

Annex 1

MANDATE FOR THE 5-YEAR EVALUATION OF UNAIDS

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Introduction

1. This document presents the broad Mandate for the 5-Year Evaluation of UNAIDS. It comprises a description of the purpose, scope, client, organization and management arrangements, process and timetable and provisional estimates of resources required. This Mandate was endorsed by the UNAIDS Programme Coordinating Committee (PCB) at its Extraordinary meeting on 27 October 2000. It will be used by the Evaluation Supervisory Panel (ESP) to guide the process and by the Evaluation Team as a basis for preparing the inception report and work plan.

I. Background

2. UNAIDS is a joint and cosponsored programme bringing together seven organizations in the UN family: UNICEF, UNDP, UNFPA, UNDCP, UNESCO, WHO and the World Bank. The Cosponsors are coordinated through the assistance of a Secretariat, based in Geneva. UNAIDS is governed by a Programme Coordinating Board (PCB), with representatives of 22 governments from all geographical regions, five representatives of nongovernmental organizations including people living with HIV/AIDS, and the seven Cosponsors. The Cosponsors also meet separately as a Committee of Cosponsoring Organizations (CCO). At national levels, UNAIDS Theme Groups oversee the Programme, with the assistance of a Country Programme Adviser (CPA) in approximately 60 countries.

3. UNAIDS was established in 1996 in response to concerns that the existing United Nations System effort to combat the epidemic paid insufficient attention to the social, economic and developmental issues associated with the spread of HIV. The Programme was set up as an innovative approach to strengthen interagency collaboration for a better-coordinated and comprehensive United Nations system response to the challenge of HIV/AIDS.

4. As the main advocate for global action on HIV/AIDS, UNAIDS leads, strengthens and supports an expanded response aimed at preventing the transmission of HIV, providing care and support, reducing the vulnerability of individuals and communities to HIV/AIDS, and alleviating the impact of the epidemic.

5. UNAIDS seeks to catalyse, strengthen and orchestrate the unique expertise, resources, and networks of influence that each of its Cosponsoring agencies offers. The Programme draws upon the experience and expertise of all UN agencies in advocating, mobilizing and coordinating an effective, broad-based, comprehensive, international response to HIV/AIDS. Working together through UNAIDS, the Cosponsors expand their outreach through strategic alliances with other United Nations agencies, national governments, corporations, media, religious organizations, community-based groups, regional and country networks of people living with HIV/AIDS, and other nongovernmental organizations.

6. The core objectives of the UNAIDS Programme are set out in ECOSOC Resolution 1994/24 (reproduced as Attachment II). These are:

- To provide global leadership in response to the epidemic;
- To achieve and promote global consensus on policy and programme approaches;
- To strengthen the capacity to monitor trends and ensure that appropriate and effective policies and strategies are implemented at the country level;
- To strengthen the capacity of national governments to develop comprehensive national strategies and implement effective HIV/AIDS activities;
- To promote broad-based political and social mobilization to prevent and respond to HIV/AIDS;
- To advocate greater political commitment at the global and country levels including the mobilization and allocation of adequate resources.

7. In order to measure the performance of UNAIDS, a framework and Plan for Monitoring and Evaluation was initially developed by the Programme Coordinating Board (PCB) Working Group on Indicators and Evaluation and subsequently elaborated by the Monitoring and Evaluation Reference Group (MERG). In December 1998 during the PCB thematic meeting the PCB endorsed the approach and priorities described in the Plan. The Plan determines that an evaluation of UNAIDS should take place in 2001, five years after its establishment, in order to review the response of the UN to HIV/AIDS within the framework of UNAIDS, i.e. the work of both the Secretariat and the Cosponsors.

II. Purpose

8. 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.

9. The Evaluation will examine UNAIDS' performance on its major functions as well as its working structures and mechanisms. This will include examining the extent to which the roles of the UNAIDS Secretariat, the Cosponsors and country offices have enhanced the effectiveness of UNAIDS functions and how these might be modified to address future challenges. The Evaluation should provide documentation and initial strategic thinking on the need for any change in UNAIDS' mandate and funding, particularly regarding the roles of Cosponsors and Secretariat at country level.

10. It is important that the 5-Year Evaluation examine failures as well as successes, draw out lessons learned and best practices, and create consensus around the steps forward, so that the future impact of UNAIDS can be enhanced. A strategic, participatory, and forward-looking evaluation is envisaged that can help to strengthen the future work of the Programme. It is anticipated that the Evaluation will help foster dialogue and improve cooperation between all the participants and interested parties through the mutual sharing of experiences at all levels.

III. Scope

11. The Evaluation should review the response of the UN to HIV/AIDS within the framework of UNAIDS. The evaluators will look into the relevance of the UNAIDS objectives and the results achieved in relation to the potential capacity to deliver. All components of UNAIDS, including Cosponsors, the Secretariat, the PCB, and the CCO, will be included in the scope of the Evaluation. However, this will not be an evaluation of all HIV/AIDS activities of Cosponsors. The depth of the Evaluation in each case will be determined in view of respective roles and responsibilities within the overall UNAIDS objectives.

12. The Evaluation will examine the *added value* provided by the UNAIDS Programme, including the extent to which the Programme as a whole (Cosponsors and Secretariat) are working together to address the epidemic. This involves examining:

- the degree to which the unique arrangement of UNAIDS has succeeded in increasing knowledge and capacity, promoting stronger commitment, and ensuring mobilization and better use of resources among both Cosponsors and recipient governments;
- the roles and relationships of the Cosponsors and Secretariat as well as the institutional arrangements governing the UNAIDS Secretariat and its relation with Cosponsors;
- the ability of the Secretariat to fulfil its role and to coordinate the activities and use of resources among the Cosponsors and donors including the performance of coordinating mechanisms at the global level and in a selection of countries.

13. The Evaluation will cover global, intercountry and national levels, and will address its conclusions at global level. While country-specific conclusions may be made as part of individual country studies, the Evaluation will identify lessons and conclusions that are of value to UNAIDS as a whole.

