TERMS OF REFERENCE

REVIEW OF THE
NATIONAL RESEARCH FOUNDATION MANAGED
INDIGENOUS KNOWLEDGE SYSTEMS PROGRAMME

FEBRUARY 2014
## List of Acronyms

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<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
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<tr>
<td>AP</td>
<td>Assignment Principal</td>
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<tr>
<td>CEO</td>
<td>Chief Executive Officer</td>
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<tr>
<td>DACST</td>
<td>Department of Arts, Culture, Science and Technology</td>
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<td>DST</td>
<td>Department of Science and Technology</td>
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<tr>
<td>IKS</td>
<td>Indigenous Knowledge Systems</td>
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<td>IK</td>
<td>Indigenous Knowledge</td>
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<td>KFD</td>
<td>Knowledge Fields Development</td>
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<td>NIKSO</td>
<td>National Indigenous Knowledge Systems Office</td>
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<td>NRF</td>
<td>National Research Foundation</td>
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<td>PMC</td>
<td>Programme Management Committee</td>
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<td>RE</td>
<td>Reviews and Evaluation</td>
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<td>RISA</td>
<td>Research and Innovation Support and Advancement</td>
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<td>RRG</td>
<td>Review Reference Group</td>
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1. **ASSIGNMENT TITLE**

   Review of the National Research Foundation (NRF) managed Indigenous Knowledge Systems (IKS) Programme.

2. **BACKGROUND**

   In 2001 the NRF established the IKS Focus Area Programme with ring-fenced funding from the former Department of Arts, Culture, Science and Technology (DACST), now the Department of Science and Technology (DST). The intention of this programme was to promote and support research to deepen understanding of IKS and its role in community life. It was envisaged that IKS would contribute towards sustainable economic development of not only South Africa, but the African region as a whole. In 2004, the DST commissioned a review of the NRF managed of the IKS funding programme. The review panel recommended that the funding model and the programme be replaced by a new one.

   In the same year 2004, the Cabinet of the Republic of South Africa approved an IKS Policy. Subsequently, the National Indigenous Knowledge Systems Office (NIKSO) was established in 2006. The IKS Policy is an enabling framework to stimulate and strengthen the contribution of IKS to social and economic development in South Africa. In driving the IKS policy, NIKSO has initiated a number of programmes and initiatives coordinated through three units, namely, **Knowledge Development and Innovation; Knowledge Management; and Advocacy and Policy Development**. The NRF through the Knowledge Fields Development (KFD) Directorate of the Research and Innovation Support and Advancement (RISA) was re-contracted to manage the **knowledge development** (and associated human capacity) programme and related initiatives of NIKSO and the IKS policy. In light of the recommendation of the 2004 review, the NRF-KFD and NIKSO agreed in 2008 to constitute an IKS Programme Management Committee (PMC), which assisted in the conceptualisation of a new research funding programme. KFD manages this revised IKS research funding (and human capacity development) programme on behalf of the DST. The first call of the redesigned NRF managed IKS
Programme¹ was posted in 2009. According to the revised programme, a mid-term review is to be undertaken every three years.

3. ASSIGNMENT PRINCIPAL AND REVIEW REFERENCE GROUP (RRG)

The Assignment Principal (AP) is the NRF represented by the Deputy Chief Executive Officer (CEO): RISA. The Assignment Principal will appoint a Review Reference Group. The members of the Review Reference Group will comprise:

- Assignment Principal;
- Executive Director: Reviews and Evaluation (RE), NRF;
- DST representative;
- One member of the PMC;
- One IKS expert/stakeholder who is a non-member of the PMC and has not benefited from the Funding Programme.

The role of the AP together with the RRG will be to provide strategic oversight to ensure that the review is concluded in line with the terms of reference. They will have the following roles to fulfill:

- Approve the terms of reference;
- Advise on the budget;
- Approve the reviewers;
- Approve the review plan and time frame for the review process;
- Consider and suggest suitable interviewees to interact with the reviewers;
- Consider and recommend acceptance to the NRF of the draft and final report by the reviewers;
- Consider and recommend acceptance of the NRF-KFD management response to the report; and
- Meet under the direction of the Chair of the RRG, as required.

