

2009

**IMPACT ASSESSMENT OF THE ROCKEFELLER BROTHERS
FUND HIV/AIDS RESEARCH GRANTMAKING IN SOUTH AFRICA
(2002-2009)**

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Disclaimer: This report is the outcome of an independent evaluation and does not necessarily represent the views of the Rockefeller Brothers Fund.

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1 History and background

Since 2002, the Rockefeller Brothers Fund (RBF) has supported a cluster of research and policy-oriented grants that explore the long-term impact of HIV/AIDS on South African society. This was conceived as a step in implementing the RBF's new focus on improving the understanding of links between HIV/AIDS and development issues in South Africa. Through its grantmaking work the Fund has sought to contribute to the development of integrated responses to the broad societal impacts of the HIV/AIDS epidemic.

It became apparent in early consultations that there was a critical lack of empirical research documenting the impact of HIV/AIDS on development issues in South Africa. Solid research data was needed in strategically chosen areas which would appeal and make sense to policymakers, government leaders and others leading priority setting and social responses to the epidemic.

The initial concept of funding research was to spark a debate around the current research agenda related to HIV/AIDS and development issues; to build the capacity and network of researchers in this field; to begin to map research gaps; and to consider how best to disseminate research findings.

Early identification of needed research included the impacts of HIV/AIDS on: the military and the police; political parties, structures, and processes; the government's ability to deliver critical services; food security; and sustainable livelihoods. As the programme grew, the categories of research were clustered into three areas of substantive concern to the Fund: democracy and governance, sustainable development, and peace and security.

Programmes for supporting research relevant to policy and practice were commenced in each of these three areas. In addition, a second arm of RBF grantmaking in South Africa included a range of research projects focusing on basic education and vulnerable children (BEVC).

This evaluation research was commissioned to evaluate the impacts of the research grants since 2002.

2 Objectives of evaluation

The evaluation aimed to:

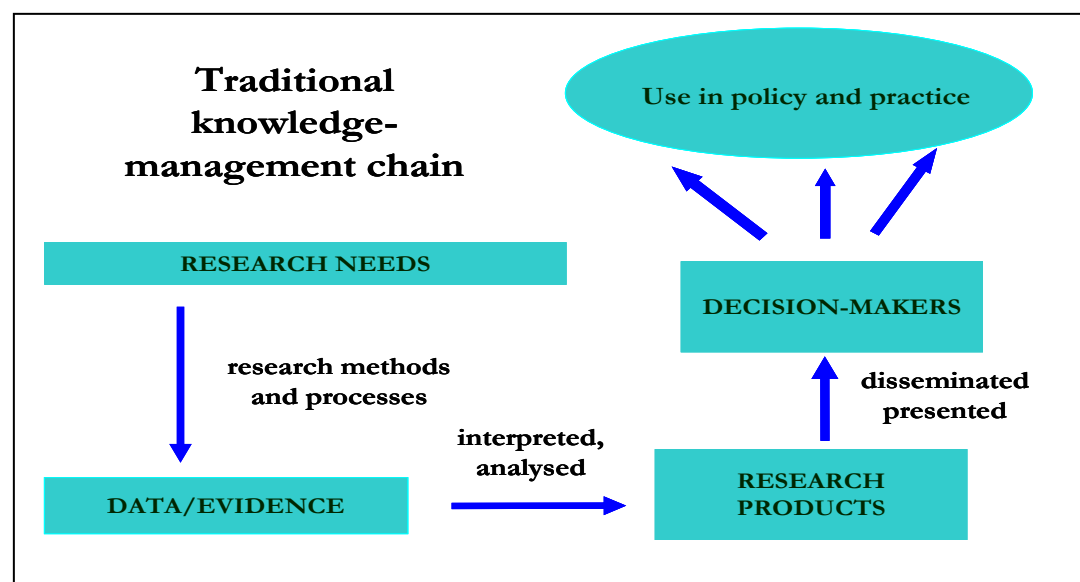
- Develop a conceptual framework for the RBF and its grantees to use in consideration of the impacts of supported research, research dissemination, and advocacy activities on policy and practice;
- Determine the impact of the RBF research grant projects over the past five years on policy and practice in each of the three project areas, as well as the BEVC programme, and, where appropriate, for individual projects;
- Document the achievements and determine the sector-level impacts of RBF-funded projects in the four areas covered;
- Make recommendations about the future focus and methodology for supporting grantmaking activity on the part of RBF, so as to optimise the grant programme in mitigating the impacts of HIV/AIDS on society;
- Develop recommendations for the Fund about the structuring of research grantmaking in order to enhance overall programme impact; and
- Make recommendations in terms of improving the impacts of particular grant projects.

3 Methodology

3.1 Conceptual approach

The rubric of 'knowledge management' is increasingly used to develop systems for generating, managing and utilising information. It is in some respects useful to conceptualise a programme for promoting research utilisation in knowledge-management terms (see Figure 1).

Figure 1: The linear knowledge-management chain'



However, linear or 'chain' models (like the one sketched above), begin to look simplistic and inappropriate when one considers the dynamics of influence between research, policy and practice.

Researchers and research organisations may not have the skills, capacity or interest to 'activate' their research products on a larger stage, despite having generated findings with relevance to policy and practice. Much policy change occurs through the work of coalitions and networks of like-minded groups who pursue a common strategy over time — yet many research institutions are not adequately engaged with such coalitions. They are often not attuned to the dynamics of policymaking or the processes through which policies are translated into practices.

The policy environment is not well defined, and it is unpredictable and slow-moving. It is populated by a wide range of actors, some of whom may be working in opposition to one another, making the influences on change difficult to identify. Moreover, research grant cycles are usually relatively short, while policy change processes take place over years.

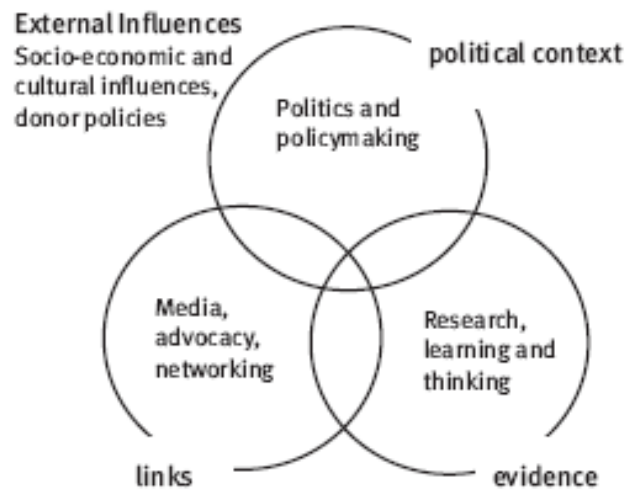
The Overseas Development Institute² points to three overlapping sets of factors at

¹ Kelly, K., Colvin, M. & Aphane, D. (2007) *Assessment of HIV/AIDS research practice and use in Swaziland: Towards a national research strategy*. Commissioned by NERCHA. Grahamstown: CADRE. Available at www.cadre.org.za

² Overseas Development Institute (2004) *Bridging research and policy in international development. An analytical and practical framework*. Briefing Paper. London: Overseas Development Institute.

play — political context, evidence, and links between policy and research communities — in addition to the broader external environment (see Figure 2).

Figure 2: The RAPID framework: Research and policy in development



According to this way of thinking, research influence proceeds through 'knowledge creep,' indirectly affecting the policy environment by introducing new perceptions and understandings into discussions and debates. To this extent the impact of research processes and products is indirect, non-tangible, occurs over time, acts iteratively through interaction with a dynamic political and policymaking context, and is variously influenced by formal and informal communication processes.

