

# Independent Evaluation of the Partnership between Joint United Nations Programme on HIV/AIDS (UNAIDS) & the Global Fund to Fight AIDS, Tuberculosis, and Malaria

Volume II: Appendices

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# Appendix I Request for Proposal



**Independent Evaluation of the  
Partnership between Joint United Nations  
Programme on HIV/AIDS (UNAIDS) & the  
Global Fund to Fight AIDS,  
Tuberculosis, and Malaria**

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*Request for Proposal (RFP) via E-Tendering  
Reference Number: RFP-2016-10*

Office of the Chief of Staff  
Executive Office

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## Independent Evaluation of the Partnership between UNAIDS and The Global Fund

**1. INTRODUCTION****1.1 Objective of the RFP**

The purpose of this Request for Proposal (RFP) is to enter into a contractual agreement with a successful bidder and select a suitable contractor to carry out an **Independent Evaluation of the Partnership between the Joint United Nations Programme on HIV/AIDS (UNAIDS) and the Global Fund to Fight AIDS, Tuberculosis, and Malaria**.

The independent evaluation will focus on the partnership between the UNAIDS Secretariat (UNAIDS) and the Global Fund to Fight AIDS, Tuberculosis, and Malaria (the Global Fund) with an emphasis on the support for the design, delivery and monitoring of country programmes, that are financed by the Global Fund, under the New Funding Model (NFM).

The evaluation should provide credible findings on the nature, extent and value of interactions between the partners, particularly at country level. Methodologies will include key informant interviews, identifying country case studies, establishing a set of comparable metrics, stakeholder surveys, and techniques for assessing and verifying the subjective findings from interviews and surveys.

The evaluation should be actionable in the sense of clearly identifying what has worked and what hasn't within the partnership, in order to improve effective collaboration and identify further areas for collaboration. Per the Development Assistance Committee (DAC) recommendations for the OECD, the evaluation should examine the relevance, effectiveness, efficiency and sustainability of the partnership in order to maximize the impact of resources on countries' HIV response.

UNAIDS is an organization that is dependent on the budgetary and extra-budgetary contributions it receives for the implementation of its activities. Bidders are therefore requested to propose the best and most cost-effective solution to meet UNAIDS requirements, while ensuring a high level of service.

For more information about UNAIDS please consult our website [www.unaids.org](http://www.unaids.org).

**1.2 Characteristics of the bidder**

The bidder should be able to demonstrate extensive experience and expertise in conducting mixed method evaluations, which include a balance between technical skills for collecting and assessing both qualitative and quantitative data. The bidder should also possess strong strategic and country programmatic experience and capacity in order to analyze the findings of the evaluation and to provide actionable recommendations.

**1.2.1 Status**

The provider shall be individual consultants or consultancy firm operating in the field of programme evaluation.

**1.2.2 Accreditations**

No specific requirement.

**1.2.3 Previous experience**

- Substantial previous work with UNAIDS, the Global Fund or other international institutions operating in the field of health or development;
- Proven experience in conducting programme evaluations, including the use mixed methodologies and techniques to verify subjective data.

**1.2.4 Logistic capacity**

Able to undertake the majority of the assignment from the contractor's own office with teleconferencing capacities. The contractor will be required to arrange own travel to the locations of the project.

**1.2.5 Staffing**

The consultant team undertaking the evaluation should have the following qualifications and experience:

- Higher level degree (at least a Master's degree) in public health, or a social science discipline with sound knowledge of HIV;
- Extensive knowledge of (minimum of 10 years) and demonstrated relevant experience of conducting reviews and evaluations, preferably including UN agencies;



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- Sound knowledge of technical support and capacity development provision;
- Strong qualitative data collection and analysis skills;
- Experience with designing and implementing Likert style rating scale surveys;
- Excellent communication, facilitation and interpersonal skills;
- Excellent report writing skills;
- Ability to work in both English and French.

## 1.3 Work to be performed

### 1.3.1 Key requirements

#### What the evaluation should accomplish

The evaluation will look at the broad partnership between the two organizations and consider:

#### Internal elements/aspects of the partnership:

- The strategic and operational ways of working between the two organizations and the influence both organizations have in shaping the policies and the direction of each other;
- A component of this evaluation should focus on the expectations from each organization, as to their own roles and responsibilities within the partnership and the roles and responsibilities of the collaborating institution. It is possible that there are potential mismatches between the expectations of the Global Fund and UNAIDS. It would be important to identify these potential mismatches, and provide recommendations for remedial action;
- In addition to focusing on the outcomes and impact of the partnership, it will be important to also assess key organizational and contextual factors to sustain effective partnerships;
- The evaluation should focus on the pragmatic aspects of the partnership. Clear, actionable recommendations for improving the partnership should be a key component of this evaluation. These should focus on the identified areas of cooperation and at the three geographic levels (country, regional, and global).

#### External elements/aspects of the partnership:

- Its impact in supporting countries to effectively expand access and accelerate delivery of quality services;
- The influence both organizations have in setting ambitious targets for national use and within the Global Fund grant, shaping national policies and prioritizing the utilization of resources.

#### Background

The Global Fund and UNAIDS are both relatively new structures within the global development community, each being less than 20 years old. Thus, they have benefited from the lessons learned from an older generation of bilateral, multilateral, corporate and philanthropic institutions that have focused on a development agenda. Both are innovative models of multilateral/multi-donor organizations.

UNAIDS was created to function within the United Nations family of organizations.

The primary functions of UNAIDS are political advocacy, strategic policy advice and technical leadership. UNAIDS works to convene and extend the scope of its partnerships, and to improve support to countries to make optimal use of domestic and international resources, including from the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund) and the United States President's Emergency Plan for AIDS Relief (PEPFAR). UNAIDS focuses on five core aspects of the response: information, investment, inclusion, integration and innovation. As a convener and coordinator, UNAIDS creates new spaces for discussion and new models of collaboration that acknowledge and work within our increasingly complex environment.

The Global Fund was intended to stand alone, as an independent international NGO. The mission of the Global Fund, as defined in their 2012-2016 strategy is to attract, manage, and disburse additional resources to make a sustainable and significant contribution in the fight against the three diseases in countries in need, and contribution to poverty reduction, as part of the Millennium Development Goals. The Global Fund's New Funding Model provides implementers with flexible

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timing, better alignment with national strategies and predictability on the level of funding available.

**Analysis of the 2014 Cooperation Agreement between the Global Fund to Fight AIDS, Tuberculosis, and Malaria and the Joint Programme on HIV/AIDS (UNAIDS)**

Since the Global Fund was created in 2001/2002, UNAIDS has developed two MOUs (2003 and 2008) and a Cooperation Agreement in 2014. These instruments were designed to minimize potential duplication across the two organizations and to maximize the complementary and mutually reinforcing roles of each. Central to the new Cooperation Agreement is an improved way of collaborating that strengthens coordination mechanisms, information sharing at all levels and mutual accountability.

Unlike a traditional Cooperative Agreement, the Cooperation Agreement is a partnership document with no financial implications. The partnership is primarily based on achieving common goals and secondarily on attaining mutual benefits. The agreement focuses on maximizing support to countries and optimizing investments and impact at the country level. The Cooperation Agreement primarily focuses on the different roles UNAIDS and Global Fund play in the partnership and how they work together on delivering on common goals. UN cosponsors may have separate agreements with the Global Fund. This evaluation should focus on UN cosponsors only within the context of UNAIDS Secretariat as a convener and coordinating organization.

Areas of cooperation include strengthening strategic investments, jointly leveraging political commitment and supporting meaningful country dialogues with all stakeholders—including civil society and communities—to ensure that no one is left behind. Special emphasis is placed on data collection; analysis and identification of gaps in the response to the epidemic, including on countries' enabling environments, equity in access to services, and support for human rights, gender and key populations at higher risk.

The Cooperation Agreement should not be considered the sole basis for assessing the partnership, but it does outline the key cooperation areas. Additional areas of cooperation/partnership should be considered, including relationships and leveraging of other partners, such as bilateral donors, and identifying specific country examples where through the collaboration between UNAIDS and the Global Fund, critical support was provided for achieving national targets. These examples may go beyond that which is described in the Cooperation Agreement.

**Specific aspects of the UNAIDS-Global Fund Partnership that should be assessed, among others**

At Country Level:

- The nature and quality of the relationship between the UNAIDS Country Director and the counterpart Global Fund Portfolio Manager and whether formal guidance exists on how to specifically strengthen this collaboration. This will include looking at communication and collaboration between the UNAIDS Country Director (UCD) and the Global Fund Portfolio Manager (FPM), including assessing the extent to which both parties are able to use respective ongoing political relationships to full advantage of country partners. In addition, it will be important to examine how other country team members may play a role in the partnership.
- Specific priority countries should have been identified for development of rolling work plans, including joint GF-UNAIDS actions, expected results, and timelines. Are these countries producing documentation on the status of these activities?
- UNAIDS has made a specific commitment to support in-country strategic investment approach analyses, gap analyses, analyses of enabling environment, gender analyses, human rights assessments, stigma indices, and monitoring of community driven programs. Has UNAIDS implemented these tools and have they been considered in the development of the concept note, grant implementation, or measurement of grant success?
- The Global Fund has committed to sharing grant-specific data with UNAIDS to facilitate work on NSPs, investment cases and global level analyses, and relevant strategic information at all stages of the Global fund grant life-cycle. To what extent is this happening?
- The nature of joint efforts to increase the level and quality of political commitment for provision of domestic resources and to fully engage all key stakeholders, including affected communities.
- UNAIDS role in facilitating inclusive country dialogues, with a specific focus on meaning of engagement of civil society and key populations.

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- The Global Fund commitment to engage UNAIDS in pre-country dialogue processes, including portfolio analyses;
- The nature and contribution of the participation of UNAIDS in the Country Coordinating Mechanism (CCM), as it relates to the development of the Concept Note, implementation of the grant and the monitoring activities. This would include setting of ambitious targets in the Concept Note, identifying and prioritizing available resources;
- Monitoring the actions of the UN Joint Team on AIDS of all UN cosponsors who are present in country, and their contributions and support for the Global Fund grant. This would include the use of technical assistance from cosponsors and the Technical Support Facilities;
- The relevant information, documentation and support provided by the Global Fund Country Teams to the UN Joint Teams during Concept Note development, grant making and implementation;
- Assessing the role of the partnership to advance the coordination and integration of the AIDS and the TB responses;
- The role of the partnership in addressing particularly adolescent girls and young women and key populations, including, but not limited to men who have sex with men, sex workers, persons who use drugs, and persons living with HIV;
- Assessing expectations about the roles and responsibilities of UNAIDS and the Global Fund in relation to the partnership. It will be important to compare these expectations with the reality of the actions performed. This could identify potential mismatches in expectations.

At Regional Level

- The relationship and exchange of information between UNAIDS Regional Support Teams and relevant country teams of the Global Fund;
- The value added by the partnership and the UNAIDS contribution to developing and implementing regional grant proposals.

At Global Level

- A number of actions defined in order to improve mutual accountability, including for the Global Fund to create a "Partnership Management Committee" which would monitor and manage MoUs and Cooperation Agreements;
- Political, strategic and technical cooperation between the organizations within the Global Fund Board, Global Fund Committees, the Technical Evaluation Reference Group, the Partner Action Group, the Joint Working Group and other key platforms;
- Political backstopping and troubleshooting of country-level issues, including through the HIV Situation Rooms;
- Joint high-level political efforts, including joint missions and direct cooperation between the Executive Directors and other senior managers of the two organizations;
- UNAIDS input into and shaping of Global Fund policies, strategies, tools etc.;
- The routine sharing of key global policies, processes technical documents, data and tools between the Global Fund and UNAIDS;
- The relationship and collaboration between UNAIDS and the Technical Review Panel.

**Scope of work:**

The evaluation should include the following components:

- Establishing both quantitative and qualitative metrics to assess the value, nature, extent and impact of the partnership. Data for these metrics would be derived from stakeholder surveys and analytic reports;
- Selected regional and country visits (up to 8 countries will be physically visited) that would incorporate stakeholder interviews and collection of available reporting documents and would serve to provide specific country case studies on how the partnership contributed to the success of the Global Fund Grant or where opportunities were missed;
- Assessment of global activities and cooperation including examining key organizational and contextual factors and relevant stakeholder interviews;

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- An electronic survey of stakeholders and interested parties;
- A relevant literature review;
- Generating a set of recommendations to all relevant institutions on methods to improve the value, nature and extent of the partnership.

The evaluation should cover the period 2013 to mid-2016, from the introduction and implementation of the Global Fund New Funding Model. There are multiple global aspects of the partnership where selected cooperation areas would be relevant, e.g. data sharing and global advocacy. However, the ultimate purpose of the partnership and primary focus of this partnership evaluation is to assure the success of the Global Fund New Funding Model within a country and ensure that this complement other efforts occurring within the country.

The proposed field visits would occur in 2 regions of UNAIDS operations:

Regions Proposed (to be proposed by the bidder and agreed upon on contract signature):

- East and Southern Africa: The rationale is based on: burden of disease, large proportion of funding
- Asia Pacific – The rationale is based on: concentrated epidemics, key populations, transition countries

While all aspects and expected outcomes of the partnership should be examined, as part of the evaluation, specific key themes should particularly receive focus:

Potential Themes (to be finalized and agreed upon on contract signature):

- Effective prioritization (or effective focus on key locations and populations, e.g. key populations, geographic prioritization of most highly burdened areas),
- Domestic financing & investment approach / political commitment / sustainability.

#### **Clients:**

The evaluation is being conducted for senior management at UNAIDS and the Global Fund, as well as their external partners, to inform future directions and to strengthen this collaborative effort in support of better health outcomes. Findings, conclusions and recommendations from the evaluation will be presented to the UNAIDS Programme Coordinating Board and the Global Fund Board.

#### **Steering Group**

The evaluation will be undertaken with a high degree of independence by the consultants, with travel and other administrative arrangements (workshops, etc.) managed externally. The Steering Committee will be available to respond to questions that the evaluation group may have during the course of the evaluation and will review progress and potential impediments. The Steering group will confirm regions, countries and potential themes and will facilitate contact with country officials and key stakeholders as necessary. The Steering Group would be composed of the following staff:

UNAIDS: Four senior staff

Global Fund: Two senior staff

Department for International Development (DFID): Two senior staff

The Steering group and its members will select the best bidder through tendering, facilitate information and other material requested by the evaluators, make decisions on the conduct of the evaluation and be responsible for managing the follow up after completion of the evaluation.

#### **Challenges:**

There are a number of challenges that must be addressed during this evaluation. These include:

- Measuring the relevance, effectiveness, efficiency, sustainability and impact of a collaboration between two organizations at multiple geographic levels is inherently difficult. Significant attention should be given to determine against which criteria would be used to measure the relationship and indeed 'what success looks like'. The Cooperation Agreement provides a detailed description of 'ideal relationships between the two organizations, but does not contain an overall set of metrics, including measurable targets, outputs, outcomes, milestones, nor recommended indicators. The exception to this appears in Section 3.1.b in the Cooperative Agreement, which requests that specific countries develop metrics on quality of collaboration and would monitor these metrics. It will be important to determine the status of this component of the Cooperation Agreement. However, it is important to note that

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the evaluation of the partnership should look beyond just the contents of the Cooperation Agreement;

- Within many similar partnerships between international organizations, the actual work that is performed to support the common goals of a partnership is not necessarily public, nor documented. Many 'behind the scene' actions can take place that are critical to the overall outcomes, but may not be easily documented, or verifiable;
- Much of the assessment of the quality of the partnership would derive from subjective, qualitative data, which is often difficult to validate, can lack credibility, and is difficult to organize, prioritize, analyze and consolidate, in order to glean lessons learned which could be used to improve the functioning of the partnership. A mixed-methodology approach will be necessary, that includes both quantitative and qualitative data, with reliance on detailed country examples that could be replicated elsewhere;
- It will be difficult to create counterfactuals of what would be different if the partnership did not exist. There have been two MoUs with UNAIDS since the inception of the Fund and even without these there would probably have been a series of non-planned, random collaborations at country, regional and global levels based on urgent needs. The evaluation will need to assess both the level of cooperation and partnership between the two institutions, and what role the Cooperation Agreement may have made in further defining and strengthening the collaboration;
- The success or failure of the partnership in delivering impact may not be contingent on the relationship between the Global Fund and UNAIDS, but instead could primarily depend on the relationship between UNAIDS and the Principal Recipients in country in carrying out the grant. It would be important for the evaluation to attempt to identify where successes or failures in the implementation of the grant are due to the partnership between UNAIDS and the Global Fund and where they are due to external factors, beyond the scope of the partnership;
- The evaluation must consider the political and structural dimensions of the Cooperation Agreement and assess how best to measure this. The two institutions share selected areas of expertise, such as specific technical skills, but are quite different in how they operate within the global AIDS response and their primary day-to-day functions.
- Previous evaluations have been conducted on the partnership. However, these were perceived as focusing on primarily anecdotal information, rather than comparable, objective, quantifiable data. It will be important to utilize methodologies that can verify the subjective data that is provided during structured interviews or in survey instruments;
- The Cooperative Agreement was signed relatively recently (2014), so full dissemination and implementation may not have yet been achieved.

**Methodology:**

Due to the nature of this evaluation, a mixed-methodology approach is recommended, that utilizes both objective, quantitative data and subjective, qualitative data. Methods for verifying subjective data should be described. There are five key methodologies that should be considered for this evaluation:

- **Metrics:** ideally, a set of standardized, relevant and significant metrics should be included in the evaluation to provide a quantitative assessment of inputs, outputs, outcomes of a successful partnership. One example of such a metric would be: # or % UNAIDS specific tools that were utilized, which enable the development of concept notes or implementation of grants. These could include: Investment cases & National AIDS Spending Assessments (NASAs), Cap analyses, Human rights assessments, Gender assessments, Stigma Index, or other analyses performed by UNAIDS.
- **Country and Regional Assessments:** the Steering Group would work with the evaluation group to finalize the selected regions and countries. Country and Regional visits would serve to collect available documentation, which would be relevant to the progress and success of the New Funding Model and would include interviews with key stakeholders. Standardized interview instruments would be used to assure that information could be consolidated, analyzed and compared. Interviewers should do follow up questioning to verify the findings and to seek more detail as to the successes and failures within the context of the partnership and why these might have occurred. Ideally, case studies will be presented. It will also be important to understand the expectations surrounding the partnership based on assumed

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roles and responsibilities of the two institutions. It will be important to ascertain, not only what happened within the partnership context, but what SHOULD have happened.

- Assessing key organizational and contextual factors to sustain effective partnerships: at country, regional, and global level, it will be useful to assess the mechanisms and methods to assure staff accountability for ensuring effective partnerships. These could include:
  - Have regular meetings been established to further the work of the partnership?
  - Are there regular, defined exchanges of reports/data?
  - Have key staff been identified to lead, manage and monitor the partnership? etc.
- Electronic Survey of Key Stakeholders and Interested Parties at country, regional and global levels: Simple survey software, such as Survey Monkey or Survey Gizmo, should be used to produce instruments for assessing key aspects of the partnership. These should allow responders to both quantitatively and qualitatively measure the collaboration and to provide details and examples. A Likert style rating with a section attached to each question for comments would be appropriate. An example of such a survey question would be:

QUESTION	STRONGLY DISAGREE	DISAGREE	NEITHER DISAGREE NOR AGREE	AGREE	STRONGLY AGREE
The GF-UNAIDS partnership helps to improve the engagement of critical stakeholders, including government, NGOs, private sector and affected communities. <b>In the development of the concept note</b>					
Comment on the above with specific details and examples					

- Key Literature Review: there are a number of available documents that would provide useful input into the evaluation, both for development of interview tools and surveys and for generation of data on the value of the partnership. These include:
  - Review of Global Fund Concept notes to identify areas where UNAIDS would play a role and any requirements for accountability;
  - Global Fund Secretariat Briefing Notes;
  - Reports on Concept Notes, New Funding Model processes and outcomes from Grants Approval Panel (GAP) and Technical Review Panel (TRP);
  - Correlate National Commitments and Policies Instrument (NCPI) analyses of commitment, stigma, inclusion with the stakeholder surveys;
  - Previous assessments of cooperation between the Global Fund and UNAIDS, including the Programme Coordinating Board's Report on UNAIDS/Global Fund – 2014;
  - Implementation Through Partnership (ITP) Tracking Reports;
  - Mid-Term Review of UNAIDS Technical Support Facilities - Final Report, June 2016;
  - Reports on the status and work of the Technical Support Facilities;
  - Reports on the structure, membership, role and function of the CCMs;
  - Reports to key stakeholders, such as DFID and the United States Agency for International Development (USAID), on UNAIDS support to the Global Fund;
  - Global Fund and UNAIDS progress reports, such as, for UNAIDS, the Performance Monitoring Reports submitted annually to the Programme Monitoring Board (PCB).

**Deliverables and Timeline:**

- a. Inception report 30 days after award of the contract. This brief (approximately 5 page report) would expand on the response to the RFP, and would include:
  - Evaluation questions and framework;
  - Next steps and defined time frame;
  - An expanded, revised set of survey instruments.
- b. Interim report on progress of the evaluation and the preliminary findings for the Steering Committee by 14 December 2016.

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- c. Final evaluation report would be due at the end of April 2017, which would incorporate outcomes of a 2-day workshop that includes Steering Group members and relevant additional staff and stakeholders to discuss the evidence-based findings and recommendations from the evaluation.
- d. The contractors may be asked to present the evaluation findings and recommendations to UNAIDS' Programme Coordinating Board in June 2017.

**Proposal Requirements:**

The proposal should be concisely presented and structured, and should explain in detail the bidder's availability, ability, capacity and resource to provide the requested services. The proposal should describe the recommended approaches to the stated objectives, deliverables, the key challenges, and also provide illustrative methodologies and survey tools.

**Duration:** 5 months from contract agreement.

**Bibliography:**

- Cooperation Agreement 2014 (attached),
- DAC Criteria for Evaluating Development Assistance (<http://www.oecd.org/ds/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>).

**1.3.2 Reporting requirements**

The final evaluation report should be 20-25 pages long plus annexes and follow the format below:

**Executive summary:** Summary of the evaluation, with emphasis on main findings, conclusions, lessons learned and recommendations.

**Introduction:** Brief description and history of the UNAIDS-Global Fund partnership and reference to other stakeholders involved. It should highlight countries and regions visited for the evaluation and why.

**Methodology of the evaluation:** Presentation of the evaluation's purpose and methodology (criteria, questions, evaluation matrix (data collection and analysis), stakeholders' participation, etc.).

**Main findings:** Factual evidence (results) relevant to the questions asked by the evaluation and interpretation of such evidence.

**Conclusions/Lessons learned:** General conclusions and potential lessons for the future.

**Recommendations:** Should be actionable and clearly identify what has and has not worked within the partnership in order to improve effective collaboration and identify areas of collaboration for the future.

**Annexes:** Terms of reference, data collection tools, references, etc.

**1.3.3 Finance and accounting requirements**

The contractor will submit invoices which will include the specific deliverables produced and accepted by UNAIDS and the total amount due per invoice.

At the end of the contract, the contractor is expected to provide a detailed financial report including a list of all outputs produced during the life of the contract with the corresponding amount per output, as well as supporting documents for any expenses to be charged at cost such as travel expenses and other expenses.

**1.3.4 Performance monitoring**

Performance of the evaluation will be measured on the framework proposed by the contractor and agreed on contract signature and on the timely delivery of quality inception, interim and final reports which address all the key elements identified in the scope of work.

**1.3.5 Further capacities**

No additional capacities required.

## 2. INSTRUCTIONS TO BIDDERS

Bidders should follow the instructions set forth below in the submission of their proposal to UNAIDS.

### 2.1 Language of the proposal and other documents

The proposal prepared by the bidder, and all correspondence and documents relating to the proposal exchanged between the bidder and UNAIDS shall be written in the English language.

### 2.2 Intention to bid

Bidders must register in the UNAIDS' E-Tendering system and use it to "Express Interest" and access all documents related to this Request for Proposals.

Only after having access to all documents, bidders may indicate their confirmation of involvement by "Opt-in" into the process.

The "Opt-In" is considered the intention to bid from the bidder.

Please note that the "Opt-In" or intention to Bid is not a requirement to submit a proposal, however UNAIDS will be able to better identify potential bidders announcing their intention to bid, and communicate with them in case of changes to the RFP or clarifications to questions asked.

### 2.3 Cost of the proposal

The bidder shall bear all costs associated with the preparation and submission of the proposal, including, but not limited to, the possible cost of discussing the proposal with UNAIDS, making a presentation, negotiating a contract and any related travel.

UNAIDS will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the selection process.

### 2.4 Contents of the proposal

Proposals must offer services for the total requirement. Proposals offering only part of the requirement may be rejected.

The bidder is expected to examine all corresponding instructions, forms, terms and specifications contained in this RFP. Failure to follow the instructions provided, terms and specifications and/or to submit the forms requested will be at the bidder's risk and may affect the evaluation of the proposal.

### 2.5 Joint proposal

Two or more entities may form a consortium and submit a joint proposal offering to jointly undertake the work. Such a proposal must be submitted in the name of one member of the consortium – hereinafter, the "lead organization". The lead organization will be responsible for undertaking all negotiations and discussions with, and be the main point of contact for UNAIDS. The lead organization and each member of the consortium will be jointly and severally responsible for the proper performance of the contract.

### 2.6 Communications during the RFP period

A prospective bidder requiring any clarification on technical, contractual or commercial matters may notify UNAIDS through the "Correspondence" tab in UNAIDS' E-Tendering system.

