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Joint United Nations Programme on HIV/AIDS

## **PROGRAMME COORDINATING BOARD**

**Second *ad hoc* thematic meeting  
New Delhi, 9-11 December 1998**

*Provisional agenda item 4*

### **Development of the Monitoring and Evaluation Plan for UNAIDS from activity monitoring towards an accountability framework in a multi- partner collaboration**

#### **EXECUTIVE SUMMARY**

This submission to the Programme Coordinating Board responds to its request to the Secretariat at the 6<sup>th</sup> PCB meeting in May 1998 for further elaboration of UNAIDS's approach and priorities in the development of its Monitoring and Evaluation Plan.

This paper describes the framework for UNAIDS to guide its monitoring and evaluation activities. How UNAIDS will approach these activities is described in the broader context of the global response to the HIV/AIDS epidemic. Within this context the work of the UNAIDS Secretariat is carried out in a closely inter-related network of actors including United Nations agencies, bilateral donors, national governments, national and international non-governmental organizations (NGOs), as well as groups representing the civil society and people who live with HIV/AIDS.

This work builds on that of the PCB Working Group on Indicators and Evaluation, a group that was set up simultaneously with UNAIDS itself. The Working Group concluded its efforts in March 1997 as it proposed a general logical framework for the monitoring and evaluation of UNAIDS. In mid-1998, a monitoring and evaluation reference group (MERG) was established to advise UNAIDS on the monitoring and evaluation of the programme. The MERG convened its first meeting in September 1998, where it provided advice on the further development of the monitoring and evaluation plan for UNAIDS.

The conceptual framework described for the Monitoring and Evaluation Plan is constructed according to different levels of influence of the Secretariat, referred to as outputs, intermediate outcome, outcome, and impact. In this model, the *outputs* of the UNAIDS Secretariat are focused primarily on strengthening the coordinated United Nations response, *the intermediary outcome*. A stronger United Nations response

would, in turn, contribute to strengthening an expanded response to the epidemic at the national level, i.e. the outcome, which would, in turn, lead to the reduction

of HIV transmission, and the mitigation of the adverse effects of HIV/AIDS on people, communities, and societies in general, i.e. the impact. The role and influence of the UNAIDS Secretariat diminishes as one moves from the level of outputs to the outcome and impact levels, while the role and influence of other partners increase.

Given the limited resources of the UNAIDS Secretariat and the nature of the programme, many of the monitoring and evaluation activities described herein are or will be implemented in collaboration with, or primarily by, partners ranging from Cosponsors to research institutions and donors. In addition to the monitoring and evaluation activities *per se* within UNAIDS, examples are provided for where monitoring and evaluation principles and approaches are intrinsic in much of the work of the Secretariat.

Substantial progress in monitoring and evaluation of UNAIDS has been made since 1996 at the different levels of the logical framework (Annex 1). The plan also describes steps through which to promote stronger monitoring and evaluation approaches in HIV/AIDS programmes on a broader scale within the United Nations System and beyond, including making monitoring and evaluation tools and skills more available at the regional and country levels.

The further development and implementation of the monitoring and evaluation plan will require additional clarification and agreement on roles and responsibilities *vis-à-vis* reaching the strategic and thematic objectives of UNAIDS among the UNAIDS Cosponsors and Secretariat, and other major stakeholders. The development of the global and regional level integrated UNAIDS workplan and budget for the next biennium (2000-2001), which will be presented to the PCB in early 1999, represents a major opportunity in this regard.

The success of UNAIDS is highly dependent on the quality of collaboration among the major partners and the key processes through which that collaboration is maintained and strengthened. While current monitoring and evaluation efforts will focus mainly on the interface between the UNAIDS Secretariat and the United Nations System Organizations, and in turn between the United Nations System Organizations and the National Programmes, further elaboration of key interface with other major international partners will be required in the future.

The next six months should see significant further development of the UNAIDS Monitoring and Evaluation Workplan, where highest priority will be given to the further elaboration of:

- the Roles and Responsibilities Matrices in priority areas required to develop the Integrated United Nations System Workplan and Budget at global and regional level;
- the evaluation framework for the identification, documentation, and dissemination of the Best Practice collection;
- the performance monitoring and evaluation framework for the implementation of the Secretariat's Workplan;
- the process evaluation approach required to assess interactions between the UNAIDS Secretariat, CCO, and PCB with the United Nations System Organizations; and
- the Inventory of HIV/AIDS Evaluations, Studies, and Tools, together with several of the UNAIDS Cosponsors.

**ACTION REQUIRED AT THIS MEETING**

The PCB is requested to endorse the approach and priorities described within this submission.





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## I. OVERVIEW

1. This paper describes the framework for UNAIDS to guide its monitoring and evaluation activities. It seeks to do so in the broader context of the global response to the AIDS epidemic, within which the work of the UNAIDS Secretariat is carried out by a closely inter-related network of actors including United Nations agencies, bilateral donors, national governments, national and international non-governmental organizations (NGOs), as well as groups representing civil society and people who live with HIV.

