Subproject 10:
NGO Initiatives to Prevent HIV/AIDS
(Financed by the Cooperation Fund for Fighting HIV/AIDS)
ABBREVIATIONS

ADB – Asian Development Bank
CSO – civil society organization
DMC – developing member country
HIV/AIDs – human immunodeficiency virus/acquired immunodeficiency syndrome
HQ – headquarter
IDU – injecting drug user
NGO – non-government organization
NGOC – NGO and Civil Society Center
PLWHAs – people living with HIV/AIDs
RM – Resident Mission
RSDD – Regional and Sustainable Development Department
RSID – Energy, Water and Transport Division
SIDA – Swedish International Development Cooperation Agency
TA – technical assistance
UNAIDs – The Joint United Nations Program on HIV/AIDS

TECHNICAL ASSISTANCE CLASSIFICATION

Targeting Classification – Targeted intervention
               MDG 6, target 7
Sector – Education
               Health, nutrition and social protection
Subsector – Nonformal education
               Other social services and social development
Themes – Regional cooperation
               Inclusive social development
               Gender and development
Subtheme – Indigenous people

NOTE

(i) In this report, "$" refers to US dollars.

<table>
<thead>
<tr>
<th>Vice President</th>
<th>G. van der Linden, Knowledge Management and Sustainable Development</th>
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<tbody>
<tr>
<td>Director General</td>
<td>B. Lohani, Regional and Sustainable Development Department</td>
</tr>
<tr>
<td>Director</td>
<td>R. Dobias, Gender, Social Development, and Civil Society Division, Regional and Sustainable Development Department</td>
</tr>
<tr>
<td>Team leader</td>
<td>J. Francis, NGO/Civil Society Specialist, Regional and Sustainable Development Department</td>
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I. INTRODUCTION

1. In April 2005, ADB’s President approved a Strategic Directions Paper\(^1\) defining ADB’s response to HIV/AIDS. The goal of the ADB’s strategic response to HIV/AIDS is to halt and reverse the spread of HIV/AIDS in the region by 2015.\(^2\) The purpose of ADB’s interventions will therefore ensure that an effective response to HIV/AIDS is in place at the regional and country levels.

2. ADB’s strategic response to HIV/AIDS recognizes that governments are not well placed to do all that is needed, particularly in targeting and working with vulnerable and high-risk groups. Responding to vulnerable and high-risk groups requires stronger public-private partnership modalities between Governments- especially local governments- and NGOs, including civil society organizations (CSOs), involved in HIV/AIDS, prevention, treatment and care.

3. The proposed regional technical assistance for NGO initiatives to prevent HIV/AIDS will provide a modality for financing small-to-medium scale NGO led initiatives that prevent and/or treat HIV/AIDS. It seeks to capitalize on the value-added of NGOs in fighting the pandemic especially among high risks groups. It will also support the nurturing of synergies and close cooperation among other societal partners including government agencies, international donors, private sector firms, other NGOs and ADB.

II. ISSUES

4. The continuing spread of HIV and the associated disease of AIDS in the Asia-Pacific region threaten to reverse poverty reduction efforts. The dramatic impact of the pandemic has been recognized by the international community: the 6\(^{th}\) Millennium Development Goal (Target 7) aims to “have halted and begun to reverse the spread of HIV/AIDS By 2015.” ADB is poised to play a key role in the regional effort against this pandemic by drawing upon its comparative strengths to assist its developing member countries. Trends show that these countries could soon represent the world’s most HIV-afflicted region by number, with all the health, social, economic and poverty increasing consequences that this implies.

5. Where HIV prevalence has risen to high levels, key development indicators, such as mortality rates and life expectancy, will be increasingly eroded, and efforts to reduce both income and non-income poverty will be severely undermined. The HIV/AIDS pandemic in Asia and the Pacific is due largely to the role of IDUs and sex workers. The spread of the virus/disease from these groups to the general population often begins with the spread between IDUs and sex workers and then to their clients.

