

# UNAIDS IEOAC MEETING

Date: Wednesday, 9 and Friday, 11 November 2022

Time : 13:00-17:15

Venue : Virtual

## PARTICIPANTS

**Committee Members:** Mr Saad Bounjoua, Ms Agnieszka Golebiowska, Mr David Kanja, Ms Bushra Malik (Chair), Mr Ibrahim Pam, Ms H el ene Rossert, & Mr Benoit de Schoutheete

**Secretariat Support:** Mr Tim Martineau, Director of Management, Mr Morten Ussing, Director of Governance and Multilateral Affairs; Ms Samia Lounnas, Senior Governance Advisor, Ms Adriana Hewson, Governance Officer, Ms Sara Amara, Governance Intern

## MEETING AGENDA

### DAY 1: WEDNESDAY, 9 NOVEMBER 2022

1. Opening and Administrative Matters
2. Session 1: IEOAC discussion and agreement on the revised Terms of Reference and Rules of Procedure
3. Wrap up session
4. Session 2: UBRAF Performance Reporting
5. Wrap up session
6. Break
7. Session 3: Update from the Evaluation Office and Management
8. Wrap up session

### DAY 2: FRIDAY, 11 NOVEMBER 2022

1. Session 1: Update on the follow up and implementation of the JIU recommendations
2. Wrap up session
3. Session 2: Review of the WHO Office of Internal Oversight Services (IOS) workplan and resources for UNAIDS for 2023
4. Wrap up session
5. Break
6. Session 3: Review of the Resource Mobilization Strategy
7. Wrap up session
8. Closing session to discuss priorities for the 2023 Workplan and select 2023 Chair
9. AOB

## **SUMMARY**

### **DAY 1: WEDNESDAY, 9 NOVEMBER 2022**

#### **Opening and administrative matters**

The Chair of the UNAIDS Independent External Oversight Advisory Committee (IEOAC), welcomed members to the committee's sixth meeting and outlined the meeting agenda.

#### **Session 1: IEOAC discussion and agreement on the revised Terms of Reference and Rules of Procedure**

The committee discussed the draft Rules of Procedure prepared by committee members which were finalized by the task team comprising of Ibrahim, David and Benoit. The IEOAC agreed to meet with the EXD on 23 November 2022. The IEOAC recommended that the PCB amend the IEOAC's Terms of Reference to authorize appointment of a Vice Chair of the committee.

The IEOAC approved its Rules of Procedure.

#### **Session 2: UBRAF Performance Reporting**

The Secretariat provided the committee with an overview of its performance monitoring approach. The overview noted the structure of the UNAIDS Unified Budget, Results and Accountability Framework and the process for collecting, analysing and summarizing performance data provided across the Joint Programme. Performance monitoring results are reported to the PCB in an executive summary, against strategy results areas and performance indicators, by region and country, and with respect to each member of the Joint Programme. A transparency portal provides access to performance data on the Joint Programme.

The IEOAC discussed the challenge of balancing the value of granular performance data with the challenge of effectively analysing and leveraging extensive, complex performance data within an organization as small as the Secretariat. For the current UBRAF, the Joint Programme reports against 20 specific outputs and 27 indicators, and the Secretariat reports against 13 specific outputs and 18 indicators.

The IEOAC discussed the relationship between performance reporting and organizational risk as well as the relationship between performance reporting, evaluations and internal and external audit functions. The timing of the receipt, analysis and reporting of performance data was discussed, as the Secretariat receives reports from the Global AIDS Monitoring system by 31 March and submits the performance

summaries to the PCB near the end of May, for consideration by the PCB at its annual June meeting. It was agreed that the IEOAC would explore the possibility of scheduling its meetings in a way that would permit the committee to provide feedback on the Performance Monitoring Report before it is provided to the full PCB.

The IEOAC recommended that UNAIDS explore ways to simplify performance reporting requirements, noting that UBRAF reporting is extremely resource intensive.

### **Session 3: Update from the Evaluation Office and Management**

The Secretariat provided the IEOAC with an overview of the evaluation function. The PCB approves the evaluation plan, and an Expert Advisory Committee provides advice and guidance to the evaluation office. In 2022, the plan provides for five evaluations of the Joint Programme (including two that are ongoing) and for three evaluations of the Secretariat (one of which was postponed to 2023). In 2023, the evaluation function will be assessed as part of the MOPAN review and an updated policy and new evaluation plan will be submitted to the PCB. For 2023, two evaluations are planned for the Joint Programme as a whole and four for the Secretariat. The Secretariat noted that the primary purpose of the evaluation function within the Joint Programme is to promote organizational learning. To inform the committee's consideration of the evaluation function, the Secretariat summarized the management response to the evaluation of the Joint Programme's work with key populations.

