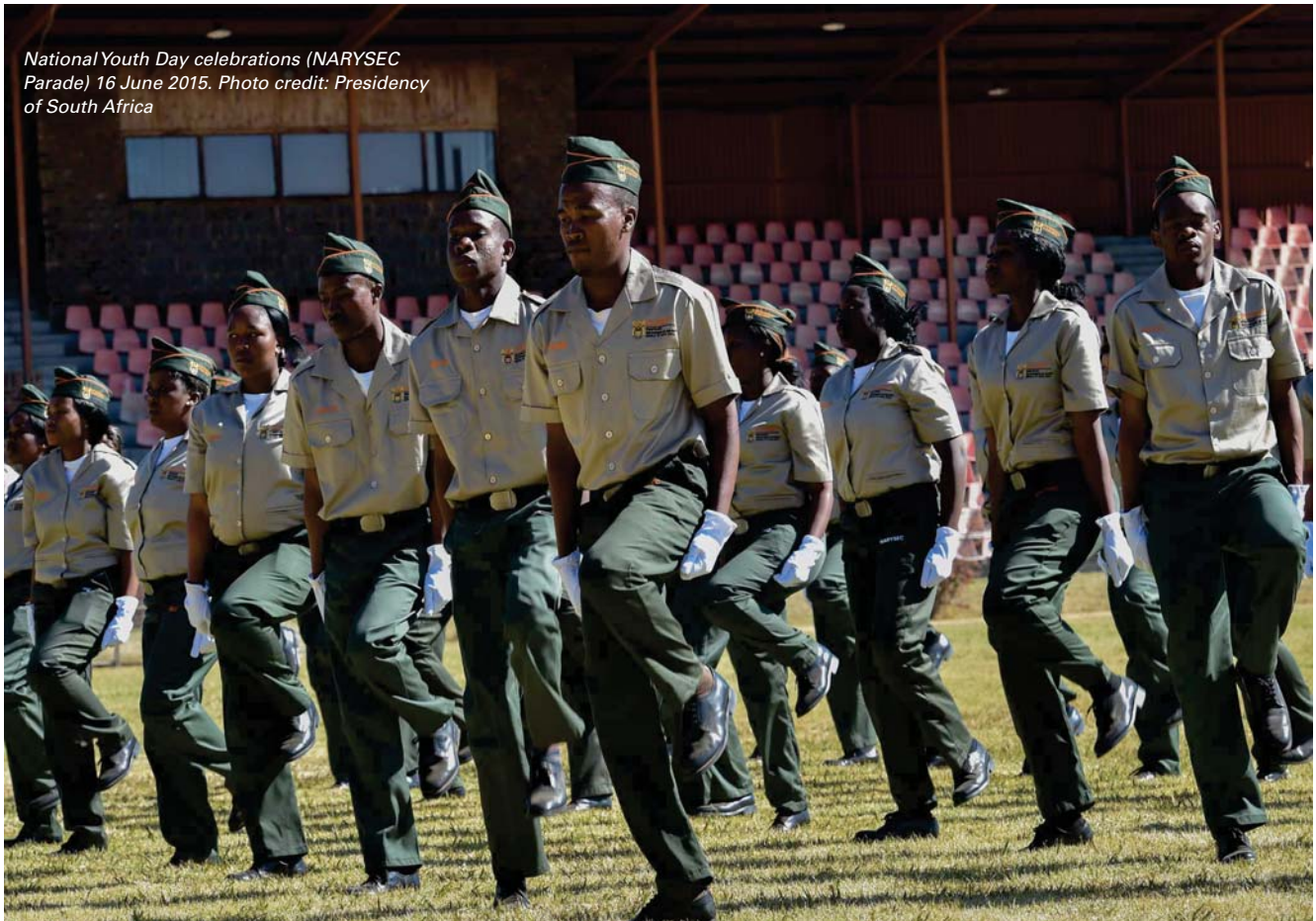


*Georgina Sticco from Women20 and the HSRC's Dr Konosoang Sobane and Prof Narnia Bohler-Muller attending the T20 meeting in Buenos Aires, Argentina.*





## HSRC SUPPORTS THE STRENGTHENING OF RURAL YOUTH ECONOMIC PARTICIPATION



*National Youth Day celebrations (NARYSEC Parade) 16 June 2015. Photo credit: Presidency of South Africa*

The World Bank has contracted the HSRC to appraise and strengthen a youth development intervention that supports young people to participate in rural economies.

The National Rural Youth Service Corps (NARYSEC) programme is a flagship project of the Department of Rural Development and Land Reform (DRDLR), which started in September 2010.

The DRDLR recruits thousands of unemployed youths in resource poor rural districts, where youth unemployment levels are very high, and equips them with the necessary skills that they can use to plough back into sustainable socio-economic initiatives in their communities.

To date, over 17 000 rural youths have been enrolled and more than 11 000 have exited the programme.

However, there is no clear, formalised or streamlined support for enrollees as they complete and exit the programme.

The result has been that thousands of graduates struggle to meaningfully participate in productive and sustainable economic activities, raising questions about how well the NARYSEC learning exposure prepares participants for when they leave the programme.

In an attempt to address this gap, the DRDLR drafted a NARYSEC exit strategy framework in 2016, with a view of ensuring that the enrollees are not left stranded after programme completion.

The HSRC seeks to review and refine this draft strategy. To strengthen and concretise the strategy, it is crucial that it is informed by sound evidence of the early-stage experiences of NARYSEC graduates.

It is crucial to understand the extent to which completing the programme improves the chances of the rural youths of being absorbed into sustainable livelihood activities.

The draft NARYSEC exit strategy conceptualises three exit routes (namely further education/ training options, job opportunities and business ventures), but a large number of graduates might not be absorbed into any of these exit routes.

This makes up a cluster of unemployed rural youth post-exit and it is important to identify some of the reasons why this happens.

**Contact:** Dr Sikhulumile Sinyolo  
ssinyolo@hsrc.ac.za



# MULTIDIMENSIONAL WELLBEING:

## WHAT IT IS, AND HOW IT RELATES TO REDUCING POVERTY AND INEQUALITY

The Wellbeing Research Group at the HSRC, comprising a team of 8 junior and 11 senior scholars spent six months reviewing how wellbeing is spoken about and measured. They looked at which policies and interventions have aimed to improve people's lives - especially in contexts of poverty and inequality, and what might be missing. *Profs Sharlene Swartz and Heidi van Rooyen report.*

Poverty and inequality have long been recognised as comprising multiple dimensions. With regards to poverty, a multidimensional approach recognises the importance of education, health, living environment and economic opportunities amongst other aspects.

Likewise, the World Social Science Report offers an analysis of seven dimensions of inequality that include social, cultural, political and knowledge-based dimensions of inequality alongside those shared with poverty (economic, spatial and environmental).

These multiple dimensions of poverty and equality have far-reaching consequences for the notion of wellbeing. However, it is widely known that material and economic approaches ("what resources people have") have long dominated the ways in which we have conceptualised and measured both poverty and inequality, as well as wellbeing.

In the past decades, the notion of subjective wellbeing ("how people feel about what they have") has received much attention.

What seems to be missing is the notion of collective, relational or social wellbeing — "how people engage with each other, and the structures in which they find themselves" — in order to enhance their wellbeing.

After reviewing each of these three aspects of wellbeing, the HSRC's Wellbeing Research Group produced a number of reports and proposed a research programme.

OBJECTIVE, MATERIAL & ECONOMIC  
WELLBEING  
*What you have*



SUBJECTIVE & PSYCHOLOGICAL  
WELLBEING  
*How you feel about what you have*



RELATIONAL, SOCIAL & COLLECTIVE  
WELLBEING  
*How people engage with each other,  
and the structures in which they find  
themselves to be well (or not)*



We need a new understanding of wellness that fully encompasses the social nature of human beings and that explores experiences of connectedness between the individual and their social environment

### A critical review of wellbeing as a concept

The review asks how people conceptualise wellbeing in general and whether these conceptualisations are adequate and appropriate for global South contexts with its struggles after colonisation and with development.

Our key findings include that conventional frameworks for understanding development infers that poor people are defined solely by their economic deficits.

In contrast, a multidimensional approach to wellbeing considers human functioning, capabilities and needs, livelihoods and resources, in a holistic manner.



Such an approach places the person, in their relationships and surroundings, at the centre, and presents opportunities for investigating the prevalence of racialised and gendered distribution of resources and opportunities and considers how these impact an individual and community's ability to be well.

We are convinced that a new Southern understanding of wellness is necessary: one that fully encompasses the social nature of human beings and that explores experiences of connectedness between the individual and their social environment. Reorienting our focus from the material and subjective to the social helps answer critical questions such as how social relations in unequal societies might be employed to improve people's lives.

### Linking ideology and policy

In this report, we show how social policies — their form, content and ultimately their impact — cannot be separated from the economic and political circumstances that accompany how they originated and evolved.

Key here is the need for policy to offer visions of social ideals worth striving for on their own terms, and imagining how social policies may be used for redistribution, social cohesion and nation building.

This review includes an analysis of social policy 'safety nets' produced through industrialisation, and following various liberal, corporatist and social democratic approaches, showing how these were taken up in some Asian and African contexts in the twentieth century.

These capitalist approaches are contrasted to African socialist experiments, and include various South African policy case studies (including the impact of the family policy, the Expanded Public Works Programme, the youth policy and social grants) and their potential impact on social, collective and relational wellbeing.

### Measures of wellbeing

This systematic literature review, the first of its kind according to our knowledge, considered over 10 000 articles and analysed 180 articles through a series of 11 sort criteria.

It answered the question how wellbeing has been measured, both qualitatively and quantitatively, in South Africa in the period 1994–2016.

Although South Africa has a long history of wellbeing research, this is the first systematic review that focuses on questions of methodology.

The researchers found that the vast majority of methods used to measure wellbeing are quantitative. Only five studies were qualitative or employed mixed methods that included a qualitative component.

It also found that 91 different quantitative scales were used and that wellbeing is defined and measured in various ways. Most frequently, wellbeing is considered as a subjective evaluation of individual life satisfaction, happiness or personal functioning. The leading conceptions of 'wellbeing' used in the studies under review tend to treat 'wellness' as a private phenomenon — largely ignoring the social, relational and collective aspects of wellbeing.

### Oppressive Environment

Our output was a conjectural paper and focused on postcolonial literature about people's sense of being able to act individually or collectively to change their lives.

The foundational work of Frantz Fanon, Paulo Freire and Steve Biko, followed by a host of other global South academics, outlines how oppressive environments take their toll on people.

Dehumanising treatment, over time, dehumanises. These scholars argue that many people living in oppressive environments are angry at the treatment they receive, but that they feel powerless (at least as individuals) to fight back against such treatment.

This anger and sense of powerlessness can lead to apathy and, for some, self-destructive or anti-social behaviour.

Our measurements of wellbeing to date have failed to capture the myriad internalised effects of living in oppressive environments, and how these limit freedom.

We do not know who is most affected and how this limits their ability to live the life they have reason to value.

Without this knowledge, it is unsurprising that we do not have interventions, which we argue are warranted, to support people to overcome the consequences of prolonged exposure to dehumanising treatment.

### Where to from here?

As we ramp up our work, we are pursuing two further aspects. First, we have inserted an experimental module into the South African Social Attitudes Survey that will help us to understand how empowered people in South Africa feel, and to what extent they believe they are able to individually or collectively change their experiences.

This speaks to our focus on collective agency and wellbeing in oppressive environments. Linked to this is our plan to convene an international "learning initiative" to discuss and document evidence of the effects of racism on human functioning in South Africa.

Second, we are piloting a qualitative study that asks households in highly impoverished and working class communities to describe the collective strategies and networks they employ in order to improve the wellbeing of their households.

This is a direct outcome of the absence of qualitative studies found in our systematic review, and also addresses the gap we encountered in seeing wellbeing as a collective endeavour.

Ultimately, our work will help determine whether we might need a new national Multi-Dimensional Index of Wellbeing that will include all three aspects of wellbeing — the material, the subjective and the social.

Could such an index, run at regular intervals, provide a tangible reminder to spread our policies and interventions across all three domains of wellbeing in South Africa and beyond?

### Authors:

Profs Sharlene Swartz and Heidi van Rooyen, the deputy executive director and executive director respectively of the HSRC's Human and Social Development programme.

### Contact:

sswartz@hsrc.ac.za





# CITY-REGION ECONOMIES: A NEW RESEARCH INITIATIVE

City-region economies is a new HSRC initiative aimed at understanding the process of inclusive growth in cities and regions, and the factors and forces inhibiting shared and enduring prosperity. We are also interested in why some cities are more successful than others, and what policies and practices can improve conditions on the ground, writes *Prof Ivan Turok*.

The looming water crisis in Cape Town epitomises the broader challenges of governing South Africa's big cities in at least three ways.

First, the city's vulnerability to external shocks (an extreme weather event in this case) has been amplified by rapid population growth within a confined geographical area.