6. Given that many countries in the Asia-Pacific Region, including Central Asia, are experiencing an epidemic driven largely by IDUs and sex workers, government and international agencies have to address the potentially controversial need for harm reduction programs. The challenge is therefore to ensure a comprehensive approach encompassing prevention and treatment and to provide non-discriminating care to as many people living with HIV/AIDS as possible.

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2 The Millennium Development Goal (MDG): Combat HIV/AIDS Malaria and other Diseases, target No.7.
7. NGOs can play a key role in ensuring nondiscrimination and access to marginalized groups that are at high risk of becoming infected with HIV/AIDS. As NGOs are often created and staffed by community members, this gives them credibility with and understanding of the communities they serve. NGOs are also willing to involve the poor and marginalised in their programmes, and thereby, they succeed in reaching groups such as prostitutes or IDUs, who are outside the mainstream society, and may be suspicious of public institutions. Thus, NGOs are more likely to attract community participation for HIV/AIDS prevention, treatment and care efforts. They are also more likely to recognise what will be appropriate and effective for their constituencies, and in so doing, increase the potential for transforming community attitudes, beliefs and behaviours from within the community. This is a much-needed and valuable approach to HIV/AIDS prevention.

8. There are numerous worthy efforts begun by NGOs, often with little funding and little opportunity to learn technical approaches that could be used to greater effectiveness. Increasing the capacity of this type of organization will be essential for replicating or scaling-up any programs nationally and regionally. Therefore, it is essential that NGOs are supported and developed to their full capabilities to build partnerships with and alleviate the burden of the governments in providing care and support for those who are in need.

9. To ensure ADB offers a cohesive and effective response to HIV/AIDS in the region, supporting partnership, consultation and involvement of civil society and people living with HIV/AIDS (PLWHAs) is a strategic direction to guide program and project implementation. Through the provision of small grants to NGOs in the region, the TA will enhance the sharing of NGO experience and expertise for HIV/AIDS prevention, care for PLWHAs and/or treatment of high-risk groups in the region. Such efforts are currently fragmented throughout the region. This TA offers an avenue for coordinated efforts and initiatives that could be encouraged in countries where they are lacking.

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcome

10. The impact of the TA will be an increase of NGO initiatives contributing to the halt and reverse of the spread of HIV/AIDS in Asia and the Pacific. The expected outcome will be the demonstrated effectiveness of NGO-led initiatives in targeting vulnerable and high-risk groups for HIV/AIDS prevention, treatment and care. The TA framework is presented in Appendix 1.

B. Methodology and Key Outputs

11. The TA will provide small grants to NGOs through ADB’s NGO and Civil Society Center (NGOC) for initiatives directly related to HIV/AIDS prevention, care for PLWHAs and/or treatment of high-risk groups including IDUs and sex workers. Eligibility criteria will be applied to ensure that NGOs receive grants are reputable organizations with sufficient capacity to undertake the funded initiatives. Areas of support to NGO initiatives will include the following: (i) NGOs interested in expanding the outreach and impact of their HIV/AIDS interventions to districts and/or provinces directly relevant to ADB operations; (ii) strengthening the capacity of local NGOs involved in HIV/AIDS prevention, treatments and care; (iii) pilot testing innovative initiatives and/or modalities directed at addressing the constraints and needs of the vulnerable groups and high-risk groups; (iv) NGO-government partnerships in HIV/AIDS prevention, treatment and/or care. All NGO-funded initiatives will aim to associate people living with
HIV/AIDS (PLWA) in the design, implementation and monitoring of the impact of the proposed interventions.

12. An inter-regional workshop with governments, donors, NGOs and ADB will be organized at the end of the TA implementation to widely share lessons learned of the NGO-led initiatives and to formulate recommendations for replication and up-scaling in ADB wide operations.

