Information about the authors:

Sven Voigtländer (author)
Auerbachstrasse 52
07549 Gera
GERMANY

@: s-voigtlaender@web.de
Phone: +49.179.9028.530

Sven Voigtländer is a final year student of health care management in the health care department at the University of West Saxony. From July up to December 2002 he was member of a team undertaking an HIV/AIDS prevention project in cooperation with the National Youth Council of the Republic Ghana. An overview is provided by the website www.akatsi.net. Furthermore he gained considerable experience in the application of qualitative research methods in a research project focusing on executives of health care facilities during his studies.

Katri Abel (co-author)
National Institute for Health Development
Estonian Drug Monitoring Centre
National Focal Point
Hiiu 42, Room 471
11619 Tallinn
ESTONIA

@: katri.abel@tai.ee
Phone: +372.670.7099
Fax: +372.670.6814

Katri Abel works as expert within the Estonian Drug Monitoring Centre. Furthermore acts as the legal correspondent of the Joint Action on New Synthetic Drugs (JANSAD). Further information can be found under http://eusk.tai.ee.

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List of abbreviations

a.c.	Author's comment
ADAPP	Alcohol and Drug Abuse Prevention Programme 1997-2007
APC	AIDS Prevention Centre
CBO	Community-based organization
CCM	Estonian Country Coordinating Mechanism
CHPE	Estonian Centre for Health Promotion and Education
EDMC	Estonian Drug Monitoring Centre
EMCDDA	European Monitoring Centre for Drugs and Drug Addiction
GFATM	Global Fund to Fight AIDS, Tuberculosis and Malaria
GFP	Global Fund Programme
GDP	Gross Domestic Product
GO	Governmental organization
Grant Agreement	Program Grant Agreement between the Global Fund to fight AIDS, Tuberculosis and Malaria ("Global Fund") and the National Institute for Health Development of the Ministry of Social Affaires of Estonia ("Principal Recipient")
IDU	Injecting Drug User
IECM	Institute of Experimental and Clinical Medicine
JANSAD	Joint Action on New Synthetic Drugs
LFA	Local Fund Agent
M&E	Monitoring and evaluation
MoSA	Estonian Ministry of Social Affairs
NENO	Network of Estonian Nonprofit Organizations
NFP	National Focal Point
NGO	Non-governmental organization
NHAPP	National HIV/AIDS Prevention Programme 2002 – 2006
NIHD	National Institute for Health Development
PHSTC	Public Health and Social Training Centre
PLWHA	People living with HIV/AIDS
UNFPA	United Nations Population Fund

1 Introduction

"While former communist countries harbour the fastest growing rates of [HIV; a.c.] infection in the world paradoxically the region also has the most potential to reverse the trend with relative ease" (UNDP 2004: 1). Among those countries Estonia "combines one of the region's most successful transitions … with some of its highest HIV prevalence rates" (ibid.: 84). The concentrated HIV epidemic in Estonia started with a dramatic increase in newly diagnosed HIV infections in the second half of 2000. Meanwhile it amounts to the highest cumulative reported HIV infections per million population in Eastern European countries (UNAIDS / WHO 2003).

The empirical treatise in hand tries to take a look at the status quo of Estonian HIV/AIDS prevention and to outline hypotheses and proposals to increase its impact. This is done on the basis of interviews with key stakeholders, which explore the phenomena consensus, cooperation and capacity building and their meaning for everyday work of HIV/AIDS prevention. These phenomena represent main problematic, but yet undetermined issues, which in part explain the contradiction between a 'successful transition' and a high HIV prevalence rate.

The study starts with presenting the structure of the HIV/AIDS prevention system including the Ministry of Social Affairs, the National Institute for Health Development as well as the National HIV/AIDS Prevention Programme 2002-2006 and the Global Fund Programme. Afterwards the beginnings of the study and its underlying research question are explained.

The next parts refer to the concept and realization of the study. The study is a qualitative case study whereas all organizations within Estonian HIV/AIDS prevention are defined as (possible) cases. Among others, semi-structured interviews are the main source of data collection. Furthermore the research and interview design as well as the use of codified methods—such as theoretical sampling, transcription, coding, writing memos and the verification of findings—are described.

Finally the main results are presented. They are subdivided into 1) Monitoring and evaluation, 2) Horizontal cooperation (among NGOs), 3) Vertical cooperation, 4) Leadership and 5) Global Fund Programme.

In order to be more readable the text makes only use of male expression but they are meant to include the female ones as well.

2 Estonian HIV/AIDS prevention system

In the following we want to give an overview of the Estonian HIV/AIDS prevention system focusing on the nationwide coordination (see annex 9.1 for an organigram). In terms of nationwide coordination one can distinguish three levels: the Ministry of Social Affairs (MoSA), the National Institute for Health Development (NIHD) and the programme level or rather level of 'institutional activities' comprising the National HIV/AIDS Prevention Programme 2002 – 2006 (NHAPP) (see MoSA 2002) and the Global Fund Programme (GFP) (see Grant Agreement 2003). The MoSA has the overall leadership for the health sector as a whole including public health, while the NIHD shall represent a comprehensive framework for fulfilling governmental responsibilities. The programme level under the 'Development Centre' of the NIHD is working together with implementing agencies and the county level[1] and thus realizes governmental coordination.

Taking a look at the NIHD and the programme level, a considerable transition has taken and still takes place. Therefore we also refer to this transition within the following sub-chapters, which are providing an overview.

