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#### Agenda item 5.2

### **2012-2015 Unified Budget, Results and Accountability Framework**

**UNAIDS engagement with the Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) and the US President's Emergency Plan for AIDS Relief (PEPFAR)**

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## 1. INTRODUCTION

1. This document has been prepared as part of the mid-term review of UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework (UBRAF) and responds to calls from UNAIDS Programme Coordinating Board to document UNAIDS collaboration and synergies with two key partners in the AIDS response – the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund) and the United States President's Emergency Plan for AIDS Relief (PEPFAR).<sup>1</sup>
2. Together, the Global Fund to fight AIDS, Tuberculosis and Malaria (Global Fund) and the US President's Emergency Plan for AIDS Relief (PEPFAR) account for two-thirds of international assistance in the response to the HIV epidemic and more than 90% of donor HIV funding in the highest-burden and lowest-resourced countries. In mid-2013, an estimated 7.9 million people globally were supported on antiretroviral therapy (ART) by the two organizations.
3. The nature of UNAIDS – as a joint and cosponsored programme combining the respective strengths of 11 Cosponsors and the Secretariat, with a presence at global, regional and national levels, a critical convening partner for diverse stakeholders, and an unmatched centre of professional expertise<sup>2</sup> – allows it to strengthen national responses and facilitate key partners like the Global Fund and PEPFAR to play their vital roles in responding to the epidemic without duplicating their roles.
4. Direct collaboration between Cosponsors and the Global Fund and PEPFAR is extensive, with examples including:
  - UNDP's role as an interim Principal Recipient for 32 Global Fund grants in 25 countries in 2012-2013;
  - A joint working group led by WHO (together with the Stop TB and Roll Back Malaria partnerships and other partners) that has shared information, coordinated support and promoted synergies between the Fund's three priority diseases since 2007;
  - UNICEF's new agreement with the Global Fund (signed in April 2014) to better coordinate efforts aimed at reducing the burden of HIV, TB and malaria and improving the health of mothers, new-borns and children;
  - PEPFAR's multiple grants to WFP in several regions where health care systems are weak, with the aim to help more people access treatment for the first time.
5. This is not an exhaustive list, and it is beyond the scope of this paper to enumerate all collaborative initiatives between the Cosponsors, the Global Fund and PEPFAR. Instead, this paper focuses on interaction between the Global Fund and PEPFAR with UNAIDS as a Joint Programme, and the efforts of Secretariat in spearheading collaboration with the Global Fund and PEPFAR.
6. Right now, the AIDS response is undergoing an important transition. New challenges and opportunities are demanding revised approaches and strategies. Increasingly, the UNAIDS vision of the 'three zeros' is shaping the global response and the 10 targets in

<sup>1</sup> 33<sup>rd</sup> meeting of the Programme Coordinating Board in December 2013 and UNAIDS consultation on programmatic and financial accountability in October 2013.

<sup>2</sup> Throughout this document UNAIDS refers to the efforts of the UN Joint Programme on HIV/AIDS. When appropriate, reference is also made to the work of individual Cosponsors and UNAIDS Secretariat. The document does not describe the role of UNAIDS Cosponsors as principal or sub-recipients of the Global Fund as this falls outside original objectives of UNAIDS.

the UN General Assembly 2011 Political Declaration on HIV and AIDS are guiding national responses of countries. The Global Fund is implementing a new funding model that aims to increase the strategic impact and sustainability in national AIDS programmes. Likewise, PEPFAR has articulated a new vision for US investments through implementation of the PEPFAR Blueprint: *Creating an AIDS-Free Generation* while prioritizing smart investments, saving lives, leading with science, and shared responsibility. The Blueprint is closely aligned with the ten targets in the 2011 Political Declaration, with direct links to eight targets and indirect links to the other two.

7. The Programme Coordinating Board (PCB) has called on UNAIDS to strengthen and adapt its support in line with partners' needs and with changes in the broader environment. In June 2012, at its 30<sup>th</sup> meeting, the Board urged UNAIDS to 'exercise its convening role to facilitate a more strategic, country driven and better coordinated technical support,' with a particular emphasis on ensuring that the Joint Programme's efforts respond to the 'changing economic environment'. At its 32<sup>nd</sup> meeting in June 2013, the PCB called for a mid-term review of the Unified Budget, Results and Accountability Framework (UBRAF) and at its 33<sup>rd</sup> meeting in December 2013, the Board asked UNAIDS to prioritize steps to strengthen the coherence and coordination of technical support to help ensure the success of the Global Fund new funding model.

#### **The new funding model of the Global Fund**

The new funding model aims to enhance the strategic impact of investments in programmes on AIDS, tuberculosis and malaria. The new funding model allows countries to apply at any point over a three-year period, enabling countries to align their requests with their own planning and budget processes. A streamlined concept note from countries launches an iterative process with the Global Fund, which will offer early feedback to countries on proposed directions. The Global Fund engages with countries in a dialogue to ensure that approved proposals are strategically sound and that they address country-identified needs and priorities.

8. This document summarizes UNAIDS' activities to support efforts of the Global Fund and PEPFAR to strengthen national AIDS responses. It describes the alliances forged between these organizations, which continue to drive progress in the AIDS response. Some of the key areas the document addresses include:
  - UNAIDS' unique leadership role as a global reference for normative guidance and strategic information, broker of technical support, and convener of diverse partners and sectors;
  - Joint work supporting key populations and elimination of new HIV infections among children;
  - UNAIDS' assistance to countries in developing evidence-based funding proposals for the Global Fund, including technical review of proposals and support to overcome implementation bottlenecks for Global Fund supported programmes;
  - UNAIDS' role in optimizing the effectiveness of PEPFAR investments by collaborating on normative guidance, undertaking cooperative planning, and supporting innovation to enhance the efficiency and effectiveness of service delivery.
9. The document includes five sections. The section following the introduction describes the changing environment and the role of UNAIDS in adapting to these environmental changes as well as in creating optimal conditions to support countries. The third section focuses on the support that UNAIDS provides to grant processes, and the fourth section considers work supporting sustainable and effective investments. The final section presents key lessons learned from UNAIDS experience of partnership with the Global Fund and PEPFAR, and outlines key future actions.