13. At the start of the TA, a plan will be developed for monitoring and evaluation of NGO initiatives. The output of the plan will be an end-of TA report that will assess the effectiveness of the NGO initiatives for HIV/AIDs prevention, care of PLWHAs and/or treatment. The report will include and indicate list of lessons learned and suggestions for replication and up-scaling within ADB, government and/or donor operations. Based on the effectiveness of the TA,

14. The TA will have three overall outputs: (i) NGO-led initiatives funded are assessed for relevant and measurable impacts on HIV/AIDs prevention and/or treatment for high-risk groups; (ii) experiences of NGO initiatives are effectively shared; and (iii) successful NGO initiatives are scaled up in ADB, government and/or donor operations. Specific outputs of the NGO initiatives will vary individually but will include one or more of the following: (i) increased understanding of the HIV/AIDs pandemic; (ii) enhanced coordination between NGOs and governments; (iii) improved delivery of preventive services among IDUs; (iv) enhanced knowledge and behavior change in safe sex practices; and (v) improved HIV/AIDs monitoring and evaluation systems.

C. Cost and Financing

15. The total cost of the TA is estimated at $ 1,500,000. The TA will be financed on a grant basis through the Cooperation Fund for Fighting HIV/AIDs (SIDA Trust Fund). As it is not possible to specify the detailed costs of prospective NGO funding requests, Appendix 2 provides only a broad cost estimate table.

D. Implementation Arrangements

16. ADB will be the executing agency for the TA. NGOC of the Regional and Sustainable Development Department (RSDD) will have overall responsibility for TA implementation, including the development of guidelines (for use by RMs), a template for NGO project proposals and reporting formats.

17. The TA will provide small grants to NGOs through RMs for activities directly related to HIV/AIDs prevention, care for PLWHAs and/or treatment for high-risk groups. Experienced NGOs in eligible DMCs may submit proposals expected to be in the range of US$ 20,000 to $250,000 per country. Eligibility criteria for NGOs is provided in Appendix 3.

18. RMs will solicit funding proposals from experienced NGOs. Criteria for grant funding will include (i) relevance to CSPs and national HIV/AIDs efforts, including feasibility of replication and up-scaling as part of ADB operations; (ii) contribution to stronger and more productive linkages between ADB, Governments, and NGOs; (iii) contribution to NGO capacity to productively and proactively work with ADB and governments; (iv) contribution to improved NGO institutional capacity to respond to the needs the high risk groups of the poor; and (v) partner contributions, including cash or in-kind contributions by NGOs involved in individual
project activities. RMs, in consultation with the NGOC, will establish country-specific criteria for the partnership grants, in line with the criteria outlined above.

19. RMs will screen and prioritize project submissions via a local committee with locally based HIV/AIDS experts. These experts could include representatives from NGOs (not eligible for grants), National HIV/AIDS council or equivalent, UNAIDs, universities, government health and social welfare ministries and medical treatment facilities staff.

20. Final decisions on proposals to be funded endorsed by the RM committee will be made by a three member committee at ADB HQ comprising the Energy, Transport, and Water Division (RSID), NGOC and a representative of the Social Sectors Division of the relevant regional department. The committee will be chaired by the NGOC. The approval process is outlined in Appendix 4.

21. Approved projects will be completed within a 12 to 24 month time frame depending on the nature of the initiative, with full completion of the TA by no later than mid 2009. Funding for the NGO initiatives will be made available between 2006 and 2007. Projects will be subject to SIDA’s approval of annual work plans for the fund as submitted by ADB’s NGOC. The NGOC staff will monitor projects, and NGOs receiving grant funding will be required to prepare project progress reports (on a quarterly basis) and completion reports, supplemented by brief field visit(s) to be conducted by the NGOC.

IV. THE PRESIDENT’S RECOMMENDATION

22. The President, acting under the authority delegated by the Board, has approved ADB administering technical assistance not exceeding the equivalent of $1,500,000 to be financed on a grant basis by the Cooperation Fund for Fighting HIV/AIDS Trust Fund for NGO Initiatives to Prevent HIV/AIDS, and hereby reports this action to the Board.
# DESIGN AND MONITORING FRAMEWORK