2. The plan includes several major sections.

- The **Background** section presents a summary of the goals and functions of UNAIDS, the challenges faced in evaluating a programme with a complex organizational structure, and the UNAIDS approach to building partnerships in monitoring and evaluation as a strategy for strengthening monitoring and evaluation capacities in HIV/AIDS programmes.
- The **Conceptual Framework** section describes the logical framework that is the basis of the evaluation plan in relation to UNAIDS's overall strategic objectives. It also describes the **Roles and Responsibility Matrices** that will be introduced as part of the process of developing the Integrated Workplans on HIV/AIDS of the UNAIDS Cosponsoring agencies at global, regional, and national levels. Clarification of these responsibilities is a critical early step to further addressing monitoring and evaluation in a multi-partner collaboration.
- The section on **Processes and Indicators** describes the major categories of indicators and the key processes that are and will be used to evaluate the objectives of UNAIDS.
- The **Monitoring and Evaluation Tools** section is included as the first annex. It describes the methods and approaches that will be used in monitoring and evaluation of UNAIDS. This annex also describes the progress made to date and further steps to be taken.

## II. BACKGROUND

### A. UNAIDS: A new approach to the global response to AIDS within the United Nations System.

3. In less than twenty years, HIV infection has grown into a worldwide epidemic, wiping out hard-won gains in development in many countries. It is now one of the major causes of death in the world, with over 30 million people living with HIV/AIDS.

4. The global epidemic does not have a single face. It is characterized by stabilizing HIV rates in most developed countries, continuing spread of the virus, especially in most African countries south of the Sahara, and emerging epidemics in parts of Asia and Eastern Europe. The patterns seen range from concentrated epidemics in defined subsets of the population to generalized epidemics with more than one out of five adults infected. At the same time, there is now evidence from various parts of the world that the spread of HIV on a large scale can be slowed. Where this has happened, it has entailed a multi-sector and multi-level engagement of the society.

5. The Joint United Nations Programme on HIV/AIDS (UNAIDS) was established in 1996 with United Nations Children's Fund (UNICEF), United Nations Development Programme (UNDP), United Nations Population Fund (UNFPA), United Nations Educational, Scientific and Cultural Organisation (UNESCO), the World Health Organisation (WHO) and the World Bank as the six Cosponsoring agencies to support countries in their efforts to strengthen and expand their response to AIDS. A major objective of UNAIDS is to mobilize a more effective global response to HIV/AIDS, and in particular that of the Cosponsors. The strategic aim in establishing UNAIDS was that through improved coordination, the combined response of these major partners would be more effective in supporting expanded action on AIDS within countries. It was assumed that this improved coordination would result from a much stronger collaboration among the UNAIDS Cosponsors in the planning, monitoring, and evaluation of their HIV/AIDS related efforts.

6. The UNAIDS Secretariat was intended to be the prime facilitator in this multi-partner collaboration within which it has a number of strategic and coordinating functions. These functions include coordination of the partners in the assessment and planning process, facilitation and brokerage of technical and financial resources, facilitating technical cooperation and knowledge, harmonizing the development of policies and strategies, accelerating the identification and dissemination of "best practices", and strengthening advocacy.

7. The development and implementation of a monitoring and evaluation plan for UNAIDS has been on the programme's agenda since its establishment in 1996. Even before the official launch of UNAIDS, a Programme Coordinating Board (PCB) Working Group on Indicators and Evaluation was established. This group produced a set of reports on how to frame monitoring and evaluation in UNAIDS. The work of the PCB working group ended in March 1997 with a report to the PCB which included a general logical framework for monitoring and evaluation of UNAIDS and a set of priority areas. The PCB adopted this report in its March 1997 session with a series of recommendations that formed the basis for the work presented here.

## **B. Monitoring and Evaluation Approach of UNAIDS**

8. The multiple foci for monitoring and evaluation within UNAIDS demand different priorities and approaches. The range of these foci includes:

- the status of the global epidemic;
- the status, and effectiveness of the global response to the epidemic;
- the status and effectiveness of the national response to the epidemic;
- the status of the United Nations System response, and the value added by United Nations System activities, particularly those of the UNAIDS Cosponsors, to national efforts; and
- the status of the UNAIDS Programme Coordinating Board (PCB), Committee of Cosponsoring Organizations (CCO) and Secretariat response, and the value added of these efforts to the United Nations System response.

9. Highest priority is currently given within the Secretariat in monitoring and evaluation issues related to the status of the global epidemic, the response of the United Nations System Cosponsors, and the performance of the Secretariat.

10. Monitoring and evaluation in UNAIDS is a difficult challenge for three main reasons:

- First, the nature of the epidemic. The context of the epidemic itself and the response to it are rapidly changing. This requires adaptability in programming and monitoring and evaluation.
- Second, the unique structure of the programme. UNAIDS as a cosponsored undertaking is a new approach within the United Nations System, and little experience exists to guide monitoring and evaluation efforts. Success is predicated on the partners effectively collaborating with one another and holding themselves accountable to the outputs for which they are responsible and the quality of their collaboration. There is no single external authority that can effectively enforce the collaboration or hold the individual partners responsible for these outputs on which they are interdependent.
- Third, the nature of the work of the Secretariat. Most of the work under the more direct influence of the Secretariat is strategic in nature and does not lend itself well to more conventional monitoring and evaluation approaches used to assess more tangible outcomes.

