

# TERMS OF REFERENCE

## REVIEW OF THE INTERNATIONAL ASTRONOMICAL UNION (IAU) OFFICE OF ASTRONOMY FOR DEVELOPMENT (OAD)

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### 1. Assignment title

Review of the IAU Office of Astronomy for Development (OAD).

### 2. Background

The International Astronomical Union (IAU) reached an agreement with the South African National Research Foundation (NRF) in July 2010 concerning the hosting of the OAD (hereinafter "Agreement"). The OAD is the lead organization in the worldwide implementation of the IAU Strategic Plan 2010–2020 "Astronomy for the Developing World - Building from IYA2009". The plan includes a vision, specific goals for the decade, a strategy for attaining them and a detailed blueprint for their implementation. As part of this implementation, the IAU OAD was launched at the South African Astronomical Observatory (SAAO) in Cape Town, South Africa, in April 2011. The OAD provides the global coordination needed for an integrated strategic approach and will also be expected to develop new programmes consistent with the goals of the Strategic Plan.

In terms of the agreement between the IAU and the NRF, independent reviews of the performance of the OAD are to take place at intervals of not less than two years and not more than four years. The initial agreement covers five years of support until 31 December 2015 with the understanding that further terms would be considered.

### 3. Assignment Principal

The Assignment Principal (AP) is the NRF represented by the Deputy CEO: Astronomy.

The role of the AP will be to:

- approve the terms of reference (ToR);
- approve the budget;
- approve the members of the review panel in consultation with IAU as per Agreement XVI,1 and the NRF Executive;
- approve the review plan and time frame for the review process;
- consider and suggest suitable interviewees for the review panel;
- attend the verbal feedback session of the review panel;
- ensure that the review report addresses the ToR;
- accept the final report by the review panel;
- accept the response of the management of the OAD to the report.

### 4. Service provider

The Reviews and Evaluation (RE) Directorate of the NRF will act as the service provider to manage the review process. Its responsibilities will be to:

- develop the ToR for the review in consultation with IAU as per Agreement XVI,1 and the NRF Executive;
- prepare letters of invitation for the approved members of the review panel for the AP's signature and distribution;
- develop a programme for the review, including a budget;
- coordinate and manage the entire review process, including logistics;
- provide support to the review panel;
- source the necessary documents stipulated in the Appendix with the help of the staff of the OAD and make them available to the review panel six weeks prior to the commencement of the review in South Africa;
- receive the final report by the review panel and submit it to the AP for acceptance;
- solicit the response from the management of the OAD for circulation to the AP for acceptance;
- forward the final report and management response to the IAU Executive Committee and NRF Executive for action;
- place the final review report and the Management response on the NRF website within one month of the acceptance of the review report by the AP.

## **5. The purpose of the review**

The purpose of the review will be to:

- review the performance of the OAD against its objectives as articulated in the IAU Strategic Plan 2010-2020 within its resources during the period April 2011 to 31 March 2014;
- examine the IAU/NRF agreement with a view to its possible enhancement should the Agreement be renewed;
- assess whether the continuation of the OAD in South Africa would be desirable or not;
- make recommendations/suggestions to optimise the future development of the OAD.

## **6. The scope of the review**

The focus of the review will be retrospective covering the period from inception of the OAD in April 2011 to 31 March 2014. The review will also cover the future development of the OAD in order to strengthen and streamline its activities.

## **7. Review dimensions**

The panel is requested to assess the overall performance of the OAD in terms of the envisaged tasks as stipulated in the 2012 update of the Strategic Plan:

- 7.1 Management, coordination and evaluation of the IAU Programmes in the area of development and education.
- 7.2 Organisation of oversight of the IAU development programmes and the establishment of their annual budgets.
- 7.3 Liaison with the chairs of the various Commission 46 Programme Groups/ Commission 55/sector task forces in planning and implementing the relevant programmes.
- 7.4 Liaison with the IAU regional coordinators and IAU regional nodes in planning and implementing the relevant programmes.

- 7.5 Provision of administrative support for IAU programmes in development and education.
- 7.6 Establishment of the new IAU endowed lectureship programme.
- 7.7 Stimulation of communication on IAU development matters between members and associated members through the maintenance of an IAU website for development and education and appropriate forums.
- 7.8 Provision of information for astronomers in all developing countries about IAU programmes.
- 7.9 Proactive coordination and initiation of fundraising activities for astronomy development.
- 7.10 Management of OAD in terms of:
  - leadership;
  - staffing;
  - commitment of institution hosting the OAD;
  - location of the OAD;
  - funding;
  - strategic positioning of the OAD and future plans.