Wherever people converge in major settlements, environmental hazards and social risks escalate, including congestion, pollution, contagion, crime and overloaded services. These consequences need effective management if cities are to be resilient and survive in the long-term.

Second, the drought is a stern test of the capacity of the city's institutions and citizens to find common cause and pull together. The bigger and more diverse the city, the more difficult it is to organise collective action.

The immediate imperative in Cape Town is to cut back on water use to avoid Day Zero, when the taps are turned off, because of the humanitarian and economic disaster that will ensue. This requires all households, firms and farms to adapt their behaviour and make sacrifices, along with unpopular measures taken by civic leaders to restrict consumption. It is uncertain whether this can be achieved.

Third, beyond the current crisis, it is essential to boost investment in infrastructure — to extract groundwater, recycle wastewater, desalinate seawater and expand dams.

Urban infrastructure is inherently expensive, with long pay-back periods.

The design and delivery of these projects will also have to be accelerated to avoid recurring water crises next year and thereafter.

Doubts surround the ability to scale-up investment sufficiently and to fast-track project approval procedures because both require active support and alignment across all three spheres of government, when the track record of cooperation is poor.

## **The positive effects of cities**

Focusing solely on urban vulnerabilities and incapacities is misleading and one-sided because large cities also generate enormous benefits for society.

Economic development is the most important outcome of spatially-concentrated activity. This is why people flock to cities in the first place.

The jobs and livelihoods unleashed by the forces of agglomeration are a magnetic attraction. Sizeable tax revenues raised in cities also fund public education, health, transport, basic infrastructure and other essential services.

Various mechanisms drive prosperity in cities. Most are poorly understood and barely recognised in South Africa, because of the tortured history of urbanisation and consequent political ambivalence towards cities. Above all, cities facilitate intense interactions between people, firms and other entities.

Proximity between diverse activities means that they feed off each other, creating an interconnected system with powerful spill-over effects on investment, innovation, output and incomes. They also help employers and workers to match their labour market needs, and to share common services and infrastructure.

Clustering together and networking also enable enterprises to specialise around particular products or tasks (a division of labour), which amplifies their capabilities. Performing complementary functions generates buzz and synergies, as people collaborate, compete, share ideas and learn from each other. This spurs creativity, stimulates talent and accelerates progress all round through a spontaneous, internally-generated process.

## **Distinctive strengths**

Every city has distinctive strengths reflected in their core activities with output exported to other places. Specialisation in these tradable sectors raises productivity and enables a greater variety of goods and services to be produced.

Gauteng was founded on gold mining and subsequently diversified into manufacturing and financial services. Durban and Cape Town's original advantages were their seaports, and logistics remains vital to the economies of both cities.

A key objective of the new research initiative is to undertake deep dives into the core specialisations in each city in order to consider what might be done to strengthen their development.





Residential flats in Braamfontein are sought after by people hoping to gain access to urban opportunities in Johannesburg.  
Photo: Adziwilli Nematandani

Which sectors are driving the local jobs machine and what obstacles are holding them back? In addition, what existing assets, skill-sets and public goods can be built upon to bolster these industries, and what strategic information and intelligence about markets, technologies and new products could usefully be provided by public bodies and intermediaries?

An investigation has begun into the role of knowledge-intensive tradable services in Gauteng's economy. These neglected professional functions can enhance the technical capabilities of manufacturing, mining and agriculture.

They include built environment services such as engineering, real estate, design and management consultancy. Digital technologies and cheaper air travel mean these services can now be traded externally. Burgeoning urbanisation in Africa has created new markets; everything from contracts to build shopping centres and housing estates to satellite cities, power stations, dams and other infrastructure.

Backward linkages to local construction firms and the suppliers of plant, equipment and building materials could spread the benefits back home.

### **Building inclusive cities**

The very success of cities can make them less accessible and less welcoming. Many of the mechanisms of urban exclusion work through the land market, and need to be better understood through research.

Market processes tend to reinforce the inherited spatial inequalities of the apartheid city.

Higher household incomes increase demand for land and raise property prices, which displace poor households and informal traders from well-located areas and make places unaffordable for incomers.

## **The very success of cities can make them less accessible and less welcoming**

Existing residents often oppose the zoning of land for additional house-building (especially low income housing) in order to preserve the character of their neighbourhoods and to protect their property values.

Intense pressure and competition to gain access to urban opportunities add to the hurdles facing people living elsewhere.

The inflated costs and sheer unavailability of adequate housing force many poor people to occupy marginal sites on the urban periphery or to squat on leftover land that is unsuitable for shelter, such as under power lines, on road reserves, near landfill sites and along river banks

Living conditions are unsafe and often hazardous because of the risks of flooding, fire and contagious diseases. People live precarious lives just battling to survive.

Informal settlements are a blight on the country and raise questions about why they are tolerated.

These dense environments don't generate the productive activity and incomes one might have anticipated. They are symptoms of inertia and unresponsiveness in the system that produces the built environment.

Meagre investment and weak institutional oversight seem to be at the heart of the problem, so anything goes. Studies are in progress to examine how shack communities can be upgraded without destroying their social fabric.

### **Governing cities**

A consistent question is how effectively South Africa's cities are governed. Powerful metropolitan municipalities were created in 2000 to bring about social, economic and spatial integration of divided and dysfunctional cities. This has proved to be much more difficult than envisaged, and progress has been slow. Economic under-performance has deprived cities of the public and private investment required to support transformation. And policy mistakes have been made in key sectors, like housing and transport.

We need to ask probing questions about whether our cities have sufficient powers, technical capabilities and leadership to balance the complex pressures faced, and to become more productive, inclusive and resilient.

#### **Author:**

Prof Ivan Turok, executive director in the HSRC's Economic Performance and Development programme

#### **Contact:**

iturok@hsrc.ac.za



# CREATING A TRANSFORMATIVE GOVERNANCE INDEX: MEASURING PROGRESS IN THE ATTAINMENT OF SOCIAL JUSTICE

Continued poverty, inequality and exclusion have led South Africans to doubt the adequacy of our Constitution, its institutions, its ability to realise social change and the legitimacy of the underlying constitutional settlement. HSRC research shows that while decisions by the Constitutional Court and Supreme Court of Appeal promote the realisation of socio-economic rights, these decisions are not always implemented. *Adv Gary Pienaar, Prof Narnia Bohler-Muller and Dr Michael Cosser* describe an HSRC project that aims to encourage a multi-stakeholder process to assemble a body of evidence in support of the development of a multi-year index to help spur social accountability and responsiveness.

Government has been criticised for its apparent inability to effect substantial change to the social and economic arrangements that characterised our apartheid past.

The economy has struggled to be more inclusive, to create employment and reduce poverty, and large companies have been singled out for blame as '(white) monopoly capital'.

Despite the constraints imposed on it by the constitutional requirement of a separation of powers between the branches of the state, the judicial system, as the protector and upholder of the Constitution, has also been accused of failing to ensure that government delivers on the socio-economic rights promises in the Bill of Rights.

The courts have responded that our Constitution envisages a democratically elected government led by an 'energetic' executive leading the debate on policy and legislative reform and making associated budget allocations.

An appropriate role for the courts is to monitor and to guide — except in extreme circumstances.

A recent example is the case of *Black Sash Trust v Minister of Social Development and Others* (Freedom Under Law NPC Intervening) (CCT48/17).

The Constitutional Court intervened to instruct and supervise government on the steps to timeously conclude a contractual agreement to ensure the continued payment by the South Africa Social Security Agency of social grants after 31 March 2018.

## Evaluating landmark judgements

In 2013, the Department of Justice and Constitutional Development commissioned the HSRC and the University of Fort Hare to undertake the Constitutional Justice Project.

Researchers evaluated several landmark judgments by the Constitutional Court and the Supreme Court of Appeal and found that these decisions confirmed the Constitution's normative framework of values and principles, and also identified the vital contributions that each sector of society can make to a collective effort to realise social justice in our unequal country.

This collective effort, the Constitutional Justice Project envisaged, could take the form of a reconceptualised and more inclusive 'constitutional dialogue'.

The Constitution requires informed, participatory, responsive and accountable governance, and its Bill of Rights applies to relationships both between government and all people in South Africa as well as to relationships between individuals and private companies.

## Creating an index

Against this backdrop, the HSRC in 2016 initiated a project to create a Transformative Governance Index (TGI). The TGI project encourages a multi-stakeholder process that uses mixed methodologies to identify and assemble a body of evidence in support of the development of a multi-year index that can help spur social accountability and responsiveness.

One of the key objectives of the project is to enable stakeholders to track efforts to address the overarching challenges of poverty, inequality and exclusion in our country.

The project will also identify, commission and undertake collaborative research to inform evidence-based policies that target the transformation of economic and social relationships. Such evidence will help to provide clear guidance regarding the 'minimum core' content of socio-economic rights intended to address fundamental human rights, needs and well-being.

## Minimum core standards

While slow progress in achieving the Constitution's vision of a transformed society is one impetus for the project, another is the policy vacuum around the responsibility for developing minimum core standards.





The Constitutional Court of South Africa, Constitution Hill, Johannesburg.  
Photo: Adziwili Nematandani

The Studies in Poverty and Inequality Institute (SPII), an independent nonprofit research organisation, has said that the Constitutional Court's reluctance to define the minimum core content of socio-economic rights had contributed to the absence of agreed norms and standards in government policy for making these rights real.

As a result, poor and vulnerable people living in South Africa do not know what their rights mean in practice.

### Reporting to the United Nations

South Africa has ratified the International Covenant on Economic, Social and Cultural Rights and this ratification requires the country to report to the United Nations (UN) Committee on the progress made to realise socio-economic rights.

The UN requires that parties to the Covenant recognise the right of everyone to an adequate standard of living for themselves and their family, including adequate food, water and sanitation, housing and healthcare, and to the continuous improvement of living conditions.

To report on South Africa's progress in realising socio-economic rights, we need to establish the baseline we work from.

This is the minimum set of resources to which people are entitled to improve their living conditions and to free their potential.

The TGI is designed to help us grapple with these complex questions in a local context.

### Developing an appropriate instrument

The TGI has adopted a framework comprising the following four domains:

Domain	Focus areas
Social accountability	transparency, citizen participation, inclusion
Social justice	human dignity and equality, human development and sustainability within a socio-economic rights framework
Rule of law	procedural and substantive respect for fundamental constitutional rights, access to justice implementation / enforcement of court orders
Effective institutions	representative, responsive, efficient, effective

### Identifying the minimum core content of socio-economic rights

A practical example of what might constitute a constitutional minimum core content for the right to healthcare can be found in the National Health Insurance White Paper adopted in June 2017. It identifies, for example, a minimum level of service and more ambitious targets to be achieved over time.

The HSRC will start to identify available evidence of what currently is the minimum core content of each socio-economic right.

Using mixed methodologies, as indicated above, and a collaborative, facilitative and enabling approach, the HSRC will start to identify available evidence of what currently is the minimum core content of each socio-economic right and what it could or should be in five, ten and twenty years' time, given certain assumptions and scenarios.

We will engage in conversations with communities, officials, experts and civil society about their experiences, their expectations and their research about what is achievable through collaborative efforts.

We will scrutinise government policy, budgets and reports for current practice, and court decisions for any relevant guidance.

We will consider comparable good practice globally for examples of what is possible, and we will encourage energy and imagination to help realise the transformative impact of constitutional rights.

#### Authors:

Prof Narnia Bohler-Muller, the executive director, Adv Gary Pienaar, senior research manager, and Dr Michael Cosser, chief research specialist, in the HSRC's Democracy, Governance and Service Delivery research programme

#### Contact:

Adv Gary Pienaar  
gpienaar@hsrc.ac.za



# INTIMATE PARTNER VIOLENCE IN KHAYELITSHA

## SCHOOLS: A CULTURE OF SILENCE

A team of HSRC researchers, partners and collaborators conducted research at 24 schools in Khayelitsha in the Western Cape to provide baseline data for a programme to address sexual violence in South African schools. They found high levels of sexual violence, including intimate partner violence. This was accompanied by a culture of silence.

Schools are meant to be safe spaces for children, but research shows sexual and gender-based violence regularly occurs in schools across the world. In South Africa, girls are disproportionately affected putting them at risk of unwanted pregnancy and/or contracting HIV.

Studies show South African girls between the ages of 15 and 19 are eight times more likely to contract HIV than boys of the same age.

### Gender inequality a major cause

Research shows that girls are more likely than boys to experience sexual harassment, sexual assault and rape, and that boys are much more likely to be the perpetrators of this violence. Gender inequality is a major reason for these trends.

South African society is characterised by male privilege and unequal and sometimes abusive relationships between men and women. This privilege is supported by gender norms that disadvantage women and lead to silence around sexual violence with many seeing this as 'normal'. In many poor communities, young women have sex with older 'sugar daddies' or 'blessers' in exchange for goods or money to make ends meet.

### Getting baseline data in Khayelitsha

The Sexual Violence in Schools in South Africa (SeViSSA) programme targets individuals, their communities and wider society to bring about changes to deep-seated values, norms and behaviour.