14. The Evaluation will be results-focused and will be based on the PCB-approved UNAIDS evaluation framework (UNAIDS/PCB(7)/98.4)¹. The main point of reference for defining the scope of the Evaluation will be the objectives of UNAIDS and their translation into the Programme's major functions. The major functions of UNAIDS are:

¹ <http://www.unaids.org/about/governance/governance.html#7th>

15. *Increasing awareness and commitment*

- Tracking the epidemic and responses to it
- Advocacy, resource mobilization and partnership building

Expanding capacity and knowledge

- Identification and dissemination of best practice
- Technical resource networking
- Direct support to countries and partners

Coordination and better use of resources

- Unified planning and support to national strategic planning
- Policy and strategy analysis and development
- Governance

16. The extent to which the Evaluation will address processes, outputs, intermediate outcomes, higher-order outcomes and impact will be defined by the Evaluation Team, and approved by an Evaluation Supervisory Panel (see section VI below). All stakeholders have an interest in the ultimate impact in terms of the prevention of HIV/AIDS and mitigation of its effects. Although establishing causal pathways and attribution of impact are likely to prove difficult, establishing and documenting the relationship – however indirect – between UNAIDS’ performance of its functions, the achievement of its objectives, and the contribution to ultimate impact, should be a core concern of the Evaluation. Country studies in particular should search for evidence of effects and impact. The Evaluation will review to what extent it is possible to measure impact, judge the feasibility of attributing impact to UNAIDS’ activities, assess the probability that UNAIDS has made an impact, and make recommendations on needed data generation activities that will help establish causal links in the future.

17. The detailed issues and questions to be addressed in the Evaluation will be identified by the Evaluation Team in an inception report produced within two months of the start of the Evaluation. The Evaluation Team will have available to it as background individual evaluation frameworks for the major UNAIDS functions that set out results chains and indicators and which have been developed by UNAIDS Secretariat. In addition, a number of evaluation studies have also been carried out, including an Evaluation of Best Practices, and a desk review of Integrated Planning at a country level.

18. In consultation with the ESP, the Evaluation Team will assess the cost implications of answering the questions identified and propose possible mechanisms for acting on the results of this assessment. Some examples of the kinds of issues that may be addressed are included in Attachment III. The Evaluation Team will also determine the most appropriate approaches and methodologies to be used to answer the questions.

19. In undertaking its work, the Evaluation Team will pay particular attention to the context within which UNAIDS has functioned since its establishment. The history, circumstances and trends broadly and within selected countries, along with some analysis of why such trends have occurred, will be important contextual information for the Evaluation

Team to draw upon.

20. The Evaluation will be grounded in the principles and practices laid out by the OECD/DAC² Working Group on Aid Evaluation and will refer to the DAC Evaluation Criteria for evaluating development assistance, including relevance, effectiveness, efficiency, impact and sustainability (Attachment IV). The **Evaluation** will make use of the terminology agreed by the OECD/DAC glossary of terms used in evaluation.

IV. Client

21. The PCB is the body mandated to act upon the results of the Evaluation and initiates the Evaluation and receives its results. The PCB has formal responsibility for mandating the ESP and the Evaluation Team, reviewing the process of the Evaluation, receiving and disseminating the results of the Evaluation, and carrying out follow-up actions as it sees fit.

22. Major stakeholders of the Evaluation, however, also include other UNAIDS' partners. They are also the recipients of the results of the Evaluation, and it is important that those undertaking the Evaluation consult with, inform and advise these stakeholders. The objectives, approaches and management arrangements described in this document are intended to reflect broad stakeholder participation. If the Evaluation is to meet its objectives, many of these stakeholders will also be required to act upon its conclusions.

23. Stakeholders with specific interests in the Evaluation, include Member States, the UN system as a whole, the many organizations working in the area of HIV/AIDS and, in particular, the general public, including people living with or affected by HIV/AIDS. A description of key stakeholders, an analysis of their interests, and assessment of the ways in which these interests may affect the Evaluation has been undertaken and is available as part of the supporting documentation (available on request or at the e-workspace <http://spforportal.unaids.org>).

V. Impartiality and independence

24. The Evaluation should to be independent and impartial while providing opportunities for the involvement of key stakeholders within a simple and clear organizational framework. The management arrangements are intended to ensure transparency, impartiality and credibility, while simultaneously fostering a learning environment in which the Evaluation findings will be linked to future policy and programme development within UNAIDS at all levels.

VI. Organizational arrangements

25. A simple organizational structure for the Evaluation is proposed in which the lines of responsibility are clear, communication unconstrained and flexibility is

² Development Assistance Committee (DAC)

ensured (Figure 1). It is intended to ensure the key functions namely, supervision, management and implementation of the Evaluation.

26. The PCB, as the major client, initiates the Evaluation through giving approval to the general Mandate endorsed by the PCB following wide-ranging discussions among key stakeholders. The vehicle for these discussions was initially the MERG with an enhanced constituency base incorporating, in addition to current MERG members, representatives of the PCB and interested donor and recipient governments, Cosponsor evaluation departments, and independent evaluation specialists. The Mandate presents a structure for the Evaluation consisting of an Evaluation Supervisory Panel with supervisory responsibilities and an Evaluation Team with responsibility for the conduct and content of the Evaluation. The ESP is a small group consisting of 5-7 members and including a Chair and Vice-Chair. It reports to the Chair of the PCB.

27. The ESP and the Evaluation Team will be assisted by a management support team led by a manager who reports to the ESP. The detailed tasks of the management support team will be identified by the ESP and will include the development and implementation of an evaluation dissemination and communication strategy. Criteria for the selection of the management support team include:

- Senior management experience in financial, personnel and contractual matters, particularly within the UN system;
- Ability to work with a range of agencies and donors on administrative and funding matters;
- Ability to assist with forward planning for the Evaluation, and with the organization of workshops, field visits and other data-gathering and report preparation process.

Additional administrative support to the ESP and to the Evaluation Team will be provided by specifically designated UNAIDS Secretariat staff.