11. Notwithstanding the complexity of the subject matter, the basic principles employed throughout the spectrum of monitoring and evaluation efforts emphasize:

- self assessment and peer review approaches,
- more participatory design and process where practical, and
- improved information-sharing and transparency in order to better inform a wider audience of key findings and lessons learned on a timely basis.

12. Since the current monitoring and evaluation needs within the HIV/AIDS epidemic far exceed the currently available resources, early emphasis is on those areas where there is the greatest chance of having an impact.

### **C. The Partnership Approach to Monitoring and Evaluation**

13. Given the limited resources of the UNAIDS Secretariat and the nature of the programme, it is envisioned that many of the monitoring and evaluation activities will be implemented in collaboration with, or primarily by, partners ranging from Cosponsors to research institutions and donors.

14. Since the establishment of the PCB Working Group on Monitoring and Evaluation in 1995, the development of the UNAIDS monitoring and evaluation plan has included not only the UNAIDS Secretariat and the Cosponsors, but also representatives of national AIDS programmes, bilateral donor agencies, and civil society.

#### **Monitoring and Evaluation Reference Group (MERG)**

15. In mid-1998, a Monitoring and Evaluation Reference Group (MERG) was established by the Secretariat to advise UNAIDS on the programme's work in monitoring and evaluation. Membership



in the MERG includes evaluation experts from the Cosponsors, bilateral donors, national programmes, NGOs, and academic institutions. The MERG convened its first meeting in September 1998. The primary purpose of this meeting was to provide advice on the further development of the monitoring and evaluation plan for UNAIDS.

16. During its first meeting, the MERG gained an appreciation of the complex challenges in developing a comprehensive monitoring and evaluation plan. The group also discussed in detail the difficulties in the implementation of specific monitoring and evaluations tools, as some tools still need to be further developed and others need to be field tested (e.g. the study on national and international AIDS financing). The MERG further reviewed and refined the basic logical framework as well as the main priorities for monitoring and evaluation for UNAIDS. The MERG emphasized the importance of further clarifying the roles and responsibilities of the various UNAIDS partners in order to clarify the approaches to monitoring and evaluation, and suggested that this be linked with the development of coordinated workplans.

### **Collaboration with UNAIDS Cosponsors in Monitoring and Evaluation**

17. As part of the MERG, evaluation experts from the Cosponsors participate actively in the development of the overall UNAIDS monitoring and evaluation plan. However, as the main implementors of the UNAIDS workplan, the Cosponsors are also actively involved in the development and implementation of specific monitoring and evaluation tools related to their respective programme areas. Examples may be the development of an improved set of indicators on care and support by WHO, or HIV/AIDS-specific thematic evaluations of reproductive health programmes performed by UNFPA. Further work needs to be done in other areas such as the development of improved tools to measure and evaluate the relations between development and HIV/AIDS (UNDP), or the inclusion of HIV/AIDS issues in Mother and Child Health Programmes (UNICEF/WHO). Finally, the development and implementation of integrated workplans at global/regional and national levels with agreed-upon roles and responsibilities of all involved actors will make the development of workplans within each of the actors' programme areas necessary in order to monitor and evaluate the implementation of these plans. The UNAIDS Secretariat is a member of the Inter Agency Working Group on Monitoring and Evaluation which offers a forum for a broader exchange of expertise and the discussion of HIV-specific aspects as part of the general evaluation work within the United Nations System.

### **The Establishment of Collaborating Networks and Centres on Monitoring and Evaluation**

18. The collaboration with experts from national AIDS programmes, bilateral donors, public health institutions, the scientific community, and NGOs, may be seen as a best practice in itself. These collaborations will focus on the further refinement and development of monitoring and evaluation of specific parts of the UNAIDS workplan, as well as capacity-building and implementation of monitoring and evaluation efforts in the national context. An example can be the monitoring and evaluation component developed by CDC in collaboration with the UNAIDS Secretariat and the responsible Cosponsors of field testing of the trials in prevention of mother-to-child transmission.

19. One of the aims of UNAIDS is to further develop these partnerships into technical resource networks. These networks will serve as a forum for development, dissemination of best practice in monitoring and evaluation, and technical cooperation. Currently two UNAIDS collaborating centres have agreed to closely work with UNAIDS on broader monitoring and evaluation issues. A number of others

are expected to do so with respect to their specific areas of expertise. Focus will be given to centres in developing countries where most of the implementation will happen and where need is greatest.

#### **D. Promoting Stronger Monitoring and Evaluation Approaches in HIV/AIDS Programmes**

20. In addition to the monitoring and evaluation activities *per se* within UNAIDS, monitoring and evaluation principles and approaches are intrinsic in much of the work of the Secretariat. For example:

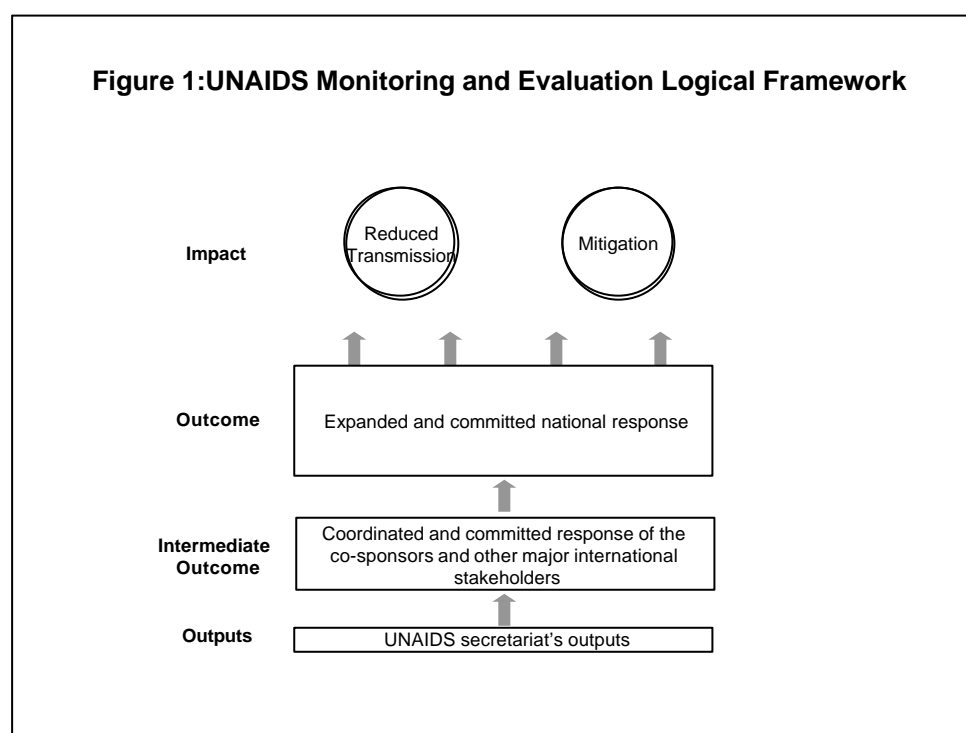
- Best Practice identification, documentation and dissemination will increasingly be driven by technical reference groups with broad participation, operating on a peer review basis. Explicit guidelines for identifying Best Practices based on relevance, ethical soundness, effectiveness, efficiency, and sustainability have been developed and high priority is being given to the further refining of the peer review processes.
- The emphasis on Technical Network Development is similarly designed to increase the peer review influences on international technical collaboration efforts in order to enhance the transparency of those efforts and the relevance and quality of technical assistance provided to countries.
- The emphasis on strengthening national and sub-national Strategic Planning based on improved situational analysis and epidemiological information and broader participation is designed to help strengthen and internalize more evaluative approaches within national programming efforts.
- The emphasis on developing the Integrated United Nations System Workplan and Budget on HIV/AIDS at global and regional levels, and increasingly linking the HIV/AIDS planning within Theme Groups to the United Nations Development Assistance Framework (UNDAF) process is similarly designed to improve transparency and lateral accountability among the Cosponsors and with their clients and partners at each level.
- Finally, the emphasis on Information Systems Development is intended to improve the flow of data among Cosponsors and other partners in order to enhance information-sharing and transparency with regard to their HIV/AIDS programming.

21. Promoting stronger monitoring and evaluation approaches in HIV/AIDS programmes on a broader scale within the United Nations System and beyond also requires making monitoring and evaluation tools and skills more available at the regional and country levels. UNAIDS efforts designed to address these needs include efforts to inventory and make available existing evaluations, studies, and tools on CD-ROM and on the Internet, and facilitating the development of Technical Networks focused on evaluation and monitoring issues.

### **III. CONCEPTUAL FRAMEWORK FOR MONITORING AND EVALUATION OF UNAIDS**

22. In order to highlight the main strategic objectives of UNAIDS as described in the *UNAIDS Strategic Plan 1996-2000*, the PCB Working Group on Indicators and Evaluation developed a logical framework (Figure 1) that focuses on four basic levels:

- **Impact** of the response to HIV/AIDS in terms of reduced transmission of HIV and the mitigation of adverse effects of AIDS on individuals and communities;
- **Outcome**, in terms of a strong and expanded national response to AIDS;
- **Intermediate Outcome**, defined as increased commitment by international stakeholders, including donor agencies, and a strengthened and coordinated response of the international stakeholders, in particular that of the UNAIDS Cosponsors, in support of the national response; and
- **Outputs**, in terms of the products and functions of the UNAIDS Secretariat in support of the above. These mainly include strengthened programme planning, monitoring and evaluation, relevant information about the epidemic, and the global response, advocacy, facilitation to policy development and policy harmonization required to guide the epidemic, and facilitation of technical cooperation.