The aim is to empower girls to take action against violence in schools; to strengthen the capacity of schools to prevent this violence; to improve parents' and caregivers' knowledge and skills, as well as the attitudes and practices of boys; and to engage community members and government departments to become involved. In 2015, before the programme started, the HSRC conducted research at 12 primary and 12 high schools in Khayelitsha to provide a baseline picture of the situation.

### Surveys and discussions

The researchers used surveys to gather information from 140 educators and 2 881 learners of 11-18 years old.

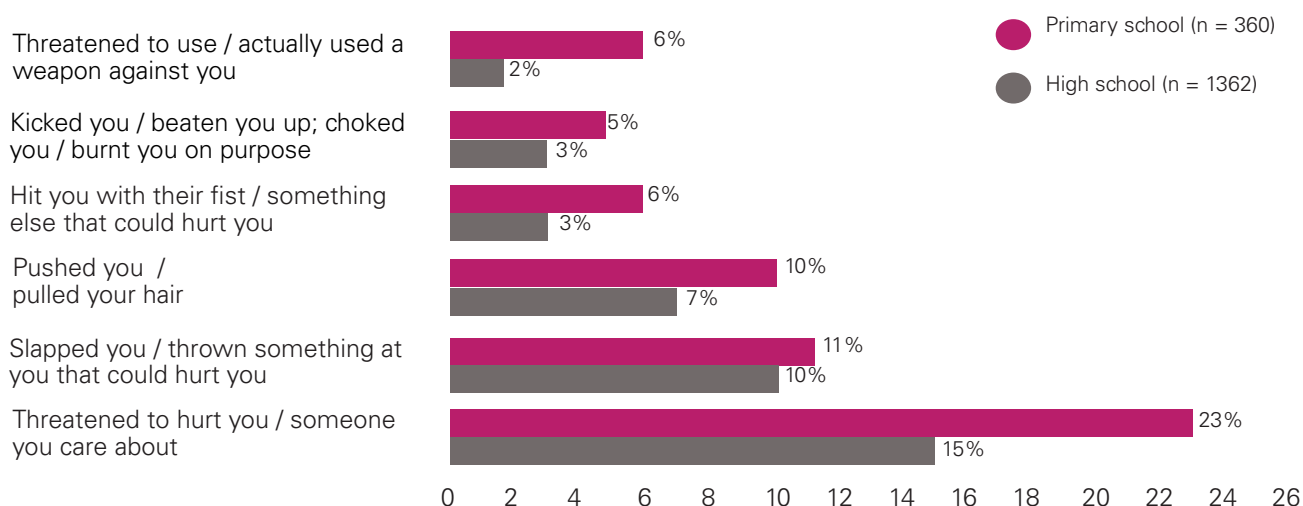
Girls at a school in Khayelitsha participate in a peer-led Young Women's Club session focused on sexual and reproductive issues.





**Figure 1**

Types of IPV experienced in the preceding 12 months



They also held focus group discussions and interviews. The findings show that, in addition to experiencing other forms of violence committed by teachers and fellow learners, sexual violence is relatively common and occurs mostly in classrooms, on sports fields, or in bathrooms.

More than a third (35%) of all learners had experienced some form of sexual violence committed by fellow learners. In addition, two out of ten primary school and one out of ten high school learners reported that educators were the perpetrators in the previous 12 months.

## Violence against female partners seen as a normal expected part of intimate heterosexual relationships.

### Culture of silence

Only about half of the learners disclosed their experiences of sexual violence to someone else, usually telling a friend or their mothers. The primary school children were less likely to report than the high school learners, despite experiencing more sexual violence. In the interviews, the researchers learned that their reluctance to bring incidences of sexual violence into the open is linked to fears of negative consequences - for both the victim and the perpetrators.

Primary and high school learners alike shared a perception that teachers fail to act on reports, as the following quote shows:

*"Mostly here at school, girls are being harassed - it is one thing that is not being attended by the teachers. Sexually, we are harassed by boys a lot. You will find them touching us but we are also afraid because this person is with you in class. You will have him expelled, you will end up feeling sorry for him but you would be touched and touched or being called names like we are whores. A person doesn't even know you, but he'll, like call you a slut, things like those." - Grade 9 girl in all-female discussion group*

Younger learners in particular feared being blamed or punished if they reported. The decision to report sexual violence was also influenced by whether the learners thought that the violence they had experienced was wrong.

### Violence in relationships

During the interviews, the researchers encountered a widespread view of sexual violence as normal in heterosexual dating processes. Out of the total sample, 48% of primary school and 78% of high school learners reported having ever been in a romantic relationship. These learners experienced high levels of violence at the hands of their partners, with somewhat higher levels among primary school learners.

The most common form of violence in relationships were verbal threats, followed by physical violence and threats with weapons (Figure 1).

Sexual violence included being forced to have sex through fear or manipulation (being made to feel guilty or bad if they refuse sex), as well as being forced to perform sexual acts that they experience as humiliating or shameful (Figures 2 and 3).

Only 6 out of 10 learners who had experienced sexual violence in an intimate partnership felt that it was wrong (Figure 4).

### Unwritten dating rules

The data from the interviews and discussions indicated that learners normalised intimate partner violence that could lead to silencing and under-reporting.

Violence against female partners was seen as a normal expected part of intimate heterosexual relationships.

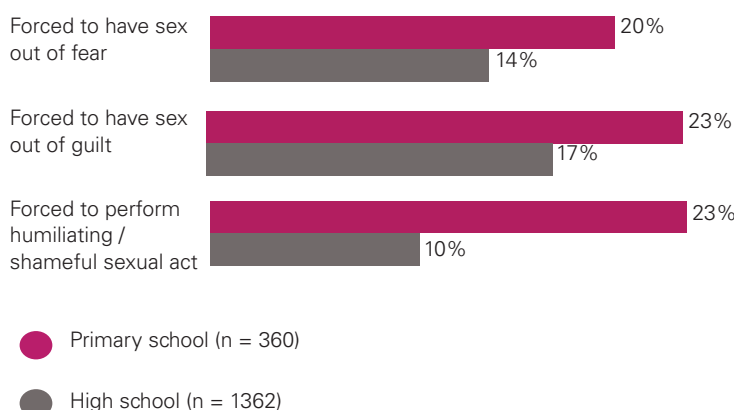
The learners spoke about unwritten 'dating rules' that they believed 'everybody knows'. One view is that women provide sex in exchange for men's material and emotional provision.

According to this norm, boys who give girls any form of monetary or material gifts or support (food, clothing and buying drinks on a night out) have a right to expect sex in return.

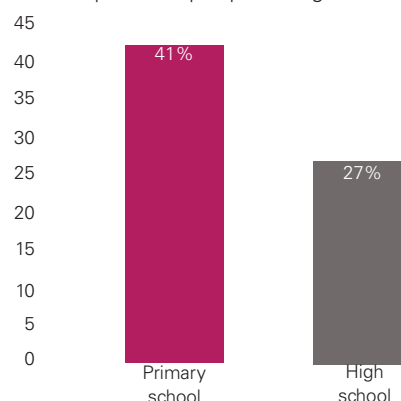
Girls who refused break this unspoken rule and can be accused of 'gold digging' or 'eating a guy's money' without offering anything in return.

This dating rule simultaneously excuses male violence and creates a 'deserving' female victim.

**Figure 2** Types of sexual intimate partner violence experienced in the preceding 12 months



**Figure 3** Experience of sexual violence in intimate partnership in preceding 12 months



The following quote illustrates this perception:

*"I don't think this girl is right (to worry about having sex with her boyfriend). Why does she have to worry? She says she loves him and (he) loves her. He gives her money for things she needs, so when (he) wants something she must give him (sex). He deserves that, as he too gives (her) what she needs." – Grade 8 girl in a mixed-gender discussion group*

Another 'dating rule' is that girls want to be pleaded or persuaded to have sex. The learners described consent to sex as having blurry boundaries. According to this rule, sometimes girls do not really mean 'no' when they refuse sex.

This belief is based on the view of having sex as a romantic conquest, where hormone-driven boys are the ones who pursue sex and win girls over and that girls have the responsibility to say no for unwanted sex.

Learners explained that boys use 'sweet talking', 'lying', 'begging' or 'pleading' to have sex.

The girls describe this as flattering as it shows that she is desirable or popular. This dating rule is concerning, as it supports the belief that girls who say 'no' are simply 'playing hard to get', and that consent to have sex does not have clear boundaries.

### Some learners challenge 'rules'

The researchers noted that there were instances where some learners challenged these 'dating rules' by sharing ideas that 'love comes from the heart and is not proven with sex or money' and that 'if you love someone, you will wait for the person to be ready to have sex with you'.

These counter-arguments, while less common, provide possible entry points for creating and encouraging new dating norms with learners that do not normalise violence or forced sex.

### Recommendations

#### 1. Create a school environment that takes sexual violence seriously

Teachers and other adults need clear sexual and gender-based violence reporting procedures, as well as support to follow these through, so that they are able to act when learners report violence or harassment. In cases where teachers are the perpetrators, schools and education departments should display decisive action.

#### 2. Unpack harmful gender norms

School-based interventions, such as comprehensive sex education, need to engage both boys and girls in unpacking how gender norms might fuel unequal power relations and violence.

This should include discussing what 'counts' as violence, to dispel the belief that violence in dating relationships is normal. Interventions should also identify and strengthen alternative 'dating rules' that contribute to mutual care and respect in dating relationships.

### 3. Prioritise early intervention

Primary school learners are at a higher risk for experiencing intimate partner violence, yet are often considered as being 'too young' to take part in discussions about sex, dating and relationships. Interventions with this age group should aim to develop a deeper understanding of their relationships in order to provide information and guidance that more closely meet their needs.

### Authors

Dr Ingrid Lynch (senior research specialist) and Roshin Essop and Tsidiso Tolla (research trainees) in the HSRC's Human and Social Development programme; Dr Tracy Morison (social and health psychology lecturer) in the School of Psychology at Massey University in New Zealand.

**Implementation partners:** Grassroot Soccer and Soul City Institute

**Link to study:** <https://www.ru.ac.za/criticalstudies/policybriefsfeedbackreports/>

**Figure 4**

**Is it actually violence?  
Is it wrong?**

4/10 of learners who'd experienced intimate partner violence believed it **WASN'T** wrong.





# ARE SOUTH AFRICANS XENOPHOBIC? MIGRATION POLICIES NEED TO SUPPORT INTEGRATION

In January this year, violence erupted again in Rustenburg, North West, and news reports carried descriptions of homes burned and shops looted. The riots were allegedly sparked by rumours in the community that the police were involved with foreign-born drug dealers. South Africans need to ask questions about the state of social cohesion within our country, write *Drs Steven Gordon, Gilbert Fokou, Yul Derek Davids and Prof Narnia Bohler-Muller*.

The recent violence in Rustenburg brought back memories of the earlier 2017 anti-immigrant riots in Pretoria and the burning question of whether this collective mayhem was motivated by hatred of international migrants.

Rumours (such as the involvement of police with foreign-born drug dealers) are common in South Africa's townships where drug trafficking is often attributed to the presence of foreigners.

This is clearly shown in public opinion data from the South African Social Attitude Survey (SASAS).

A nationally representative research project, SASAS surveys the South African population (16 years and older) living in private households in all nine provinces.

Figure 1, (below) presents data on whether the general public agreed or disagreed that immigrants in South Africa increased crime rates for the period 2008-2016.

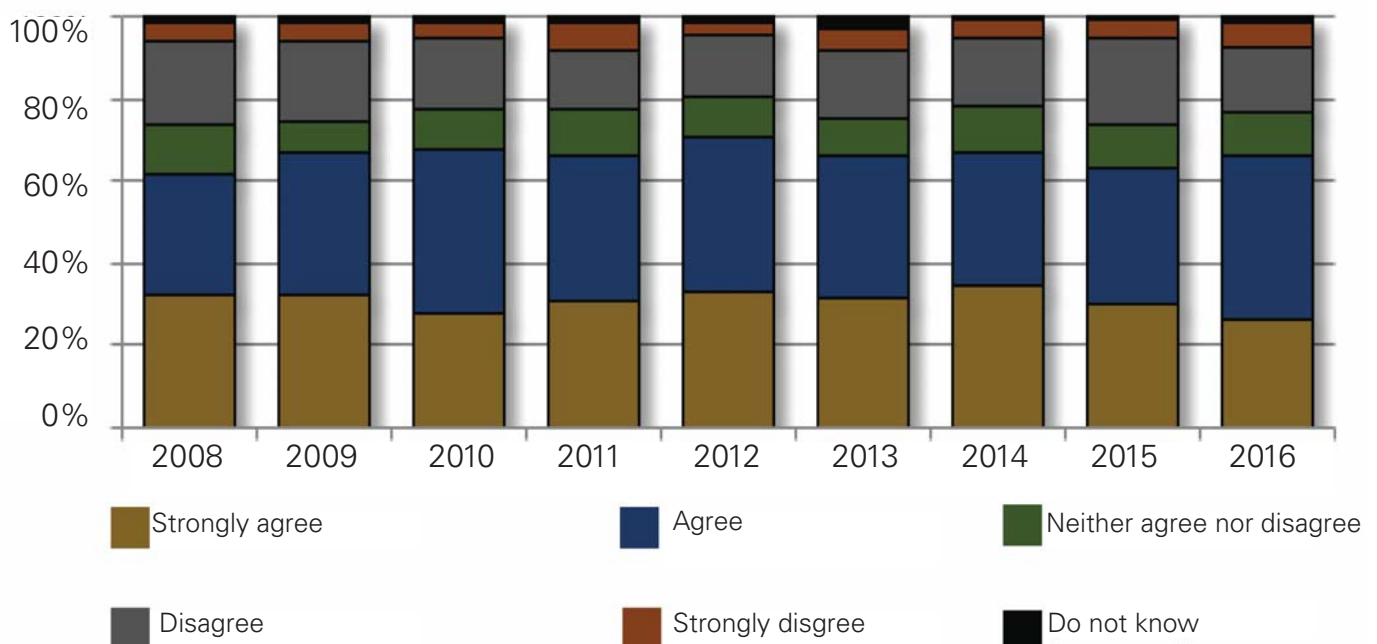
The results show that 62% of the adult population agreed with the statement that immigrants increased crime in 2008. This belief strengthened over the period.