28. The ESP will organize its work as needed to meet its responsibilities, including meeting at least 3-4 times for 2-3 days each, depending on need. Its responsibilities will be to:

- Prepare the terms of reference of the Evaluation Team;
- Define the structure, composition, roles and responsibilities of the Evaluation Team
- Establish an appropriate competitive process for selecting the Evaluation Team including the identification of the Evaluation Team leader;
- Brief the Evaluation Team;
- Review, comment on and approve the inception report prepared by the Evaluation Team, and finalize the budget proposal;
- Mobilize resources for the Evaluation and assess the feasibility of carrying out the workplan within the resources available;
- Define the tasks and functions of the management support team;
- Select the managerial support staff, guided by UN common system rules;
- Ensure that all stakeholders have opportunities to review and comment on the inception report and the interim report;
- Monitor and deal with risks identified in the stakeholder analysis as being potentially

problematic, including the risk that extra financial and human

- resources may be required if the Evaluation does not stay within the agreed scope and timeframe;
- Monitor the implementation of the Evaluation to ensure that the Evaluation Team has fully complied with the plan of work as set out in its inception report;
- Review the interim report and provide comments thereon to the Evaluation Team;
- Prepare an appraisal of the final report for the PCB regarding the quality and objectivity of the Evaluation, the appropriateness of the Evaluation methods and the degree to which the findings of the report are founded in the analyses it contains.

29. The ESP should be composed of five to seven independent individuals having no current contractual link with UNAIDS Cosponsors or the UNAIDS Secretariat. Members of the ESP would be required to declare any potential conflict of interest. Members of the ESP would need to guarantee their availability for the duration of the Evaluation. ESP members collectively should have knowledge and experience in:

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

30. Furthermore, the composition of the ESP should be balanced with respect to:

- the diversity of skills represented,
- geographical distribution,
- sex

31. In addition, the ESP Chair should be a well-known and respected leader in the area of international cooperation, and/or in the area of public health.

32. Assistance in identifying appropriate candidates for the ESP was provided through a Search Committee, chaired by the MERG Chair, made up of participants at the September MERG meeting and appropriately balanced in terms of representation. PCB Members were encouraged to propose suitable nominations for membership in the ESP to the Chair of the Search Committee.

33. On the basis of a list of all nominations received and reviewed against agreed criteria by the Search Committee, the Chair of the PCB, following consultations with his immediate predecessor and the PCB Vice-Chair and with inputs from the Chair of the MERG would appoint the ESP Chair. Subsequently, the other members of the ESP would be appointed in consultation with the newly appointed Chair.

34. Authorship of the Evaluation report rests with the Evaluation Team. The report will be submitted directly to the PCB Chair along with the comments received from the ESP.

The ESP will remain responsible for ensuring that the team has fully met the workplan as set out in the inception report.

VII. Process

35. The Evaluation shall follow these stages.

- *Preparatory stage:* During this stage, the draft Mandate document is prepared by the MERG with the support of the UNAIDS Secretariat. Participants in the expanded MERG meeting and other interested parties support the Search Committee in identifying shortlists of candidates for the positions of Chair and member of the ESP. Preliminary arrangements are made for the gathering of data from units within UNAIDS Cosponsors and the Secretariat. At the end of this stage the Mandate will be submitted to the PCB for endorsement. Thereafter, once the ESP is formed the process for selecting the Evaluation Team can commence. This stage ends with the selection of the Evaluation Team by open international tender.
- *Stage 1: Inception.* Within two months of the start of the Evaluation, the Evaluation Team will deliver an inception report, which will:
 - identify the detailed issues and questions that the Evaluation will address,
 - specify the mechanisms, approaches and methods to be used in answering them, and the associated budgetary requirements;
 - provide a dated workplan; and
 - clarify any other points arising from initial discussions.

During this stage, the Evaluation Team will familiarize itself with UNAIDS and conduct a review of UNAIDS policy documents, reports and performance data. The Evaluation Team will also make initial contact with stakeholders at global and national levels, and propose a sample of countries to be investigated during the second stage. A brief review of other relevant donor and Cosponsor experience and research findings will be made. The Evaluation Team will present each of these along with a detailed methodology and workplan for the remaining stages. Feedback will be a critical element during this stage. The inception report will be circulated to all stakeholders, including UNAIDS Cosponsors and Secretariat, to permit comments. The ESP will have responsibility for ensuring that all such comments are appropriately dealt with in the final inception report. The ESP will review and approve any modifications to the Evaluation design, methodology or approach deemed to be necessary as a result of these comments and inform other stakeholders accordingly.

- *Stage 2: Country studies and Cosponsor studies.* It is envisaged that the Evaluation Team will need to meet and discuss the Evaluation with UNAIDS Cosponsors, Secretariat and countries, including government, civil society, the private sector, other UN agencies, NGOs, etc. Evaluation methods will include country studies, case studies, assessments of policy and budgetary trends, reviews

- of monitoring and evaluation activities among Cosponsors and Secretariat, and interviews with stakeholders including Secretariat and Cosponsor staff in order to gain new information. Focus groups and workshops may be considered in order to cross-check the above information and to discuss the most pertinent points so far.
- *Stage 3: Synthesis of conclusions.* This stage will involve drawing together the main findings and lessons from the first two stages with an analysis and synthesis of information with lessons learned. It will also involve drafting and finalizing the remaining outputs of the study and report writing. The interim report will be reviewed by the ESP and comments forwarded to the Evaluation Team.
- *Feedback stage:* The interim report will be circulated to stakeholders to permit comments and feedback. Stakeholders, including UNAIDS Cosponsors and Secretariat, will have the opportunity to provide comments on the report. Where such inputs cannot be integrated, comments may be included as addenda to the main body of the report. The PCB will consider the report final after it has completed its review.
- *Dissemination and communication stage:* In order to derive maximum benefit from the Evaluation, a strategy for disseminating and promoting the results and key recommendations will be developed at an early stage of the Evaluation. This dissemination plan should include ways of sharing the results of the Evaluation with the full range of stakeholders using a variety of dissemination strategies and communications media including workshops, seminars, newsletters, articles in journals, websites etc.
- *Follow-up stage:* Following the Evaluation, the PCB, CCO and UNAIDS Cosponsors and Secretariat are responsible for ensuring that the recommendations of the report are considered and followed-up. Responsibilities for this should be decided upon early in the Evaluation process.