## 2. ADAPTING TO AND CREATING THE ENVIRONMENT

10. The business models of the Global Fund and PEPFAR are increasingly based on an iterative process involving countries and technical partners. These two key funders are investing for impact, prioritizing scale-up for programmes focused on key populations, which are grounded in human rights and gender equity, and based on strong, inclusive country ownership within a framework of global and mutual accountability. This approach demands greater use of strategic information, including the comparative cost-utility of different interventions, enhanced use of epidemiological data to inform geographic and population focus for interventions, and analyses of long-term health benefits of proposed approaches.

11. UNAIDS supports the Global Fund and PEPFAR at country, regional and global levels:

- **Global.** UNAIDS Secretariat generates strategic information on the HIV epidemic and response, resource flows, programmatic opportunities and implementation bottlenecks, helping inform and shape the respective policies and programmes of the two partners. A key forum for collaboration, which also contributes to the work of all three organizations, is the Monitoring and Evaluation Reference Group (MERG). A Memorandum of Understanding formalizing the UNAIDS-PEPFAR/USAID partnership was first agreed in 2003 and most recently revised and renewed for a further five years in 2012. It establishes key areas of cooperation and describes common priorities across both organizations.

- **Regional.** Regional Support Teams coordinate the Joint Programme's regional efforts and support in the countries in their respective regions. Additional capacity has been added by UNAIDS Secretariat at the regional level in 2012-2013 in the areas of global outreach and advocacy, strategic information, strategic interventions, investment and efficiency, youth, gender and human rights. Joint UN Regional Teams in some

### Joint technical support in West and Central Africa

In West and Central Africa, the Joint UN Regional team includes both UN and non-UN actors, including the U.S. Agency for International Development, the French 5% Initiative, ECOWAS, ECCAS and international nongovernmental organizations. The regional team in West and Central Africa meets quarterly and stages an annual retreat, allowing partners to identify regional priorities and gaps, and to agree on joint action to improve the coordination and effectiveness of technical support.

regions have developed Joint Technical Support Plans that provide for combined country support missions, reviews of national strategies and operational plans and other forms of technical support. In three regions (East and Southern Africa, West and Central Africa, and Asia and the Pacific) UNAIDS has catalysed the establishment of Technical Support Facilities to support partners in addressing challenges and bottlenecks in the response, including planning and implementing programmes with Global Fund and PEPFAR funding. Workshops including the Global Fund, PEPFAR and UNAIDS are organized in all regions to improve coordination and support around the new funding model.

- **Country.**
- UNAIDS Secretariat has a presence in 90 countries and is strategically focused on 30+ high-impact countries. Over the last two years, the UNAIDS Secretariat has implemented a major internal reorganization to strengthen its support to countries to deliver results towards the goals in UNAIDS Strategy and the 10 targets and commitments in the 2011 UN General Assembly

**UNAIDS country and regional capacity for strategic information and work with civil society**

In early 2014, there were 61 UNAIDS Secretariat Strategic Information Advisers or Monitoring & Evaluation Advisers at country level, and seven regional staff focused on these areas, working across all 90 countries with a Secretariat presence. Additionally, there were also 61 advisers at country level, and 21 at regional level, who included civil society in their remit.

Political Declaration on HIV/AIDS. With the aim of strengthening the Joint Programme's capacity to support national efforts in high-impact countries, the Secretariat redeployed more than 80 positions from the Secretariat to regional and country level, including specialists in strategic information, strategic interventions, investment and efficiency, youth, gender and human rights. There have also been increased efforts in several countries, for example in the Democratic Republic of Congo (DRC) and Nigeria, to better align PEPFAR, Global Fund and UNAIDS through joint strategic planning and on-going dialogue, which may serve as a useful model for other countries. With enhanced capacity, UNAIDS supports countries in engaging with the Global Fund and PEPFAR.

- At country level, UNAIDS supports country partners at all stages of their work with the Global Fund and PEPFAR. In the case of the Global Fund, for example, UNAIDS assists in the development of funding requests, preparations leading to grant signing, capacity building for programme implementation and monitoring and evaluation. Throughout the Global Fund process, UNAIDS brokers and provides technical support to countries to meet Global Fund requirements and build sustainable national capacity.

**Opportunities associated with the New Funding Model**

In April 2014, UNAIDS Executive Director sent an Executive Directive to all UNAIDS Country Directors outlining the opportunities around the new funding model to better support countries, notably for them to:

- Take a robust investment approach to advance high-impact, evidence-informed interventions;
- Address human rights, gender inequity, harmful legal and social environments and inadequate services for key populations and others being left behind;
- Include community responses in national plans;
- Ensure meaningful engagement of civil society at all stages of decision making and programming; and
- Improve the long-range sustainability of the national response

12. Joint UN Teams have enhanced the coordination, coherence and accountability of technical support. Serving as entry points for technical support, Joint UN Teams inform partners regarding sources of technical support and how to access them, and also provide, broker and coordinate direct technical support. Joint UN Teams help ensure the coherence, coordination and accountability of UN-brokered technical support. Where countries experience bottlenecks in implementing Global Fund grant programmes, UNAIDS helps national partners address shortcomings and improve programmatic performance. The ability to provide strategic, timely assistance to countries in the Global

Fund process is grounded in the Joint Programme's longstanding relationships with key national stakeholders and its in-depth knowledge of epidemiological and programmatic issues. UNAIDS' support in this respect extends beyond national governments: approximately 30% of all Global Fund funding is disbursed to non-governmental organisations, community-based organisations, academic institutions and faith-based partners.

13. After the Global Fund approved its new funding model in 2013, UNAIDS intensified its work to prepare countries for this shift in Global Fund operations. UNAIDS supports countries in identifying key data needs and generating critical strategic information; aids countries in identifying technical support needs and obtaining focused technical support; assists countries in developing HIV national strategic plans and investment cases; and strengthens the capacity of Country Coordinating Mechanisms and other strategic stakeholders.