2.1   National Institute for Health Development

The NIHD—a semi-autonomous organization under the MoSA—was founded in May 2003, and was the result of the merging of the Institute of Experimental and Clinical Medicine (IECM), the Centre for Health Promotion and Education (CHPE) as well as the Social Training Centre (PHSTC). The rationale behind this was to "…enhance efforts to improve health and welfare on an evidence-based manner" (AAVIKSOO 2002) as the three separate establishments IECM, CHPE and PHSTC dealt "with bits and pieces of necessary tasks…" (ibid.). Whereas the IECM dealt with research in terms of epidemiology, cancer research, occupational and environmental health, the CHPE dealt with general health promotion development work and most national health programmes, including the NHAPP and the Alcohol and Drug Abuse Prevention Programme 1997-2007 (ADAPP), and the PHSTC with professional training courses (compare AAVIKSOO 2002).

Regarding its structure the NIHD is subdivided into 1) Administration, 2) Training and Information Centre, 3) Science Centre and 4) Development Centre. The latter one comprises the NHAPP and GFP. Referring to an order given by the director of the NIHD in December 2003 the personnel hierarchy of the 'Development Centre' is not a

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[1] The NHAPP together with the ADAPP cooperates with 12 out of 15 county governments on the basis of annual activity plans and long-term activity plans covering the whole duration of the NHAPP. The ADAPP itself also cooperates with the remaining county governments.

programme-based structure anymore except the GFP. In addition, a Monitoring and Evaluation Unit is established under the Science Centre but the planned personnel are not recruited yet.

The background behind giving up the programme-based structure is that the MoSA intends a break with official programmes and wants to continue with so-called 'institutional activities', as maintaining separate programme administrations is assessed as less efficient. As a result the Development Centre will be divided into a strategy and planning department, a specialist department and the GFP. The personnel recruitment is not finished yet.

2.1.1 National HIV/AIDS Prevention Programme 2002 – 2006

The NHAPP was approved by the government of Estonia by 16 January 2002 (MoSA 2002). The general objectives of the NHAPP are 1) to stop the progressive spread of HIV/AIDS and 2) to ensure the availability of high-quality antiviral treatment and other health care and social services to people with HIV. Regarding the first objective the main target groups are young people and injecting drug users (IDUs).

The NHAPP followed up the 'National development plan for the prevention of HIV/AIDS and other sexually transmitted diseases 1997 – 2001' which was the sole responsibility of the AIDS Prevention Centre (APC). With the new programme the CHPE came into picture and together with the APC formed the staff of the programme, which resulted in an unclear division of roles between the two (compare DONOGHOE et al. 2003: 22). Then the NIHD was founded in May 2003 and the CHPE and APC were merged together but still remained at different sites; in August 2003 the majority of the former APC staff were dismissed based on an accusation of corruption[2], and at the end of October 2003 the remaining staff of the NHAPP moved into the NIHD site.

2.1.2 Global Fund Programme

The GFP being part of the NIHD as the principal recipient is based on the approved second Estonian proposal to the Global Fund to fight AIDS, Tuberculosis and Malaria (GFATM) (see CCM ESTONIA 2002) as well as the Grant Agreement between the GFTAM and the NIHD (see Grant Agreement 2003)[3]. The GFP started on 1st October 2003 and ends 1st

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[2] We are not in a position and we do not want to judge that. For the discussion in the media see AASMÄE / JAAKS (2003) and TAIM (2003).

[3] Although the Grant Agreement is based on the proposal to the GFATM it is more or less different in terms of structure, content and implementing agencies; one example is the question of the program secretariat. In contrast to the initial plan of incorporating the GFP into the NHAPP (see CCM ESTONIA 2002: 44) a separate program secretariat was established consisting of the GFP program manager who enlists legal, financial and M&E services to the needed extent. Based on recent information one additional person will deal with the GFP-related M&E issues in future.

October 2005 with the option to prolong it for two years to the proposal completion date of 1st October 2007 (ibid.). The goal of the GFP is to stop the progressive spread of HIV in Estonia by 2007 and is subdivided into seven objectives[4], six of them focusing at the various target groups of preliminary up to tertiary prevention.

Five groups and institutions respectively have to be considered in regard to the GFP: the GFATM itself together with the Local Fund Agent (LFA), the Estonian Country Coordinating Mechanism (CCM), the NIHD as 'Principal Recipient' and the implementing agencies.

The LFA assists the GFATM in its oversight role during the implementation of the GFP and thus is the direct cooperation partner to the NIHD as the 'Principal Recipient'. The NIHD has the overall responsibility to successfully realize the implementation of the Grant Agreement.

The CCM put together the proposal to the GFATM. This 'representative group of stakeholders' plays a key role in the GFP (see Grant Agreement 2003: 7p.). Its functions reach, for instance, from coordinating the submission of proposals to the GFATM, promoting partnership development and participation of multiple constituencies to meeting regularly in order to discuss plans, share information and communicate on Global Fund issues.

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[4] The final Grant Agreement (2003: 18)Grant Agreement mentions only seven objectives while the initial Estonian proposal to the GFATM consists of eight objectives (CCM ESTONIA 2002: 24p.).

3 Research question

The following chapter deals with the research question (see 3.3). In the beginning its background (see 3.1) including objectives of the research (see 3.2) are explained.

3.1 Problem-oriented talks and parallel literature review

At the start there was a preliminary stay in Estonia in May 2003 followed by a long-term stay starting in June 2003. The preliminary stay was mainly sorting out the feasibility of undertaking a study, whereas the beginning of the following long-term stay was aiming at a broad agreement on a study concept and working out a research design including a research question.