UNAIDS will respond in writing by a consolidated document to any request for clarification of the RFP that it receives prior to one week of the closing date established in section **2.10**.

The consolidated document of UNAIDS's response to all questions (including an explanation of the query, but without identifying the source of enquiry) will be made available to all prospective bidders in the E-Tendering system after the date indicated above. Questions are to be submitted in the format "Paragraph Number - Question".

There shall be no individual presentation by or meeting with bidders until after the closing date. From the date of issue of this RFP to the final selection, contact with UNAIDS officials concerning the RFP process shall not be permitted, other than through the submission of queries at the email address indicated above and/or through a possible presentation or meeting called for by UNAIDS, in accordance with the terms of this RFP.



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**2.7 Proposal structure**

**2.7.1 Proposal Submission Form**

The bidder's proposal must be accompanied by a **Proposal Submission Form**, available in the E-Tendering system, signed by a duly authorized representative of the bidder, stating:

- a. That the proposal meets the requirements of the RFP;
- b. That the bidder undertakes, on its own behalf and on behalf of its possible partners and contractors, to provide the goods/services in accordance with the terms of the Request for Proposal (RFP), and its accompanying documents, for the amount set forth in the attached Financial Proposal;
- c. The number of days the proposal is valid for (from the date of closing of the RFP)

**2.7.2 Information on the firm/organization submitting the proposal**

In case of individuals, a brief summary of qualifications and expertise is requested to be attached.

In case of companies bidding, the following information must be provided in order to ascertain capabilities to deliver the work proposed:

Information of Firm/Organization submitting Proposal	
1	<b>Company Information</b>
1.1	<b>Corporate information</b>
1.1.1	Company mission statement (if applicable)
1.1.2	Quality Assurance / Quality Control mechanisms in place at the company
1.1.3	Organization structure
1.1.4	Geographical presence
1.2	<b>Staffing information</b>
1.2.1	Number and Geographical distribution of staff
1.2.2	Number of consultants employed on similar projects in each of the past three years
1.3	Audited financial statements for the past three (3) years
1.4	<b>Legal Information</b>
1.4.1	History of Bankruptcy
1.4.2	Pending major lawsuits and litigations in excess of USD 100,000 at risk (indicate particularly those by licensees or patent infringement)
1.4.3	Pending Criminal/Civil lawsuits
1.5	<b>Contractual relationships</b>
1.5.1	Contractual programmes (with other UN agencies or International Organizations)
1.5.2	Company Certifications and certification status
1.6	Proposed sub-contractor arrangements including company information (as above for each sub-contractor)
2	<b>Experiences and Reference Contact Information</b> (list and provide up to five (5) detailed examples of relevant experience gained within the past five years of the issuance of this RFP that demonstrate the contractor's ability to deliver a solution that substantially demonstrates the functional and technical requirements of this RFP)
2.1	<b>Project Name</b> (project one)
2.1.1	<b>Project Description</b> including but not limited to project starting date and duration, project and contract value, and total FTE involved from the company
2.1.2	<b>Status</b> (under development/implemented)
2.1.3	<b>Reason for Relevance</b> (provide reason why this project can be seen as relevant to this RFP)
2.1.4	<b>Roles and responsibilities</b> (list and clearly identify the roles and responsibilities for each participating Organization)
2.1.4.1	<b>Client Role and Responsibility</b>
2.1.4.2	<b>Contractor Role and Responsibility</b> . Previous contractor role in project
2.1.4.3	<b>Third party contractors Role and Responsibility</b> . Previous specified 3 <sup>rd</sup> party role in project.
2.1.5	<b>Team members</b> (indicate relevant members of the team from the project that will be used in the performance of services and attach their Curricula Vitae)

Bidders will be excluded if:

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- a. They are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b. They have been convicted of an offence concerning their professional conduct by a judgment which has the force of res judicata, have been subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organization or any other illegal activity;
- c. It becomes apparent to UNAIDS that they are guilty of misrepresentation in supplying, or if they fail to supply, the information required under this RFP and/or as part of the bid evaluation process; or
- d. They give rise to a conflict of interest.

### 2.7.3 Technical proposal

The bidder should include in this section all relevant information for UNAIDS to evaluate the proposal, including information relating to coverage of UNAIDS needs and requirements, as specified in section 1, proposed timeline, resources dedicated partially or fully to the project.

**IMPORTANT:** the Technical Proposal shall contain no price or cost information

The Technical Proposal must include the following sections:

- a. **Understanding of the Requirements for Services, including Assumptions:**  
Include any assumptions as well as comments on the services as indicated in the Technical Specifications, or as the bidder may otherwise believe to be necessary.
- b. **Proposed Approach, Methodology, Timing and Outputs:**  
Any comments or suggestions on the technical specifications, as well as the bidder's detailed description of the manner in which it would respond to the technical specifications.
- c. **Proposed Project Team Members:**  
The curriculum vitae of the senior professional members of the team including their specific responsibilities on this project, relevant experience and qualifications.

### 2.7.4 Financial proposal

The bidder's **separate** price component must contain an overall quotation in a single currency, either in US Dollars or in the currency of the bidder's country of incorporation or registration. If the bidder opts for the latter and for evaluation purposes only, its proposal will be converted into US dollars using the United Nations rate of exchange in effect on the closing date for the submission of proposals.

The Financial Proposal shall be accompanied by a cover letter signed by a duly authorized representative of the bidder, confirming the following:

- a. The price; and
- b. The period of validity of the bid.

In addition, the Financial Proposal must cover all the goods or services to be provided and must itemize the following costs (provided they are applicable for the RFP):

- a. Travel and per diem costs;
- b. Other costs, if any (indicating nature and breakdown).

The Financial Proposal must contain a summary of total cost for the services proposed as well as a proposed schedule of payments, all of which must be expressed and will be made in the currency of the proposal.

In preparing financial proposals, bidders should carefully note the following provisions regarding UNAIDS policies on limitations on advance payments, retention, performance bonds, etc.

UNAIDS' general policy is to pay for the performance of contractual services rendered or to effect payment upon the achievement of specific milestones described in the contract.

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In special circumstances, UNAIDS policy allows for an advance payment up to a maximum of 25 per cent of the total value for individuals—or 50 per cent of the total value for companies and organizations—upon signature of a contract.

UNAIDS, at its discretion, may determine if such a payment is warranted or not, and the conditions under which it would be made. In any case where an advance payment for USD 50,000 or more is requested and subsequently approved, UNAIDS will normally require a bank guarantee or other suitable security arrangement. Further information may be requested by UNAIDS at the time of finalizing contract negotiations with the selected bidder.

Any request for an advance payment is to be justified and documented and must be submitted with the financial proposal. This justification shall explain the need for the advance payment, itemize the amount requested and provide a time-schedule for utilization of said amount. In addition, the bidder must submit documentation regarding its financial status, e.g. audited financial statements at 31 December of the previous year, and include this documentation with its financial proposal. Further information may be requested by UNAIDS at the time of finalizing contract negotiations with the selected bidder.

UNAIDS Travel Policy is to cover and reimburse air tickets in Economy Class only, using the most direct route available. UNAIDS does not cover per diem cost exceeding that defined by the United Nations at the time of the travel for the specific destination of the travel.

## 2.8 Format and signing of proposals

The bidder shall submit the **separate technical and financial proposals** via the E-Tendering system by the closing date set forth in section **2.10**. Proposals by e-mail will not be accepted.

In addition:

- a. Documents requiring signature should be scanned in (.pdf) format;
- b. All pages of the proposal shall be numbered in the format "Page X of Y";
- c. All proposals shall be signed by the bidder or a person or persons duly authorized to bind the bidder to the contract;
- d. The proposal and supporting documents should be in PDF, or Microsoft Office compatible format;
- e. The responses to the functional requirements should be submitted in the structure provided in this RFP;
- f. If a template for financial proposal is provided with this RFP, the financial proposal shall be submitted this template;
- g. The proposed timeline project plan should be either in MS Project MPP, XLS or PDF format;
- h. The master copy of the "Technical Proposal" shall be submitted through the tab marked "Technical Proposal";
- i. The master copy of the "Financial Proposal" shall be submitted through the tab marked "Financial Proposal".

There will be no automatic confirmation of receipt as the proposals are only opened after the closing date.

## 2.9 Period of validity of proposals

The offer outlined in the proposal must be valid for a minimum period of 120 calendar days after the closing date. A proposal valid for a shorter period may be rejected by UNAIDS. In exceptional circumstances, UNAIDS may solicit the bidder's consent to an extension of the period of validity. The request and the responses thereto shall be made in writing. Any bidder granting the request will not be required nor permitted to modify its proposal.

## 2.10 Closing date for submission of proposals

**Proposals must be received as specified in section 2.8 no later than 20 October 2016 at 17:00 hrs Geneva time.**

UNAIDS may, at its own discretion, extend this closing date for the submission of proposals by notifying all bidders thereof in writing.

Any proposal received by UNAIDS after the closing date for submission of proposals may be rejected.

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**2.11 Modification and withdrawal of proposals**

The bidder may withdraw its proposal any time after the proposal's submission and before the opening date, provided that written signed notice of the withdrawal (by a duly authorized representative of the bidder) is provided via the 'Correspondence' tab of the E-tendering system.

The bidder's withdrawal notice shall be received before the closing date in accordance with section **2.10**.

No proposal may be modified after the closing date for submission of proposals, unless UNAIDS has issued an amendment to the RFP allowing such modifications (see section **2.13**).

No proposal may be withdrawn in the interval between the opening date and the expiration of the period of proposal validity specified by the bidder in the proposal.

**2.12 Receipt of proposals from non-invitees**

UNAIDS may, at its own discretion, extend the RFP to bidders that were not included in the individual invitation list if this is necessary and in the interest of UNAIDS. RFPs published by UNAIDS on the UNAIDS website are open for all qualified bidders.

**2.13 Amendments of the RFP**

At any time prior to the closing date for submission of proposals, UNAIDS may, for any reason, whether on its own initiative or in response to a clarification requested by a bidder, modify the RFP by amendment. Amendments could include modification of project scope or requirements, project timeline expectations or extension of the closing date for submission.

All prospective bidders that have received the RFP will be notified in writing of all amendments to the RFP. In addition, all amendments will be posted on the UNAIDS website in the Request for Proposals section and in any other website used by UNAIDS directly for publishing the Request for Proposals.

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### 3. OPENING AND EVALUATION OF PROPOSALS

#### 3.1 Opening of proposals

UNAIDS will open the technical proposals in the presence of a Committee formed by UNAIDS at the Headquarters office in Geneva, Switzerland, on a date fixed after the closing of the tendering period. Each technical proposal will be opened during the session with each bidder announced. Financial proposals will be opened only after the technical evaluation of the proposals.

A public opening of bids will be carried on **21 October at 10:00 hrs** in the UNAIDS premises. Bidders wishing to attend the session (at their own cost) should inform UNAIDS in advance via the "Correspondence" tab in UNAIDS' E-Tendering system if they plan to attend; only bidders or named representatives are allowed. Non-attendance has no implication on the evaluation of the bids.

#### 3.2 Clarification of proposals

UNAIDS may, at its discretion, ask any bidder for clarification of any part of its proposal to assist in the examination, evaluation and comparison of proposals. The request for clarification and the response shall be in writing. No change in price or substance of the proposal shall be sought, offered or permitted during this exchange.

#### 3.3 Preliminary examination of proposals

UNAIDS will examine the proposals to determine whether:

- a. They are complete;
- b. Any computational errors have been made;
- c. The documents have been properly signed, and
- d. The proposals are generally in order.

**Please note that UNAIDS is not bound to select any of the firms/institutions submitting proposals.** Furthermore, since a contract would be awarded in respect of the proposal which is considered most responsive to the needs of the project concerned, due consideration being given to UNAIDS' general principles, including economy and efficiency, UNAIDS does not bind itself in any way to select the firm/institution offering the lowest price.

#### 3.4 Technical evaluation of proposals

A two-stage procedure will be utilized in evaluating the proposals, with technical evaluation of the proposal being completed prior to any evaluation of the Financial Proposal.

The technical evaluation of proposals will be accomplished by a selection panel. The selection panel will evaluate all proposals which have passed the preliminary examination of proposals according to:

- a. The quality of the overall proposal (**30 Points**);
- b. The appropriateness of the proposed approach (**25 Points**);
- c. The experience of the firm in carrying out related projects (**25 Points**);
- d. The qualifications and competence of the personnel proposed for the assignment (**15 Points**);
- e. The proposed timeframe for the project (**5 Points**);

The obtainable number of points specified for each evaluation criterion indicates the relative significance or weight of the item in the overall evaluation process. The points allocated to the technical proposal correspond to 60% of the total obtainable points.

#### 3.5 Financial proposal evaluation

The financial proposal will only be evaluated if the technical proposal achieves a minimum of 60% of the total allocable points for the technical evaluation. Proposals failing to obtain this minimum threshold will not be eligible for further consideration.

The maximum number of points for the price component is 40% of the total obtainable points.

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This maximum number of points will be allocated to the lowest price proposal. All other price proposals will receive points in inverse proportion according to the following formula:

Points for the price component of a proposal being evaluated = ((Maximum number of points for the price component) x (Lowest price)) / (Price of proposal being evaluated)

### 3.6 Bidders' presentations

At the discretion of UNAIDS, selected bidders may be invited to supply additional information on the contents of their proposal during the evaluation period. Such bidders could be asked to give a presentation of their proposal (possibly with an emphasis on a topic of UNAIDS's choice) followed by a question and answer session. If UNAIDS determines that there is such a need, the presentation will be held at UNAIDS Headquarters in Geneva, or by videoconference/Internet. Bidders will be given reasonable time to prepare for the presentation.

NOTE: Presentations or other individual contact is expressly prohibited before the closing date for proposal submission.

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## 4. AWARD OF CONTRACT

### 4.1 Award criteria, award of contract

UNAIDS reserves the right to:

- a. Award the contract to a bidder of its choice, even if its bid is not the lowest;
- b. Award separate contracts for parts of the work, components or items, to one or more bidders of its choice, even if their bids are not the lowest;
- c. Accept or reject any proposal, and to annul the solicitation process and reject all proposals at any time prior to award of contract, without thereby incurring any liability to the affected bidder or bidders and without any obligation to inform the affected bidder or bidders of the grounds for UNAIDS' action;
- d. Award the contract on the basis of UNAIDS' particular objectives to a bidder whose proposal is considered to be the most responsive to the needs of the Organization and the activity concerned;
- e. Not award any contract at all.

UNAIDS has the right to eliminate bids on technical or other reasons throughout the evaluation/selection process. UNAIDS shall not in any way be obligated to reveal, or discuss with any bidder, how a proposal was assessed, or to provide any other information relative to the evaluation/selection process or to state the reasons for elimination to any bidder.

**NOTE: UNAIDS is acting in good faith by issuing this RFP. However, this document does not obligate UNAIDS to contract for the supply of any products or services.**

#### 4.1.1 Right to modify scope or requirements during the proposal process

UNAIDS reserves the right to, at any time during the proposal process, modify the scope of services and goods specified in the RFP. At any time in the selection process, UNAIDS reserves the right to issue an amendment to the RFP detailing the change which should be notified only to bidders who have not been officially eliminated due to technical reasons at that point in time.

#### 4.1.2 Right to extend/revise scope or requirements at time of award

UNAIDS reserves the right, at the time of award of contract, to extend/revise the scope of services and goods specified in the RFP without any change in the base price of services and goods or other terms and conditions offered by the selected bidder.

#### 4.1.3 Right to enter into contract price negotiations

UNAIDS reserves the right to enter into negotiations, with one or more bidders that have not been eliminated during the evaluation process, including but not limited to negotiations of the terms of the proposal(s), the price quoted in such proposal(s) and/or the deletion of certain parts of the work, components or items called for under this RFP.

### 4.2 Signing of the contract

Within 30 days of receipt of the contract the successful bidder shall sign and date the contract and return it to UNAIDS according to the instructions provided at that time. If the bidder does not accept the contract terms without changes, then UNAIDS has the right not to proceed with the selected bidder and instead contract with another bidder of its choice.

The award of contract will be published in the UNAIDS public website, after all internal clearances and acceptance of the contract by the selected bidder.

## 5. GENERAL AND CONTRACTUAL CONDITIONS

The contract between UNAIDS and the selected bidder ("the Contract") will, unless otherwise explicitly agreed in writing, include the provisions as set forth in this section, and will otherwise *inter alia* address the following issues:

- Responsibilities of the selected bidder(s) ("The Contractor(s)") and UNAIDS;
- Clear deliverables, timelines and acceptance procedures;
- Payment terms tied to the satisfactory completion of the work;
- Notices.

The prices payable by UNAIDS for the work to be performed under the Contract shall be fixed for the duration of the Contract and shall be in a UN convertible currency (preferably US Dollars), based on the UN exchange rate of the date of invoice.

The total amount payable by UNAIDS under the Contract may be either a lump sum or a maximum amount. If the option for payment of a lump sum applies, that lump sum is payable in the manner provided, subject to satisfactory performance of the work. If the option for payment of a maximum amount applies:

- The Contract shall include a detailed budget;
- The Contractor shall be held to submit a financial statement together with each invoice;
- Any advance payments by UNAIDS shall be used by the Contractor exclusively for the work in accordance with the budget and any unspent balance shall be refunded to UNAIDS;
- Payment by UNAIDS shall be subject to satisfactory performance and the acceptance of the Contractor's financial statements; and
- All financial reports shall be subject to audit by or on behalf of UNAIDS, including examination of supporting documentation and relevant accounting entries in the Contractor's books. In order to facilitate financial reporting and audit, the Contractor shall keep systematic and accurate accounts and records in respect of the work.

Unless otherwise specified in the Contract, UNAIDS shall have no obligation to purchase any minimum quantities of goods or services from the Contractor, and UNAIDS shall have no limitation on its right to obtain goods or services of the same kind, quality and quantity as described in the Contract, from any other sources at any time.

### 5.1 Conditions of contract

Any and all of the Contractor's (general and/or special) conditions of contract are hereby explicitly excluded from the Contract, i.e., regardless of whether such conditions are included in the Contractor's offer, or printed or referred to on the Contractor's letterhead, invoices and/or other material, documentation or communications.

### 5.2 Responsibility

The Contractor will be responsible to ensure that the work performed under the Contract meets the agreed specifications and is completed within the time prescribed. The Contractor shall facilitate the operational audit related to the execution of the work and the compliance with the obligations set forth in the Contract, by persons so designated by UNAIDS. In this regard, the Contractor shall make all relevant operational information, without restriction, available to persons so designated by UNAIDS and provide satisfactory explanations to all queries arising in connection therewith.

### 5.3 Source of instructions

The Contractor shall neither seek nor accept instructions from any authority external to UNAIDS in connection with the performance of its services under this Contract. The Contractor shall refrain from any action which may adversely affect UNAIDS and shall fulfill its commitments with the fullest regard to the interests of UNAIDS.

### 5.4 Warranties

The Contractor will warrant and represent to UNAIDS as follows:



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- a. The deliverables shall meet the specifications and shall function in a manner which is fully adequate to meet its intended purpose. The Contractor furthermore warrants that the deliverables shall be error-free, in that the Contractor shall correct any errors in the deliverables, free of charge, within fifteen days after their notification to the Contractor, during a period of at least six months after completion of the work. It is agreed, however, that errors and other defects, which have been caused by modifications to the deliverables made by UNAIDS without agreement of the Contractor are not covered by this paragraph;
- b. The deliverables shall, to the extent it is not original, only be derived from, or incorporate, material over which the Contractor has the full legal right and authority to use it for the proper implementation of this Contract. The Contractor shall obtain all the necessary licenses for all non-original material incorporated in the deliverables including, but not limited to, licenses for UNAIDS to use any underlying software, application, and operating deliverables included in the deliverables or on which it is based, so as to permit UNAIDS to fully exercise its rights in the deliverables and the software without any obligation on UNAIDS's part to make any additional payments whatsoever to any party;
- c. The deliverables shall not violate any copyright, patent right, or other proprietary right of any third party and be delivered to UNAIDS free and clear of any and all liens, claims, charges, security interest and any other encumbrances of any nature whatsoever;
- d. The Contractor, its employees and any other persons and entities used by the Contractor shall not violate any intellectual property rights, confidentiality, right of privacy or other right of any person or entity whatsoever;
- e. Except as otherwise explicitly provided in this Contract, the Contractor shall at all times provide all the necessary on-site and off-site resources to meet its obligations hereunder. The Contractor shall only use highly qualified staff, acceptable to UNAIDS, to perform its obligations hereunder;
- f. The Contractor shall take full and sole responsibility for the payment of all wages, benefits and monies due to all persons and entities used by it in connection with the implementation and execution of the Contract, including, but not limited to, the Contractor's employees, permitted subcontractors and suppliers.

The Contractor furthermore warrants and represent that the information provided by it to UNAIDS in response to the RFP and during the bid evaluation process is accurate and complete. The Contractor understands that in the event The Contractor has failed to disclose any relevant information which may have impacted UNAIDS' decision to award the Contract to The Contractor, or has provided false information, UNAIDS will be entitled to rescind the contract with immediate effect, in addition to any other remedies which UNAIDS may have by contract or by law.

### 5.6 Legal status

The Contractor shall be considered as having the legal status of an independent contractor vis-à-vis UNAIDS, and nothing contained in or relating to the Contract shall be construed as establishing or creating an employer/employee relationship between UNAIDS, on the one hand, and the Contractor or any person used by the Contractor in the performance of the work, on the other hand.

Thus the Contractor shall be solely responsible for the manner in which the work is carried out. UNAIDS shall not be responsible for any loss, accident, damage or injury, suffered by the Contractor or persons or entities claiming under the Contractor, arising during or as a result of the implementation or execution of the Contract, including travel, whether sustained on UNAIDS premises or not.

The Contractor shall obtain adequate insurance to cover such loss, accident, injury and damages, before commencing work on the Contract. The Contractor shall be solely responsible in this regard and shall handle any claims for such loss, accident, damage or injury.

### 5.6 Relation between the parties

The Contract does not constitute a partnership between the Parties or does not constitute either Party as the agent of the other.

### 5.7 Waiver of breach

The waiver by either Party of any provision or breach of the contract shall not prevent subsequent enforcement of such provision or excuse further breaches.

## 5.8 Liability

The Contractor hereby indemnifies and holds UNAIDS harmless from and against the full amount of any and all claims and liabilities, including legal fees and costs, which are or may be made, filed or assessed against UNAIDS at any time and based on, or arising out of, breach by the Contractor of any of its representations or warranties under the Contract, regardless of whether such representations and warranties are explicitly incorporated herein or are referred to in any attached Appendices.

## 5.9 Assignment

The Contractor shall not assign, transfer, pledge or make other disposition of this Contract or any part thereof, or any of the Contractor's rights, claims or obligations under this Contract except with the prior written consent of UNAIDS.

## 5.10 Officials not to benefit

The Contractor warrants that no official of UNAIDS has received or will be offered by the Contractor any direct or indirect benefit arising from this Contract or the award thereof. The Contractor agrees that breach of this provision is a breach of an essential term of this Contract.

## 5.11 Indemnification

The Contractor shall indemnify and hold UNAIDS harmless, from and against the full amount of any and all claims and liabilities, including legal fees and costs, which are or may be made, filed or assessed against UNAIDS at any time and based on, or arising out of, the acts or omissions of the Contractor, or the Contractor's employees, officers, agents, partners or sub-contractors, in the performance of the Contract. This provision shall extend, inter alia, to claims and liabilities in the nature of workmen's compensation, product liability and liability arising out of the use of patented inventions or devices, copyrighted material or other intellectual property by the Contractor, its employees, officers, agents, servants, partners or sub-contractors.

## 5.12 Contractor's responsibility for employees

The Contractor shall be responsible for the professional and technical competence of its employees and will select, for work under this Contract, reliable individuals who will perform effectively in the implementation of this Contract, respect the local customs, and conform to a high standard of moral and ethical conduct.

## 5.13 Subcontracting

Any intention to subcontract aspects of the Contract must be specified in detail in the proposal submitted. Information concerning the subcontractor, including the qualifications of the staff proposed for use must be covered with same degree of thoroughness as for the prime contractor. No subcontracting will be permitted under the Contract unless it is proposed in the initial submission or formally agreed to by UNAIDS at a later time. In any event, the total responsibility for the Contract remains with the Contractor.

The Contractor shall be responsible for ensuring that any and all subcontracts shall be fully consistent with the Contract, and shall not in any way prejudice the implementation of any of its provisions.

## 5.14 Place of performance

The place of performance of the work under the Contract shall be in the premises of the contractor with possible field visits.

## 5.15 Language

The communications relating to the Contract and/or performance of the work there under shall be in English.

## 5.16 Confidentiality

- a. Except as explicitly provided in the Contract, the Contractor shall keep confidential all information which comes to its knowledge during, or as a result of, the implementation and execution of the Contract. Accordingly, the Contractor shall not use or disclose such information for any purpose other than the performance of its obligations under the Contract. The Contractor shall ensure that each of its employees and/or other persons and entities having access to such information shall be made aware of, and be bound by, the obligations of the Contractor under this paragraph. However,

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there shall be no obligation of confidentiality or restriction on use, where: (i) the information is publicly available, or becomes publicly available, otherwise than by any action or omission of the Contractor, or (ii) the information was already known to the Contractor (as evidenced by its written records) prior to becoming known to the Contractor in the implementation and execution of this Contract; or (iii) the information was received by the Contractor from a third party not in breach of an obligation of confidentiality.