In summary, this means that evaluating the impact of policy and research-related grants is far from straightforward. Research grant programmes do not lend themselves to traditional modes of assessment which assume a linear relationship between research activities, outputs, outcomes and impacts.

Policy and research-related grants, such as those funded under the RBF's HIV/AIDS portfolio in South Africa, are aimed at the generation of new knowledge with the intent of making a positive contribution at a societal level; but the translation of research outputs into policy and practice outcomes and social impact is highly complex and difficult to discern.

The approach taken in this evaluation involved assessment of the contribution of the RBF-funded projects to changes in each of the four programme areas, beginning with identifying the range of research project outcomes that may be considered contributions to policy and practice changes in the broadest sense. We attempt to show the degrees of contribution to policy and practice developments in the four different areas, and make evaluative statements about performance in relation to a range of research outcome indicators.

3.2 Research procedures

- 1) The evaluation commenced with a review of project documents and publications. Understanding of the scope of projects included in the grant programme was assisted by attendance at one of the programme's annual conferences, where grantees made presentations of their work. This also provided an opportunity to introduce the evaluation to the grantees.

- 2) Semi-structured interviews were conducted with grantees (see Appendix 1 – List of grantees, grant areas and people interviewed).

Interviews were aimed at understanding: the ‘story’ of how the grants were obtained; the relationship with RBF throughout the period of the grant and perceptions of capacity building initiatives and the communities of practice element of the programme; the research processes followed; relationships with stakeholders and their policy and practice implications; efforts to promote policy and practice impacts; outputs and outcomes of projects; the value of the project/s for the organisation and its partners; and perceptions of the ongoing value of the project within the field of policy and practice.

In most cases more than one interview was conducted with each because RBF support covered a number of distinct components or additional grants to the organisation, led by different people. In some cases additional interviews were conducted because it was necessary to involve a higher level of the organisation’s leadership in order to appreciate the grant’s impacts on the organisation as whole.

- 3) A performance matrix was developed to rate each of the organisations in terms of outputs and outcome-level indicators. In some cases, where particular outputs could be quantified these were captured, for example, in recording peer-reviewed publications or the production of policy briefs. In other instances, based on descriptions of project processes and project records, qualitative judgements were used to assign ratings. This was applied, for instance, in assessing the degree of policy influence and stakeholder engagement in research processes. An adaptable five-point rating scale was used, shown below:

1	= Mostly unsuccessful/no progress/no activity/no evidence of success.
2	= Limited success/little progress or planning activity/limited evidence of success.
3	= Moderate success/fair progress/some activity/moderate evidence of success.
4	= Successful/good progress/activity level good but not optimal or complete/good evidence of success.
5	= Very successful/excellent progress/completed/full-scale activity/as much as expected/strong or excellent evidence of success.

- 4) In addition to interviewing grantees, a number of experts were interviewed to obtain a better understanding of the dynamics of how research relates to policy and practice, with special reference to the South African context. The people interviewed are listed in Appendix 2.
- 5) Interviews were conducted with those who conducted RBF-funded research advocacy capacity-building and research skills training, which were offered to grantees in the latter half of the grant programme.

3.3 Limitations of the methodology and findings

- 1) In some completed projects the organisations involved had little institutional memory about the project and all key people involved had moved on. In such instances the evaluation had to rely on documentation and limited accounts by persons who could fill in gaps of understanding. In the case of one grant there was no one remaining in the organisation that had any experience of the grant process; the organisation did not have a continuing programme in the area of the funded work; and the former grant leader was working in another organisation and did not respond to repeated requests for an interview. Consequently, the evaluation was done on the basis of documentation only.
- 2) Most organisations had received more than one grant, often to expand a project or to support an offshoot of it. In a few instances grants were made to fund a separate activity implemented by another grantee in the same general area. In such

instances we tend to focus the evaluation at the level of the organisation or unit rather than according to the separate grants, since the overlap between the specific grants makes it difficult to distinguish between outputs and outcomes. Where it is clear that the separate grants had clearly distinguishable foci, we have taken this into account.

- 3) The ratings of the organisations according to key performance indicators do not reflect value for money. It was not possible to measure the monetary size of grants against their relative effectiveness because the range of outputs and the programme effects were so varied, thus any attempt to measure cost-effectiveness would have been specious. This is especially the case given the 'intangible' outcomes that have been reported.
- 4) The findings reflect value at a point in time, yet the ripple effects of some of these projects will continue to unfold. There are additional publications planned, collaborations that have come about but not yet borne fruit, and new programmes that have been implemented as a result of the grants.
- 5) The outcomes of the grants, and especially the follow-on grants, sometimes reflect a combination of parallel funding, the contributions of particular people and partners involved in programmes, or fortuitous opportunities. It has been challenging to distinguish the specific contribution of RBF grantmaking in this context. However, the challenge has been attenuated somewhat by the fact that in many instances RBF grants were made in areas without a strong history of previous research, and this made the outcomes easier to track. In most instances the outcomes could be attributed directly to the research processes.

4 Findings

4.1 The RBF approach to research grantmaking

Conceived after 2002, the RBF research grantmaking programme was an integral part of its focus to better understand the links between HIV/AIDS and development issues in South Africa.

The programme developed over time in response to challenges faced and opportunities that arose. As such, the programme was not the result of a developed and implemented model. However, there are consistencies and a unique character across time, sufficiently distinctive to be theorised and shaped as a model of grantmaking at the interface of research and practice. Some key characteristics of this implicit model are described below.

Promoting evidence-informed responses to emerging social problems

The programme addressed the need to develop an evidence base for addressing the social impacts of HIV/AIDS. The social impacts were increasingly being spoken about but there was little concrete evidence relating to the scope, scale, and nature of the impacts. It was only after 2002, when the first population-level survey of HIV prevalence was produced in the country, that attention was systematically turned to the secondary impacts of HIV/AIDS — beyond infection and illness.

The RBF recognised the need to support research in these areas, and coupled this to the need to develop constructive responses. The RBF approach to using research to initiate social action has developed gradually since 2002. The RBF realised that specific efforts were needed to ensure that the way research was conceived, planned, implemented, and communicated received careful thought and support.

Novel, interdisciplinary social science research

The programme has promoted interdisciplinary social science in South Africa. It has been widely noted that interdisciplinary research has been largely lacking and is much needed in researching the impacts of HIV/AIDS. The supported projects typically involved a range of methods used to look at different dimensions of HIV/AIDS-related problems.

An illustrative case is a grant oriented towards understanding the impact of HIV/AIDS on the use of natural resources in rural environments. Exploration of the problem involved a range of projects focusing on different dimensions (e.g., patterns of food consumption, availability and use of wild foods, and family structures of support in rural communities); the data-gathering methods ranged from use of dramatic enactment to technical food surveys. The theoretical frameworks used in the research were drawn from diverse disciplines, including environmental sciences, and childhood development and adult learning theory.

The topics covered by the grants were in almost all cases novel and largely unresearched topics, at least in the South African HIV and AIDS context. In some instances, for example projects focused on South African prisons, armed forces and police services, the projects broke new ground in that there had previously been very little HIV/AIDS research in these contexts.

Informed and strategic grantee selection

Throughout the programme, the RBF invested efforts in progressively becoming acquainted with the research and implementation environments in different fields. Early on, strong links were made with prominent and influential researchers whose advice was drawn on throughout the programme; and this has led to engagement with a network of organisations.

Based on thorough scoping of the field and expert advice, the RBF was able to engage and select grantees with an interest in the research-implementation interface.

Not all the grantees had an equal measure of experience in both research and implementation, and some grants were more oriented towards a traditional research model (entailing producing a report and publications as a final output), rather than using research as part of processes of ongoing engagement, advocacy and action.