3.1.1 Preliminary stay

Besides sorting out the feasibility of undertaking a study focusing on HIV/AIDS prevention the preliminary stay enabled the author to gain an overview of the Estonian HIV/AIDS prevention system based on meetings with key persons and an initial and general literature review. The persons talked to were:

- Nelli Kalikova, Member of Parliament and former Head of APC,
- Aljona Kurbatova, by then Specialist within the Public Health Department of the MoSA and now Programme Manager of the ADAPP,
- Tiia Pertel, Programme Manager of the NHAPP,
- Ljudmilla Priimägi, Chairperson of the Board of the Estonian Anti-AIDS Association,
- Ave Talu, Head of Estonian Drug Monitoring Centre (EDMC) and National Focal Point (NFP) Coordinator
- Katri Abel[5], Expert within the EDMC and Legal Correspondent of the Joint Action on New Synthetic Drugs (JANSAD), and
- Aire Trummal, NHAPP Project Coordinator on monitoring and evaluation issues.

The parallel literature review focused on the Estonian proposal to the GFATM (see CCM ESTONIA 2002), the NHAPP text (see MoSA 2002) and the report of a WHO/EURO mission to Estonia (see DONOGHOE et al. 2003)[6].

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[5] Katri Abel was one of the persons talked to and from then on served as co-author.

In those first problem-oriented talks the upcoming GFP was one of the main issues. So far the second Estonian proposal to the GFATM was approved but the start of the GFP was uncertain, as a 'Grant Agreement' had not been signed by then. Taking a closer look at the proposal, the objective numbers seven[7] and eight[8] seemed to be particularly interesting and relevant because their meaning goes beyond the temporary GFP and they were in line with other main issues coming up in the preliminary talks. Finally there was an agreement on principle with the above-mentioned persons[9] that first, a study focusing on the issues consensus, cooperation and capacity building would be relevant as well as useful and second, a study concept should be outlined before commencing the following long-term stay.

3.1.2 Second stay

In the beginning of the second stay the initial study concept underwent discussion and explanation with the above persons[10] and two additional persons: Heli Pallo, by then Chief Advisor on HIV/AIDS and Drug use of the MoSA and now Programme Manager of the GFP, and Roger Drew, international Health and Development Consultant supporting the Estonian activities in terms of GFATM. By 17th June 2003 these people agreed on the final study concept (see annex 9.2) which was aiming at developing conclusions and recommendations based on a joint reflection in terms of consensus, cooperation and capacity building to scale up the efforts in fighting the HIV epidemic[11]. The title of the concept only refers to the NHAPP because a GFP structure including staff did not exist and a 'Grant Agreement' had not been signed by then. Moreover the rationale behind the Estonian proposal to the GFATM was "that everything within it should strengthen and develop the current national program" (CCM ESTONIA 2002: 18) and going into detail "boosting significantly the capacity of the National AIDS program by recruiting five additional staff within the first year" (ibid.: 3). Therefore we regarded the NHAPP as the overall and predominant programme.

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[6] Further literature apart from these was for instance the ADAPP text (MoSA 1997), the national report on drug situation in Estonia 2002 and 2001 (ABEL et al. 2003, ABEL et al. 2002) and the EMCDDA report on the drug situation in the candidate CEECs 2002 (EMCDDA 2002).

[7] "To increase the institutional capacity of organizations taking part in the program, now and in the future, to effectively meet the objectives and goal of this program" (CCM ESTONIA 2002: 24).

[8] "To build consensus and cooperation amongst participating organizations so that the program can be effectively coordinated and delivered" (CCM ESTONIA 2002: 25).

[9] The agreement on principle did not include Aljona Kurbatova as it more or less happened to meet her.

[10] Excluding Aljona Kurbatova.

[11] The final study concept and the realization of the study as such differ. Steps four and five of the study concept were combined and the deadline could not be kept. The latter one is due to the problem of pre-dating a qualitative study as well as the author's inexperience in realizing such a large and broad study.

Based on problem-oriented talks with the above experts and a more intense literature review further information about the Estonian HIV/AIDS prevention system in general and consensus, cooperation and capacity building in particular was gathered. The results or rather main issues were compiled in one file (see annex 9.3). The main issues have to be understood as pre-hypotheses which cannot be equated with hypotheses as they are rather 'vague assumptions'.

3.2   Objectives of the research

In summary the overall objectives of the study were on the one hand writing the dissertation for the author's study course in health care management, and on the other hand to make a useful and relevant contribution to the Estonian HIV/AIDS prevention system. These overall objectives led to our concrete objective to focus on the experienced reality of key stakeholders and experts in terms of consensus, cooperation and capacity building and for the first time bring it together in the way of a joint reflection. Furthermore the results of the study shall provide assistance to planning and decision-making, contribute to improved control and rationality, as well as to provide arguments for the legitimate implementation of objectives and interests (KARDORFF 2000: 239). Over and above they shall contribute to a deeper understanding of the investigated area of Estonian HIV/AIDS prevention (ibid.).

3.3   Research question

The quality of a research question depends on the fulfilment of three criteria—first, it has to be interesting (MORSE / FIELD 1998: 43), second, it has to be relevant and third, it has to be possible to research into and answer it (FLICK 2000: 259). Whereas the first criterion is natural and easy to answer the two latter ones need further consideration. Regarding the relevance one has to ask whether the expected results will make a difference and whether somebody else is already researching into this question, which would result in duplication. The last criterion demands that the research question can be answered within the planned study taking into account the available resources (ibid.).

Apart from those criteria research questions can basically be divided into questions trying to confirm existing hypotheses and questions trying to discover something new (ibid.). Regarding the latter one STRAUSS (1994: 50) talks about "generative questions" which he characterizes as follows: "Questions that show useful directions during the research work; they lead to hypotheses, useful comparisons, the collection of certain types of data and even to it that the researcher becomes aware of possibly important problems."