¹ Used interchangeably with IKS Programme. Given that NIKSO and KFD run parallel IKS programmes and activities, a distinction is made between IKS activities/initiatives managed by NIKSO and the NRF. Throughout this document, IKS Programme specifically refers to the NRF managed IKS Programme whose primary scope is knowledge development and excludes other programmes that have elements of IKS such as SARChI and Centres of Excellence.
4. PROGRAMME MANAGEMENT

The role of the NRF- KFD as Programme management will be to:

- Provide a list of stakeholders;
- Nominate possible reviewers;
- Participate as a subject in the review;
- Provide review documents including the self-evaluation report; and
- Receive the final report and write the management response.

5. SERVICE PROVIDER

The NRF Directorate Reviews and Evaluation will act as the service provider. The responsibilities of the service provider will be to:

- Provide input to the draft terms of reference;
- Prepare the letters of invitation for the approved members of the RRG and reviewers for the signature of the Deputy CEO: RISA and distribution;
- Develop an on-site programme for the review, including a budget;
- Source the necessary documentation from KFD and make it available to the reviewers four weeks prior to the commencement of the on-site review;
- Manage, coordinate and administer the entire review process, including logistics;
- Provide support to the reviewers;
- Receive the draft and final reports from the reviewers;
- Forward the draft and final report from the reviewers to the RRG for consideration and recommendation for approval by the NRF Executive; and
- Place the final review report on the NRF website within a reasonable time after acceptance.
6. THE PURPOSE OF THE REVIEW

The purpose of the review will be to:

- Provide a retrospective assessment of the performance of the IKS Programme from April 2009 to March 2012 in terms of its objectives, namely:
  - Knowledge production and the related human capacity development in the identified themes of the Programme;
  - Facilitating collaboration in knowledge production, human capacity development and knowledge use among the different categories of IKS stakeholders, particularly Knowledge Holders; Researchers; and Communities;
- Assess the effectiveness and efficiency of the management of the Programme;
- Assess how well the Programme is positioned to contribute to the IKS Policy and the National System of Innovation in South Africa, and the return on investment\(^2\);
- Review human capital and financial needs for knowledge production in relation to the NRF managed IKS Programme; and
- Make recommendations regarding the future strategic direction of the IKS Programme on the basis of the above.

7. THE SCOPE OF THE REVIEW

This review will cover the period from April 2009 to March 2012. The review will focus on the performance and management of the NRF managed IKS Programme in relation to its aims and objectives and make recommendations for the future. This review is limited to the NRF managed IKS Programme and excludes other NIKSO initiated programmes like Innovation; Knowledge Management; Advocacy and Policy Development.

\(^2\) Influence of the Programme considering its emergent and anticipated impact?
8. REVIEW DIMENSIONS

8.1. The reviewers are requested to conduct the review to determine the strengths, weaknesses and impact of the IKS Programme in terms of the aspects outlined below:

8.1.1. Performance of IKS Programme

- Assess the extent to which the objectives stated in item 6 of this document have been addressed;
- Assess the prioritised themes and their impact on the performance of the Programme;
- Assess Programme achievements against expectations and identify any gaps;
- Where possible, comment on the appropriateness of the performance indicators (output, outcome and impact) used by the IKS Programme; and
- Pay special attention to the participation, role and contribution of Indigenous Knowledge (IK) holders/practitioners and IK-based communities in the NRF managed IKS Programme.

8.1.2. Management of IKS Programme

Comment in relation to the DST and NRF:

- The appropriateness of the management strategies, policies and objectives;
- Whether the management structures and processes were well designed and appropriate to achieve the objectives of the IKS Programme;
- The performance of the respective role players [NIKSO, PMC, NRF Grant Management and Systems Administration Directorate and KFD] in the management of the IKS Programme; and
- Comment on the appropriateness and effectiveness of the grant-making processes, i.e., scorecard.

