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7 April 2009

**24th Meeting of the UNAIDS Programme Coordinating
Board**
Geneva, Switzerland
22-24 June 2009

Second Independent Evaluation of UNAIDS

Document Prepared by the Chair of the Oversight Committee

Additional documents for this item: *None*

Action required at this meeting - the Programme Coordinating Board is invited to:
Take note of the report

Cost implications for decisions: *none*

INTRODUCTION

1. My first progress report to the PCB in December 2008 covered the events from the appointment of the Oversight Committee in May 2008, including selection of the Evaluation Team, consultations on and approval of the Inception Report, and feedback from the first country visit to Ethiopia. This second report covers the period from December 2008 to April 2009, and provides information on the Fourth Meeting of the Oversight Committee, evaluation reports, timelines and financial issues, and future events. An update of significant events after April will be provided in the oral presentation at the meeting.

FOURTH MEETING OF THE OVERSIGHT COMMITTEE

2. The Oversight Committee met in Kuala Lumpur on 2-4 February 2009. The meeting was attended by the Evaluation Team Leader and Deputies. The agenda for the meeting included discussion of Evaluation Reports, review of timelines and financial matters, plans for stakeholder consultations on evaluation findings, and milestones for the Oversight Committee work plan. The Oversight Committee and Evaluation Team met with the UN Theme Group and the Technical Support Facility in Kuala Lumpur, to discuss working in a country without a UNAIDS office nor a UNAIDS Country Coordinator (UCC). The visit was facilitated by the UNAIDS Regional Office in Bangkok.

EVALUATION REPORTS

3. The Oversight Committee reviewed the second Quarterly Report. The Quarterly Reports provide factual information on implementation of the agreed work plan set out in the Inception Report.
4. In addition, we had an extensive discussion on the first substantive Progress Report from the Evaluation Team. Progress Reports provide information on findings and issues emerging from the work undertaken on country visits, meetings with Cosponsors, the UNAIDS Secretariat, civil society organizations, and Member States, at both country and global levels. The Reports are structured on the four main blocks of the Evaluation Framework set out in the Inception Report and summarized in Annex 1: Follow-up to the Five-Year Evaluation, How UNAIDS is responding to the changing context, How UNAIDS works, and How UNAIDS is fulfilling its mandate. The detailed questions of the Terms of Reference are grouped and evaluated within one of the thematic blocks.
5. The Oversight Committee also reviewed the final Country Report for Ethiopia, the initial country visit undertaken in October, which was used to refine the approach and methodology agreed for country visits. In addition, draft Country Reports from Indonesia, Ukraine and Vietnam were examined. Country Reports are sent to field staff for verification before being finalized and reviewed by the Oversight Committee. These country reports, which are subsequently posted on the Second Independent Evaluation (SIE) website, are a brief summary of the extensive data collection undertaken by the Evaluation Team against structured framework tables. The synthesis of preliminary evaluation findings, and the Final Evaluation Report, will draw on the full data base of the framework tables, not only the Country Reports.
6. There has been some delay in finalizing country reports due to time required for receiving comments, and quality control procedures by the Evaluation Team. However, the full set is expected to be completed and on the website by mid-May.

7. The Oversight Committee has developed a review framework for its oversight responsibilities, based on the following assessment criteria: whether the questions in the Terms of Reference have been adequately covered using the methodology designed by the Team; if there is an indication of priorities among emerging findings or issues to be addressed; whether there is a need for clarification on questions, indicators, terminology, or evidence presented; and if there is sufficient information/data to substantiate the findings.

PROGRESS

8. The Oversight Committee is confident that the Evaluation is progressing according to the agreed work plan. As of early April, the Evaluation Team will have completed all country visits. They have also visited technical and managerial staff of all the Cosponsors and the UNAIDS Secretariat. Many Member States and donors have been contacted. A web-based survey of Programme Coordinating Board Members and Alternates was completed in March 2009. A more general survey will be launched in April to solicit views from a wide range of stakeholders. A broad range of civil society organizations have been contacted both at global level and during country visits. Documents reviewed by the Evaluation Team have been noted in the Quarterly and Country Reports, as have organizations visited, to ensure that a wide range of stakeholders have been interviewed.
9. Cross cutting issues such as gender and human rights are addressed throughout the evaluation and are built into all stages of data collection and analysis. This is a complex task requiring consistent and critical cross-referencing.

TIMELINES

10. There have been some adjustments in the internal milestones but the Evaluation is on track for the timeline approved by the Programme Coordinating Board, as indicated in the attached Annex 2.