- b. The Contractor, its employees and any other persons and entities used by the Contractor shall furthermore not copy and/or otherwise infringe on copyright of any document (whether machine-readable or not) to which the Contractor, its employees and any other persons and entities used by the Contractor have access in the performance of this Contract.
- c. The Contractor may not communicate at any time to any other person, Government or authority external to UNAIDS, any information known to it by reason of its association with UNAIDS which has not been made public except with the authorization of UNAIDS; nor shall the Contractor at any time use such information to private advantage.

### 5.17 Title rights

- a. All rights pertaining to any and all deliverables under the Contract and the original work product leading thereto, as well as the rights in any non-original material incorporated therein as referred in section 5.4.2 above, shall be exclusively vested in UNAIDS.
- b. UNAIDS reserves the right to revise the work, to use the work in a different way from that originally envisaged or to not use the work at all.
- c. At UNAIDS's request, the Contractor shall take all necessary steps, execute all necessary documents and generally assist UNAIDS in securing such proprietary rights and transferring them to UNAIDS in compliance with the requirements of applicable law.

### 5.18 Termination and cancellation

UNAIDS shall have the right to cancel the Contract (in addition to other rights, such as the right to claim damages):

- a. In the event the Contractor fails to begin work on the date agreed, or to implement the work in accordance with the terms of the Contract; or
- b. In the event the progress of work is such that it becomes obvious that the obligations undertaken by the Contractor and, in particular, the time of fulfillment, will not be respected.

In addition, UNAIDS shall be entitled to terminate the Contract (or part thereof), in writing:

- a. At will with the provision of thirty (30) days prior notice in writing;
- b. With immediate effect (in addition to other rights, such as the right to claim damages), if, other than as provided in the paragraph above, the Contractor is:
  - (i) In breach of any of his material obligations under the Contract and fails to correct such breach within a period of thirty (30) days after having received a written notification to that effect from UNAIDS; or
  - (ii) Adjudicated bankrupt or formally seeks relief of his financial obligations.

### 5.19 Force majeure

No party to the Contract shall be responsible for a delay caused by force majeure, that is, a delay caused by reasons outside such party's reasonable control, it being agreed, however, that UNAIDS shall be entitled to terminate the Contract (or any part of the Contract) forthwith if the implementation of the work is delayed or prevented by any such reason for an aggregate of thirty (30) days. Such termination shall be subject to payment of an equitable part of the Contract sum and/or other reasonable charges. In the event of such termination, the Contractor shall, in accordance with the ownership rights referred to in section 5.17 *Title rights*, deliver to UNAIDS all work products and other materials so far produced.

In the event of and as soon as possible after the occurrence of any cause constituting force majeure, the Contractor shall give notice and full particulars in writing to UNAIDS, of such occurrence or change if the Contractor is thereby rendered unable, wholly or in part, to perform its obligations and meet its responsibilities under this Contract. The Contractor shall also notify UNAIDS of any other changes in conditions or the occurrence of any event which interferes or threatens to interfere with its performance of

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this Contract. The notice shall include steps proposed by the Contractor to be taken including any reasonable alternative means for performance that is not prevented by force majeure. On receipt of the notice required under this Article, UNAIDS shall take such action as, in its sole discretion, it considers to be appropriate or necessary in the circumstances, including the granting to the Contractor of a reasonable extension of time in which to perform its obligations under this Contract.

### 5.20 Surviving provisions

Those rights and obligations of the Parties as set forth in section 5 that are intended by their nature to survive the expiration or earlier termination of the Contract shall survive indefinitely. This includes, **but is expressly not limited to**, any provisions relating to UNAIDS' right to financial and operational audit, conditions of contract, warranties, legal status and relationship between the parties, breach, liability, indemnification, subcontracting, confidentiality, title rights, use of the UNAIDS and WHO name and emblem, successors and assignees, insurance and liabilities to third parties, settlement of disputes, observance of laws, privileges and immunities, no terrorism or corruption, foreign nationals and compliance with UNAIDS policies.

### 5.21 Use of UNAIDS and WHO name and emblem

Without UNAIDS's prior written approval, the Contractor shall not, in any statement of an advertising or promotional nature, refer to the Contract or its relationship with UNAIDS and/or the World Health Organization (WHO) (which provides the administration of UNAIDS, including its secretariat). In no case shall the Contractor use the name or the emblem of UNAIDS and/or WHO, or any abbreviation thereof, in relation to its business or otherwise.

### 5.22 Successors and assignees

The Contract shall be binding upon the successors and assignees of the Contractor and the Contract shall be deemed to include the Contractor's successors and assignees, provided, however, that nothing in the Contract shall permit any assignment without the prior and written approval of UNAIDS.

### 5.23 Payment

Payment will be made against presentation of an invoice in a UN convertible currency (preferably US Dollars) in accordance with the payment schedule contained in the Contract and subject to UNAIDS's acceptance of satisfactory performance of work. Any payments by UNAIDS to the Contractor shall reflect any tax exemptions to which UNAIDS is entitled by reason of the immunity it enjoys. UNAIDS is exempt from all direct taxes, customs duties and the like and the Contractor shall consult with UNAIDS so as to avoid the imposition of such charges. As regards duties and other indirect taxes, the Contractor shall list such charges on invoices as a separate item and, to the extent required, cooperate with UNAIDS to enable reimbursement thereof.

### 5.24 Title to equipment

Title to any equipment and supplies that may be furnished by UNAIDS shall rest with UNAIDS and any such equipment shall be returned to UNAIDS at the conclusion of this Contract or when no longer needed by the Contractor. Such equipment, when returned to UNAIDS, shall be in the same condition as when delivered to the Contractor, subject to normal wear and tear. The Contractor shall be liable to compensate UNAIDS for equipment determined to be damaged or degraded beyond normal wear and tear.

### 5.25 Insurance and liabilities to third parties

The Contractor shall provide and thereafter maintain:

- a. Insurance against all risks in respect of its property and any equipment used for the execution of this Contract;
- b. All appropriate workmen's compensation insurance, or its equivalent, with respect to its employees to cover claims for personal injury or death in connection with this Contract;
- c. Liability insurance in an adequate amount to cover third party claims for death or bodily injury, or loss of, or damage to property, arising from or in connection with the performance of work under the Contract or the operation of any vehicles, boats, airplanes or other equipment owned or leased by the Contractor or its agents, servants, employees partners or sub-contractors performing work in connection with the Contract.

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Except for the workmen's compensation insurance, the insurance policies under this section shall:

- a. Name UNAIDS as additional insured;
- b. Include a waiver of subrogation of the Contractor's rights to the insurance carrier against UNAIDS;
- c. Provide that UNAIDS shall receive written notice from the Contractor's insurance carrier not less than thirty (30) days prior to any cancellation or material change of coverage.

The Contractor shall, upon request, provide UNAIDS with satisfactory evidence of the insurance required under this section.

#### 5.26 Settlement of disputes

Any dispute relating to the interpretation or application of the contract shall, unless amicably resolved, be subject to conciliation. In the event of failure of the latter, the dispute shall be settled by arbitration. The arbitration shall be conducted in accordance with the modalities to be agreed upon by the parties or, in the absence of agreement, with the rules of arbitration of the International Chamber of Commerce. The parties shall accept the arbitral award as final.

#### 5.27 Observance of the law

The Contractor shall comply with all laws, ordinances, rules, and regulations bearing upon the performance of its obligations under the terms of the Contract.

#### 5.28 Authority to modify

No modification or change in the Contract, no waiver of any of its provisions or any additional contractual relationship of any kind shall be valid and enforceable unless signed by a duly authorized representative of both parties.

#### 5.29 Privileges and immunities

Nothing in or relating to this Contract shall

- a. Be deemed a waiver of any of the privileges and immunities of UNAIDS and/or the World Health Organization in conformity with the Convention on the Privileges and Immunities of the Specialized Agencies approved by the General Assembly of the United Nations on November 21, 1947 or otherwise under any national or international law, convention or agreement;
- b. Be construed as submitting UNAIDS and/or WHO to any national jurisdiction.

#### 5.30 No terrorism or corruption

The Contractor warrants that:

- a. It is not and will not be involved in, or associated with, any person or entity involved in terrorism, that it will not make any payment to any such person or entity and that it will not enter into any employment or subcontracting relationship with any such person or entity; and
- b. It shall not engage in any illegal, corrupt, fraudulent, collusive or coercive practices in connection with execution of the Contract.

The Contractor agrees that breach of this provision is a breach of an essential term of the Contract.

Any payments used by the Contractor for the promotion of any terrorist activity or any illegal, corrupt, fraudulent, collusive or coercive practice shall be repaid to UNAIDS without delay.

#### 5.31 Personnel

##### 5.31.1 Approval of contractor personnel

UNAIDS reserves the right to approve any employee, subcontractor or agent furnished by the Contractor and Contractor's consortium partners for the performance of the work under the Contract (hereinafter jointly referred to as "Contractor Personnel"). All Contractor Personnel must have appropriate qualifications, skills and levels of experience and otherwise be adequately trained to perform the work. UNAIDS reserves the right to undertake an interview process as part of the approval of Contractor Personnel.

## Independent Evaluation of the Partnership between UNAIDS and The Global Fund

The Contractor acknowledges that the qualifications, skills and experience of the Contractor personnel proposed to be assigned to the project are material elements in UNAIDS's engaging the Contractor for the project. Therefore, in order to ensure timely and cohesive completion of the project, both parties intend that Personnel initially assigned to the project continue through to project completion. Once an individual has been approved and assigned to the project, such individual will not, in principle, thereafter be taken off the project by the Contractor to other duties. Circumstances may arise, however, which necessitate that Personnel be substituted in the course of the work e.g. in the event of promotions, termination of employment, sickness, vacation or other similar circumstances, at which time a replacement of comparable qualifications, skills and experience may be assigned to the project, subject to approval of UNAIDS.

UNAIDS may refuse access to or require replacement of any Contractor Personnel if such individual renders, in the sole judgment of UNAIDS, inadequate or unacceptable performance, or if for any other reason UNAIDS finds such individual does not meet his/her security or responsibility requirements. The Contractor shall replace such an individual within fifteen (15) business days of receipt of written notice from UNAIDS. The replacement will have the required qualifications, skills and experience and will be billed at a rate that is equal to or less than the rate of the individual being replaced.

#### 5.31.2 Project managers

Each party shall appoint a qualified project manager ("Project Manager") who shall serve as such party's primary liaison throughout the course of the project. The Project Manager shall be authorized by the respective party to answer all questions posed by the other party and convey all decisions made by such party during the course of the project and the other party shall be entitled to rely on such information as conveyed by the Project Manager.

The Project Managers shall meet on regular basis in order to review the status of the project and provide UNAIDS with reports. Such reports shall include detailed time distribution information in the form requested by UNAIDS and shall cover problems, meetings, progress and status against the implementation timetable.

#### 5.31.3 Foreign nationals

The Contractor shall verify that all Contractor Personnel is legally entitled to work in the country or countries where the work is to be carried out. UNAIDS reserves the right to request the Contractor to provide UNAIDS with adequate documentary evidence attesting this for each Contractor Personnel. Each party hereby represents that it does not discriminate against individuals on the basis of race, gender, creed, national origin, citizenship.

#### 5.31.4 Compliance with UNAIDS policies

The Contractor shall at all times comply with and ensure that the Contractor and each of its subcontractors and their employees and agents comply with any applicable laws and regulations and any UNAIDS policies and reasonable written direction and procedures relating to:

- a. Occupational health and safety;
- b. Security and administrative requirements, including, but not limited to computer network security procedures;
- c. Sexual harassment;
- d. Privacy;
- e. General business conduct and disclosure;
- f. Conflicts of interest; and
- g. Business working hours and official holidays.

In the event that the Contractor becomes aware of any violation or potential violation by the Contractor, its subcontractor or any of their employees or agents, of any laws, regulations, UNAIDS policies or of other UNAIDS reasonable written directions and procedures, the Contractor shall immediately notify UNAIDS of such violation. UNAIDS, in its sole discretion, shall determine the course of action to remedy such violation or prevent such potential violation, in addition to any other remedy available to UNAIDS under the Contract or otherwise.

## Independent Evaluation of the Partnership between UNAIDS and The Global Fund

**5.31.5 Ethical behaviour**

UNAIDS, the Contractor and each of the Contractor's partners, subcontractors and their employees and agents shall adhere to the highest ethical standards in the performance of the Contract. In this regard, the Contractor shall also ensure that neither the Contractor nor its partners, subcontractors, agents, or employees, will engage in activities involving child labor, trafficking in arms, promotion of tobacco or other unhealthy behavior, or sexual exploitation or discrimination.

**5.31.6 Engagement of third parties and use of In-house resources**

The Contractor acknowledges that UNAIDS may elect to engage third parties to participate in or oversee certain aspects of the project and that UNAIDS may elect to use its in-house resources for the performance of certain aspects of the project. The Contractor shall at all times cooperate with and ensure that the Contractor and each of its partners, subcontractors, and their employees and agents cooperate, in good faith, with such third parties and with any UNAIDS in-house resources.

## Appendix II Methodology Limitations and Mitigation

### Key Challenges and Mitigation Strategies

CHALLENGE	MITIGATION STRATEGY
<p>The main limitation was that the terms of reference and scope of the assignment kept changing and expanded throughout the mandate.</p> <p>The original requirements outlined in the RFP were centered around the Cooperation Agreement (CA), with key evaluation questions focusing on country compliance with the CA, and to a lesser extent the regional and global level. When the budget of the mandate was reduced by 20% and the number of days for field level data collection were expanded (to accommodate two team members rather than one, at the request of UNAIDS and the GF), the evaluation team suggested limiting the scope at the global level by reducing the number of stakeholder interviews, in particular at the global level. This change was approved.</p> <p>Throughout the mandate, in discussions with UNAIDS and GF, it became clear that both wanted an evaluation that:</p> <ol style="list-style-type: none"> <li>1. spoke to the broader relationship between the two entities, within and beyond what is stated in the CA</li> <li>2. had a much stronger emphasis on the global level.</li> </ol>	<p>To address point #1, we</p> <ul style="list-style-type: none"> <li>• expanded and modified our data collection instruments to include questions that went beyond the questions in the RFP (with approval of UNAIDS and GF)</li> <li>• added a survey of all UNAIDS Country Directors and GF Project Managers that also included questions beyond those in the RFP</li> </ul> <p>To mitigate point #2, we conducted a series of focus groups and individual interviews with 17 persons from the GF and UNAIDS at the global level (i.e., HQ level). Following the Presentation of Preliminary Findings, the evaluation team also conducted two further interviews with GF and UNAIDS stakeholders.</p>
<p>The evaluation was implemented in a compressed evaluation timeframe.</p>	<p>The evaluation team expanded the number of members to ensure that it could meet the deadlines in the revised schedule. The evaluation team's ability to revise and respond to deliverables depended on the responsiveness of UNAIDS and the Global Fund in providing written and verbal feedback. To accommodate additional time for feedback, extend the length of time the Online Survey was in live, and conduct additional interviews, the evaluation timeline was lengthened.</p>
<p>The Cooperation Agreement did not provide explicit metrics and data against which partnership performance could be measured. The key challenge was to develop metrics that: adequately captured the different cooperation areas and reflected reasonable levels of success; combined and balanced each partner's views, and managed to address all the above metrics so that the partners and key actors felt reflected in them.</p>	<p>The Evaluation Matrix included metrics based on the Cooperation Agreement, interviews with key stakeholder on their perceptions of the relationship, and a review of existing literature on best practices for partnerships.</p>



CHALLENGE	MITIGATION STRATEGY
<p>The responsiveness for all lines of inquiry (survey, interviews, documents) was higher from UNAIDS than the Global Fund.</p> <p>Although the GF was very engaged in evaluation logistics, responsiveness was low from GF staff.</p>	<p>The evaluation team took a number of steps to encourage GF engagement, outlined in the following table.</p>

*Lines of Inquiry and Response Rates*

LINE OF INQUIRY	RESPONSE FROM UNAIDS	RESPONSE FROM GF	EVALUATION TEAM RESPONSE	IMPLICATIONS FOR THE EVALUATION
<b>Field visits</b>	UNAIDS suggested that all UCO staff be interviewed, in addition to providing feedback on the list of other stakeholders to be consulted through field visits.	The Global Fund did not provide feedback on the evaluation team’s proposed list of field visit stakeholders.	The evaluation team circulated a proposed list of country level stakeholders for field visits to be built upon by both organizations. UNAIDS provided feedback. The Global Fund did not respond.	There are fewer stakeholders from the Global Fund included in the field visits. It was not suggested that GF Country Teams be interviewed, so they were not consulted for the evaluation.
<b>Telephone interviews</b>	11 of the 15 (73%) interviewees from UNAIDS responded and attended the interviews.	7 of the 12 (58%) interviewees from the GF responded and attended the interviews.	The evaluation team invited 27 global level stakeholders for interviews, sent multiple follow up emails and made their best efforts to reschedule when stakeholders were unavailable to attend at scheduled times, including making themselves available outside business hours and on weekends. The evaluation team also accepted written feedback. Following the Preliminary Findings presentation, the evaluation team interviewed an additional global level stakeholder from each organization, as suggested by UNAIDS and the GF.	The majority of the RFP questions focus on UNAIDS’ compliance to the Cooperation Agreement, therefore the higher participation of UNAIDS stakeholders helped ensure responses to the RFP questions. There are fewer respondents from the Global Fund than UNAIDS. The evaluation team presents data from stakeholders at both organizations and triangulates data across data sources, where possible.

LINE OF INQUIRY	RESPONSE FROM UNAIDS	RESPONSE FROM GF	EVALUATION TEAM RESPONSE	IMPLICATIONS FOR THE EVALUATION
<b>Survey</b>	41/ 64 (64%) of invited UCDs and URMIs participated in the Online Survey	8/67 (10%) invited FPMs and RPMs participated in the Online Survey	The GF managed the survey to their staff, sending out the invitation email and, at the request of the evaluation team, an email reminder. The evaluation team managed the survey for UNAIDS staff and sent two survey reminders. Following the Preliminary Findings Presentation, at the request of both organizations, the evaluation team extended the survey deadline by a week. The evaluation team also sent a reminder to stakeholders that had not responded from both organizations.	The survey results were significantly more positive than data gathered through interviews (within both organizations at the country and regional levels). The evaluation team used the survey data, but triangulated it with data from interviews, field visits and document review to provide a balanced perspective.
<b>Document Review</b>	UNAIDS provided over 700 documents at the global, regional and country levels to inform the evaluation.	The evaluation team was asked to sign Confidentiality waivers. Subsequently 55 documents were shared, 23 of which were UNAIDS publications. The evaluation team was instructed to seek additional documentation through the	The evaluation team reviewed and where relevant used documentation provided by UNAIDS and documentation available online from the GF for a document review, using the Evaluation Matrix as a framework. Many of the links to documents on the GF website are broken. To supplement at the country level, the evaluation team requested and reviewed further documentation from national stakeholders regarding GF-related processes.	Little of the documentation provided addressed the UNAIDS – Global Fund relationship specifically. The majority of the documentation provided was illustrative of the individual contributions of both organizations to the HIV response. The evaluation team used available documentation for the document review and expanded the number of interviews at the global level.

## Appendix III Evaluation Matrix

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
1. Relevance	1.1 To what extent is the partnership between the Global Fund and UNAIDS relevant/important at the global, regional, and country level?	1.1.1 What is the strategic advantage of the partnership, at the country, regional and global levels? And to what extent does the Cooperation Agreement help or hinder the strategic advantage of the partnership?	<p>Perception of internal and external stakeholders on the strategic value-added of the partnership</p> <p>Strategic advantage as stated in partnership agreement documents</p>	<p>UNAIDS and GF staff</p> <p>UCD and FPM</p> <p>CCM members</p> <p>Strategic documents, partnership agreements</p> <p>CSOs and NGOs</p> <p>National Authorities</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online Survey</p>
		1.1.2 Is the partnership in line with UNAIDS' and the Global Fund's strategic orientations?	<p>Alignment of the partnership agreement documents - the Cooperation Agreement and the MoU between GF and UNAIDS – with GF and UNAIDS' strategic orientations</p> <p>Alignment of UNAIDS and the GF on priority countries</p> <p>Alignment of the partnership strategic objectives (beyond the partnership agreement document) and the GF's New Funding Model</p>	<p>UNAIDS and GF senior management and staff</p> <p>Strategic documents, UNAIDS and GF Strategy, partnership agreements</p>	<p>Document review</p> <p>Stakeholder consultations</p>

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
		1.1.3 What are the comparative advantages that each organization brings to the Partnership, at the country, regional and global levels?	<p>Stakeholders' perceptions of the comparative advantage that UNAIDS and the GF bring to the partnership</p> <p>Roles and responsibilities as stated in partnership agreement documents</p> <p>Actual roles played in the four case study countries and the one region</p>	<p>UNAIDS and GF senior management</p> <p>Country and Regional Teams</p> <p>CCM members</p> <p>CSOs and NGOs</p> <p>National Authorities UCD and FPM</p> <p>Internal reports</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online Survey</p>
		1.1.4 Are there any significant mismatches between UNAIDS' and the Global Fund's expectations and nature of their roles and responsibilities in relation to the partnership?	<p>Expectations on the roles and responsibilities detailed in the Cooperation Agreement and beyond</p> <p>Stakeholders' perceptions on the wished-for role for UNAIDS and GF</p> <p>Stakeholders' perceptions on any gaps in the currently played role for UNAIDS and GF</p> <p>Stakeholders perception on the power balance between UNAIDS and the GF within the partnership</p> <p>Comparison of the UNAIDS/GF partnership with other partnerships (i.e. Roll Back Malaria Partnership, Stop TB, GAVI, etc.)</p>	<p>UNAIDS and GF senior management</p> <p>Country and Regional Teams</p> <p>UCD and FPM</p> <p>CCM members</p> <p>CSOs and NGOs</p> <p>National Authorities Internal reports</p> <p>Staff from comparator organisations</p> <p>Principal Recipients for the Global Fund grants for TB and malaria (for the comparative assessment)</p>	<p>Online survey</p> <p>Stakeholder consultations</p>

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
<p><b>2. Effectiveness</b></p>	<p>2.1 To what extent are UNAIDS and the Global Fund fulfilling their roles and responsibilities, as it relates to collaboration at the country, regional and global levels?</p>	<p>2.1.1 Does the partnership have a clear long term strategy, a clear set of results and an action plan?</p>	<p>Evidence of the existence of a clear actionable long term strategy                      Level of explicitness and clarity of the expected results                      Existence of a clear set of indicators for the assessment of results achievement                      UNAIDS and GF’s perception of the usefulness of such guidance documentation</p>	<p>UNAIDS and GF senior management                      UCD and FPM                      Strategic documents, partnership agreements</p>	<p>Document review                      Stakeholder consultations                      Online Survey</p>
		<p>2.1.2 Have UNAIDS and the Global Fund developed Guidance to direct their respective country and regional staff to engage in specific joint and complementary tasks?</p>	<p>Existence of formal guidance on how to specifically strengthen the collaboration between the UCD and the FPM                      Existence of formal guidance on how UNAIDS and the Global Fund partner at the regional level                      Nature (printed material, online, coaching, training, monitoring...) of guidance materials                      Perceptions of staff of the utility of the guidance</p>	<p>Guidance materials (if available)                      UNAIDS Secretariat                      Global Fund Management                      UCD and FPM                      UNAIDS and GF staff</p>	<p>Document review                      Stakeholder consultations                      Online survey                      Field visits</p>
		<p>2.1.3 To what extent have UNAIDS and the GF joined efforts to fully engage all key stakeholders, including affected</p>	<p>Stakeholders’ perceptions on the types, relevance, and effectiveness of joint efforts put in place (alignment of priorities,</p>	<p>ITP Tracking Report                      Reports to stakeholders</p>	<p>Document review                      Stakeholder consultations</p>

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
		<p>communities, and what have been the key achievements of this engagement? This should include (but not be limited to) elements such as:</p> <ul style="list-style-type: none"> <li>• Increase the level and quality of political commitment for provision of domestic resources?</li> <li>• Ensure appropriate coordination and integration of programming for HIV and TB?</li> <li>• Encourage the use of existing initiatives and resources and avoid duplicating the capacity of other partners?</li> </ul>	<p>joint missions</p> <p>Round tables, materials, networking, advocacy, communications...)</p> <p>Types and number of joint initiatives and activities undertaken by UNAIDS and GF including with regard to HIV and TB programming</p>	<p>(DFID, USAID)</p> <p>Country Reports</p> <p>UNAIDS Secretariat</p> <p>GF Management</p> <p>UCD and FPM</p> <p>UNAIDS and GF staff</p> <p>Donors</p> <p>Other stakeholders</p> <p>Principal Recipients for HIV/AIDS grants from the Global Fund</p>	<p>Online survey</p> <p>Field visits</p>
		<p>2.1.4 To what extent have the UCD and the FPM used respective ongoing political relationships for development and implementation of grants?</p> <p>2.1.5 How collaborative is the relationship between the UNAIDS Country Director and the Global Fund Portfolio Manager?</p>	<p>Number, level (hierarchy) and nature (type of actors) of political relationships that have been leveraged (used)?</p> <p>Type of approach taken (meeting, advocacy, networking...)</p> <p>Results observed (higher and sustained commitment and support from authorities, mobilization of domestic resources...)</p> <p>Stakeholders' perceptions on the nature and depth of the relationship between UNAIDS and GF staff</p>	<p>Country reports</p> <p>UCD and FPM</p> <p>National Authorities</p> <p>CCM members</p> <p>UN Joint Team on AIDS</p> <p>Civil society and private sector (part of CCM)</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online survey</p> <p>Field visits</p>