VIII. Outputs, reporting and dissemination

36. The outputs include the following documents:

- An inception report within two months of the start of the Evaluation; this will present the detailed issues and questions that the Evaluation will address and provide a dated workplan.
- A dissemination and follow-up plan developed through discussions among UNAIDS Cosponsors, Secretariat, donors and other interested parties.
- An evaluation report in several volumes including, but not limited to:
 - a short synthesis report including specific recommendations, findings and lessons of the study (i.e. a summary report, maximum 20 pages);
 - further data and analytical detail on the major issues and evaluation questions;
 - reports of country studies and site visits;
 - other relevant supporting material and analysis; and,
 - comments attached following review of the interim report by key stakeholders.

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- A short, separate evaluation summary written for broader, non-technical audiences;

37. The Evaluation Team will provide draft versions of the above reports to stakeholders, including UNAIDS and Cosponsors, for feedback and comments.

38. The final report will be presented to the Executive Director of UNAIDS and PCB for discussion at the eleventh meeting of the PCB in May 2002.

39. In order to assist in interpreting the results of the Evaluation, it is important to be aware of the overall context within which UNAIDS has functioned since its establishment. The Evaluation report will include an introductory chapter that sets out the context and reviews trends broadly and by selected countries with some analysis of why such trends have occurred.

IX. Indicative timetable

• Mandate for the Evaluation finalized and endorsed at a meeting of PCB members	27 October 2000
• Evaluation Supervisory Panel Chair and members identified	During November 2000
• Structure, composition, roles and responsibilities and selection process for Evaluation Team developed by the ESP	End November 2000
• Progress in operationalizing the Mandate	15 December
• Selection of Evaluation team	End January 2001
• Start of Evaluation	February 2001
• Inception report delivered	April 2001
• Dissemination plan developed	July 2001
• End of stages 1 and 2	September 2001
• End of stage 3	October 2001
• Feedback and comments on interim report	November 2001
• Finalization of report	December 2001 – January 2002
• Layout, translation, printing etc.	February – March 2002
• Presentation of report at PCB	May 2002
• Dissemination and follow-up	From May 2002

X. Personnel specification

40. The credibility of the Evaluation depends critically on the expertise and independence of the evaluators and the degree of transparency of the Evaluation process. The Evaluation Team members as a whole should have relevant evaluation and HIV/AIDS-related expertise in addition to strong management and coordination skills, and experience of international aid and multi-donor environments. The most important role of the ESP will be to develop the terms of reference for the Evaluation Team, including its structure,

composition, roles and responsibilities and the manner of selection of team members and team leader.

41. Without prejudging the work of the ESP, the following skills and experience would appear to be essential for the team as a whole:

- Expertise in evaluation of multi-donor systems, within the UN
- Expertise in aid evaluation
- Expertise in the health sector with specific reference to HIV/AIDS
- Financial skills and experience
- Drafting and presentation skills
- Independence and objectivity
- The team members should be representative of different backgrounds including gender and geographical distribution.

XI. Risks and assumptions

42. The stakeholder identified the following areas of risk:

- It is assumed that management and staff will act upon the conclusions or recommendations of the Evaluation. Without follow-up, the Evaluation will not meet stakeholders' expectations of improved performance of UNAIDS. At present, it is assumed that the PCB will organize the relevant structures to respond to the recommendations and lessons learned from the Evaluation.
- Stakeholders at national levels may perceive the Evaluation to be a centrally driven exercise, with little value to their more practical requirements at a national level. This may affect their willingness to commit time for consultation. The ESP and Evaluation Team should explore ways in which national level stakeholders can be involved, especially in the fieldwork stage
- Unexpected disputes between stakeholders may arise over specific issues; this may in turn affect perceptions of the Evaluation's independence or credibility, or a stakeholder's willingness to engage.
- The scope and depth of the evaluation of Cosponsor HIV/AIDS-related activities may require clarification. For example, to what extent will the Evaluation examine all HIV/AIDS-related activities of Cosponsors or, rather, only those specified in the Unified Budget and Workplan?
- A prerequisite for success is the availability of data and information in a form that can be easily interpreted, either from UNAIDS Cosponsors or the Secretariat. Any shortage of such materials may delay the timing of the Evaluation and prevent a thorough evaluation.
- Timing and scope are also potential risk areas: if the Evaluation goes beyond its time-frame, extra financial and human resources will be required.

These risks should be monitored by the ESP during the progress of the Evaluation.

XII. Resources (provisional estimates)

43. The provisional estimates outlined below will be revised by the Evaluation Team in accordance with the detailed plan of work and activities described in the inception report. 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. In endorsing this

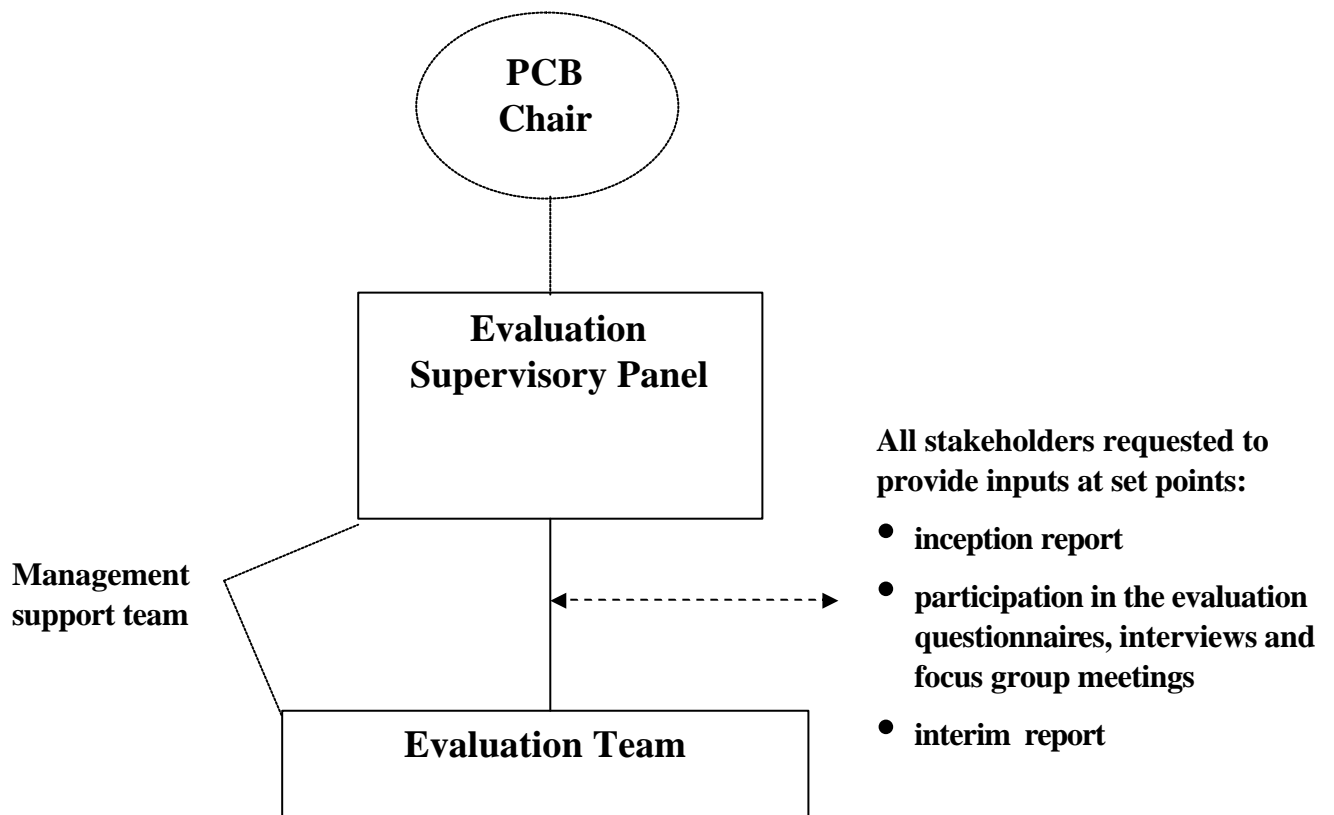
Mandate, the PCB agrees to review and approve the total budget submitted by the ESP, to a maximum not exceeding