### **Enabling Kenya to leverage support from the Global Fund and PEPFAR**

With one of the largest epidemics in the world, Kenya has long been a recipient of Global Fund support and a focus country for PEPFAR. In concert with the Government and national stakeholders, UNAIDS has invested in technical support that has dramatically improved the country's performance on Global Fund grants. With assistance from the UK Department for International Development, UNAIDS-brokered technical support helped strengthen stakeholder engagement, alleviated barriers in existing grants, improved grant monitoring and reporting, and strengthened processes for development of Global Fund proposals. Results were both striking and rapid, with Kenya's grant performance (for Rounds 7 and 10) rated A1 (exceeds expectations). In 2013, Kenya was invited by the Global Fund to participate as an interim applicant for additional funding of US\$ 13 million for tuberculosis and US\$ 53 million for HIV – a clear vote of confidence in Kenya's ability and commitment to meet grant requirements.

In support of sustainable, country-led and owned AIDS response, PEPFAR has prioritized establishing a more strategic process for investing. In Kenya, PEPFAR has supported key posts in government organisations; including, for example to sustain financial dialogues, drive the eMTCT agenda, support the treatment agenda, and to work with key populations. To assist the country in preparing for national ownership of PEPFAR-financed programmes, UNAIDS collaborated with Kenyan partners, including PEPFAR to develop a national HIV investment case that charts new strategic directions to ensure the long-term sustainability of Kenya's AIDS response. In December 2012, the Cabinet authorized the establishment of a trust fund for HIV and priority non-communicable diseases, with the goal of ensuring national capacity to cover at least 70% of the cost of the response with domestic funds. Various mechanisms to capitalize the trust fund have been explored, including earmarking an amount equal to at least 1% of all ordinary revenue collected by the Government, an airline levy, a percentage of the interest earned on all unclaimed financial assets, voluntary private sector contributions and grants and donations.

UNAIDS has also supported the work of the Global Fund and PEPFAR in other ways. In 2013, UNAIDS and PEPFAR collaborated in assisting Kenya in developing a new HIV prevention roadmap that aims to accelerate progress towards the vision of zero new HIV infections. A joint visit to Kenya in 2013 by the Executive Directors of the Global Fund and UNAIDS helped keep the visibility of the AIDS response high on the national agenda. Supporting the governance and oversight of the Country Coordinating Mechanism and unblocking implementation bottlenecks has also been a focus of the UNAIDS country office in Kenya.

14. The Joint Programme is represented<sup>3</sup> on the Global Fund Board, and as a longstanding technical partner UNAIDS played an important role in creation of the new funding model. In particular, the new funding model draws in large measure on the UNAIDS investment approach, which calls for strategic investments to enhance long-term gains in the AIDS response. The Global Fund's Strategy 2012-2016 builds on the UNAIDS investment approach, citing the UNAIDS 2011-2015 Strategy and the UNAIDS investment approach as guidance for Global Fund efforts to increase the strategic impact of its investments.

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<sup>3</sup> UNAIDS Secretariat, WHO and the World Bank are all *ex-officio* members (see <http://www.theglobalfund.org/en/board/members/>)



The Global Fund Strategy endorses the global AIDS targets around which the Joint Programme's work has been configured and relies on UNAIDS epidemiological data in modelling projected results.

15. PEPFAR's 2014 Country Operational Plan Guidance identifies UNAIDS as "an essential partner". In particular, PEPFAR collaborates closely with UNAIDS on programming for key populations, assistance to countries in implementing investment approaches, advancing an agenda of shared responsibility, and preparing for the post-2015 period.
16. Together, PEPFAR and UNAIDS launched the *Global Plan on the elimination of new HIV infections among children by 2015 and keeping their mothers alive* and continue to guide the implementation of the plan. PEPFAR has also been a key partner in the development of the *Treatment 2015* framework, which aims to accelerate implementation of the 2013 WHO antiretroviral guidelines and enhance the efficiency, strategic impact and sustainability of national HIV treatment programmes. To galvanize efforts to implement the *Treatment 2015* framework and accelerate treatment scale-up, UNAIDS has joined with PEPFAR and the Global Fund to create a collaborative "treatment community" to deliver coordinated technical and financial support. UNAIDS has also collaborated closely with PEPFAR on programmatic initiatives on human rights and gender equality.

### **Strategic Information for Priority Setting**

17. Since its creation, UNAIDS has prioritized efforts to strengthen HIV surveillance, estimation, projections and information capacity in low- and middle-income countries. Technical support by UNAIDS has helped countries adopt first- and second-generation surveillance strategies, estimate HIV incidence and prevalence, and project the course of the epidemic and the response.
18. Building on this strong foundation, UNAIDS is now assisting countries in meeting the information demands of a rapidly changing environment. To inform priority setting and resource allocation and to meet evidence requirements under the new funding model, UNAIDS is collaborating with PEPFAR and the Global Fund to aid countries in identifying geographic 'hotspots' and to project the short- and long-term results from various programme interventions. With the goal of enhancing access to services for key populations, the Joint Programme assists countries in estimating the size of key populations and understanding their respective programmatic needs. This is useful for the Global Fund, given that geographical size estimates serve as one of their Key Performance Indicators. The Joint Programme is working with countries to collect more detailed strategic information needed to improve health outcomes, such as rates of care linkage and retention for people who are diagnosed with HIV.
19. To strengthen countries' capacity to optimize the impact of investments by the Global Fund and PEPFAR, UNAIDS assists countries in generating, analysing and presenting strategic data. For example, to support the Global Fund's approval of US\$26.9 million in funding to El Salvador as an applicant under the new funding model, UNAIDS produced strategic information (disaggregated by key populations) as part of the country's situation analysis. As a further example, in countries including Cambodia and Uganda, the National AIDS Spending Assessment (NASA) developed with UNAIDS support served as a basis for the development of the investment case for the country's Global Fund submission. UNAIDS has also assisted countries in developing strategies and systems to monitor the performance of Global Fund grants.

20. In addition to benefiting countries, UNAIDS-commissioned modelling on the long-term health and economic benefits of HIV investments has bolstered global efforts to maintain and strengthen international HIV assistance. UNAIDS-generated strategic information has also assisted the Global Fund and PEPFAR in advocating for additional resources. In the last two years, for example, PEPFAR has used UNAIDS data to analyse trends in the number of people receiving antiretroviral therapy, the scale up of AIDS responses, the number of new HIV infections, etc.