Furthermore FLICK (1995: 64) points out that research questions become continuously more concrete, focused, limited and revised throughout the research project. Thus the initial and the final, perhaps unspoken research question can differ very much.

The research question basing our data collection is:

How do **key stakeholders** and **experts experience consensus**, **cooperation** and **capacity building** within the framework of the **Estonian HIV/AIDS Prevention Programme**? What are the **influencing factors** and what does it **mean** for **everyday work**?

This research question comprises two questions and is aiming at people who are attached to the Estonian HIV/AIDS Prevention Programme—the context the research question refers to[12]. The emphasis is laid on consensus, cooperation including horizontal and vertical cooperation and capacity building that are assessed on the basis of how key stakeholders and experts experience them.

The second question points out that those experiences should also include explanations and give reasons in order to understand the reality and go beyond a symptomatic level. At the same time the research question is very open and likely to lead to other related topics because first, the individual experiences of key stakeholders and experts are probably very different and second, they are stimulated to think in terms of causal relationships. The underlying definitions of our research question are attached (see annex 9.4).

The research question is regarded as relevant because the topics consensus, cooperation and capacity building were emphasized as problematic issues in the before-mentioned problem-oriented talks. The most recent work had been a report of a WHO/EURO mission to Estonia by DONOGHOE et al. (2003). This work had been done in a situation where the proposal to the GFATM had just been submitted and structural changes like the formation of the NIHD and the fusion of CHPE and APC had not taken place yet, and actually DONOGHOE et al. proposed those changes. Additionally this work—based on a four day mission—was very broad and evaluated also the provision of preventive services and activities. Therefore duplication with another research project was not seen.

Regarding the third criterion—the possibility of researching into and answering the research question—time and material resources were available as the NIHD provided an office. Furthermore access to key stakeholders and experts was positively assessed. First, some contacts already existed due to the problem-oriented talks and second, the amount of

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[12] Please note that in the beginning of the study the GFP was rather seen as part of the NHAPP than an independent program (see 3.1.2).

key stakeholders and experts as well as their identification—including the support from already contacted persons—seemed to be manageable.

4 Concept of the case study

In this chapter we will place case study research in qualitative research by presenting the qualitative paradigm (see 4.1). Furthermore we give an overview of case study research (see 4.2), explain the main instrument of data collection (see 4.3) and the subject of our research or rather cases (see 4.4).

4.1   Qualitative paradigm

According to FLICK / KARDORFF / STEINKE (2000: 14) qualitative research wants to describe the world (of human beings) out of the perspective of those people who are acting in it. With this it tries to contribute to a better understanding of social reality or realities by revealing processes, interpretative patterns and structural characteristics. Those processes, interpretative patterns and structural characteristics are not conscious to those who are acting as they are 'imprisoned' in the naturalness of everyday life (ibid.). This process of revelation reflects like a mirror up to then unknown and known by throwing a different light on it in order to open extended opportunities of knowledge (ibid.). In conclusion qualitative research is suitable to answer "generative questions" like the underlying research question.

What are the arguments for qualitative research? FLICK / KARDORFF / STEINKE (2000: 17) point out that qualitative research "is in its ways of accessing the phenomena in question often more open and therefore 'closer to it' than other research strategies rather working with large numbers and highly standardised, thus also more objectivistic methods and normative concepts[13]". In contrast to those standardised methods and concepts qualitative research is able to grasp the complexity of human behaviour and experience and thus provides a more concrete and vivid picture (ibid.), for instance of what it means to work in the Estonian HIV/AIDS prevention system. Referring to information systems BASKERVILLE (1999) states "complex social systems cannot be reduced for meaningful study … A key implication of this assumption is that the factoring of a social setting, like an organization and its information technology, into variables or components, will not lead to useful knowledge about the whole organization [or system, a.c.]."

FLICK / KARDORFF / STEINKE (2000: 20pp.) mention theoretically fundamental assumptions (see Figure 1) and characteristics (see Figure 2) which all the diverse and

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[13] Translation by the author (S.V.).

heterogeneous forms of qualitative research have in common[14]. Those assumptions have methodological implications for qualitative research. The first assumption means that qualitative research focuses on the forms and content of the everyday construction of meanings which leads to the second assumption resulting in analysing the accompanying sequences of communication and interaction (ibid.). The third assumption leads to a hermeneutic interpretation of subjective meaning in order to be able to explain individual and collective attitudes and actions (ibid.: 21). The fourth assumption simply means that qualitative research applies such strategies for data collection, which have a communicative and dialogue-like character (ibid.).

Figure 1 Theoretically fundamental assumptions of qualitative research following FLICK / KARDORFF / STEINKE (2000: 22)

Theoretically fundamental assumptions of qualitative research

1. Social reality as mutual construction and attribution of meanings.
2. Process character and reflexivity of social reality.
3. 'Objective' living conditions become relevant to the world of human being through subjective meanings.
4. The communicative character of social reality makes the reconstruction of constructions of social reality to the starting point of the research.