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
		<p>2.1.6 How effective is the collaboration between UNAIDS and the Technical Review Panel?</p> <p>What are the contributions and support provided by the UNAIDS Secretariat (at all levels) and Joint Team on AIDS for the Global Fund Grant development and implementation?</p>	<p>Nature and quality of the relationship between UNAIDS and TRP (type of communication and coordination arrangements, etc.)</p> <p>Nature, and frequency of the activities in support to the GF grant life-cycle provided by each UN Joint Team on AIDS at country and regional levels</p>	<p>UNAIDS Management TRP</p> <p>UN Joint Team on AIDS</p> <p>GF management and country staff</p> <p>Local Fund Agent (PWC)</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online survey</p>
	<p>2.2 To what extent are UNAIDS and the Global Fund fulfilling their roles and responsibilities, as it relates to communication at the country, regional and global levels?</p>	<p>2.2.1 To what extent, and in what form, have UNAIDS and the Global Fund communicated and shared information routinely and sufficiently at all levels of the partnership?</p>	<p>Stakeholders' perceptions on the nature, relevance, usefulness and timeliness of data shared between the organizations at all stages of the grant life-cycle, including during Concept Note development, grant making and implementation, and data on investment cases, global level analyses, and relevant strategic information</p> <p>UNAIDS' and GF's perceptions on the frequency of engagement between UNAIDS and the Global Fund at all levels</p> <p>Relevance and frequency and means of policy, processes, technical documents shared</p> <p>Nature and frequency of information sharing</p> <p>Evidence of communication between country teams in</p>	<p>Concept Notes Reports</p> <p>Internal processes and documentation</p> <p>Country Reports</p> <p>UCD and FPM</p> <p>CCM members</p> <p>UN Joint Teams on AIDS</p> <p>UNAIDS country staff</p> <p>GAC and TRP</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online survey</p> <p>Field visits</p>

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
			support of South-South knowledge sharing		
		2.2.2 Were specific priority countries identified for development of rolling work plans?  2.2.3 Were partnership specific work plans developed at the regional and global level? If not, why? What other mechanisms were used?	Selection criteria and number of selected priority countries Existence of country work plans Existence of progress reports	Work plans Country Reports UCD and FPM CCM members UNAIDS Secretariat Global Fund Management	Document review Stakeholder consultations Online survey Field visits
		2.2.4 To what extent (and in what form) has UNAIDS supported national processes in relation to GF grant development and implementation? For example: <ul style="list-style-type: none"> <li>Supported and implemented in-country strategic assessments and analyses at the country level?</li> <li>Facilitated inclusive country dialogues with a specific focus on engagement of civil society and key populations? Supported the preparation of regional grant proposals? Supported the Global Fund in their efforts to provide countries with the resources they need to fund national HIV responses?</li> </ul>	Evidence of UNAIDS support for investment approach analyses, gap analyses, analyses of enabling environment, gender analyses, human rights assessments, stigma indices  Number and percentage of analysis considered in concept notes, grant implementation and measurement (disaggregated by type of analysis and type of activity i.e. note, grant...)  Stakeholders' perception on the role of UNAIDS in facilitating inclusive, open country dialogues  Types, distribution of representation of stakeholders participating in country dialogues, especially civil society, key populations, women and girls, and community networks  Nature of the contribution of	UNAIDS analytical work at country level Reports from GAC and TRP UNAIDS Secretariat UN Regional and Country Joint Teams on AIDS Technical Support Facilities UCD and FPM CCM members GAC and TRP Global Fund oversight documents National Authorities In-Country CSOs	Document review Stakeholder consultations Online survey Field visits



LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
			<p>UNAIDS to the development and implementation of regional grant proposals</p> <p>Perception of utility of shared UNAIDS' data in the elaboration of National Strategic Plans (NSPs)</p>	<p>and NGOs</p> <p>Local Fund Agent (PWC)</p> <p>Principal Recipients for HIV/AIDS grants from the Global Fund</p>	
		2.2.5 What is the nature and contribution of participation of UNAIDS in Country Coordinating Mechanisms (CCM) in order to develop relevant concept notes and targets?	<p>Types of inputs and activities performed by UNAIDS with the CCM</p> <p>Evidence of sufficient contribution of UNAIDS in drafting concept notes and targets</p> <p>UNAIDS contribution to analysis for prioritization of objectives, targets and resources</p> <p>Perception of the value added of the engagement</p>	<p>Concept Notes</p> <p>Reports</p> <p>Country Reports</p> <p>UCD and FPM</p> <p>CCM members</p> <p>UN Joint Teams on AIDS</p> <p>National Authorities</p> <p>In-Country CSOs and NGOs, GAC and TRP</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online survey</p> <p>Field visits</p>
		2.2.6 To what extent has the Global Fund “engaged the UNAIDS Secretariat in pre-country dialogue processes at different stages”, including portfolio analysis?	<p>Examples of countries where the GF has engaged UNAIDS in pre-country dialogues</p> <p>UNAIDS level of satisfaction with its extent and depth of participation in portfolio analysis</p> <p>Perception of the value added of the engagement</p>	<p>Concept Notes</p> <p>Reports</p> <p>Country Reports</p> <p>UCD and FPM</p> <p>UN Teams on AIDS</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online survey</p> <p>Field visits</p>
		2.2.7 What are the key internal and external factors supporting or limiting the effectiveness of the partnership?	<p>Roles and responsibilities</p> <p>Stakeholders' perceptions on whether the current organizational cultures affect the</p>	<p>GF Management</p> <p>UNAIDS Secretariat</p> <p>Performance</p>	<p>Document review</p> <p>Stakeholder consultations</p>

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
			<p>partnership's achievement of results</p> <p>Appropriateness of the New Funding Model</p>	<p>Monitoring Reports</p> <p>Reports on TSF</p> <p>Country Reports</p> <p>UCD and FPM</p> <p>UNAIDS and GF</p> <p>Country staff</p> <p>CCM members</p> <p>Local Fund Agent (PWC)</p>	<p>Online survey</p> <p>Field visits</p>
	2.3 What has been the role of the partnership in advancing the work of partnering agencies at the global, regional and country levels?	2.3.1 What has been the role of the partnership in better addressing the needs of persons living with HIV (PLHIV) and key populations?	<p>Stakeholders' satisfaction with the needs assessments undertaken and other analysis conducted</p> <p>Stakeholders' satisfaction with the technical support provided to civil society and the private sector</p>	<p>Performance Monitoring Reports</p> <p>Concept Notes Reports</p> <p>Country Reports</p> <p>UCD and FPM</p> <p>CCM members</p> <p>CSOs and NGOs</p> <p>National Authorities</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online survey</p> <p>Field visits</p>
		2.3.2 To what extent has the partnership facilitated mutual learning between UNAIDS and the GF?	<p>UNAIDS' and the GF's teams' perceptions regarding the extent to which the partnership has allowed mutual learning</p>	<p>UNAIDS and GF senior management</p> <p>Country reports</p> <p>UCD and FPM</p>	<p>Document review</p> <p>Stakeholder consultations</p> <p>Online survey</p> <p>Field visits</p>
		2.3.3 To what extent have UNAIDS inputs shaped the Global Fund policies, strategies, tools etc.?	<p>Types of UNAIDS inputs (data, analysis, joint actions, etc.)</p> <p>Perceptions of staff that policies, strategies and tools have integrated UNAIDS inputs</p>	<p>GF Secretariat Briefing Notes</p> <p>UNAIDS and GF senior management</p>	<p>Document review</p> <p>Stakeholder consultations</p>

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
		2.3.4 Have there been other unintended consequences, positive or negative, on the functioning of the partnership?	Evidence of other unintended consequences	UNAIDS and GF senior management Country reports UCD and FPM CCM members	Document review Stakeholder consultations Online survey Field visits
<b>3. Efficiency</b>	3.1 How efficiently has the partnership operated? And why?	3.1.1 How has the governance of the partnership functioned and has it been effective?	Activities undertaken in terms of monitoring and accountability	GF Secretariat Briefing Notes ITP Tracking Reports GF Management UNAIDS Secretariat	Document review Stakeholder consultations Online survey
		3.1.2 Is there evidence of actions taken by both partners to identify and remove organisational/bureaucratic roadblocks to partnership?	Perceptions of stakeholders of effectiveness of partnership governance		
		3.1.3 Has there been political backstopping and troubleshooting of country-level issues? What shape did it take?	Number and types of country-level issues that have been addressed through political backstopping and troubleshooting Degree of success of such interventions Perceptions of stakeholders with respect to efficiency Perceptions of the internal stakeholders of the time and effort required to maintain the partnership in relation to the partnership's benefits		
		3.1.4 To what extent (and in what form) were resources available and allocated to the partnership?	Adequacy of resource allocation (human, financial etc.) with respect to Partnership needs Perceptions of stakeholders of efficiency of resource allocation Evidence of staff capacity	Budget information UNAIDS and GF staff	Document review Stakeholder consultations Field visits Online survey

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
			development activities to deliver the partnership		
		3.1.5 What monitoring and reporting systems are in place for activities implemented through the partnership at the global, regional and country level?	Perceptions of stakeholders of efficiency of reporting systems Stakeholders' perceptions of the utility of reporting systems Clarity of staff on how to monitor the partnership	GF Management UNAIDS Secretariat Performance Monitoring Reports Reports on TSF Country Reports UCD and FPM UN Joint Teams on AIDS	Document review Stakeholder consultations Online survey Field visits
		3.1.6 To what extent has UNAIDS contributed to monitoring: <ul style="list-style-type: none"> <li>The actions of the UN Joint Team on AIDS and their contribution and support for the Global Fund grants? The implementation of the grants and activities for the CCM in the context of broader AIDS responses?</li> </ul>	Evidence of UNAIDS' contribution to monitoring and evaluation of GF grants and more broadly AIDS responses Frequency and rigour of the monitoring of cosponsors' activities UNAIDS perception of the utility of the LFA shared reports Evidence of independent evaluations on the impact of AIDS initiatives in the country case studies	UNAIDS and GF Country staff LFA	
<b>4. Sustainability</b>	4.1 How is the issue of sustainability taken into account in the partnership?	4.1.1 What are the key organizational and contextual factors that affect the partnership's sustainability?	Perceptions of stakeholders of the partnership's sustainability	UNAIDS and GF senior management Global, regional and country level partners	Document review Stakeholder consultations

LEVELS OF ANALYSIS	QUESTIONS	SUB-QUESTIONS	INDICATORS (TARGETS / BASELINE)	DATA SOURCES / SAMPLING	DATA COLLECTION / ANALYSIS METHODS
		4.1.2 To what extent are systems in place to sustain the effects of the partnership in the longer term?	Evidences of The Three Ones in field visit countries <sup>1</sup>	Country Reports UCD and FPM	Document review Stakeholder consultations
		4.1.3 What strategies exist for maintaining, renewing and exiting the partnership?	Evidence of existing strategies for maintaining, renewing and exiting the partnership	UCD and FPM Country team members	Stakeholder consultations Online survey Field visits
<b>Recommendations</b>	What are the key changes, if any, that are needed to enhance the performance of the overall partnership?	5.1.5 What are the key considerations, if any, for the renewal of the partnership agreement and shape the partnership should take?	Stakeholder's perceptions on what is working and what needs to be changed, if any, in the partnership	UNAIDS and GF staff	Document review Stakeholder consultations Field visits

<sup>1</sup> **The Three Ones.** A consultation on Donor Harmonization of AIDS Funding held in Washington, DC, in April 2004 endorsed the application of the Three Ones principles, to be applied in each recipient country based on consultations among internal and external partners in each country:

- One agreed HIV/AIDS action framework that provides the basis for coordinating the work of all partners
- One national AIDS coordinating authority, with a broad-based multisectoral mandate
- One agreed country-level M&E system.

## Appendix IV Documents Consulted

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SECONDARY DOCUMENTS REVIEWED (BY CATEGORY)			
Organization	Level	Type/category	Number of documents and files
UNAIDS	Global	Implementation Through Partnership (ITP) project	4
UNAIDS	Global	Gender assessments	14
UNAIDS	Global	Technical Support Facilities, data, others	24

SECONDARY DOCUMENTS REVIEWED (BY CATEGORY)			
Organization	Level	Type/category	Number of documents and files
UNAIDS	Global	Extracts of reports, Board decisions	13
UNAIDS	Regional – ESA RST	Miscellaneous	21
UNAIDS	Regional – AP RST	Work to influence Global Fund Programming Directions	70
UNAIDS	Regional – AP RST	Key populations Community to community (C2C) Capacity Building	39
UNAIDS	Regional – AP RST	Investment cases and transition financing	12
UNAIDS	Regional – AP RST	Regional RST Technical Support (TS) to the Global Fund	49
UNAIDS	Regional – AP RST	Country-level Technical Support (TS) to the Global Fund	213
UNAIDS	Country – Thailand	Miscellaneous	67
UNAIDS	Country – Malawi	Miscellaneous	20
UNAIDS	Country – Kenya	Miscellaneous	4
UNAIDS	Country – Myanmar	Miscellaneous	70
Total documents and files related to UNAIDS			620
Global Fund	Global	New Funding Model	8
Global Fund	Global	Technical Evaluation Reference Group (TERG) and Governance	13
Global Fund	Global	From the Technical Review Panel (TRP) and the Grants Approval Committee (GAC)	43
Global Fund	Global	Country Coordinating Mechanisms (CCMs)	8
Global Fund	Country - Thailand	Concept Notes and Proposals	13
Global Fund	Country - Myanmar	Concept Notes and Proposals	7
Global Fund	Country - Malawi	Concept Notes and Proposals	9
Global Fund	Country - Kenya	Concept Notes and Proposals	10
Total documents and files related to the Global Fund			110

## Appendix V Stakeholder Mapping

STAKEHOLDER		ROLE IN RELATIONS TO THE PARTNERSHIP	ROLE IN RELATION TO THE EVALUATION	IMPLICATIONS FOR THE EVALUATION
<b>GLOBAL</b>				
UNAIDS Board and Global Fund Board		Guide the overall relationship between UNAIDS and the Global Fund. Decide on the strategic direction at the global level.	Selected informants were interviewed; Users of the evaluation.	As agreed upon during the Inception Phase, a select number of Board-level stakeholders were consulted to include Board perspectives, and relevant key Board-approved documents and meeting minutes were included in document review.
UNAIDS Senior Staff	Department Heads	Manage the global aspects of the partnership with their Global Fund counterparts in Geneva.	Selected informants were interviewed; Amongst the main internal stakeholders and users of the evaluation.	Key informants for providing context, direct experience and analysis of the partnership at the global level. Important to fully understand UNAIDS' work thus far in terms of implementing the partnership at the global level.
	Executive Office	Manages the global aspects of the partnership with their Global Fund counterparts in Geneva.	Selected informants were interviewed; Amongst the main internal stakeholders and users of the evaluation.	Key informants for providing context, direct experience and analysis of the partnership at the global level. Important to fully understand UNAIDS' work thus far in terms of implementing the partnership at the global level.
	Office of Global Fund	Lead office in UNAIDS managing the implementation of the partnership.	Selected informants were interviewed; Provided required documentation; Amongst the main internal stakeholders and users of the evaluation.	Key informants for providing context, direct experience and analysis of the partnership at the global level. Important to fully understand UNAIDS' work thus far in terms of implementing the partnership at the global level.
Global Fund Senior Management		Manages the global aspects of the partnership with their UNAIDS counterparts in Geneva.	A select number of key informants were interviewed; Amongst the main internal stakeholders and users of the evaluation.	Key informants for providing context, direct experience and analysis of the partnership at the global level. Important to fully understand UNAIDS' work thus far in terms of implementing the partnership on the global level.

STAKEHOLDER	ROLE IN RELATIONS TO THE PARTNERSHIP	ROLE IN RELATION TO THE EVALUATION	IMPLICATIONS FOR THE EVALUATION
Technical Review Panel (Global Fund)	Reviews grants from CCM (where UNAIDS is as a member). Receives input from UNAIDS on the grants review process.	Selected documents from the TRP were reviewed.	Provided information about the extent to which UNAIDS provides input to their work, if any.
Grant Approvals Committee (Global Fund)	Gives the final approval for CCM grants before they are approved by the GF board.	Selected documents from the GAC were reviewed.	Provided information about the extent to which UNAIDS provides input to their work, if any.
Donors	Donors to UNAIDS and the Global Fund.	Select informants were interviewed at the global level.	Important to understand their perspectives and analysis of the partnership at the global and at the country level.
Civil society representatives	Key stakeholders	Select informants were interviewed at the global level.	Important to understand their perspectives and analysis of the partnership at the global and at the country level.
<b>REGIONAL</b>			
Regional Support Team (RST) UNAIDS	Lead the regional efforts in managing and implementing the outputs of the partnership with the GF. Sets directions for integrating partnerships in different policies and programmes on the regional level.	Key informants; RST Director and key staff for AP were interviewed through the field visit (AP).	RSTs provided an overview on UNAIDS' implementation of the partnership at the regional level. RST staff members provided insights in various countries in the region; identify lessons learned, and perspective on the regional collaboration and cooperation with the Global Fund.
Technical Support Facility (TSF) UNAIDS	Provides technical support to concept notes, grants proposal and grant implementation on the country and regional level.	Select informants were interviewed.	Important to understand their role, perspectives on the partnership and UNAIDS' role as a partner.
Regional Fund Portfolio Manager (GF)	Manages GF grants to the CCM on the regional level.	Key informants; Select RFPMs were interviewed.	Important to understand their role, perspectives on partnerships and the Global Fund's role as a partner.
<b>COUNTRY</b>			
UNAIDS Country Office (UCO)	UNAIDS engages the majority of its partners through country-level	Key informants; Focal point for the field missions; Country	UCO provided key information on how the partnership functions on the country level, including the collaboration

STAKEHOLDER	ROLE IN RELATIONS TO THE PARTNERSHIP	ROLE IN RELATION TO THE EVALUATION	IMPLICATIONS FOR THE EVALUATION
	operations. UCOs also manage partners of different types, including resource, capability, knowledge, policy and governance.	Directors (UCD) and key staff for all four field visits were interviewed; facilitated the evaluation team's contacts with external stakeholders.	and cooperation between the UCD and the FPM. Important to understand their role, perspectives on the partnership and UNAIDS' role as a partner.
Fund Portfolio Manager (FPM – Global Fund)	Global Fund's main focal point for their country level activities. Manages all of Global Fund grants for the country.	Key informant; FPMs for all four countries visited during field missions were interviewed by telephone.	FPM provided key information on how the partnership functions at the country level, including their collaboration and cooperation with the UCD. Important to understand their role, perspectives on the partnership and the Global Fund's role as a partner.
Country Coordinating Mechanisms (CCM) members	The CCM is the country-level mechanism that applies for grants from the Global Fund and oversees implementation. UNAIDS is a member of the CCM and provides technical support for concept note creation, grants proposal and grant implementation.	Key informants; selected members representing various stakeholder categories were interviewed through field visits.	CCM provided key information about the national context, the perspectives of national stakeholders, and about the effect of the partnership at the country level. Important to understand their role and perspectives on the partnership.
Local Fund Agent	The LFA is contracted by the Global Fund to handle the financial management of grants in-country.	Key informants; LFAs from 3 countries were interviewed through field visits or by telephone.	Important to understand their role and perspectives on the partnership.
National Ministries of Health	The key government stakeholder in the work against HIV/AIDS. Works closely with both the Global Fund and UNAIDS; Principal Recipient for grants in select countries.	Key informants; Ministry of Health officials were interviewed during all four field visits.	Ministries of Health provided key information on how the partnership functions at the country level. Important to understand the national context and perception of the Government about the UNAIDS-GF partnership.
National Ministries of Finance	Principal Recipient for grants in select countries.	Key informants in select countries; Interviewed during field visits.	Important to understand their role and perspectives on the partnership.

STAKEHOLDER	ROLE IN RELATIONS TO THE PARTNERSHIP	ROLE IN RELATION TO THE EVALUATION	IMPLICATIONS FOR THE EVALUATION
National AIDS Coordinating Committee (NACC)	Coordinate national HIV/AIDS response.	Key informants in select countries; Interviewed during field visits.	Important to understand the national context and value added of the UNAIDS-GF partnership.
Principal Recipients	The primary organizations receiving the Global Fund's HIV/AIDS grants at the country level.	Key informants; PRs were interviewed during all four field visits.	PRs provided key information on the effectiveness, effect and relevance of the Global Fund-UNAIDS partnership. Important to understand the national context, their role and perspectives on the partnership.
Sub-principal recipients	The secondary organizations receiving the Global Fund's HIV/AIDS grants.	Informants; Interviewed where applicable.	Important to understand the national context, their role and perspectives on the partnership.
Implementing CSOs	Organization implementing grants from the Global Fund through the Principal Recipient.	Informants; Interviewed where applicable.	Important to understand the national context, their role and perspectives on the partnership.
Principal Recipients for GF's TB and Malaria grants	The primary organizations receiving the Global Fund's grants for TB and Malaria at the country level.	Informants; Interviewed selectively, where applicable, through select field visits.	Important to understand their role and perspectives on the partnership.
Joint UN Team on AIDS	Coordinating mechanism for the HIV/AIDS response for all UN agencies in country. Includes UNAIDS as a member.	Key informants; Interviewed through field visits.	Important to understand the relationship between UNAIDS, the Global Fund, and other UN agencies. Important to understand their role and perspectives on the partnership.
CSOs, beneficiaries, networks of PLHIV, affected communities	Includes local organizations involved in the HIV/AIDS response that represent a variety of groups and opinions.	Informants; Interviewed through field visits.	Important to understand the national context, the perspectives of national organizations and related communities, and value added by the UNAIDS-GF partnership.
Other AIDS Stakeholders at country level (other donors, aid agencies, etc...)	Includes partners involved in the HIV/AIDS response that represent a variety of groups and opinions.	Informants; Interviewed through field visits.	Important to understand the international and national contexts, the perspectives of other stakeholders, and value added by the UNAIDS-GF partnership.

## Appendix VI Stakeholders Consulted

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
1.	Inception – Global	Deborah von Zinkernagel	Director, Office of Global Fund and Global Plan Affairs	UNAIDS
2.	Inception – Global	Michael Hahn	Deputy Director, Evidence, Innovation and Policy, UNAIDS	UNAIDS
3.	Inception – Global	Tim Martineau	Chief of Staff, Executive Office	UNAIDS
4.	Inception – Global	Joel Rehnstrom	Director, Department of Planning, Finance and Accountability	UNAIDS
5.	Inception – Global	Shona Wynd	Senior Advisor, Executive Office	UNAIDS
6.	Inception – Global	Elisabetta Pegurri	Senior Adviser, Programme Planning and Performance Measurement Division	UNAIDS
7.	Inception – Global	Elina Viitaniemi	Technical Officer	UNAIDS
8.	Inception – Global	Kate Thompson	Head of the Community, Rights and Gender Department	The Global Fund
9.	Inception – Global	Linden Morrison	Head, High Impact Africa 2 Department	The Global Fund
10.	Inception – Global	John Puvimanasinghe	Senior Specialist, Technical Evaluation Reference Group (TERG) Secretariat	The Global Fund
11.	Inception – Regional	Iris Semini	Senior Regional Investment and Efficiency Advisor	UNAIDS
12.	Inception – Country	Tatiana Shoumilina	Country Director Thailand	UNAIDS
13.	Inception – Country	Eamon Murphy	Country Director Myanmar	UNAIDS
14.	Inception – Country	Orawan Bettenhausen	Programme Associate, Country Office Thailand	UNAIDS
15.	Inception – Country	Maju Varghese	Thailand Country Office staff	UNAIDS
16.	Data collection – Global	Luiz Lourez	Deputy Executive Director	UNAIDS
17.	Data collection – Global	Ade Fakoya	Senior Disease Coordinator HIV	The Global Fund
18.	Data collection – Global	Johannes Hunger	Head, Strategic Information	The Global Fund



PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
19.	Data collection – Global	Jinkou Zhao	Senior Specialist Monitoring & Evaluation, Monitoring Evaluation & Country Analysis Team	The Global Fund
20.	Data collection – Global	Chris Collins	Executive Director	Friends of the Fight to Combat AIDS
21.	Data collection – Global	Phil Johnson	Global Fund Advisor	DFID
22.	Data collection – Global	Sarah Boulton	Global Fund Advisor	DFID
23.	Data collection – Global	Julia Martin	US State Advisor to the Global Fund in Geneva	PEPFAR (US State Department)
24.	Data collection – Global	Salil Panakadan	Senior Advisor Evaluation and MERG Focal point at UNAIDS	UNAIDS
25.	Data collection – Global	Quentin de Hemptinne	(former) Senior Project Lead, ITP, Grant Management Division	The Global Fund
26.	Data collection – Global	Deborah von Zinkernagel	Director, Office of Global Fund and Global Plan Affairs	UNAIDS
27.	Data collection – Global	Michael Hahn	Deputy Director, Evidence, Innovation and Policy, UNAIDS	UNAIDS
28.	Data collection – Global	Elina Viitaniemi	Technical Officer	UNAIDS
29.	Data collection – Global	Susan O’Leary	-	UNAIDS
30.	Data collection – Global	Mariangela Simao	Director, Rights, Gender, Prevention and Community Mobilization	UNAIDS
31.	Data collection – Global	Alexandrina Iovita	Programme Officer, Human Rights and Law	UNAIDS
32.	Data collection – Global	Kreena Govender	Programme Officer, Gender Equality and Diversity	UNAIDS
33.	Data collection – Global	Silvio Martinelli	Head, Access to Funding	The Global Fund
34.	Data collection – Global	Urban Webber	Head, High Impact Asia	The Global Fund
35.	Data collection – Global	Marijke Wijnroks	Chief of Staff to the Executive Director of the Global Fund	The Global Fund