<table>
<thead>
<tr>
<th>Design Summary</th>
<th>Performance Indicators/Targets</th>
<th>Monitoring Mechanisms</th>
<th>Assumptions and Risks</th>
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<tbody>
<tr>
<td><strong>Impact</strong></td>
<td>Increased NGO initiatives contributing to the halt and reverse of the spread of HIV/AIDS in Asia and the Pacific</td>
<td>The 2015 data indicate that the prevalence of HIV infections among adults in Asia and the Pacific has not increased in the last 2 years.</td>
<td>Country reports UNAIDs reports NGOs willing to access ADB funding for small grants and capable of submitting quality proposals. Government willingness to include NGOs IN HIV/AIDS initiatives.</td>
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<tr>
<td><strong>Outcome</strong></td>
<td>Demonstrated effectiveness of NGO-led initiatives in targeting vulnerable and high-risk groups for HIV/AIDS prevention, treatment and care.</td>
<td>Increased number of NGOs interacting with ADB and governments in HIV/AIDS related efforts Mechanisms/methods used by NGOs organizations taken up in ADB, government and/or donor programs and projects to address HIV/AIDS.</td>
<td>Reports of tripartite discussions, conferences or forums. National HIV/AIDS program documents Donor program reports ADB TA and Loan documents Lessons learned documentation As above ADB, government and donor staff interested and will to apply lessons leaned in national programs, TAs and loan projects.</td>
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<tr>
<td><strong>Outputs</strong></td>
<td>1. 70% of NGO initiatives funded assessed for relevant and measurable impacts on HIV/AIDS prevention 2. Experiences of NGO initiatives effectively shared 3. Successful NGO approaches in preventing HIV/AIDS scaled up in ADB, government and/or donor operations</td>
<td>Assessment/evaluation of the TA. Regional consultation organized with ADB-Government-NGO participation Good practices and lessons learned appear in local and global websites At least 10% of the NGO initiatives are identified for up scaling and integration in ADB, government and/or donor operations.</td>
<td>Assessment/Evaluation report Workshop reports Report on surveys conducted on websites TAs, RRP's and project proposals As above</td>
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### Activities with Milestones

<table>
<thead>
<tr>
<th>Cycle 1: 2006 – 2007</th>
<th>Inputs</th>
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<tbody>
<tr>
<td>1. TA processing and approval by first quarter of 2006</td>
<td>HIV/AIDS trust Fund</td>
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<tr>
<td>2. Secure government approvals for NGO initiatives by second quarter of 2006</td>
<td>US$ 1,500,000</td>
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<td>3. Establish TA review committee in DMCs and ADB HQ by third quarter of 2006</td>
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<td>4. Advertise grant funds in eligible DMCs by third quarter of 2006</td>
<td></td>
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<tr>
<td>5. Endorsement of proposals by RM review committees by first quarter of 2007</td>
<td></td>
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<tr>
<td>6. Review and approval of proposals by HQ committee by first quarter of 2007</td>
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<td>7. Implementation of initiatives by second quarter of 2007</td>
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<td>1. Advertise grant funds in eligible DMCs by third quarter of 2007</td>
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<td>2. Endorsement of proposals by RM review committees by first quarter of 2008</td>
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<tr>
<td>3. Review and approval of proposals by HQ committee by first quarter of 2008</td>
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<tr>
<td>4. Implementation of initiatives by second quarter of 2008</td>
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### Project Monitoring:

- Mid-term: fourth quarter of 2007
- End Review: third quarter of 2008
COST ESTIMATES AND FINANCING PLAN  
($'000)

<table>
<thead>
<tr>
<th>Item</th>
<th>Foreign Exchange</th>
<th>Local Currency</th>
<th>Total Cost</th>
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<tbody>
<tr>
<td>Asian Development Bank Financing (^1)</td>
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<td>Figure 1</td>
<td></td>
<td></td>
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<tr>
<td>Small Grants to Local NGOs</td>
<td>1,300,00</td>
<td></td>
<td>1,300,000</td>
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<tr>
<td>Regional Workshop</td>
<td>100,00</td>
<td></td>
<td>100,000</td>
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<tr>
<td>Project Reviews</td>
<td>100,00</td>
<td></td>
<td>100,000</td>
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<tr>
<td>TOTAL</td>
<td>1,500,00</td>
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<td>1,500,000</td>
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\(^1\) Financed by the Corporation Fund for Fighting HIV/AIDS

NGO = nongovernment organization.