Figure 2 Characteristics of qualitative research practice following FLICK / KARDORFF / STEINKE (2000: 24)

Characteristics of qualitative research practice

1. Methodical spectrum instead of a general methodology
2. Appropriateness of methods concerning the research object
3. Orientation towards everyday life and everyday knowledge
4. Contextuality as central idea
5. Angle of the participants
6. Reflexivity of the researcher
   → Researcher itself is not seen as a disturbing factor; rather his or her reflexivity is an essential part of creating knowledge
7. Understanding as a principle of knowledge
   → Understanding of complex relationships, it is not about the explanation of one isolated (causal) relationship
8. Principle of openness
   → For instance using open-ended question
9. (Individual) case analysis as starting point
10. Construction of reality as basis
11. Qualitative research as textual science
12. Discovery and generation of theories as goal
    → Inductive character

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[14] Apart from this other definitions respectively schemes exist, for instance the one provided by KLEIN / MYERS (1999: 72), which consists of seven principles but is limited to qualitative studies based on an interpretative philosophical perspective.

After presenting the qualitative paradigm we want to draw a dividing line between qualitative and quantitative research[15]. "Quantitative research methods were originally developed in the natural sciences to study natural phenomena … [whereas, a.c.] Qualitative research methods were developed in the social sciences to enable researchers to study social and cultural phenomena" (MYERS 2003). Quantitative research methods include survey methods, laboratory experiments, formal and numerical methods (ibid.). By contrast qualitative ones include case study research (see YIN 1994), grounded theory (see GLASER / STRAUSS 1967), action research as well as ethnography and are based on data sources like interviews, observation, documents, texts, the researcher's impressions and reactions (MYERS 2003).

Both research methods differ mainly regarding the researcher's role and the level of standardization (FLICK / KARDORFF / STEINKE 2000: 24). While qualitative research methods regard the researcher as part of the knowledge-creating process[16] a key element of quantitative research methods is the researcher's independence of the research subject, which is part of generally isolating the variables in question. In contrast to the high level of standardization of quantitative research methods resulting in (comparative-)statistical analyses qualitative research methods adjust to the individual case (ibid.). For instance, a quantitative questionnaire is characterized by a strict sequence of questions and a limited number of opportunities to answer, whereas a semi-structured interview adjusts much more to the course of each individual interview (ibid.).

The dividing line between qualitative and quantitative research is rather a methodological one because we think that both—qualitative and quantitative research—are necessary and have a complementary relationship with one another. According to this MYERS (2003) points out that some researchers have suggested a triangulation of both research methods[17]. In line with this FLICK / KARDORFF / STEINKE (2000: 25) give the example that qualitative methods can be used to explore a field and generate hypotheses which can afterwards be used by a standardised and representative (quantitative) survey.

4.1.1 Quality criteria

Quality criteria are able to guide the realization of a qualitative research project and moreover form the basis of evaluating qualitative research projects including this one.

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[15] Apart from the distinction 'quantitative vs. qualitative' other dichotomy distinctions of research methods are made as the classifications 'objective vs. subjective', 'nomothetic vs. idiographic', 'prediction and control vs. explanation and understanding', 'etic vs. emic' and others show (MYERS 2003).

[16] Compare Figure 2, item number six.

[17] MYERS (2003) refers to GABLE (1994), KAPLAN/DUCHON (1998), LEE (1991), MINGERS (1991) and RAGIN (1987).

Referring to STEINKE (200: 319) appropriate quality criteria are still an unsolved problem of qualitative research, as three divergent basic points of view exist (see Figure 3).

Figure 3 Basic points of view on quality criteria of qualitative research following STEINKE (2000: 319pp.)

Basic points of view regarding quality criteria of qualitative research

1. Quantitative criteria for qualitative research
   Supports the application of quantitative criteria to qualitative research based on taking the view that universally applicable criteria exist.
   → Reinterpretation of the quantitative criteria objectivity, reliability and validity, which can include the integration of qualitative criteria like, for instance, credibility (Miles / Hubermann 1994: 277pp.)

2. Separate quality criteria of qualitative research
   Questions the transferability of quantitative criteria and points out the methodologically and methodically specific features of qualitative research.
   Main concepts:
   i. Member check for the purpose of validation (compare Terhart 1981, 1995, Kvale 1995b)
   ii. Triangulation meaning the application of complement methods, theories, kinds of data or researcher; historically aiming at validation (Denzin 1978) but now understood in terms of a wider and deeper understanding of the research object (Denzin 1994, Flick 1998c)
   iii. Validation of the interview situation based on verifying the existence of a 'working alliance' between researcher and participant(s) (compare Legewie 1987, Kvale 1996, Groeben et al. 1988)
   iv. Authenticity meaning the careful and systematic report and interpretation of qualitative data including member check (Guba / Lincoln 1989: 245pp., Manning 1997)
   → Creation of separate qualitative criteria

3. Post-modern rejection of criteria
   Generally contradicts the possibility of creating quality criteria for qualitative research.

Considering the above basic points of view STEINKE (2000: 321pp.) starts to outline key criteria for qualitative research based on the premises that 1) qualitative research cannot last without criteria for evaluation, 2) quantitative criteria are not suitable for evaluating qualitative research and 3) criteria need to be developed which take the specific features of qualitative research into account. The following presentation of those criteria will follow STEINKE's expositions (ibid.), which conclude that it needs the application of more than just one or two of the proposed criteria to assess the results of qualitative research. Sometimes we will immediately refer to our research project, particularly to exclude non-applicable sub-criteria, but the overall assessment of the quality criteria's fulfilment will take place under point 5.4.5.

STEINKE (ibid.) distinguishes in terms of key criteria between 1) inter-subjective comprehensibility, 2) indication of research process, 3) empirical foundation, 4)

limitations, 5) coherence, 6) relevance and 7) reflected subjectivity. The first criterion 'inter-subjective comprehensibility' reminds one of the quantitative criterion reliability and takes the dynamic between research subject, research question and methodological concept into account. The criterion is subdivided into: documentation of the research process, interpretation in groups and application of codified procedures.