Furthermore, the grantees ranged from large organisations acknowledged as significant leaders in their respective fields (including the Human Sciences Research Council and a few university research units), to NGOs with relatively little research experience, but with good credentials in their areas of work (e.g., land reform, local government, housing). This recognises the range of competencies and strengths that are needed at the research/practice interface. Organisations already 'on the ground' and involved in implementation have power, opportunity, and relationships of value in implementing action research type projects. The effects of modest research projects aimed at developing useful information systems or documenting a action research processes, for example, may have good practical value. However, the results are likely to lack the policymaking power that reputable research organisations can muster. Hence, the grant programme recognised the value of bringing together such diverse actors and utilising their capacities for influencing social change processes at different levels. These ranged from projects to influence national child support policies to community organisations developing knowledge management systems for improving implementation of multi-site programmes of orphan support.

Creating partnerships

The scope of work as defined in contractual agreements between the RBF and grantees emphasised the need for partnerships between grantees and other researchers or implementers as well as other funders. This reflects a concern for creating groundswell projects that require collaborative efforts and, ultimately, social mobilisation, but are seeded by critical, formative research.

One concern that runs through the grant process is how to link grantees in particular fields to each other. Doing so can create strategic partnerships and coalitions, which might endure and expand well beyond the borders of the immediate funded projects and into regions and programmes unrelated to the RBF grant programmes.

Adaptable terms of reference

The RBF agreements with grantees represent a significant departure from standard research grant contracts at the levels of both content and process — as these are typically oriented towards addressing well-defined problems, and using specified methodologies, expenditures and outputs.

The ‘problem definition’ was not in most cases delimited; nor was the methodology. This was a direct result of the developmental-research mix of the approach. The projects were exploratory and the specifics of the problems to be researched were not closely predefined.

Rolling support

For some of the larger grant recipients the grants were relatively small compared to others they had received. However, the practice of providing small grants (with up to five grants to an organisation) which can be supplemented by additional grants to meet needs and opportunities that arise is well suited to research-oriented developmental processes. It allows grantees to progress from one step to another, recognising the need to shape grants according to emerging developmental needs.

Optimising research influence

The programme appears to have increasingly recognised and responded to the need to understand and engage in complex and indirect pathways to achieving research influence, as well as the need to acquire non-research inputs to achieve research impact on evidence-informed policy and practice.

Throughout the programme there were attempts to promote interaction between researchers, policymakers and implementers, from local to international levels.

This ethos was undoubtedly a part of the RBF approach, but it is suggested below that it needs additional articulation and development.

Capacity-building

This part of the RBF approach to grantmaking emerged late in the programme and took shape through a number of initiatives to build organisations’ capacities to more effectively work at the research/implementation interface. This included research capacity-building, advocacy training related to research dissemination, and organisational development support. Being introduced well after most research projects had commenced, however, there was little opportunity for this to benefit project conceptualisation and implementation.

In at least two organisations grants were specifically oriented to researching and developing monitoring and reporting systems for information management between the organisation and its implementing partners. This was in recognition of the need to support monitoring and evaluation processes under broader research grants.

The combination of the above characteristics in the RBF programme represents a unique approach to addressing emerging social problems, with the nexus of activity located at the research-practice interface. The successes and challenges associated with this approach and endeavour are elaborated below.

4.2 Research grant focus

The four programme areas were:

- 6) sustainable livelihoods;
- 7) democracy and governance;
- 8) peace and security; and
- 9) basic education and vulnerable children (BEVC).

The first three of the above areas fell under the RBF 'Impact of HIV/AIDS on society' programme. The fourth area was included in the evaluation as these programmes under the RBF 'Basic education and vulnerable children' grant programme were essentially research oriented, although the BEVC programme was mainly implementation focused.

Appendix 1 details the topics covered in each of these areas.

4.3 Grant management performance

4.3.1 Grant allocation summary

Figure 3: Grant apportionment

Type of organisation	Number of organisations	Number of grants	Average number of the grants	Total value of the grants	Average value of the grants
National NPO/NGO	11	20	1.8	\$1,163,265	\$58,163
University department or research unit	8	16	2	\$1,275,201	\$79,700
National statutory research organisation	2	5	2.5	\$405,000	\$81,000
International NPO/NGO	3	4	1.3	\$196,000	\$49,000
Total	24	45	1.9	\$3,039,466	\$67,544

Key points

- Total money spent on research grants was \$3,039,466 (68% to the social impacts of HIV/AIDS and 32% to BEVC).

- The largest grants to statutory organisation research units were in keeping with their ability to conduct larger-scale programmes, with less risk, given well-established research grant management procedures.
- On average, there were fewer and smaller grants per NGO.
- Most of the granted funds (94%) went to South African institutions. Importantly, this represents a sizeable investment in South African capacity.
- Notably, 38% of the organisations received no other direct support for HIV/AIDS research from other funders; and the funding in such instances was largely a first involvement in HIV/AIDS research for the organisations involved and it developed organisational skills and further interest in HIV/AIDS research. In a number of instances led to continuing HIV/AIDS research programmes beyond the duration of the grant.

4.3.2 Perceptions of the RBF research grant management practices

Positive perceptions

The grantees were, without exception, very positive about RBF grantmaking practices. They were able to talk clearly about what many characterised as ‘the RBF approach,’ reflecting a consistency and predictability in their communications with the Fund.

Key points

- Grantees had highly favourable responses to the RBF as a funder (average 4.4 out of a maximum score of 5).
- The RBF was particularly valued for: 1) knowledge of the field; 2) flexibility; 3) trust; 4) supportive and empowering partnership; 5) responsiveness to the difficulties experienced; and 6) non-onerous reporting requirements.
- The RBF perceptively engaged with proposals and added value to the proposal development.
- In the case of at least four grants there was project lag and under-performance, which might have been detected earlier.
- In most respects, the problems that arose were dealt with in discussions with the RBF, and the RBF assisted in resolving difficulties.

Some of the grantees interviewed were experienced researchers with senior positions in leading South African research organisations. They had experienced many grantmaking processes from different funding sources. Without exception, the grantees praised the manner in which the RBF managed the programme and they variously described its management thus: ‘best practice in grantmaking,’ ‘extremely accommodating,’ ‘highly skilled,’ ‘an absolute expert,’ ‘a brilliant networker,’ and ‘such a good understanding of the field.’

In summary, grantees noted the following as positive qualities in the RBF approach:

1) *Knowledge of the field:* Almost all grantees remarked on RBF engagement with researchers and their knowledge of the field. They thought that the RBF had made considerable efforts to get to know the field and the South African context. The RBF administration was a source of valuable advice in many instances and in turn it utilised good relationships with key experts in the field to develop its selection of grantees.

2) *Flexibility:* The grant agreements were structured such that grantees were not tied to very particular paths of action in the form of contracted outputs or deliverables. The grant agreement outlined outcomes in a general form, and the specific outputs and processes leading to these were allowed to take shape in the process of implementing

the projects (within broad general parameters), subject to consultations with the RBF around any significant deviations.

3) *Trust*: The strong trust shown by the RBF was noted as unusual and was strongly appreciated. In the words of one project manager, “RBF has been good to work with. At the beginning they asked a lot of detailed questions. But once they bought into the concept they didn’t micro-manage.” Another senior researcher leading an important national institution remarked “It’s been invaluable. They absolutely gave us the freedom. Every other grant has been so tied to specific deliverables. I cannot overstate its value.”