In 2016, 66% of the general public agreed with the statement. The SASAS data portrayed here shows the widespread nature of anti-immigrant stereotypes in the country.

Former Police Minister Fikile Mbalula condemned the violence, requested communities to work with police and not to take the law into their own hands.

He emphasised that "people must know we are a democratic state, with competent institutions to resolve these matters," media reported.

*How much do you agree that immigrants increase crime rates?*



During such moments of violence, our natural predisposition is to advocate for the return of law and order.

We ask the authorities to - in a rough and ready manner - punish and curtail the activities of those responsible for the violence.

Obviously, lawlessness cannot be tolerated and the police should protect the lives and property of the country's foreign-born population.

However, a socially cohesive society is not maintained solely through the strong-arm of law and order.

### **Vulnerable to discrimination**

There are approximately three million international migrants living in South Africa and the government's National Development Plan has mapped a future in which the size of the migrant population will only grow.

The South African Constitution, and the country's national social cohesion strategy, has committed our government to protect these migrants from discrimination and help integrate them into our society. But South Africa has not adopted a clear and coherent integration policy for the integration of foreign nationals.

As a result, many migrants are isolated from their host communities which makes them vulnerable to discrimination. The July 2017 White Paper on International Migration for South Africa acknowledged this failure. The authors of the White Paper attributed this to the country's lack of a common vision on the value of international migration.

Many nations face the challenge of how to integrate international migrants into a host society. For instance, a number of politicians in North America and Western Europe oppose the prospect of integrating international migrants.

They often base their opposition on reactionary prejudices towards people of colour. Despite this negative trend, it is still possible to learn positive lessons from these countries about integration. Since 2007, for example, Germany has had a National Integration Plan, which provides local and state officials with a framework for conducting immigrant integration programmes.

These programmes include language, civic and cultural courses that help migrants to fully participate to the life and activities of their host communities while sharing their own values with others. Following the

2015/2016 refugee crisis in Europe, this approach to integration was not abandoned but reinforced by new legislation.

The Canadian model of integration, based on coherent immigration selection, settlement, citizenship, and multiculturalism policies, has also been largely successful in terms of integrating newcomers.

This success is based on the convergence of historical, geographical, political, and cultural factors.

The Canadian approach towards integration in which various social groups coexist while conserving their characters, features and values has evolved overtime to reflect shifting needs and considerations.

**Integration is not assimilation; it is a dynamic two-way process that requires citizens of host nations to learn to be more tolerant of international migrants.**

### **Holistic approach**

One of the lessons that other experiences can teach South Africa is that integration is not assimilation. We must develop various programmes across all layers of government and it must not be the responsibility of just one department or agency.

An integration strategy must involve a holistic approach that incorporates multiple factors and sectors (including, for example, education or awareness, law enforcement, service delivery, housing and labour markets).

Moreover, different levels of government must work with civil society organisations (such as the United Nations High Commissioner for Refugees) to manage the integration of migrants.

Ultimately, the goal of integration is to encourage newcomers to contribute to the country's economic, social, political and cultural development.

However, integration is a dynamic two-way process that requires citizens of host nations to learn to be more tolerant of international migrants.

One of the central tasks of integration policy in South Africa is to prevent anti-immigrant violence, but such a policy must not only focus on violence prevention.

By concentrating only on extreme types of anti-immigrant behaviour (like violence) we lose sight of the harmful potential of anti-immigrant sentiment. Many people hold prejudicial opinions about foreigners but do not act on these opinions.

Rather they merely pass these opinions on to their friends, family and co-workers. Under the right conditions, such opinions become a fertile soil that can reap a crop of prejudicial antagonistic behaviour. To resolve the problem, programmes to promote attitudinal change must be buttressed by the formation and maintenance of specially designed community-based conflict resolution structures and processes.

### **It requires courage**

The White Paper on International Migration has identified integration of international migrants as one of the country's immigration policy priorities. For integration programmes to be effective they will require significant investment from the public purse.

However, the spending of public money on integration programmes may be toxic in the current climate of public opinion. Politicians must show courage in the face of such opposition and support integration policies. In the long-term, such policies will benefit the country economically and culturally. Therefore, the South African government has a crucial role to play in promoting a multi-cultural and non-racial society.

### **Authors:**

Dr Steven Gordon, a post-doctoral research fellow, Dr Gilbert Fokou, an African research fellow, Dr Yul Derek Davids, chief research specialist, and Prof Nania Bohler-Muller, executive director of the HSRC's Democracy, Governance and Service Delivery research programme

### **Contact:**

sgordon@hsrc.ac.za





# ADULT EDUCATION AND TRAINING: CHALLENGES IN LOCAL MUNICIPALITIES

More than two decades after 1994, challenges in achieving universal literacy and education in South Africa remain. The Local Government Sector Education and Training Authority commissioned the HSRC to assess challenges in adult education and training at municipalities. *Prof Modimowabarwa Kanyane* reports on the findings.

After 1994, South Africa experienced socio-economic challenges due to widespread low levels of literacy, high rates of unemployment and poverty among its majority populations.

These low levels of literacy and numeracy were a by-product of apartheid's inferior quality Bantu Education system, which played a significant role in entrenching inequalities and poverty along racial and gender lines.

The new dispensation had to restore trust in the education space and ensure that citizens who had been born and lived in those difficult years receive a second chance to be educated through the provision of Adult Education and Training (AET). However, more than two decades after 1994, challenges in achieving universal literacy and education remain.

## **The importance of AET**

Research shows that educated people have a greater probability of being employed and it is important that training needs are based on the need to acquire skills that are in demand in the job market.

Effective AET promotes confidence among the adult population and this elicits active engagement in the social, economic and political development of the country.

The Local Government Sector Education and Training Authority (LGSETA) was established in 2000 to facilitate skills development at municipal level across South Africa.

It has enabled training for thousands of people, but commissioned the HSRC to find out why some municipalities still struggle to enrol participants and why some learners fail to complete their studies.

The findings of the HSRC study show that there are several challenges in the provision of AET in municipalities. Some pertain to learners' attitudes and personal circumstances, and others are structural and institutional or peculiar to a specific municipality.

**Many people still refer to AET as "night school" meant for uneducated people or for old people in a community**

***Slow adoption of the AET concept***  
About a decade ago, the Department of Basic Education (DBE) adopted the use of the concept of AET instead of Adult Basic Education and Training (ABET).

This represented a paradigm shift from adult education to adult learning based on the fact that learning takes place throughout a person's life and in many forms. Unlike ABET, AET also includes informal learning and lifelong skills training. The findings of this study show that the shift from ABET to AET has been rather slow among the relevant stakeholders. The LGSETA itself still refers to ABET and not AET in most of its reports.

***Stigma attached to AET***  
The stigma attached to the perceived inferiority of AET also accounts for why fewer students enrol every year.

Many people still refer to it as "night school" meant for uneducated people or for old people in a community.

***Absenteeism and dropping out***  
AET classes are characterised by absenteeism and dropping out. Learners miss classes mostly because of personal social challenges such as poor time management, behavioural traits such as heavy drinking or personal matters such as health and marital problems. Some learners opt out of programmes for no specific reasons.

Others feel discouraged during the course, failing to cope with workload and drop out at the end. They also drop out if the course content is "too easy" and perceived as boring.

***Teacher/facilitator absenteeism and turnover***  
When a facilitator does not pitch up for class or resigns and the service provider fails to find a replacement, lessons are cancelled and learning is postponed.

***Unsupportive supervisors***  
The role of line managers or supervisors of adult learners are crucial. Some do not give employees space and time to join the AET programme, especially if classes are conducted during the day. This may interrupt workflow, so supervisors are reluctant to release employees to attend.

***Transport***  
Some learners cited transport costs as the main reason for absconding or dropping out of the AET programme, especially in municipalities where AET classes are located a distance from the learners.

### ***Lack of incentives***

AET classes offer neither stipends nor food so learners would rather attend learnerships that offer stipends or even food during class.

### ***Conflicting priorities between work and learning***

Many students face the decision whether to opt for AET classes or to work overtime and earn extra money.

Employees who qualify for overtime allowances often prefer to make more money through standby allowances than attend AET classes. Some learners dodge work by pretending to be attending AET classes. Attending AET is similar to 'delayed gratification' and learners prefer opportunities that reward them immediately. Unemployed learners have to juggle between working informally and attending AET classes.

### ***The relationship between LGSETA and municipalities***

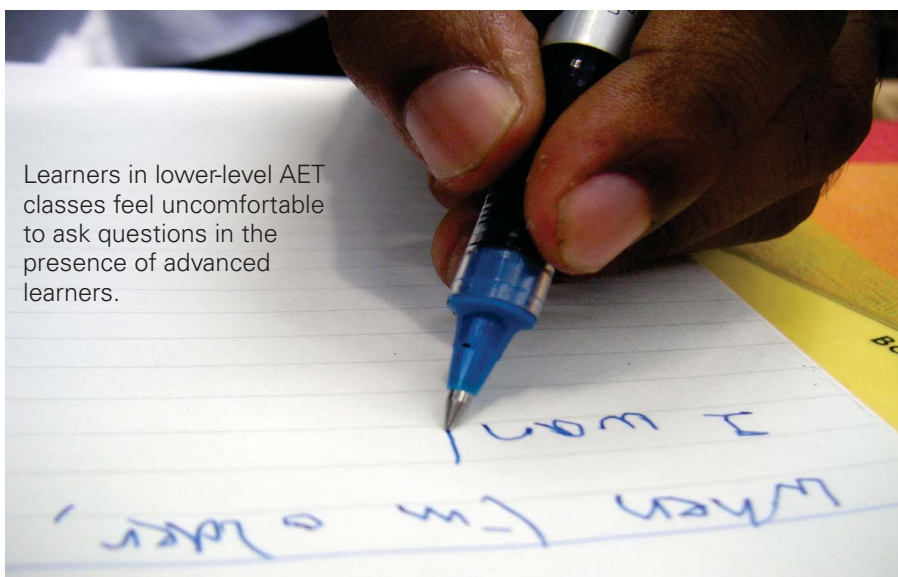
Municipalities feel that LGSETA timeframes are sometimes too tight thus affecting both municipality and service providers to have all the logistics done timeously, including the necessary documentation. As a result, municipalities forfeited some of the LGSETA grants for AET. In some cases, the LGSETA funding allocation was inadequate and those municipalities had to provide additional funding to offer the training.

### ***The condition of learning facilities***

The learning environment plays a significant role in the way learners perceive the AET classes. In one municipality, the venue was too cold and learners felt uncomfortable. In other cases, learners were not informed on time of abrupt venue changes.

### ***Mixing of intergenerational and different language learners***

Given the National Qualifications Framework training bands, AET classes sometimes combine learners from different levels (one to four). Learners in lower levels expressed unhappiness with this arrangement, as they felt uncomfortable to ask questions in a class consisting also of more advanced learners. Mother-tongue learners — often older people who never attended school — struggle in classes consisting of learners of all levels since they need additional assistance from teachers, which is time consuming.



Learners in lower-level AET classes feel uncomfortable to ask questions in the presence of advanced learners.

### ***Quality assurance***

Skills development facilitators are employed by municipalities to ensure quality, for example by tracking the progress of municipal employees who participated in training programmes. However, it is difficult to monitor quality for non-employee learners who attend through the DBE.

### ***Concluding remarks and recommendations***

As a country with challenges in addressing structural poverty and issues of inequality, education can become a vehicle to facilitate upward social mobility, but also to address structural inequality in the future. The researchers made the following recommendations:

- Learners interviewed indicated that there is need for the municipalities to provide transport to learning centres so that they can afford to attend classes.
- The Department of Higher Education and Training needs to rethink levels of AET to ensure that the learners can ultimately progress to Grade 12.
- Skills development facilitators recommended that they need a strategy to attract learners to enrol in AET for example, providing standardised incentives such as stipends, which are commonly provided in learnership programmes.

