

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

Volume I: Final Evaluation Report

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Executive Summary

In December 2016, Universal Management Group was contracted to conduct the 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 Global Fund). UNAIDS and the Global Fund, as two of the largest multilateral/multi-donor organizations working on the global, regional and country level HIV response, have worked together since the Global Fund's establishment in 2002. The purpose of the evaluation was to assess what works and what does not (and why) in the relationship between UNAIDS and the Global Fund, provide examples of the achievements of the partnership, and provide recommendations to improve the functioning of the relationship at the global, regional and country levels. The evaluation focused on the organizations' collaboration from 2013 to mid-2016, and examined factors that may strengthen the relevance, effectiveness, efficiency and sustainability of the relationship and its components.

Evaluation Methodology, Analysis and Reporting

The evaluation was guided by an Evaluation Matrix that outlined the evaluation criteria, questions, and sources of data, refined during the Inception Phase and approved through the Final Inception Report. Evaluation methods used to answer the Evaluation Matrix questions included: literature and document review; stakeholder mapping; interviews and focus groups with 183 stakeholders, in person and through videoconferencing/telephone/Skype; an online survey of 49 stakeholders; and 5-day field visits to Malawi, Kenya, Myanmar and Thailand (regional and country visit) conducted between 13 February and 10 March 2017. The various sources of data were analyzed and triangulated to inform a presentation of preliminary findings, which was presented to the evaluation's Steering Committee the 7 April 2017. The preliminary findings and feedback informed the Draft Evaluation Report submitted the 29 April 2017. Following feedback from the Steering Committee, the evaluation team is submitting this Final Evaluation Report on the 26 May 2017.

Context

The relationship between UNAIDS and the Global Fund is based on 'mutual intention to collaborate to strengthen the global response to the HIV/AIDS epidemic and to accelerate progress towards impact on the epidemic.'¹ Specifically, the organizations cooperate 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.

Although the two organizations call their relationship a *partnership*, the organizations are primarily engaging in coordination (information sharing) and cooperation (alignment of activities). As academic and practitioner literature define partnerships as relationships with integrated activities, and UNAIDS and the Global Fund are not conducting integrated activities, with joint processes, budgeting and reporting, the evaluation report refers to the relationship rather than the partnership between the two organizations.

¹ UNAIDS and the Global Fund. "Memorandum of Understanding." 2008.

Relevance

The relationship between UNAIDS and the Global Fund is highly relevant to the global HIV response as it brings together financial and technical resources required to fight the epidemic. The relevance of the cooperation is enhanced by the complementarity of the two organizations' contributions to the HIV response and the alignment of their strategic orientations. The UNAIDS – Global Fund relationship is highly relevant at country and regional levels as the organizations work together in priority countries and through national multi-stakeholder systems. Through UNAIDS participation in the Country Coordination Mechanisms (CCM) and periodic Global Fund attendance of CCM meetings, the two organizations are better able to ensure that the ways in which they are working together remain relevant to the countries and regions they work in. However, some UNAIDS stakeholders consulted during field visits were critical of the concept of UNAIDS and Global Fund having a bilateral relationship at the country level, increasing the possibility of skirting national coordination systems.

Effectiveness

UNAIDS-Global Fund cooperation at all levels of the organizations resulted in a number of achievements that enhanced the effectiveness of Global Fund assisted programs. The majority of achievements are not systematically reported on by the two organizations, in a way that attribution can be given the UNAIDS – Global Fund relationship. At the country level, both partners are perceived to be fulfilling their responsibilities for the relationship, as described in the Cooperation Agreement. UNAIDS provides valuable support to the Global Fund and the broader HIV response to foster a country-driven, cohesive and inclusive Global Fund grant cycle. The Global Fund is primarily a funding mechanism at the country level and is recognized for its significant contributions to the HIV response, but could be more consistent in meeting with UNAIDS country office staff during country visits. UCO staff and Global Fund Country Teams are, in general, satisfied with current communications; regional staff indicate that the channels of communication could be clarified; global staff have mixed opinions.

The Global Fund was to establish a Partnership Management Committee, which would be responsible for the UNAIDS – Global Fund relationship (amongst others), but this was never fully implemented. As a result, the relationship is governed and managed through: 1) multi-stakeholder mechanisms at the global, regional and country level and 2) informal meetings between partnership counterparts at the global and country level. The global level multi-stakeholder mechanisms appear to be effective for harmonizing support to the HIV response, but are not effective for supporting the functioning of the UNAIDS – Global Fund relationship and remove organizational roadblocks. The UNAIDS-Global Fund relationship is operating without many of the relationship management tools and structures recommended for working in partnership, such as corporate guidance, joint work planning, joint monitoring and reporting and feedback mechanisms. The Cooperation Agreement, the main relationship management document, is not well known within the two organizations, nor is it regularly used by staff to guide the relationship and it has limited utility for assisting with managing the relationship. The evaluation team's analysis supports the need for a more explicitly articulated governance structure, management mechanism and the creation of relationship management tools to strengthen the quality of the relationship, ensure consistency in cooperation, provide a mechanism to monitor and report on the relationship, and ensure sustainability (in particular at the country level).

Efficiency and Sustainability

For the UNAIDS – Global Fund relationship, the issues of efficiency and sustainability are highly linked, due to the budgetary constraints faced by UNAIDS. Staff time is the primary resource that UNAIDS and the Global Fund dedicate to the relationship but there are no established parameters or proportions for the allocation of staff time. The lack of budgetary resources for the organizations to cooperate strains the relationship and undermines the level of engagement, resulting from a personality-driven approach to cooperation, driven by the relationship between staff counterparts in both organizations. The strain is compounded by the lack of systems to ensure continuity amid staff turnover, an issue that plagues many international organizations. However, the greatest future threat to the relationship is the decline in funding for HIV and the changes to the broader aid architecture. Development partners and national stakeholders emphasized the role of UNAIDS and the Global Fund at the global level to continue to advocate for funding and demonstrate the ongoing relevance and results the organizations are generating to end the HIV epidemic.

Conclusions

UNAIDS and the Global Fund are actively working together to address the HIV epidemic, through a relevant and complementary relationship that allows each organization to contribute to the HIV response based on their respective strengths and resources. The two organizations are engaged at the country, regional and global levels with different degrees of intensity and effectiveness in a relationship that is focused on improving the delivery and implementation of Global Fund grants. Each organization makes clear contributions to the relationship and to joint achievements for improving the HIV response.

The relationship is affected by internal and external factors. Externally, the relationship is under pressure from changes in the development aid landscape and diminished financing for HIV. Internally, the relationship is strained by the informal mechanisms and absence of tools and structures used to manage and improve the relationship. These two key factors are only some of the elements that, in the context of the renewal of the Cooperation Agreement, require the two organizations to decide jointly how to engage in the future. This decision is paramount for guiding all next steps, including establishing appropriate commitments to support the sustainability of the relationship in the future.

Recommendations

1. The senior leadership of UNAIDS and the Global Fund should convene a strategic discussion and make a decision on the level of engagement intended for the relationship.

The decision needs to:

- Determine where on the Continuum of Relationship the organizations wish to position themselves
- Establish a vision and mutual expectations for the relationship, and expectations regarding tangible results.

2. Senior leaders and units responsible for partnerships within UNAIDS and the Global Fund should engage in a ‘fit for purpose’ exercise to support the desired level of engagement.

The exercise should aim at determining the following:

- The format of the binding document for the relationship (MoU, Cooperation Agreement, contract)

- The need for establishing a governance and management mechanism and the supporting structure and resources for managing the relationship at each level, including feedback mechanisms to report on achievements of the relationship and corrective measures to adopt.
- An assessment of the resources required for UNAIDS to provide the support to Global Fund grant cycles. UNAIDS' senior leadership should use this assessment to advocate to donors for funding. (By UNAIDS)
- Conducting consultations across the organizations to validate the proposed feedback mechanism, including potentially establishing a small working group at the regional level and country level to design and validate appropriate supporting structures for the governance and management mechanism (for their level).
- The results from the 'fit for purpose' exercise should be disseminated throughout the two organizations, with actionable recommendations for staff at all levels.

3. The organizations should maintain their participation in engagement mechanisms at the global level:

- Maintain participation in key engagement mechanisms such as the organizations' Boards, HIV Situation Room, Global Fund Strategy Committee, TERG, JWG and GAC.
- Ensure resources are maintained for staff to prepare for and attend these meetings, in addition to other key global level convenings for the HIV response.

4. UNAIDS and the Global Fund should continue the level of engagement at the country level to effectively support Global Fund grant cycles.

- UCDs (and relevant UCO staff) and the Global Fund Country Teams should continue to communicate and meet regularly to ensure strategic alignment and eliminate duplication of the support both organizations provide, and ensure consistent communication to national stakeholders on changes to Global Fund grant processes and policies.
- Global Fund should continue to draw upon the strategic and contextual information provided by UNAIDS to ensure grants are based on the most up-to-date and relevant national and contextual information.
- Global Fund should continue to leverage UNAIDS' convening power for joint engagement of national stakeholders, in particular, around UNAIDS' areas of expertise.
- Global Fund FPMs should advise UCOs of their upcoming country visits and meet with the UCD face-to-face to discuss progress on Global Fund grant cycles. When possible, UCDs and FPMs should jointly attend key meetings with national stakeholders.
- UCDs and FPMs should take measures to ensure a smooth turnover between staff, such as documenting recent key joint actions in their country for the HIV response.
- UCOs should engage in more frequent and detailed communication with UNJTA partners and other national stakeholders to clarify their roles and responsibilities with regards to Global Fund grant cycles in their country.

Both UNAIDS and the Global Fund should provide guidance and resources to UCO's Global Fund Focal Points so they remain up-to-date on changes in Global Fund policies.

Acronyms

AP	Asia-Pacific
CCM	Country Coordinating Mechanism
CRG	Community, Rights and Gender department (Global Fund)
CT	Country Team
ESA	Eastern and Southern Africa
FPM	Fund Portfolio Manager (Global Fund)
GAC	Grant Approval Committee (Global Fund)
Global Fund	Global Fund to Fight AIDS, Tuberculosis and Malaria
HADG	HIV and AIDS Donor Group
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
JWG	Joint Working Group
KAP	Key Affected Populations
MHSCC	Myanmar Health Sector Coordinating Committee
MoU	Memorandum of Understanding
NFM	New Funding Model (Global Fund)
NGO	Non-governmental organization
NSP	National Strategic Plan
OECD-DAC	Organisation for Economic Cooperation and Development - Development Assistance Committee
OIG	Office of the Inspector General
PEPFAR	U.S. President's Emergency Plan for AIDS Relief
PIU	Programme Implementation Unit

PLHIV	Persons living with HIV
PMC	Partnership Management Committee (Global Fund)
PR	Principal Recipient (Global Fund)
RFP	Request for Proposal
RPM	Regional Portfolio Manager (Global Fund)
RST	Regional Support Team (UNAIDS)
SG	Steering Group
SI	Strategic Information
SIIC	Strategy, Investment and Impact Committee
TA	Technical Assistance
TERG	Technical Evaluation Reference Group (Global Fund)
TOR	Terms of Reference
TRP	Technical Review Panel (Global Fund)
TSF	Technical Support Facility
UCD	UNAIDS Country Director
UCO	UNAIDS Country Office
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNJTA	United Nations Joint Team on AIDS
WHO	World Health Organization

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1 Introduction

1.1 Background

1. The Universalia Management Group Limited (Universalia) is pleased to submit this Final Evaluation Report on the 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 Global Fund).
2. UNAIDS and the Global Fund are two of the largest multilateral/multi-donor organizations working on the global, regional and country level HIV response. UNAIDS' primary functions are political advocacy, strategic policy advice and technical leadership. It 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 and the United States President's Emergency Plan for AIDS Relief (PEPFAR). The Global Fund is an independent, international, non-governmental organization (NGO) established in 2002. Its mission 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 contribute to poverty reduction.
3. As outlined in the Request for Proposal (RFP) (see Volume II, Appendix I), the purpose of the evaluation was to assess what works and what does not (and why) in the relationship between UNAIDS and the Global Fund, provide examples of the achievements of the partnership, and provide recommendations to improve the functioning of the relationship at the global, regional and country levels. The evaluation focused on the organizations' collaboration from 2013 to mid-2016, and examined factors that may strengthen the relevance, effectiveness, efficiency and sustainability of the relationship and its components.
4. The audience for the evaluation is senior management at UNAIDS and the Global Fund, as well as their external partners. Findings, conclusions and recommendations from the evaluation will be shared with the UNAIDS Programme Coordinating Board and the Global Fund Board.