4) *Supportive and empowering partnership*: the RBF was described as: ‘approachable,’ ‘about engagement but not imposing engagement,’ ‘[they are] there and aware, but not directing things.’ A few said that the RBF style of grantmaking was very empowering. Grantees felt that the RBF truly engaged in understanding them as organisations and in understanding their fields of research and practice. It was noted that the RBF had done a ‘magnificent’ job in identifying key stakeholders in the field. In a few instances it was mentioned that the RBF had introduced grantees to other national players and that this had led to strong partnerships. Even a senior researcher leading an influential national research unit found that the RBF had ‘opened doors’ through strategic introductions to key national and international partners.

5) *Responsiveness to difficulties experienced*: There was a strong sense that the RBF was responsive to grantees’ needs and was sometimes proactive in making suggestions about ways of resolving problems. There was a strong sense that the RBF would respond quickly to communications from grantees.

6) *Non-onerous reporting requirements*: Grantees appreciated that the RBF did not hold them to detailed reports on particular deliverables, such as they find burdensome with other funders. Many remarked that annual written reports, correspondence about particular matters, and occasional meetings with the RBF ensured that the funder was aware of the status of a project.

Negative perceptions

Criticisms from the grantees included the suggestion that, in some cases, being held accountable for more specific deliverables and timelines, and being given less flexibility, may have motivated early, corrective action in the course of a lagging and otherwise underperforming project.

In some organisations with multiple grants, the focus of the discrete grants tended to become confused and the deliverables attached to overlapping grants likewise became confused. Some in senior and administrative positions felt that it would have been helpful to the organisation as a whole had there been more specific performance demands tied to the grants. This was especially in instances where the managing staff of particular projects had left and new members had to pick up where others left off. On at least two such occasions, the record of agreement and commitments was unclear and this led to delays in continuing the project.

4.3.3 Project tracking and record-keeping

One difficulty in conducting this evaluation was the initial challenge of obtaining key records of projects and relevant documents, including reports submitted to the RBF from grantees.

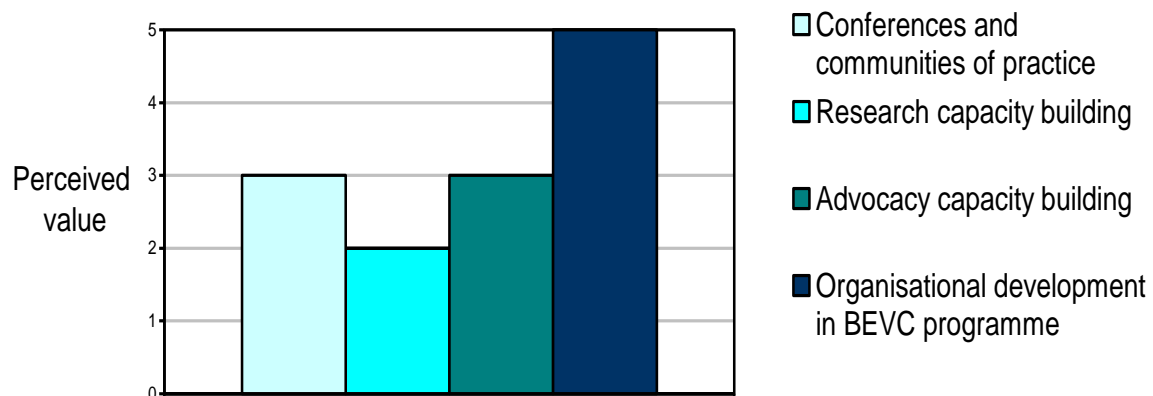
However, the programme has developed over a number of years and now includes both completed and ongoing projects, thus it is understandable that some project records were not immediately available for handover. However, as evaluators we

acquired solely incomplete information on some occasions and subsequently needed to retrieve reports submitted to the RBF from the project managers themselves.

4.3.4 Capacity-building programmes

Four support initiatives were introduced to enhance the effectiveness of the research grant programme. This entailed: 1) building communities of practice; 2) research capacity-building; 3) advocacy capacity-building; and 4) organisational capacity-building and management support for the BEVC grantees.

Figure 4: Perceived value of programme support activities



Key points

- Figure 1 reflects the perspectives of those directly exposed to the support programmes.
- Research and advocacy capacity-building initiatives were included at the request of grantees, yet were not taken up because grantees were over-committed and the support initiatives were presented at a time when many programmes were well advanced.
- 11% of the total grant money for the social impacts of HIV/AIDS programme (excluding BEVC grants) was allocated to capacity-building activities (\$253,000).

1. Conferences and 'communities of practice'

Annual conferences: These were annual conferences hosted by the RBF, to which grantees were invited. Some grantees felt that the conferences had a more ritualistic than practical value — possibly of more value to the RBF than of practical value to the grantees.

This view seems justified because the RBF did gain valuable insights at the conferences about the needs of the grantees and also an understanding of the challenges faced and progress made. For example, it became apparent at one conference that the quality of research designs in some of the projects were problematic, and that some of the grantees needed research capacity-building, and this led to attempts to remedy this.

Most grantees enjoyed the conferences and found them 'quite interesting', while some found them 'very interesting.' For those new to the field of HIV/AIDS research the conferences appeared to have been especially interesting and valuable. They greatly valued the opportunity to meet and speak with senior and

respected researchers in the field and to be exposed to the multiple dimensions of the social impacts of HIV/AIDS.

There were some explicit cases of meetings between grantees leading directly to collaboration and the sharing of ideas afterwards. In a few instances significant associations were made and suggested contacts followed up, which led to substantive collaboration beyond the RBF grant projects.

Grantees were encouraged to suggest partners to attend the conferences. It was hoped that strengthened ties between organisations under the banner of research would lead to a greater degree of policy dialogue and ultimately evidence-informed HIV/AIDS-impact-mitigation practice.

The idea of a 'communities of practice' was adopted as a way of creating hubs of interest, where research, policy and practice could be engaged within the emerging research and practice areas that many of the grants were focused on.

Grantees were encouraged to bring prospective or new partners to the conferences in the hope that this would foster collaboration and build alliances, such as were necessary in many of the new research and practice areas of the grant. However, this opportunity was not strongly taken up by the grantees. Although there were some partners invited, the idea was perceived as not having been successful, as the meetings were not focused enough for the partners to really break new ground in these relationships.

Beyond the conferences, the idea of building communities of practice was strongly encouraged by the RBF. Grantees were encouraged to engage in any activities aimed at developing social alignments around the areas of concern in the grants.

In many instances, significant and lasting communities of practice were built up. This was possibly most notable in the area of HIV/AIDS and the military, where (as reported below) the groundswell of interest in this area was fuelled by RBF-supported advocacy and collaboration, which developed momentum that has clearly established a now sustained community of interest, research and practice.

The same may be said in some other areas of practice, with a prominent example being the 'caring schools initiative,' which has driven a strong national and regional network of researcher-practitioners concerned about social support for children orphaned by AIDS. In this instance RBF scoping of the field in South Africa led to national and regional agencies developing significant and lasting relationships.

2. *Research capacity-building*

The decision to engage in research capacity-building as part of the grant- support process was a result of the realisation in 2007 that a number of organisations were at risk of delivering work of questionable value on account of poor research capacity. The grantees expressed interest in the initiative, but did not ultimately take up the opportunity as expected.

One of the grantees with good research capacity was provided a grant to offer support to other grantees. Initial offers of support were not taken up, and little of value emerged from this programme. Two workshops were run, but it became evident that a much more hands-on mentoring approach for researchers would be more suitable, and it was unlikely that the grantee could meet organisational needs in this way.

The research capacity-building programme was premised on the idea that the problems experienced could be remedied by training or mentoring. However, it is

likely that more could have been accomplished through a focused, problem-oriented approach rather than a general capacity-building approach. What was really needed was a process for assisting those organisations with weak research capacity, to mentor them through all stages of their research processes.