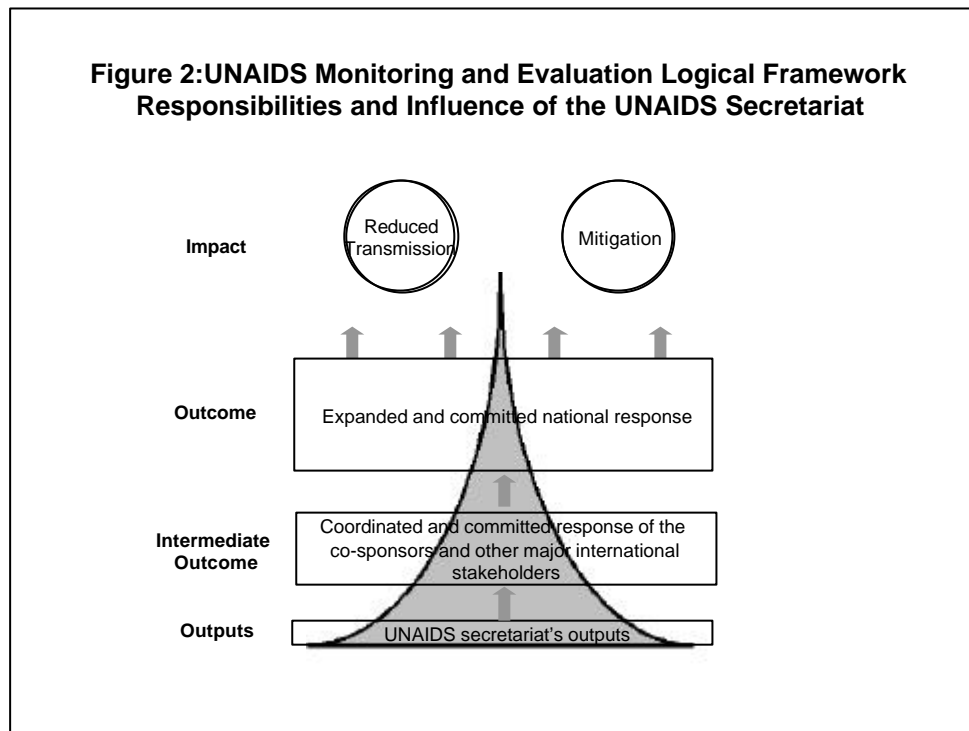
23. This simplified framework describes causal relations between the outputs, intermediate outcome, and outcome, resulting in an impact on the epidemic. Although it does not completely illustrate the complex inter-relations between the different partners at the different levels, it is nevertheless a useful model for analytical purposes.

### **Roles, Responsibilities and Influence of the UNAIDS Secretariat**

24. Another set of important issues relates to the roles and responsibilities of the different partners in the planning, monitoring and evaluation, and implementation of HIV/AIDS programming. Figure 2 illustrates in a simplified way how the influence and the responsibilities of the UNAIDS Secretariat both vary greatly between the different levels of the logical framework. Whereas the

Secretariat has greatest control, and hence responsibility, over its own outputs, its responsibility and influence diminish rapidly as one moves towards the impact level of the framework, while those of other partners increase. Focusing only on UNAIDS Secretariat's outputs

would fail to provide an accurate understanding of the United Nations System response, let alone the totality of the international response to the epidemic.



25. Defining the scope of the UNAIDS Secretariat monitoring and evaluation plan first requires a common understanding of the context within which the programme works, focusing on the multiple actors who contribute to an expanded response to the epidemic. Indeed, the primary outputs of the UNAIDS Secretariat in strengthened planning, monitoring and evaluation, advocacy, policy development, and brokering of technical and financial resources, are only relevant when viewed in a broader framework of actors and their collective efforts at global, regional and national levels. These actors include the UNAIDS Cosponsors, other United Nations agencies, donors, national governments, NGOs, research institutions, groups representing civil society, and others.

### **Roles, Responsibilities and Influence of the Cosponsors and other International Partners**

26. The further development and implementation of the monitoring and evaluation plan will require more clarification and agreement on roles and responsibilities *vis-à-vis* reaching the strategic and thematic objectives of UNAIDS among the UNAIDS Cosponsors and Secretariat as well as other major stakeholders. The development of the global and regional level integrated UNAIDS workplan and budget for the next biennium (2000-2001), which will be presented to the PCB in early 1999, represents a major opportunity in this regard. The Integrated Workplan and Budget of the United Nations System at Global and Regional Level will reflect activities of the UNAIDS Secretariat, those of Cosponsors, funded through supplemental resources, as well as those included in the

core budgets of the Cosponsors. As part of the process of arriving at an integrated workplan, the division of labour between different Cosponsors, other stakeholders, and the Secretariat, regarding the implementation of different programme components, is being defined. The specific tool that will be used to help prepare the monitoring and evaluation components within the next biennial workplan has been labelled “Roles and Responsibility Matrix” (see Annex II). For each objective and programme component in the workplan, a matrix will be developed to indicate the responsibility of the concerned Cosponsor(s) and/or the Secretariat.

27. This, in turn, will also provide more strategic entry points for monitoring and evaluation of the work of the United Nations System organizations on HIV/AIDS, including the Cosponsors and the Secretariat. While the monitoring and evaluation of the implementation of specific workplans fall under the primary responsibility of the respective implementing organization, each of the United Nations System actors will be asked to provide a plan and to describe the tools and indicators they will employ to monitor and evaluate progress on their agreed-upon workplan components. The development of the Roles and Responsibility Matrices can be expected to directly contribute to interagency coordination as well as serve as an indication of that coordination. An illustrative example of a roles and responsibility matrix in the area of prevention of Mother-to-Child Transmission is given in Annex II.