## Normative and Technical Guidance

21. UNAIDS develops normative and technical guidance which countries use to strengthen their AIDS responses and develop strong, evidence-based funding proposals, and on which programmes supported by the Global Fund and PEPFAR rely. For example, WHO's *Consolidated guidelines on the use of antiretroviral drugs and for treatment and preventing HIV infection*, released in 2013, provide critical guidance for national programmes for HIV treatment and prevention of mother-to-child HIV transmission, including the timing of treatment initiation, optimal antiretroviral regimens, and protocols for patient monitoring. An example of how this was translated in practice is in Côte d'Ivoire, where the Joint UN Team on AIDS facilitated a review with government and other stakeholders to review the first phase of the Global Fund grant to close the gap on ARTs and other commodities in the second phase of the grant.

22. UNAIDS developed a resource toolkit to support applicants in developing high quality requests for funding to the Global Fund. For Round 11, it was updated and made available on the UNAIDS website (<http://goo.gl/lqG4bE>). A further revision will be published later in 2014 to provide simple, concise and practical guidance on key areas of the AIDS response for a broader audience, including other stakeholders involved in national HIV responses. Key sources of normative guidance to enhance the strategic

### UNAIDS support to Ecuador

UNAIDS helped Ecuador obtain US\$19 million for programmes for key populations. It successfully advocated for one additional month to re-submit Ecuador's grant application to the Grants Approval Committee and contributed with timely and concrete technical assistance to the revision of key population size estimates, the identification of "hot spots" and the reformulation of change and prevention packages for key populations. It also facilitated the coordination between the Ministry of Health and the Principal Recipient to increase services for key populations and maximize Global Fund's resources. The Global Fund continues to have a key and catalytic role in Ecuador to increase HIV prevention and treatment among key populations and generate greater domestic investment.

impact of investments include *Strategic Investments for HIV Programmes*, developed collaboratively with the Global Fund; the forthcoming *National HIV Strategies and Implementation for Results: Guidance for 2015 and Beyond*, which will address countries' prioritization challenges; and the forthcoming *Making the case for investing in HIV more strategically: An investment case tool*, which guides countries in developing a national HIV investment case.

## Thematic Priorities

23. Within the Joint Programme, the UNAIDS Division of Labour specifies Cosponsors as convenors and agency partners across 15 thematic areas, with the Secretariat leading across three strategic functions<sup>4</sup>. In addition to supporting the coordination of technical support in different thematic areas, the Division of Labour also alerts partners on thematic leads in different areas of the response, although the Joint Programme is designed to allow multiple entry points for partners in need of UNAIDS-brokered technical support. The Division of Labour facilitates the rapid tailoring of UNAIDS technical support to emerging country needs and prevents duplication of effort.

- **Elimination of mother-to-child HIV transmission**

24. PEPFAR and UNAIDS collaborate in implementation of the *Global Plan on the elimination of new HIV infections among children by 2015 and keeping their mothers alive*, focusing action in 22 high-priority countries that are home to almost 90% of pregnant women living with HIV. With the assistance of the Joint Programme, 13 countries reprogrammed US\$120 million from the Global Fund to strengthen programmes to prevent mother-to-child transmission from the end of 2011 through to the beginning of 2013.

**Recognizing the strategic role of First Ladies as advocates and change agents for PMTCT**

UNAIDS continues to work with the Organization of African First Ladies (OAFLA), supporting and expanding national PMTCT programmes through initiatives in over ten countries. These include the distribution of test kits, development and broadcasting of regional campaigns, training for traditional and religious leaders and the set-up and strengthening of early infant diagnosis sites.

25. A key mechanism for coordinated UNAIDS action to prevent mother-to-child transmission is the Inter-Agency Task Team (IATT)<sup>5</sup> in this thematic area, which undertook technical missions to eight countries since July 2012 and coordinated technical support in priority areas, such as revision of national guidelines and operational plans to scale up Option B+ (lifelong antiretroviral therapy for pregnant women living with HIV). In the Americas, the Joint Programme is undertaking a regional elimination initiative that involves coordinated technical support to reduce mother-to-child HIV and syphilis transmission rates to below 2%. With the aim of accelerating progress towards the global elimination target, the IATT is assisting countries in directing resources towards high-impact HIV interventions for women and children and in partnering with diverse stakeholders to improve procurement and supply chain management of essential HIV commodities.

- **Supporting key populations**

26. UNAIDS supports countries to identify the key populations and geographic areas where HIV infections are most likely to occur and to focus resources and interventions where they are most needed in a manner that avoids stigmatization and is consistent with human rights principles. UNAIDS helps countries close historic data gaps on key populations, generating estimates of population size and assisting countries in identifying population-specific needs and barriers. UNAIDS takes a holistic approach to HIV-related

<sup>4</sup> Leadership and advocacy; coordination, coherence and partnerships, and; mutual accountability

<sup>5</sup> With multiple stakeholders as members (see <http://www.emtct-iatt.org/iatt-member-organizations/>)

programming for key populations, providing technical guidance on evidence-based interventions, working with countries to align policy and legal frameworks with human rights principles, and empowering and engaging people living with HIV and key populations themselves. As the new funding model focuses principally on lower income countries, UNAIDS is working to ensure that the needs of key populations in all countries are not neglected.

27. The Joint Programme's assistance to countries to develop an HIV investment case has proven to be an especially valuable vehicle for highlighting the needs of key populations. In Morocco, for example, an investment analysis found that while key populations account for two-thirds of new HIV infections, less than one-third of prevention expenditure was directed towards programmes for these populations. In Jamaica, it was found that less than 1.5% of HIV spending in 2010-2011 focused on key populations, even though these groups are a key factor in the country's epidemic. In Mauritius, men who have sex with men and sex workers each attracted only 2% of HIV prevention resources, even though they account for 36% and 7% of new HIV infections, respectively.

**Towards universal coverage for key populations in Nepal**

Following an investment analysis, Nepal has embarked on a strategic reallocation of resources to achieve at least 80% service coverage for female sex workers who inject drugs, street-based sex workers, transgender sex workers and male sex workers. Between now and 2016, the plan calls for a tripling of funding for HIV prevention for male sex workers, a doubling of investments in HIV prevention services for transgender sex workers, and a 60% increase in funding for sex workers who inject drugs.