Some of these grantees were selected because of their engagement with particular problem areas, where there was need for research-oriented processes of programme development. Attempts were made to gauge their capacity in research, as this was contingent on current staff and other commitments; in at least one instance an organisation lost its capacity when a key person left.

Whereas it may have been advisable to engage only organisations with a scale and research track-record that did not raise questions about research capacity, this would have meant that opportunities to engage interesting and focused organisations, in a more evidence-oriented way of developing their work, would have been lost.

The problems of capacity may have been more effectively addressed if those organisations had been identified earlier and if some form of mentoring approach was set in place to assist them with developing a research protocols and then guide them through the process of research. Two of the BEVC programmes strongly benefitted from the support of other organisations (although not ones that were part of the research capacity-building programme). In one case a mentoring approach was useful; whereas in the other, the external organisation acted in a consultancy capacity, doing the work that the organisation could not do and attempting to transfer skills in the process.

3. Advocacy training

The advocacy capacity-building programme was a response to the needs of research organisations that had traditionally focused on *producing* research, to engage more actively in promoting the utilisation of their findings. A training programme was conceived to help organisations better understand and implement advocacy to ensure that research results are communicated to relevant partners in appropriate ways, and to optimise the application of research findings in policy dialogues.

The programme was introduced in 2008; however, many of the organisations did not avail themselves of the opportunity.

The agency engaged to provide the training, although experienced in media advocacy, did not have specific experience in research advocacy such as was required. A few workshops were conducted and attended by grantees and their partners. These were perceived to be of strong value for one grantee, and the workshop was of value beyond the grant projects, as it was also well received by post-graduate students involved in other areas of socio-environmental research. For others exposed to the programme there was a perceived general value, although the timing of the process was not conducive to employing what was learned in the projects, many of which were running to term.

However, interviews with experts in the field of research and policy influence (see 5.2 below) suggest that this kind of training was unlikely to succeed as it was tacked on at a late stage. For those organisations that were not advocacy-oriented from the start, or whose projects were nearing completion, there was likely to be limited direct value at the level of enhancing the practical outcomes of the research through advocacy. Policy research needs to be directed to the aims of policy influence from inception. Similarly research oriented on implementation of policy needs to be focused on implementation questions, and it cannot easily be retro-fitted to enhance its practical value.

Undoubtedly, there is a need for researcher organisations involved in areas such as these to understand advocacy processes related to research. But more fundamentally, there is a need for engaging in policy and practice-oriented advocacy from inception and throughout such work.

4. Organisational development in the BEVC programme

Only the basic education and vulnerable children (BEVC) programmes had the opportunity to engage in the organisational development programme. The BEVC grantees included in this evaluation are part of a much bigger group working in the area of BEVC, most of whom did not receive research grants; and the organisational development programme was not specifically oriented to research-related elements of organisational functioning. Nonetheless, this element of programme support proved important to the research grantees, even at the research level.

Most of these grantees, including both small and larger organisations, described rapid expansion over the past few years and levels of over-commitment that jeopardised their efficiency and effectiveness as organisations. Some of the smaller organisations had grown to scale without corresponding development within the organisation in terms of human resources management and recruitment of essential staff (for instance, in the areas of knowledge management and monitoring and evaluation); and there was a concentration of otherwise scarce skills among some higher-level staff, who were also responsible for fund-raising and day-to-day management of organisations.

The range of supports offered under the RBF organisational development programme included facilitated processes of organisational restructuring, strategic planning and to one-on-one management coaching.

All who participated regarded such support as highly valuable and as exceeding their expectations. In some cases this resulted in lasting improvements in organisational functioning as well as enhanced implementation of RBF-supported projects. The Cape Town grantees were supported by an organisation that appears to have well understood the research/practice interface, and the support was directed at both personal and organisational/systemic levels.

Even organisations with skilled researchers and well-established institutions perceived this initiative as having considerable value. Experienced researchers do not necessarily have management training skills, and the kinds of research involved in these grants sometimes staggered through a number of stages and required strategic thinking in the context of multiple ongoing organisational processes.

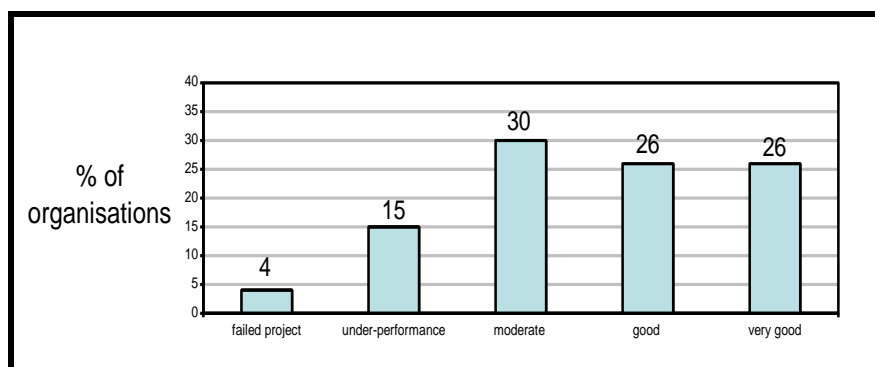
This element of the programme carries a valuable lesson about the need to ensure that management and organisational functions are optimised in the interest of better research practice and utilisation.

4.4 Output-level performance of the grant programme as a whole

4.4.1 Overall performance rating

Figure 3 charts the overall aggregated rating of the organisations on a five-point performance scale measured against their own original objectives.

Figure 3: Overall success in achieving planned outputs



Key points

- The general picture reflects at least moderate success of most organisations (81%) in achieving their own planned outputs, and 52% showing ‘good’ or ‘very good’ performance at this level. It should be noted that some of the participating organisations are known for and oriented on implementing programmes rather than conducting research. It might have been expected that the underperforming projects were among these organisations. This was not always the case, as there were various reasons for underperformance (noted in section 4.7 below) which were not always related to technical capability.
- About 19% of the organisations underperformed — in the sense of not producing outputs or not adequately completing planned work.
- About 70% of the projects showed evidence of continuing or likely future work in the area of the grant.

4.4.2 Key output performance indicators

The following list of performance indicators (Figure 4) reflects several demonstrable policy and practice outputs that could be quantified across all grants.

Figure 4: Output performance indicators

Indicator	Performance
Lost science (research with no dissemination or influence)	<ul style="list-style-type: none"> • Two organisations produced flawed studies with outputs unlikely to have significant effects.
Research programme continuing	<ul style="list-style-type: none"> • 70% of programmes are planning or continuing to work in the area of the grant.
Achieved hoped-for policy, planning, practice responses or engagement with partners	<ul style="list-style-type: none"> • 79% report showed evidence of moderate or better outcomes.
Generation of policy or practice-oriented briefs or guidelines	<ul style="list-style-type: none"> • Accomplished by 63% of grantees.
Peer-reviewed publications (existing or planned)	<ul style="list-style-type: none"> • 25 publications across 10 institutions (37% of grantees).
Academic degrees based on RBF-funded research	<ul style="list-style-type: none"> • Two PhDs; one Master’s degree

4.5 Outcomes and impacts in each of the four main grant areas

In this section the key outcomes for each of the main grant areas are described, as well as their contributions to social impacts.

Since the evaluation is about the grant programme as a whole rather than about the performance of individual grants or grantees, emphasis is placed on the achievements per grant area rather than on the individual grantees.

A rating per grant area has been generated based on an aggregation of achievements per grantee. Where significant differences within the broad grant category occur, this is noted, and performance is reported on a disaggregated basis.

