

UNAIDS/PCB(10)/00.4

2 November 2000

PROGRAMME COORDINATING BOARD

Third *ad hoc* thematic meeting

Rio de Janeiro, 14-15 December 2000

Provisional agenda item 4.1

Progress Report on the 5-Year Evaluation of UNAIDS in 2001

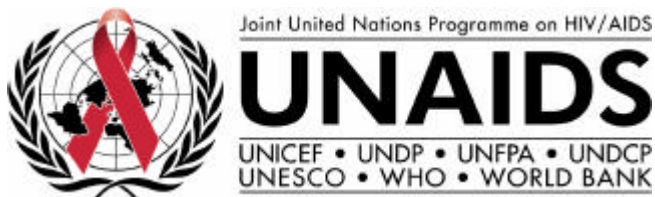
EXECUTIVE SUMMARY

Under the guidance of the Programme Coordinating Board (PCB) Working Group on Indicators and Evaluation, and later the Monitoring and Evaluation Reference Group (MERG), the UNAIDS Secretariat developed a framework and a Plan for Monitoring and Evaluation of UNAIDS. The PCB, during its second thematic meeting in December 1998, endorsed the approach and priorities described in the Plan. The Plan envisages an evaluation of UNAIDS in the year 2001, five years after its establishment.

A draft Mandate for the 5-Year Evaluation was initiated through a meeting of an enlarged MERG in September 2000 to which PCB members and observers were invited, as requested by the PCB at its May 2000 meeting. The draft Mandate was subsequently discussed during an Extraordinary meeting of the PCB on the 5-Year Evaluation on 27 October 2000. In endorsing the Mandate, PCB members proposed some modifications, which have been incorporated into the final version (Annex I). PCB members were invited to make suggestions to the Chair of the Search Committee on potential candidates for the Evaluation Supervisory Panel. PCB members recommended that a report of progress on the 5-Year Evaluation be submitted to the thematic meeting of the PCB in December 2000.

ACTION REQUIRED AT THIS MEETING

The PCB is invited to take note of progress on the 5-Year Evaluation of UNAIDS.



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Annex 1: Mandate for the 5-year evaluation of UNAIDS

I. Background

1. Under the guidance of the Programme Coordinating Board (PCB) Working Group on Indicators and Evaluation, and later the Monitoring and Evaluation Reference Group (MERG), the UNAIDS Secretariat developed a framework and a Plan for Monitoring and Evaluation of UNAIDS. During its second thematic meeting in December 1998, the PCB endorsed the approach and priorities described in the Plan (UNAIDS/PCB(7)/98.4). The Plan envisages an evaluation of UNAIDS in the year 2001, five years after its establishment.
2. The PCB is seen as the primary client of the Evaluation. Other groups with an interest in the Evaluation include the Committee of Cosponsoring Organizations (CCO), the Cosponsors, the Secretariat, Member States and the UN system through the Economic and Social Council (ECOSOC).
3. The purpose of this Evaluation is to assess whether UNAIDS has met expectations in terms of increasing attention to the social, economic and developmental issues associated with the spread of HIV and strengthening interagency collaboration in response to the challenge. The Evaluation will:
 - assess the extent to which UNAIDS has met the goals and core objectives set out in ECOSOC Resolution 1994/24, in leading an expanded and broad-based response to the HIV/AIDS epidemic;
 - examine the degree to which the core objectives of UNAIDS are realistic given its structure and mandate, and provide conclusions and recommendations on governance, management and functions that will promote improved performance; and
 - review the relevance of UNAIDS objectives and functions for the challenges of the next five years and provide recommendations on future objectives and functions of the Programme.

II. Planning and preparation for the evaluation

4. The 5-Year Evaluation will build on the monitoring and evaluation work already undertaken by the Programme, including the evaluation frameworks already developed, and thematic, regional and partner reviews. As envisaged in the Plan, the main functions of UNAIDS will be used as the underlying principle to assess the results and performance of the Programme.
5. In preparing for the Evaluation, a review of several recent evaluations within the United Nations system was undertaken. Key informants involved in the most relevant evaluations were contacted for further in-depth discussion. A summary of the lessons learned through this process provided important background to the preparatory process.

6. An initial draft concept paper of the 5-Year Evaluation was presented to the Cosponsors before the PCB meeting in May 2000 and subsequently presented to the PCB as a Conference Room Paper. Comments from Cosponsors and PCB members and inputs received subsequently highlighted the following key issues relevant to the preparatory phase of the Evaluation:

- the key questions to be addressed by the Evaluation, i.e., the scope and purpose, need to be agreed to by the primary client and the stakeholders;
- the impartiality and credibility of the Evaluation are essential elements which depend on the degree of transparency of the Evaluation process and the expertise and independence of the team carrying out the Evaluation;
- the Evaluation exercise needs to have a clearly defined chain of command; and
- the PCB encouraged the Secretariat to consult broadly on the terms of reference for the Evaluation through the Monitoring and Evaluation Reference Group (MERG), and encouraged Cosponsors and PCB members to strengthen their participation in the September MERG meeting for that purpose.