• ***Human rights and gender equity***

28. UNAIDS is working in 82 countries together with governments and civil society to follow up on recommendations by the Global Commission on HIV and the Law, assisting national legal review and reform, facilitating multi-stakeholder dialogue, expanding access to justice and sensitizing law enforcement officials, parliamentarians and other stakeholders. UNAIDS helped ensure inclusion of human rights as a strategic objective in the 2012-2016 Global Fund Strategy. UNAIDS also supported the 2011 evaluation of the Global Fund Gender Equality Strategy, contributing to their new gender equality strategy and action plan 2014-16, and works with the Global Fund to undertake country-level gender assessments, using the UNAIDS gender assessment tool.
29. The Joint Programme's emphasis on human rights and gender equity align with the PEPFAR Blueprint, which includes a commitment to end stigma and discrimination and to increase gender equity. As part of this alignment, PEPFAR's guidance for the Country Operational Plans require countries to conduct a gender analysis by 2016, using the UNAIDS gender assessment tool. PEPFAR and UNAIDS are partnering on the implementation of the Agenda for Accelerated Country Action for Women, Girls, Gender Equality and HIV, particularly focusing on community based interventions to address linkages between gender based violence and HIV among women in all their diversity, and on the public-private initiative *Together for Girls*, which seeks to reduce sexual violence against girls and boys.

- **Reinforcing the role of civil society**

30. UNAIDS helps advance the Global Fund's emphasis on inclusive country responses, including through Country Coordinating Mechanisms (CCMs). For example, in Chad, the Vice-President of the CCM is a civil society representative who is supported by the UNAIDS office. UNAIDS

works with civil society and other partners at global, regional and country levels to ensure provision of technical, advocacy and resource mobilization support to civil society organizations and networks on Global Fund matters. As a member of the Inter-Organizational Task Team on Community Systems Strengthening,

**Civil society involvement in Iran**

The UNAIDS office has provided operational, administrative, financial and technical support to civil society organizations in Iran. This has helped to empower them through access to guidelines and feedback in relation to harm reduction services and positive clubs. As a consequence, civil society organizations have not only been involved in the implementation of Global Fund projects but have also been able to strengthen their profiles.

UNAIDS supported development of the Community Systems Strengthening Framework, as well as indicators incorporated in the Global Fund's concept note template. With the aim of translating the framework into action, UNAIDS has collaborated in the development of *Supporting community-based responses to AIDS, tuberculosis and malaria*, a tool to guide efforts to include community systems strengthening in Global Fund proposals. UNAIDS joined with the Global Fund and other partners to organize risk management forums for civil society, attracting 50 Asian civil society participants at a forum in Bangkok and 70 from Africa at another forum in Cape Town.

31. UNAIDS supports the Global Fund through participation in the Global Fund Joint Civil Society Action Plan (JCSAP) Task Team and collaborative actions based on recommendations from civil society and other partners. The JCSAP is a framework of action that seeks to enhance the engagement of civil society and key populations in Global Fund (and related) processes at country level. UNAIDS supports civil society and community engagement in country dialogues and concept note development, development of guidance on community systems response (including service delivery and systems strengthening), technical support in the development of methodologies for key population size estimates, and strategies for accessing technical support by civil society. For example, collaboration between UNAIDS and civil society partners strengthened the engagement of people who use drugs in consultation processes at the country level and facilitated development of a regional funding request by the Eurasian Harm Reduction Network under Global Fund's new funding model. In Indonesia, UNAIDS supported a meeting with 30 representatives to elect community representatives for the CCM. In Tanzania, UNAIDS provided technical assistance to support the selection of male and female people living with HIV for the CCM. UNAIDS is a member of the Inter-Organizational Task Team (IOTT) on Community Systems Strengthening. The Global Fund, UNAIDS, the U.S. Agency for International Development and civil society partners formed the IOTT in 2012, with the aim of increasing the awareness, overall understanding, and profile of community systems strengthening as a critical component of efforts to improve health through community system responses.
32. All PEPFAR country teams are undertaking a formal, step-wise process to increase engagement of civil society in PEPFAR-supported programming and ensure engagement of civil society in the development of annual country operational plans.

Leveraging its unique and widely recognized role in convening and engaging civil society, UNAIDS country offices are aiding these efforts.

### 3. SUPPORT TO GRANT PROCESSES

#### Global Fund Grant Approvals

33. In addition to extensive support to countries in developing Global Fund proposals – marshalling strategic information, supporting development of national investment cases, assisting country dialogues, and supporting the development of robust, technically sound proposals – UNAIDS also assists countries in navigating the new funding model of the Global Fund. UNAIDS prepares briefing documents for the Global Fund's Technical Review Panel, the external, independent technical review mechanism that assesses the technical and operational soundness of grant proposals in order to make funding recommendations to the Global Fund's Grants Approvals Committee. The Joint Programme's capacity to support the Global Fund's approval process derives in large measure from its in-depth knowledge of national epidemics, programmatic gaps and priorities and broader country intelligence on such priority issues as human rights, stigma and discrimination, civil society involvement and other critical enablers. In 2012, as a member of the Grants Renewal Panel (the predecessor of the current Grants Approvals Committee), UNAIDS provided technical contributions to more than 19 grants under review, yielding funding decisions worth almost US\$ 2 billion for national HIV portfolios. In 2013, over 50 funding requests received technical contributions from UNAIDS. The funding requests included grant renewals, interim funding request and early applicants, and amounted to funding decisions worth of over US\$2 billion.

#### Technical Support Coordination

34. Poorly coordinated technical support risks being duplicated and inappropriate, and imposes unnecessary costs in terms of time, supervision and organizational resources. At the UNAIDS-convened consultation on strengthening country access to HIV technical support in July 2013, participants emphasized that the critical importance of effective coordination of technical support.
35. UNAIDS collaborates closely with the Global Fund and PEPFAR in the provision of technical support to countries. At the global level, UNAIDS participates in a coordination group of bilateral bodies (including the US Government, GIZ Backup and the French 5% Initiative) to improve coordination of technical support for Global Fund grants.
36. WHO, together with the Stop TB and Roll Back Malaria partnerships and the Global Fund, established a joint working group to share information and coordinate support to countries in 2007. Since then the group, which meets on a weekly basis, has been expanded to include UNAIDS, other UN agencies, Geneva-based diplomatic missions and civil society. The group seeks to promote synergies between the Global Fund's three priority diseases, health systems strengthening, stronger coordination of policy guidance and normative work, harmonization of technical support to countries, and coordination and preparation of Global Fund meetings.
37. UNAIDS has also taken steps internally to improve the coordination and coherence of its technical support, enhancing its value as a partner to countries, the Global Fund and PEPFAR. Joint UN Teams support the delivery of coordinated technical support at country level, while Regional Support Teams ensure the coherence of regional technical support.