The following basic index was applied to rate developments in policy and practice that were directly attributable to the RBF grants:

- 1 = No notable developments and none foreseen;
- 2 = Likely 'knowledge creep,' but no significant developments;
- 3 = Incipient or some developments, but not at scale;
- 4 = Significant developments, but limited in scope and focus;
- 5 = Significant and lasting developments likely to make a long-term difference.

There is no direct way of verifying that the observed changes would not have happened in the absence of the RBF programme of funding and support, that is under the counterfactual condition.

However, given that almost all the projects focused on new or novel areas of social science work that the organisation had never previously been funded for, and considering that 38% of the projects were not receiving other HIV/AIDS-related funding, a fairly high degree of attribution is possible. This is further supported by a contextual understanding of the progression of the grants. The 'grant stories' show that in only a few instances the grants were part of larger processes that overshadowed developments. On the contrary, when larger processes were involved, they were mostly a product of partnership-building within the RBF grantee programmes.

4.5.1 Sustainable livelihoods

The overall success of this programme in bringing about significant developments in policy and practice was limited (with an overall rating of '3'), reflecting some specific developments, but not at scale.

The outcomes included the following successes:

- One project's findings have led to new thinking about measuring livelihoods and to improvement in indicators and measures in this area;
- A contribution to the dearth of research on food security in relation to HIV/AIDS in South Africa that has involved provincial government consultations, although with limited follow-through. RBF support for work in this area led one of the policy experts interviewed to comment: "RBF is one of the only funders that has shown understanding of and interest in issues of food security in South Africa.";
- One of the grantees has, through the research, become engaged in regional consultations on food security;
- Significant contribution to academic scholarship, including conference presentations and peer-reviewed publications (10, including a book) that provide insights into the impact of HIV/AIDS on family structures, and insights into the

impact of HIV/AIDS on the environment through patterns of environmental resource usage;

- A strong and innovative participatory research element in one project, with indications that the project made a significant impact on the young people involved;
- Development of materials for engaging young people in participatory work;
- Establishment of an environmental research unit's enduring involvement in HIV/AIDS work.

Not all programmes were successful and there was less than satisfactory performance on land-reform projects because of poor management and execution.

The main limits in this programme group are in the practice and policy area, with the projects having contributed to high-quality research, but not leading to groundswell changes in policy or practice.

4.5.2 Democracy and governance

The overall success of this programme in bringing about developments in policy and practice was significant but not optimal (with an overall rating of '4'), reflecting high profile recognition of important problems that need to be addressed, but limited practical interventions arising.

The following represent the most successful direct outcomes of the programme:

- Production of the first generation of research on HIV/AIDS and political processes, which has led to significant additional support on the part of international bilateral and multilateral donors;
- High-profile media dissemination and public discussion of some findings, which is likely to lead to greater awareness of key issues (although it is difficult to ascertain impact at this level);
- The production of significant documents aimed at programme and policy development;
- The involvement of ministers and especially parliamentarians has likely strongly contributed to the South African Development Community's (SADC) increased involvement in HIV/AIDS issues;
- Seminal work in promoting a human-settlements approach to HIV/AIDS, with the grantee organisation taking a leading role in creating a national forum on local government and HIV/AIDS, which has continued with other funding and is the most influential grouping of researchers and local government agencies in HIV/AIDS work in South Africa.

On a less successful note, the projects were limited at the level of research methodology and data quality, leading in some cases to inconclusive findings based on secondary data sources.

The programme also faced implementation challenges. It appears that a clear research-utilisation constituency was not established beyond the first wave of public interest and advocacy.

4.5.3 Peace and security

The overall success of this programme in bringing about significant developments in policy and practice was mixed. The work pertaining to the armed forces was rated highly (at '5'), indicating significant and lasting developments likely to make a long-term difference, whereas the other work achieved a rating of '3', indicating incipient or some developments, but not at scale, largely due to the challenges of

dissemination and utilisation.

The most significant and direct effects were in mobilising national and regional attention to the need for programmes for armed and peace-keeping forces. This has led to the development of a high level of collaboration between regional military leaders and an intensified 'community of practice' around HIV/AIDS. Practical training tools were developed and are being widely applied.

Significant problems were experienced in disseminating and utilising survey results concerning the impact of HIV/AIDS on the police services. Unexpected achievements were the mobilisation of provincial police awareness about the lack of policies for commissioning and managing research in the department, and efforts to remedy this. Similar challenges were experienced in the prison system, although these were successfully negotiated and appropriate permission to disseminate findings were negotiated. Finally, some research pertaining to the police and prisons was limited to proxy indicators of HIV impact, as access to information was made difficult by traditions of guarded information management in these sectors.

4.4.4 Basic education and vulnerable children (BEVC)

The overall success of the research components of the RBF BEVC programme was rated highly ('5'), indicating significant and lasting developments likely to make a long-term difference, although some of this work is not complete; also, it was rated on the basis of likely deliverables and impacts established after interviewing the researchers involved.

The two major grantees in this component are reputable research organisations — both strongly orientated to evidence-informed advocacy and programme development. Funds to these organisations have supported a range of notable and continuing projects that focus on support for young children through access to grants, community and school-based support mechanisms for children affected by HIV or AIDS, and early childhood development. Documents produced by these research projects have been actively used in advocacy work related to access to social grants and other support for young people affected by HIV or AIDS.

The RBF grants came at a critical juncture when systematic attention was first paid to the plight of vulnerable children and the possibilities of early childhood development initiatives. The various research processes that the grant supported gave impetus to this development and the flexibility of the grants allowed these to grow in ways related directly to policy and practice outcomes.

RBF support has contributed to important policy and advocacy work related to the conditional cash grants for support to families affected by HIV/AIDS and it is contributing to a large, ongoing pilot project looking at community and family support alternatives.

Work on development of a 'caring schools' concept was groundbreaking. It has led to a significant growth in an interest in models of community support for children orphaned by AIDS, as well as a set of guidelines for providing such care. These guidelines are currently being updated and have been the seed for starting an active network of organisations working in this area at the national and regional levels.

Support to another organisation that focuses on support for vulnerable children led to the development of organisational monitoring and information systems, which, in the words of the project manager, have been extremely useful in knowledge management within the organisation.

As a direct result of RBF-funded research, one of the grantees was invited to be a representative on SANAC (South African National AIDS Council). It was the impression of the organisation that this marked the beginning of SANAC's concern with understanding the effects of HIV on very young children, which had been previously 'conspicuously absent' from SANAC's agenda.

The various research projects and the interactions between grantees and other organisations, including government departments, has led to important clarifications and definitions of key terms in early childhood development, such as the understanding of 'vulnerability.' The growth of organisations working in different projects that all concern BEVC has undoubtedly accelerated understandings of the key issues at stake, clarifying the priorities for research and intervention.

Not all programmes were as successful. Support to one NGO in the field of early childhood development has had limited success because of limited capacity in the organisation to manage or conduct research; and there was likely an overestimation on the part of the RBF of the organisation's capacity to manage the complex project. However, through sub-contracted assistance from an experienced team of external researchers, a promising research programme was developed and is likely to lead to a better understanding of the conditions of success of early childhood development under different conditions, as well as the development of a monitoring and evaluation system for use in this organisation.

In at least one organisation, the RBF grantmaking fed into an existing and well-established programme of research rather than a novel or unexplored area. The research on support systems for prevention of mother-to-child transmission of HIV went as planned, generated important findings, and led to the professional development of a young researcher. But it was essentially an extension of an existing stream of research within the organisation. Other research grants in the area of BEVC were more exploratory in using research to open up largely unresearched areas of policy and practice.

4.5.5 Positive outcomes not specifically related to research results

Interviews with representatives of the grantees disclosed many forms of outcomes that would not usually be designated as research outcomes but that should be included as direct effects of the RBF research grantmaking and project processes.