1.2 Evaluation Methodology

5. This section provides a brief summary of the evaluation methodology. The limitations and mitigations strategies are provided in Volume II, Appendix II. The full methodology was presented in the Technical Proposal and revisions were noted in the Inception Report.
6. The evaluation was guided by an Evaluation Matrix that outlined the evaluation criteria, questions, and sources of data (see Volume II, Appendix III). Evaluation methods included: literature and document review (see document list in Volume II, Appendix IV); stakeholder mapping (see Volume II, Appendix V); interviews and focus groups with 183 stakeholders, in person and through videoconferencing/telephone/Skype (see list of consulted stakeholders in Appendix VI and interview protocols in Appendix VII); an online survey of 49 stakeholders including UNAIDS Country Directors (UCDs)

and Regional Support Team (RST) Directors (response rate 64 percent), and Global Fund Portfolio Managers (FPMs) and Regional Portfolio Managers (RPMs) (response rate 10 percent) (see the survey instrument in Volume II, Appendix VIII and survey responses in Appendix XI); and 5-day field visits to Malawi, Kenya, Myanmar and Thailand (regional and country visit) conducted between 13 February and 10 March 2017.

Report Overview

7. Volume I, the Final Evaluation Report, is organized as follows:
 - Section 1: Introduction including the background, methodology and context
 - Section 2: Evaluation findings on relevance, effectiveness, efficiency and sustainability
 - Section 3: Conclusions and recommendations
 - The Appendices are presented in Volume II of the Evaluation Report.

1.3 Context

Basis for the Relationship between UNAIDS and Global Fund

8. The relationship between UNAIDS and the Global Fund is based on ‘mutual intention to collaborate to strengthen the global response to the HIV/AIDS epidemic and to accelerate progress towards impact on the epidemic.’² The organizations seek to accomplish this through coordination mechanisms and maximizing their complementary by fostering strategic alignment. Current areas of cooperation include information sharing, technical support, strategic investments, leveraging political commitment and supporting country dialogues with all stakeholders—including civil society and communities. Specifically, the organizations cooperate 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. These interactions take place at the country, regional and global levels, through committees, working groups and relationships between directors, managers and staff with overlapping work streams (further described in Section 2.3 on Effectiveness).

9. Over the past 16 years, since the Global Fund’s creation, UNAIDS and the Global Fund have formalized their relationship through a series of instruments, including Memorandums of Understanding (MoUs) (2003 and 2008) and a Cooperation Agreement in 2014. The evaluation team took into consideration the areas of cooperation and responsibilities as described in the 2014 Cooperation Agreement and the Terms of Reference for this evaluation, but these are not the sole basis for assessing the relationship.

Characterizing the Relationship between UNAIDS and the Global Fund

10. As the RFP calls for an evaluation of the *partnership* between UNAIDS and the Global Fund, it is essential to define the nature of the relationship between the two organizations. Based on our experience

² UNAIDS and the Global Fund. “Memorandum of Understanding.” 2008.

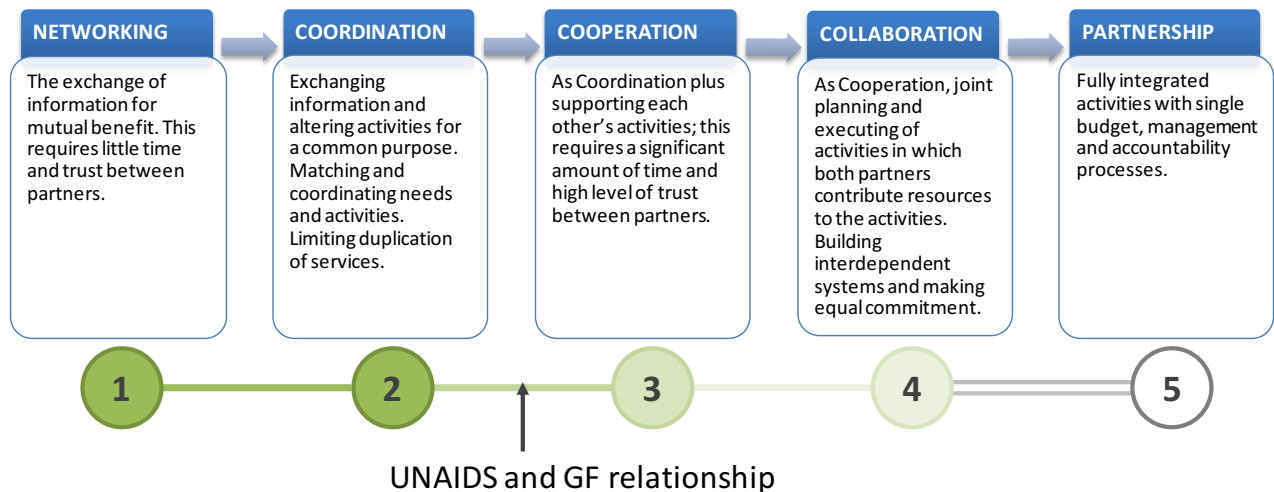
and an analysis of literature on partnerships, UNAIDS and the Global Fund are in a relationship in which they are actively working together on the HIV response, but further steps would have to be taken to achieve partnership, should this be the intention of the senior leadership of both organizations.

11. Based on academic and practitioner literature, and drawing on our experience evaluating partnerships, our definition of partnership is as follows:

“Partnership is a tailored relationship based on trust and openness, in which organizations work together to achieve a common purpose. The purpose is grounded in clear objectives, results and a specified timeframe. Partners build interdependent systems through which they share risks and rewards, and are able to manage the relationship. The performance of the partnership (effectiveness, efficiency) generates greater value than would be achieved in the absence of partnership.”³

12. The Continuum of Relationship (the Continuum) shown below outlines five levels of engagement, from **networking** (the least integrated) to **partnership** (the most integrated). The Continuum is not a metric of performance, but rather a menu of options available to organizations working together, which are each valid in different contexts. The Continuum is not intended to infer that any of the five levels is preferred; instead, it may serve to foster a discussion between the two organizations on the level of integration that is desirable and feasible for their specific relationship. UNAIDS and the Global Fund should discuss and decide jointly where they intend to align their relationship to ensure that they have a common vision and appropriate organizational arrangements, systems and allocated resources to support the relationship accordingly. The Continuum has been adapted for the purpose of this evaluation.⁴

Exhibit 1.1 Continuum of Relationship



13. Based on this Continuum, the relationship between UNAIDS and the Global Fund falls between coordination and cooperation. At the level of **coordination**, the organizations have the common purpose of ending the HIV epidemic, but do not have a clear set of relationship goals (these are absent from the Cooperation Agreement – described in paragraphs 13 and 14, and presented in full in Volume II,

³ Universalialia, 2017.

⁴ <http://www.sparc.bc.ca/wp-content/uploads/2016/12/continuum-of-collaboration.pdf>

Appendix IX). The organizations are complementary in their offerings and activities, and make efforts to align at the country level. The relationship has not fully reached the level of **cooperation**. UNAIDS provides significant support to Global Fund activities in a variety of ways that are mutually agreed upon in the Cooperation Agreement. Although the Global Fund influences UNAIDS's activities, the Global Fund does not provide the same day-to-day communication and support for UNAIDS' activities (this is not included in the Cooperation Agreement). The organizations have not yet fully reached the 'mutuality' of cooperation. Based on evaluation interviews, the organizations do not have a high level of trust, as trust varies throughout the organizations. Shared resources are primarily human capital (staff time) and there is no joint funding. The UNAIDS-Global Fund relationship shows some preliminary signs of **collaboration**, as they are both contributing to the interdependent system that is the NFM for Global Fund grant-making and implementation.⁵

14. In this report, therefore, we use the term *relationship* rather than *partnership* to characterize the alliance between UNAIDS and the Global Fund. The term *cooperation* is used when describing the ways in which the two organizations engage together.

⁵ The Cooperation Agreement makes a similar distinction between collaboration (in section 3) and cooperation (in section 4). Collaboration involves working together on joint activities, while cooperation involves information sharing, communication, and UNAIDS support for Global Fund-related activities. The definition of collaboration provided in the Continuum of Relationship involves deeper interaction than what is laid out in the Cooperation Agreement.

2 Evaluation Findings

2.1 Overview

15. The following sections present evaluation findings on relevance, effectiveness, efficiency and sustainability based on Organisation for Economic Co-operation and Development Assistance Committee (OECD-DAC) criteria and questions in the Evaluation Matrix.

2.2 Relevance

16. **Relevance:** The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.⁶

17. This section examines two dimensions of relevance: the relevance of the relationship of UNAIDS and the Global Fund to the global HIV response and the relevance of the relationship at country and regional levels.

2.2.1 Relevance to the HIV Response

Finding 1: The relationship between UNAIDS and the Global Fund is highly relevant to the global HIV response as it brings together financial and technical resources required to fight the epidemic.

18. The strong majority of stakeholders consulted for this evaluation (through field visits, interviews and the online survey) indicate that the relationship between UNAIDS and the Global Fund is highly relevant to the global HIV response.

19. Relevance of the cooperation is enhanced by the complementarity of the two organizations' contributions to the HIV response and the alignment of their strategic orientations. As stated in the MoU signed by the two organizations in 2008, the organizations bring complementary resources and skills to the HIV response, "The Global Fund is an innovative financing mechanism. UNAIDS is the coordinating body of the United Nations' response to AIDS, it has a global normative and technical support function, and it is focusing on making the resources of the Global Fund work."⁷ Exhibit 2.1 summarizes our analysis

⁶ OECD-DAC. "Glossary of Key Terms in Evaluation and Results-Based Management". Paris: OECD/DAC. 2002. p32.

