



Australian Government
AusAID

HIV Prevention and Infrastructure: Mitigating Risk in the Greater Mekong Subregion (ADB with GOA financing)

A: AidWorks details *completed by Activity Manager*

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| Initiative Name: | HIV Prevention and Infrastructure: Mitigating Risk in the Greater Mekong Subregion | | |
| AidWorks ID: | INH747 | Total Amount: | AUD6m over 2007-08 to 2010-11 |
| Start Date: | 1 May 2008 | End Date: | 31 December 2011 |

B: Appraisal Peer Review meeting details *completed by Activity Manager*

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| Initial ratings prepared by: | Gillian Biscoe (Independent Consultant) |
| Meeting date: | 19 March 2008 |
| Chair: | Octavia Borthwick A/ADG Asia Bilateral Branch |
| Peer reviewers providing formal comment & ratings: | <ul style="list-style-type: none"> – Gillian Biscoe – Barbara O'Dwyer (Gender) – Neal Forster (Mekong Program Performance) |
| Independent Appraiser: | <ul style="list-style-type: none"> – Gillian Biscoe |
| Other peer review participants: | <ul style="list-style-type: none"> – John Godwin (HIV/AIDS Adviser), – Mark Palu (Counsellor HCMC), – Andrew Collins (Director Mekong Program) – Russell Rollason (Mekong Program), – Neal Forster (Mekong Program Performance), – Kirsty McMaster (DPAG), – Barbara O'Dwyer (Gender), – Karen Nachipo (Asia Transboundary), – Deepa Gajjar (HHTG), – Gillian Biscoe (independent appraiser via teleconference). |

C: Quality Rating Assessment against indicators*completed by Activity Manager / Peer Reviewers / Independent Appraiser*

| Quality | Rating (1-6) * | Comments to support rating | Required Action (if needed) |
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| 1. Clear objectives | 5 | <p>Clarity is needed over the differences between the narrative and design and monitoring framework (DMF) structure, particularly in regards to component two (ie. how will impacts and outcomes from the sub projects feed up).</p> <p>Consistency is needed throughout the document in referring to poverty reduction and the scope of the projects (infrastructure or roads only). There is an assumption that ADB policies align with GoA policies but this needs to be clarified by AusAID.</p> <p>There is an assumption that ADB monitoring and evaluation (M&E) processes are sufficiently robust – the reviewers were reassured by a discussion of the annual review process which AusAID will be jointly conducting with the ADB.</p> <p>More information is needed to determine whether the objectives are achievable (ie. including M&E frameworks for the sub projects).</p> <p>The objectives are overambitious and the challenges underplayed (ie. objective of behaviour change among ethnic minority communities considering the small scale interventions).</p> <p>Objectives are not geared towards raising the status of women or achieving gender equality. A gender analysis is needed and it was suggested a gender and equity framework be included.</p> | <p>Improved links between narrative (especially components) and DMF (see attached redraft of DMF by AusAID); ADB has responded improving the links.</p> <p>DMF distinguish between components 1 and 2; Clarify link to poverty reduction;</p> <p>AusAID to participate in annual review missions</p> <p>ADB has agreed to include M&E frameworks for the Sub-projects</p> <p>Further work is needed on gender analysis as the activity rolls out and strengthen links to ADB principles regarding gender. In response, ADB has prepared a Gender Strategy and Action Plan</p> |

C: Quality Rating Assessment against indicators*completed by Activity Manager / Peer Reviewers / Independent Appraiser*

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| 2. Monitoring and Evaluation | 4 | <p>The narrative and DMF need to be better aligned - the design and monitoring framework is not as clear as the narrative.</p> <p>M&E frameworks are needed for the sub projects to demonstrate how impacts and outcomes will feed into the DMF.</p> <p>Linkages between the indicators and outputs need to be clarified – output 4 should include the quality and affordability of condoms.</p> <p>The General Principles (Annex 2) are sound but are not captured by the DMF undermining their ability to be applied.</p> | <p>Improve DMF (see attached suggestions from AusAID);</p> <p>Order of outputs in DMF should match the order of activity components (see attached redrafted DMF); Indicators need to relate more clearly to the impact and outputs specified;</p> <p>ADB has subsequently redrafted the DMF taking on board AusAID suggestions</p> <p>Output 4 should include the quality and affordability of condoms; ADB has included quality and affordability in Output 4</p> <p>Avoid repetition of behaviour change indicators at outcome and output level (delete behaviour change output);</p> <p>Ensure the indicative M&E frameworks for the two sub projects demonstrate linkages with the DMF for the initiative. ADB agrees to develop DMF for sub-projects but not in the TA Proposal</p> |
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C: Quality Rating Assessment against indicators*completed by Activity Manager / Peer Reviewers / Independent Appraiser*