- There was a rather slow adoption of the term AET in most studies. Most studies analysed in this research still make use of the old acronym ABET instead of AET. Using the correct term will help to enforce new thinking about lifelong adult education and skills training away from the narrower "night school" concept.
- Finally, the interplay of inter-governmental relations among LGSETA, municipalities and the DBE is critical and all parties must have uniform quality assurance control of this AET programme. The LGSETA and the DBE must work together as a cluster to have an integrated quality assurance mechanism for employees and non-employee learners.

### ***Authors:***

Prof Modimowabarwa Hendrick Kanyane, research director, Nedson Pophiwa, chief researcher, Marie Wentzel, chief researcher, Johan Viljoen, senior researcher, Thabani Mdlongwa, PhD research intern, and Thobekile Zikhali, researcher, in the HSRC's Democracy, Governance and Service Delivery programme, as well as Prof Mncedisi Maphalala (University of KwaZulu-Natal), Tyanai Masiya (University of Pretoria), and Prof Mogege Mosimege (University of the Free State)

### ***Full report:***

[http://cdn.lgseta.co.za/resources/performance\\_monitoring\\_and\\_reporting\\_documents/AET%20Research%20Project.pdf](http://cdn.lgseta.co.za/resources/performance_monitoring_and_reporting_documents/AET%20Research%20Project.pdf)





# ECO-INNOVATION IN SOUTH AFRICA: POLICY NEEDED

Climate change, energy insecurity and increasing scarcity of resources are some of the major challenges faced in the South African economy. Although manufacturing industries show greater interest in sustainable production and adopting corporate social initiatives, and are innovating, an HSRC survey shows this does not always lead to environmental improvement, writes *Cheryl Moses*.

Faced with rising costs for producing goods and managing waste products, the competitiveness of enterprises and countries are increasingly linked to their ability to eco-innovate.

However, eco-technologies have been largely neglected in economic statistics and we know very little about the adoption of eco-innovations as a means of reducing environmental impact.

The Organisation for Economic Co-operation and Development (OECD) describes eco-innovation as the creation of new, or significantly improved, goods and services, processes, marketing methods, organisational structures and institutional arrangements that lead to environmental improvements with or without intent.

When unintended, the environmental benefit of eco-innovation can be a side effect of other goals, such as recycling heavy metals to reduce costs. Innovative products, services, processes or business models can benefit the environment by reducing pressure on natural resources and the emission of pollutants. It can also foster economic development.

However, market mechanisms alone will not provide an appropriate level of eco-innovation, at the right time — because markets may not value environmental benefits appropriately. This is why South Africa needs policy intervention.

## **Natural resources critical to socio-economic goals**

Sustainable development is a national priority for a rapidly developing country like South Africa because the country can no longer meet its socio-economic goals if its ecosystem and natural resources are depleted and degraded.

Several government departments, research institutions and particularly large private companies have developed policies, strategies and programmes to promote research and development in technological and non-technological innovations that have a favourable impact on the environment, whether deliberate or not.

Despite this commitment, the country does not have a specific national eco-innovation policy, probably because its national policy landscape is younger than those of most other member countries of the OECD.

## **Manufacturing industry - research findings**

In 2015, researchers looked at data from the South African Business Innovation Survey 2010-2012, conducted by the HSRC. The survey showed that at least 50% or more of the enterprises in the manufacturing sector were actively innovating (Figure 1).

The refined petroleum, coke and nuclear fuel sector had the highest number of innovation-active enterprises (86.1%), followed by food products, beverages and tobacco sector (80%).

However, most of the innovation-active companies did not introduce innovations with environmental benefits. The food products, beverages and tobacco products sector had the highest percentage of enterprises that reduced their CO<sub>2</sub> footprint due to innovations.

The highest percentage of enterprises that reported having recycled water due to innovations was in the manufacture of basic metals, fabricated metal products, and machinery and equipment.

This sector also had the highest share of enterprises with innovations leading to materials efficiency improvements.

The researchers observed that enterprises more often introduce innovations that result in reduced energy per unit output.

Results for the South African manufacturing sector confirm this trend by showing that 43.9% of all manufacturing enterprises introduced innovations that resulted in reduced energy per unit output.

## We need policy intervention because market mechanisms alone will not provide an appropriate level of eco-innovation

This was followed by 39% whose innovations led to a reduced CO<sub>2</sub> footprint.

The food products, beverages and tobacco products sector, and the basic metals, fabricated metal products, machinery and equipment sector had the highest percentage of enterprises that introduced innovations that led to reduction in soil water and noise pollution (Figure 2).

Recycling of waste, water or materials was a direct result of innovation implementation for a higher percentage of enterprises in the food products, beverages and tobacco products sector, the basic metals, fabricated metal products, and machinery and equipment sector and the refined petroleum, coke and nuclear fuel sector than the other manufacturing sectors.

### Implications for policy

Based on this study, the HSRC recommends that the government promotes support programmes for innovation with environmental benefits in the private sector. Government should also continue to offer incentives to businesses, especially small, micro and medium enterprises, to boost investment in renewable energy and the use of environmentally friendly practices.

Funding the environmental sector to create jobs with green growth is another critical focus for the creation of policies to support key manufacturing sectors to implement innovations with environmental benefits.

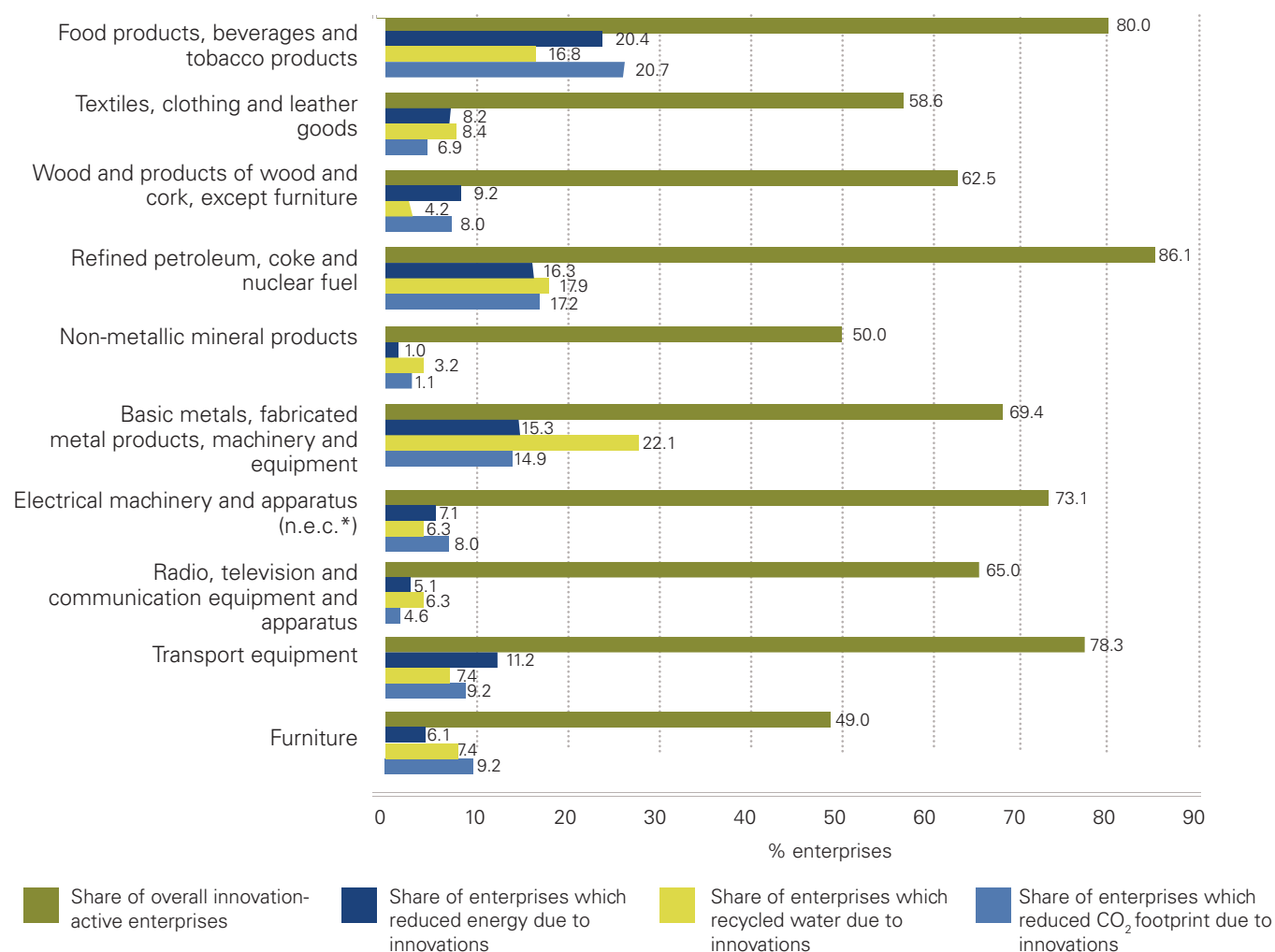
### Author:

Cheryl Moses, chief researcher at the HSRC's Centre for Science, Technology and Innovation Indicators

### Contact:

Cheryl Moses  
cmoses@hsrc.ac.za  
innovation@hsrc.ac.za

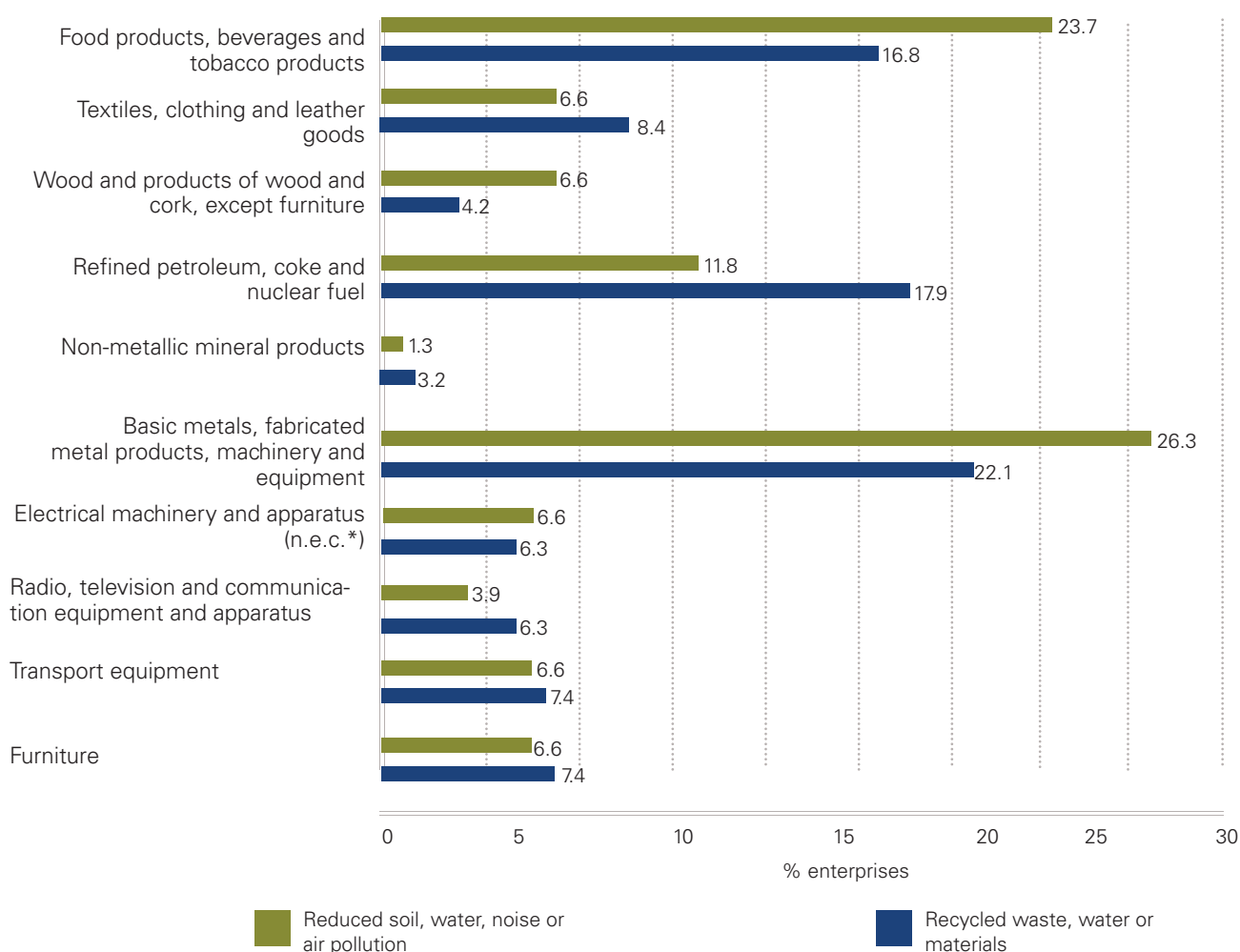
**Figure1:** Eco-innovative enterprises in the South African manufacturing sector (2010 - 2012)



Data Source: South African Business Innovation Survey 2010 - 2012, HSRC



**Figure 2 :** Share of enterprises that reduced pollution or recycled due to innovation



Note: \* not elsewhere classified

Data Source: South African Business Innovation Survey 2010 - 2011/2, HSRC

### The Business Innovation Survey 2014-2016

The Centre for Science, Technology and Innovation Indicators (CeSTII) is currently conducting the Business Innovation Survey 2014-2016, commissioned by the Department of Science and Technology, to deliver an internationally comparable report on innovation activities in key sectors of the South African economy. A team of specialist researchers and managers are collecting data from a random sample of 5 000 businesses ranging from very small to very large firms that operate in industrial and services sectors. The companies will answer detailed questions about their innovation activity in 2014-2016, as well as their views on barriers to innovation. The results, due to be published towards the end of 2018, will help the government draw up policies that respond to the rapidly changing realities facing businesses. The aim is to find out how innovative South African firms are in the sectors that are key to our economic growth strategies, and whether they are doing the kinds of innovation that can contribute to employment generating and inclusive economic development. The survey will also ask if there are enough people with the skills to innovate, and to harness the potential of the digital economy, and what the main barriers are that hinder more innovative activity. Given the pace of the digital era, the need for new, up-to-date and credible data is urgent.