It was noted that resources constitute the primary challenge in evaluating the Joint Programme. The IOEAC discussed the online tracking and reporting on implementation of evaluation recommendations, which currently anticipates implementation of recommendations within one year.

The IEOAC recommended additional information on the Joint Programme's plans for recommendations that require longer than one year to implement. The IEOAC also recommended that the Secretariat provide additional information to enable assessment of the nature of outstanding evaluation recommendations and that the evaluation process be updated to emphasize accountability and impact as well as learning.

## **DAY 2: FRIDAY, 11 NOVEMBER 2022**

### **Session 1: Update on the follow up and implementation of the JIU recommendations**

The Secretariat provided the IEOAC with an update on implementation of recommendations by the United Nations Joint Inspection Unit (JIU). The Secretariat reported that 30 of 104 JIU recommendations have been implemented, including 73% of UNAIDS-specific recommendations. The Secretariat proposed in the future to decline to accept JIU recommendations that are beyond the means of UNAIDS to implement due to the small size and capacity of the organization (and to close such recommendations that are currently pending).

The Secretariat reported on JIU recommendations that represent the top five risks for the Joint Programme – relating to management of UNAIDS administration (specifically the human resource strategy), implementation of the Action Plan on Gender Equality and Empowerment of Women, the ethics function, enterprise risk management and cybersecurity. The Secretariat reported that some of these have been implemented but not yet reported online to JIU (such as the gender and ethics recommendations) and that the cybersecurity recommendations will be covered upon the arrival of a new IT director in 2023. Others are in process of implementation.

The IEOAC agreed that more specific data was needed regarding the nature of outstanding recommendations, the status of implementation and the relationship of each specific recommendation to the organizational risk framework. The IEOAC recommended that the Secretariat provide the IEOAC with more detailed data and analysis on unimplemented recommendations (including those in process, those under review and those where implementation has not started), including a means of prioritizing these recommendations (by relevance and risk). This analysis should provide information on the aging of outstanding recommendations and a projected timeline for implementation of prioritized recommendations. The analysis should describe the reasons why a recommendation has not been implemented (e.g. waiting final sign-off on paperwork, substantive disagreement with recommendation, inadequate capacity to implement, and change in organizational processes that has rendered the recommendation obsolete or no longer applicable).

## **Session 2: Review of the WHO Office of Internal Oversight Services (IOS) workplan and resources for UNAIDS for 2023**

The World Health Organization Office of Internal Oversight Services (IOS) updated the IEOAC on the status of audits of the Joint Programme in 2022 and reminded the committee of the frequency with which IOS audits cross-cutting issues, Regional Support Teams and country offices (based on risk classification). WHO/IOS reported that UNAIDS management has identified potential subjects for auditing in 2023, including communications, matrix management, knowledge management, fraud risk advisory assessment, and staff training and development.

The IEOAC discussed various aspects of the internal auditing process, including whether the risk categorization undertaken for country offices might also be applied to cross-cutting functions. In response to queries by the IEOAC, WHO/IOS reported that IOS has interactions with the evaluation office to avoid overlap and duplication and also with UNAIDS management to inform the prioritization of audits and to explore whether certain workplace misconduct allegations might be resolved through internal mechanisms. The IEOAC reiterated its recommendation for its 5<sup>th</sup> meeting that the internal audit function be expanded beyond compliance issues to focus as well on performance.

The session also touched on the status of investigations of the Joint Programme. Thirty investigative cases are currently open, and cases with greatest account maturity or that relate to sexual exploitation and abuse have been referred to a consultant who has been hired to aid IOS in clearing its backlog of investigations. IOS has also hired a new head of investigations and is working to retain more than 20 consultants to support the IOS investigative function. WHO/IOS reported that no budget currently exists for UNAIDS investigations but that Secretariat management has covered costs associated with investigations.

The IEOAC recommended that Secretariat management and IOS develop an action plan for addressing the backlog of investigations as well as a mechanism for tracking the investigation to ensure completion within the six months set out in the UNAIDS MOU with IOS. The IEOAC also recommended the creation of a dedicated budget for UNAIDS investigations.

To ensure that IEOAC meetings are as productive as possible, the IEOAC recommended that presentations by the Secretariat (or WHO/IOS) be prepared in advance of IEOAC meetings. This will enable IEOAC members to review presentations and, as needed, request clarifications or additional, more granular information prior to the full committee's consideration of each presentation.

### **Session 3: Review of the Resource Mobilization Strategy**

The Secretariat summarized the updated strategic resource mobilization plan for 2022-2026. The plan calls for the Secretariat to adopt an "account approach" in its efforts to preserve, maintain and increase contributions from existing donors and to expand the donor base by cultivating new donors. Developing compelling value propositions – generally and for specific donors or audiences – is a key priority of the plan. The plan aims to create an enabling environment for resource mobilization, mainstreaming support for resource mobilization across the organization and building capacity and improving processes related to fundraising.

