

Annex 1 SIE Terms of Reference**I. Background**

Established by an ECOSOC Resolution of the United Nations General Assembly (UNGA), the Joint United Nations Programme on HIV/AIDS (UNAIDS) supports and coordinates the efforts of ten cosponsoring UN organizations (ILO, UNICEF, UNDP, UNFPA, UNESCO, WHO, World Bank, UNHCR, UNODC and WFP), and works with a wide range of other private and public partners in the global response to AIDS. 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 ten Cosponsors. The Cosponsors also meet as a Committee of Cosponsoring Organizations (CCO) – a standing committee of the PCB. In some 85 countries, UNAIDS Theme Groups oversee the Programme, with the assistance of a UNAIDS Country Coordinator (UCC). The UNAIDS Secretariat, based in Geneva, provides support for all aspects of the Programme.

An initial evaluation of UNAIDS was completed in 2002 and covered the first five years of UNAIDS (1996-2002). This Second Independent Evaluation will cover a period (2002-2008) during which the AIDS epidemic, the global response to it, and UN organizational reform efforts, have considerably changed UNAIDS environmental contexts. The pessimism that faced the world during the first twenty years of the epidemic has diminished somewhat in the face of much improved treatment and signs that prevention efforts are beginning to have an impact, even in some of the hardest-hit regions of the world. Meanwhile, the response by the international community has been strengthened and financial and human resources allocated to this response have increased significantly. The number of interested parties, stakeholders and groups responding to the challenge has expanded and major new “actors” have appeared, including the Global Fund to Fight AIDS, Tuberculosis and Malaria, the U.S. President’s Emergency Plan For AIDS Relief (PEPFAR), the Bill and Melinda Gates Foundation, the William H Clinton Foundation, UNITAID and other key public and private partners. There have been a number of important reform initiatives for better harmonization within the UN system, such as the Millennium Development Goals, the Secretary-General’s High Level Panel on System-wide Coherence, the results of which – based around the mandate of “Delivering as One” – are currently being piloted in eight countries. Despite these developments, the threat posed by the pandemic remains as large, if not larger, today than it was in 2000.

Background documents are available on the websites for UNAIDS and UNOPS.

II. Purpose and Scope

The purpose of this Evaluation is to assess the efficacy, effectiveness and outcomes of UNAIDS (including UNAIDS Secretariat, the PCB and Cosponsors) at the global, regional and country levels.

The assessment should relate to how UNAIDS has met its ECOSOC mandate for an internationally coordinated response to the HIV/AIDS pandemic with the following core objectives:

- 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 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.

The Evaluation should assess to what extent UNAIDS has met its objectives, and the continuing relevance of its mandate and objectives in the current global environment.

The Evaluation will cover global, regional and national levels and all components of UNAIDS, including the PCB, CCO, UNAIDS Secretariat, and AIDS-related work of the ten Cosponsors as described in the Unified Budget and Workplan (UBW). Between 12-16 country studies could be carried out, and the proposal should state the selected number of countries to be evaluated, provide a rationale of why these countries were chosen, and the research methods to be employed. These studies will feed directly into the overall Evaluation, which will draw together assessments of all components into one synthesis report with conclusions on UNAIDS performance as a whole.

III. Questions to be addressed

In accordance with the background, overall purpose and scope, and guiding principles (Section VII), a number of questions are to be included in the overall evaluation framework:

a) The evolving role of UNAIDS within a changing environment

Given the changing global, regional and country environments, the evolving role and priorities of the Joint Programme needs to be clearly defined, especially concerning working relationships with institutions like the Global Fund, PEPFAR, UNITAID, bilateral donors, private sector, civil society, regional organizations and others, all of which have grown in importance since the Five Year Evaluation.

To what extent does UNAIDS generate and take advantage of synergies with its partners including HIV vaccine and other appropriate technologies, advocacy, and development partners and organizations of vulnerable populations and people living with HIV? A special focus will be placed upon the role of UNAIDS in monitoring and evaluation of different interventions, policies and strategies implemented across many partners.

b) Governance of UNAIDS

This evaluation should involve a review of the governance and accountability structures of UNAIDS (Program Coordinating Board, Committee of Cosponsoring Organizations and the Unified Budget and Workplan), and its relationships with the Cosponsors and other UN bodies on a wide range of issues, especially given the organization's expansion, the entry of new partners into the field, and the growing range of activities being undertaken. The evaluation should consider the progress on recommendations of the Global Task Team (GTT), review and the Review of NGO/Civil Society Participation in the Programme Coordinating Board.

c) The response to the Five Year Evaluation of UNAIDS

Assessing the extent to which UNAIDS has been able to respond to the recommendations and proposed activities that emerged from the Five Year Evaluation based on the PCB decisions is important. It is also necessary to identify any factors, which may have facilitated or limited UNAIDS' implementation of these recommendations such as national capacities, availability of resources and resource gaps. Implementation will also have to be evaluated at headquarters, regional and country levels to determine the overall effectiveness, efficiency, equity and acceptability of the Programme.

d) The Division of Labour between the Secretariat, Cosponsors, Agencies and Countries