Source: Asian Development Bank estimates.
ELIGIBILITY CRITERIA FOR NONGOVERNMENT ORGANIZATIONS

1. To be eligible for funding, a nongovernment organization (NGO) or civil society organization must:

- operate in a developing member country (DMC) of the Asian Development Bank;
- be a not-for-profit organization;
- be legally registered in an ADB member country;
- have operated for at least 3 years and have a demonstrated track record in implementing small innovative project activities;
- have a management or advisory board;
- have a minimum of two paid staff;
- maintain a proper accounting and financial system; and
- be committed to the principles of gender equality in terms of its own staffing, involvement of women in decision-making roles, and targeting of women as beneficiaries.

2. Projects will be selected on a competitive basis within eligible countries. NGOs will be expected to contribute to overall project costs, either on a financial or in-kind (e.g., staff salaries) basis. The project grants normally will not fund NGO administrative or other overhead costs, or construction or capital purchase costs. Nor will project grants fund research programs, formal academic training programs, ongoing institutional core support (such as equipment unrelated to the activity), scholarships, fellowships, study programs, individuals applying on their own behalf, or applications from non legal entities.

3. Recommendations for funding will be made on the basis of the following criteria:

- **Eligibility.** The organization must be legally registered in an ADB member country.
- **Organizational Strength.** The track record of the organization; the qualifications and/or experience of key personnel; the status of the organization in the DMC; the gender balance within the organization; sufficient institutional capacity to deliver; the organization maintaining sound internal controls, accounting and financial systems; the organization’s capacity to liquidate funds.
- **Financial Viability.** Feasible and/or realistic proposal and budget; the organization’s ability to make a financial or in-kind contribution to the project (e.g. staff salaries).
- **HIV/AIDs Prevention.** The proposed project’s direct or indirect operational relevance for ADB, based on country strategy and program documentation and/or national HIV/AIDs programs.
- **Objectives.** Objectives of the organization’s proposed project are innovative and/or strategic. Feasible objectives given the amount of funding.
- **Methodology.** Availability of a clear implementation plan, realistic timetable, and feasible objectives; creative/innovative and participatory activities included in the project; Proposal logically presented; existence of any unsupported assumptions; participatory approaches to be used, including involvement of women.
- **Impact.** The expected results of the project; the anticipated effect on target beneficiaries (i.e., change in legislation, change in institutional behavior including use of participatory approaches, change in policy, increased public awareness, capacity to
access resources, etc.); how project-related products will be used or distributed; expected linkages to other initiatives; measurable results.

- **Relevance for ADB.** The potential for scaling-up or replication of the proposed project in an ADB-financed projects; involvement of the organization in other ADB-financed projects.
- **Sustainability.** Plans for continuation of activities beyond the life of the grant included in the proposal; additional funding sources required is secured by the organization.
- **Evaluation.** Plans for monitoring, evaluating, and documenting the initiative; budget that includes adequate provision for monitoring and evaluation.

4. In addition to equitable regional distribution across eligible DMCs, the technical assistance (TA) will strive for equitable subject focus distribution within the context of national development and poverty reduction plans and/or ADB country strategy and program documentation.
APPROVAL PROCESS NGO PROPOSALS (2006 - 2008)

Key steps in the approval of the NGO Proposals are outlined below, in combination with the overall administration of the Cooperation Fund for Fighting HIV/AIDS in Asia and the Pacific.

2. Endorsement of NGO Proposals
3. Screening of NGO Proposals

Cooperation Fund for Fighting HIV/AIDS in Asia/Pacific

- Approval Work Program (2006)
- SIDA
- Gender, Social Development and Civil Society Division (RSGS)
- HIV/AIDS TA Unit
- Energy, Water and Transport Division (RSID/RSDD)
- NGO and Civil Society Center (NGOC)
- Social Sectors Division, Regional Department
- Local Committee: UNAIDs, MoH, University, Medical staff, NGO
- Resident Missions