### **Major interactions among the UNAIDS Cosponsors, Secretariat, and other major partners**

28. The success of UNAIDS is also highly dependent on the quality of collaboration among the major partners, and the key processes through which that collaboration is maintained and strengthened. Figure 3 below illustrates five major interfaces between the Secretariat, the United Nations System organizations, the major international partners, and national programmes. They include:

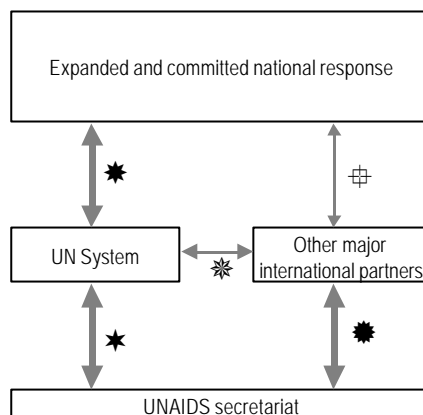
1. the UNAIDS Secretariat and the UN System Organizations;
2. the United Nations System Organizations and the National Programmes;
3. the UNAIDS Secretariat and the major international partners outside of the United Nations;
4. the United Nations System Organizations and the major international partners; and
5. the major international partners and the National Programmes.

29. For example, the major processes requiring evaluation in the interface between the Secretariat and the United Nations System Organizations include:

- the interagency working groups at the technical/programme level;
- the Integrated United Nations System Workplan and Budget on HIV/AIDS at the management level;
- the process and functions of the CCO at the policy level; and
- the process and functions of the PCB at the governance level.

30. While the current monitoring and evaluation efforts of UNAIDS will focus primarily on the first two interfaces described above, further elaboration of other interfaces will be required in the future to fully understand and monitor the global response.

**Figure 4: UNAIDS Monitoring and Evaluation Logical Framework  
Priorities for Evaluation of Process**



#### IV. DEVELOPMENT OF INDICATORS RELATING TO THE MAIN OBJECTIVES OF UNAIDS AND THE EVALUATION OF PROCESSES

31. Table 1 lists the major objectives for UNAIDS at the impact, outcome, intermediate outcome and output levels as described in the logical framework. It also lists the general categories of indicators, which need to be supported by more specific indicators, as well as the related key processes which lend themselves to evaluation. The monitoring and evaluation tools presented in Annex 1 provide additional detail on the more specific indicators as well as information on the data collection processes. The listed indicators are primarily suited to monitor progress and may also be useful in evaluating effectiveness and efficiency in the achievement of the major objectives.

32. Along with indicator development, equal emphasis will be placed on process evaluation which moves beyond tracking *what* progress has been achieved, to *how* progress is being achieved. For example, it is not enough to report whether or not a strategic plan has been developed in a country. An assessment of its *quality* and *how* it was developed is, at least, equally important. Additional tools are currently being developed to assist in the further analysis of achievement, as well as reasons for success and failure (see Annex I).

**Table 1: Objectives for Monitoring and Evaluation: Indicator Categories and Key Processes**

Level	Objectives	Indicator Categories and Key Processes
Impact	<ul style="list-style-type: none"> <li>• Reduced HIV Transmission</li> <li>• Mitigation</li> </ul>	<ul style="list-style-type: none"> <li>• HIV prevalence, behaviour, knowledge</li> <li>• Care and support</li> </ul>
Outcome	<ul style="list-style-type: none"> <li>• Expanded National Response</li> </ul>	<ul style="list-style-type: none"> <li>• Improved national strategic plans and strengthened participatory processes to support their development</li> <li>• Increased commitment, programme capacity and partnership building processes</li> <li>• Increased technical and financial resources for HIV/AIDS activities and resource mobilization processes</li> </ul>
Intermediate Outcome	<ul style="list-style-type: none"> <li>• Improved Coordination within the United Nations System and with other International Partners</li> <li>• Improved Commitment within the United Nations System and with other International Partners</li> </ul>	<ul style="list-style-type: none"> <li>• Integrated workplans on HIV/AIDS for the United Nations System at the global, regional, and country levels</li> <li>• Increased technical and financial resources for HIV/AIDS activities within the budgets and workplans of the international partners</li> </ul>
Outputs of the UNAIDS Secretariat	<ul style="list-style-type: none"> <li>• Strengthened Programme Planning, Monitoring and Evaluation.</li> <li>• Improved Advocacy</li> <li>• Improved Information Access, Sharing and Dissemination</li> <li>• Harmonized Policy Development and Best Practice Documentation</li> <li>• Strengthened International Technical Cooperation</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthened CCO related processes to clarify roles and responsibilities among the Cosponsors and the UNAIDS Secretariat</li> <li>• Strengthened partnership-building processes created which lead to awareness-raising and increased commitment among wide global constituencies</li> <li>• Improved epidemiological fact sheets/country profiles, and M&amp;E data base design, development, and dissemination</li> <li>• Strengthened CCO-related processes to develop joint global policies and strategies</li> <li>• Improved identification, documentation, and dissemination of Best Practices to support policy and strategy development</li> <li>• Strengthened technical resource networks through improved policies and guidelines and direct support</li> </ul>

**A. Impact Level Assessment**

33. At the impact level, the role of the UNAIDS Secretariat will primarily be focused on supporting the development of a broader set of the indicators for monitoring and evaluation of

national programming. Together with the USAID-funded Measure Evaluation project and WHO, UNAIDS supports the Indicators Framework Project. This project brings together current knowledge and expertise from national experts to the United Nations System, bilateral donors, and the scientific community. The already existing epidemiological fact sheets summarize information on currently existing indicators at the country level such as indicators on HIV prevalence, behaviour, knowledge, care, and support.