⁷ UNAIDS and the Global Fund. "Memorandum of Understanding." 2008.

of the comparative advantages of the two organisations – as noted by consulted stakeholders and as emerged from our review of documents.⁸

Exhibit 2.1 The Comparative Advantages of UNAIDS and the Global Fund

UNAIDS	Global Fund
<ul style="list-style-type: none"> •UNAIDS' convening power •Successes in advocating for changes in policy and the funding landscape for HIV •Capacity building for CSOs •The data management and analysis role •The country office presence of UNAIDS staff to work on the ground supports a relationship with national governments and participation in the CCM 	<ul style="list-style-type: none"> •The significant financing Global Fund provides •Global Fund processes, such as the New Funding Model •The international reach of the Global Fund •The span of Global Fund's work across HIV, TB and Malaria

20. The relevance of the relationship is reaffirmed by the significant measures taken by the two organizations to strategically align the organizations' core mandates as expressed in their visions (see sidebar) and their corporate strategies. Through the Global Fund Strategy Committee, the two organizations have worked together to align the UNAIDS strategic plan for 2016 – 2020 and the Global Fund's strategic plan for 2017 – 2022. The Global Fund has adopted the UNAIDS Fast-Track strategy as their targets (10) and milestones (3) to achieve by 2020 in their HIV response, emphasizing that "the Global Fund's health impact goals and targets are explicitly linked to Partners' Global Plans." The two organizations have also formulated similar guiding principles for their overall work.⁹ The organizations are aligned in their strategic orientations, both targeting gaps in the HIV epidemic, facilitating in-country coordination (e.g., through Country Coordinating Mechanisms [CCM]), improving the sustainability of the HIV response and Global Fund programming, and partnering to achieve results.

Global Fund vision: *A world free of the burden of HIV/AIDS, tuberculosis and malaria with better health for all.*

UNAIDS vision: *Zero new HIV infections. Zero discrimination. Zero AIDS-related deaths.*

⁸ The Cooperation Agreement views the comparative advantage of the Global Fund as "to attract, manage, and disburse additional resources to respond to HIV/AIDS, tuberculosis, and malaria" (paragraph 2.a). It views the comparative advantage of UNAIDS as "country and regional presence, high level political advocacy and widely recognized convening, coordination and brokering mandate" (paragraph 2.c.).

⁹ The Global Fund. "The Global Fund Strategy 2017-2022: Investing to end Epidemics." 2016b. 14

2.2.2 Relevance at Country and Regional Levels

Finding 2: The UNAIDS – Global Fund relationship is highly relevant at country and regional levels as the organizations work together in priority countries and through national multi-stakeholder systems.

21. At the country and regional levels, there is alignment of priority countries. The UNAIDS strategic plan for 2016-2022 lists 35 Fast-Track priority countries for the response to the HIV epidemic.¹⁰ In 2015, of the countries receiving support from the Global Fund for HIV, 27 (44 percent) were Fast-Track countries. Of the total Global Fund resources awarded in 2015 for HIV, USD 5.5 billion (75 percent) was given to Fast-Track countries.¹¹

22. More than 90 percent of surveyed UCDs and FPMs indicated that the relationship between UNAIDS and the Global Fund is relevant for the response to the AIDS epidemic in their countries (94 percent) and for ensuring progress towards achieving the Fast-Track Targets for Ending AIDS by 2020/2030 (92 percent). Although the organizations engage in the HIV response with different approaches, 95 percent of surveyed UCDs (93%) and FPMs (100%) agree with the statement that UNAIDS and Global Fund have compatible core values for working in partnership.

23. Some UNAIDS stakeholders consulted during field visits were critical of the concept of UNAIDS and Global Fund having a bilateral relationship at the country level, indicating that the purpose of coordinating systems, such as CCMs, is for all partners in the HIV response to be working together (see one illustrative quote in sidebar).

For Global Fund and UNAIDS it is not bilateral work. It's important that there is a platform. If we have other funders, then we are interested in other funders all together and speaking all together. Our purpose is to bring it in and to complement [each other]. It's important not to have bilateral conversations. UNAIDS Country Director

24. Given the multi-stakeholder approach to the HIV response, UNAIDS-Global Fund cooperation is enhanced by integration into the CCMs. The CCM is one of the channels through which both organizations participate in the country dialogue process, designed to support adherence to both country needs and international standards in the HIV response. Through UNAIDS participation in the CCM and periodic GF attendance of CCM meetings, the two organizations are better able to ensure that the ways in which they are working together remain relevant to the countries and regions they work in. As stated by a UNAIDS regional staff member, "Our engagement on Global Fund work has never been motivated by a sense of having to do it by formal agreement. It's joint interest most of the time. It's aligned visions [for the country]."

¹⁰ "The Fast-Track approach is an agenda for quickening the pace of implementation, focus and change at the global, regional, country, province, district and city levels... It involves setting ambitious targets and accelerating the delivery of high-impact HIV prevention and treatment services... Fast-Track drives the 90-90-90 targets: that by 2020, 90% of people living with HIV know their HIV status, 90% of people who know their status are receiving treatment and 90% of people on HIV treatment have a suppressed viral load so their immune system remains strong and the likelihood of their infection being passed on is greatly reduced." (UNAIDS, 2015, p3)

¹¹ UNAIDS. "Extracts from UNAIDS Country Offices (UCO) Summary Reports submitted in ERP in relation to partnership with Global Fund." Extract, 2017a.

2.3 Effectiveness

25. **Effectiveness:** The extent to which the [relationship's] objectives were achieved, or are expected to be achieved, taking into account their relative importance.¹²

26. This section assesses the effectiveness of the contributions of both organizations in terms of: achievements that enhanced the effectiveness of Global Fund assisted programs; managing the relationship; and cooperation and communication between UNAIDS and the Global Fund.

Finding 3: UNAIDS-Global Fund cooperation at all levels of the organizations resulted in a number of achievements that enhanced the effectiveness of Global Fund assisted programs.

27. At the country level, the cooperation between UNAIDS and the Global Fund furthered the inclusion of key populations in the HIV response. In all four countries visited, interviewed stakeholders in all categories cited examples of UNAIDS supporting the inclusion of people living with HIV (PLHIV) in national HIV planning and Global Fund grant cycles. UNAIDS was commended for types of support such as hosting meetings for CSOs, ensuring the presence of PLHIV at the CCM (or other national meetings) and even arranging consultations in different geographic regions with PLHIV. For example, in Myanmar, UNAIDS is focusing on how to engage ethnic health organizations, in particular those located in geographic areas far from the capital and where international donors operate. UNAIDS organized consultations between ethnic health groups and the government in two different geographic areas. By engaging with these groups, UNAIDS facilitated the inclusion of new voices for the HIV response in the most marginalized populations. As the Global Fund does not have a country presence, it would be difficult for Global Fund staff to access these populations otherwise.

In Myanmar, a 'Core Package for HIV Prevention Amongst Key Populations', was jointly completed by the National Aids Program, Save the Children, UNFPA and the UCO through support of the Global Fund. It offers a standardized approach to prevention, as it outlines a core package of activities. These activities resulted in the UCO, jointly with NAP and partners: 1) identifying key innovative prevention strategies for inclusion in the new NSP 2016-2020; 2) the development of four policy briefs supporting advocacy towards decision makers promoting law reforms and innovative prevention strategies; and 3) the development of funding proposals.

28. UCDs and FPMs also leverage the UNAIDS-Global Fund relationship to unblock tricky political issues. In 2010, the Global Fund's Office of the Inspector General (OIG) conducted an audit of Global Fund grants to Malawi and identified "significant weaknesses in grant administration" – over 3 million USD in transactions that were ineligible and/or not adequately supported was refunded by the Government of Malawi between November 2012 and July 2014.¹³ The UCD, who was also the chair of the HIV and AIDS Donor Group (HADG), played a critical role in restoring the good relationships between the government and development partners. The UCD engaged with the President of Malawi, Minister of Finance and Health, donors, the Global Fund and CSOs to support confidence building measures. UNAIDS helped to convene the national stakeholders and donors in the HIV response to submit a Concept Note under the

¹² OECD-DAC. "Glossary of Key Terms in Evaluation and Results-Based Management". Paris: OECD/DAC. 2002. p20

¹³ Global Fund OIG. Malawi Audit Report. 2012. p. 1-2.

NFM and supported the organization of a Government of Malawi High-Level Delegation to the Global Fund in Geneva in January 2015 to assure the Global Fund that Malawi was implementing effective reforms in response to the OIG audit. Interviewees from all stakeholder groups, including senior Ministry of Health officials affirmed their high regard for the role UNAIDS played in restoring confidence and trust after the audit. UNAIDS played a significant role in reforming the governance of the CCM in 2014–15 and in the establishment of the Projects Implementation Unit (PIU) in the Ministry of Health in 2016 to serve as the administrator of the current TB/HIV grant in place of the National AIDS Commission.

29. UCDs and FPMs also leverage their political relationships to increase domestic resources for HIV. 60% of UCDs and 40% of FPMs surveyed indicate that they have jointly worked to increase the level and quality of political commitment for the provision of domestic resources, in their country of work. For example, in Myanmar, discussions with the government resulted in an initial dedication of USD 5 million for antiretroviral drugs, which increased to USD 15 million.

30. In addition to technical support provided by the UCOs, the Regional Support Teams (RSTs) of the UNAIDS Secretariat helped many countries, through the Technical Support Facilities (TSFs), by supplying strategic information, providing technical support for Concept Notes, helping countries meet their resource mobilization needs, engagement with CSO regional CSO networks and GF regional CSO platforms for regional projects, and organizing joint workshops and meetings with the Global Fund (amongst many other types of support). During the evaluation period, there has been a strong focus on providing services to assist countries with the requirements of the NFM and direct support and funding consultants to assist with the preparation of Concept Notes. UNAIDS also supports countries with the development of National Strategic Plans and Investment Cases, essential country tools for the HIV response, which are of benefit to the Global Fund application processes. Almost three-quarters of TSF assignments in 2014 and 2015 had a Global Fund process component focus. During field visits, UCO staff commented favourably on the speed and flexibility with which they received TSF support from their RSTs.

Exhibit 2.2 *Percentage of Consultancy Days for Global Fund-related Technical Support through the TSFs¹⁴*

Region	Period	NFM Concept Note	NFM Building Blocks	No. of TS assignments
Asia-Pacific	June - Dec 2014	56%	10%	148
	Jan 2015 - June 2015	45%	10%	
Eastern and Southern Africa	April - Sept 2014	82%	11%	140
	Oct 2014 - Sept 2015	61%	13%	
West and Central Africa	July - Dec 2014	57%	6%	148

31. At the global level, the relationship contributes to advancing the work of both organizations primarily through joint problem solving. An example of this cooperation is the HIV Situation Room, a physical convening in which development partners and relevant stakeholders meet to problem solve for specific countries. UNAIDS co-chairs these convenings with WHO and PEPFAR, and typically takes a leading role. Users of the HIV Situation Room analyze collected data, identify trends, share reports and

¹⁴ UNAIDS. "UNAIDS Technical Support Facilities." Mid-Term Review, 2016d.

troubleshoot issues that cannot be solved without broader collaboration. For example, in March 2016, UNAIDS, Global Fund, WHO and PEPFAR participated in a HIV Situation Room chaired by UNAIDS through which parties agreed upon a coherent course of action for key issues in the Democratic Republic of the Congo including new WHO guidelines, paediatric treatment, expansion of joint HIV/TB activities, etc. Other countries that have recently participated in the HIV Situation Room include South Sudan, Mali and Chad.

32. These achievements, as a result of the UNAIDS – Global Fund relationship, represent a selection of examples. A range of other achievements have occurred due to the cooperation of the two organizations, however, they are not systematically reported on, in a way that attribution can be given the UNAIDS – Global Fund relationship. Additionally, the majority of the processes the two organizations engage in are typically multi-stakeholder, involving many other organizations, governments and individuals, and therefore cannot and should be attributed specifically to the UNAIDS – Global Fund relationship either, nonetheless, both organizations were acknowledged by all stakeholders interviewed as key players in the wider HIV response.








Finding 4: UNAIDS provides valuable support to the HIV response to foster country-driven, cohesive and inclusive Global Fund assisted programs. The country level UNAIDS-Global Fund relationship is managed by the UCD and FPM and centered on the delivery of Global Fund grants.