38. Technical Support Facilities in three regions provide a vital resource to connect countries with tailored technical support. In 2012-2013, Technical Support Facilities provided technical support to more than 70 countries. By addressing implementation challenges associated with Global Fund grants, UNAIDS-brokered support through Technical Support Facilities strengthens country ownership of the response. In 2012, Technical Support Facilities assisted grant implementation across the full grant cycle, including grant signature preparations and start-up support for new grants; phase 2 grant renewals requests; strengthening Country Coordinating Mechanism oversight and governance; building Principal Recipient and Sub-Recipient grant and financial management capacity; procurement and supply chain management; and monitoring and evaluation.

### **Support to Applicants under the Global Fund's New Funding Model**

39. UNAIDS supports applicants at each stage of the process under the Global Fund's new funding model. UNAIDS works with countries to develop strong national strategies and investment approaches, leverages its convening role to support country dialogues, assists countries in translating robust national strategies or investment approaches into a compelling concept note, brokers technical support for the

#### **Critical new funding for Zimbabwe's AIDS response**

Collaborating with partners, UNAIDS played a key role in Zimbabwe's successful early application under the new funding model. UNAIDS co-led an inclusive country dialogue process and provided support in development of the application. WHO provided technical support regarding new antiretroviral treatment guidelines, while UNDP secured consulting support on costing and budgeting. Through the US\$311 million in new HIV funding approved by the Global Fund, Zimbabwe plans to implement new WHO guidelines and increase the number of people receiving antiretroviral therapy. Experience in supporting Zimbabwe's successful funding application highlights the importance of integrating national support into overall coordination efforts for funding development. UNAIDS' role as a trusted partner enabled it to effectively coordinate the mobilisation and delivery of technical support.

development and review of the national strategies, helps countries navigate the iterative approach under the new funding model, and assists countries with grant implementation.

40. The benefits of UNAIDS technical support for the new funding model is evident from its successful assistance to early applicants. In 2012-2013, UNAIDS successfully aided five early applicant countries, generating total new HIV funding of US\$371 million.
41. In 2013, UNAIDS facilitated El Salvador's successful effort to obtain US\$ 26.9 million as an early applicant to the Global Fund. To assist El Salvador's efforts, UNAIDS generated strategic information, assisted in partnership engagement, and created scenarios for the multi-stakeholder country dialogue. Along with other external partners, UNAIDS participated in periodic meetings of the CCM and worked in close coordination with the national HIV programme. Through the new support from the Global Fund, El Salvador will improve access to HIV-related services, including HIV treatment for key populations, with the aim of achieving 90% service coverage within these groups.
42. UNAIDS also successfully aided Myanmar's early application under the new funding model, participating in the technical support group and the drafting team for the concept note. UNAIDS supported engagement with diverse stakeholders, including people living with HIV and representatives of key populations. Through the US\$ 160 million in new funding obtained from the Global Fund for HIV programmes over the next four years, Myanmar seeks to increase treatment coverage, expand prevention and HIV testing

services for key populations, build the capacity of communities to support HIV treatment and prevention, strengthen TB/HIV collaboration, strengthen harm reduction programming, and prevent mother-to-child HIV transmission.

43. In 2013, the Technical Support Facilities (TSFs) in Asia and Africa provided technical support for Global Fund-related processes in 37 countries and five regional organizations, with a total of 78 assignments and 13 capacity development activities. Following approval of the new funding model in early 2014 and the communication of funding allocations to countries by the Global Fund, the number of technical support requests to Technical Support Facilities and UNAIDS for increased by over 50% compared with the same period in 2013. That trend is expected to continue in 2014 and 2015.

### **Interim Applicants**

44. During the period between the Global Fund's cancellation of Round 11 and roll-out of the new funding model, UNAIDS supported interim applicants' funding requests, including through the transitional funding mechanism. In 2012-2013, UNAIDS provided technical support for 25 countries that successfully sought interim funding, including 12 "light review" grants. Total funding generated with UNAIDS support through the interim funding channel amounted to US\$ 543 million (including US\$ 57 million through "light review").
45. In the case of Malawi, US\$115 million in interim funding from the Global Fund will enable the country to increase HIV treatment coverage to 60% by June 2015. Interim funding of US\$121 million will allow Nigeria to initiate antiretroviral therapy for an additional 203 825 people by 2015. In the case of Tanzania, Global Fund is assuming financing for all antiretroviral treatment, with PEPFAR transitioning to an exclusive focus on support for HIV testing and counselling, providing technical assistance and capacity development and strengthening monitoring and evaluation.

### **Supporting Governance and Other Mechanisms**

46. UNAIDS is present in 102 of 121 CCMs to ensure the success of Global Fund processes, not to mention providing additional guidance and technical support to CCMs, CCM secretariats, and other coordinating mechanisms preparing proposals to the Global Fund. UNAIDS technical experts, strategic information and social mobilisation advisers' work to ensure that CCMs are inclusive, use sound procedures, and base decisions on the best available evidence.
47. UNAIDS has supported the Global Fund's Operational Risk Management Framework, and UNDP has developed *guidance on risk management and prevention of fraud and corruption* to strengthen national entities working with the Global Fund. For example, in Asia and Africa, risk fora for civil society organisations were held at the end of 2013 to promote sharing of best practice in risk management by civil society Global Fund implementers from different countries. One consequence already is that CCM participants in Nigeria strengthened risk management in existing grants, applying it to the new funding model.
48. The UNAIDS-supported Technical Support Facility in Eastern and Southern Africa is developing a new toolkit, *Preparing for Participation in the Global Fund's New Funding Model: An Action Planning Tool for Country Coordinating Mechanisms*, which can also be used and/or adapted by other Technical Support Facilities and partners providing support to CCMs.



