



United Nations Development Programme

HIV/AIDS

Working with Global Fund Sub-recipients
Achieving results, managing risks

Sub-recipient Management Toolkit for UNDP Country Offices

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Acronyms and abbreviations

ACP	Advisory Committee on Procurement
BDP	Bureau of Development Policy
BOM	Bureau of Management
CAP	Contract, Asset and Procurement Committee
CCM	Country Coordinating Mechanism
CO	Country Office
CSO	Civil society organization
DPA	Delegated Procurement Authority
Global Fund	Global Fund to Fight AIDS, Tuberculosis and Malaria
GIU	Grant Implementation Unit
LPAC	Local Projects Appraisal Committee
LFA	Local Fund Agent
LSO	Legal Support Office
M&E	Monitoring and Evaluation
NGO	Non-governmental organization
NIM	Nationally implemented
OAI	Office of Audit and Investigations (UNDP)
OIG	Office of the Inspector General (Global Fund)
PMU	Programme Management Unit
POPP	Programme and Operations Policies and Procedures (UNDP)

PR	Principal Recipient
PSM	Procurement and Supply Management
PSO	Procurement Support Office
RACP	Regional Advisory Committee on Procurement
RFP	Request for Proposal
RFQ	Request for Quotation
RMAP	Risk Management Action Plan
RR	Sub-recipient
SR	Multi-drug Resistant
SSR	Sub-sub-recipient
VfM	Value for money (assessment)

Glossary of key terms

Contract, Contractor: In this toolkit, the terms ‘contract’ and ‘contractor’ refer to the contracting of commercial entities that are *not* Global Fund Sub-recipients. These are typically contracted to provide products or professional services to a project.

DIM: When acting as Principal Recipient, UNDP shall implement project activities under Direct Implementation (DIM). This means that UNDP will be acting as the Implementing Partner of the project. Nevertheless, please note that the former terminology, i.e. Direct Execution (DEX), is still used in non-harmonized countries which do not have a Country Programme Action Plan (CPAP).

Grant Agreement: The Grant Agreement is the formal legal financing agreement between the UNDP Country Office and the Global Fund. This includes: i) Fact Sheet; ii) UNDP–Global Fund Standard Terms and Conditions (specifically for UNDP as Principal Recipient); and iii) Annex A (Conditions Precedent and Special Terms and Conditions to be agreed by both parties), Summary Budget and Performance Framework.

Implementing Partner: The implementing partner is the entity entrusted with the implementation of the project which assumes full responsibility and accountability for the effective use of the project resources and the delivery of the project outputs. In this toolkit, the term ‘implementing partner’ refers to UNDP.

Principal Recipient (PR): This is the Global Fund term for the entity contracted to implement a Global Fund grant. The PR is responsible for programme results and legally accountable to the Global Fund. In this toolkit, ‘Principal Recipient’, or ‘PR’, means the UNDP Country Office.

Project Document: UNDP operates Global Fund-financed programmes under the framework set forth in the Country Office’s Standard Basic Assistance Agreement (SBAA) with the host country. A project document must be formulated and approved by all parties involved. In this toolkit, the project document articulates in detail how UNDP intends to implement a Global Fund programme, and the strategy, expected results, costs, etc. involved.

Project Management Unit (PMU): This is the UNDP PMU designated to implement Global Fund grants in the country and manage Sub-recipient Agreements. The PMU is headed up by the PMU Manager (who reports to the UNDP Country Director or his/her designee) and is supported by several specialists. In some countries, the PMU is called the Grant Implementation Unit (GIU).

Responsible Party: An entity that has been selected to act on behalf of the Implementing Partner on the basis of a written agreement or contract to purchase goods, provide services or carry out activities using the project budget is considered a responsible party. This, therefore, includes Contractors and Sub-recipients. All responsible parties are directly accountable to the Implementing Partner in accordance with the terms of their agreement or contract with the Implementing Partner.

Sub-recipient (SR): The Grant Agreement defines a Sub-recipient (SR) as an organization/entity to which UNDP provides funding for the implementation of certain activities within a Global Fund programme. SRs may be government entities, United Nations agencies, non-governmental organizations (NGOs), community-based organizations (CBOs), community groups, or academic organizations. In this toolkit, consistent with UNDP terminology, the term 'responsible party' refers to SRs.

Sub-sub-recipient (SSR): Sub-sub-recipients are Sub-recipients of Sub-recipients. The UNDP Country Office is legally accountable for any project implementation by SSRs – as it is for Sub-recipients – within Global Fund grants for which it is Principal Recipient.

Sub-recipient (SR) Agreement: In this toolkit, an agreement between UNDP and an SR to implement Global Fund programme activities is referred to as an SR Agreement. [Standard templates](#) are available for SR Agreements for governments, NGOs and United Nations agencies (UNICEF, UNFPA, WHO).

UNDP Country Office (CO): 'UNDP CO' means the UNDP Country Office – i.e. the official UNDP representation at the country level. The UNDP CO signs the Grant Agreement, is responsible for grant implementation and supervises the management of the SRs.

UNDP Headquarters (UNDP HQ): In this toolkit, UNDP HQ refers to any UNDP corporate-level unit, regardless of physical location.

Introduction

1. Introduction to the toolkit

a. Purpose

On 26 January 2011, UNDP's Operations Group requested that a toolkit be developed to support Country Offices (COs) serving as Principal Recipients (PRs) of Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund) grants in effectively managing Sub-recipients (SRs), both in terms of achieving results and managing risk. The necessity of creating a toolkit for managing Sub-Recipients was one of the most important recommendations made by the *UNDP Global Fund Portfolio Implementation and Risk Management Review*, prepared by the UNDP Global Fund Partnership Team (BDP/HIV) and presented to the Operations Group.

This ***Sub-recipient Management Toolkit*** is a critical part of UNDP's strategy to manage risk related to the implementation of complex Global Fund grants in difficult country contexts. SR management has been identified as an especially high-risk area for UNDP when serving as PR of the Global Fund.

The purpose of this toolkit is to provide guidance for COs to manage and oversee SRs throughout the grant life cycle, including assessing, contracting, managing, monitoring and evaluating SRs and their activities.

The toolkit does not set new policies but provides additional guidance and detailed advice on implementing UNDP's corporate *Programme and Operations Policy and Procedures* (POPP),¹ *UNDP Operations Manual for Projects Financed by the Global Fund to Fight AIDS, Tuberculosis and Malaria*,² the *GFATM Atlas Guide* and the *Global Fund Financial Guidelines*.

The *UNDP Sub-recipient Management Toolkit* is intended to provide further guidance and advice when implementing POPP, and should not in any way be seen as replacing or altering these or any other UNDP procedures.

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