The UCD – FPM Relationship

33. UNAIDS-Global Fund cooperation at the country level is generally positive and is built upon the interpersonal relationships between UCDs and FPMs, but as a result varies significantly by country depending on the inter-personal compatibility of the two individuals. Cooperation is centered around stakeholder meetings and advocacy efforts, and to a lesser extent, other types of activities that support Global Fund assisted programs and the involvement of both organizations in the national HIV response, as shown through survey data below.

Exhibit 2.3 UNAIDS-Global Fund Joint Activities at Country Level

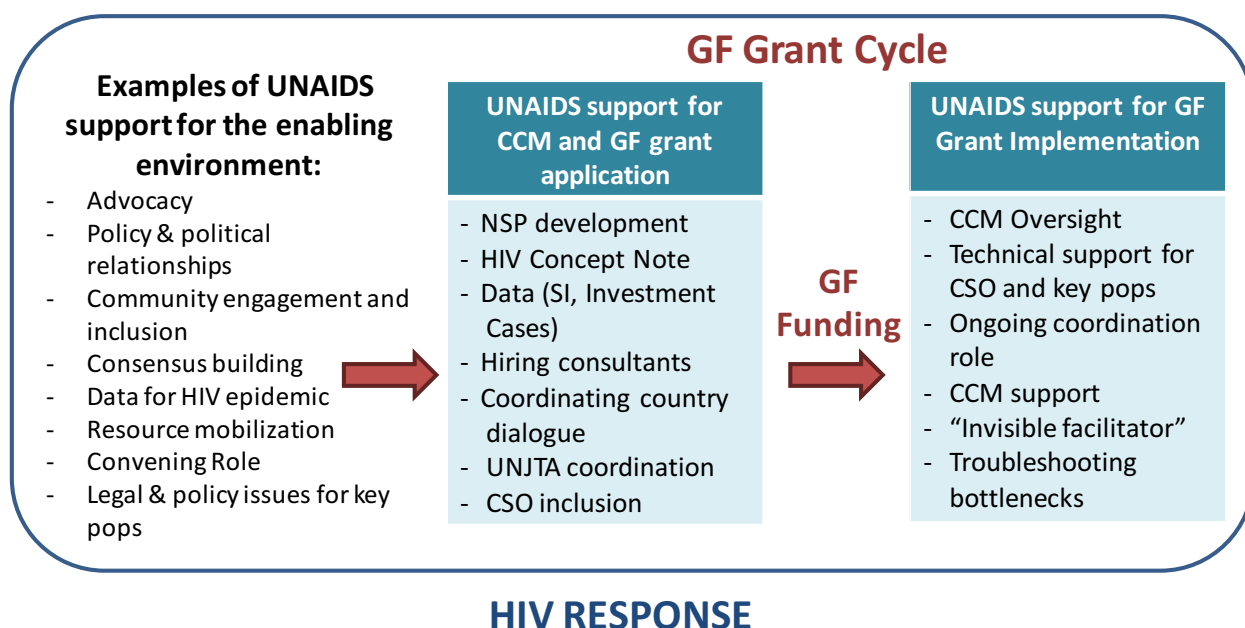
Which joint activities, if any, have UNAIDS and the Global Fund engaged in together in your country/ region?

Response	Chart	Percentage	Count
Advocacy efforts		78.6%	33
Joint trainings and workshops		57.1%	24
Round tables		54.8%	23
Networking events		47.6%	20
Joint missions		45.2%	19
Other, please specify		31.0%	13
Developing joint materials		21.4%	9
Total Responses			42

UNAIDS’ Role in the Relationship at the Country Level

34. To reach the targets set out in UNAIDS’ 2016 – 2020 Strategy, UNAIDS provides support to the HIV response as a whole, including building the enabling environment, supporting national stakeholders and their participation in the response, and contributing to Global Fund grant cycles and Global Fund assisted programs. Exhibit 2.4 provides examples of such support.

Exhibit 2.4 Examples of UNAIDS Support at Country Level






Key to graphic: NSP: National Strategic Plan; UNJTA: United Nations Joint Team on AIDS; SI: strategic information; TSF: Technical Support Facility; Invisible facilitator: behind the scenes role, building stakeholder consensus on HIV response. Source: Universalialia, 2017.

35. UNAIDS support is diverse; it includes and extends beyond the responsibilities in the Cooperation Agreement, and varies by country – depending on the country context and needs, the number of UNAIDS staff in country, the capacity of the national government (particularly for grant development and CSO engagement) and the participation of other UN agencies and development partners. Exhibit 2.5 shows examples of UNAIDS support as identified by UCDs and FPMs throughout Global Fund grant cycles.

Exhibit 2.5 UNAIDS Support for National Planning Related to Global Fund Grants – Survey Data

Response	Chart	Percentage	Count
Participating in inclusive country dialogue		97.2%	35
Concept Note Development		91.7%	33
Analyses for the prioritization of objectives, targets and resources		91.7%	33
Provision of data and strategic information		91.7%	33
National Strategic Plan (NSP) Development (data input, writing assistance)		86.1%	31

Response	Chart	Percentage	Count
Hiring consultants to support NSPs and Concept Notes		86.1%	31
Coordinating inclusive country dialogue		77.8%	28
Investment Case development		55.6%	20
Total Responses			36

36. Although the number of FPM survey respondents was low (7), 100 percent agreed somewhat or strongly that in their country of work, UNAIDS plays a leading role in supporting the CCM, facilitates data collection and analysis of the epidemic and the response (including identifying gaps), supports the development of national plans, and plays an important role in facilitating inclusive country dialogues. Surveyed FPMs showed equal satisfaction with the quality of the technical support given to CSOs and the national government. Interviews with FPMs for field visits confirmed that in three of the four countries UNAIDS was actively playing the roles described in Exhibits 2.3, 2.4 and 2.5, as relevant. Global Fund staff had more varied perspectives on the utility and technical quality of UNAIDS support at the country level. With regards to UNAIDS' information sharing responsibilities, the strong majority of interviewed and surveyed FPMs indicated that the UNAIDS Country Offices (UCOs) kept them informed of key work undertaken to inform and support Global Fund grants. Global Fund staff commented that with the increase in number of Global Fund visits to countries, the Global Fund is able to gain contextual information relevant for grant-making. Others stated that without UNAIDS, Global Fund assisted programs would risk being implemented at a significantly slower pace or without a full understanding of country context.

Global Fund Role in the Relationship at the Country Level

37. The Global Fund's responsibilities at the country level for the UNAIDS-Global Fund relationship are significantly fewer in number and smaller in scope than those of UNAIDS.¹⁵ The responsibilities revolve around information sharing and engagement of UNAIDS to align Global Fund processes with UNAIDS analyses, standards and guidance. The Global Fund's main responsibility is to share information and data with UNAIDS to support a coordinated national HIV response. The majority of interviewed and surveyed UCDs (85 percent) indicated that the Global Fund country teams regularly share information on the country context (political, economic, etc.) as well as on policies, processes and tools with their UCO. Similarly, 91 percent of surveyed UCDs affirm that the UCO and the Global Fund Country Team share information with each other regularly and during all stages of the Global Fund grant cycle. However, in three of the four field visit countries, UNAIDS country staff noted an increase over the past few years in bilateral communication between the Global Fund FPMs and Principal Recipients (PRs), specifically with regard to Global Fund grant reprogramming, which was identified by UNAIDS and other development partners on the CCM oversight committees as a potential risk for undermining CCM.

38. In country visits, UCO staff also acknowledged the efforts made by Global Fund to integrate UNAIDS analyses and standards in Global Fund assisted programs, but indicated that these could not always be accommodated, given Global Fund processes. UCO staff also were complementary of their

¹⁵ See Volume II, Appendix X which shows how the Cooperation Agreement lays out responsibilities by 1) level of the organizations (country, regional and global), and 2) responsible organization (joint responsibility, UNAIDS, Global Fund)

virtual access to the Global Fund Country Teams, which made themselves available by email and telephone to the UCD. In countries visited, the Global Fund relies on the cooperation of UNAIDS and/or CCM Secretariat staff to coordinate and plan Global Fund country team visits, which some UCDs noted were increasing over time. The planning takes significant staff time. For some countries, the Global Fund Country Team visits were described as taxing for country stakeholders, both in terms of the organizational requirements and the necessity to halt their workflow and reschedule meetings and events to accommodate visits. If these visits continue to increase and place demands on UNAIDS staff time, it could put strain on the relationship. However, not all FPMs inform the UCOs of their visits in-country in advance and not all FPMs arrange meetings with the UCDs when visiting. Of the 33 UCDs surveyed on this topic, 64 percent said the FPM 'always' notified them in advance to arrange a meeting prior to a country visit; 21 percent said they were 'often' notified, 9 percent said 'rarely' and 6 percent responded 'don't know'. The instances in which FPMs would visit the country without meeting UCO staff leaves UCDs 'out of the loop' and hinders their ability to play their facilitating and coordinating role.

39. Overall, at the country level, the Global Fund is primarily a funding mechanism, and when it continues to deliver grants in countries and share information with UNAIDS, it is perceived to be fulfilling most, but not all of its responsibilities for the UNAIDS-Global Fund relationship.

Finding 5: At the global level, UNAIDS and the Global Fund engage strategically through formal mechanisms with technical partners to foster coordination of the global HIV response and through less formal mechanisms that engage UNAIDS and Global Fund staff in UNAIDS' areas of focus.

40. At the global level, the UNAIDS-Global Fund relationship is centered around UNAIDS feeding into Global Fund's global operations and Global Fund assisted programs, mirroring what occurs at the country level. Staff from UNAIDS and the Global Fund work together regularly at the global level through a variety of engagement mechanisms (see Exhibit 2.6) with diverse mandates and varying frequency. UNAIDS' contributions to these groups typically revolve around areas of focus similar to those at the country level, notably, but not limited to, supporting the coordination (in particular of UN partners and CSOs), data generation and use, and inclusivity (human rights, gender and community involvement) of the global HIV response.