## **Building Grant Implementation Capacity**

49. With support from Technical Support Facilities, participating countries prepare and implement a capacity development action plan. UNAIDS-brokered technical support built the capacity of South Africa's Global Fund unit to fulfil its oversight responsibilities. Malawi received technical support to develop a new national strategic plan, with strengthened monitoring and evaluation, and to consolidate existing Global Fund HIV grants into a single funding stream. UNAIDS supported efforts by Burkina Faso and Nigeria to develop management policies, procedures and guidelines for its Global Fund grants.
50. UNAIDS technical support for grant implementation also extends to non-governmental partners. In the Asia-Pacific region, for instance, UNAIDS has assisted the Islands of Southeast Asia Network on Male and Transgender Sexual Health and the Humanist Institution for Cooperation with Developing Countries to strengthen systems for financial management.

## **Global Fund Grant Renewals**

51. UNAIDS provides technical support to countries as they apply for grant renewal from the Global Fund, which uses UNAIDS technical support in the review of such requests. Increasingly, countries are using the renewal process to adopt an investment approach. For example, UNAIDS assisted Indonesia to apply an investment approach to re-programme its request for an additional US\$91 million from the Global Fund for 2013-2015, substantially reallocating resources to enhance programmatic targeting and accelerate scale-up for key populations in most affected districts. In both Mali and Pakistan, UNAIDS assisted national stakeholders in leveraging the grant renewal process to enhance the strategic focus of national efforts.

## **Support to Assessment and Evaluation**

52. Strengthening of national monitoring and evaluation frameworks, and their alignment with Global Fund monitoring and evaluation systems, has become an increasingly important aspect of the technical support and capacity development provided by UNAIDS, often through monitoring and evaluation advisers in countries and Technical Support Facilities. For example in Thailand, representatives from Global Fund Principal Recipients, the national programme and the Joint UN Team collaborated to evaluate HIV testing, treatment and care provided by the national programme. The findings triggered a re-design of the Global Fund-supported prevention programme for key populations, improved update and coverage of early infant diagnosis, and shortened the time before children living with HIV were initiated on ART.

## **4. BUILDING SUSTAINABILITY**

53. At the same time as UNAIDS technical support helps countries maximize the impact of investments by the Global Fund and PEPFAR, the Joint Programme has prioritized support to countries to lay the groundwork for long-term sustainability and improve efficiency, effectiveness and value for money. A fundamental pillar for sustainability is robust, durable national ownership of the response. UNAIDS country teams prioritize strong national ownership and leadership, collaborating with PEPFAR country teams. UNAIDS technical support strengthens the key elements of country ownership – political engagement and inclusive leadership; full engagement of civil society, communities and

people living with HIV; and capacity development, systems strengthening, and integration of HIV into broader health and development strategies.

54. National investment approaches draw from, reflect and reinforce national ownership. Although UNAIDS provides the template for development of an investment case and offers critical technical support, the tough choices required by investment approaches are made solely by national partners during an inclusive, evidence-based process. Through generation of a clear, broadly disseminated roadmap for sustainability, the investment approach helps drive progress and promotes accountability for results.
55. To effectively implement and sustain national responses, UNAIDS collaborates with the Global Fund and PEPFAR to strengthen health and community systems. To ensure the success of the Global Fund's health systems strengthening initiative, UNAIDS developed technical guidance for countries to include access to medicines, health technologies and strengthening of national pharmaceutical sectors in their health systems strengthening proposals. UNAIDS and PEPFAR have collaborated on strategies to enhance implementation of task-shifting in health care delivery settings, with particular emphasis on integrating community workers in service delivery. Recognizing the critical need to increase laboratory capacity for treatment monitoring, UNAIDS and PEPFAR are collaborating to support the African Society of Laboratory Medicine, which aims to develop a strong regional network of reference laboratories and laboratory professionals to undertake essential diagnostic functions.

#### **Defining Investment Priorities**

56. A sound, evidence-based strategic investment approach serves as a cornerstone of an effective AIDS response, ensuring optimal use of limited resources and sustainability of efforts. With UNAIDS support, more than 30 countries have made plans to develop investment approaches over the next two years. Investment approaches are developed to support strategic decision-making on resource allocation, resource mobilization, service delivery and funding. As important demonstrations of national political commitment to the AIDS response, investment approaches articulate a common effort to identify programmatic gaps and bottlenecks and to create a broadly owned roadmap for action.

#### **A harmonized approach for Ukraine**

One of the most successful examples of UNAIDS, Global Fund and PEPFAR cooperation is in Ukraine. It was the first country to have the UNAIDS country office as a signatory, together with the Global Fund, on the US Government – Government of Ukraine bilateral Partnership Framework agreement. Joint efforts led to the harmonization and alignment of the National Strategic Plan, Joint UN Programme on AIDS, and Global Fund supported grants. Among other initiatives, coordinated support from UNAIDS, PEPFAR and GFATM was provided to the national and sub-national monitoring and evaluation and mechanisms, national AIDS spending accounts and financial sustainability planning, implementation of HIV prevention and care programmes for key populations (including substitution maintenance therapy), and addressing critical human rights issues concerning people living with HIV and key populations.

57. Development of investment approaches involves an evidence-based, four-step analytical process: (1) *Understand* the epidemic through comprehensive analysis of epidemiological data, with particular attention to inclusiveness, equity and structural

obstacles to service uptake; (2) *Design* a strategically sound national response by selecting the appropriate combination of interventions that will have the greatest effect on the epidemic; (3) *Deliver* for results, by identifying and addressing bottlenecks and by optimally implementing efficient service delivery models; and (4) *Sustain* the national response by estimating the needed optimal investment and by identifying new sources of domestic funding.