More information: [sabizinnovationsurvey.blog](http://sabizinnovationsurvey.blog)



# BAMBOO FOR GREEN DEVELOPMENT IN SOUTH AFRICA?

Bamboo is a renewable resource that has many economic and environmental benefits. Because of its potential contribution to sustainable development, private companies and governments have begun to promote its commercialisation across Africa. A recent study led by HSRC researchers examined the opportunities and challenges of commercialising bamboo in South Africa.

Bamboo is the strongest, fastest growing perennial grass species that can reach up to 30m in height and 1m growth a day.

Some species can be harvested 3-4 years after planting and new technologies offer unprecedented opportunities for commercial production and local industrialisation.

More than 2 000 products can be made from bamboo with low- and high-skilled manufacturing.

Bamboo products are used in industries as diverse as bioenergy, construction, textiles, furniture, flooring, aircrafts, medicine and mining.

The global market value of bamboo is currently estimated at USD 3.6 billion.

As an alternative fibre, it offers important environmental benefits including climate change mitigation, adaptation and soil restoration.

## **The China industry**

The most important bamboo industry is in China, with a 7 000 years history of cultivation and use. China has approximately 6 million hectares of bamboo forests, an increase of 54% since the 1970s.

Between 1977 and 2003 its manufacturing capacity increased from fewer than 2 000 to 12 190 processing plants.

In some of the 'China Bamboo Hometowns', the bamboo industry contributes more than 20% of their gross domestic product and accounts for about 40% of total household income.

China accounted for 65% of world exports with an estimated value of USD 1.207 billion in 2013.

The world's largest import market is Europe, which represented 38% of total imports.

## **Bamboo in Africa**

In recent years, several African countries have partnered with the International Network for Bamboo and Rattan (INBAR) to establish large-scale bamboo plantations and processing plants, with the goal to turn degraded land into environmentally sustainable and economically viable landscapes.

South Africa is not part of the INBAR network, but interest in the bamboo industry started in 2011 when the Industrial Development Corporation (IDC) and the Eastern Cape Development (ECDC) co-hosted a Bamboo symposium in the Eastern Cape to promote commercial cultivation in the country.

The symposium led to the establishment of a few pilot projects and other forms of international and local investments.

Despite these developments, little is known about the actual opportunities, challenges and impacts of commercial bamboo in South Africa. This research project aimed to shed light on these issues.

From September 2016 to May 2017, researchers collected data through literature reviews, document analysis, 34 semi-structured interviews, a one-week site visit to KwaZulu-Natal including the Green Grid Beema Bamboo project, and a stakeholder engagement workshop in Durban.

## **South Africa's commercial bamboo landscape**

The researchers identified seven key commercial initiatives in the country with approximately 750 ha of land under cultivation (Figure1).

The projects range from individual farmers experimenting with bamboo cultivation and harvesting to small corporate social investment programmes to offset carbon emissions to large-scale plantations for alternative fibre and bioenergy production.

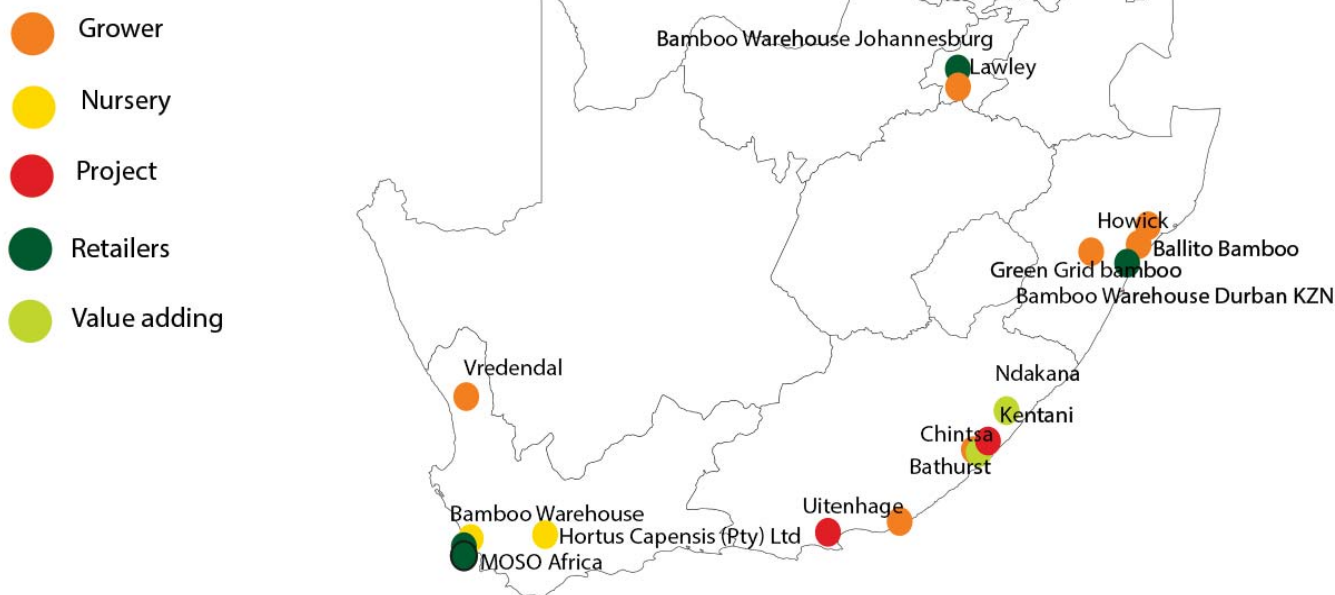
EcoPlanet Bamboo and Green Grid Beema are the two largest projects, each cultivating more than 300 hectares of bamboo.

EcoPlanet Bamboo in the Eastern Cape belongs to a leading multinational company specialising in substituting wood fibre products with bamboo.



**Figure 1: Bamboo activities in South Africa**

## Bamboo activities



Green Grid Beema Bamboo in KwaZulu-Natal received funding from South Africa's Green Fund and is a national demonstration project for generating bioenergy from bamboo.

Smaller bamboo projects also operate in the Eastern Cape or KwaZulu-Natal, because these provinces are considered to be the most conducive regions for commercial growing due to soil, climate and rainfall conditions.

In addition to commercial growers, there are nurseries/tissue culture companies, specialised retailers, government agencies and consulting companies across the country, which have engaged in the local bamboo industry (Figure2).

Nurseries and tissue culture companies have been very influential in promoting the commercialisation of bamboo. They propagate and harden young bamboo species for South Africa's commercial growers.

They import selected species and prepare them for planting. The two largest projects (EcoPlanet and Green Grid) established their own nurseries at the project sites.

Bamboo products can be found in the major retail stores and there are three specialist retailers in the Western Cape, KwaZulu-Natal and Gauteng.

Several government departments have provided support to bamboo growers and have shown interest in promoting local commercial cultivation and manufacturing.

Private consultants, who have developed a wide range of expertise on local bamboo cultivation, have provided support and information to all stakeholders identified.

### Major challenges in South Africa

The research project was the first attempt to assess the local bamboo industry and identify the most important opportunities and challenges of commercial bamboo growing in South Africa.

The findings revealed promising opportunities for bamboo products, but project owners must find ways to overcome considerable challenges.

Access to land is a big challenge because much of the land that has high potential for bamboo growing is under traditional authorities and communal governance.

Project developers face difficulties with internal community dynamics and complex land tenure arrangements. These difficulties resulted in delays of many of the projects, some stopped altogether.

Because bamboo is relatively new in South Africa, there is much uncertainty over market demand in local bamboo products and there are no appropriate insurance instruments for growers against unanticipated losses.

Financial institutions are reluctant to invest because of the perceived risks and uncertainty.

Bamboo growers face technical challenges, including problems with the establishment of infrastructure, nurseries, planting, growing and maintenance, harvesting and processing.

Often, these challenges resulted in unforeseen expenses. There are also many policy and regulatory uncertainties.

For example, it was not clear whether national government regards bamboo as a grass or a tree, which, among other factors, hampered the development of an enabling regulatory framework.

Although bamboo is promoted as an environmentally sustainable resource, its commercialisation can negatively impact on the environment through land conversion, biodiversity loss, invasiveness and water consumption.

The invasiveness of some bamboo species can threaten biodiversity and ecosystem services. There is also a lack of information on the total water usage of bamboo.

### Way forward

We need much more research and policy attention to support the nascent bamboo industry and to create an appropriate regulatory environment that can maximise the socio-economic benefits and minimise environmental risks that come with commercialisation.

There are many uncertainties about the social, economic and environmental impacts of large-scale commercial bamboo plantations.

Therefore, an important first step would be to establish inclusive platforms to discuss the most important challenges and to identify solutions.

Pilot projects need to be incentivised to share lessons learnt and build national capacity. Stakeholder forums should be regularly conducted to build local knowledge and experience.

More market research is required to better understand the specific opportunities of bamboo in South Africa.

### Authors:

Dr Andreas Scheba, project leader and post-doctoral fellow of the HSRC's Economic Performance and Development programme, HSRC research assistant Setsoheng Mayeki, and Dr Ryan Blanchard, senior researcher at the Council for Scientific and Industrial Research and the Centre for Invasion Biology at Stellenbosch University.

### Support:

Dr Amber Huff from the Institute of Development Studies and STEPS Centre in the UK supported the project through a Governing the Nexus grant from the Economic and Social Research Council and a British Academy Newton Mobility grant.

### Report:

[The full report can be downloaded at hsrc.academia.edu/AndreasScheba](https://hsrc.academia.edu/AndreasScheba)

It was not clear whether national government regards bamboo as a grass or a tree, which hampered the development of an enabling regulatory framework.

**Figure 2: Key stakeholders in South Africa**





# CORRUPTION HURTS LOCAL INNOVATION

As South Africa grapples with growing the economy and sustainable socio-economic development, it is often said that innovation is the silver bullet to help the country achieve its developmental goals. *Dr Alexis Habiyaemye* writes about how corruption stifles innovation.

Innovation can significantly improve the lives of millions of poor South Africans and their chance for economic participation, through the provision of better and cheaper goods and services, in health, transport, and e-government. It can help South Africa diversify from its traditional commodity-based economic model, which has not led to the reduction of inequalities in recent decades. According to the World Bank's South Africa Economic Update released in September 2017, innovation can raise South Africa's competitiveness, allow for breaking into new markets and create jobs.

## Foreign investment and corruption

In a 2002 study entitled, 'Foreign Direct Investment for Development: Maximising Benefits, Minimising Costs, the Organisation for Economic Co-operation and Development' wrote that "a preponderance of studies shows that foreign direct investment triggers technology spillovers [which] helps create a more competitive business environment and enhances enterprise development. All of these contribute to higher economic growth, which is the most potent tool for alleviating poverty in developing countries."

The HSRC and Wladimir Raymond from Statec Luxemburg recently published a study entitled 'How do foreign firms' corruption practices affect innovation performance in host countries? Industry-level evidence from transition economies'. They looked at the question of how corruption impacts on technology transfers, research and development, and innovation and found that trans- and multinationals do not necessarily support local research, development and innovation.

## Looking at 30 countries

We used data from the fourth wave of the European Reconstruction and Development Bank's World Bank Business Environment and Enterprise Performance Survey. This survey was launched in 2008-2009 to collect

data for the 2005-2007 period using approximately 12 000 enterprises in 30 countries from Eastern Europe and Central and Western Asia. To understand corruption at industry level, we distinguished between grand and petty corruption.