The IEOAC agreed that the funding shortfall represents a major risk for UNAIDS. The IEOAC expressed appreciation for the strategy that has been put in place to address this risk. The IEOAC requested more specificity regarding concrete actions planned to address the funding situation. The IEOAC recommended specific efforts to improve value propositions for the Joint Programme. The IEOAC also recommended that the Joint Programme undertake formal contingency planning in the event the funding shortfall persists. The IEOAC requested regular status reports on donors, comparing receipts to projected contributions.

### **AOB**

For the year 2023, the IEOAC elected Mr Kanja as Chair and Ms Rossert as Vice Chair.

Based on their stated preferences, it was agreed that Mr Bounjoua, Mr Pam and Ms Rossert will have three-year, non-renewable terms of the IEOAC. Other IEOAC members will have two-year terms, with the possibility of renewal for an additional term.

There being no further business, the meeting was adjourned.

A summary of all recommendations from the 6<sup>th</sup> meeting of the IEOAC is attached as Annex A.

## ANNEX 1

### Recommendations from the 6<sup>th</sup> IEOAC meeting and agreed follow-up actions

Recommendation	Follow-up actions
<b>General recommendations</b>	
The IEOAC requests that presentations by the Secretariat be prepared at least 14 days in advance of future IEOAC meetings, to enable IEOAC members to request clarification or more granular details prior to the meeting.	Secretariat to circulate all presentations to IEOAC members at least 14 days prior to each future meeting
<b>Revised Terms of Reference and Rules of Procedure</b>	
The IEOAC requests the EXD to attend each of its future meetings and, in any event, to meet with the IEOAC at least once annually.	IEOAC to invite EXD to all future meetings  Secretariat to schedule at least one meeting annually between EXD and IEOAC
The IEOAC recommended that the PCB amend the IEOAC's Terms of Reference to authorize appointment of a Vice Chair of the committee.	PCB Bureau to review recommendation for forwarding to full PCB for approval
<b>UBRAF performance monitoring</b>	
The IEOAC recommended that UNAIDS explore ways to simplify performance reporting requirements.	Secretariat to report to IEOAC on possible strategies for simplifying UBRAF performance reporting
	IEOAC to consider (in collaboration with Secretariat) scheduling its 2023 meetings to enable IEOAC feedback on UBRAF performance monitoring report
<b>Evaluation</b>	
The IEOAC recommended additional information on the Joint Programme's plans for recommendations that require longer than one year to implement.	Secretariat to report to IEOAC on timeline for implementing evaluation recommendations, with specific focus on those requiring longer than 1 year to implement
The IEOAC recommended that the Secretariat provide additional information to enable assessment of the nature of outstanding evaluation recommendations and that the evaluation process be updated to emphasize accountability and impact as well as learning.	Secretariat to provide more detailed analysis of outstanding evaluation recommendations (in line with IEOAC recommendation)
<b>Implementation and follow-up on JIU recommendations</b>	
The IEOAC recommended that the Secretariat provide the IEOAC with more detailed data and analysis on unimplemented recommendations (including those in process, those under review and those where implementation has not started), including a means of	Secretariat to provide more detailed analysis of status of JIU recommendations (in line with IEOAC recommendation)

prioritizing these recommendations (by relevance and risk) and identifying how long recommendations have been outstanding and the reasons they have not been implemented.	
<b>WHO/IOS 2023 workplan for UNAIDS</b>	
The IEOAC recommended that Secretariat management and IOS develop an action plan for addressing the backlog of investigations as well as a mechanism for tracking the investigation to ensure completion within the six months set out in the UNAIDS MOU with IOS.	Secretariat and WHO/IOS to present action plan to IEOAC for clearing investigations backlog
The IEOAC recommended that a dedicated budget be established to cover the costs of Secretariat investigations.	Secretariat to report to IEOAC on budget line for investigations
The IEOAC recommended that internal audit coverage be expanded beyond compliance to include issues of performance.	Secretariat and WHO/IOS to report to IEOAC on internal audit scope
<b>UNAIDS resource mobilization strategy</b>	
The IEOAC requested a more concrete action plan for implementation of the resource mobilization strategy.	Secretariat to provide implementation plan for resource mobilization strategy
The IEOAC recommended that the Joint Programme undertake formal contingency planning for budget shortfalls.	Secretariat to report to IEOAC on its formal contingency planning in the event of persistent budget shortfall
The IEOAC requested regular status reports on donors, including monitoring of commitments and receipt of funds against projected contributions for each donor.	Secretariat to provide IEOAC with regular donor updates