The components of UNAIDS, and the operational relationships between Secretariat, Cosponsors and other institutions, like the Global Fund, at headquarters, regional and country levels need to be reviewed. This should also involve evaluating the efficiency of UNAIDS in terms of coordination, consistency and compatibility of activities and programmatic strategies and, how the 'Division of Labour' has affected working relationships in country, taking into account the perspective of national governments. Does UNAIDS fulfil its global coordination role on AIDS?

e) Strengthening Health systems

The Evaluation should include an assessment of UNAIDS' role in strengthening health systems and determine what improvements could be made to strengthen health systems in ways that support UNAIDS objectives.

f) The administration of the Joint Programme

This involves evaluating how the administration and business practice of the UNAIDS Secretariat has evolved since its creation, including its institutional relationships with WHO and UNDP, and whether it has been flexible and creative enough to keep up with the changing pace and types of demands that have emerged over time, including transfer of resources to countries. Patterns and processes of staff deployment and management will need to be examined.

g) Delivering as One

UN Reform, Global Task Team (GTT) and the Paris Declaration on Aid Effectiveness all influence the context in which UNAIDS operates. The impact of these changes on how UNAIDS is viewed (by countries, co-sponsors donors and staff) and on how it works to meet its mandate (particularly in countries), should be assessed. Implications and choices for the future should be identified.

h) Involving and working with civil society

The extent to which UNAIDS has been able to, support, include, engage and incorporate in a meaningful and measurable way the concerns and capacities of civil society, and what types of functional relationships and partnerships have evolved at different operational levels should be reviewed and should be an integral part of all questions to be addressed by this Independent Evaluation.

i) Gender dimensions of the epidemic

The extent to which gender equality has been incorporated as an integral part of the work of UNAIDS at the global and national levels and the extent to which these issues have been incorporated in national strategies and actions. This must include the degree to which UNAIDS has supported countries in their efforts to address the gender dimensions of the epidemic. The measurement of impact on the gender equality must include:

- analysis of the development of policy guidance;
- monitoring of gender-differentiated impact of programmes;
- systematic disaggregation of data by sex and integration of gender and equality indicators in monitoring and evaluation frameworks;
- internal capacity for gender analysis and policy guidance.

Work on gender norms, work with sexual minorities, including men who have sex with men and transgender communities, should also be examined.

j) Technical support to national AIDS responses

The outcome of the technical support rendered by UNAIDS through an examination of activities in, and the needs and priorities of affected countries, and the quantity and quality of support rendered, including transaction costs, accessibility of funding, coordination mechanisms such as Joint UN Teams and others designed to enhance service delivery. To what extent does UNAIDS allow for flexible procedures that are adaptable to different national or regional situations?

k) Human rights

How UNAIDS programmes and policies have contributed to strengthening the rights of vulnerable populations, have addressed issues of gender inequality, stigma and discrimination, the empowerment of vulnerable populations among its priorities, and ensures that programme objectives reflect the priorities expressed by vulnerable populations themselves. This should include mechanisms to enable meaningful participation of vulnerable populations in policy and programme development.

l) The greater and meaningful involvement of People living with HIV

The extent to which UNAIDS has enabled the active and meaningful engagement of people living with HIV through the:

- transparent and democratic selection processes and choices of representatives;
- involvement in the design of policy making;
- involvement in the implementation of programmes;
- involvement on the monitoring and evaluation of UNAIDS programmes.

IV. Client

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 Oversight Committee 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.

V. Timeframe

The Evaluation will cover the period 2002-2008, with the Evaluation Report due in September 2009. The Evaluation should take into account significant events up until June 2009.

VI. Organizational Arrangements

To ensure impartiality and credibility of the Evaluation, the PCB has created an Oversight Committee (OC) composed of 11 independent representatives from a cross-section of UNAIDS constituencies. The OC is mandated to oversee the Evaluation and reports to the PCB via the OC Chair on Evaluation progress, and matters requiring PCB action. An Evaluation Team (ET) will be contracted to carry out the Evaluation. The ET will be supervised by the OC for the duration of the Evaluation, but will submit its Final Report directly to the PCB Chair.

VII. Guiding Principles for Conducting the Evaluation

All aspects of UNAIDS work are directed by the following guiding principles:

- I) aligned to national stakeholders' priorities;
- II) based on the meaningful and measurable involvement of civil society, especially people living with HIV and populations most at risk of HIV infection;
- III) based on human rights and gender equality;
- IV) based on the best available scientific evidence and technical knowledge;
- V) promoting comprehensive responses to AIDS that integrate prevention, treatment, care and support.

Moreover, to ensure credibility of the Evaluation, it is to be conducted in accordance with the following principles:

- a) Independence and Impartiality.
- b) Retrospective and prospective – based on retrospective lessons learned and best practices applied to prospective future policies, strategies and programming.
- c) Involvement of stakeholders. Stakeholders are understood to include UNAIDS Secretariat, Cosponsors, PCB members, governments, organizations working on HIV, civil society and the corporate sector, and particularly people living with HIV.
- d) Transparency.
- e) Foster a learning environment throughout the process.