## **B. Outcome Level: Assessment of the National Response**

34. At the national level, the roles of the national government, NGOs, and bilateral donors come to the forefront. The development and implementation of strategic plans are essential for an effective, multi-sectoral national response to HIV/AIDS. The United Nations Theme Groups on HIV/AIDS, often with inputs from the UNAIDS Secretariat, support national strategic planning. Thus, a useful indicator at the outcome level would be whether or not the national strategic plan has been completed. Process evaluations should include information on the quality of the strategic plan and its different components: situation and response analysis, strategic plan formulation, and mobilization of resources.

35. **The AIDS Programme Effort index (API)** consists of a series of components that contribute to the overall response to the epidemic and can be used as a composite indicator of national efforts and commitment. These components include evidence of political commitment, the existence of a positive policy environment, the number and diversity of partnerships, greater involvement of people living with AIDS (GIPA), and others. Also included is an assessment of the importance of international support to the different components. As an indicator on the process, this part of the score aims to assess the value added of the coordinated response of international partners to the strengthened national response.

36. **National resources made available to the response to HIV/AIDS** can be used as a direct measure of commitment to the response to HIV/AIDS. The availability of financial resources will be measured every two years by a study on financing at the national level in selected priority countries. The share (proportion of overall national budget) and absolute amount of resources not only determine the commitment, scale, and strength of the national response, but also its prospects of sustainability. The number of staff working within the national AIDS programme may be another indicator of this commitment.

## **C. Assessment of Intermediate Outcome: the United Nations System and other major international partners**

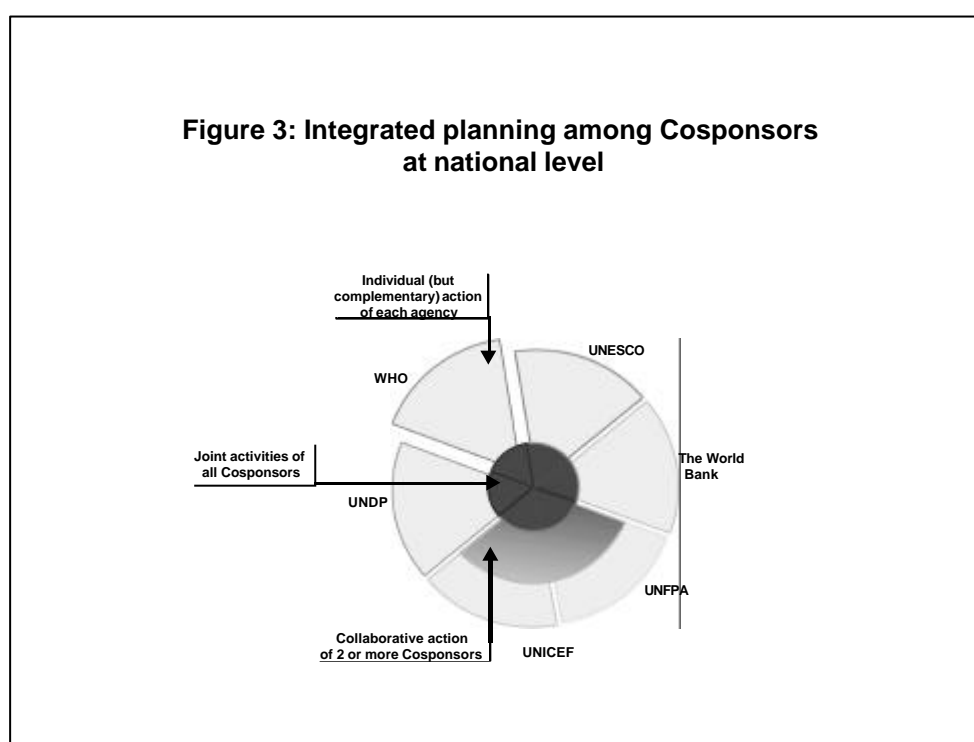
37. At the intermediate outcome level, the UNAIDS Cosponsors and bilateral donors are the primary actors. Improving coordination among these actors and increasing the resources made available to the response to HIV/AIDS are critical elements of a strengthened global response to AIDS.

38. **Integrated workplans** at the global and national levels are the main outcome of improved coordination between all relevant actors. Integrated workplans on HIV/AIDS now exist in a series of countries. The process is also underway at the global level. The CCO decided that by the year 2000



integrated plans should exist at the global level and in all countries with a United Nations Theme Group on HIV/AIDS, with the purpose of maximizing the programmatic advantages of the relevant stakeholders in a systematic way. In support of this process, United Nations agencies' evaluation units could conduct HIV-specific programme reviews to identify the gaps between the potential and the actual use of opportunities in their activities, as currently done by UNFPA. The harmonization of Cosponsors' global policies – a critical component of coordinated and joint planning – will be monitored.

39. Figure 4 shows schematically the UNAIDS Cosponsors at integrated planning country level. Increasing emphasis is being placed on linking HIV/AIDS work planning with the UNDAF process so that they are best tailored to the needs and opportunities in the specific country.