These include:

- Research units seeking grants from other agencies, and being eligible to do so based on experience facilitated by the grants from the RBF (for example, seeking grant funding to conduct research on HIV/AIDS and climate change on the back of RBF-funded research experience, which provided the unit's first exposure to HIV/AIDS research).
- Young researchers introduced to HIV/AIDS-related topics and furthering their careers as professional researchers.
- Building bridges between disciplines, thereby creating the means for further collaboration and interdisciplinary research.
- Processes of exchange and contestation around research and permission to disseminate and publish research findings, in at least two instances, has led government departments to consider and reshape their own processes related to research authorisation and management of research products.

4.6 Factors contributing to positive impacts of grants

A number of factors evidently contributed to the more successful grants:

- Research projects conducted by organisations already engaged in substantive research or advocacy programmes aimed at influencing policy in particular thematic areas, and knowledgeable about policy processes.
- Linkages and associations between grantees and other agencies — encouraged, supported and introduced by RBF — added momentum, scale and cross-fertilisation in all four thematic areas; this gave significance to each of the projects, which they would not have attained by working alone.
- Provision of additional grants to support policy meetings or the development of constituencies in some instances led to enduring communities of practice.
- Flexibility regarding changes in direction allowed projects to refocus attention or change research plans in keeping with changing policy and practice environments.
- Research grants and intended outcomes that were matched to existing organisational skills and capacities for conceptualising and managing research processes.
- Previous publishing experience and institutional commitments to publishing in peer-reviewed journal articles was an important motivator in this mode of dissemination.
- Planning research within the level of competence of the organisation and having specific plans for the management of policy or practice engagements following the research.

4.7 Factors contributing to poor performance of grantees

A number of factors jeopardised the success of grants. Research programmes tended to fail for the following reasons:

- Organisations with insufficient research management skills and often inadequate research skills.
- Turnover of staff in small organisations. This was most notable where projects were attached to individuals rather than organisations as a whole, leading to little institutional identification with the research and the likelihood of non-continuation of work in the grant area on completion of the granted work.
- Small-sized grants in some cases leading organisations to prioritise other grants and leading to late commencement of the research activities or delays in completion of projects.
- Poor research and knowledge-management policies and practices on the part of government agencies, leading to confusion and conflict around the authorisation of research and contestation of dissemination and publication rights.
- Researchers who do not appreciate or take responsibility for developing the practical value of their work through: utilisation-focused design, planning and research management; development of utilisation constituencies and stakeholder buy-in; understanding policy and planning cycles and processes in relevant governmental and non-governmental agencies; lack of preparation and capacity for actively promoting findings beyond the publication of reports.
- Isolated research projects not conceived as part of a broader programme of research or action.
- The RBF not detecting lags and obstacles in certain projects early enough, sometimes leading to loss of opportunities to introduce corrective measures (for example, after a key person in the grant implementation process left the organisation, the organisation's capacity to deliver was compromised).

5 Recommendations

The programme evaluated here is winding down in South Africa and there is limited value in recommendations oriented to the particular context and group of grants.

However, RBF grantmaking outside of South Africa continues and there is value in recommendations about grantmaking practices in development contexts, and especially regarding the research/development interface.

5.1 Grantee selection

1) Capacity assessment tool

The RBF research grants are relatively small in scale. Some of the participating organisations received much larger grants, although usually with a much smaller discretionary component (i.e., where the grants are tied to very specific methodologies and deliverables). The exploratory nature of much of the research conducted with smaller RBF grants both allows and requires a more flexible approach.

However, there are risks in a flexible and developmental orientation and some of the smaller and less-experienced organisations need to be more closely monitored in order to avoid them falling behind, failing to meet commitments or doing so in perfunctory ways. There are also risks in regard to larger and more experienced organisations, such as university research units, that may fail to deliver in different ways (for example, by not developing policy and practice trajectories for research outputs).

It is recommended that a tool be developed to assess risk of such shortcomings and to guide capacity development. This would also be of value in deciding what kinds of outputs and outcomes might be realistically expected. The use of the tool should be oriented towards understanding the forms of capacity-building necessary where the grantees are weak in particular areas, yet otherwise appear promising.

Key areas for assessment that should be included are: 1) experience in using the particular methodologies proposed; 2) experience and capacity of the organisation and project leader to manage the type of research, including the organisation's capacity given existing commitments; 3) degree to which research partners are informed about the proposed research; and 4) experience in research advocacy and evidence of an advocacy plan.

This will allow the RBF to develop a more focused approach to capacity-building (see below) and to be alert to the need for closer monitoring of higher-risk grantees.

2) Technical review of proposals

Where research requiring primary data collection, technical analysis and ethics approval are involved, the RBF should expect submission of a specific technical proposal that can be assessed by an ad-hoc technical review group.

5.2 Optimising policy and practice outcomes

A number of experts were interviewed to understand questions about how to maximise the practical utility of social research processes. It was said that social researchers in South Africa generally have only poor appreciation of how to develop the practical value of their research.

South Africa has gone through a total policy overhaul in the last fifteen years and

in almost all areas there are massive gaps in evidence to inform the development and implementation of social programmes. It is simply not adequate for researchers to rely on what one interviewee termed a 'pot shot' approach. There is much that can be learned to enhance the utility of research.

It is necessary for social researchers to have a far better understanding of the world of policy change and also of the relative value of different ways of conducting and disseminating research.

Many of the RBF grantees were surprisingly ill-informed about the pathways through which their research might make a difference. With a few notable exceptions, most of the researchers focused their efforts mainly on conducting their research with their primary outputs being research reports. Some seemed to assume that their research would realise social returns simply by being placed in the public domain.

Greater success in influencing policy can be obtained by systematically educating researchers about how to connect research with policy development and other decision making processes. It was suggested by one of the experts interviewed that any institution involved in doing research for social development or change, should be schooled in how to broker relationships between the worlds of research and social action. Research training programmes are often mute on these important questions.

Researchers need to know the key forums and processes where policy debates take place and seize opportunities to participate at this level. They need to appreciate the value of building relationships with users of research products and developing different kinds of research products. There are cycles and opportunities for change that can be capitalised on and the astute practitioner knows how to present evidence that answers specific questions. There is value in making data available in ways that can be applied to particular policy questions or that connect with current policy narratives. There are points in time when the policy environment invites breaking new ground and looking for new ideas, other times when critique and contestation of orthodoxies is required; and yet other times when consolidation and refinement of policy implementation are required. The climate must be understood and engaged if research is to realise its value.

It would seem that researchers are often quite naïve even at the level of understanding the achievements of different forms of research output; for example, the respective value of books, monographs, peer-reviewed articles, policy briefs, newspaper opinion editorials and public briefings.

Optimising the value of research for social change should be an essential part of research training curricula in the social sciences, but it is almost wholly overlooked, and it should not be assumed that researchers are so oriented.

The value of the RBF programme was without doubt undermined by many of the researchers being sympathetic to, but uninformed about how to carry their research through to the point of contributing to alleviation of the problems researched. Researchers should be expected to take greater responsibility for the brokerage functions between research and practice if research is to 'make a difference'. A three to five day workshop for grantees at the inception of any further research grant programmes aimed at alleviating social problems, should be regarded as a priority.

5.3 Capacity-building

1) *Capacity development through mentoring*

It has been noted that capacity-building is often needed, and when conducted in a tailored way it has proved effective and a valuable adjunct to the programme.

Using a capacity assessment tool at the outset of a granted project, the RBF and the grantee should develop an understanding of capacity-building that is necessary to enhance project performance.

Capacity-building appears to have worked best on a mentoring basis; therefore grantees should be linked with key organisations retained to provide such services (as exemplified by the approach to organisational development in the BEVC programme).