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
36.	Data collection – Global	Peter Ghys	Director Strategic Information and Evaluation	UNAIDS
37.	Data collection – Global	Keith Sabin	Analyst Strategic Information and Evaluation	UNAIDS
38.	Data collection – Global	Nataliya Nizova	Director	Center for Socially Dangerous Disease Control of the Ministry of Health of Ukraine
39.	Data collection – Regional	Luca Occhini	Regional Manager, South East Asia Team	The Global Fund
40.	Data collection – Regional	Brianna Harrison	Human Rights and Law Advisor	UNAIDS
41.	Data collection – Regional	Steve Kraus	Regional Director for Asia and the Pacific	UNAIDS
42.	Data collection – Regional	Vladanka Andreeva	Strategic Intervention Adviser	UNAIDS
43.	Data collection – Regional	Taoufik Bakkali	Regional Programme Advisor	UNAIDS
44.	Data collection – Regional	Ye Yu Shwe	Data Analyst	UNAIDS
45.	Data collection – Regional	Khin Cho Win Htin	Data Analyst	UNAIDS
46.	Data collection – Regional	Tony Lisle	Regional Programme Advisor	UNAIDS
47.	Data collection – Regional	Manuel Da Quinta	Regional Programme Advisor	UNAIDS
48.	Data collection – Regional	Maju Varghese	Consultant, Focal Point for Technical Support	UNAIDS
49.	Data collection – Regional	Jonas Bagas	Program Officer	APCASO
50.	Data collection – Regional	Shankar Silmula	Programme Manager	APCOM
51.	Data collection – Regional	Bikas Gurung	Program Officer	ANPUD
52.	Data collection – Regional	Gaj Gurung	Program and M&E Lead	Youth Lead
53.	Data collection – Regional	Joe Wong	Programme Manager	Asia Pacific Transgender Network (APTN)

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
54.	Data collection – Regional	Kay Thi Win	Programme Manager	(national NGO)
55.	Data collection – Thailand	Surang Janyam	Director	SWING Foundation
56.	Data collection – Thailand	Somak Akksilp	Deputy Permanent Secretary and CCM Chair	Office of the Deputy Permanent Secretary, Ministry of Public Health
57.	Data collection – Thailand	Nakorn Prensri	PR Department for Disease Control	Ministry of Health
58.	Data collection – Thailand	Luc Stevens	Regional Coordinator for UN	UNDP
59.	Data collection – Thailand	Praphan Phanuphak	Director	Thai Red Cross AIDS Research Center
60.	Data collection – Thailand	Nattapoll Weerapattanawong	Coordinator	OZONE Foundation
61.	Data collection – Thailand	Anan Muangmoonchai	Chairperson	Thai People Living with HIV Foundation (TNP+)
62.	Data collection – Thailand	Yenjit Somphoh	Executive Director	Thai National AIDS Foundation (TNAF)
63.	Data collection – Thailand	Kamol Upkaew	Project Manager	Thai National AIDS Foundation (TNAF)
64.	Data collection – Thailand	Chuwit Thongbai	Director	Pink Monkey
65.	Data collection – Thailand	Petschri Sirinund	Executive Secretariat Manager	CCM Secretariat
66.	Data collection – Thailand	Mukta Sharma	Programme Manager TB, HIV, Hep	WHO
67.	Data collection – Thailand	Promboon Panitchpakdi	Executive Director	Raks Thai Foundation
68.	Data collection – Thailand	Tatiana Shoumilina	Country Director Thailand	UNAIDS
69.	Data collection – Thailand	Patchara Benjarattanaporn	Strategic Information Adviser	UNAIDS
70.	Data collection – Thailand	Thierry Roels	CDC/DGHT Program Director	CDC
71.	Data collection – Thailand	Michael Cassell	Regional HIV and TB Advisory	USAID

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
72.	Data collection – Thailand	Siana Tackett	Coordinator	PEPFAR
73.	Data collection – Thailand	Ravipa Vannakit	Strategic Information Specialist	USAID
74.	Data collection – Thailand	Philippe Creach	Fund Portfolio Manager Thailand	The Global Fund
75.	Data collection – Myanmar	Ikuma Nozaki	Chief Advisor	JICA
76.	Data collection – Myanmar	Kaori Nakatani	Project Formulation Advisor	JICA
77.	Data collection – Myanmar	Attila Molnar	Programme Director	UNOPS
78.	Data collection – Myanmar	Eisa Hamid	M&E Specialist	UNOPS
79.	Data collection – Myanmar	Antonia Powell	Deputy Director, Program Implementation and Management	Save the Children
80.	Data collection – Myanmar	Richard Lacort	Program Director	Save the Children
81.	Data collection – Myanmar	Billy Stewart	Senior Health Advisor/Team Leader	DFID
82.	Data collection – Myanmar	Eamonn Murphy	UNAIDS Country Director Myanmar	UNAIDS
83.	Data collection – Myanmar	Ole Hansen	Manager of CCM Secretariat	MHSCC Secretariat
84.	Data collection – Myanmar	Isakun Gavira	Fund Portfolio Manager Myanmar	The Global Fund
85.	Data collection – Myanmar	Robert Kelly	Technical Advisor	USAIDS
86.	Data collection – Myanmar	Dora Warren	CDC Country Director	USAIDS
87.	Data collection – Myanmar	Masami Fujita	Medical Officer	UNJTA (WHO)
88.	Data collection – Myanmar	Pa Pa Win Htin	HIV/AIDS Officer	UNJTA (UNICEF)
89.	Data collection – Myanmar	Win Mar	-	UNJTA
90.	Data collection – Myanmar	Ye Mon Myint	Director Advisory	PricewaterhouseCoopers

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
91.	Data collection – Myanmar	Janet Kimeu	Director Advisory	PricewaterhouseCoopers
92.	Data collection – Myanmar	Htun Nyunt Oo	Programme Manager	National AIDS Programme
93.	Data collection – Myanmar	Thandar Lwin	Director	Disease Control (Myanmar Government)
94.	Data collection – Myanmar	Eric Fleutelot	Conseiller regional en sante mondiale en Asia du Sud-Est	Agence française de développement (AFD)
95.	Data collection – Myanmar	Robert Benoun	-	3MDB
96.	Data collection – Myanmar	Khin Nyein Chan	Country Representative	ICAP (Columbia University)
97.	Data collection – Myanmar	Kyaw Hlaing	Senior Program Manager	ICAP (Columbia University)
98.	Data collection – Myanmar	Soe Naing	Executive Director	Alliance Myanmar
99.	Data collection – Myanmar	Sid Naing	Country Director	Marie Stopes International
100.	Data collection – Myanmar	Myo Lin	Strategic Director	Pyoe Pin Program (DfID)
101.	Data collection – Myanmar	Marjolein Jacobs	Strategic Information	UNAIDS
102.	Data collection – Myanmar	Aung Nay Oo	Program Officer	M-HSCC Secretariat
103.	Data collection – Myanmar	Krittayawan Tina Boonro	Investment and Efficiency Adviser	UNAIDS
104.	Data collection – Myanmar	Tina Boonto	Investment and Efficiency Adviser	UNAIDS
105.	Data collection – Myanmar	Geraldine Cazorla	HIV Prevention Advisor	UNAIDS
106.	Data collection – Myanmar	Jacque Cheung	Project Management Support Officer	UNAIDS
107.	Data collection – Myanmar	Thawdar Htun	Chairperson	Myanmar Positive Group
108.	Data collection – Myanmar	Daw Thuzar Win	Chairperson	Sex Workers in Myanmar
109.	Data collection – Myanmar	Htwe Htwe Myint	Chairperson	Myanmar Positive Women Network

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
110.	Data collection – Myanmar	Khin Khin Win	Secretary	Myanmar Interfaith Network
111.	Data collection – Myanmar	Myo Min Htet	Coordinator	Myanmar Youth Stars
112.	Data collection – Myanmar	U Chit	Secretary	Myanmar MSM Network
113.	Data collection – Myanmar	Kyaw Thu	Member	National Drug User Network Myanmar
114.	Data collection – Myanmar	Khawn Taung	Program Coordinator	Interfaith Network on AIDS
115.	Data collection – Malawi	Andrew Gunda	Country Director	Clinton Health Access Initiative
116.	Data collection – Malawi	Dalitso Kuphanga	TB/HIV Programme Manager	Action Aid
117.	Data collection – Malawi	Victoria Lonje	Technical Officer QA	GIZ
118.	Data collection – Malawi	Maziko Matemba	Executive Director	Health and Rights Education Programme (HREP)
119.	Data collection – Malawi	Ruth Mwandira	Health and HIV Advisor	DFID
120.	Data collection – Malawi	Amakobe Sande	UCD Uganda	UNAIDS
121.	Data collection – Malawi	Mia Seppo	UN Resident Coordinator	UNDP
122.	Data collection – Malawi	Abigail Dzimadzi	Executive Director	MANASO
123.	Data collection – Malawi	Maureen Luba	Project Coordinator	HealthGap
124.	Data collection – Malawi	Marriam Mangochi	Former Director in the Department of Nutrition and HIV/AIDS (OPC)	Office of the President and Cabinet
125.	Data collection – Malawi	Andreas Jahn	Technical Advisor (M&E)	Ministry of Health
126.	Data collection – Malawi	Charles Mwansambo	Chief of Health Services	Ministry of Health
127.	Data collection – Malawi	Thoko Kalua	Technical Advisor (M&E)	Ministry of Health

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
128.	Data collection – Malawi	Peter Kumpalume	Minister of Health	Ministry of Health
129.	Data collection – Malawi	Davie Kalomba	Executive Director	National Aids Commission (NAC)
130.	Data collection – Malawi	Jean Alfazema Nachika Kaliani	Minister for Gender, Children, Disability and Social Welfare	Department of Gender, Children, Disability and Social Welfare
131.	Data collection – Malawi	Mary Shawa	Secretary for Gender, Children, Disability and Social Welfare	Department of Gender, Children, Disability and Social Welfare
132.	Data collection – Malawi	Tatek Mamecha	Interim Manager	Project Implementation Unit, Ministry of Health
133.	Data collection – Malawi	Rhoda Banda	Deputy Manager	Project Implementation Unit, Ministry of Health
134.	Data collection – Malawi	Anne Conroy	Technical Advisor on Global Fund	Ministry of Finance
135.	Data collection – Malawi	Samuel Gikonyo	Local Fund Agent	PriceWaterhouseCoopers
136.	Data collection – Malawi	Liston Buleya	Local Fund Agent	PriceWaterhouseCoopers
137.	Data collection – Malawi	Michael Kayange	Program Manager	National Malaria Control
138.	Data collection – Malawi	Alexander Chikonga	Deputy Chief of Party	World Vision
139.	Data collection – Malawi	Cuthbert Nyirenda	CCM Secretariat Chair	CCM
140.	Data collection – Malawi	Karim Akadiri	UCD Malawi	UNAIDS
141.	Data collection – Kenya	Abshiro Halake	-	Kenyan Red Cross Society
142.	Data collection – Kenya	Jared Oule	Project Manager Global Fund - Malaria	AMREF
143.	Data collection – Kenya	Dorothy Onyango	Executive Director	WOFAK
144.	Data collection – Kenya	Bernard Baridi	Youth Representative	BLAST
145.	Data collection – Kenya	Cindy Amaiza	Youth Representative	BLAST

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
146.	Data collection – Kenya	Laura Thuo	-	Sauti Skika
147.	Data collection – Kenya	Merci Mwangeli	-	UN Joint Team on AIDS member
148.	Data collection – Kenya	Lisa Ligterink	-	UN Joint Team on AIDS member
149.	Data collection – Kenya	Gurumurltey Rangomjan	-	UN Joint Team on AIDS member
150.	Data collection – Kenya	Nicholas Nengi	-	UN Joint Team on AIDS member
151.	Data collection – Kenya	Wellington Mbithi	-	UN Joint Team on AIDS member
152.	Data collection – Kenya	Hellen Magntu Amakobe	-	UN Joint Team on AIDS member
153.	Data collection – Kenya	Lilian Langat	-	UN Joint Team on AIDS member
154.	Data collection – Kenya	James Mbai	-	UN Joint Team on AIDS member
155.	Data collection – Kenya	Christine Akunuye	-	UN Joint Team on AIDS member
156.	Data collection – Kenya	Harriet Kongin	-	UN Joint Team on AIDS member
157.	Data collection – Kenya	Jane Wamoko	National Global Fund Coordinator	Minister of Finance
158.	Data collection – Kenya	Margaret Mdubi	HIV Programme Officer	Minister of Finance
159.	Data collection – Kenya	Simon Nguri	Senior Finance Officer	Minister of Finance
160.	Data collection – Kenya	Bernard Ladaky	Programme Officer	Minister of Finance
161.	Data collection – Kenya	Astin Muerore	Deputy National Global Fund Coordinator	Minister of Finance
162.	Data collection – Kenya	Simon Nfugi	Oversight Officer	Ministry of Health
163.	Data collection – Kenya	Bernard Langat	Oversight Member	Ministry of Health
164.	Data collection – Kenya	Margaret Moubi	Finance and Operations Officer at KCM Secretariat	Ministry of Health



PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
165.	Data collection – Kenya	Stephen Munruri	-	Ministry of Health
166.	Data collection – Kenya	Martin Sirengo	Head of HIV programme	National AIDS and STI Control Programme (NAS COP), Ministry of Health
167.	Data collection – Kenya	Caroline Olwande	Global Fund Coordinator	National AIDS and STI Control Programme (NAS COP), Ministry of Health
168.	Data collection – Kenya	Regina Ombam	Head Strategy	National AIDS Control Council
169.	Data collection – Kenya	Caroline Ngare	Programme Officer	National AIDS Control Council
170.	Data collection – Kenya	Jantine Jacobi	UCD Kenya	UNAIDS
171.	Data collection – Kenya	Ruth Masha	Networking Adviser	UNAIDS
172.	Data collection – Kenya	Betty Morini	Logistics and Administration	UNAIDS
173.	Data collection – Kenya	Massi Mongelli	UN coordination on HIV	UNAIDS
174.	Data collection – Kenya	Joseph Kagiri	Manager	PricewaterhouseCoopers
175.	Data collection – Kenya	John Mathenge	Director	Health Options for Young Men on HIV AIDS& STIs (HOYMAS)
176.	Data collection – Kenya	Rahab Mwaniki	Programme Officer	Kenya AIDS NGO Consortium
177.	Data collection – Kenya	Dan Koros	Global Fund Liaison Officer	PEPFAR
178.	Data collection – Kenya	Komiko Yoshida	KCM Member	KCM
179.	Data collection – Kenya	Samuel Muia	Oversight Officer	KCM
180.	Data collection – Kenya	Peter Ashyers	Alternate Member for HIV, Oversight CCM Member	KCM
181.	Data collection – Kenya	Sam Mwenda	Chair, GF KCM and General Secretary, CHAK	KCM

PHASE AND LEVEL		NAME	TITLE	ORGANIZATION
182.	Data collection – Kenya	Peter Njane	Director, KCM alternate member for KPs	Ishtar MSM
183.	Data collection – Kenya	Penina Mwangi	KCM Member for KPs and Coordinator	Bar Hostess Empowerment & Support Program (BHESP)

# Appendix VII Interview Protocol, Debrief Template

## Interview Protocol – Country

### Introduction

In December 2016, Universalia was contracted by DFID to conduct the Independent Evaluation of the Partnership between the Joint United Nations Programme on HIV/AIDS (UNAIDS) & the Global Fund to Fight AIDS, Tuberculosis, and Malaria. The overall purpose of the evaluation is to provide learning on what works in the partnerships and what does not (and why), as well as actionable recommendations to improve the functioning of the partnership at the global, regional and country level. You have been identified as a key respondent for the study, and we thank you for your participation in this interview.

The interview is confidential. While you will be named as a key informant of the study overall, in our list of consulted stakeholders, your specific contribution to the study will be anonymous. We will not associate your name with anything specifically included in this report.

(If you intend to record the interview, request their permission to record. In the recording indicate the date, time, person, position and organization of the interview).

### Important Note of Guidance to Interviewer

There are 16 questions/themes, with sub-questions, outlined below, while 13-15 can typically be asked in a semi-structured interview. These questions have been designed to cover the range of issues addressed by the Independent Evaluation of the Partnership between UNAIDS and the Global Fund. The sub-questions are further categorized depending on what level they relate to: global, regional, country or ALL (for those relevant to all levels). Thus, the interviewer will need to select the pertinent ones to ask respondents, depending on who they are, which level of activities (global, regional or country) they are familiar with, how early in the process the interview takes place, the type and level of experience of interviewee, how much time is allotted to the interview and perhaps others. The actual formulation of questions will depend on these factors and relies largely on the interviewer. This should also be used to guide an experienced interviewer through a more conversational exchange – ideally keeping fairly closely to the order of questioning. This interview guide is situated with the tradition and method of semi-structured interviewing.

### Range of stakeholders

**UNAIDS:** Secretariat; UNAIDS Regional Directors and Regional Staff; UNAIDS Country Directors and Country Staff

**Global Fund:** GF Senior Management; Global Fund country teams, FPMs and regional FPMs; other staff

**OTHER:** Government officials; principal recipient; NGOs/CSOs; members of CCM; donors; UNJTA, NAC, other stakeholders

## Country level questions

PHASE	MATRIX	INTERVIEW QUESTIONS/THEMES	SUB-QUESTIONS
Warm-Up	1	Your involvement with the UNAIDS-GF partnership	<b>(Note: The stakeholders listed for each question should be considered as a suggestion only. You can make a qualified judgment on what question should be asked).</b>
Context	-	Key context for AIDS response	<u>UNAIDS/Other</u> : What are the key contextual issues at the moment for the AIDS response in your country? <u>Other</u> : Please briefly describe the type of support you have received from both UNAIDS and the Global Fund.
Relevance	2	Relevance of UNAIDS-GF activities to you (by stakeholder respondent)	<u>UNAIDS/GF</u> : Is the Cooperation Agreement relevant? What are the strategic and comparative advantages at the country level? <u>UNAIDS/GF</u> : Is the partnership aligned with the strategic objectives of UNAIDS and the GF? <u>UNAIDS/GF</u> : Are there any mismatches in expectations between the two organizations? <u>Other</u> : How relevant is the support that you have received from UNAIDS and the funding received from the Global Fund? What is the value-added of each organization for your work?
Effectiveness	3.1	Strategy and planning	<u>UNAIDS/GF</u> : Does the partnership have a clear long-term strategy? A clear set of results? An action plan? <u>UNAIDS/GF</u> : Have UNAIDS/GF developed partnership guidance for country staff?
Effectiveness	3.2	Collaboration	<u>UNAIDS/GF</u> : How collaborative is the relationship between UCD and FPM? Are they utilizing their respective political relationships? <u>UNAIDS/CCM</u> : What are the contribution and support of UNAIDS for the development and implementation of GF grants? <u>UNAIDS/CCM</u> : What are the contribution and support of the Joint Team on AIDS for the development and implementation of GF grants? <u>All</u> : Have UNAIDS and the GF together engaged key stakeholders? What are the key achievements of this engagement (including increased national political commitment, appropriate coordination/integration with TB/Malaria programmes, and encouraged use of existing resources and initiatives)?
Effectiveness	3.3	Communication	<u>UNAIDS/GF</u> : To what extent, and in what form, have UNAIDS and the Global Fund communicated and shared information routinely and sufficiently at all levels of the partnership?

PHASE	MATRIX	INTERVIEW QUESTIONS/THEMES	SUB-QUESTIONS
Effectiveness	3.4	Cooperation	<u>UNAIDS/GF</u> : Were partnership specific work plans developed? If not, why not? What other mechanisms were used?
Effectiveness	3.5	UNAIDS support for the partnership	<u>UNAIDS/CCM</u> : To what extent, and in what form, has UNAIDS supported national processes in development and implementation of GF grants? Including in-country strategic assessments; inclusive country dialogue? <u>UNAIDS/CCM</u> : What is the nature and contribution of UNAIDS participation in CCMs to develop relevant concept notes and targets?
Effectiveness	3.6	Global Fund support for the partnership	<u>UNAIDS/GF</u> : To what extent has the GF engaged UNAIDS in pre-country dialogue processes at different stages?
Effectiveness	3.7	Partnership achievements	<u>All</u> : What has the partnership done to better address the needs of PLHIV and key populations? <u>UNAIDS/GF</u> : To what extent has the partnership facilitated mutual learning between UNAIDS and the GF? <u>UNAIDS/GF</u> : To what extent has UNAIDS input shaped GF policies, strategies, tools etc.?
Effectiveness	3.8	Internal/external factors	<u>All</u> : What are the key internal and external factors supporting or limiting the effectiveness of the partnership? <u>All</u> : Have there been any unintended consequences, positive or negative, on the functioning of the partnership?
Efficiency	4.1	Management efficiency	<u>UNAIDS/GF</u> : To what extent (and in what form) were resources available and allocated to the partnership?
Efficiency	4.2	Operational efficiency	<u>UNAIDS/GF</u> : Is there evidence of actions taken by both organizations to identify and remove organizational roadblocks to the partnership? <u>UNAIDS/GF</u> : Has there been political backstopping and troubleshooting of country-level issues?
Efficiency	4.3	M&E	<u>UNAIDS/GF</u> : What M&E systems are in place for activities implemented through the partnership at country level? <u>UNAIDS/UNJTA/CCM</u> : To what extent has UNAIDS contributed to monitoring the actions of the UN Joint Team on AIDS, and the implementation of grants and activities of the CCM?
Sustainability	5	Overall sustainability of partnership	<u>UNAIDS/GF</u> : What are the key organizational and contextual factors affecting the sustainability of the partnership?

PHASE	MATRIX	INTERVIEW QUESTIONS/THEMES	SUB-QUESTIONS
			<p><u>All</u>: To what extent are systems in place to sustain the effects of the partnership in the longer term? (use examples of the work done through the partnership)</p> <p><u>All</u>: What are key challenges in the future for the AIDS response that would affect the work of the Global Fund and UNAIDS?</p>
<b>Recommendations</b>	<b>6</b>	Recommendations for new Cooperation Agreement	<p><u>All</u>: How could the partnership between UNAIDS and the GF be enhanced in the future?</p> <p><u>UNAIDS/GF</u>: What are the key considerations, if any, for the renewal of the Cooperation Agreement?</p>
<b>Cool-down</b>		Additional and closing	<p><u>All</u>: Are there other persons that you suggest we interview?</p> <p><u>All</u>: Are there specific additional documents that you suggest we review?</p>

# Country Mission Debrief Template

Independent Evaluation of the Partnership between Joint United Nations Programme on HIV/AIDS (UNAIDS) & the Global Fund to Fight AIDS, Tuberculosis, and Malaria

COUNTRY Debrief  
TEAM MEMBERS NAMES  
DATE



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### Evaluation Objective

UNAIDS and the Global Fund commissioned an evaluation to provide learning on what works in their intra-organizational partnership and what does not (and why), as well as actionable recommendations to improve the functioning of the partnership at the global, regional and country level.



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### The Purpose of the Debrief

- To provide an overview of the initial findings of the COUNTRY VISIT of the Independent Evaluation of the Partnership between UNAIDS and Global Fund
- To seek feedback from UNAIDS staff



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### Evaluation Status

Stage	Sub-stage	Notes
Design	Methods	Ongoing
	Business	Finalized
	Survey	Mid 2017
Reporting	Analysis	Final - April 2017
	Report/Policy recommendations	Q3 of March 2017
Review	Final report	Finalized
	Final report	April/May 2017
	Final recommendations	April/May 2017
Final Presentation	Final report	May 2017
	Final presentation	May 2017

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- ### Methodology
- Document review
  - Face-to-face interviews
  - Focus groups
  - Total number of UNAIDS/GF staff consulted: #
  - Total number of partners consulted: #

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### Consulted stakeholders by category

Category	Total #
Government officials	
UNAIDS staff	
Global Fund Portfolio Manager	
Members of the CSO	
Partners/Implementers	
Private sector	
Organizations providing technical support to the CSOs	
Other	

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### Country Overview and Context

- HDI: #
- LIC/VIC
- Key statistics on HIV
- Other factors affecting AIDS response



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### UNAIDS/Global Fund Resources

- Number of UNAIDS staff, type of programmes
- Number and value of Global Fund HIV/AIDS grants



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### Key Areas of Collaboration between UNAIDS and the Global Fund



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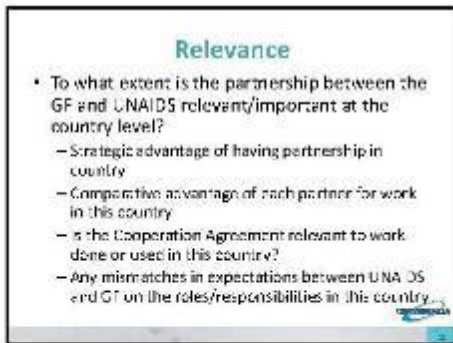
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### Effectiveness (1) - Collaboration

- Is there guidance by UNAIDS/GF to engage in joint and complementary tasks, any written instructions, information on how to partner together?
- How, if at all, have UNAIDS and GF joined efforts to engage all key stakeholders?  
 - Role of various stakeholders?
- How collaborative is relationship between UNAIDS and GF staff for in the country? (JED and PFM)
- To what extent, and in what form, has UNAIDS supported national processes/US joint team in development and implementation of GF grants? including in-country strategic assessments, inclusive country dialogue?




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### Effectiveness (2) – Communication and Cooperation

- To what extent, and in what form, have UNAIDS and the Global Fund communicated and shared information routinely and sufficiently in the country?  
 - How is GF information shared → UNAIDS?  
 - How is UNAIDS information shared → GF?
- Effects of information sharing/lack thereof on partnership
- Partnership work plan? If not, why? What other mechanisms are used to manage work flow together?