- f) Strategic and forward-looking for future policy and programme development.
- g) With reference to international norms and definitions such as the OECD Development Assistance Committee (DAC) principles of efficiency, effectiveness, relevance, outcome and sustainability.

VIII. The Evaluation Team

The Evaluation Team will be selected by international competitive bidding. The ET should demonstrate competence, experience and sensitivity to the complexity of the evaluation process, its geographic scope and levels, and the many underlying components and issues indicated in the evaluation questions in section III. The Evaluation Team could comprise an organization or consortium of both public and private entities to cover the range of competencies required, but must be independent of the UN system.

Overall the Evaluation Team should demonstrate qualification, experience and competencies in the following areas:

- a) evaluation and monitoring of multi-organisational systems within and outside the UN, preferably where they involve inter-agency cooperation;
- b) excellent knowledge of HIV/AIDS issues;
- c) assessing institutional change;
- d) modern evaluation methodologies including both qualitative and quantitative methods;
- e) health sector issues, and design and methodology for social development and health system impact evaluations, with specific reference to HIV;
- f) evaluation of issues of governance, policy, and business practices in both public and private sector settings;
- g) experience and skills in financial management, preferably in institutional settings;
- h) experience in working in resource-limited countries, preferably in relation to HIV;
- i) ability to draw on short-term expertise and resources through collaboration with global, regional or national research institutions or other organizations as required;
- j) superior oral and written and communication skills, including ability to deal with multiple evaluation departments, programme managers, and technical staff;
- k) capacity in, or access to, multilingual skills relevant to country studies;
- l) balanced gender, geographic, and stakeholder representation through team members or collaborative arrangements, including people living with HIV;
- m) experience in managing large, complex evaluations.

The Evaluation Team should be headed by a Team Leader who is independent of the UNAIDS Secretariat and Cosponsors. The Team Leader should have demonstrable track record in managing complex projects in the field of HIV/AIDS with collaborative partners and interdisciplinary teams of analysts. Specific competencies should include:

- a) ability to coordinate multiple assessments of the Evaluation, and compile these effectively into a synthesis report;
- b) excellent communication skills including writing and presentational skills;
- c) ability to deal credibly with complex inter-agency matters and personnel at highest levels;
- d) financial management skills related to complex multi-country activities and transfer and supervision of financial resources between multi-player operations;
- e) ability to meet tight deadlines with quality products.

The composition of the team should be presented in detail, including a break-down of the tasks assigned to each, estimated time taken, possible visits to be made to consult stakeholders and other work tasks. An organogram illustrating the reporting lines, together with a description of the organization of the team structure should support the proposal. The full curriculum vitae of each member of the team should be included as an Annex.

IX. Methods

Methodologies should involve a mix of recognized evaluation techniques, based on the Guiding Principles outlined in Section VII, including but not limited to:

- a) Desk-based research to review existing reports and background material, including recent evaluations.
- b) Interviews, discussion groups, surveys, drawing on expertise of UNAIDS stakeholders, at national, regional and global levels. Active participation of the stakeholders is expected throughout the evaluation as interlocutors and commentators.
- c) Standard evaluation methods for validation and verification of quality information.
- d) Methods for identifying between 12 to 16 country visits according to the following selection criteria, and the rationale and value added for the number(s) proposed:
 - Balanced regional representation
 - Representatives of generalized and concentrated epidemics
 - High and low prevalence countries
 - Humanitarian and emergency settings
 - Differing economic status
- e) Methods for prioritizing issues and themes, and how they relate to each other.
- f) Methods to assess how past performance has prepared and enabled UNAIDS to deal with future challenges.

X. Stages, Indicative Timetable, Outputs

The proposal should specify the approach, personnel and specializations, person-months and costs for each stage, as well as the costing of the number of site visits proposed.

Stage 1: Inception Stage (August – September 2008)

The purpose of the inception stage is for the evaluation team to refine the scope of work and the detailed planning for the assessment and synthesis stage. The Inception Report will include proposals, criteria used and rationale for choice of country studies, themes and issues to be given priority, and any thematic reports proposed. Within the broad schedule set out for the synthesis stage, the Inception Report will show how the evaluation team will produce, consult on, and finalize the draft and final reports.

Output: Inception Report with detailed Evaluation Workplan

Stage 2: Assessment Stage: Implementation of approved work plan (September-April 2009)

Outputs:

- Quarterly progress reports
- Progress Report for Oversight Committee – November 2008
- Draft Evaluation Report – May 2009

Stage 3: Synthesis Stage: Preparation of Draft and Final Reports (June – August 2009)

Outputs

- Draft Final Report to Oversight Committee (August 2009)
- Final Report to PCB Chair (September 2009)
 - Annexes: - 12-16 Country Reports as background documents
 - Thematic Reports as Required
- Short Summary report for public dissemination (September 2009)

The Evaluation Team should specify the approach, personnel and specializations, person-months and costs for each stage.

XI. Financial Parameters

The indicative budget for carrying out the Evaluation will be finalized after approval of the Inception Report on the basis of methodologies and number of country visits. Proposals should contain detailed costing as outlined in Section IX(d) and X, and paragraphs 14-17 of the Request for Proposal..