The following areas of capacity-building would be of particular value:

- Capacity to conduct research, which could be established as a peer-review and technical assistance programme, with key researchers in particular areas identified to provide focused assistance in ensuring the using of appropriate methodologies, instruments and methods of interpretation and analysis.
- Ensuring the development of practice and policy trajectories in all projects, which would require that each project develops a research utilisation plan and receives guidance on how to optimise this through advocacy approaches and methods. This would need to begin with building constituencies at the outset.
- Ensuring that organisational development and planning capacities are built up, especially in the areas of research and knowledge management.

2) *Communities of practice*

The idea of 'communities of practice' should be retained as a central concept at the interface of research and development. Partnerships and synergies between organisations with complementary skills has been a critical component in the most successful projects.

This should be pursued more strongly at a thematic level.

5.4 Show-casing

Some of the grantees suggested that the RBF was unrecognised for the significant impacts it had achieved in particular areas.

It is recommended that in the future, more could and should be done to stake a claim for the achievements of the project in the public domain.

National conferences are used by other foundations and donors to enhance the recognition of their work, through satellite events or symposia. The focus of the grant programme on applied research, the model developed under this programme and what has been learned in this programme, should be written about and discussed. It is of interest to people working both in research institutions and at the level of policy and practice.

Appendix 1 List of grantees, grant areas and people interviewed

Institution	Grant area	People interviewed
Grants related to Sustainable Development		
Human Sciences Research Council – Land Reform Project	HIV/AIDS, land reform, and land-based livelihoods.	<ul style="list-style-type: none"> • Dr Scott Drimie • Dr Michael Aliber
Isandla Institute	HIV/AIDS and urban development.	<ul style="list-style-type: none"> • Mirjam Van Donk
Rhodes University Department of Environmental Sciences	Links between biodiversity, sustainable rural livelihoods and HIV/AIDS.	<ul style="list-style-type: none"> • Prof Shackleton • Dr Sheona Shackleton • Sarah Kaschula • Dylan McGarry
University of Cape Town – Centre for Social Science Research	Impact of HIV/AIDS on poverty, migration and food security.	<ul style="list-style-type: none"> • Prof Jeremy Seekings
Surplus People’s Project	The linkages between HIV/AIDS and rural livelihoods and agrarian reform in South Africa.	<ul style="list-style-type: none"> • Ricardo Jacobs
University of Colorado and the University of the Witwatersrand – Rural Facility	HIV/AIDS, elderly-headed households, food security, and the natural environment in rural South Africa.	<ul style="list-style-type: none"> • Prof Wayne Twine
Grants related to Democratic Practice		
Health Economics and HIV/AIDS Research Division, University of KwaZulu-Natal	Impact of HIV/AIDS on democracy and governance.	<ul style="list-style-type: none"> • Samantha Willan
Centre for Policy Studies	Local government and HIV/AIDS.	No members of the project team remaining in the organisation and project implementers (when traced) were unresponsive to interview requests.
Institute for Democracy in Africa (IDASA)	Building AIDS-resilient political party systems in South Africa through research, training, policy dialogue and civic interaction; effects of HIV/AIDS on electoral processes and systems.	<ul style="list-style-type: none"> • Dr KondwaniChirambo • Josina Machel
University of Cape Town – Centre for Social Science Research (Democracy in Africa Unit)	HIV/AIDS and quality of democracy in SA; the impact of HIV/AIDS on the 2004 general election in South Africa and the parliament produced by that election.	<ul style="list-style-type: none"> • Prof Robert Mattes • Dr Per Strand
Grants related to Peace and Security		
Centre for Conflict Resolution, Cape Town	HIV/AIDS and militaries in South Africa and Africa; HIV/AIDS and armed forces in South Africa.	<ul style="list-style-type: none"> • Noria Mashumba • Angela Muvumba
Centre for the Study of Violence and Reconciliation	Impact of HIV/AIDS on the South African police services in Johannesburg.	<ul style="list-style-type: none"> • Themba Masuku
Institute for Security Studies	Impact of HIV/AIDS on armed forces in South Africa and the region.	<ul style="list-style-type: none"> • Maj Gen Len LeRoux • Naison Ngoma • Lauren Hutton • Dr Martin Rupiya
Social Science Research Council	‘AIDS, Security and Conflict Initiative’ related to South Africa.	<ul style="list-style-type: none"> • Dr Jennifer Klot
Pugwash	‘Threats without enemies’ – AIDS and	<ul style="list-style-type: none"> • Dr Jeffrey Boutwell

	global security; health issues of the 21st century.	<ul style="list-style-type: none"> • Dr Gywn Prins
UWC Community Law Centre	Impact of HIV/AIDS in the prison system in SA.	<ul style="list-style-type: none"> • Lukas Muntingh
BEVC grants		
Children's Institute	The needs of orphans and vulnerable children and their 'means to live'; the role of institutional care for children affected by HIV/AIDS; schools as nodes of care and support for orphans and vulnerable children.	<ul style="list-style-type: none"> • Helen Meintjes • Katherine Hall • Norma Rudolph
Family Health International	Family-centred models of care and support for orphans and vulnerable children.	<ul style="list-style-type: none"> • Rebecca Dirks • Beth Harris
Medical Research Council and the University of the Western Cape	A project to expand the access that new mothers in a high HIV-prevalence area have to social welfare grants and services for their children.	<ul style="list-style-type: none"> • Dr Debra Jackson • Wanga Zembe
Nurturing Orphans of AIDS for Humanity (NOAH)	Research, evaluation, and advocacy efforts related to its work focused on children impacted by HIV/AIDS.	<ul style="list-style-type: none"> • Vanessa Paull
Training and Resources in Early Education (TREE)	Research, monitoring and evaluation of an early childhood learning programme in areas of KwaZulu-Natal Province heavily affected by HIV/AIDS.	<ul style="list-style-type: none"> • Pam Picken
Early Learning Research Unit – Cape Educational Trust	Protection of rights of orphans and vulnerable children aged 0–9 years.	<ul style="list-style-type: none"> • Freda Brock • Linda Biersteker
Human Sciences Research Council – Child, Youth, Family and Social Development	Support for large scale efforts to assist children and families in communities affected by HIV/AIDS; replacement child care arrangements for orphans and vulnerable children.	<ul style="list-style-type: none"> • Prof Linda Richter • Vuyiswa Mathambo • Michele Glasson • Judith Streak
Grant for research capacity-building		
University of Cape Town – Centre for Social Science Research (Democracy in Africa Research Unit)	Research skills training for RBF grantees.	<ul style="list-style-type: none"> • Dr Per strand
Grants related to Advocacy Training		
Institute for Democracy in Africa (IDASA) and Institute for Sustainable Communities	Advocacy training for RBF grantees.	<ul style="list-style-type: none"> • Marietjie Myburg
Informants on the use of research in policy and practice with reference to RBF grants		
Person interviewed	Organisation	Topic
Dr Themba Masilela	Human Sciences Research – Policy Analysis and Capacity Enhancement Unit	The use of research in policy development and programme development in government departments.
Dr Scott Drimie	Regional Network on AIDS, Livelihoods and Food Security (RENEWAL)	Research, policy and practice around livelihood systems and food security in South Africa.
Alison Hickey	Palmer Development Group	Government policy and planning processes.
Prof Andy Dawes	Independent consultant	The role of research in

		policy and practice in early childhood development.
Prof Linda Richter	Human Sciences Research Council – Child, Youth, Family and Social Development Unit	The role of research in supporting vulnerable children and their families.
Nancy Muirhead	Rockefeller Brothers Fund	Background to the RBF grantmaking programme.