Exhibit 2.6 *Examples of Formal Engagement Mechanisms at the Global Level*

FORMAL ENGAGEMENT MECHANISMS	DESCRIPTION	FREQUENCY
HIV Situation Room	Platform for the Global Fund and technical partners to discuss technical, process and political challenges related to HIV and TB/HIV Concept Note development and implementation. Either UNAIDS, WHO or PEPFAR chair these meetings. UNAIDS actively participates in helping Global Fund and partners solve the challenges identified.	1 time / month
UNAIDS Interdepartmental Meeting on Global Fund Affairs	UNAIDS staff working on Global Fund-related issues from country, regional and HQ offices meet to discuss issues relevant to the Global Fund relationship. The Global Fund is regularly invited to participate to share latest developments, discuss issues in the partnership framework, and get UNAIDS feedback.	4 times / year

FORMAL ENGAGEMENT MECHANISMS	DESCRIPTION	FREQUENCY
Global Fund Board	UNAIDS sits on the Global Fund Board as a non-voting technical member. The UNAIDS constituency includes the Cosponsors, with whom it coordinates and solicits perspectives in formulating input into strategic decisions and discussions.	2 times / year
Global Fund's Strategy Committee	UNAIDS is an observer in the Global Fund's Strategy Committee (formerly a member of the Strategy, Investment and Impact Committee (SIIC)) which coordinates the development of the Global Fund corporate strategy. Through this committee UNAIDS is able to contribute strategic analysis of key issues relevant to the UN agencies and advocate for alignment with global standards (e.g. Three Ones, 90-90-90).	Varies
Global Fund's Grant Approval Committee (GAC)	The GAC reviews Global Fund grants and recommends them for grant-making and Board approval, an intensive process that involves engagement with FPMs and UNAIDS UCOs and RSTs to analyze each grant. UNAIDS ensures inclusion of human rights, gender and key populations in Global Fund assisted programs, through its status as a member of the GAC.	~ 10-15 meetings / year
Joint Working Group (JWG)	Platform chaired by the WHO that brings together partners with the various departments of the Global Fund. It serves as an arena for information sharing, discussion and input into policies and processes. The JWG provides a way for UNAIDS to engage with Global Fund regularly.	Weekly
Technical Evaluation and Reference Group (TERG)	The TERG is an independent evaluation advisory group, accountable to the Global Fund Board for ensuring independent evaluation of the Global Fund business model, investments and impact. UNAIDS is a member of TERG, providing comments on evaluations.	2 times / year
Implementation Through Partnership Initiative	UNAIDS was a Lead Partner for a number of action steps mainstreamed in the Implementation Through Partnership Initiative, started by the Global Fund in October 2015 to work more intensively with partners in 20 countries with large allocations but lower than desirable absorption rates (described in paragraph 50).	Oct 2015 – Dec 2016

41. These formal engagement mechanisms involve multiple organizations, as relevant to the given area of work. Through these mechanisms, UNAIDS is able to influence Global Fund strategies and funding allocations. For example, during the SIIC's development of the Global Fund Strategy 2017-2022, UNAIDS advocated to align the strategy with UNAIDS' core technical areas. Ultimately the Global Fund strategy is aligned with the 90-90-90 goals and the explicit considerations of gender, human rights and key populations are better aligned with partner guidance. The JWG is another platform through which UNAIDS is able to feed into the policies, processes and planning of various departments of the Global Fund. UNAIDS and Global Fund staff also engage in less formal ways through other departments. Exhibit 2.7 provides examples.

Exhibit 2.7 Examples of Less Formal Engagement Mechanisms at the Global Level

LESS FORMAL ENGAGEMENT MECHANISMS	DESCRIPTION	FREQUENCY
Informal UNAIDS-Global Fund relationship management	After the decision to discontinue the Global Fund's Partnership Management Committee, an informal working group was formed. The Chiefs of Staff of both organizations and a select number of senior staff hold meetings to discuss the strategic directions of both organizations.	Ad hoc
<p>Examples of other Global Fund departments/ units that UNAIDS works with:</p> <ul style="list-style-type: none"> • Community, Rights and Gender department (CRG) • Policy Hub • CCM Hub & Working Group • Catalytic Funding • Data/Strategic Information • Access to Funding 	<p>UNAIDS and the Global Fund work together regularly through the various departments, units, Hubs and teams in the two organizations to ensure alignment and collaboration in key areas of the global HIV response. The intensity of engagement varies by project/activity, with some teams working together in an on-going way on key issues and others sharing data and analyses as relevant.</p> <p>Examples include:</p> <ul style="list-style-type: none"> • The Global Fund CCM Hub consulted UNAIDS on the development of the proposed new CCM Strategy, through the CCM Working Group. • UNAIDS worked with the CRG department on developing a catalytic funding opportunity for human rights, and put this forward as a technical partner at the Policy Hub and Strategy Committee, securing Board approval. • UNAIDS collaborates with Global Fund to assess the impact of national responses using modelled incidence and mortality estimates. UNAIDS also supports impact workshops where countries can develop scenarios of varying programmatic mixes to determine which mix has the greatest impact, and in some cases, the greatest efficiency. • Global Fund seeks UNAIDS' expertise for technical reviews of survey protocols and final reports of surveys before accepting them as responsive to the grant. • UNAIDS provides input on the development and methodologies of indicators and targets for Global Fund processes • UNAIDS participated in the development of information and application materials for the NFM and the 2017-19 funding cycle 	On-going, ad hoc or as relevant.

42. Through document review and interviews, the evaluation team found that UNAIDS and the Global Fund engage strategically at the global level, but that reporting on this is inconsistent and not documented comprehensively. Knowledge of such engagements is held by a few select global level staff and inconsistently disseminated to regional and country level staff. This is reflected in the lack of awareness by interviewed regional and country staff of the various engagement mechanisms at the global level. Similarly, the decision not to establish the Partnership Management Committee is also a significant deviation from the engagement outlined in the Cooperation Agreement, was decided by a select number of senior staff and was not formally documented or communicated throughout the organizations.

Finding 6: The UNAIDS-Global Fund relationship is managed through multi-stakeholder mechanisms and informal meetings. This approach to relationship governance and management is insufficient to support effective functioning of the relationship and remove organizational roadblocks.

43. The relationship between UNAIDS and the Global Fund does not have a specific formalized management mechanism. While a Partnership Management Committee (PMC) was envisioned in the Cooperation Agreement (with Terms of Reference for its operations to be annexed to the agreement), the committee was dissolved after one meeting as it was perceived to overlap with other ongoing consultative groups in which the two organizations participated.¹⁶

44. In the absence of a management committee, the relationship is managed through two types of consultations: 1) multi-stakeholder mechanisms at the global, regional and country level and 2) informal meetings between partnership counterparts at the global and country level. In the first type of consultation, described in Finding 5.

45. More specific management of the relationship takes place informally at the global and country levels. At the global level, a small committee of senior staff members from both organizations meet to discuss strategic orientations. A strong majority of interviewed global level staff were satisfied with the informal approach to relationship management, stating that it allowed greater flexibility and that adding additional processes would result in unnecessary bureaucracy. However, more than half of global level staff from both organizations expressed a level of discontent with the relationship as a whole. Therefore, although there was not a desire to have the relationship be more closely managed at the global level, the same stakeholders were not fully satisfied with the relationship (examples of causes for dissatisfaction varied, including perceptions of insufficient communication, relationship management and a lack of “efficiency” of the relationship). These staff indicated that a clearer governance structure would increase the efficiency, coordination and oversight of the two organizations for supporting the HIV response. Several global level staff at the Global Fund stated that without a fiscal relationship between the two parties, for which funding would be attached to specific outcomes, it was unlikely that either organization would invest in monitoring relationship-specific results. However, global level donors expressed concern that the leadership of both organizations is “taking for granted the necessity of managing the relationship”, and supported the creation of a relationship management structure to further improve coordination and demonstrate results.

46. At the country level, UCDs and FPMs manage the relationship through ongoing communication and cooperation for Global Fund grants. UCO staff and FPMs commented that the informality results in variability in the relationship, affected by the proximity of the UCD-FPM relationship. The informality was considered an asset when the relationship between the UCD and the FPM was harmonious, as it allows the two managers to establish their own ways of working together closely. Conversely, UCO staff suggested that when the UCD and FPM were not working as closely together, or communicating regularly, the lack of formal structures created mismatched expectations and reduced the clarity of roles and responsibilities. Several examples were given when UCDs and FPMs were not communicating sufficiently and the result was that two organizations presented misaligned messages to national stakeholders, which resulted in some confusion around Global Fund grant cycles. These informal meetings differ from what

¹⁶ The Global Fund’s Partnership Management Committee was intended to be a committee that coordinated several relationships, including other organizations such as WHO, Stop TB, etc. It was not intended specifically for the UNAIDS-Global Fund relationship.

was proposed in the Cooperation Agreement, which specified that the two organizations would engage in “consolidated reporting, and recommend joint actions on any major quality assurance issues”, which has not systematically occurred. The effect is that the communication and cooperation are personality-driven and change with staff turnover in the UCO and Global Fund Country Teams.

47. The evaluation team’s analysis supports the need for a more explicitly articulated governance structure to strengthen the quality of the relationship, ensure consistency in cooperation, provide a mechanism to monitor and report on the relationship, and ensure sustainability (in particular at the country level). There are several factors supporting the creation of a clearer governance structure.

48. One factor is the general perception (of staff in both organizations and global donors) that neither organization is investing in improving how they work together and that sufficient formal channels do not exist to improve the relationship. The relationship is currently dependent on the level of engagement of the staff of the two organizations and there are few mechanisms at the regional and global level to ensure that engagement continues when staff personalities clash.¹⁷ Some UNAIDS staff at each level expressed frustration that there is no mechanism to monitor the relationship and report on their contributions, as UNAIDS’ support for the Global Fund cannot easily be disentangled from UNAIDS’ support for countries, that fall under its core mandate.

49. A second factor is the pervasive opinion that the contributions of UNAIDS to Global Fund work are not sufficiently recognized. UNAIDS and the Global Fund monitor their activities individually and have not established a joint system, as was specified in the Cooperation Agreement. As there is no comprehensive monitoring and reporting system for the relationship, it is generally difficult for the staff of either organization to identify what outcomes the relationship specifically supported and which partners contributed to these outcomes.

50. An example of successful joint reporting is the Implementation through Partnership (ITP) Initiative, which allowed partners to clearly identify their areas of work and report on them, supporting both accountability and recognition. The ITP was a one-off initiative started by the Global Fund in October 2015 in which partners (WHO, UNAIDS, Stop TB, UNICEF, Gates and GAVI) worked intensively in 20 countries with large grant allocations and lower than desirable absorption rates, to ensure the absorption of funds and disbursement of grants. The ITP partners developed a mutual accountability framework for supporting the national HIV response. The framework defined the overall scope, timelines and reporting frequency, as well as the governance and leadership structure for the Initiative. The Global Fund tracked the contribution of partners (including UNAIDS) and reported progress on country targets. Senior staff within both organizations commented favorably on the ITP approach for joint work planning. The partners have yet to determine if a similar approach will be used again the future.

51. Should the relationship continue to rely on informal governance, management, monitoring and reporting, the quality of the relationship will continue to depend on the cooperation of individual staff, which is likely to remain personality-driven.

¹⁷ At the country level, UCDs and FPMs are bound to cooperate based on the responsibilities described in their respective TOR. Also, since UNAIDS support countries with resource mobilization, and value for money (efficient use of AIDS resources), it is bound to also (more or less directly) support GF processes.

Finding 7: The UNAIDS-Global Fund relationship is operating without many of the relationship management tools and structures recommended for working in partnership. The Cooperation Agreement, the main relationship management document, is not well known within the two organizations, which limits its utility as a guiding document.

Using the Cooperation Agreement and the 2008 Memorandum of Understanding to Guide the UNAIDS-Global Fund Relationship

52. Over the past decade, UNAIDS and the Global Fund used two documents to guide their relationship: a MoU in 2008 and subsequently, a Cooperation Agreement signed on 9 December 2014, replacing the MoU. The MoU outlined the purpose of the working relationship (“partnership”) and provided a framework that described the principles, objectives and review and management of cooperation between the two organizations. The Cooperation Agreement describes the ‘collaboration arrangements’ and ‘cooperation areas’, which are essentially the areas of focus and actionable responsibilities of each organization at the country, regional and global levels. The Cooperation Agreement is heavily focused on country level responsibilities, with fewer stipulations for regional and global levels. In reviewing these documents, the evaluation team noted a number of shortcomings that limit their use for strategic or operational purposes, several of which were echoed by UNAIDS and Global Fund staff (see box below).

Partnership literature states that to ensure effective partnering and accountability, a partnership should have both a strategy and an operational “action plan” with measurable, time-bound results. For example, a strategy for partnership would contain a clear common purpose and high-level objectives for the partnership.

An operational partnership document (or action plan) would contain joint areas of work, actions and expected results to ensure on-going cooperation and accountability between partners.