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### UNAIDS/GF Support for Partnership

- Nature & contribution of UNAIDS participation in CCM (for Concept notes, targets)?
- Nature and contribution of UNAIDS support for national development and implementation of GF grants (strategic assessments, inclusive country dialogue)?
- Has GF engaged UNAIDS in pre-country dialogue processes?




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### The Partnership's Role in Advancing the Work of UNAIDS and GF

- What has the partnership done to better address the needs of PLHIV and key populations?
- To what extent has the partnership facilitated mutual learning between UNAIDS and the GF?
- To what extent has UNAIDS input shaped GF policies, strategies, tools etc.?



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### Internal/External Factors

- Key internal/external factors supporting or limiting effectiveness of the partnership?
- Have there been any unintended consequences, positive or negative, on the functioning of the partnership?



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### Efficiency

- Management efficiency: To what extent (and in what form) were resources available and allocated to the partnership?
- Operational efficiency: Is there evidence of actions taken by both organizations to identify and remove organizational roadblocks to the partnership?
  - Has there been political backslapping and troubleshooting of country-level issues?



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### Efficiency

- Monitoring the partnership:
  - What M&E systems are in place for activities implemented through the partnership at global/regional/country level?
  - To what extent has UNAIDS contributed to monitoring the actions of the UN Joint Team on AIDS, and the implementation of grants and activities of the CCM?



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### Sustainability

- To what extent are systems in place to sustain the effects of the partnership in the longer term?
- What are the key organizational and contextual factors affecting the sustainability of the partnership (GF/UNAIDS)?
- What are key challenges in the future for the AIDS response that would affect the work of the Global Fund and UNAIDS?



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Emerging Recommendation Areas



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**Emerging Recommendations**

- How could the partnership between UNAIDS and the GF be enhanced in the future?
- What are the key considerations, if any, for the renewal of the Cooperation Agreement?
- What are the key lessons from this country visit about UNAIDS and the GF's partnership?



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**Discussion**



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# Appendix VIII Survey

## Survey for the Independent Evaluation of the Partnership between UNAIDS and the Global Fund to Fight HIV, TB and Malaria

If you require further information concerning this survey, or if you experience any technical difficulties, please contact Mr. Havard Bergo, Universalia Analyst: [hbergo@universalia.com](mailto:hbergo@universalia.com).

### About the Evaluation

In December 2016, the UNAIDS Secretariat (**UNAIDS**) and the Global Fund to Fight AIDS, Tuberculosis, and Malaria (the **Global Fund**) initiated an independent evaluation of the **partnership** between the two organizations.

The overall purpose of the evaluation is to provide learning on what works in the partnership and what does not (and why), as well as actionable recommendations to improve the functioning of the partnership at **the global, regional and country level**. The evaluation covers the period from 2013 to mid-2016, from the introduction and implementation of the Global Fund New Funding Model (NFM), with an emphasis on the support for the design, delivery and monitoring of country programmes, that are financed by the Global Fund, under the NFM. The evaluation will provide findings on the nature, extent and value of interactions between UNAIDS and the Global Fund, particularly at the country level.

**Universalia Management Group**, a Montreal-based management consulting firm with over 35 years of experience monitoring and evaluating international development programs and organizations, has been contracted by UNAIDS to conduct this evaluation.

### About this survey

As a part of the evaluation, we are surveying all the UNAIDS Country Directors (UCD), Regional Programme Advisors (RPA), Global Fund Portfolio Managers (FPM) and Regional Managers (RM) about their experience working in partnership. Thank you for agreeing to contribute to this important survey, it should take approximately 30 minutes to complete. The results will contribute to a better understanding of the partnership between UNAIDS and the Global Fund. This survey will focus on your experiences with and views of the partnership between UNAIDS and the Global Fund, and the results of this partnership, **in your current country or region of work. Please focus your responses on your experience within the past 3 years.**

Please note that individual responses will remain confidential and that survey results will be reported only in aggregate form.

### Respondent Identification Questions

#### Enter your full name:

Please note that this is for our internal records and individual responses are confidential and will not be shared with UNAIDS or the Global Fund.

#### 1.1 I currently work as a (please select all that apply):

- UNAIDS Country Director (UCD)

- UNAIDS Country Focal Point
- UNAIDS Regional Support Team (RST) Focal Point/Programme Advisor (RPA)
- Global Fund "Fund Portfolio Manager" (FPM)
- Global Fund Regional Manager (RM)
- Other \_\_\_\_\_

**1.2 For how many years have you been a UCD/UCM, RST RPA, or GF FPM or RM:**

**1.3 In how many countries have you served as FPM/RM or UCD/UCM/RST RPA?**

**1.4 Please choose your current country of work:**

- Afghanistan
- Albania
- Algeria
- Andorra
- Angola
- Antarctica
- Antigua and Barbuda
- Argentina
- Armenia
- . 173 additional choices hidden ...

**Evaluation Questions**

**2. Relevance of the partnership between UNAIDS and the Global Fund**

Please comment on the extent to which you agree or do not agree with the following statements:

	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know, N/A
2.1 The partnership is relevant for the response to the AIDS epidemic in my country (of work).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.2 The partnership is relevant to ensure progress towards achieving the Country Fast Track Targets for Ending AIDS by 2020/2030 in my country (of work).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.3 My organization has developed and disseminated guidance to direct staff to engage in specific joint and complementary tasks, with UNAIDS/Global Fund.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know, N/A
2.4 If guidance exists (see above), it was useful for working effectively in partnership.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### 3. Information sharing and communication between UNAIDS and the Global Fund

#### 3.1 How often do you communicate with your partnership counterpart (UCD-FPM)?

Daily  
  2-3 times per week  
  1 time per week  
  2-3 times per month  
  1 time per month  
 Less than one time per month

#### 3.2 What forms of communication do you use weekly with your partnership counterpart (UCD-FPM) (please select all that apply):

SMS/text messages/Whatsapp  
  Phone  
  Email  
  Formal reporting

Please comment on the extent to which you agree or do not agree with the following statements:

	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know
3.3 The Global Fund has shared information on its policies, processes and tools with UNAIDS regularly.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.4 UNAIDS and the Global Fund have carried out clear, consistent and structured communication to facilitate coordination of in-country partners and stakeholders.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.5 UNAIDS and the Global Fund have shared information with each other regularly and in a timely manner during all stages of the Global Fund grant life cycle.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.6 The data/information shared between UNAIDS and the Global Fund (noted above) has been relevant.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.7 In my country of work, the UCO have kept the FPM informed about key work undertaken to inform and support Global Fund grants					

#### 3.8 (IF UNAIDS): When the FPM visits your country of work, how often do they notify you in advance to arrange a meeting?

Always  
  Often  
  Rarely  
  Never

#### 3.9 (IF Global Fund): When there is a visit/mission from UNAIDS RST or the secretariat level in your country of work, how often are you notified in advance?

Always  
  Often  
  Rarely  
  Never

### 3.10 (IF Global Fund): How often are issues relating to the Global Fund included as part of these missions (see question above)?

Always  Often  Rarely  Never

## 4. The Cooperation Agreement

The Cooperation Agreement between the Global Fund and UNAIDS, dated December 2014, sets forth joint undertakings and responsibilities in a spirit of mutual respect and trust that are intended to strengthen their collaboration through coordination mechanisms that support mutual accountability.

### 4.1 Are you aware of the existence of the Cooperation Agreement between UNAIDS and the Global Fund?

Yes, I know it well  I am aware of it, but I do not know the details  I have not heard of it

Please comment on the extent to which you agree or do not agree with the following statements:

	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know, N/A
4.2 The Cooperation Agreement accurately reflects the reality of the partnership at the country level.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.3 The joint undertakings and responsibilities as laid out in the Cooperation Agreement are realistic.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## 5. The relationship between UCD and FPM

The relationship between the UNAIDS Country Director (UCD) and the Global Fund's Fund Portfolio Manager (FPM) is at the center of the UNAIDS-Global Fund cooperation at the country level.

Please comment on the extent to which you agree or do not agree with the following statements, based on your experience working with your partnership counterpart:

	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know
5.1 In my experience, the UCDs and FPMs generally have good, ongoing, working relationships.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.2 Since 2013, in my country (of work), the UCD and FPM have elaborated a <b>joint</b> country-level rolling work plan, detailing joint actions, expected results, roles and responsibilities and timelines.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.3 In my country (of work), the UCD and FPM have jointly participated in the country dialogue process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.4 In my country (of work), the coordination of the national HIV response (through the development and implementation of Global Fund grants) is influenced by the personal relationship between the UCD and the FPM.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**5.5 In my country (of work), the UCD and the FPM have jointly met with (please select all that apply):**

- National HIV/AIDS Coordinating Authority
- Ministry of Health
- Other government representatives
- Principal Recipients
- CSOs
- Private sector
- Other donors and development partners

**6. Joint activities at the country level**

The partnership between UNAIDS and the Global Fund provides the opportunity to engage in joint efforts (joint missions, round tables, materials, networking, advocacy etc.) at the country level.

**6.1 Which joint activities, if any, have UNAIDS and the Global Fund engaged in together in my country (of work) (please select all that apply):**

- Joint missions
- Round tables
- Developing joint materials
- Networking events
- Advocacy efforts
- Joint trainings and workshops
- Other, please specify

**6.2 Have any of the following achievements occurred as a result of joint activities undertaken by UNAIDS and the Global Fund, in your country of work? (Please select all that apply):**

- Increase the level of and quality of political commitment for provision of domestic resources
- Ensure appropriate coordination and integration of programming for HIV and TB
- Encourage the use of existing initiatives and resources
- Other, please specify:

**6.3 Please elaborate on the joint achievements indicated above, specifying the date, context, key stakeholders involved and a description of the achievements:**

**7. UNAIDS’ activities at the country level**

**7.1 In the past 3 years in my country of work, UNAIDS has supported national planning processes related to Global Fund grant development in the following ways (choose all that apply):**

- National Strategic Plan (NSP) Development (data input, writing assistance)
- Concept Note Development
- Hiring consultants to support NSPs and Concept Notes
- Coordinating inclusive country dialogue
- Participating in inclusive country dialogue
- Analyses for the prioritization of objectives, targets and resources
- Investment Case development
- Provision of data and strategic information
- I don’t know
- Other, please specify:

## 7.2 In the past 3 years in my country of work, UNAIDS has brokered technical support for Global Fund processes through the following instruments (choose all that apply):

- Technical Support Facility (TSF)   
  Technical Assistance Facility (TAF)   
  UN Joint Team on AIDS  
 Directly from the UCO team   
  Other, please specify:

Please comment on the extent to which you agree or do not agree with the following statements:

	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know
7.3 In my country (of work), the UCD played a leading role in supporting the Country Coordinating Mechanism.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7.4 In my country (of work), UNAIDS facilitated data collection and analysis of the epidemic and the response.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7.5 In my country (of work), UNAIDS facilitated identification of gaps in the epidemic and the response.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7.6 In my country (of work), UNAIDS supported the development of national HIV/AIDS strategic plans, coordinating the full participation of stakeholders.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7.7 In my country (of work), UNAIDS worked closely with stakeholders involved in the TB response to ensure appropriate coordination of programming for HIV and TB.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7.8. In my country (of work), UNAIDS played an important role in facilitating inclusive country dialogues.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## 8. Results of the Partnership

Please comment on the extent to which you agree or do not agree with the following statements:

	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know
8.1 I am satisfied with the technical support provided by UNAIDS to civil society in my country of work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8.2 I am satisfied with the technical support provided by UNAIDS to government counterparts/partners, in my country of work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8.3 I am satisfied with the assessments and analyses (gap analyses, analyses of enabling environment, gender analyses, human rights assessments, stigma indices) undertaken by UNAIDS, in my country of work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8.4 The input from UNAIDS (data, analysis, joint action) has shaped Global Fund policies and/or strategies.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**8.5 Please provide examples of how the partnership has allowed for mutual learning between UNAIDS and the Global Fund, if any:**

**8.6 Please provide examples of how the organizational culture of the two organizations affects the achievement of results:**

**9. Monitoring, governance and sustainability of the partnership**

Please comment on the extent to which you agree or do not agree with the following statements:

	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know, N/A
9.1 UNAIDS is fulfilling its core mandate of monitoring the AIDS epidemic in my country (of work).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9.2 UNAIDS has monitored the activities of the UN Joint Team on AIDS (UNJTA) and their support for the Global Fund grants.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**9.3 Is UNAIDS a member of the CCM Oversight Committee in your country of work?**

Yes  No  I don't know

**9.4 What dedicated resources, if any, are allocated to the partnership management in your country of work?**

In-kind contribution (UNAIDS staff time)  Extra budgetary resources raised locally  I don't know  
 UNAIDS core budget resources  Nothing

**9.5 (IF UNAIDS): What percentage of your time is spent on work related to the Global Fund**

0-20%  21-40%  41-60%  61-80%  81-100%

**10. In your view, what are the three main organizational and contextual factors affecting the sustainability of the partnership between UNAIDS and the Global Fund?**

Factor 1:

Factor 2:

Factor 3:

**11. In your view, what are the 3 greatest strengths of the partnership?**

Strength 1:

Strength 2:

Strength 3:

**12. In your view, what are the 3 greatest limitations of the partnership?**

Limitation 1:

Limitation 2:

Limitation 3:

**13. Please indicate any additional comments or recommendations for this evaluation (up to 100 words)**

**Thank you for your time!**

# Appendix IX Cooperation Agreement

**Cooperation Agreement**  
**between**  
**The Global Fund to Fight AIDS, Tuberculosis and Malaria**  
**and**  
**The Joint United Nations Programme on HIV/AIDS (UNAIDS)**

**1. Purpose of the Agreement**

- a. This Cooperation Agreement (the “**Agreement**”) between the Global Fund to Fight AIDS, Tuberculosis and Malaria (the “**Global Fund**”) and the Joint United Nations Programme on HIV/AIDS (“**UNAIDS**”)<sup>1</sup> (the Global Fund and UNAIDS hereinafter collectively referred to as the “**Parties**” and individually each a “**Party**”) sets forth a mutual cooperation framework detailing objectives, actions, and oversight mechanisms at the country, regional, and global levels with respect to the Global Fund’s HIV/AIDS-related programs.
- b. The Agreement covers both technical (normative and programmatic) and collaborative work in the political dimensions of national and global AIDS responses to optimize investments and impact at country level, taking into account the functions and structures of the Global Fund, UNAIDS, and those of other key partners.
- c. The relationship established through this Agreement is non-exclusive. The Global Fund may freely enter into cooperation agreements with cosponsors of UNAIDS, acknowledging the division of labor and role of the UNAIDS Secretariat to promote an overall joint coordination and governance framework with cosponsors through the Joint Programme. UNAIDS will continue to work independently with respect to HIV matters, in line with its mandate.
- d. This Agreement seeks to enhance complementarity, coherence, and synergies with the Cooperation Agreement between the Global Fund and the World Health Organization (“**WHO**”), the Global Fund’s Community Rights and Gender Special Initiatives, and relevant initiatives, agreements and memoranda of understanding (“**MoUs**”).
- e. The Global Fund recognizes UNAIDS as a vital partner for global leadership, advocacy, and HIV normative and programmatic guidance to countries. It also recognizes UNAIDS as a vital partner for political leadership and coordination among multiple partners supporting national HIV responses.
- f. There are no financial implications or budget related to this Agreement. Any financial arrangements that might result from this Agreement will be addressed via a separate agreement between the Parties.
- g. This Agreement replaces the Memorandum of Understanding between the Parties dated 4 March 2008 and will be valid from the last dated signature hereto. The Parties will revisit this Agreement no later than 31 December 2016, at which time they will evaluate, revise, and/or extend the Agreement as mutually agreed.

<sup>1</sup> UNAIDS is a joint and co-sponsored programme, bringing together the efforts and resources of the UNAIDS Secretariat and eleven co-sponsoring organizations, agencies, funds and programmes of the United Nations system (UNHCR, UNICEF, WFP, UNDP, UNFPA, UNODC, UN Women, ILO, UNESCO, WHO and the World Bank), which has as its vision: (a) zero new HIV infections; (b) zero discrimination; and (c) zero AIDS-related deaths.

## 2. Background

- a. The purpose of the Global Fund is to attract, manage, and disburse additional resources to respond to HIV/AIDS, tuberculosis, and malaria. The Global Fund Strategy (2012-2016) commits the Global Fund to work with countries and partners and transform itself to sustain and accelerate existing gains in the fight against the three diseases. It defines how the Global Fund will aim to build on past successes and investments, evolve to address challenges, and shift to a new model of "investing for impact".
- b. The Global Fund's New Funding Model ("NFM") provides implementers with flexible timing, better alignment with national strategies, and predictability on the level of funding available. The country dialogue process is the corner-stone of the NFM Concept Note development and entails active engagement with implementers and partners throughout the funding application submitted by the relevant Country Coordinating Mechanism ("CCM") and grant implementation by the Principal Recipient(s) nominated by the CCM.
- c. UNAIDS leads and inspires the world to achieve its shared vision of zero new HIV infections, zero discrimination and zero AIDS-related deaths. UNAIDS works closely with global, regional and national partners to maximize results for the AIDS response. UNAIDS' comparative advantage includes country and regional presence, high level political advocacy and a widely recognized convening, coordination and brokering mandate. UNAIDS fulfils its mission by:
  - (i) Uniting the efforts of the United Nations system, civil society, national governments, the private sector, global institutions and people living with and most affected by HIV;
  - (ii) Speaking out in solidarity with the people most affected by HIV in defense of human dignity, human rights and gender equality;
  - (iii) Mobilizing political, technical, scientific and financial resources and holding itself and others accountable for results;
  - (iv) Empowering agents of change with strategic information and evidence to influence and ensure that resources are targeted where they deliver the greatest impact and bring about a prevention revolution; and
  - (v) Supporting inclusive country leadership for sustainable responses that are integral to and integrated with national health and development efforts.
- d. The UNAIDS "Getting to Zero" 2011-2015 strategy ("UNAIDS Strategy"), which informed the development of the 2011 Political Declaration on HIV and AIDS, sets a global strategy which aims to advance global progress in achieving country-set targets for universal access to HIV prevention, treatment, care and support, to halt and reverse the spread of HIV.
- e. The UNAIDS Strategy is a roadmap for UNAIDS with concrete goals-marking milestones on the path to achieving UNAIDS' vision of "Zero new HIV infections; Zero discrimination; Zero AIDS-related deaths".
- f. This Agreement is guided by the launch of the NFM, the Special Initiative paper presented to the 10<sup>th</sup> Strategy, Investment and Impact Committee of the Global Fund, which refers to development of a "Partnership Agreement aimed to revolutionize collaboration at the country-level" (GF/SIIC10/05) and the 33<sup>rd</sup> UNAIDS Programme Coordinating Board meeting request to UNAIDS "to take necessary steps to strengthen the coherence and coordination among bilateral and multilateral technical support agents based on country



contexts and requirements (...) retaining the principle of national ownership and leadership”<sup>9</sup> (UNAIDS/PCB (33)/13.19).

- g. Pursuant to the above, the Parties desire to enter into this Agreement to set forth joint undertakings and responsibilities in a spirit of mutual respect and trust.
- 3. Collaboration arrangements** – At the core of this Agreement is a new way of implementing cooperation between the Global Fund and UNAIDS, through which the Parties intend to strengthen their collaboration through coordination mechanisms that support mutual accountability. The specific arrangements envisioned by this Agreement at the country, regional, and global levels are as detailed below.

### **3.1 Country and regional collaboration**

- a. Close relationships between the UNAIDS Country Director<sup>8</sup> and the Global Fund’s Fund Portfolio Manager for the respective country are at the center of the UNAIDS-Global Fund cooperation at the country level. The two organizations’ Secretariats will develop guidance to direct their respective staff to engage in specific joint and complementary tasks.
- b. In specific priority countries, as mutually agreed by UNAIDS and the Global Fund, joint deliverables will be elaborated through a joint country level rolling work plan; this work plan will cover key elements and will detail joint actions, expected results, roles and responsibilities and timelines.
- c. At the country level, the UNAIDS Country Offices will lead coordination among its cosponsoring organizations through the UN Joint Team (see paragraph 2.c above).
- d. Joint coordination meetings between the Parties and other key partners will take place regularly at country level as part of the country dialogue process under the NFM.
- e. UNAIDS and the Global Fund commit to strengthen collaboration and communication at the regional level, including between Regional Support Teams of UNAIDS and relevant country teams of the Global Fund supported by technical staff of both organizations. The UNAIDS Regional Support Teams will provide support to country teams and lead coordination among cosponsors through the Joint UN Regional Team on AIDS.

### **3.2 Global collaboration**

- a. At the global level, there will be mutual accountability between the two organizations. As described below, existing structures will be strengthened and new structures will be established to further effective coordination, including oversight at senior level management and operational level coordination.
- b. The Global Fund intends to establish a “Partnerships Management Committee” to oversee implementation of cooperation agreements and MoUs signed between the Global Fund and various partners (including UNAIDS), ensure complementarity and synergies between such agreements and MoUs, review performance based on consolidated reporting, and recommend joint actions on any major quality assurance issues. The Partnerships Management Committee will be composed of senior management staff from organizations involved in cooperation agreements and MoUs, and shall be guided by jointly approved terms of reference concerning its operation. Once these terms of

<sup>8</sup> [decisions, recommendations and conclusions of the 33rd meeting of the UNAIDS Programme Coordinating Board](#)

<sup>9</sup> In countries where UNAIDS is represented by a focal point only, the focal point will take this role.

reference have been developed, they shall form an annex to this Agreement through a separate exchange of letters between the Parties.

- c. The Parties will utilize existing technical assistance coordination fora including the interagency joint working groups, situation rooms such as the multi-agency TB and HIV situation rooms, PMTCT and TB/HIV multi-agency working groups and shall endeavor to streamline global and regional level coordination under this Agreement and other arrangements.
4. **Cooperation areas** – This Agreement intends to support appropriate and coordinated assistance for all countries while facilitating focused support for priority countries, as mutually agreed between UNAIDS and the Global Fund. Conduct within these activities and areas of cooperation as listed below are subject to the rules, procedures, and policies governing the sharing of information and documents of the Global Fund and UNAIDS, respectively, as amended from time to time, and including, with respect to the Global Fund, its Documents Policy.
- 4.1 **General cooperation areas**
- a. The Global Fund will share information regularly and in a timely manner on Global Fund policies, processes and tools with UNAIDS.
  - b. UNAIDS and the Global Fund will endeavor to facilitate coordination of in-country partners and stakeholders to optimize impact and reduce transaction costs through clear, consistent, and structured communication.
  - c. UNAIDS and the Global Fund will share relevant strategic information and intelligence regularly and in a timely manner at all stages of the Global Fund grant lifecycle including the NFM.
  - d. UNAIDS Country Directors will continue to play a leading role in supporting CCMs with respect to HIV
- 4.2 **Strategic investments**
- a. The Global Fund and UNAIDS will work together to support strategic investment as a core principle of Concept Notes.
  - b. UNAIDS will facilitate data collection, analysis, and identification of gaps in the epidemic and the response, including on the country's enabling environment, equity in access, human rights, gender, and key populations.
  - c. UNAIDS will support the development of relevant national strategic plans and/or HIV investment cases based on a strategic investment approach, ensuring full participation of key stakeholders. In doing so, UNAIDS will strengthen its support to relevant countries to:
    - (i) Take a robust investment approach to advance prioritized, high-impact, evidence-informed interventions;
    - (ii) Address human rights, gender inequity, harmful legal and social environments and inadequate services for key populations and others being left behind; and
    - (iii) Improve the long-time sustainability of national HIV responses.
  - d. UNAIDS and the Global Fund commit to support the inclusion of community responses in related national strategic plans and/or investment cases, and to support civil society

and key populations to design, implement and monitor effective community driven programs to improve access to key HIV services.

- e. The Global Fund will share Global Fund grant-specific data with UNAIDS to facilitate UNAIDS' development of relevant national strategic plans and/or investment cases and global level analyses.
- f. UNAIDS will share relevant strategic, technical and programmatic information with the Global Fund, including its Grant Approvals Committee and Technical Review Panel, to inform decision-making.

#### **4-3 Political commitment and country dialogue process**

- a. UNAIDS and the Global Fund are committed to jointly leveraging political commitment and advocating for a high-impact and evidence-informed AIDS response, working with national AIDS coordinating authorities, the highest levels of government, civil society, and the private sector. This will include joint visits of the Global Fund and UNAIDS Executive Directors and other partners where appropriate.
- b. UNAIDS will play a leading role to support and facilitate the engagement of all stakeholders in ensuring each country dialogue is robust, inclusive, and action-oriented.
- c. The UNAIDS Secretariat will lead the United Nations Joint Team on AIDS and coordinate UNAIDS support to the country dialogue.
- d. UNAIDS will support the meaningful participation and strengthen the capacity of civil society - including key populations, women and girls, and community networks - to effectively engage in the country dialogue, in program planning and monitoring, and will provide support to overcome barriers to their inclusion.
- e. UNAIDS will work closely with stakeholders involved in the TB response to ensure appropriate coordination of programming for HIV and TB.
- f. UNAIDS will promote the harmonization and alignment of the priorities of the country, the Global Fund, PEPPAR, other development partners and bilateral donors at all levels, and support assessments of the finances needed to meet these priorities through domestic and external resource mobilization efforts.
- g. The Global Fund will work closely with the UNAIDS Secretariat to align the Global Fund's requirements for the relevant country dialogue with UNAIDS strategic investment guidance, strategic information requirements, standards, and other guidance, as such alignment will be agreed between the Parties.
- h. The Global Fund will engage the UNAIDS Secretariat in pre-country dialogue processes involving HIV-related Concept Notes, including portfolio analyses.