FINANCES

11. The Financial envelope approved by the Programme Coordinating Board was structured in two allotments – the Oversight Committee (and associated activities), and the Evaluation Team and Country Studies. The Oversight Committee has scheduled two additional meetings to allow for continuity in oversight. It also felt that it was imperative to organize two stakeholder workshops to review the Inception Report and to discuss preliminary evaluation findings. These had not been foreseen in the original timeline and budget. These extra activities, as well as cost increases since the approval of the estimates in December 2007, have resulted in a possible shortfall in the order of \$37,000 in the Oversight Committee allotment. However, sufficient funds are available from the Evaluation Team allotment to cover this slight shortfall, while still remaining well within the Programme Coordinating Board approved Estimates. No further expenditures are envisaged. Annex 3 provides an overview of the financial situation.

STAKEHOLDER CONSULTATIONS

12. Considerable attention was devoted at the Oversight Committee meeting to planning stakeholder consultations on preliminary evaluation findings at a stage when the Evaluation Team could take into account comments and input from the consultations to fine-tune the findings, and formulate recommendations. Thus, a wide consultation on preliminary evaluation findings will be conducted from 25 May to 12 June. The main

objectives of the consultations are to present evaluation findings and material to be contained in the Final Evaluation Report; verify findings and validate information; provide an opportunity to identify perceived gaps and priority issues; and solicit views on addressing recommendations. Stakeholders will be asked to comment on a consultation document that sets out key initial findings from the data-collecting phase of the Evaluation. As part of the consultations, a Stakeholder workshop is planned for 3-4 June. The consultation document will be widely circulated and posted on the SIE webpage with guidance questions developed by the Evaluation Team on key themes and issues. The same questions will be used as the basis for the study group discussions at the Stakeholder Workshop.

FUTURE EVENTS

13. My oral progress report to the Programme Coordinating Board meeting in June will include the results of the stakeholder consultations on preliminary evaluation findings. The Evaluation Team will present the Draft Evaluation Report to the Oversight Committee on 7 August. An Oversight Committee meeting has been scheduled for 2-4 September to meet with the Evaluation Team to review the Report. The Final Evaluation Report will be delivered by the Evaluation Team to the Programme Coordinating Board Chair on 30 September. On 10 October, the Oversight Committee will provide comments to the Programme Coordinating Board Chair and UNAIDS Executive Director on how it has fulfilled its oversight mandate for ensuring an independent evaluation. The Oversight Committee report will comment on the quality of the Evaluation Report and the evaluation process. The Evaluation Report, the response from UNAIDS, and the Oversight Committee Report will be discussed at the Programme Coordinating Board meeting in December 2009.

CONCLUSION

14. The Oversight Committee established critical success factors for the Evaluation, including independence, transparency, impartiality, involvement of stakeholders, good communications with the Secretariat and Cosponsors, and selection of a qualified Evaluation Team. We have endeavored to conduct our oversight role on these principles. We have appreciated the support and interest of stakeholders that have enabled us to work in this way.
15. Our mandate is from the Programme Coordinating Board. Through regular letters to the Chair, and my progress reports to the Board, our direct accountability to the Board and our independence have been respected. We have used mailing lists and the SIE webpage to keep stakeholders informed of events and invite their participation and comments. Stakeholder consultations on key evaluation documents, such as the Inception Report and the Consultation Document on Preliminary Evaluation Findings, were planned to ensure wide circulation for comments and verification, as well as the basis for intensive discussions at stakeholder workshops. I have maintained frequent contact with the UNAIDS Secretariat and Cosponsors through messages, meetings and telephone conference calls to discuss issues of common concern, and to benefit from their experience and expertise. The provision of a dedicated Secretariat for the Oversight Committee has also provided the necessary continuity for responsible oversight, as well as to manage the complex process of the Evaluation. Finally, through our review of work plans and reports, the Oversight Committee has confidence in the professionalism of the Evaluation Team, and the quality of its work.
16. I speak for all members of the Oversight Committee, that our role is challenging and more intensive than initially envisaged, but the group has formed a well-grounded, diverse and committed team who appreciate the importance of the task in hand and

take their mandate seriously. We expect that the Evaluation Report will be completed within the timelines agreed, and that the Programme Coordinating Board will reflect on the independence and quality of information that has been provided, in order to situate UNAIDS on a firm basis for guiding strategic choices for its future.