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| 3. Sustainability | 4 | <p>Sustainability is mentioned explicitly only twice (para 13 and Appendix 2), importantly however it is one of the guiding Principles (Appendix 2). Assuming the Principles are actively used to guide annual planning, M&E and implementation, then the proposed outputs should have a reasonable-to-good chance of contributing to sustainability of the Impact and Outcome (given, for example, the sub project designs). BUT the design proposes only four years, and funding is ? assured for only two years (Appendix 3). The latter time frame would arguably not be worth starting unless it is building on existing activities; the former time frame would be worth starting as long as there is potential for further inputs based on lessons learned/evidence/need.</p> <p>Sustainability and implementation would be further assisted by the AusAID suggestion of possible synergies with, and leverages through, other relevant AusAID activities - ADB suggests these are addressed during the annual planning processes (February 08 email) and notes (see para 13 and foot note 4) other donor activities. To ensure no mismatched expectations in the future, reference to synergies and leverage with other AusAID-funded HIV activities is needed, and synergies and leverage with other relevant HIV donor-funded activities to assist sustainability. These views are reinforced by potential 'duplication' with other donors being cited as a risk for Output 6 (but not for other outputs - 'duplication' is a cross-cutting risk).</p> | <p>Note that activities appear to be generally funded for only 2 years while the design is 4 years. Needs clarifying. Sustainability is not possible in two years and a challenge in four years. Sustainability would be assisted by (i) comment 2 below, (ii) capture and dissemination of best practice approaches (see earlier comments on Output 7 and Component 2), and (iii) potential for further inputs beyond the four years.</p> <p>ADB provided a detail explanation of reasons of 2 -4 year funding.</p> <p>Include in either the Principles, text or the co-financing agreement/MOU the increased sustainability potential from synergies with, and leverages through, (i) other relevant AusAID-funded and (ii) other donor HIV activities; is also a risk mitigation strategy for duplication</p> |
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C: Quality Rating Assessment against indicators*completed by Activity Manager / Peer Reviewers / Independent Appraiser*

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| 4. Implementation & Risk Management | 5 | <p>Implementation arrangements are outlined in Section D and relevant detail is supplied for sub-projects 1 and 2 [Expanded HIV Prevention Programs on Lao Route 3 (2007-2009) and Post-construction HIV Prevention on the East West Corridor (Lao PDR/Vie - 2007-2009)]. The arrangements appear satisfactory and sub-project annual plans are to be '...reviewed and agreed upon in accordance with the agreement between ADB and the Government of Australia.' Details of this agreement are to be negotiated, and a question for AusAID will be the level of detail they will require to meet their GOA accountabilities</p> <p>Risks are included in the DMF. In response to an AusAID query re risk analysis (email February 08), ADB states their anticipation of a thorough discussion on risks before finalising the design. Some risks and mitigation strategies are addressed earlier in this review, as is the view that stronger correlation between the DMF elements (comment 4, section 2 above on M&E) is needed to assist both identification of risks and provide a link to mitigation strategies (e.g. through the Principles). At sub-project level localised risks should be detailed: currently they are not. Risk mitigation strategies, if not part of ADB's design documentation, could perhaps be included as appendices, and be specifically localised for sub-projects.</p> <p>The Principles will not assist in identifying and analysing all risks (e.g. anti-corruption; other financial risks; poor change management implementation), unless GOA requirements (see comment 4 section 1 above) are also used (and additional principals could be added). Risks do not always appear to be correlated against the relevant outcome/output descriptors and targets/indicators. Sustainable environment practices and anti-corruption risk mitigation for GOA is addressed in section 5 below.</p> <p>AusAID to undertake a comparative analysis on whether ADB policies align with GoA change management, environment and anti-corruption policies</p> | <p>AusAID to participate in annual review of activities. Agree with the ADB on the role of AusAID in annual plans for M&E.</p> <p>Include a more comprehensive assessment of Risk in DMF and include, where appropriate, Risk Mitigation Strategies (See attached redrafted DMF) ADB responded indicating that Rules do not allow for mitigation strategies to be included in DMF tables.</p> <p>Include mention of key risks in the narrative. ADB has included a paragraph on risk in the main narrative.</p> |
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C: Quality Rating Assessment against indicators*completed by Activity Manager / Peer Reviewers / Independent Appraiser*