53. The purpose of the Cooperation Agreement as noted in paragraph 1a is to, “set forth a mutual cooperation framework with respect to the Global Fund’s HIV/AIDS related programmes.”¹⁸ The document’s intended purpose was not to form a partnership (in the way partnership is described in section 1.3.1 of this report), but to ensure that two organizations are

aligned in their support for Global Fund assisted programs. The Cooperation Agreement does not articulate a clear common purpose, measurable objectives, or expected time-bound results against which to measure the success of cooperation, but rather lists the operational responsibilities of partners for Global Fund assisted programs.¹⁹

54. Awareness amongst staff of the Cooperation Agreement was low. Of those who were aware of the Cooperation Agreement’s existence, few were aware of its contents. Among country level staff consulted through field visits, awareness of the Cooperation Agreement varied from low to none.²⁰ At all

¹⁸ UNAIDS and the Global Fund. "Cooperation Agreement between the Global Fund to Fight AIDS, Tuberculosis and Malaria, and the Joint United Nations Programme on HIV/AIDS (UNAIDS)." December 9, 2014, p1.

¹⁹ From the perspective of the evaluation team, the MoU provided greater strategic specifics than the Cooperation Agreement, as it contained objectives for the cooperation and guiding partnership principles.

²⁰ Those with the highest awareness of the Cooperation Agreement were UCDs and FPMs and some groups at the global level that frequently worked together. In the survey, 90 percent of UCDs and FPMs indicated that they either

levels, consulted staff from both organizations felt that the Cooperation Agreement serves neither a long-term strategic purpose nor a day-to-day operational purpose. Several global level staff from both organizations referred to the Cooperation Agreement as 'symbolic'. At the country level, the Cooperation Agreement was described by UNAIDS staff as "describing what we already do."

55. Although the Cooperation Agreement does not have written outcome objectives, 84 percent of UCDs and FPMs indicated that there are clear objectives for the relationship at the country level, which relate primarily to facilitating Global Fund grants and supporting the national HIV response. UCO staff and FPMs suggest that this is because the mandate for cooperation at the country level is based on supporting the country's HIV response, and therefore relatively clear to both organizations. This alignment of mandates may, in some instances, create an interdependence between the two organizations. Based on country visits, in two of the four countries, Malawi and Myanmar, consulted stakeholders from all stakeholder groups, including Global Fund staff, highlighted the dependence of the Global Fund on UNAIDS for the success of its grants.

Limited Corporate Guidance for the Relationship

56. The majority of staff in both organizations indicated that their senior management could provide further clarification on expectations for how to work together. The Cooperation Agreement stated that senior management of the two organizations were to create and disseminate corporate guidance to engage in partnership, in part to ensure compliance with their respective roles and responsibilities. The evaluation found little evidence of formal guidance on how to strengthen cooperation between the organizations, but did find the following two examples of guidance:

- The Global Fund provides staff with general corporate guidance on how to engage partners in the NFM. This guidance is not specific to UNAIDS and none of the consulted Global Fund staff mentioned it during evaluation interviews.
- UNAIDS only corporate guidance for working with the Global Fund was an Executive Directive from UNAIDS Executive Director Michel Sidibé to all UNAIDS Country Directors on the New Funding Model. Our review of the document as well as feedback from UCDs confirms that the document provides broad directives on the roles and responsibilities of UCDs with regard to the Global Fund and NFM. The language in the directive is very similar to the Cooperation Agreement. However, it does not specifically mention collaborating with FPMs.²¹

57. While the majority of consulted UNAIDS staff (excluding UCDs) were unaware of this guidance or indicated that it is insufficient, the majority of surveyed UCDs (86 percent) and FPMs (67 percent) feel that their organizations have developed and disseminated guidance to direct staff to engage in specific joint and complementary tasks between organizations.

58. Other staff within the organizations indicated that they were less clear on how to cooperate across organizations. In field visit interviews, staff who reported to the UCDs noted that they would appreciate further guidance on how to engage with FPMs and other stakeholders at the Global Fund. At the regional level, UNAIDS staff noted a lack of clarity on roles and responsibilities for engaging with the

knew the Cooperation Agreement well (45 percent) or had read it once or twice (45 percent); 10 percent did not know. The majority of other UCO staff had not read the Cooperation Agreement prior to learning of the evaluation team's field visit, or had read it once when it was first disseminated.

²¹ Michel Sidibé, April 4, 2014.

Global Fund beyond the RPM, although the majority of regional staff do engage with the Global Fund in their specific technical areas.

59. Survey responses support the view that overall two organizations do not deviate too much from the prescribed roles set out in the Cooperation Agreement. 77 percent of surveyed UCDs and 80 percent of FPMs agreed with the statement, “Both partners are complying with expected and agreed roles”. Country visits, interviews and observations indicate that the organizations are complying to their roles to varying degrees, with the UCDs and FPMs using what was described as ‘a common sense approach’ to cooperation, driven by country needs and international standards, rather than being guided by the Cooperation Agreement.

60. When asked if they would appreciate the introduction of corporate guidance, very few interviewed staff members responded in the affirmative and many expressed concerns that such guidance would reduce flexibility and increase workloads. They also noted that a ‘one size fits all’ approach would not work as UNAIDS and Global Fund engagement varies by country and region, depending on the severity of the epidemic and the domestic capacity of the country. Without corporate guidance on how to work together, the relationship between UNAIDS and the Global Fund relies upon the goodwill of staff to ensure cooperation to fulfill their mandates, which can be an asset or a liability; this was noted by staff at all levels of the two organizations.

Absence of Rolling Joint Work Planning

61. In general, UCOs and Global Fund Country Teams manage their organizations’ workflow separately through their own annual work plans, either at the office/team level or the individual level.²² While the Cooperation Agreement committed the two organizations to developing joint country-level rolling work plans as a component of aligning country-level activity, it appears that this has not been fully implemented. In the survey, 40 percent of the 40 respondents agreed somewhat or strongly with the statement, “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.” The evaluation team found that Nepal and Cambodia had joint work plans, but they were annual rather than rolling work plans.

62. Some country level staff questioned the validity of bilateral joint rolling work plans, given that the HIV response is managed in-country through the NSP, and the Global Fund assisted programs are implemented through the CCM, the PRs, and initiatives such as the ITP, which included a broad range of stakeholders rather than just UNAIDS and the Global Fund. The evaluation team agrees with this reasoning. Some UNAIDS and Global Fund staff suggested that a bilateral work plan for each country would undermine the NSP and CCM, and risk deviating from national priorities. Based on field visit interviews, it seems unlikely that joint rolling work plans will be used broadly as a tool between the two organizations in the near future; however, should the two organizations decide to move towards a full partnership, joint planning and joint activities would be required to ensure integration.

²² For example, the TOR of UCDs explicitly state that working with the FPM is a key part of the UCD’s roles and responsibilities. Work plans and TORs are broader than the UNAIDS – Global Fund relationship.

Finding 8: Some of the ways in which UNAIDS contributes to the UNAIDS-Global Fund relationship are difficult to measure and, as a result, are unevenly communicated to the Global Fund and other stakeholders in the HIV response.

63. A recurrent point of friction noted by UNAIDS staff (at all levels) is that the extent of their work to support Global Fund assisted programs is not recognized by the Global Fund and other development partners. At the country level, development partners and other national stakeholders were unaware of the Cooperation Agreement's existence and were not aware that the two organizations had formalized roles in the relationship. While they were aware of the general role that UNAIDS plays in coordinating the HIV response and various types of support for Global Fund assisted programs, they were less clear on UNAIDS' specific responsibilities within the relationship. Although the majority commented highly favourably on UNAIDS' support for Concept Note development, development partners and national stakeholders were not always clear on who was responsible for the Concept Note development, when government stakeholders did not have the capacity to draft it. Some questioned if this responsibility had been explicitly delegated to UNAIDS in their country or if UNAIDS was stepping up to fill a void in the CCM. In three of the four countries visited, members of the UNJTA in particular had limited awareness of UNAIDS' role and responsibilities specific to the Global Fund (with the exception of WHO), in part due to the perceived overlap between UNAIDS support and that of other national and international stakeholders. Although UNAIDS was playing the role of organizing meetings with the UNJTA member organizations, this did not translate into the members understanding the breadth and depth of the UNAIDS – Global Fund relationship at the country level, and the support role played by UNAIDS for Global Fund grant cycles. The majority of stakeholders interviewed at the country level from CSOs, donors and other development partners stated that the UNAIDS – Global Fund relationship was insufficiently communicated to stakeholders at the country level.

64. A factor that contributes to the lack of awareness of UNAIDS' role is that much of the support UNAIDS provides is intangible and difficult to measure, in particular enabling environment support. UNAIDS faces a significant challenge in reporting on and demonstrating the effects of the range of support it provides to Global Fund assisted programs and the broader HIV response. In Thailand, for example, UNAIDS plays a strong role as a consensus-builder among country-level stakeholders. UNAIDS Thailand brings together donors and national stakeholders through convenings that are both formal and informal to support the inclusion of CSOs and key populations, and advocates for systemic changes to reduce the discrimination against PLHIV. Thai government stakeholders commended the unique role that UNAIDS plays in their country to promote the inclusion of CSOs and the voice of PLHIV in the HIV response, as the Thai government is not legally allowed to provide such support to CSOs or to host CSO convenings. This is one of many examples observed through evaluation field visits, where UNAIDS plays a support function that is critical for creating an inclusive and cohesive HIV response, but where stakeholders in countries had varying levels of awareness of UNAIDS' role.

Finding 9: The relationship between UNAIDS and the Global Fund supports some but not all of the key principles of partnership.

65. Academic and practitioner literature have identified a number of principles of good partnership observed in successful intra-organizational relationships: *complementarity, equity, transparency and accountability, genuine commitment, shared responsibility, results-orientation, and integration.*

66. These principles are most relevant for organizations choosing to engage in a partnership (as described in the Exhibit 1.1, Continuum of Relationship), but may be taken into consideration by any organization working in a collaborative field. As both organizations requested insights into how to

enhance the UNAIDS-Global Fund relationship, we provide our observations on the extent to which the organizations are taking these principles into consideration in their relationship.

Exhibit 2.8 *UNAIDS-Global Fund Relationship based on Partnership Principles*

PARTNERSHIP PRINCIPLES	UNAIDS-GLOBAL FUND RELATIONSHIP
Balance ²³	The value of both organizations is acknowledged and their comparative advantages are integrated into the approach to cooperation. The Cooperation Agreement does not acknowledge the power balance between the two organizations and current relationship management approaches do not include formal channels for resolving disagreements.
Complementarity	There is a high complementarity between the two organizations and the Cooperation Agreement clearly articulates the value added of working together. Staff in both organizations recognize their respective comparative advantages and engage with each other to bring their strengths to the forefront of the relationship. The complementarity is focused on Global Fund grant cycles and UNAIDS support to country HIV responses rather than the intra-organizational relationship.
Transparency and accountability	There is ongoing sharing of information between organizations, but no clear procedures to record and clarify communication. Even without such procedures, 80 percent of surveyed UCDs/FPMs are satisfied with the level of transparency in the relationship. Accountability systems have yet to be put in place.
Genuine commitment	The commitment to cooperation is demonstrated across the organizations, but varies among individual staff. Commitment to the relationship was more evident at the country level, in efforts to work together on Global Fund grant cycles and country support. At the global and regional levels, beyond the departments and focal points dedicated to Global Fund at UNAIDS, the primary incentives for staff to commit to the relationship are to improve Global Fund assisted programs and consequent results in the HIV response, which may or may not be included in staff TOR.
Results-orientation ²⁴	The relationship lacks a concrete results-orientation and is not based on joint objectives and expected results. The relationship does not have procedures for measuring outcomes and responding to challenges.