#### **4-4 Concept Note development**

- a. The UNAIDS Secretariat will lead the United Nations Joint Team on AIDS and coordinate UNAIDS support for relevant Concept Note development to actively facilitate timely submission of a quality Concept Note by the relevant CCM.
- b. UNAIDS and the Global Fund commit to facilitate dialogue to appropriately resource and integrate community programs in the Concept Note.

#### **4-5 Ongoing support to grant making and implementation**

- a. UNAIDS will continue to support inclusive country dialogue during grant making and grant implementation, through the efforts of the United Nations Joint Team on AIDS and to coordinate closely with the relevant CCMs and in-country stakeholders.
- b. The Global Fund country teams will provide United Nations Joint Teams on AIDS with relevant information, documents, and support during grant making and implementation, and plan and carry-out joint missions when deemed useful to optimal program planning and implementation.

#### 4.6 Technical support and coordination

- a. At the country level, UNAIDS will work with the CCM and key stakeholders and will enhance the coordination of technical support and facilitate information sharing on technical support needs through an expanded United Nations Joint Team on AIDS, including US Government-funded mechanisms, key donors, civil society, the private sector, TB partners, and other partners in country.
- b. UNAIDS will facilitate the coordinated provision of technical support through cosponsors in line with the division of labor, UNAIDS Regional Support Teams and the three Technical Support Facilities, in close coordination with existing regional technical support coordination mechanisms.
- c. Within this coordination role, UNAIDS will broker and/or provide as appropriate technical support to and through civil society and private sector in order to facilitate their participation in the country dialogue and the CCM and at all stages of the grant cycle, particularly for service delivery related to human rights, key populations, gender equality and community mobilization.
- d. The Parties will work closely at the country level, regional level, and at the level of each organization's technical teams to facilitate information sharing and coordination of technical support. At a global level, the Parties hereto will work through existing coordination mechanisms, including the technical support coordination groups and the Joint Civil Society Action Plan.

#### 4.7 Other areas

- a. The Parties intend to closely collaborate on the design and implementation of special initiatives, through modalities to be determined.
- b. The Parties intend to closely collaborate in preparing and convening regional meetings and workshops, as deemed helpful and value-added by both Parties.

#### 5. Reporting and review

- a. The UNAIDS and Global Fund focal points will monitor the implementation of this Agreement to optimize and improve the coordination of their work together. The Parties shall review performance based on regular input from Global Fund, UNAIDS and relevant technical partners at global, regional and country levels on the implementation of the activities proposed under this Agreement.
- b. The UNAIDS and Global Fund focal points will jointly submit a technical report every six months against the objectives set forth in the rolling work plans (paragraph 3.1.b), to the Partnerships Management Committee.

## 6. Final Provisions

- a. **Communications, UNAIDS and Global Fund logo usage.** Neither Party shall make use of the logo, emblem, or trademarks of the other without prior written consent of the other Party; the Parties shall coordinate public relations, measures, if any, in regard to their cooperation in accordance with this Agreement. Any proposed public reference to this Agreement or the content herein or to the relationship between the Parties in connection with this Agreement shall be agreed in advance. It is understood that each Party is entitled to make reference to this Agreement and its contents in its internal document and its annual report.
- b. **Legal relationship.** The relationship of UNAIDS and the Global Fund established under this Agreement is that of independent entities and nothing contained herein shall be construed to give either Party the right or authority to create or assume any obligation or make any representation of any kind on behalf of the other; or to represent that it is an agent of the Party, and each Party shall take all reasonable measures to avoid any perception that such relationship exists.
- c. **Privileges and immunities.** Nothing contained in this Agreement shall be construed as an express or implied waiver of the (a) privileges and immunities enjoyed by UNAIDS, its activities, personnel and assets, in accordance with the 1946 Convention on the Privileges and Immunities of the United Nations, the 1947 Convention on the Privileges and Immunities of the Specialized Agencies, or otherwise under any national or international law, convention of agreement and/or as submitting UNAIDS to any national court or jurisdiction, nor (b) the privileges and immunities of the Global Fund pursuant to its Headquarters Agreement dated 13 December 2004 with the Swiss Federal Council and the designation by the U.S. government of the Global Fund as being entitled to enjoy the privileges, exceptions and immunities under the International Organizations Immunities Act (22 U.S.C. 288) or otherwise under any national or international law, convention or agreement. Neither Party shall claim, or derive any benefit from, the privileges and immunities to which the other Party may be entitled in any country where joint activities will be carried out pursuant to this Agreement.
- d. **Dispute resolution.** Any dispute that arises in connection with the application or interpretation of this Agreement or any subsequent supplementary agreement, MoU or exchange of letters shall be resolved by direct negotiation between the Parties. If the Parties are unable to reach a mutually satisfactory solution, they shall submit the matter to arbitration in accordance with the UNCITRAL Arbitration Rules. The decision shall be final and binding and not subject to appeal.

**IN WITNESS WHEREOF**, the Parties have caused this Cooperation Agreement to be executed and delivered by their respective duly authorized representatives.

**The Global Fund to Fight AIDS, Tuberculosis and Malaria**



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Dr Mark Dybul  
Executive Director  
Date: 9/12/2014

**The Joint United Nations Programme on HIV/AIDS (UNAIDS)**



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Michel Sidibé  
Executive Director  
Date: 9/12/2014

# Appendix X Responsibilities as Outlined in the Cooperation Agreement

	JOINT RESPONSIBILITIES (17 ITEMS)	UNAIDS RESPONSIBILITIES (17 ITEMS)	GLOBAL FUND RESPONSIBILITIES (5 ITEMS)
<b>Country Level</b>	<ul style="list-style-type: none"> <li>• 3.1.b In specific priority countries, as mutually agreed by UNAIDS and the Global Fund, joint deliverables will be elaborated through a joint country level rolling work plan; this work plan will cover key elements and will detail joint actions, expected results, roles and responsibilities and timelines.</li> <li>• 4.1.b UNAIDS and the Global Fund will endeavor to facilitate coordination of in-country partners and stakeholders to optimize impact and reduce transaction costs through clear, consistent, and structured communication.</li> <li>• 4.2.a The Global Fund and UNAIDS will work together to support strategic investment as a core principle of Concept Notes.</li> <li>• 4.2.d UNAIDS and the Global Fund commit to support the inclusion of community responses in related national strategic plans and/or investment cases, and to support civil society and key populations to design, implement and monitor effective community driven programs to improve access to key HIV services.</li> <li>• 4.4.b UNAIDS and the Global Fund commit to facilitate dialogue to appropriately resource and integrate community programs in the Concept Note.</li> </ul>	<ul style="list-style-type: none"> <li>• 3.1.c At the country level, the UNAIDS Country Offices will lead coordination among its cosponsoring organizations through the UN Joint Team (see paragraph 2.c above).</li> <li>• 3.1.d Joint coordination meetings between the Parties and other key partners will take place regularly at country level as part of the country dialogue process under the NFM.</li> <li>• 3.1.d UNAIDS Country Directors will continue to play a leading role in supporting CCMs with respect to HIV</li> <li>• 4.2.b UNAIDS will facilitate data collection, analysis, and identification of gaps in the epidemic and the response, including on the country's enabling environment, equity in access, human rights, gender, and key populations.</li> <li>• 4.2.c UNAIDS will support the development of relevant national strategic plans and/or HIV investment cases based on a strategic investment approach, ensuring full participation of key stakeholders. In doing so, UNAIDS will strengthen its support to relevant countries to:</li> </ul>	<ul style="list-style-type: none"> <li>• 4.2.e The Global Fund will share Global Fund grant-specific data with UNAIDS to facilitate UNAIDS' development of relevant national strategic plans and/or investment cases and global level analyses.</li> <li>• 4.3.g The Global Fund will work closely with the UNAIDS Secretariat to align the Global Fund's requirements for the relevant country dialogue with UNAIDS strategic investment guidance, strategic information requirements, standards, and other guidance, as such alignment will be agreed between the Parties.</li> <li>• 4.3.h The Global Fund will engage the UNAIDS Secretariat in pre-country dialogue processes involving HIV-related Concept Notes, including portfolio analyses.</li> <li>• 4.5.b The Global Fund country teams will provide United Nations Joint Teams on AIDS with relevant information, documents, and support during grant making and implementation, and plan and carry-out joint missions when deemed useful to optimal program planning and implementation.</li> </ul>

	JOINT RESPONSIBILITIES (17 ITEMS)	UNAIDS RESPONSIBILITIES (17 ITEMS)	GLOBAL FUND RESPONSIBILITIES (5 ITEMS)
		<ul style="list-style-type: none"> <li>• Take a robust investment approach to advance prioritized, high-impact, evidence- informed interventions;</li> <li>• Address human rights, gender inequity, harmful legal and social environments and inadequate services for key populations and others being left behind; and</li> <li>• Improve the long-time sustainability of national HIV responses.</li> <li>• 4.2.f UNAIDS will share relevant strategic, technical and programmatic information with the Global Fund, including its Grant Approvals Committee and Technical Review Panel, to inform decision-making.</li> <li>• 4.3.b UNAIDS will play a leading role to support and facilitate the engagement of all stakeholders in ensuring each country dialogue is robust, inclusive, and action-oriented.</li> <li>• 4.3.d UNAIDS will support the meaningful participation and strengthen the capacity of civil society - including key populations, women and girls, and community networks - to effectively engage in the country dialogue, in program planning and monitoring, and will provide support to overcome barriers to their inclusion.</li> <li>• 4.3.e UNAIDS will work closely with stakeholders involved in the TB response to ensure appropriate coordination of programming for HIV and TB.</li> <li>• 4.3.f UNAIDS will promote the harmonization and alignment of the</li> </ul>	



	JOINT RESPONSIBILITIES (17 ITEMS)	UNAIDS RESPONSIBILITIES (17 ITEMS)	GLOBAL FUND RESPONSIBILITIES (5 ITEMS)
		<p>priorities of the country, the Global Fund, PEPFAR, other development partners and bilateral donors at all levels, and support assessments of the finances needed to meet these priorities through domestic and external resource mobilization efforts.</p> <ul style="list-style-type: none"> <li>• 4.4.a The UNAIDS Secretariat will lead the United Nations Joint Team on AIDS and coordinate UNAIDS support for relevant Concept Note development to actively facilitate timely submission of a quality Concept Note by the relevant CCM.</li> <li>• 4.5.a UNAIDS will continue to support inclusive country dialogue during grant making and grant implementation, through the efforts of the United Nations Joint Team on AIDS and to coordinate closely with the relevant CCMs and in-country stakeholders.</li> <li>• 4.6.a At the country level, UNAIDS will work with the CCM and key stakeholders and will enhance the coordination of technical support and facilitate information sharing on technical support needs through an expanded United Nations Joint Team on AIDS, including US Government-funded mechanisms, key donors, civil society, the private sector, TB partners, and other partners in country.</li> <li>• 4.6.c Within this coordination role, UNAIDS will broker and/or provide as appropriate technical support to and through civil society and private sector in</li> </ul>	

	JOINT RESPONSIBILITIES (17 ITEMS)	UNAIDS RESPONSIBILITIES (17 ITEMS)	GLOBAL FUND RESPONSIBILITIES (5 ITEMS)
		order to facilitate their participation in the country dialogue and the CCM and at all stages of the grant cycle, particularly for service delivery related to human rights, key populations, gender equality and community mobilization.	
<b>Regional Level</b>	<ul style="list-style-type: none"> <li>3.1. e. UNAIDS and the Global Fund commit to strengthen collaboration and communication at the regional level, including between Regional Support Teams of UNAIDS and relevant country teams of the Global Fund supported by technical staff of both organizations. The UNAIDS Regional Support Teams will provide support to country teams and lead coordination among cosponsors through the Joint UN Regional Team on AIDS.</li> <li>4.7.b The Parties intend to closely collaborate in preparing and convening regional meetings and workshops, as deemed helpful and value-added by both Parties.</li> </ul>	<ul style="list-style-type: none"> <li>4.6.b UNAIDS will facilitate the coordinated provision of technical support through cosponsors in line with the division of labor, UNAIDS Regional Support Teams and the three Technical Support Facilities, in close coordination with existing regional technical support coordination mechanisms.</li> </ul>	
<b>Global Level</b>	<ul style="list-style-type: none"> <li>3.1.a Close relationships between the UNAIDS Country Director and the Global Fund's Fund Portfolio Manager for the respective country are at the center of the UNAIDS-Global Fund cooperation at the country level. The two organizations' Secretariats will develop guidance to direct their respective staff to engage in specific joint and complementary tasks.</li> <li>3.2.a At the global level, there will be mutual accountability between the two organizations. As described below, existing structures will be strengthened and new structures will be established to further effective coordination, including oversight at</li> </ul>	<ul style="list-style-type: none"> <li>4.3.c The UNAIDS Secretariat will lead the United Nations Joint Team on AIDS and coordinate UNAIDS support to the country dialogue.</li> </ul>	<ul style="list-style-type: none"> <li>3.2.b The Global Fund intends to establish a "Partnerships Management Committee" to oversee implementation of cooperation agreements and MoUs signed between the Global Fund and various partners (including UNAIDS), ensure complementarity and synergies between such agreements and MoUs, review performance based on consolidated reporting, and recommend joint actions on any major quality assurance issues. The Partnerships Management Committee will be composed of senior management staff from organizations involved in</li> </ul>




	JOINT RESPONSIBILITIES (17 ITEMS)	UNAIDS RESPONSIBILITIES (17 ITEMS)	GLOBAL FUND RESPONSIBILITIES (5 ITEMS)
	<p>senior level management and operational level coordination.</p> <ul style="list-style-type: none"> <li>• 3.2. c The Parties will utilize existing technical assistance coordination fora including the interagency joint working groups, situation rooms such as the multi-agency TB and HIV situation rooms, PMTCT and TB/HIV multi-agency working groups and shall endeavor to streamline global and regional level coordination under this Agreement and other arrangements.</li> <li>• 4.6.d At a global level, the Parties hereto will work through existing coordination mechanisms, including the technical support coordination groups and the Joint Civil Society Action Plan.</li> <li>• 5.b The UNAIDS and Global Fund focal points will jointly submit a technical report every six months against the objectives set forth in the rolling work plans (paragraph 3.1.b), to the Partnerships Management Committee.</li> </ul>		<p>cooperation agreements and MoUs, and shall be guided by jointly approved terms of reference concerning its operation. Once these terms of reference have been developed, they shall form an annex to this Agreement through a separate exchange of letters between the Parties.</p>
<b>All levels</b>	<ul style="list-style-type: none"> <li>• 4.1.c UNAIDS and the Global Fund will share relevant strategic information and intelligence regularly and in a timely manner at all stages of the Global Fund grant life cycle including the NFM.</li> <li>• 4.3.a UNAIDS and the Global Fund are committed to jointly leveraging political commitment and advocating for a high-impact and evidence-informed AIDS response, working with national AIDS coordinating authorities, the highest levels of government, civil society, and the private sector. This will include joint visits of the Global Fund and UNAIDS Executive Directors and other</li> </ul>	<ul style="list-style-type: none"> <li>• 4.1. a The Global Fund will share information regularly and in a timely manner on Global Fund policies, processes and tools with UNAIDS.</li> </ul>	

	JOINT RESPONSIBILITIES (17 ITEMS)	UNAIDS RESPONSIBILITIES (17 ITEMS)	GLOBAL FUND RESPONSIBILITIES (5 ITEMS)
	<p>partners where appropriate.</p> <ul style="list-style-type: none"> <li>• 4.6.d The Parties will work closely at the country level, regional level, and at the level of each organization's technical teams to facilitate information sharing and coordination of technical support.</li> <li>• 4.7.a The Parties intend to closely collaborate on the design and implementation of special initiatives, through modalities to be determined.</li> <li>• 5.a The UNAIDS and Global Fund focal points will monitor the implementation of this Agreement to optimize and improve the coordination of their work together. The Parties shall review performance based on regular input from Global Fund, UNAIDS and relevant technical partners at global, regional and country levels on the implementation of the activities proposed under this Agreement.</li> </ul>		

# Appendix XI Survey Response Data

\* Some questions have been removed to preserve the anonymity of respondents.

[all2] I currently work as a (please select all that apply):

Response	Chart	Percentage	Count
UNAIDS Country Director (UCD)/ UNAIDS Country Manager		71.4%	35
UNAIDS Regional Support Team (RST) Focal Point/Programme Advisor (RPA)		12.2%	6
Global Fund "Fund Portfolio Manager" (FPM)		16.3%	8
Global Fund Regional Manager (RM )		0.0%	0
<b>Total Responses</b>			<b>49</b>

[all3] For how many years have you been in this position/role?

The 49 response(s) to this question can be found in the appendix.

[ucd1\_fpm1] In how many countries have you served GF FPM?

The 43 response(s) to this question can be found in the appendix.

[all5] Relevance of the Partnership between UNAIDS and the Global Fund

	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
The partnership is relevant for the response to the AIDS epidemic in my country/region (of work).	0 (0.0%)	1 (2.0%)	0 (0.0%)	47 (95.9%)	1 (2.0%)	49
The partnership is relevant to ensure progress towards achieving the Country Fast Track Targets for Ending AIDS by 2020/2030 in my country/region (of work).	0 (0.0%)	1 (2.0%)	1 (2.0%)	46 (93.9%)	1 (2.0%)	49
My organization has developed and disseminated guidance to direct staff to engage in specific joint and complementary tasks at the country/regional level, with UNAIDS/Global Fund.	0 (0.0%)	3 (6.1%)	15 (30.6%)	26 (53.1%)	5 (10.2%)	49
If guidance exists (see above), it was useful for working effectively in partnership. If there is no guidance, please select N/A.	1 (2.0%)	0 (0.0%)	15 (30.6%)	22 (44.9%)	11 (22.4%)	49

[all6] How often do you communicate with your partnership counterpart (UCD – FPM or RPA – RM)?

Response	Chart	Percentage	Count
Daily		4.3%	2
2-3 times per week		10.9%	5
1 time per week		6.5%	3
2-3 times per month		37.0%	17
1 time per month		30.4%	14
Less than one time per month		10.9%	5
<b>Total Responses</b>			<b>46</b>

[all7] What forms of communication do you use weekly with your partnership counterpart?

Response	Chart	Percentage	Count
SMS/text messages/Whatsapp		21.7%	10
Phone		65.2%	30
Email		93.5%	43
Reports		34.8%	16
<b>Total Responses</b>			<b>46</b>

[ucd2\_fpm2] Please comment on the extent to which you agree or do not agree with the following statements:




	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
The Global Fund country team has shared information on its policies, processes and tools with the UCO regularly.	0 (0.0%)	3 (7.5%)	8 (20.0%)	27 (67.5%)	2 (5.0%)	40
The staff of the UCO and the Global Fund country team have carried out clear, consistent and structured communication.	0 (0.0%)	4 (10.0%)	12 (30.0%)	22 (55.0%)	2 (5.0%)	40
The staff of the UCO and the Global Fund Country Team has shared information with each other regularly and in a timely manner during all stages of the Global Fund grant life cycle.	0 (0.0%)	2 (5.0%)	7 (17.5%)	29 (72.5%)	2 (5.0%)	40
The data/information shared between the UCO and the Global Fund (noted above) has been relevant.	0 (0.0%)	1 (2.5%)	7 (17.5%)	30 (75.0%)	2 (5.0%)	40

	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
In my country of work, the UCO have kept the FPM informed of key work undertaken to inform and support Global Fund grants.	0 (0.0%)	3 (7.5%)	6 (15.0%)	29 (72.5%)	2 (5.0%)	40

[rpa1\_rm1] Please comment on the extent to which you agree or do not agree with the following statements:

	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
The Global Fund regional representative has shared information on the Global Fund’s policies, processes and tools with the UNAIDS RST/RPA regularly.	0 (0.0%)	1 (16.7%)	2 (33.3%)	3 (50.0%)	0 (0.0%)	6
The staff of the UNAIDS RST and the Global Fund regional representative have carried out clear, consistent and structured communication.	0 (0.0%)	0 (0.0%)	3 (50.0%)	3 (50.0%)	0 (0.0%)	6
The staff of the UNAIDS RST and the Global Fund regional representative have shared information with each other regularly and in a timely manner.	0 (0.0%)	0 (0.0%)	4 (66.7%)	2 (33.3%)	0 (0.0%)	6
The data/information shared between UNAIDS and the Global Fund (noted above) has been relevant.	0 (0.0%)	0 (0.0%)	0 (0.0%)	6 (100.0%)	0 (0.0%)	6
In my region of work, the RPA have kept the RM informed about key work undertaken to inform and support Global Fund grants.	0 (0.0%)	0 (0.0%)	4 (66.7%)	2 (33.3%)	0 (0.0%)	6

[ucd1] When the FPM visits your country of work, how often do they notify you in advance to arrange a meeting?

Response	Chart	Percentage	Count
Always		63.6%	21
Often		21.2%	7
Rarely		9.1%	3

Response	Chart	Percentage	Count
Never		0.0%	0
I don't know, N/A		6.1%	2
<b>Total Responses</b>			<b>33</b>

[fpm1] When there is a visit/mission from UNAIDS RST or the UNAIDS Secretariat in your country of work, how often are you notified in advance?

Response	Chart	Percentage	Count
Always		28.6%	2
Often		14.3%	1
Rarely		28.6%	2
Never		0.0%	0
I don't know, N/A		28.6%	2
<b>Total Responses</b>			<b>7</b>

[rpa1] When the Global Fund Regional Manager visits your country/region of work, how often do they notify you in advance to arrange a meeting?





Response	Chart	Percentage	Count
Always		66.7%	4
Often		16.7%	1
Rarely		16.7%	1
Never		0.0%	0
I don't know, N/A		0.0%	0
<b>Total Responses</b>			<b>6</b>

[rm1] When there is a visit/mission from UNAIDS RST or the UNAIDS Secretariat in your region of work, how often are you notified in advance?




Response	Chart	Percentage	Count
Always		0.0%	0
Often		0.0%	0
Rarely		0.0%	0
Never		0.0%	0
I don't know, N/A		0.0%	0
<b>Total Responses</b>			<b>0</b>



[fpm1\_rm1] How often are issues relating to the Global Fund included as part of these missions (see question above)?

Response	Chart	Percentage	Count
Always		28.6%	2
Often		14.3%	1
Rarely		14.3%	1
Never		0.0%	0
I don't know, N/A		42.9%	3
<b>Total Responses</b>			<b>7</b>

[all8] Are you aware of the existence of the Cooperation Agreement between UNAIDS and the Global Fund?

Response	Chart	Percentage	Count
Yes, I know it well		47.8%	22
I have read it once or twice		41.3%	19
I am aware of it, but I do not know the details		10.9%	5
I have not heard of it		0.0%	0
<b>Total Responses</b>			<b>46</b>

[all9] Please comment on the extent to which you agree or do not agree with the following statements:







	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
The Cooperation Agreement accurately reflects the reality of the partnership in my country/region.	1 (2.2%)	3 (6.5%)	24 (52.2%)	13 (28.3%)	5 (10.9%)	46
The joint undertakings and responsibilities as laid out in the Cooperation Agreement are clear and realistic for my country/region.	0 (0.0%)	6 (13.0%)	24 (52.2%)	11 (23.9%)	5 (10.9%)	46

[ucd3\_fpm3] Please comment on the extent to which you agree or do not agree with the following statements, based on your experience working with your partnership counterpart:






	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
In my experience, the UCDs and FPMs generally have collaborative working relationships.	0 (0.0%)	1 (2.5%)	9 (22.5%)	28 (70.0%)	2 (5.0%)	40

	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
Since 2013, in my country (of work), the UCD and FPM have elaborated a joint country-level rolling work plan, detailing joint actions, expected results, roles and responsibilities and timelines.	9 (22.5%)	11 (27.5%)	14 (35.0%)	2 (5.0%)	4 (10.0%)	40
In my country (of work), the UCD and FPM have jointly participated in the country dialogue process.	0 (0.0%)	1 (2.5%)	10 (25.0%)	27 (67.5%)	2 (5.0%)	40
In my country (of work), the coordination of the national HIV response (through the development and implementation of Global Fund grants) is influenced by the personal relationship between the UCD and the FPM.	2 (5.0%)	4 (10.0%)	20 (50.0%)	10 (25.0%)	4 (10.0%)	40

[ucd4\_fpm4] In my country (of work), the UCD and the FPM have jointly met with:

Response	Chart	Percentage	Count
National HIV/AIDS Coordinating Authority		77.5%	31
Ministry of Health		65.0%	26
Private sector		17.5%	7
Other government representatives		62.5%	25
Other donors and development partners		77.5%	31
Principal Recipients		82.5%	33
<b>Total Responses</b>			<b>40</b>

[all10] Which joint activities, if any, have UNAIDS and the Global Fund engaged in together in your country/ region?

Response	Chart	Percentage	Count
Joint missions		45.2%	19
Round tables		54.8%	23
Developing joint materials		21.4%	9
Networking events		47.6%	20
Advocacy efforts		78.6%	33

Response	Chart	Percentage	Count
Joint trainings and workshops		57.1%	24
Other, please specify		31.0%	13
<b>Total Responses</b>			<b>42</b>

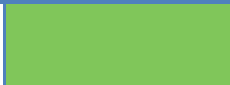







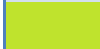
[all10] Which joint activities, if any, have UNAIDS and the Global Fund engaged in together in your country/ region? (Other, please specify)

#	Response
1.	country dialogue, reviews, site visits
2.	CCM meetings.
3.	CCM meetings
4.	Key Populations Community Meetings
5.	Technical Assistance
6.	We have had bilateral meetings for update and analysis of different issues related to implementation of current subvention
7.	Meetings with PR and SST , the CCM
8.	CCM meetings
9.	implementation of positive prevention health and dignity programme for PLHIV and key population
10.	Joint monitoring and assessment of the Principal Recipients performances.
11.	Joint Coordination with PEPFAR,
12.	Conference calls
13.	Regular information sharing and troubleshooting







[ucd5\_fpm5] Have any of the following achievements occurred as a result of joint activities undertaken by UNAIDS and the Global Fund, in your country of work?