USD 850,000 if possible, and subject to confirmation of the availability of funds. In the event that costs significantly exceed the provisional estimates, and if additional resources cannot be mobilized, negotiations among the ESP, the management support team and PCB members will be required to ensure appropriate modification of the workplan.

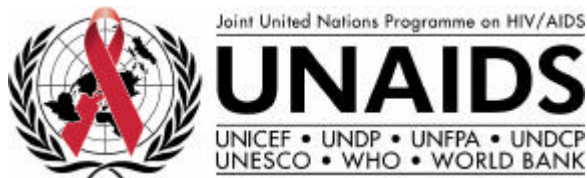
Component	Activities	Estimated costs (US\$)
ESP Chair and members	Development of terms of reference of Evaluation Team; team briefing, overall monitoring of the Evaluation; solicitation of inputs from Cosponsors	70,000
Inception report	Three core Evaluation Team members; workshop in Geneva; report writing	60,000
Country studies	Country case studies (total of six) Country visits by 3-member teams for 5 days each visit plus local consultant support	180,000
Cosponsor studies	Cosponsor headquarters site visits Visits by 3-member teams for 5 days each visit	45,000
Regional studies	Regional evaluations (total of three) Visits by 3-member teams for 5 days each visit plus local consultant support	20,000
Core team	Team leader (x1) Site visits and workshops 30 days @ \$800 Preparation, analysis and report writing 30 days @ \$800 Miscellaneous 10 days @ \$800	56,000
	Team members (x2) Site visits and workshops 40 days x 2 members = 120 days @ \$600 Preparation and report writing 80 days @ \$600 Miscellaneous 30 days @ \$600	138,000
Final report	Synthesis, analysis and report writing; feedback and incorporation of comments into final report	30,000
Evaluation secretariat	Short-term professional and secretarial support Dissemination, communication and publication costs	200,000 50,000
Grand total		849,000

Figure 1

Management structure for the Evaluation



ATTACHMENT I



UNAIDS/PCB(E)/00.5 RECS
3 November 2000

PROGRAMME COORDINATING BOARD

**Extraordinary meeting on the five-year evaluation of UNAIDS
Geneva, 27 October 2000**

DECISIONS, RECOMMENDATIONS AND CONCLUSIONS

1. The PCB welcomes the five-year evaluation of UNAIDS and reaffirms 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.
2. The PCB endorses the purpose and scope of the five-year evaluation of UNAIDS as set out in the mandate document (UNAIDS/PCB(E)00.3) underscoring the need for supervisory, management and implementation mechanisms that ensure clear lines of responsibility, communication, transparency and flexibility.
3. The PCB endorses the organizational arrangements for the five-year evaluation of UNAIDS as set out in the mandate document (UNAIDS/PCB(E)00.3) and authorizes the establishment of an Evaluation Supervisory Panel (ESP) to supervise the evaluation.
 - a. The Evaluation Supervisory Panel (ESP) members collectively should have knowledge and experience in:
 - the UN system;
 - HIV/AIDS;
 - evaluation processes and approaches;
 - management and institutional development;
 - practical country level issues;
 - gender issues;
 - public health; and
 - the impact of HIV/AIDS on people and countries.

- b. The Evaluation Supervisory Panel (ESP) should be balanced with respect to:
 - the diversity of skills represented;
 - geographical distribution; and
 - sex.
 - c. The Evaluation Supervisory Panel (ESP) should be composed of five to seven independent individuals having no current contractual link with UNAIDS Cosponsors or the UNAIDS Secretariat.
 - d. In addition, the Chair should be a well-known and respected leader in the area of international cooperation, and/or in the area of public health.
4. The PCB encourages Members to propose suitable nominations for membership in the Evaluation Supervisory Panel (ESP) to the Chair of the Search Committee no later than 10 November 2000.
5. The Search Committee currently being established by the Chair of the Monitoring and Evaluation Reference Group (MERG) will be appropriately balanced in terms of representation. The composition of the search committee shall be communicated to the members of the PCB as soon as possible.
6. The PCB requests the PCB Chair to:
- a. 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 (ESP), following consultations with his immediate predecessor and the PCB Vice-Chair and with inputs from the Chair of the MERG; and,
 - b. 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 (ESP).
7. The ESP is authorized to establish a management support team, which should work under the responsibility of and be accountable to the ESP.
8. The PCB authorizes the ESP to implement the evaluation in accordance with the agreed mandate. The ESP should select the Evaluation Team on the basis of an open international tender. The PCB furthermore invites the ESP:

- a. 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;
- b. 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;
- c. To solicit the inputs of stakeholders at key stages during the evaluation, as described in the mandate; and
- d. To recommend follow-up actions.