²³ Balance involves understanding the value and resources that each partner brings to the relationship, regardless of size and status and providing a voice to both partners in decision-making that allows respectful difference in focus and methods. To have balance, partners must have a clear procedure for reconciling disagreements and resolving conflicts.

²⁴ A results-oriented partnership would involve agreeing on achievable and measurable objectives and outcomes and ensuring that available resources from all parties are compatible with these outcomes. The partnering agreement would establish procedures for measuring outcomes and responding to challenges, with appropriate procedures for review and evaluation of both the partnership process and its outcomes. The relationship would have a clear exit strategy based on a mutual understanding of what would constitute completion (or abandonment) of the partnership.

PARTNERSHIP PRINCIPLES	UNAIDS-GLOBAL FUND RELATIONSHIP
Shared responsibility	The Cooperation Agreement contains joint actions, for which both parties are responsible, but there are no monitoring methods through which to measure the participation of each partner or verify compliance with these responsibilities. Monitoring methods were envisaged in the Cooperation Agreement, but not implemented. Interviewed staff of both organizations noted that the level of trust between the two organizations varies significantly across the organizations, in part, due to the lack of clear methods for verifying compliance.
Integration	Integration takes place primarily through UNAIDS into the Global Fund processes. The relationship itself does not have integrated systems (budget, reporting, etc.).

Finding 10: UNAIDS staff and Global Fund staff at country level are, in general, satisfied with current communications; regional staff indicate that the channels of communication could be clarified; global staff have mixed opinions.


67. As the UNAIDS-Global Fund relationship plays out through staff at all levels of both organizations, there is ongoing communication through a variety of channels. Across all levels of the organizations, communication is ad hoc, ranging from daily to monthly. Perceptions on communication at the global level were more diverse than at the country level. Some global staff from both organizations were critical of the low frequency and inadequacy of communication between global level staff, suggesting that communication on strategic issues should be increased, whereas others were satisfied with the current communication.

68. At the country level, with few exceptions, UCDs and FPMs are satisfied with the nature, frequency and usefulness of communication: 86 percent of surveyed UCDs/FPMs and UNAIDS RST Directors agree with the statement that ‘The staff of the UCO and the Global Fund Country Team have carried out clear, consistent and structured communication.’ The frequency and forms of communication between UCDs and FPMs vary, and their satisfaction with communication is based partially on personal expectations. There was no significant complaint about any of the forms or frequency of UCD – FPM communication, which reflects the fact that several factors affect the way in which the two organizations communicate: the personalities of the FPM and the UCD, the stage and intensity of the HIV response and cohesion in the sector (which requires more or less communication), and the way in which the individuals interpret their responsibilities for communicating and create expectations for the relationship.





Exhibit 2.9 Frequency and Forms of UNAIDS-Global Fund Communications at Country Level

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

Response	Chart	Percentage	Count
2-3 times per month		37.0%	17
1 time per month		30.4%	14
2-3 times per week		10.9%	5
Less than one time per month		10.9%	5
1 time per week		6.5%	3

Response	Chart	Percentage	Count
Daily		4.3%	2
Total Responses			46

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

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

69. While survey data indicate that there is a high degree of satisfaction with regional level communication, interviews suggest there are areas for improvement. In particular, several regional UNAIDS staff stated that the channel of communication with their partnership counterpart is clear, but there is less clarity on how to engage with other Global Fund staff working in other areas relevant to their own.

Finding 11: There is some limited evidence of mutual learning between UNAIDS and the Global Fund, but without a formal feedback channel for the organizations to feed into each other's work, this will remain ad hoc.

70. The UNAIDS – Global Fund relationship presents many opportunities for mutual learning, however, these are not reported or recorded in a systematic way. In evaluation interviews, it was not clear to consulted country, regional or global level staff that mutual learning was an explicit expectation for the relationship, and interviewees had difficulty identifying examples. Nonetheless, a few examples of mutual learning were cited, including:

- The Global Fund requested UNAIDS' feedback when testing the New Funding Model prior to roll-out. Myanmar was one of the test countries that provided feedback in areas such as reporting and Concept Note development. Following UNAIDS Myanmar's feedback, elements of the NFM processes were adjusted accordingly.
- In countries such as Laos and Myanmar, the UNAIDS RST suggested the inclusion of human rights conditions in Global Fund assisted programs. The RST provided the Global Fund with relevant data on the human rights considerations and the conditions were added to the grants.
- In evaluation interviews, global level staff indicated that mutual learning is taking place in emerging areas such as human rights and gender considerations, where UNAIDS was feeding into the CRG department at the Global Fund.

71. The staff of the two organizations reported other anecdotal examples of mutual learning that take place in an informal, ad hoc fashion and are not documented. The limited evidence of mutual learning is likely due in part to the absence of formal channels for feedback between the two organizations.

Although the evaluation found limited evidence of mutual learning, it is likely that to some extent it is occurring between staff, without being reported.

2.4 Efficiency

72. **Efficiency:** A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.²⁵

73. The following section includes an assessment of the resources dedicated to the relationship.






Finding 12: Staff time is the primary resource that UNAIDS and the Global Fund dedicate to the relationship but there are no established parameters or proportions for the allocation of staff time. The lack of budgetary resources for the organizations to cooperate strains the relationship and undermines the level of engagement.

74. As specified in the Cooperation Agreement, the responsibilities for UNAIDS and the Global Fund for supporting Global Fund grant cycles were agreed upon without any attached budget or financial resources. The two organizations draw from their own individual staff time to cooperate and communicate. At the global level, the UNAIDS Office of Global Fund Affairs is dedicated to supporting Global Fund-related work across the organization. The Global Fund has established a Technical Advice and Partnerships unit that manages all partnerships, including the one with UNAIDS.

75. The Cooperation Agreement places an emphasis on the support UNAIDS provides for the HIV response, specific to Global Fund work, in particular at the country level. Consistent with the Agreement, UNAIDS staff dedicate a significant portion of their time to Global Fund-related work; the proportion varies depending on their position in a UCO, RST or at HQ. As shown in Exhibit 2.10, the majority of UCDs spend between 20 and 80 percent of their time on Global Fund-related work. Some interviewed country level staff indicated that during Concept Note development they worked more than full-time for several months on its preparation.

Exhibit 2.10 UCD Time Spent on Global Fund-related Work

What percentage of your time is spent on work related to the Global Fund?

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

²⁵ OECD-DAC. "Glossary of Key Terms in Evaluation and Results-Based Management". Paris: OECD/DAC. 2002. p21

76. The allocation of staff time and other extra-budgetary resources to the UNAIDS-Global Fund relationship is discretionary, determined by each UCO and Global Fund Country Team. A few interviewed and surveyed UCOs indicated that they seek funding from other sources to hire consultants to assist with Global Fund grant development and implementation. These funds are also used to assist with planning Global Fund visits and UCD travel to accompany FPMs to in-country meetings. Exhibit 2.11 shows the variety of other resources used by UNAIDS to manage the relationship with the Global Fund.

Exhibit 2.11 Resources Dedicated to Managing the Relationship

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
Core budget resources		10.0%	4
Nothing ²⁶		7.5%	3
I don't know		2.5%	1
Total Responses			40

77. During field visits UCO staff, development partners and international NGOs all voiced concerns regarding the severe crisis UNAIDS is facing, and the implications for UNAIDS' ability to maintain the level of support provided for Global Fund assisted programs. They also noted that the Global Fund was facing funding uncertainty prior to the recent round of replenishment. The constraints on funding affect the ability of the UCD and the FPM to hold joint meetings and communicate. For example, depending on the country, UCO staff may have limited budgets for internal domestic flights to join FPMs for joint meetings and some can only initiate international telephone calls to Geneva from their offices (which can be challenging with the time difference), as they do not have international calling on their mobiles. Another concern raised was the transition from international to national UCDs and the challenges for national UCDs to play a political advocacy role for sensitive issues with the government.

78. A measure taken by UNAIDS to reduce the variability of engagement between UCOs and the Global Fund in Fast Track countries is the appointment of Global Fund focal points, specific staff members dedicated to UNAIDS-Global Fund coordination. UNAIDS has not yet collected evidence across countries on whether this is having a positive role on Global Fund assisted program results.²⁷

79. Within the Global Fund and UNAIDS, there are mixed opinions on whether Global Fund resources should be allocated to UNAIDS for contributing to the relationship. At the country and regional level, UCO staff and other country stakeholders (such as CSOs and development partners) noted the potential for UNAIDS losing its position of neutrality towards the Global Fund as a major reason to avoid accepting funding. The opposite perspective was also voiced by surveyed UCDs and global level UNAIDS staff, who

²⁶ Surveyed FPMs indicated that in-kind contribution (staff time) was the only resource type allocated to the partnership management. It is likely that the respondents who responded 'Nothing' are either in countries without Global Fund grants or did not consider staff time.

²⁷ The evaluation has insufficient evidence to support or negate the claim.

cautioned that without Global Fund funding, UNAIDS would be unable to sustain the level of support for Global Fund grant cycles. Global Fund stakeholders indicated that UNAIDS was offered a funding arrangement in the past, similar to a current arrangement with WHO, that was turned down by UNAIDS senior leadership, and that it is unlikely another funding arrangement would be pursued in the near future. The evaluation team's assessment is that, if possible, UNAIDS should not accept funding from the Global Fund, to maintain its ability to advocate for key issues in the HIV response. With greater communication and recognition of UNAIDS' contribution by both organizations, UNAIDS would be better positioned to advocate for more core funding from donors.

2.5 Sustainability

80. **Sustainability:** The continuation of benefits [of the relationship] after major development assistance has been completed.²⁸

81. The following section assesses the systems for sustaining the relationship and the potential future threats to the sustainability of the relationship.

Finding 13: The UNAIDS-Global Fund relationship lacks systems to ensure continuity amid staff turnover.

82. There is only anecdotal evidence that the sustainability of the effects of the relationship is being taken into consideration in relationship management and planning. The sustainability of the relationship depends on the "embeddedness" of the two organizations in the engagement mechanisms described in Findings 5 and 6 and embedded in the the New Funding Model, including the CCM.²⁹

83. At the country level, the primary concern for maintaining the benefits of the relationship is the turnover of UCDs and FPMs (and other key UCO staff) as the UCDs and FPMs have relationships and connections with national stakeholders to influence national decision-making for the HIV response. As is the case with many political relationships, consulted UCDs and FPMs noted that they have to 'start over' when their counterparts change positions and they lose the personal relationships, trust and institutional memory built during their term. The lack of formal documentation of the UNAIDS – Global Fund relationship at the country level exacerbates this challenge. During field visits, country-level development partners also expressed concern and uncertainty over upcoming turnover in UNAIDS and Global Fund staffing and the potentially destabilizing effects for the HIV response. When probed about the systems in place to ensure continuity with the next UCD/FPM, respondents noted that the handover systems are informal and depend on the initiative of the prior director/manager to facilitate the transition. As a result, the smoothness of the transition varies by country.

84. At the global level, similar to other aspects of the relationship, sustainability is discussed informally by senior managers. Some interviewed staff cited this evaluation as a component in the ongoing discussion of the future of the UNAIDS-Global Fund relationship; the evaluation will be used by senior management and the Boards of both organizations to determine next steps.