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| 5. Analysis and lessons | 5 | <p>Analysis: The analysis supporting the design is sound, and based on lessons learned and evidence, while lessons learned from ARHP and elsewhere are not fully reflected in Output 7 in particular (identification and dissemination of best practice models).</p> <p>Technical: The technical approach to HIV and AIDS prevention is sound at the macro level (RETA draft design) and at sub-project level (supplementary appendices 1 and 2) with the proviso of including quality of, and affordable access to, condoms.</p> <p>Anti-corruption: Corruption should be included as a risk and addressed in the co-financing agreement/MOU.</p> <p>Gender: Gender aspects are integrated throughout in a mainstreaming approach, underpinned by the elements of Principle (vi) which refers to ADB's Gender and Development Policy. M&E will provide sex disaggregated data to inform the rolling annual plans</p> <p>Other vulnerable groups: Migrant and mobile populations, the vulnerable poor, affected local communities, ethnic minority groups, human trafficking concerns are all part of the design focus. Strengthened consistent clarity of focus would be useful as would be a 'gender and equity' framework development.</p> <p>Overall: The draft design is sound technically and meets AusAID's Quality at Entry Requirements, while some strengthening is suggested as per comments in 'required action' column when finalising the design and negotiating ADB/AusAID formal agreements to proceed. Sustainability is not possible in a two-year funding cycle, and the four year design proposed will contribute to sustainability, assuming contextual synergies with other donor and government activities, but not achieve sustainability within this time frame.</p> | <p>Address the risk of corruption, perhaps in the co-financing agreement/MOU.</p> <p>A Gender Strategy and Action Plan has been developed by ADB</p> |
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- **Definitions of the Rating Scale:**

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| Satisfactory (4, 5 and 6) | | Less than satisfactory (1, 2 and 3) | |
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| 6 | Very high quality; needs ongoing management & monitoring only | 3 | Less than adequate quality; needs to be improved in core areas |
| 5 | Good quality; needs minor work to improve in some areas | 2 | Poor quality; needs major work to improve |
| 4 | Adequate quality; needs some work to improve | 1 | Very poor quality; needs major overhaul |

D: Next Steps *completed by Activity Manager*

| Provide information on all steps required to finalise the design based on <i>Required Actions</i> in "C" above, and additional actions identified in the peer review meeting | Who is responsible | Date to be done |
|--|--------------------|-----------------|
| 1. Provide comments to ADB and request a redraft including response to the issues raised. | John Godwin | 27 /3/08 |
| 2. Circulate updated QAE ratings to three peer reviewers for finalisation. | Russell Rollason | May 08 |
| 3. | | |

E: Other comments or issues *completed by Activity Manager*

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F: Approval *completed by ADG or Minister-Counsellor who chaired the peer review meeting*

On the basis of the final agreed Quality Rating assessment (C) and Next Steps (D) above:

☒ **QAE REPORT IS APPROVED**, and authorization given to proceed to:

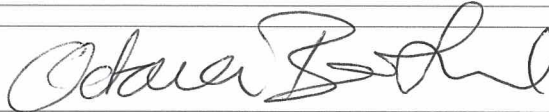
☒ **FINALISE** the design incorporating actions above, and proceed to implementation

or: ☐ **REDESIGN** and resubmit for appraisal peer review

☐ **NOT APPROVED** for the following reason(s):

Octavia Borthwick
ADG Asia Regional Branch

signed:



8 May 2008