9. The PCB requests the Chair of the PCB to review and approve the total budget submitted to him/her by the ESP, if possible not exceeding USD 850,000, 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.

**ATTACHMENT II
ECOSOC
Resolution 1994/24³
44th plenary meeting
26 July 1994**

**Joint and co-sponsored United Nations programme on
Human immunodeficiency virus/acquired
immunodeficiency syndrome (HIV/AIDS)**

The Economic and Social Council,

Recalling its resolution 1993/51 on the coordination of United Nations activities related to HIV/AIDS,

Taking note of the decisions of the United Nations Development Programme, the United Nations Children's Fund, the United Nations Population Fund, the World Health Organization the United Nations Educational, Scientific and Cultural Organization and the World Bank to undertake a joint and co-sponsored United Nations Programme on HIV/AIDS, on the basis of co-ownership, collaborative planning and execution, and an equitable sharing of responsibility,

Noting that the World Health Organization is to be responsible for the administration in support of the programme, including during the transition period,

Emphasizing that the global HIV/AIDS epidemic affects every country of the world and that its magnitude and impact are greatest in developing countries,

Emphasizing also the urgent need to mobilize fully all United Nations system organizations and other development partners in the global response to HIV/AIDS, in a coordinated manner and according to the comparative advantages of each organization,

1. Endorses the establishment of a joint and co-sponsored United Nations programme on HIV/AIDS, as outlined in the annex to the present resolution, subject to further review by April 1995 of progress made towards its implementation;
2. Calls for the full implementation of the programme by January 1996, and requests that a report confirming its implementation be submitted to the Economic and Social Council at its organizational session for 1996;
3. Notes that further details of the programme are being developed by the Inter-Agency Working Group that has been established by the six co-sponsors;

³ <http://www.unaids.org/about/governance/governance.html#ecosocdoc>

4. Invites the six co-sponsors to take immediate steps to transform the Inter-Agency Working Group into a formally constituted Committee of Co-sponsoring Organizations, comprising the heads of those organizations or their specifically designated representatives, which would function under a rotational chairmanship, establish a transition team and assume interim responsibility, inter alia, for overseeing the transition process leading to the full implementation of the programme;
5. Also invites the six co-sponsors, through the Committee, to initiate action to fill the position of director of the joint and co-sponsored programme as soon as possible, through an open, wide-ranging search process, including consultation with Governments and other concerned parties, and to submit their nominee to the Secretary-General, who will make the appointment;
6. Urges the six co-sponsors, through the Committee, to initiate, as soon as possible, programme activities at the country level, as well as any other programme elements on which there is already full consensus;
7. Stresses that priority should be given to the programme's activities at the country level, where the response to the urgent needs and problems posed by HIV/AIDS should be focused, and underlines the importance of the programme's country-level operations' functioning within the framework of national plans and priorities and a strengthened resident coordinator system, in accordance with General Assembly resolution 47/199;
8. Also stresses that during the transition process, the ongoing HIV/AIDS activities of each of the six co-sponsors should be maintained and/or enhanced, bearing in mind the need for these activities to fit within national AIDS programmes and the general framework of the joint and co-sponsored programme;
9. Requests the six co-sponsors, through the Committee, to produce the following by January 1995, for the consideration of the Economic and Social Council and other concerned parties: a comprehensive proposal specifying the programme's mission statement and the terms and conditions of co-ownership, and detailing the programme's organizational, programmatic, staffing, administrative and financial elements, including proposed budgetary allocations, and to attach to this proposal an annex containing the proposed legal document that the six co-sponsors will sign to establish the programme formally;
10. Encourages the active involvement of the Task Force on HIV/AIDS Coordination during the programme's detailed development phase, through the direct provision of assistance to the Committee, in accordance with the Committee's requirements;
11. Requests the President of the Economic and Social Council to organize, in cooperation with the Committee of Co-sponsoring Organizations, informal open-ended consultations to be held as soon as possible for the purpose of deciding on the specific composition of the programme coordinating board that will govern the programme, interacting periodically with the Committee during the transition period to facilitate progress towards programme implementation, and reviewing the detailed programme proposal after it is received from the Committee, with a view to making appropriate recommendations on the proposal not later than April 1995.

PROGRAMME OUTLINE

1. The co-sponsored United Nations programme on HIV/AIDS represents an internationally coordinated response to the HIV/AIDS pandemic. The programme comprises the following United Nations system organizations: the United Nations Development Programme, the United Nations Children's Fund, the United Nations Population Fund, the World Health Organization, the United Nations Educational, Scientific and Cultural Organization and the World Bank. The programme has been formally endorsed by the Executive Boards of the World Health Organization (resolution EB93.R5) and the United Nations Educational, Scientific and Cultural Organization (resolution 144EX-5.1.5); the other four co-sponsors have also committed themselves to full participation.
2. The fundamental characteristics that define the programme are set out below.

I. OBJECTIVES

3. The objectives of the programme are to: (a) Provide global leadership in response to the epidemic; (b) Achieve and promote global consensus on policy and programmatic approaches; (c) Strengthen the capacity of the United Nations system to monitor trends and ensure that appropriate and effective policies and strategies are implemented at the country level; (d) Strengthen the capacity of national Governments to develop comprehensive national strategies and implement effective HIV/AIDS activities at the country level; (e) Promote broad-based political and social mobilization to prevent and respond to HIV/AIDS within countries, ensuring that national responses involve a wide range of sectors and institutions; (f) Advocate greater political commitment in responding to the epidemic at the global and country levels, including the mobilization and allocation of adequate resources for HIV/AIDS-related activities.
4. In fulfilling these objectives, the programme will collaborate with national Governments, intergovernmental organizations, non-governmental organizations, groups of people living with HIV/AIDS, and United Nations system organizations.