8.1.3. Capacity building

Comment on:

- The capacity development of appropriate human resources in relation to set targets (KFD and NIKSO);
• The impact of the IKS Programme on postgraduate student development; and
• The extent to which the IKS Programme contributes to transformation in terms of race and gender of students and those from marginalized communities.

8.2. Recommendations
Make recommendations (short, medium and long-term) based on the aspects mentioned above and also provide a strategic direction required to enhance the NRF managed IKS Programme.

9. THE REVIEW PROCESS

9.1. The appointment of the reviewers, preparations and programme
• The RRG will select reviewers and, if applicable, a convenor;
• The review panel should comprise at least two persons with appropriate experience and skills to conduct the review. The resource documents listed in the Appendix will be available to the Panel four weeks before the commencement of the review;
• The RE Directorate will draw up a programme for the review in consultation with the Assignment Principal and the management of the IKS Programme. The reviewers will have an opportunity to interrogate the proposed programme, recommend amendments and additions, should the need arise;
• The reviewers will have an opportunity to interview members of the management of the IKS Programme (both NIKSO and NRF), grant-holders, students and other stakeholders; and
• The reviewers will decide on and pursue their own line of questioning (that is aligned with the purpose of the review) during interviews.

9.2. Deliverables by
9.2.1. The NRF-KFD
• A self-evaluation report compiled by NRF-KFD Programme should be submitted to RE five weeks prior to the commencement of the review. NRF-
KFD is to supply a list of stakeholders arranged according to the various categories, e.g., Programme management and staff, IK holders/practitioners, grant-holders, student beneficiaries, etc.

- List of current and former students indicating demographics and whereabouts;
- NRF-KFD to provide a report with details of IKS Programme highlights;
- Names, affiliations and contact details of possible reviewers for consideration;
- A written response to the draft review report pointing out factual inaccuracies to be submitted to RE Directorate a week after receipt of the draft review report; and
- A written NRF strategic management response to the final review report to be submitted to RE Directorate two weeks after receipt of the final report for onward transmission to the RRG.

9.2.2. The reviewers:

- Verbal feedback by the reviewers to the members of the Review Reference Group, NIKSO, the NRF Executive and other interested parties;
- A preliminary, draft report by the reviewers on the final day of the review programme;
- A final report within two weeks of completion of the on-site review programme. The report should include:
  - Executive summary;
  - Background to the review;
  - Evaluation questions that were addressed;
  - Key findings;
  - Recommendations; and
  - Appendices containing, e.g. terms of reference, persons interviewed, etc.

10. TIME FRAME

The date for the on-site review will be determined by the availability of suitable Review Reference Group members and reviewers.
11. **BUDGET**

The RE Directorate will submit a budget to the Directorate KFD of which will, upon the DST's approval, transfer funds to a dedicated cost centre for the purpose of running the review.

12. **ENQUIRIES**

Programme related:
Dr Kaluke Mawila
Programme Director
Knowledge Fields Development Directorate
National Research Foundation

Review process related:
Mr David Manamela
Programme Officer
Reviews and Evaluation Directorate
National Research Foundation
APPENDIX

DOCUMENTS FOR THE REVIEW PANEL

Essential reading

- Brief Self-Evaluation Report
- Example of conditions of grant
- IKS Policy, 2004
- IKS Research Management Model
- IKS Knowledge Fields Development Framework Documents 2009- 2012
- IKS Annual Reports (Progress report 2011/12 Knowledge Fields Development, 01 April 2011 – 31 March 2012)
- KFD Key Performance Indicators
- Strategic Plan of the National Research Foundation: NRF VISION 2015

Additional reading

- Department of Science and Technology Ministerial Review Committee on the Science, Technology and Innovation Landscape in South Africa, March 2012
- National Development Plan: Vision for 2013
- Mobilizing Knowledge for Integrated Ecosystem Assessments. Fabricius, C.; Scholes, R.; and Cundill, G.
- South Africa’s National Research and Development Strategy, August 2002