The second criterion 'indication of the research process' refers to the appropriateness of the research process regarding the research subject. The criterion is subdivided into indication of: the qualitative approach regarding the research question, the methodological selection, the guidelines of transcription, the sampling strategy, the single methodological decisions and evaluation criteria.

The third criterion 'empirical foundation' demands that the creation and verification of hypotheses or theories are empirically based. The criterion is subdivided into: application of codified methods, sufficiency of textual references for the generated theory, analytical induction[18], quality of predictions based on the generated theory and member check. As we carry out a case study research our main objective is description and forming of hypotheses, thus we do not consider the third and fourth sub-criterion, and moreover limit the second sub-criterion to 'sufficiency of textual references for the formed hypotheses'.

The fourth criterion 'limitations' refers to finding out and verifying the limits of the generalizability of the generated theory. Here the researcher tries to answer to the question 'which further conditions does our theory—generated under certain conditions—apply to?' we exclude this criterion because we do not generate theory. However, we are aiming at forming hypotheses which will then be re-embedded in the (scientific) context (see 5.4.4).

The fifth criterion 'coherence' demands an answer whether the generated theory is consistent in itself. As we are not generating a theory we will focus on the consistence of hypotheses. Although hypotheses are not as coherent as theories, we are trying to develop more than just patchwork.

The sixth criterion 'relevance' refers to the pragmatic use of the generated theories or—in this case—formed hypotheses. This especially applies to qualitative research beyond action or evaluation research.

The seventh and last criterion 'reflected subjectivity' verifies to what extent the role of the researcher as a subject and part of the social world researched into is methodologically reflected and incorporated into the generated theory or—in this case— formed hypotheses. The criterion is subdivided into: self-observation, reflection of individual prerequisites, existence of a trusting relationship between researcher and participant and occurrence of reflections in the course of entering the field.

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[18] The 'analytical induction' is a method of generating theory which verifies an already far-developed theory by applying it to a single case (STEINKE 2000: 329).

4.2 Overview of case study research

Case study research is a qualitative research method (compare MYERS 2003, MICKELER / STAHL 2002), which is particularly applied to comprehensively investigate real phenomena in their everyday context (GASSMANN 1999: 11). YIN (1994: 13) provides the most frequently used definition of a 'case study': "A case study is an empirical enquiry that:

- investigates a contemporary phenomenon within a real life context; when the boundaries between phenomenon and context are not clearly evident…"

Furthermore case study research can be subdivided into different kinds: illustrative, exploratory, cumulative and critical instance case studies (COLOSTATE 2003)[19]. Despite those subdivisions case study research has a general strong descriptive character (FLICK 2000: 253). Consequently case study "researchers do not focus on the discovery of a universal, generalizable truth, nor do they typically look for cause-effect relationships; instead, emphasis is placed on exploration and description" (COLOSTATE 2003). Thus conclusions are limited to the specific context (ibid.).

In line with this we are comprehensively investigating the phenomena cooperation and capacity building in the context of Estonian HIV/AIDS prevention comprising of a certain structure including different levels and players (see point 2). Although we had pre-hypotheses based on problem-oriented talks and a literature review (see annex 9.3) the boundaries between cooperation, capacity building and Estonian HIV/AIDS prevention were not clearly evident. In line with the previous quotation our objective is a broad description and exploration including the generation of hypotheses but not theory.

Referring to MYERS' classification (2003) of qualitative research methods[20] into action research, case study research, ethnography and grounded theory we shortly want to explain why we regarded the other types as not suitable for this study. In contrast to action research we do not include a therapeutic stage (compare BASKERVILLE 1999). Furthermore we are not aiming at immersing ourselves in the lives of people we study as ethnography research does, and regarding grounded theory we do not lay claim to generate theory (GLASER / STRAUSS 1967: 31).

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[19] For another division see MICKELER / STAHL (2002: 2).
[20] As there are different viewpoints other references can lead to different kinds of classifications (compare FLICK 2000: 253).

4.3   Semi-structured interview

The semi-structured interview[21] is the study's main method of data collection. It is a certain type of qualitative interview. In our opinion the method of qualitative interview is more appropriate than the alternative method of observation[22] because external observation of actions and subjective meaning-making of players within the complex Estonian HIV/AIDS prevention can strongly differ in terms of content and interpretation (KRAUS 1998: 74). According to HOPF (2000: 350) qualitative interviews enable the researcher to 1) ask for interpretations of situations and motivations for actions in an open manner, 2) ask openly and in a refined way for everyday theories and self-interpretations and 3) discursively communicate about interpretations.

In detail we applied the method of semi-structured interviews in order to combine the effectiveness of structured interviews and the openness of narrative interviews. This was supported by the fact that most of the relevant issues were already there in the form of pre-hypotheses (see annex 9.3) but not the answers (MORSE / FIELD 1998: 90). The semi-structured interview aims at gathering all required information while the informants are free to use their own words and the words or phrases which are most suitable to them in order to express their thoughts (ibid.). HOPF (2000: 355) regards this combination of an unobtrusively directed conversation with an interest in very specific information as a main advantage of semi-structured interviews. Referring to MERTON et al. (1956) HOPF (2000: 354) outlines the following quality criteria for semi-structured interviews: reach, specificity, depth and personal context.

The semi-structured interview is based on an interview guide (ibid.: 351) which is flexibly applied (ibid. 353). MORSE / FIELD (1998: 90p.) recommend to construct an interview guide by outlining thematic areas, filling them in a reasonable and chronological way with predominantly open-ended questions[23] and finally formulating key questions which are characterized as covering the whole thematic area. To gather all the required information it is important to make the informants talk (ibid.). This can be promoted by using figures of speech stimulating the informants to continue (ibid.)