II. CO-SPONSORSHIP

5. The HIV/AIDS epidemic is a global concern. Inter-agency cooperation is vital for ensuring the mobilization of resources and the effective implementation of a coordinated programme of activities throughout the United Nations system.
6. The programme will draw upon the experience and strengths of the six co-sponsors to develop its strategies and policies, which will be incorporated in turn into their programmes and activities. The co-sponsors will share responsibility for the development of the programme, contribute equally to its strategic direction and receive from it policy and technical guidance relating to the implementation of their HIV/AIDS activities. In this way, the programme will also serve to harmonize the HIV/AIDS activities of the co-sponsors.
7. The programme will be managed by a director, who will focus on the programme's overall strategy, technical guidance, research and development, and the global budget. The co-sponsors will contribute to the resource needs of the programme at levels to be determined. The World Health Organization will be responsible for the administration in support of the programme.
8. Other United Nations system organizations concerned with the HIV/AIDS epidemic may be

encouraged to join the programme as co-sponsors in the future.

III. FUNCTIONAL RESPONSIBILITIES

9. The programme will build on the capacities and comparative advantages of the co-sponsors. At the global level, the programme will provide support in policy formulation, strategic planning, technical guidance, research and development, advocacy and external relations. This will include normative activities relating to HIV/AIDS in areas such as social and economic planning, population, culture, education, community development and social mobilization, sexual and reproductive health, and women and adolescents.

10. At the country level, the programme will provide support to the resident coordinator system. Co-sponsors will incorporate the normative work undertaken at the global level on policy, strategy and technical matters into their HIV/AIDS activities, consistent with national plans and priorities. An important function of the programme will be to strengthen national capacities to plan, coordinate, implement and monitor the overall response to HIV/AIDS. The participation in the programme of six organizations of the United Nations system will ensure the provision of technical and financial assistance to national activities in a coordinated multisectoral manner. This will strengthen intersectoral coordination of HIV/AIDS activities and will facilitate further incorporation of these activities in national programme and planning processes.

11. While the programme will not have a uniform regional structure, it will support intercountry or regional activities that may be required in response to the epidemic, utilizing regional mechanisms of the co-sponsors where appropriate.

IV. FLOW OF PROGRAMME FUNDS

12. Funds for programme activities at the global level will be obtained through appropriate common global means. Contributions to the programme will be channelled in accordance with the global budget and work plan.

13. Funding for country-level activities will be obtained primarily through the existing fund-raising mechanisms of the co-sponsors. These funds will be channelled through the disbursement mechanisms and procedures of each organization.

V. FIELD-LEVEL COORDINATION

14. It is recognized that national Governments have the ultimate responsibility for the coordination of HIV/AIDS issues at the country level. To this end, the arrangements of the programme for coordinating HIV/AIDS activities will complement and support national development planning.

15. The coordination of field-level activities will be undertaken through the United Nations resident coordinator system within the framework of General Assembly resolutions 44/211 and 47/199. This will involve a theme group on HIV/AIDS established by the resident coordinator and comprising representatives of the six co-sponsors and other United Nations system organizations. The chairperson of the theme group will be selected by consensus from among the United Nations system representatives. It is intended that the theme group will help the United Nations system integrate more effectively its efforts with national coordination mechanisms. To support the coordination process, in a number of countries the programme will recruit a country staff member,

who will assist the chairperson of the theme group in carrying out his or her functions.

VI. ORGANIZATIONAL STRUCTURE

16. A programme director will be appointed by the Secretary-General upon the recommendation of the co-sponsors. This will follow a search process undertaken by the co-sponsors which will include consultation with Governments and other interested parties. The director will report directly to the programme coordinating board, which will serve as the governance structure for the programme. Annual reports prepared by the director will be submitted to the board and will also be made available to the governing body of each of the co-sponsors.

17. The composition of the programme coordinating board will be determined on the basis of open-ended consultations, as outlined in operative paragraph 11 of the present resolution. In exercising its governance role, the board will have ultimate responsibility for all policy and budgetary matters. It will also review and decide upon the planning and execution of the programme. Its detailed responsibilities and meeting schedule will be specified in a document containing its terms of reference, which is currently being prepared.

18. The programme will also have a committee of co-sponsoring organizations, which will serve as a standing committee of the board. It will comprise one representative from each of the co-sponsors. The committee will meet regularly and will facilitate the input of the co-sponsors into the strategy, policies and operations of the programme.

19. Through consultation with interested non-governmental organizations, a mechanism will be established to ensure their meaningful participation in the programme, so that they can provide information, perspectives and advice to the board, based on their experience and involvement with HIV/AIDS issues.

ATTACHMENT III

Potential issues and questions for the evaluation

In the course of preparation of the evaluation plan, many stakeholders provided input regarding potentially relevant issues and questions related to UNAIDS' activities. These issues and questions are offered to the Evaluation Team as a resource to better understand the context of UNAIDS' activities, its partners and the stakeholders.

The Evaluation Team will be required to identify and address – through consultation with stakeholders – a limited set of issues or questions to be investigated, during the opening stages of the evaluation (no more than 20, differentiated according to global, regional and national levels). There are several secondary sources through which to identify these (including the existing functional evaluation frameworks, and previous evaluations, all of which will be available to the Evaluation Team members). Examples of these issues, and questions are:

Tracking the epidemic and responses to it

- What has been the contribution of the Programme to generating and disseminating information on the extent of the epidemic, the groups most affected, and its impact in different settings and how could this be improved?
- To what extent has the Programme succeeded in gathering and sharing information about the responses to HIV/AIDS, particularly at country level, and how could this be improved?
- How are various stakeholders using information about HIV/AIDS and is it being used to adapt their responses?

Advocacy, resource mobilization and partnership building

- To what extent has UNAIDS contributed to an expanded and more informed awareness of the dimensions and impact of the epidemic among governments, policy-makers, and decision-makers and how could this be enhanced?
- To what extent have UNAIDS advocacy strategies contributed to an increased understanding and commitment among specific target groups, particularly with regard to the status and impact of the epidemic, factors that contribute to its progression, its impact and the consequences of inaction?
- To what extent has UNAIDS contributed to partnership building and how could this be improved?
- What has been the contribution of UNAIDS to multisectoral mobilization against HIV/AIDS, including through the private sector, and how could it be improved?
- What evidence is there of increased global and national resource mobilization?
- How will the advocacy and partnership building functions of UNAIDS differ in the coming five years?