58. Strategic investment approaches encourage countries to use a geographic lens to identify investment priorities. Through development of investment approaches, Nigeria found that 70% of new HIV infections occur in 12 states and the Federal Capital Territory, while Thailand determined that 33 provinces accounted for 70% of its new HIV infections. Investment approaches have placed a critical spotlight on under-investment in programmes for key populations.
59. An investment approach enables countries to identify opportunities to enhance the efficiency of national efforts. For example, South Africa is a global leader in efforts to reduce the costs of antiretroviral drugs, lowered by 38% the cost of the fixed-dose first-line antiretroviral combination therapy and generated estimated savings of US\$ 290 million in 2013 and 2014. Through benchmarking prices and improving forecasting, Swaziland revised its antiretroviral medicines tender process, saving US\$ 12 million from January 2010 to March 2012.
60. Investment approaches have encouraged countries to adopt efficiency-promoting service delivery strategies, including decentralization, enhanced use of community service systems and increased service integration. New service models for HIV testing and counselling and enhanced use of telecommunications tools have enabled diverse countries improve service outcomes while reducing unit costs.
61. These investment approaches are now informing and supporting efforts by the Global Fund and PEPFAR to enhance the strategic impact of investments. By jointly taking domestic, Global Fund, PEPFAR and other major funding into account in identifying future funding gaps, investment approaches enhance country ownership and sustainability planning to preserve and build on financed gains. Investment approaches also inform the development of national concept notes to the Global Fund, aid PEPFAR country operational planning and lay the groundwork to improve 'hotspot' targeting of financial resources, an important institutional priority for the Global Fund and PEPFAR.
62. Investment approaches also lay the foundation for a sustainable AIDS response, providing a basis for joint analysis, decision-making and prioritization. Investment approaches place governments and other national stakeholders in the driver's seat of a process that can inform multiple needs. Following its analytical process of developing its national HIV investment approach, Thailand determined that every additional dollar invested in HIV now will return three dollars in the future

### **Expanding Domestic Resources**

63. Consistent with principle of shared responsibility, UNAIDS has worked with countries to increase domestic financing for the AIDS response. These efforts have drawn from UNAIDS strategic analyses of HIV spending, which have documented both the considerable, persistent dependence of many countries on international HIV financing as well as the failure of many countries to allocate domestic resources in line with national wealth and the burden of disease.

64. Anticipating reductions in external support, many middle-income countries are taking steps to self-finance their responses. Belarus, for example, has committed to assume 100% of the costs associated with antiretroviral treatment by the end of 2015 (in comparison to the present domestic share of 40%). Ukraine, which currently finances 53% of its AIDS response, plans to significantly increase its domestic investments, with the goal of having domestic resources cover 83% of HIV treatment costs by 2018. Similarly, Thailand, which already finances 90% of its response, has pledged to increase its domestic spending to cover the additional US\$75 million of HIV funding needed from 2015 and 2017. With the Global Fund's new funding model requiring that Jamaica cover at least 50% of its HIV-related costs, representing 0.2% of its gross domestic product, the country is now developing a long-term sustainability plan that will include financing options and strategies to increase programmatic efficiency.
65. With assistance from UNAIDS, more resource-limited countries are also identifying a range of innovative strategies to ensure sustainable financing for the response, as demonstrated by the example of Kenya (see box above).

## 5. LESSONS LEARNED AND KEY FUTURE ACTIONS

66. A review of recent experience of UNAIDS' collaboration with the Global Fund and PEPFAR point towards several key findings:
- UNAIDS has a unique role to play working with the Global Fund and PEPFAR to support robust, evidence-based and sustainable AIDS responses.
  - Advocacy and leadership by UNAIDS, articulating a vision and building momentum for the AIDS response, contributes to the success of the Global Fund and PEPFAR.
  - Investment approaches promoted by UNAIDS guide planning and programmatic decision making by the Global Fund and PEPFAR.
  - Strategic information generated with UNAIDS assistance underpins resource allocation and design of programmes funded the Global Fund and PEPFAR.
  - Normative guidance by UNAIDS serves as the basis for programme planning, implementation, monitoring and evaluation by the Global Fund and PEPFAR.
  - UNAIDS-brokered technical support enhances access to and successful utilisation of Global Fund and PEPFAR resources.
  - The Global Fund and PEPFAR benefit from UNAIDS' recognized role in engaging, convening and supporting civil society, including key populations.
  - A coordinated and cohesive Joint Programme is vital to ensure effective engagement at all levels with the Global Fund and PEPFAR.
  - Collaboration between UNAIDS, the Global Fund and PEPFAR can be further strengthened through enhanced communication and joint efforts to enhance impact.
67. Collaboration between UNAIDS, the Global Fund and PEPFAR has evolved and strengthened over the last several years. However, challenges and opportunities leading up to and beyond 2015 require continued efforts to look for new ways of working in together with countries to achieve best possible results, with the ultimate aim of ending the AIDS epidemic.
68. Working in partnership with Global Fund and PEPFAR, UNAIDS is committed to taking forward concrete actions to improve the impact of joint work. Key action steps include the following:

- UNAIDS will continue to work closely with the Global Fund and country partners to ensure successful rollout of the new funding model. UNAIDS support will focus on providing quality assured technical support for the development of the building blocks in the new funding model. Support will be provided at all stages of the process, including the development of investment cases and robust national strategic plans as well as concept notes.
  - The UNAIDS Secretariat is in the process of revising the Memorandum of Understanding with the Global Fund to further strengthen the partnership between the two. This includes holding UNAIDS country directors accountable for providing the necessary support to the new funding model through inclusive processes with civil society and key populations.
  - Building on existing coordination and collaboration between UNAIDS, Global Fund and PEPFAR, plans are being made for joint country level action plans, with a clear objective of more strategic and prioritized HIV programming resulting in greater impact in priority countries.
  - UNAIDS will continue to strengthen and consolidate country, regional and global level coordination activities and quality-assurance mechanisms to review and inform the development of key country documents, including investment cases, national strategic plans and concept notes. Existing global level coordination mechanisms with the Global Fund, PEPFAR and others will be expanded to include tuberculosis in order to facilitate the joint tuberculosis/HIV programming at country level.
69. Existing platforms that have proven to be effective in providing joint country support at all levels will be consolidated and further reinforced through renewed engagement between UNAIDS, the Global Fund and PEPFAR, and with the integration of HIV with services for tuberculosis and mother and child health.
- As the global AIDS response and architecture continue to evolve, UNAIDS will intensify its efforts to work with the Global Fund, PEPFAR and other partners to meet emerging needs, respond to challenges and leverage new opportunities in the response.
  - Building on existing mechanisms between the Global Fund and PEPFAR, UNAIDS will continue to strengthen the collection and reporting of strategic information, such as the development and implementation of targets and indicators, including those for the post-2015 agenda.

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