Grand corruption refers to large-scale corrupt acts involving important government officials, including those who make decisions about public procurement contracts. Petty corruption usually involves the payment of 'speed money' to 'grease the wheels' or 'to get things done' in cases where inefficient bureaucracy or complex regulations impede a business transaction. We also looked at the roles of domestic firms versus foreign firms in the host economy.

Our study finds that transnational corruption is detrimental to innovation in host countries, but benefits foreign firms that are involved.

## Findings

We found that an increase in foreign firms engaging in grand corruption in an industry discourages investment in research and development, reduces the likelihood of upgrading existing lines of products and/or services and stifles the development of new products or services for all firms in the same industry.

An increase in the proportion of domestic firms with petty corruption activities decreases the likelihood of research and development and incremental innovation. Speed money (bribery) paid by foreign firms supports better innovation output which is imported from the home country. The innovation outputs and research and development in the host country is therefore unaffected while there is an absence of the transfer of skills and knowledge.

The significance of this study is that this is the first time that corruption has been categorised in this way to assess the impact on local innovation and research and development.

## Implications and recommendations

Our study finds that transnational corruption is detrimental to innovation in host countries, but benefits foreign firms that are involved. Since their corrupt behaviour in host countries affects primarily innovation efforts and incremental innovation, this puts non-corrupt domestic firms in host countries at a disadvantage as research and development is the most important input to new and improved products.

Subsidiaries of multi-national enterprises can rely on their access to foreign technologies for the innovative outcomes in their host countries and reap the benefits of corruption without bearing its full costs.

With these insights in mind, it will be important for countries to be more vigilant about the impact of corruption on actual investments in domestic research and development, innovation and technology transfers. Efforts to tackle corruption must be directed not only towards local officials but also towards foreign corporate managers.

This will be crucial as South Africa prioritises building the requisite capacity to move into the digital economy to access the opportunities presented by the 4th Industrial Revolution.

## Author:

Dr Alexis Habiyaemye, researcher in the HSRC's Economic Performance and Development programme

## Contact:

ahabiyaemye@hsrc.ac.za

The full study is offered by Taylor and Francis in free access and can be found at: <http://www.tandfonline.com/doi/full/10.1080/14479338.2017.1367626>





# INNOVATION IN LOCAL MUNICIPALITIES: TOOL SHOWS OFFICIALS LACK CAPABILITY

Local municipalities are at the coalface of service delivery. We expect officials at this sphere of delivering basic social services to communities to be the drivers and managers of innovations at the local level, yet little information exists on their ability to do so. *Drs Sikhulumile Sinyolo, Irma Booyens and Peter Jacobs* share new evidence on the innovation capabilities of municipal officials and the tool used to assess innovation maturity.

Inadequate service delivery has led to unrest in various municipalities across South Africa. In many cases, innovation, including the introduction of new or improved approaches and technologies to improve the operations of a local municipality, may be the answer to these challenges.

However, we can only attain successful innovation in service delivery if the capacity of the municipal officials to implement and manage these innovations is increased. As a starting point, we need to identify the current strengths and weaknesses of municipalities' innovation abilities. To obtain reliable, timely and meaningful information about innovation capabilities requires appropriate measurement tools.

This is crucial, especially in light of the innovations that are being piloted across the rural district municipalities as part of the Innovation Partnership for Rural Development Programme. This programme puts the municipalities at the forefront of the implementation of these innovations.

## A local tool

There is, however, a lack of an appropriate and adequate instrument for understanding and measuring the innovation capabilities of the municipal officials in South Africa.

The tools designed in the developed country contexts are not a good fit for developing countries such as South Africa.

These approaches rely heavily on the conceptualisation and measurement of innovation in the private sector, despite the differences in the functions and objectives of the public and private sector in South Africa.

To address this gap, the HSRC was tasked by the Department of Science and Technology to develop the Municipal Innovation Maturity Index (MIMI) for South Africa.

## What is the MIMI?

The MIMI is a tool for measuring innovation capabilities at the local municipal level. It focuses on the capabilities of individual employees and municipalities to learn and implement innovation towards improving public service delivery. The idea is to determine the 'innovation readiness' (maturity) of local municipalities to adopt innovations aimed at improving the delivery of basic public services, particularly water, sanitation and energy services.

The index includes indicators that focus on maturity in relation to the municipality's knowledge generation and sharing activities, collaboration

and partnerships for innovation. It also measures their level of innovation understanding, openness for innovation, leadership and management support for innovation. Furthermore, the index deals with issues of good governance as well as organisational enablers of innovation.

## The MIMI structure

The MIMI consist of a 33 item scales, grouped into four sub-constructs.

The sub-constructs include: (a) organisational enablers of innovation; (b) leadership and management support; (c) individual activity; and (d) individual capabilities.

The overall index is formed by merging all the item responses.

The MIMI, unlike many other innovation assessment instruments, does not rely on Likert-type scale responses. The latter is used to measure attitudes, feelings or opinions, and respondents specify their level of agreement or disagreement on a symmetric agree-disagree scale for a series of statements, for example, 'strongly agree' or 'strongly disagree'.

The MIMI uses maturity level descriptors, as shown in Table 1.

**Table 1: MIMI maturity levels**

Maturity level 1	Maturity level 2	Maturity level 3	Maturity level 4
Limited, if any	Define & apply	Manage & entrench	Share learning externally
Limited, if any, awareness or evidence of innovation on the part of individual officials or the organisation.	Innovation is defined, applied and repeatable. Officials understand innovation principles, but innovation activities occur irregularly.	Innovation is managed and innovation principles are entrenched in the organisation. Officials seek to optimise and evaluate solutions, and improve on these for internal benefit.	Innovation is open and outward looking. New knowledge is applied creatively, based on evidence, in different contexts and shared with others outside of the organisation.



These descriptors, which are provided for each item, help the officials to understand their levels of innovation maturity, to interact with the tool, and to identify the gap between their current levels and the higher maturity levels. This approach enhances the reliability of the instrument.

### Developing the MIMI

The process of developing the MIMI involved several steps. The first step involved consulting relevant literature to get a preliminary understanding of conceptual or theoretical issues pertaining to designing tools to measure local municipality innovation.

The first instrument draft was then designed, anchored on the literature. Experts and municipality officials then conducted reviews that resulted in several revisions of the instrument. The instrument was then piloted in six local municipalities, involving 18 respondents.

The results of the testing phase were presented in learning forums and other platforms, leading to major revisions and improvements of the MIMI.

### Results from baseline data

The HSRC used the revised instrument to collect data from six municipal districts, interviewing a total of 34 municipal management and operational officials.

Overall, the initial analysis of the baseline data indicates that the instrument is valid, in addition to being a strong and powerful tool for understanding innovation capabilities at local councils.

### Municipalities have not reached a stage where innovation principles are entrenched in the organisations.

Figure 1 shows the simple average maturity scores from the baseline survey data. The overall mean score for all the four constructs was 2.5, meaning that the surveyed municipalities' maturity level is between maturity level 2 and maturity level 3. This suggests that, while the municipalities are aware and understand innovation, they have not reached a stage where innovation principles are entrenched in the organisations.

Municipalities are far from being at maturity level 4, which is about outward looking behaviour where municipalities share information and practices outside for greater impact.

Figure 1 indicates that the average scores for the three constructs were the same, with only the organisational enablers construct receiving a lower average score.

This implies that improving the innovation maturity of these municipalities would require a holistic intervention that will address the organisational, leadership and the individual capabilities.

### Concluding remarks

The MIMI results have shown that levels of innovation maturity in municipalities are currently low, with most municipalities operating at the level of innovation just above awareness and definitions. This suggests that more needs to be done to foster and entrench an innovation culture at local municipalities.

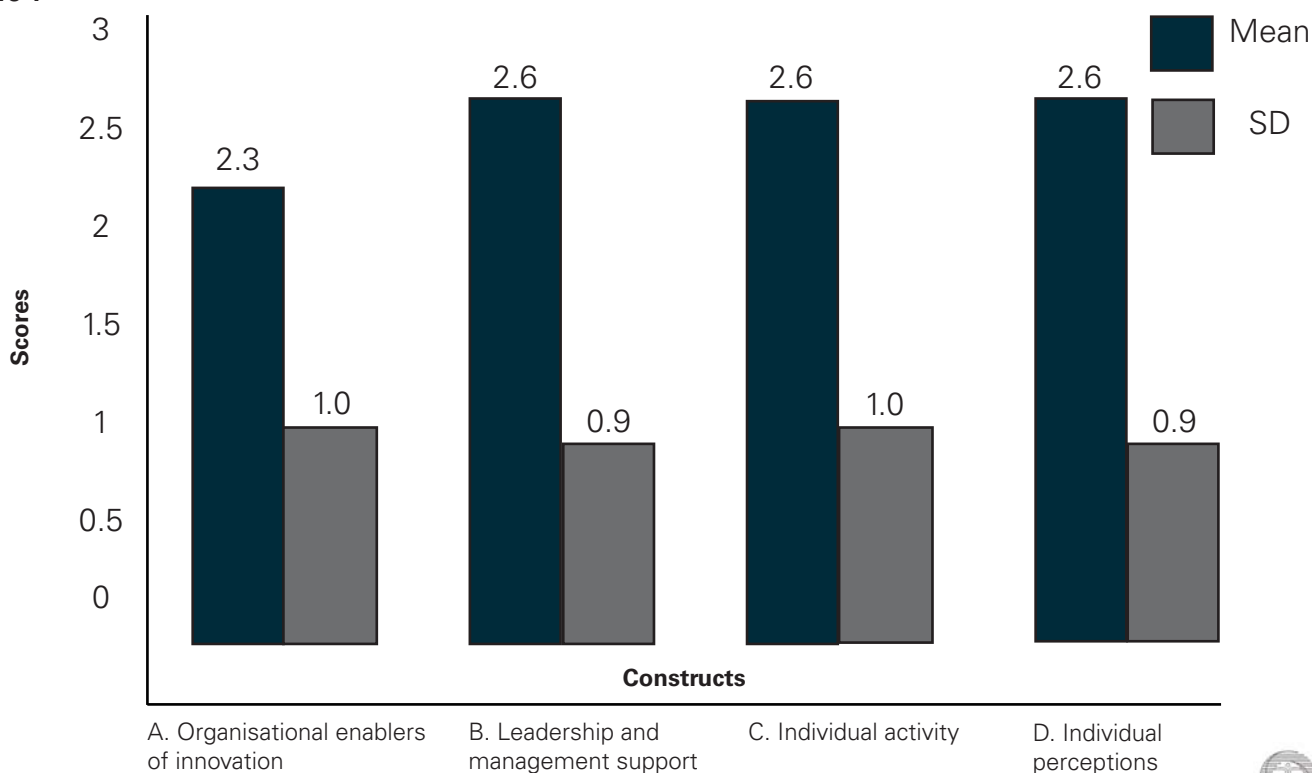
The focus should be on learning and creating an enabling environment for innovation, otherwise the innovations being demonstrated in these municipalities would not be successfully implemented and rolled out on a larger scale. Management and leadership need to provide more support to enhance innovation activities in relation to addressing service delivery challenges.

### Authors:

Dr Sikhulumile Sinyolo, research specialist, Dr Irma Booyens, senior research specialist, and Dr Peter Jacobs, research director, in the HSRC's Economic Performance and Development research programme

**Contact:** [ssinyolo@hsrc.ac.za](mailto:ssinyolo@hsrc.ac.za)

**Figure 1**



# ON THE AGENDA: INNOVATION, DEVELOPMENT AND TRANSFORMATIVE CHANGE

In January, the 2018 HSRC's Innovation and Development Week brought together local and international researchers and South African policymakers to reflect on current and future priorities in these domains. *Drs Il-haam Petersen and Glenda Kruss*, who led the interactions, explain why connecting innovation to development is key for South Africa.

Innovation has the potential to advance social and technological progress, but at the same time widen inequalities, especially in low-income and emerging economies.

So how do we understand the link between innovation and development in our local contexts? What research and policy tools will bring about transformative change in the South African economy and society?

These questions formed a focus of the 2018 HSRC Innovation and Development Week.

## **Local innovation and production systems matter**

Due consideration of the social, economic and institutional context of innovation necessitates a focus on territory and the local level. Therefore, the theme for the week was Local Innovation and Production Systems (LIPS).

The LIPS framework is based on a systemic approach to understanding innovation.

It highlights the importance of linkages between different components of the production value chain and how wider economic, social and institutional contexts influence these components. Important role players include universities, national, provincial and local government, firms, users of innovation and community-based organisations.

Critically, it recognises the impact of social relations and power, the role of strong co-ordinators and intermediaries, and linkages to regional, national and other local systems.

Two Brazilian economists, Profs Helena Lastres and Jose Cassiolato, who have developed a LIPS framework and methodology through decades of empirical research in Brazil attended. They are the co-ordinators of the Research Network for Local Systems of Innovation (RedeSist) at the Federal University of Rio de Janeiro.