²⁸ OECD-DAC. "Glossary of Key Terms in Evaluation and Results-Based Management". Paris: OECD/DAC. 2002. p36

²⁹ "The quality of being firmly and deeply ingrained or fixed in place." Oxford Dictionaries. Accessed at <https://en.oxforddictionaries.com/definition/embeddedness>.

Finding 14: The most significant threat to the sustainability of the UNAIDS-Global Fund relationship is change in the financial stability of the organizations.

85. The UNAIDS-Global Fund relationship is perceived by stakeholders within and outside the relationship to be highly vulnerable to ongoing changes in the funding landscape and broader aid architecture. During the evaluation period, both organizations focused on their individual funding replenishments; decreased donor attention to HIV continues to pose a threat to current and future funding for the global HIV response.

86. At the country and regional level, the consolidation of UNAIDS country offices, due to the restructuring of UNAIDS in the wake of funding cuts, has reduced the number of staff on the ground in countries with smaller epidemics. UNAIDS has increased staffing in some country offices with larger epidemics, primarily by adding more national staff.

87. When asked about sustainability, in three of the four field visit countries, donors highlighted the important and helpful role played by UNAIDS and expressed significant concern for the future of the national HIV response given the likely reduction in staffing of UNAIDS.

88. All interviewed country level stakeholders indicated that it remains imperative that the two organizations continue to work together to combine technical and financial resources to optimize the HIV response. There is preliminary evidence to suggest that the New Funding Model increased the efficiency of coordination, in particular, through the solidification of the CCM. Development partners and national stakeholders emphasized the role of UNAIDS and the Global Fund at the global level to continue to advocate for funding and demonstrate the ongoing relevance and results the organizations are generating to end the HIV epidemic.

3 Conclusions & Recommendations

3.1 Conclusions

89. UNAIDS and the Global Fund are actively working together to address the HIV epidemic, through a relevant and complementary relationship that allows each organization to contribute to the HIV response based on their respective strengths and resources. The two organizations are engaged at the country, regional and global levels with different degrees of intensity and effectiveness in a relationship that is focused on improving the delivery and implementation of Global Fund assisted programs. Each organization makes clear contributions to the relationship and to joint achievements for improving the HIV response.

90. The relationship is affected by internal and external factors. Externally, the relationship is under pressure from changes in the development aid landscape and diminished financing for HIV. Internally, the relationship is strained by the informal mechanisms and absence of tools and structures used to manage and improve the relationship. These two key factors are only some of the elements that, in the context of the renewal of the Cooperation Agreement, require the two organizations to decide jointly how to engage in the future. This decision is paramount for guiding all next steps, including establishing appropriate commitments to support the sustainability of the relationship in the future.

3.2 Recommendations

RECOMMENDATION	PRIORITY, RESPONSIBLE, TIMEFRAME	RATIONALE
<p>1. The senior leadership of UNAIDS and the Global Fund should convene a strategic discussion and make a decision on the level of engagement intended for the relationship.</p> <p>The decision needs to:</p> <ul style="list-style-type: none"> • Determine where on the Continuum of Relationship the organizations wish to position themselves • Establish a vision and mutual expectations for the relationship, and expectations regarding tangible results. <p>Based on Findings: 1, 3, 4, 5, 6, 7, 8, 9, 12, 13, 14</p>	<p>Priority: Very high</p> <p>Responsible: UNAIDS and GF senior leaders including the Chief of Staff and the Directors of the partnership units (Office of Global Fund and Global Plan Affairs and Global Fund’s Technical Advice and Partnerships) in consultation with regional and country directors/managers</p>	<p>Once the two organizations determine where their current relationship is positioned and where they both want to be on the Continuum of Relationship, this will be the basis for all future decisions regarding resource allocations, roles, responsibilities, expectations, etc.</p>
<p>2. Senior leaders and units responsible for partnerships within UNAIDS and the Global Fund should engage in a ‘fit for purpose’ exercise to support the desired level of engagement.</p> <p>The exercise should aim at determining the following:</p> <ul style="list-style-type: none"> • The format of the binding document for the relationship (MoU, Cooperation Agreement, contract) • The need for establishing a governance and management mechanism and the supporting structure and resources for managing the relationship at each level, including feedback mechanisms to report on achievements of the relationship and corrective measures to adopt. • An assessment of the resources required for UNAIDS to provide the support to Global Fund grant cycles. UNAIDS’ senior leadership should use this assessment to advocate to donors for funding. (By UNAIDS) • Conducting consultations across the organizations to validate the proposed feedback mechanism, including potentially establishing a small working group at the regional level and country level to design and validate appropriate supporting structures for the governance and management mechanism (for their level). 	<p>Priority: High</p> <p>Responsible: UNAIDS and GF senior leaders including the Chief of Staff and the Directors of the partnership units (Office of Global Fund and Global Plan Affairs and Global Fund’s Technical Advice and Partnerships) should establish a partnership governance and management mechanism responsible for the fit for purpose exercise, which would engage the relevant units and departments of the organizations.</p>	<p>To be effective, intra-organizational relationships must be supported by appropriate organizational arrangements. The decisions made, based on Recommendation 1, will dictate how the two organizations wish to coordinate, communicate, cooperate and distribute roles and responsibilities accordingly. To ensure relevance and implementation across all levels of the organization, consultations with staff should take place and a small number of senior staff at the regional and country levels should feed into the ‘fit for purpose’ exercise.</p>

RECOMMENDATION	PRIORITY, RESPONSIBLE, TIMEFRAME	RATIONALE
<ul style="list-style-type: none"> The results from the 'fit for purpose' exercise should be disseminated throughout the two organizations, with actionable recommendations for staff at all levels. <p>Based on Findings: 1, 2, 3, 4, 5, 6, 7, 8, 9, 12, 13</p>		
<p>3. The organizations should maintain their participation in engagement mechanisms at the global level:</p> <ul style="list-style-type: none"> Maintain participation in key engagement mechanisms such as the organizations' Boards, HIV Situation Room, Global Fund Strategy Committee, TERG, JWG and GAC. Ensure resources are maintained for staff to prepare for and attend these meetings, in addition to other key global level convenings for the HIV response. <p>Based on Findings: 1, 3, 5, 6, 9, 11, 12, 13, 14</p>	<p>Priority: Moderate</p> <p>Responsible: Global level staff at UNAIDS and the Global Fund that are responsible for participating in global engagement mechanisms.</p>	<p>Global level data indicates that the formal engagement mechanisms ensure strategic alignment of the organizations and harmonization across the HIV response. The participation of both organizations in these mechanisms is essential to ensure a balanced contribution to the HIV response, based on their respective comparative advantages.</p>
<p>4. UNAIDS and the Global Fund should continue the level of engagement at the country level to effectively support Global Fund grant cycles and Global Fund assisted programs.</p> <ul style="list-style-type: none"> UCDs (and relevant UCO staff) and the Global Fund Country Teams should continue to communicate and meet regularly to ensure strategic alignment and eliminate duplication of the support both organizations provide, and ensure consistent communication to national stakeholders on changes to Global Fund grant processes and policies. Global Fund should continue to draw upon the strategic and contextual information provided by UNAIDS to ensure grants are based on the most up-to-date and relevant national and contextual information. Global Fund should continue to leverage UNAIDS' convening power for joint engagement of national stakeholders, in particular, around UNAIDS' areas of expertise. Global Fund FPMs should advise UCOs of their upcoming country visits and meet with the UCD face-to-face to discuss progress on Global Fund grant cycles. When possible, UCDs and FPMs should jointly attend key meetings with national stakeholders. 	<p>Priority: High</p> <p>Responsible: UNAIDS and GF senior leaders including the Chief of Staff and the Directors of the partnership units (UNAIDS' Global Fund Affairs and Global Fund's Technical Advice and Partnerships) could for instance create a small country director/manager committee with staff from both organizations</p>	<p>Country level data indicates that UNAIDS' contributions to the HIV response, including enabling environment support and contributing to Global Fund grant cycles, are highly valued. The UCD-FPM relationship is central to the UNAIDS – Global Fund relationship, and face-to-face engagement with each other and the broader stakeholders in HIV response is essential to ensuring alignment of the two organizations' country level response. As the relationship is affected by the personalities, the variability in the relationship would be reduced through the creation of brief guidance, including elements such as country visit cooperation.</p>

RECOMMENDATION	PRIORITY, RESPONSIBLE, TIMEFRAME	RATIONALE
<ul style="list-style-type: none">• UCDs and FPMs should take measures to ensure a smooth turnover between staff, such as documenting recent key joint actions in their country for the HIV response.• UCOs should engage in more frequent and detailed communication with UNJTA partners and other national stakeholders to clarify their roles and responsibilities with regards to Global Fund grant cycles in their country.• Both UNAIDS and the Global Fund should provide guidance and resources to UCO's Global Fund Focal Points so they remain up-to-date on changes in Global Fund policies. <p>Based on Findings: 2, 3, 4, 6, 8, 9, 10, 11, 12, 13</p>		

Appendix I List of Findings

- Finding 1: The relationship between UNAIDS and the Global Fund is highly relevant to the global HIV response as it brings together financial and technical resources required to fight the epidemic.
- Finding 2: The UNAIDS – Global Fund relationship is highly relevant at country and regional levels as the organizations work together in priority countries and through national multi-stakeholder systems.
- Finding 3: UNAIDS-Global Fund cooperation at all levels of the organizations resulted in a number of achievements that enhanced the effectiveness of Global Fund assisted programs.
- Finding 4: UNAIDS provides valuable support to the HIV response to foster country-driven, cohesive and inclusive Global Fund assisted programs. The country level UNAIDS-Global Fund relationship is managed by the UCD and FPM and centered on the delivery of Global Fund grants.
- Finding 5: At the global level, UNAIDS and the Global Fund engage strategically through formal mechanisms with technical partners to foster coordination of the global HIV response and through less formal mechanisms that engage UNAIDS and Global Fund staff in UNAIDS' areas of focus.
- Finding 6: The UNAIDS-Global Fund relationship is managed through multi-stakeholder mechanisms and informal meetings. This approach to relationship governance and management is insufficient to support effective functioning of the relationship and remove organizational roadblocks.
- Finding 7: The UNAIDS-Global Fund relationship is operating without many of the relationship management tools and structures recommended for working in partnership. The Cooperation Agreement, the main relationship management document, is not well known within the two organizations, which limits its utility as a guiding document.
- Finding 8: Some of the ways in which UNAIDS contributes to the UNAIDS-Global Fund relationship are difficult to measure and, as a result, are unevenly communicated to the Global Fund and other stakeholders in the HIV response.
- Finding 9: The relationship between UNAIDS and the Global Fund supports some but not all of the key principles of partnership.
- Finding 10: UNAIDS staff and Global Fund staff at country level are, in general, satisfied with current communications; regional staff indicate that the channels of communication could be clarified; global staff have mixed opinions.

- Finding 11: There is some limited evidence of mutual learning between UNAIDS and the Global Fund, but without a formal feedback channel for the organizations to feed into each other's work, this will remain ad hoc.
- Finding 12: Staff time is the primary resource that UNAIDS and the Global Fund dedicate to the relationship but there are no established parameters or proportions for the allocation of staff time. The lack of budgetary resources for the organizations to cooperate strains the relationship and undermines the level of engagement.
- Finding 13: The UNAIDS-Global Fund relationship lacks systems to ensure continuity amid staff turnover.
- Finding 14: The most significant threat to the sustainability of the UNAIDS-Global Fund relationship is change in the financial stability of the organizations.