40. **Resources made available to the response to HIV/AIDS.** As for the national response, the amount or the proportion of the overall resources (both staff time and budget) allocated for HIV/AIDS activities by United Nations System organizations and other international partners are a direct measure of the commitment towards the response to HIV/AIDS. Whereas at first glance this may seem simple to assess in practice and increasingly, HIV activities are part of broader development programmes, and HIV-related accountability is not readily available.

#### **D. Assessment of the Secretariat**

41. The output level focuses on the extent to which the UNAIDS Secretariat is fulfilling its main roles and functions. This includes an assessing the performance of the UNAIDS Secretariat and the

achievements of its objectives related to coordination, advocacy, information, best practice/policy development, and technical cooperation. Categories and examples

of indicators, which can be used to measure the performance of the Secretariat in these areas, are given below.

42. The objectives of the UNAIDS Secretariat at the output levels are of a very different nature than the objectives for the other levels. The outputs of the Secretariat primarily relate to processes (e.g. strengthening programme planning, monitoring, and evaluation). The indicators at other levels rather describe specific outcomes. While it is possible to monitor progress at the output level, the relevance of the Secretariat's outputs, specifically the value added to the response of the United Nations System to the epidemic, can only be assessed in relation to objectives at the other levels.

43. The Secretariat will establish a performance monitoring and evaluation system to measure the efficiency of the implementation of its workplan, or – in other words – the products for which it can be directly held responsible. For many of the UNAIDS Secretariat's outputs, there is no single indicator. Therefore, for some of the areas, categories of information have been identified that can be used to document progress. Similar plans exist for – or will have to be developed by – each of the Cosponsoring organizations.

44. **Coordination of the United Nations response.** Facilitating United Nations coordination on HIV/AIDS is an important objective of the Secretariat. However, no comprehensive indicators exist that document quality and relevance of coordination as a process. Priority will be given to the assessment of CCO-related processes to clarify roles and responsibilities among the Cosponsors and the UNAIDS Secretariat. Priority will also be given to strengthened processes to develop joint global policies and strategies. Currently, the 360° assessment of country level actors, including the United Nations System organizations, provides an effective tool to measure parties' views of progress being made towards improving collaboration. A similar set of tools is envisioned for regional and global level assessment of collaboration among the international partners.

45. **Strengthening Advocacy and Partnership Building.** Advocacy, another important objective of the Secretariat, will be monitored through overall media coverage, including “favourability ratings” and the focus of articles and broadcasts. The results of advocacy of the Secretariat can also be measured through monitoring the engagement of both traditional and non-traditional partners at the global and national levels in the response to HIV/AIDS.

46. UNAIDS has formed strategic alliances with key groups and individuals working outside the AIDS area but with the potential to greatly expand and strengthen the programme's outreach. The yardstick of the Secretariat's success, in this regard, is the diversity and the quantity of partnerships it has brokered, as well as the results acquired. Specific indicators will be formulated such as: evidence of partnerships created that lead to awareness-raising among wide global constituencies; and evidence of partnerships brokered that lead to programme implementation.

47. **Improved Information.** A crude indicator of the information-generation objective of the UNAIDS Secretariat is the production of up-to-date epidemiological fact sheets and country profiles, which contain a wealth of HIV/AIDS-related statistics, and information on the international and national

response to AIDS. The number and quality/completeness of these two instruments will increase as more countries develop improved surveillance systems and other ways of collecting information. UNAIDS's contribution in this regard is both direct, by giving technical assistance, and indirectly, through the advocacy for reliable and representative statistics in countries.

48. **Policy development and Best Practice Development.** Indicators regarding the policy/best practice development in response to HIV/AIDS cover the number, quality, and use of policy and technical guidelines developed jointly with Cosponsors, national AIDS programmes, bilateral donors, and research agencies. A plan for monitoring and evaluation of Best Practice identification, development, and dissemination is currently in preparation.

49. **Technical cooperation.** Aside from the technical guidelines produced as part of the work on best practices, technical cooperation can be assessed through: the quantity and quality of technical resource networks established, specific assistance provided by the Secretariat, and expert support provided from within or outside the technical resource networks.

## V. FURTHER DEVELOPMENT OF THE UNAIDS MONITORING AND EVALUATION PLAN

50. The next six months should see significant further development of the UNAIDS Monitoring and Evaluation Workplan. As suggested by the PCB, the capacity for monitoring and evaluation in the UNAIDS Secretariat has been significantly increased. In order to combine related resources and expertise, the epidemiology and the monitoring and evaluation staff has been combined into one team and more directly linked with the planning and programming activities throughout the UNAIDS Secretariat. In addition to the team leader, new staff were hired including a Senior Monitoring and Evaluation Adviser, and a Monitoring and Evaluation Officer, who are supported by two-short term professionals (11 months) and appropriate support staff. The budget for monitoring and evaluation activities has also been increased.

51. During the upcoming months, highest priority will be given to the further development of:

- the Roles and Responsibilities Matrixes in priority areas required to develop the Integrated United Nations System Workplan and Budget at global and regional level;
- the evaluation framework for identification, documentation and dissemination of the Best Practice collection;
- the performance monitoring and evaluation framework for the implementation of the Secretariat's Workplan;
- the process evaluation approach required to assess interactions between the UNAIDS Secretariat, CCO and PCB with the United Nations System Organizations; and
- the Inventory of HIV/AIDS Evaluations, Studies and Tools, together with several of the UNAIDS Cosponsors.