III. Development of the Mandate for the five-year evaluation

7. At the enlarged MERG meeting, which took place from 13 to 15 September 2000, there was extensive discussion on the purpose, scope and organization of the Evaluation. Agreement was reached on the need to ensure a healthy balance between independence and the learning dimensions. Participants proposed organizational arrangements to address the supervisory, management and implementation functions that would be simple and flexible, with clear lines of responsibility and easy communication. The PCB would initiate the Evaluation by giving the Mandate to an Evaluation Supervisory Panel (ESP). The ESP would be assisted by a small management team with the UNAIDS Secretariat providing additional administrative support. The ESP would have overall responsibility for identifying, according to specific criteria, the composition and responsibilities of the Evaluation Team that would implement the Evaluation, overseeing the progress of the Evaluation and reviewing the interim report. The ESP would also be responsible for ensuring inputs from stakeholders, including the Cosponsors and Secretariat, at key stages of the Evaluation process, notably during the finalization of the detailed workplan and at the interim report stage. The draft Mandate that emerged from these discussions was shared with MERG participants to permit further opportunities for their inputs.

8. The draft Mandate was subsequently submitted to an Extraordinary meeting of the PCB on 27 October 2000. The PCB welcomed the Evaluation, reaffirming its commitment to ensuring an independent, high quality and credible evaluation that will serve as a basis for guiding the future policy and programme development of the Programme at all levels. It further emphasized the need for supervisory, management and implementation mechanisms that ensure clear lines of responsibility, communication, transparency and flexibility.

9. In endorsing the draft Mandate, the PCB authorized the establishment of the Evaluation Supervisory Panel (ESP) to supervise the Evaluation.

10. The PCB recommended that the ESP should be composed of five to seven independent individuals having no current contractual link with UNAIDS Cosponsors or the UNAIDS Secretariat. The PCB recommended that ESP members collectively should have knowledge and experience in:

- the UN system;
- HIV/AIDS;
- evaluation processes and approaches;
- management and institutional development;
- country level issues;
- gender issues;
- public health; and
- the impact of HIV/AIDS on people and countries.

11. The PCB also recommended that the ESP be balanced with respect to:

- the diversity of skills represented;
- geographical distribution; and
- gender.

12. In addition, the PCB recommended that the Chair be a well-known and respected leader in the area of international cooperation, and/or in the area of public health.

13. The PCB further recommended that the Chair and members of the ESP be formally appointed by the Chairperson of the PCB, acting in consultation with the former Chair and the current Vice-Chair and with inputs from the MERG Chair.

14. The PCB authorized the ESP to establish a management support team, to work under the responsibility of and be accountable to the ESP.

15. The detailed issues and questions to be addressed in the Evaluation would be developed by the Evaluation Team and presented for discussion and review by the ESP in an inception report.

16. In order to assist in identifying appropriate candidates for the ESP, a Search Committee was established, made up of participants at the September MERG meeting and chaired by the MERG Chair. The PCB recommended that the Search Committee be appropriately balanced in terms of representation and that the composition of the Search Committee be communicated to the members of the PCB as soon as possible.

17. The PCB encouraged Member States to propose suitable nominations for membership in the Evaluation Supervisory Panel to the Chair of the Search Committee no later than 10 November 2000.
18. The PCB further requested the PCB Chair to:
- appoint, on the basis of a list of all nominations received and reviewed against agreed criteria by the Search Committee, not later than 24 November 2000, the Chair of the Evaluation Supervisory Panel, following consultations with his immediate predecessor and the PCB Vice-Chair and with inputs from the Chair of the MERG; and,
 - appoint, on the basis of the list of all nominations received and reviewed against agreed criteria by the Search Committee not later than 1 December 2000, the other members of the ESP, in consultation with the newly appointed Chair of the Evaluation Supervisory Panel.
19. The PCB authorized the ESP to implement the evaluation in accordance with the agreed Mandate, recommending that the ESP select the Evaluation Team on the basis of an open international tender. The PCB furthermore invited the ESP:
- to take the necessary actions to ensure that appropriate mechanisms for managing the evaluation are established, drawing upon the expertise and experience available within evaluation agencies, offices and departments around the world;
 - to draw upon evaluation expertise in guiding and managing a variety of independent evaluations of international organizations and programmes, that is available within beneficiary and donor government evaluation departments and Cosponsor evaluation offices;
 - to solicit the inputs of stakeholders at key stages during the evaluation, as described in the Mandate; and
 - to recommend follow-up actions.
20. The PCB requested the Chair of the PCB to review and approve the total budget submitted by the ESP, to a maximum not exceeding USD 850,000 if possible, and subject to confirmation of the availability of funds. The detailed budget will be subject to approval by the ESP, which will be responsible for ensuring that the resources available are sufficient for the activities planned.
21. PCB members requested that a progress report on the implementation of the Mandate be provided to the thematic PCB meeting in December 2000.

IV. Conclusion and actions requested

22. PCB members are invited to take note of the progress in operationalizing the Mandate, including the identification of the Chair and members of the ESP.