Response	Chart	Percentage	Count
Increased level of and quality of political commitment for provision of domestic resources		61.1%	22
Increased coordination and integration of programming for HIV and TB		55.6%	20
Encouragement of the use of existing initiatives and resources		86.1%	31
Other, please specify		36.1%	13
<b>Total Responses</b>			<b>36</b>




[ucd7\_fpm7] In the past three years in my country of work, UNAIDS supported national planning processes related to Global Fund grant development in the following ways:



Response	Chart	Percentage	Count
National Strategic Plan (NSP) Development (data input, writing assistance)		86.1%	31
Concept Note Development		91.7%	33
Hiring consultants to support NSPs and Concept Notes		86.1%	31
Coordinating inclusive country dialogue		77.8%	28
Participating in inclusive country dialogue		97.2%	35
Analyses for the prioritization of objectives, targets and resources		91.7%	33
Investment Case development		55.6%	20
Provision of data and strategic information		91.7%	33
I don't know		0.0%	0
Other, please specify:		36.1%	13
<b>Total Responses</b>			<b>36</b>

[rpa2\_rm2] In the past three years in my region of work, UNAIDS supported processes related to Global Fund grant development in the following ways:

Response	Chart	Percentage	Count
Regional grant development		100.0%	6
Hiring consultants to support regional grant development		100.0%	6
Analyses for the prioritization of objectives, targets and resources		83.3%	5
Investment Case development		100.0%	6
Provision of data and strategic information		100.0%	6
I don't know		0.0%	0
Other, please specify:		33.3%	2
<b>Total Responses</b>			<b>6</b>

[all11] In the past three years in my country/region of work, UNAIDS brokered technical support for Global Fund processes through the following instruments:

Response	Chart	Percentage	Count
Technical Support Facility (TSF)		61.9%	26
Technical Assistance Facility (TAF)		28.6%	12
UN Joint Team on AIDS		85.7%	36

Response	Chart	Percentage	Count
Directly from the UCO team		92.9%	39
Other, please specify:		23.8%	10
<b>Total Responses</b>			<b>42</b>

[all11] In the past three years in my country/region of work, UNAIDS brokered technical support for Global Fund processes through the following instruments: (Other, please specify:)

#	Response
1.	UANIDS Regional Support Team
2.	French 5% initiative
3.	DAT (I think it is the TAF for Francophone Africa).
4.	TA for external expertise
5.	Advocacy from other donors (USAID, CDC...)
6.	participation in CCM work
7.	N/a
8.	RST
9.	From EU
10.	Advocacy with government officials

[ucd8\_fpm8] Please comment on the extent to which you agree or do not agree with the following statements:

	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
In my country (of work), the UCD played a leading role in supporting the Country Coordinating Mechanism.	0 (0.0%)	0 (0.0%)	6 (16.7%)	29 (80.6%)	1 (2.8%)	36
In my country (of work), UNAIDS facilitated data collection and analysis of the epidemic and the response.	0 (0.0%)	0 (0.0%)	1 (2.8%)	35 (97.2%)	0 (0.0%)	36
In my country (of work), UNAIDS facilitated identification of gaps in the epidemic and the response.	0 (0.0%)	0 (0.0%)	2 (5.6%)	34 (94.4%)	0 (0.0%)	36
In my country (of work), UNAIDS supported the development of national HIV/AIDS strategic plans, coordinating the full participation of stakeholders.	0 (0.0%)	0 (0.0%)	5 (13.9%)	31 (86.1%)	0 (0.0%)	36

	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
In my country (of work), UNAIDS worked with stakeholders involved in the TB response to ensure appropriate coordination of programming for HIV and TB.	2 (5.6%)	0 (0.0%)	15 (41.7%)	18 (50.0%)	1 (2.8%)	36
In my country (of work), UNAIDS played an important role in facilitating inclusive country dialogues.	0 (0.0%)	0 (0.0%)	5 (13.9%)	30 (83.3%)	1 (2.8%)	36

[rpa3\_rm3] Please comment on the extent to which you agree or do not agree with the following statements:

	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
In my region (of work), UNAIDS facilitated data collection and analysis of the epidemic and the response.	0 (0.0%)	0 (0.0%)	0 (0.0%)	6 (100.0%)	0 (0.0%)	6
In my region (of work), UNAIDS facilitated identification of gaps in the epidemic and the response.	0 (0.0%)	0 (0.0%)	0 (0.0%)	6 (100.0%)	0 (0.0%)	6

[all12] Please comment on the extent to which you agree or do not agree with the following statements:

	Fully disagree	Somewhat disagree	Somewhat agree	Fully agree	Do not know, N/A	Total Responses
I am satisfied with the technical support provided by UNAIDS to civil society in my country/region of work.	0 (0.0%)	1 (2.4%)	12 (29.3%)	26 (63.4%)	2 (4.9%)	41
I am satisfied with the technical support provided by UNAIDS to government counterparts/partners, in my country/region of work.	0 (0.0%)	0 (0.0%)	6 (14.6%)	33 (80.5%)	2 (4.9%)	41
I am satisfied with the assessments and analyses (gap analyses, analyses of enabling environment, gender analyses, human rights assessments, stigma indices) undertaken by UNAIDS, in my country/region of work.	0 (0.0%)	0 (0.0%)	12 (29.3%)	26 (63.4%)	3 (7.3%)	41
The input from UNAIDS (data, analysis, joint action) has shaped Global Fund policies and/or strategies.	0 (0.0%)	1 (2.4%)	9 (22.0%)	29 (70.7%)	2 (4.9%)	41

[all13a] Please indicate if you agree or disagree with the following statements about the partnership between UNAIDS and the Global Fund.

	Disagree	Agree	Do not know	Total Responses
There are clear objectives for the partnership.	2 (4.9%)	35 (85.4%)	4 (9.8%)	41
The senior management of my organization provides visible support for the partnership.	2 (4.9%)	37 (90.2%)	2 (4.9%)	41
UNAIDS and the Global Fund have compatible operating cultures for working in partnership (e.g. operating philosophies, management styles, teamwork).	6 (14.6%)	26 (63.4%)	9 (22.0%)	41
At the level of the organization, UNAIDS and the Global Fund have compatible core values for working in partnership.	0 (0.0%)	39 (95.1%)	2 (4.9%)	41
I am satisfied with the level of reciprocal accountability between UNAIDS and the Global Fund.	9 (22.0%)	24 (58.5%)	8 (19.5%)	41

[all13b]

	Disagree	Agree	Do not know	Total Responses
I am satisfied with the level of transparency in the partnership.	6 (14.6%)	31 (75.6%)	4 (9.8%)	41
I am satisfied with my current opportunities to participate in the partnership.	1 (2.4%)	39 (95.1%)	1 (2.4%)	41
There is conflict within the partnership.	32 (78.0%)	4 (9.8%)	5 (12.2%)	41
Both partners are complying with expected and agreed roles.	3 (7.3%)	32 (78.0%)	6 (14.6%)	41
I am satisfied with my partners' performance.	5 (12.2%)	33 (80.5%)	3 (7.3%)	41

[all14] Please provide examples of how the organizational culture of the two organizations affects the partnership and the achievement of results.

The 25 response(s) to this question can be found in the appendix.

[all15] Please indicate which of the following types of value, if any, the partnership brings to the work you do at the country/regional level.

	To a great extent	Somewhat	Little	Not at all	Do not know / N/A	Total Responses
The partnership enhances the credibility of my organization's work at the country/regional level.	23 (56.1%)	13 (31.7%)	3 (7.3%)	1 (2.4%)	1 (2.4%)	41
The partnership helps my organization get additional resources from other partners (financial and/or in-kind).	8 (19.5%)	16 (39.0%)	4 (9.8%)	10 (24.4%)	3 (7.3%)	41

	To a great extent	Somewhat	Little	Not at all	Do not know / N/A	Total Responses
The partnership exposes me to additional knowledge that enhances my work.	20 (48.8%)	19 (46.3%)	2 (4.9%)	0 (0.0%)	0 (0.0%)	41
Through the partnership, I engage in joint problem-solving.	26 (63.4%)	13 (31.7%)	2 (4.9%)	0 (0.0%)	0 (0.0%)	41
The partnership creates synergies for common activities.	27 (65.9%)	12 (29.3%)	2 (4.9%)	0 (0.0%)	0 (0.0%)	41

[all16] Please comment on the extent to which you agree or do not agree with the following statements:

	Strongly disagree	Somewhat disagree	Somewhat agree	Strongly agree	Do not know, N/A	Total Responses
UNAIDS has monitored the activities of the UN Joint Team on AIDS (UNJTA) and their support for the Global Fund grants, in my country/region of work	1 (2.5%)	3 (7.5%)	13 (32.5%)	20 (50.0%)	3 (7.5%)	40
There are formal mechanisms in place to monitor and report on the partnership between UNAIDS and the Global Fund	4 (10.0%)	11 (27.5%)	15 (37.5%)	4 (10.0%)	6 (15.0%)	40

[ucd2] Are you a member of the CCM Oversight Committee in your country of work?






Response	Chart	Percentage	Count
Yes		79.3%	23
No		20.7%	6
I don't know		0.0%	0
<b>Total Responses</b>			<b>29</b>

[all17] What dedicated resources, if any, are allocated to the partnership management in your country of work?

Response	Chart	Percentage	Count
In-kind contribution (staff time)		70.0%	28
Extra budgetary resources		10.0%	4
I don't know		2.5%	1
Core budget resources		10.0%	4
Nothing		7.5%	3
<b>Total Responses</b>			<b>40</b>



[ucd1\_rpa1] What percentage of your time is spent on work related to the Global Fund?

Response	Chart	Percentage	Count
0-20%		14.3%	5
21-40%		37.1%	13
41-60%		22.9%	8
61-80%		22.9%	8
81-100%		2.9%	1
<b>Total Responses</b>			<b>35</b>

[all18] In your view, what are the three things your organization should do to improve the partnership?

Variable	Response
Factor 1:	The 40 response(s) to this question can be found in the appendix.
Factor 2:	The 40 response(s) to this question can be found in the appendix.
Factor 3:	The 40 response(s) to this question can be found in the appendix.

[all19] In your view, what are the 3 greatest strengths of the partnership?

Variable	Response
Strength 1:	The 40 response(s) to this question can be found in the appendix.
Strength 2:	The 40 response(s) to this question can be found in the appendix.
Strength 3:	The 40 response(s) to this question can be found in the appendix.

[all20] In your view, what are the 3 greatest limitations of the partnership?

Variable	Response
Limitation 1:	The 40 response(s) to this question can be found in the appendix.
Limitation 2:	The 40 response(s) to this question can be found in the appendix.
Limitation 3:	The 40 response(s) to this question can be found in the appendix.

[all21] Please indicate any additional comments or recommendations for this evaluation.

The 40 response(s) to this question can be found in the appendix.

## Appendix XII UNAIDS Field Visit Highlights

The evaluation team conducted field visits between February 14<sup>th</sup> and March 10<sup>th</sup> 2017 in Myanmar, Malawi, Thailand and Kenya. As few stakeholders were aware of the formalized relationship between UNAIDS and the Global Fund, through the Cooperation Agreement or other engagement mechanisms, the evaluation team mitigated this limitation by focusing interview questions on the contribution of UNAIDS and of the Global Fund to Global Fund assisted programs. The evaluation team clarified to interviewees that this evaluation was not an evaluation of UNAIDS or the Global Fund's impact at the country level, but rather an evaluation of the partnership, including the outlined roles and responsibilities between the two organizations.

This annex should not be considered a comprehensive report of UNAIDS or the Global Fund's contributions to the HIV response, but rather, an opportunity to highlight examples of UNAIDS delivering in-country support for Global Fund assisted programs and the broader HIV response, as raised by stakeholders at the country level.

To triangulate the data in this annex, all the examples provided were noted by stakeholders outside of UNAIDS (as significant contributions), and the majority were supported by documentary evidence provided by the UNAIDS Secretariat.

This appendix reflects highlights raised by evaluation stakeholders, as of March 10<sup>th</sup> 2017. We acknowledge that it is highly likely that UNAIDS has contributed further to the issues and initiatives noted herein, since the data collection was completed, however, these further contribution fall outside the evaluation period and scope. As such, the evaluation team is unable to comment on them.

The highlights are presented by country, classified under five categories: Strategic Investments and Technical Support, Political commitment and country dialogue, Concept Note Development, General Cooperation Areas, and Other (where applicable).

# MYANMAR

The evaluation team visited Myanmar between the 12<sup>th</sup> and 17<sup>th</sup> of February 2017. 42 stakeholders were interviewed at the country level.<sup>2</sup> The following examples of support provided by the UCO were referenced by interviewed stakeholders during field visits, telephone interviews with the Global Fund Portfolio Manager (Myanmar) and documentary evidence.

AREA OF SUPPORT	EXAMPLES FROM FIELD VISIT AND TELEPHONE INTERVIEWS
<b>Strategic Investments and Technical Support</b>	<ul style="list-style-type: none"> <li>UNAIDS provides support for various types of strategic information such as the Integrated biological and behavioural surveys and the Community Services Strengthening needs assessment (2015).</li> <li>UNAIDS conducted the Costing and Optimization technical guidance for the National AIDS Spending Assessment to enhance the spending of financial resources available in Myanmar for HIV.</li> </ul>
<b>Political Commitment and Country Dialogue</b>	<ul style="list-style-type: none"> <li>UNAIDS UCD is a CCM member, and a member of various working groups.</li> <li>To support the country dialogue UNAIDS covers meeting costs, assists in organizing logistics, and coordinates feedback from all stakeholders.</li> <li>UNAIDS and UNODC have supported consultations, engaged in written advocacy with the government, and provided written amendments to the 1993 'Narcotic Drugs and Psychotropic Substances Law'</li> </ul>
<b>National AIDS Strategy &amp; Concept Note Development</b>	<ul style="list-style-type: none"> <li>UNAIDS plays a significant role in writing the HIV Concept Note, including providing information on strategic investment.</li> <li>UNAIDS plays a coordination role for Concept Note development between other funders and the government.</li> </ul>
<b>General Cooperation Areas</b>	<ul style="list-style-type: none"> <li>UNAIDS is the 'go to' organization in the country for information on Global Fund, with the UCD and FPM having very frequent and open communication.</li> <li>UNAIDS allows CSOs and other organizations working on the HIV response to use their space for meetings.</li> <li>UNAIDS is leading advocacy activities on HIV at the country level in Myanmar.</li> <li>The M-HSCC is housed at UNAIDS.</li> </ul>
<b>Other</b>	<ul style="list-style-type: none"> <li>UNAIDS funded consultations with Emerging ethnic health organizations (EHO) in different regions of the country.</li> <li>UNAIDS participated in the Rapid Assessment of Local Civil Society Participation as a part of testing the Global Fund's New Funding Model</li> <li>Funding from Global Fund for networks of PLHIV to work on human rights.</li> <li>UNAIDS advocated for an additional USD 1 million from Global Fund for human rights work in Myanmar.</li> </ul>

<sup>2</sup> Interviewees included: Government staff (2), UNAIDS staff (5), UN Joint Team Staff (3), Grant Recipients (including PRs) (9), LFA (2), Global fund Portfolio Manager (1), CSOs (14), CCM Members & Secretariat (2), Other (5).

## MALAWI

The evaluation team visited Kenya between the 13<sup>th</sup> and 17<sup>th</sup> of February 2017. 33 stakeholders were interviewed at the country level.<sup>3</sup> The following examples of support provided by the UCO were referenced by interviewed stakeholders during field visits, a telephone interview with the Global Fund Portfolio Manager (Malawi) and documentary evidence.

AREA OF SUPPORT	EXAMPLES FROM FIELD VISIT AND TELEPHONE INTERVIEWS
<b>Strategic Investments and Technical Support</b>	<ul style="list-style-type: none"> <li>UNAIDS facilitated the first core “Gender Assessment of the Malawi National HIV Response in 2014,” led by the Southern African AIDS Trust, financed by GIZ, and utilizing the UNAIDS Gender Assessment Tool. This assessment subsequently led to the Government’s <i>Gender, HIV and AIDS Implementation Plan, 2016–2020</i> and to the “Malawi Women, Girls and Gender Equality Charter on Getting to 90-90-90,” that was facilitated and published by the UNAIDS Country Office.</li> <li>UNAIDS participated in the preparation of the <i>Sector-wide independent institutional review of the national HIV and AIDS response in Malawi</i>, issued in February 2016.</li> <li>UNAIDS provided technical support to Action Aid, the PR for the CSO portion of the TB/HIV grant.</li> </ul>
<b>Political Commitment and Country Dialogue</b>	<ul style="list-style-type: none"> <li>UNAIDS serves as the 2nd Vice Chair of the CCM (representing multilateral development partners) and as a key member of the Oversight Committee.</li> <li>UNAIDS helped to reform the governance, bye-laws and membership of the CCM to make it more effective and eliminate conflicts of interest.</li> <li>UNAIDS was involved in pre-grant dialogue processes, such as helping to facilitate the stakeholder consultations, validation and prioritization workshops during the preparation of the National Strategic Plan for 2015–2020.</li> <li>UNAIDS was instrumental in establishing the PIU in the Ministry of Health after it became the PR for the public sector component of the TB/HIV grant, and in recruiting the Interim Manager for the PIU.</li> </ul>
<b>National AIDS Strategy &amp; Concept Note Development</b>	<ul style="list-style-type: none"> <li>UNAIDS was heavily involved in the preparation of both the 2015 and 2017 Concept Notes.</li> <li>UNAIDS facilitated a retreat in October 2014 to write the first HIV/AIDS Concept Note under the NFM and finalized the draft Concept Note.</li> <li>The UNAIDS Country and Regional Offices, and the Clinton Health Access Initiative helped facilitate the stakeholder consultations, validation and prioritization workshops that generated the 90:90:90 NSP target. The World Bank, UNAIDS, and the Clinton Health Access Initiative provided special financial and technical support for the NSP review and revision process. UNAIDS contributed one staff member (Trouble Chikoko) and one consultant (Travor Mabugu) to the team that developed and costed the NSP including the development of the operational plan.</li> </ul>

<sup>3</sup> Interviewees included: Government staff (12), UNAIDS staff (8), UN Joint Team Staff (1), Grant Recipients (PRs) (4), LFA (2), Global fund Portfolio Manager (1), CSOs (3), CCM Members & Secretariat (2), Other (1).

<b>General Cooperation Areas</b>	<ul style="list-style-type: none"> <li>• Government representatives indicated that UNAIDS brought attention to issues relevant for Malawi to the Global Fund to make appropriate decisions at the highest level of the Global Fund.</li> <li>• UNAIDS allowed CSOs to use the UNAIDS board room for meetings.</li> <li>• UNAIDS provides country level partners with epidemiological data.</li> </ul>
<b>Other</b>	<ul style="list-style-type: none"> <li>• UNAIDS assisted Action Aid in getting established as the PR for the CSO grant for HIV/AIDS, including sharing documentation from the Global Fund, spectrum modelling, developing their M&amp;E systems, and linking them with potential partners such as GIZ. As a result, GIZ is providing Action Aid with €130,000 for capacity assessments, training, M&amp;E, financial management and consultancy.</li> </ul>

## THAILAND

The evaluation team visited Thailand between the 19<sup>th</sup> and 24<sup>th</sup> of February 2017. 39 stakeholders were interviewed at the country level.<sup>4</sup> The following examples of support provided by the UCO were referenced by interviewed stakeholders during field visits, a telephone interview with the Global Fund Portfolio Manager/Regional Manager (Thailand) and documentary evidence.

AREA OF SUPPORT	EXAMPLES FROM FIELD VISIT AND TELEPHONE INTERVIEWS
<b>Strategic Investments and Technical Support</b>	<ul style="list-style-type: none"> <li>• UNAIDS played a significant role in drafting an investment case that prioritised strategic use of ARV; shift to community-based service delivery models; and “normalization” of HIV as a treatable chronic condition. The HIV investment case informed the National Ending AIDS Strategy and Operational Plan, as well as sub-national strategies and action plans.</li> </ul>
<b>Political Commitment and Country Dialogue</b>	<ul style="list-style-type: none"> <li>• UNAIDS UCD is a CCM member, and a member of various working groups.</li> <li>• UNAIDS, together with WHO and USAID, supported technically and financially inclusive dialogue on Thailand’s graduation from the GF support and transition to self-reliance</li> <li>• UNAIDS EXD advocated with Thailand PM for sustained domestic financing of CSO and communities</li> <li>• UNAIDS supported financially and technically a tailor-made course to capacitate CSO in planning and implementing a (major gift) fundraising campaign, and provided technical assistance to develop a CSO Resource Mobilisation Campaign</li> </ul>
<b>National AIDS Strategy &amp; Concept Note Development</b>	<ul style="list-style-type: none"> <li>• UNAIDS/ UN and GF FPM supported the technical working groups and the writing team in ensuring that the priorities of the National Ending AIDS Strategy, including focus on community-based services, are appropriately reflected in the GF NFM Concept Note</li> <li>• UNAIDS (and WHO) engaged with UNJTA members and provided hands on support, working as members of the relevant technical working groups and the writing team</li> </ul>

<sup>4</sup> Interviewees included: Government staff (3), UNAIDS staff (11), UN Joint Team Staff (2), Grant Recipients (PRs) (4), LFA (0), Global fund Portfolio Manager (1), CSOs (12), CCM Members & Secretariat (2), Other (4).

	<p>for the Concept Note development.</p> <ul style="list-style-type: none"> <li>UNAIDS assisted WHO in reflecting integrated HIV/ TB programming in the context of the GF NFM Concept Note development.</li> </ul>
<b>General Cooperation Areas</b>	<ul style="list-style-type: none"> <li>UNAIDS is a CCM member and participates in all CCM activities</li> <li>UNAIDS consistently engaged in the CCM Oversight Committee; in 2013-14, UNAIDS was a Deputy Chair of OC (and a member of the Executive Committee); in 2015-16, UNAIDS operated as an OC member</li> </ul>
<b>Other</b>	<ul style="list-style-type: none"> <li>UNAIDS together with the Global Fund FPM/ CT, as well as other development partners, advocated for appropriate space for civil society to meaningfully participate in the dialogue and decision-making. This role was recognized by p</li> </ul>

## KENYA

The evaluation team visited Kenya between the 6<sup>th</sup> and 10<sup>th</sup> of March 2017. 39 stakeholders were interviewed at the country level.<sup>5</sup> The following examples of support provided by the UCO were referenced by interviewed stakeholders during field visits , telephone interviews with the Global Fund Portfolio Manager (Kenya) and documentary evidence.

AREA OF SUPPORT	EXAMPLES FROM FIELD VISIT AND TELEPHONE INTERVIEWS
<b>Strategic Investments and Technical Support</b>	<ul style="list-style-type: none"> <li>Government agencies found UNAIDS effective in their provision of guidance, technical support and sharing of global experiences to share the national response and in the determination of impactful interventions.</li> <li>UNAIDS technical support contribution to strategic planning reviews and development processes; support for generation of strategic information through studies and surveys such as the Modes of Transmission Survey, the Kenya investment case, The Kenya AIDS Indicator Survey and the focus on Prevention alongside biomedical interventions is highly valued</li> <li>PRs noted that UNAIDS facilitated an exchange mission for to Mauritius and India to learn more on the People Who Inject drugs (PWID) programs</li> </ul>
<b>Political Commitment and Country Dialogue</b>	<ul style="list-style-type: none"> <li>Support for the development of the National HIV strategy</li> <li>UNAIDS represents UNJTA interests on the Kenya Coordinating Mechanism (KCM), the Interagency Coordinating Committee for HIV and other relevant Technical Working Groups</li> <li>UNAIDS UCD is a CCM member, and a member of various working groups.</li> <li>UNAIDS chairs the KCMs adhoc committee on Open and transparent Principal Selection process for the funding request to the Global fund currently under development. UNAIDS was appreciated in the KCM as a neutral arbitrator free of Conflict of Interest.</li> </ul>

<sup>5</sup> Interviewees included: Government staff (9), UNAIDS staff (7), UN Joint Team Staff (5), Grant Recipients (PRs) (3), LFA (1), Global fund Portfolio Manager (1), CSOs (8), KCM Members & Secretariat (4), Other (1). UNAIDS was instrumental in engaging all appointed respondents to ensure their dedicated time for the interviews; the evaluation team also exercised a high-level of flexibility in order to meet the respondents changing diaries.

	<ul style="list-style-type: none"><li>• Support with restructuring of the KCM and the national treasury's Global Fund Unit</li></ul>
<b>National AIDS Strategy &amp; Concept Note Development</b>	<ul style="list-style-type: none"><li>• UNAIDS supported funding request development processes and research on domestic financing as a part of sustainable financing</li><li>• TSF Support for the development of Concept Note</li></ul>
<b>General Cooperation Areas</b>	<ul style="list-style-type: none"><li>• Integrating global HIV direction and new trends on the epidemic, ensuring the Kenya AIDS Strategic Framework is anchored in UNAIDS 90-90-90 targets</li><li>• Coordinated TSF Support for strategic planning.</li></ul>