Apart from the semi-structured interview as the main method of data collection we also made use of field notes, a research diary, available minutes from NHAPP board meetings and CCM meetings as well as contemporary history sources like Postimees, Eesti Pävaleht, Sl Õhtuleht and Eesti Express in order to complement the information obtained by semi-structured interviews.

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[21] It is referred to by various names—other names are in-depth or problem-oriented interview.
[22] Photographs, letters, personal documents as well as written methods of data collection were not considered.
[23] Open-ended questions are questions, which cannot be answered with 'yes' or 'no'. An example for an open-ended question is 'Why do you support evidence-based policy?'.

4.4 Cases

Here we want to define the subject or rather 'cases' of the research (see Figure 4). FLICK (2000: 253) states that the understanding of a 'case' is rather widely defined and can include persons, social communities, organizations and institutions[24]. According to this MICKELER / STAHL (2002: 3) claim that a case can even be an event, for instance, a decision or an implementation process. Besides this YIN (1994: 21) differs between 'case' and 'multiple cases', in which information from multiple organizations and institutions is gathered.

Bearing the previous information in mind we define all organizations within Estonian HIV/AIDS prevention as possible cases. This wide definition needs to be structured in order to be clear. Therefore we draw a dividing line between 'state level' and 'partner organizations'. We define that the 'state level' comprises the NIHD, the institution the two HIV/AIDS prevention programmes NHAPP and GFP belong to, and the MoSA as the superior institution. Defining 'partner organizations' by exclusion would comprise all other organizations and institutions, for instance non-governmental organizations (NGOs), other ministries, county and local governments. Referring to the thought of objective 8 of the Estonian proposal to the GFATM (CCM ESTONIA 2002: 25, see 3.1.1) we want to limit the term 'partner organizations' to NGOs working on HIV/AIDS prevention.

Figure 4 Definition of cases and structure

> **Definition of cases and structure**
>
> 1. 'State level'
>   - MoSA
>   - NIHD
>   - NHAPP
>   - GFP
>
> 2. 'Partner organizations'
>   - NGOs working on HIV/AIDS prevention → 'NGO level'

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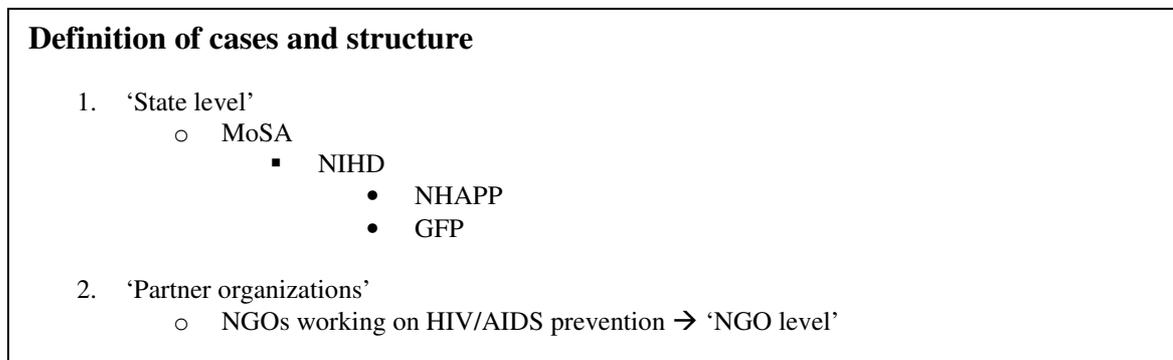
[24] Our understanding of the difference between organizations and institutions is that an 'organization' in the sense of an entity is a more comprehensive term than the term 'institution'. Following WIENDIECK (1994) the term institution is a sub-category of organization and characterizes a bureaucratic type of organization.

5 Realization of the case study

The following chapter summarizes the research design and links the methodological components (see 5.1). Furthermore it explains the interview design including the structure and content of the interview guide, its development and the realization of the interviews (see 5.2). Following the sample and its selection (see 5.3) as well as the analysis of the collected data (see 5.4) are presented. At the end ethical issues are addressed (see 5.5).

5.1   Research design

The research design is a plan guiding the researcher during the collection of data, analysis and interpretation. According to YIN (ibid.: 20) a research design consists of:

- research question(s),
- research propositions (if any) and objective(s),
- research units of analysis,
- the logic linking of the data to the propositions and objective(s) and
- criteria for interpreting the findings.

Furthermore the researcher should clearly articulate the theoretical perspective, determine the overall objectives of the study, select the research subject, select appropriate methods of collecting data and provide some considerations to the composition of the final report (ibid.)

The research question is stated under point 3.3 and utilized by breaking it down in the form of an interview guide (see 5.2.1). Although pre-hypotheses were outlined (see annex 9.3) they are too vague to serve as propositions. Consequently, propositions do not exist while the objectives of the research are explicitly stated (see 3.2). The research units of analysis or rather cases are defined under point 4.4. Regarding the last two components MICKELER / STAHL (2002: 3) claim that these are the least defined components of the research design. In our understanding those components are included in this case study in the way that we keep to explicitly stated quality criteria, as for instance indication of the research process, and give explanation of their fulfilment (see 4.1.1, 5.4.4).