Identification and dissemination of best practice

- How successful has UNAIDS been in identifying promising and innovative policies, strategies and actions and assisting countries to adapt them to their needs?
- Has UNAIDS provided a forum for debate and consensus-building around best practices and offered the needed technical support for operationalizing them?
- To what extent has the UNAIDS best practices collection been successful in reaching its target audiences and how could this be improved?
- How effective is the best practices collection in terms of the extent to which it is understood, appreciated and used by its target audiences?
- To what extent does the best practices collection complement and add value to other UNAIDS strategies?
- Has UNAIDS adequately identified gaps and needs in critical areas of prevention, care and impact alleviation and promoted and supported research and development to fill these gaps?
- What has been the impact of using information about best practices on country and other stakeholder responses to the epidemic?

Technical resource networking

- To what extent has UNAIDS facilitated technical resource networking for local capacity-building, information sharing, peer support and collective action and how could this been done better?
- To what extent have individuals and organizations received required technical and programming support of high quality, and in an appropriate and timely manner?
- How have individuals and organizations used technical support and to what extent has it had an impact on their responses to the epidemic?

Direct support to countries and partners

- To what extent has UNAIDS been successful in mobilizing UN efforts at country level, through, for example, UN Theme Groups?
- Has UNAIDS adequately supported the UN Theme Groups to enhance their capacity to coordinate the UN system's action on HIV/AIDS and improve information dissemination and exchange?
- How successful has UNAIDS been in facilitating technical support for national AIDS programmes and coordination units, the Cosponsoring organizations and networks of NGOs and people living with HIV/AIDS?
- How could the role of UNAIDS in providing technical assistance and programming support to countries be enhanced?
- What has been the outcome of UNAIDS national level coordination? Have the contributions of UNAIDS (Secretariat and Cosponsors) been adequate and appropriate? Do their contributions and roles need to change given the evolving nature of the challenge?

Unified planning and support to national strategic planning

- To what extent has UNAIDS been successful in identifying global needs and strategic planning for an expanded response to HIV/AIDS and to translating these into a unified budget and workplan for Secretariat and Cosponsors?
- What evidence is there that UNAIDS has contributed to national needs assessment, strategic priority formulation and integrating planning at national level and how could this be done better?
- To what extent have countries developed integrated UN workplans that enhance and support the national HIV/AIDS effort, drawing upon the comparative advantages of Cosponsors and Secretariat?
- To what extent have national plans been successfully implemented or adapted?
- Were the planning processes and the plans useful for generating an enhanced national response?

Policy and strategy analysis and development

- What evidence is there that UNAIDS has contributed to strengthening the programmes of the UN, and major non-UN partners at the global, regional, national and subnational levels so that they are better equipped to provide technical and programmatic policy guidance?
- To what extent are the policies developed and promoted by UNAIDS based on the identification of programme needs and through the involvement of all major stakeholders?

Governance

- To what extent have the governance functions of UNAIDS provided the direction and support necessary to achieve improved coordination, leading to better use of resources and an enhanced response by the UN system and other partners?
- To what extent has the governance of UNAIDS (PCB and CCO) been effective in establishing broad priorities for the Programme, reviewing the budget and workplan and approving arrangements for immediate and long-term financing?

Within each of the UNAIDS functions, the evaluation must address the full breadth of evaluation concepts including issues of relevance, efficiency (in relation to the delivery of outputs), effectiveness (in terms of reaching objectives and achieving the desired outcomes) and sustainability.

ATTACHMENT IV

OECD/DAC Evaluation Criteria⁴

DAC CRITERIA FOR EVALUATING DEVELOPMENT ASSISTANCE

In evaluating programmes and projects it is suggested to consider the following DAC Criteria, as stated in the DAC Principles for Evaluation of Development Assistance:

Relevance

The extent to which the aid activity is consistent with the priorities and policies of the target group, recipient and donor.

In evaluating relevance of programme or a project, it is useful to consider the following questions:

1. To what extent are the objectives of the programme still relevant?
2. Are the activities and outputs of the programme consistent with the overall goal and the attainment of the objectives?
3. Are the activities and outputs of the programme consistent with the intended impacts and effects?

Effectiveness

A measure of the extent to which an aid programme attains its objectives. Effectiveness measures the extent to which the activity achieves its purpose, or whether this can be expected to happen on the basis of the outputs.

In evaluating the effectiveness of a programme or project, it is useful to consider the following questions:

1. To what extent were the objectives achieved? Or are likely to be achieved?
2. What were the major facts influencing the achievement or non-achievement of the objectives?

Efficiency

An economic term which means that the aid uses the least costly resources to achieve the results. In other words, aid can gain the most results for its economic contributions. Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been used.

In evaluating the efficiency of a programme or project, it is useful to consider the following questions:

1. Were activities cost efficient?
2. Were objectives achieved timely and at the least cost?
3. Was the programme or project implemented in the most efficient way compared

⁴ The DAC Principles for the Evaluation of Development Assistance; OECD (1991) (<http://www.oecd.org/dac/Evaluation/htm/evalcrit.htm>), and Glossary of Terms Used in Evaluation in Methods and Procedures in Aid Evaluation, OECD (1986).

to alternative ways?

Impact

A term indicating whether the project has had an effect on its surroundings in term of technical, economic and socio-cultural, institutional and environmental factors. Evaluation should consider: 1) *Direct effects*. the immediate costs and benefit of both the contribution to and the results of a project without taking into consideration their effect on the economic; 2) *Indirect effects*. The cost and benefit which are unleashed by the contributions to a project and by its results; 3) *Multiplier effects*. A special indirect effect which deals with the increase in the use of the economy's capacity, by the aid programmes generating a rise in demand.

In evaluating the impact of a programme or project, it is useful to consider the following questions:

1. What has happened as a result of the programme or project?
2. What real difference has the activity made to the beneficiaries?
3. How many have been affected?

Sustainability

The extent to which the objectives of an aid activity will continue after the project assistance is over; the extent to which the groups affected by the aid want to and can take charge themselves to continue accomplishing its objectives. Sustainability is concerned with measuring whether an activity or an impact is likely to continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable.

In evaluating the sustainability of a programme or project, it is useful to consider the following questions

1. To what extent did the programme or project continue after donor funding reached an end?
2. What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?