ANNEX 1

EVALUATION FRAMEWORK OUTLINED IN THE INCEPTION REPORT

Overarching Issue

- c) The way in which UNAIDS has responded to the recommendations of the First Five-Year Evaluation

Major Themes

How UNAIDS is responding to the changing context

- a) The evolving role of UNAIDS within a changing environment
- e) Strengthening health systems
- g) Delivering as One

How UNAIDS Works

- b) Governance of UNAIDS
- d) The Division of Labour between the Secretariat, Cosponsors, Agencies and Countries (***operational relationships***)
- f) The administration of the Joint Programme

How UNAIDS is fulfilling its Mandate (ECOSOC Mandate and Core Objectives)

- d) Division of Labor between the Secretariat, Cosponsors, Agencies and Countries (***global coordination role***)
- h) Involving and working with civil society
- i) Gender dimensions of the epidemic
- j) Technical support to national AIDS responses
- k) Human rights
- l) The greater and meaningful involvement of people living with HIV

Looking Forward

How has past performance prepared and enabled UNAIDS to deal with future challenges

Conceptually part of the framework of questions

ANNEX 2

Evaluation Timelines

- **December 2007**: Programme Coordinating Board approved terms of reference for a second independent evaluation of UNAIDS to reassess priorities, build on achievements, and determine how UNAIDS can play a more effective role in strengthening global coordination.
- **April 2008** - An Oversight Committee of ten independent members was created by Programme Coordinating Board to oversee the Evaluation process.
- **August 2008** – Programme Coordinating Board approved selection and contracting of the Evaluation Team.
- **September 2008** – draft Inception Report from Evaluation Team provided the conceptual framework, design, and detailed work plan for the Evaluation.
- **September 2008** – stakeholder consultations on draft Inception Report.
- **October 2008** - Approval of Inception Report by the Oversight Committee.
- **December 2008** – Oversight Committee Chair Report on Progress to Programme Coordinating Board.
- **October 08-April 09** – assessment period – Evaluation Team consultations in country and at headquarters with Member States, UNAIDS Secretariat, Cosponsors and civil society.
- **May/June 2009** – Stakeholder consultations on Evaluation Findings.
- **August 2009** - draft Evaluation Report to Oversight Committee.
- **September 2009** – Final Evaluation Report presented to the Chair of the Programme Coordinating Board.
- **December 2009** - discussion at 25th Programme Coordinating Board meeting of findings and follow-up.

ANNEX 3

Financial Overview – March 2009 (in US\$)

| I Oversight Committee | | | | | |
|--|--|-----------------------------|----------------|--|---|
| | A | B | C | D | E |
| Item | Indicative budget approved by PCB | Current expenditures | Balance | Estimated expenditures (OC5&6) + SW#2 | Possible shortfall A – (B + D) = E |
| ▪ Meeting costs | 100 000 | 23 881 | 76 119 | | |
| ▪ Travel | 120 000 | 164 199 | (44 199) | | |
| ▪ Per diem | 48 000 | 51 397 | (3 397) | | |
| ▪ Support costs/ consultants | 80 000 | 34 245 | 45 755 | | |
| ▪ Contingency | 40 000 | | 40 000 | | |
| ▪ Publication, translation and dissemination costs | 100 000 | 60 800* | 39 200 | | |
| Total (OC) | 488 000 | 334 522 | 153 478 | 190 000 | (36 522) |

*Expenditures incurred for the Stakeholder Workshop on Draft Inception Report.

| II Evaluation Team | | | | | |
|---|--|------------------|------------------|----------------|--|
| Item | Agreed budget range Approved by PCB | | ITAD | UNOPS* | Current Available balance B – (C+D) = E |
| | A | B | C | D | E |
| ▪ Salaries (ETL, Team and support staff), travel and per diem | up to 650 000 | up to 650 000 | | | |
| ▪ Country visit | 1 069 200 | 1 425 600 | | | |
| Indicative Totals (ET) | 1 719 200 | 2 075 600 | 1 788 775 | 134 159 | 152 666 |

*The UNOPS cost (@7.5%) to be determined on the final Evaluation contract, currently estimated at US\$134 159. This is a separate item but within the range of Evaluation budget approved by PCB.

Summary:

(a) **Total Evaluation Budget: (I A + II B) = US\$ 2 563 600**

(b) **Total Current and Estimated Expenditures: (I B + ID + II C + IID) = US\$2 447 456**

(c) **Available Funds: (a) – (b) = US\$116,144**