## **8. The review structure and process**

- 8.1 A panel consisting of three members will be appointed for the review of the OAD, two members from abroad nominated by the IAU and one member nominated by the NRF. The panel will be requested to compile a report at the conclusion of the review.
- 8.2 The resource documents for the review listed in the Annexure will be made available to the panel well in advance of the commencement of the review.
- 8.3 The service provider will draw up a programme for the review in consultation with the AP, the review panel and the management of the OAD. The panel will have the opportunity to interrogate the proposed programme and to recommend amendments and additions should the need arise.
- 8.4 The panel will have the opportunity to interview members/staff of the OAD and the NRF as well as other relevant stakeholders.
- 8.5 The review panel will decide on and pursue its own line of questioning during interviews.

## **9. Deliverables by**

### **9.1 Director of the OAD**

- 9.1.1 Self-evaluation report compiled by the OAD for transmission to the review panel at least seven weeks prior to the commencement of the review programme in South Africa. The report should address the terms of reference including the Review Dimensions (see Item 7 above) and should cover the period since inception of the OAD until 31 March 2014. It should not exceed 40 pages with annexures.
- 9.1.2 List of stakeholders  
Appointments/discussions with stakeholders will be arranged by the NRF Reviews and Evaluation Directorate in conjunction with the OAD to facilitate the task of the review panel. The OAD will therefore be requested to supply the names of

stakeholders with whom the OAD is currently interacting, will be interacting in the future and should be interacting but for some reason has not been able to do so yet. It would be helpful, if the names could be clustered under appropriate headings such as OAD staff, collaborators, students, etc. and if the stakeholders are ranked in order of importance as requested on the template to be provided to the OAD.

- 9.1.3 Concise information on the funds received by the OAD from national (including all sources in the NRF) and international sources per year for the period under review.
- 9.1.4 List of documents considered to be essential reading for the review panel and other documentation which should be accessible to reviewers during the review. Documents listed on the Annexure to the ToR for the review which are not in the public domain, such as the Quarterly Reports, Annual Performance Plans and Annual Performance Reports, are to be supplied to the Service Provider for onward transmission to the review panel four weeks in advance of the commencement of the programme in South Africa.
- 9.1.5 Written response to the final review report. This will also be placed on the NRF website.

## **9.2 Review panel**

- 9.2.1 Verbal feedback to the Director of the OAD as well as representatives of the host institution, NRF and other interested parties;
- 9.2.2 Draft report on completion of the stakeholder interviews;
- 9.2.3 Final report within two weeks of completion of the stakeholder interviews. The report should include:
  - an executive summary;
  - background to the review;
  - evaluation questions that were addressed;
  - key findings;
  - recommendations;
  - conclusions;
  - appendices containing, e.g. ToR, persons interviewed, etc.

## **10. Time frame**

The review will take place during 2014 or early 2015 depending on the availability of suitable reviewers.

## **11. Budget**

The service provider will submit a budget for the review to the AP for approval. The costs will be shared between the NRF and the IAU Executive Committee, as agreed.

**DOCUMENTS FOR THE REVIEW PANEL**

**ESSENTIAL READING**

- Self-evaluation report by the OAD.
- Agreement between the IAU and the NRF concerning the hosting of the OAD, 2010.
- IAU-NRF Addendum to the Agreement, May 2011.
- Consolidated 5-year OAD Business Plan 2011-2015.
- OAD funding framework, 2014.
- IAU: Astronomy for the Developing World, Building from the IYA 2009 Strategic Plan 2010-2020.
- IAU: Astronomy for Development, Building from the IYA 2009 Strategic Plan 2010-2020 with 2012 update on implementation.
- Consolidated 3-year performance report for review.

**ADDITIONAL READING**

- OAD 5-year business plan 2012-13.
- OAD 5-year business plan 2013-14.
- OAD 5-year business plan 2014-15.
- Report of highlights from launch until December 2011.
- Report of highlights January – February 2012.
- Cumulative report for 2011-12.
- Quarterly Report for first quarter of 2012-13.
- Quarterly Report for second quarter of 2012-13.
- Quarterly Report for third quarter of 2012-13.
- Quarterly Report for fourth quarter of 2012-13.
- Quarterly Report for first quarter of 2013-14.
- Quarterly Report for second quarter of 2013-14.
- Quarterly Report for third quarter of 2013-14.
- Quarterly Report for fourth quarter of 2013-14.
- OAD Annual Report 2013-14
- OAD Monitoring and Evaluation Framework.
- Call for Proposals Report 2012.
- Call for Proposals Report 2013.