## **Building local capabilities through community engagement**

The week started with an interactive workshop on how universities and science councils can work with communities to build local capabilities.

Questions raised included whom innovation is for, at which point communities should be included (e.g. dissemination), how we can bridge the divides between universities, communities, policymakers/government, and the private sector, and how we can reorient our formal knowledge systems to better address development needs in our local context.

The HSRC's Dr Alexis Habiyaemye emphasised the importance of creating spaces for co-learning and user-centred innovation.

Bibi Bouwman, the chair of the South African Higher Education Community Engagement Forum suggested that 'systems thinking' holds promise. She emphasised the need for a profound debate' about how community engagement should be funded.

Thomas Swana, the CEO of the Philippi Economic Development Initiative, stressed that we need to ground debates, discussions, analytical approaches and models in the 'realities' of communities.

Referring to impoverished areas like the Philippi township area, he said communities are already grappling with development issues and there is a desperate need for immediate action.

Swana and Kayla Brown from the Sustainable Livelihoods Foundation spoke about the complexities and opportunities for development in Philippi, as well as the challenges for understanding innovation in this context.

Township taxi services in the area was one example. This includes the 'Amaphela' taxis that transport small groups around Philippi. While these services show creativity and responsiveness to local needs, they do not necessarily fit the conventional definition of innovation as defined, for example, in the Oslo Manual used globally to measure innovation, usually in higher income contexts.



How, then, do we understand and measure these kinds of innovative activities in our poorer local areas and bring them to the attention of policymakers?

### **Innovation for transformative change**

In his opening address at the HSRC's 6th Annual Innovation and Development Lecture held during the week, deputy-director general of the Department of Science and Technology (DST), Imraan Patel, challenged South Africans to think about innovation policy 'from a perspective of transformative change'.

This is the impetus of the government's new white paper for science, technology and innovation (STI), he said.

Lastres, who is based at the Institute of Economics at the Federal University of Rio de Janeiro, delivered the lecture. A key message was that innovation could be instrumental for development, if we use approaches and models that recognise the contextualised and systemic nature of innovation and development processes.

There should be a shift in emphasis from promoting technology imports to building capabilities

"Innovation policies can and should contribute to reduce regional and social inequalities and exclusion," she said. "This also highlights the need to contextualize teaching, research, analytical and policy frameworks."

Lastres also pointed out that the dominant analytical and policy frameworks tend to be based on 'de-contextualised' theories and methodologies that render much of reality invisible. As a result we can end up with a distorted view of the role of innovation in development, leading to the tendency to focus on specific sectors (usually manufacturing), specific types of firms (mainly large R&D-performing firms) and higher-income regions, she said.

Our distorted views are thus likely to reinforce inequalities.

### **Conceptual models are not neutral**

Lastres stressed that a necessary first step to orienting innovation to inclusive development is to rethink the tools we are using. Indicators, and the frameworks and models on which they are based, are simplifications of reality. These simplifications are necessary to study and manage complexity.

She cautioned against assuming that the tools we use are 'neutral'.

In fact, these may actually perpetuate inequalities by focusing on some social groups and excluding others. We need to be mindful of how we select lenses, frameworks and models from elsewhere, Lastres said.

### **A role for the state?**

In her lecture, Lastres also suggested that the role of the state is to ensure coherence, coordination and continuity of innovation policies.

Innovation policies should stimulate the formulation of contextualised solutions for development.

There should be a shift in emphasis from promoting technology imports to building capabilities, and interactive and dynamic local and national production and innovation systems.

In this way, we can develop policies that stimulate the building of capabilities to generate, assimilate, use, accumulate and diffuse knowledge while fostering interactions and synergies among actors performing different functions within the systems.

Another key emphasis for government should be to facilitate public procurement of goods and services as a way to foster production and innovation.

### **The measurement challenge**

To measure innovation, we need to understand and then make it visible. With this in mind, the DST and various South African research groups held a workshop to design a framework for measuring innovation for inclusive development in South Africa.

The purpose was to assess the measures that policy makers use and current research being conducted to identify research gaps to contextualise STI measurement.

The DST's Nonhlanhla Mkhize pointed out that innovation for inclusive development is a key issue in South Africa's STI policy and in international development policy.

Lastres urged participants to work with a broader definition of innovation; that is, as 'the pragmatic use of knowledge of all types in the production of goods and services'.

She commended South African research and policy communities for their solid grasp of the careful balance of timeframes, government priorities and measurable indicators that create the regulatory environment in which innovation for inclusive development can thrive.

### **Returning to the local**

The week ended with a policy roundtable on building local innovation and production systems attended by representatives from the DST, the Department of Higher Education and Training, the Department of Trade and Industry, the Department of Environmental Affairs and Sustainability, and the Agricultural Research Council.

The roundtable was set up as a space for co-learning and sharing, with Lastres and Cassiolato sharing lessons from their experience in working in both academic and policy spaces in Brazil.

Their contribution was significant in shifting the policy orientation from the national level to the local and regional opportunities and conditions for innovation and development.

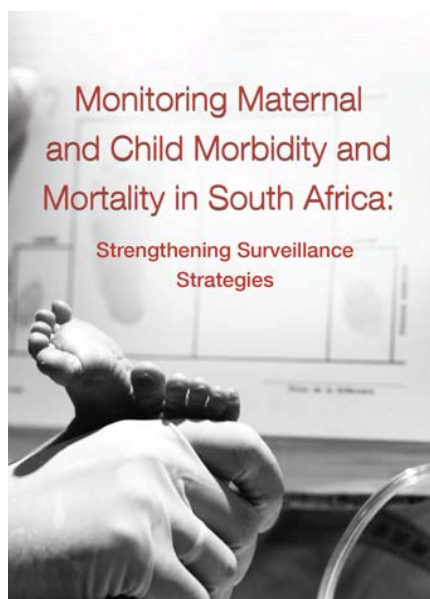
### **Authors:**

Dr Il-haam Petersen, senior research specialist, and Dr Glenda Kruss, deputy executive director, of the HSRC's Centre for Science, Technology and Innovation Indicators

### **Contacts:**

gkruss@hsrc.ac.za  
ipetersen@hsrc.ac.za





Price R295,00

## Monitoring Maternal and Child Morbidity and Mortality in South Africa

Strengthening surveillance strategies

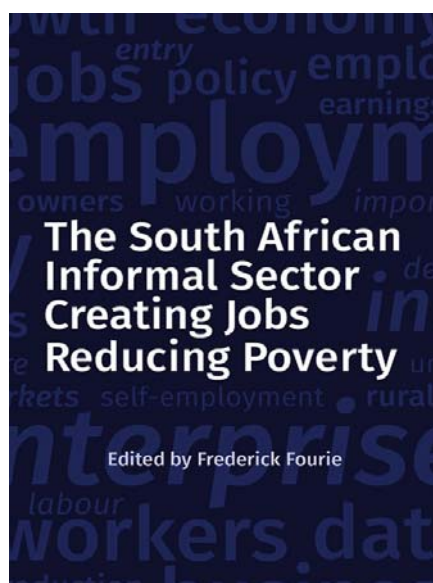
Author:	Maluleke TX, Hongoro C, Labadarios D, Ncayiyana DJ, Freeman, J et al.
Pub month and year:	March 2018
ISBN soft cover:	978-0-7969-2536-7
Format:	235 x 168 mm
Extent:	328 pages
Rights:	World rights

### About the book

In the last decade, South Africa has made significant progress in reducing child and maternal mortality rates. Although progress has been made in improving levels of maternal and child morbidity and mortality, it is important to indicate that data used are based on varied sources and systems that sometimes yield conflicting data.

South Africa has a well-established statistics system. However, not all deaths are registered and the quality of the cause-of-death information is often inadequate.

The Improvement of Maternal and Child Morbidity and Mortality Surveillance (MIMMS) project was initiated to address challenges, bottlenecks and short comings within the surveillance system that compromise the efficiency and effectiveness of the system. *Monitoring Maternal and Child Morbidity and Mortality in South Africa* is a critical resource that gives insight to the current state of the existing surveillance system and how to strength strategies for monitoring maternal and child morbidity and mortality.



Price R290,00

## The South African Informal Sector: Creating Jobs, Reducing Poverty

Editor:	Frederick Fourie
Pub month and year:	March 2018
ISBN soft cover:	978-0-7969-2534-3
ISBN PDF:	978-0-7969-2530-5
Format:	168 x 240 mm
Extent:	512 pages
Rights:	World rights

### About the book

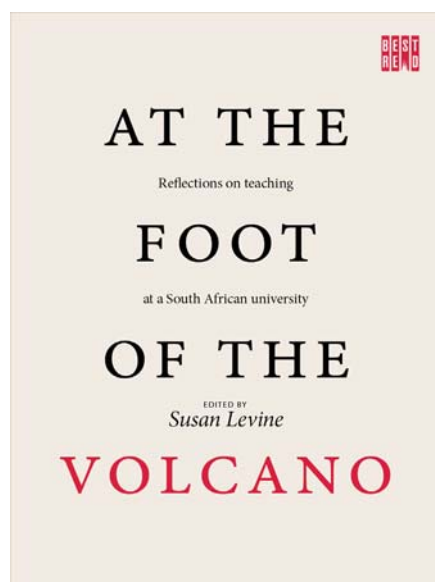
Although South Africa's informal sector is small compared to other developing countries, it nevertheless provides livelihoods, employment and income for millions of workers and business owners. Almost half of informal-sector workers work in firms with employees. The annual entry of new enterprises is quite high, as is the number of informal enterprises that grow their employment. There is no shortage of entrepreneurship and desire to grow.

However, obstacles and constraints cause hardship and failure, pointing to the need for well-designed policies to enable and support the sector, rather than suppress it. The same goes for formalisation. Recognising the informal sector as an integral part of the economy, rather than ignoring it, is a crucial first step towards instituting a 'smart' policy approach.

*The South African Informal Sector* is strongly evidence- and data-driven, with substantial quantitative contributions combined with qualitative findings – suitable for an era of increased pressure for evidence-based policy-making – and utilises several disciplinary perspectives.

*'This volume embodies analytical excellence. I look forward to its impact on policy-making in South Africa and the world.'* – Ravi Kanbur, Cornell University





Price R195,00

## At the foot of the volcano

Reflections on teaching at a South African university

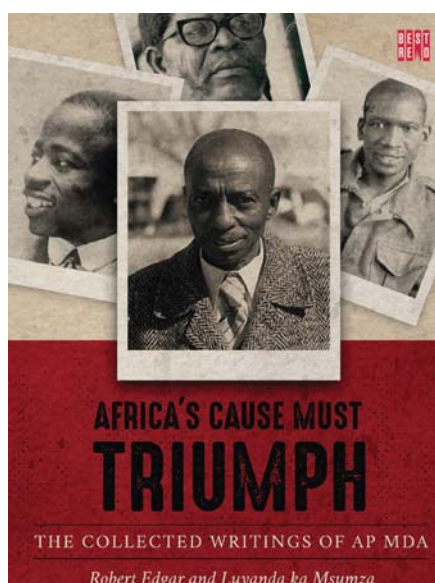


Editor:	Susan Levine
Pub month and year:	March 2018
ISBN soft cover:	978-1-928246-19-0
Publisher:	BestRed
Format:	176 x 250 mm
Extent:	176 pages
Rights:	World rights

### About the book

At a time of robust public contestation about higher education in South Africa, *At the Foot of the Volcano* focuses on the personal journeys of university lecturers as ordinary people. The lecturers, based predominantly at the University of Cape Town, share a passion for inspiring our country's next generation of scientists, health care workers, social scientists, poets, essayists, musicians, urban planners, anthropologists and chemists.

Too often Information and Communication Technology is offered as the panacea for course content in uncertain times. *At the Foot of the Volcano* suggests that no amount of technological innovation can stand in the place of building relationships with students, finding ways to instil passion for our disciplines, and an awareness of the sources of structural inequality that underpin the current political climate across higher institutions.



Price R270,00

## Africa's cause must triumph

The collected writings of A.P. Mda



Authors:	Robert Edgar and Luyanda ka Msumza
Pub month and year:	March 2018
ISBN soft cover:	978-1-9282-4627-5
Publisher:	BestRed
Format:	235 x 168 mm
Extent:	448 pages
Rights:	World rights

### About the book

The Class of '44', the founders of the African National Congress Youth League (CYL) in 1944, includes a remarkable list of names: Nelson Mandela, Walter Sisulu, Oliver Tambo, Anton Lembede, and Ashby Peter (A.P.) Mda. While much has been written on the others, relatively little attention has been paid to Mda, the Youth League president from 1947 to 1947 whom his peers regarded as the foremost political intellectual and strategist of their generation. He was known for his passionate advocacy of African nationalism, guiding the ANC into militant forms of protest, and pressing activists to consider turning to armed struggle in the early 1950s.

In his late teens Mda began leaving a rich written record—through letters and essays in newspapers, political tracts and speeches, and letters to colleagues—that allows us to chart the evolution of his views throughout his life not only on politics but also on culture, language, literature, music, religion, and education.