Regarding the presentation of the qualitative paradigm (see 4.1) the case study stands in the interpretative philosophical perspective as we assume that "access to reality (given or socially constructed) is only through social constructions such as language, consciousness and shared meanings" (MYERS 2003). Based on the philosophical perspective this descriptive and rather pragmatic case study can be sorted into the

sociological perspective including sociological theories on organizations. The overall objectives (see 3.2) as well as the selection of the research question(s) (see 3.1) are mentioned as well. Furthermore we have already explained why we assess the semi-structured interview as the appropriate and thus main method of collecting data (see 4.3).

At the end of this part we want to present a condensed version of our research design. Figure 5 shows three boxes of which the box 'state level', including a vertical arrow, and the box 'partner organizations', including a horizontal arrow, represent the cases. The third box, including arrows aiming at state level, partner organizations and their relationship(s), represents 'experts'. The rationale behind the third box 'experts' is to include a rather independent and outside source, which can help to verify information. An expert is someone who does not belong to the state level or partner organizations, is familiar with the Estonian HIV/AIDS prevention system as a whole and is able to provide meaningful information. In cases where a person belongs to the state level and the partner organizations the person is classified according to his dominant role[25].

This research design allows conducting comparisons between different types of organizations and within similar types or organizations. This enables us to 1) make conclusions about vertical relationships in terms of cooperation and capacity building involving MoSA, NIHD, NHAPP, GFP and NGOs, 2) make conclusions about horizontal cooperation and capacity building among different NGOs and 3) conclusions regarding the capacities of different NGOs.

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[25] For instance, this was the case for some people which were employed by the former governmental APC and later the NIHD. By now those people do not work for the NIHD anymore (see also TAIM 2003: 6, AASMÄE / JAAKS 2003).

Figure 5 Condensed version of the research design
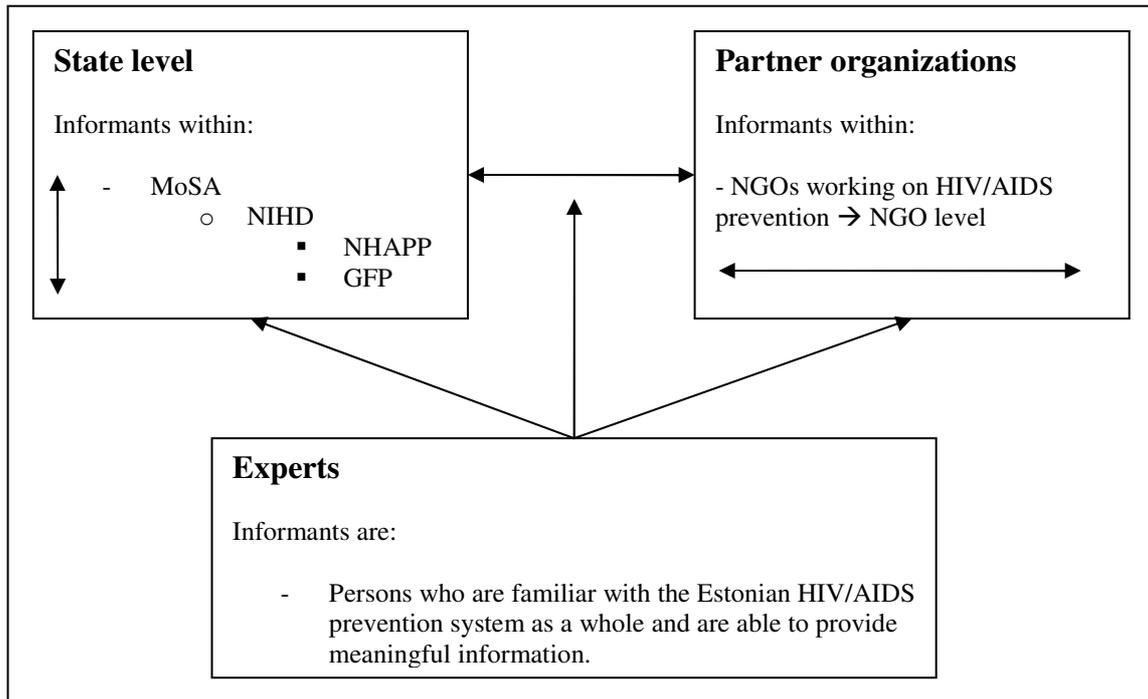
5.2 Interview design

The following chapter explains the content and structure of the interview guide (see 5.2.1) and its pre-test (see 5.2.2). Afterwards the realization of the interviews is described (see 5.2.3).

5.2.1 Structure and content of the interview guide

The overall basis of the interview guide[26] are the main issues condensing the problem-oriented talks and the literature review (see annex 9.3) as well as the research question taking the main issues into account and referring to the objective 7 and 8 of the Estonian proposal to the GFATM (CCM ESTONIA 2002: 24pp.). The first step was to formulate predominantly open-ended questions regarding the main issues although they include—beyond consensus, cooperation and capacity building—thematic areas which are not part of the research question. The rationale behind this was that consensus, cooperation and capacity building cannot be investigated separately without assessing them in the context of the other main issues communication, coordination and financing. This applies especially to communication, an essential function of social systems, and coordination as an overall adjustment. In the following the area-specific questions were structured and

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[26] For the final interview guide see the exemplary interview guide for partner organizations which is provided in the annex (see annex 9.5).

prioritised whereas the thematic areas were taken as different modules and summed up within two different parts—part one and two (see Figure 6). Within every thematic area key questions were formed in order to cover the whole area (MORSE / FIELD 1998: 91) as well as to allow a wide range of possible replies and to see how the land lies (MAYRING 1993: 52). Those key questions were obligatory whereas the underlying questions were divided into two groups. The first group of questions is asked in case that the concerned thematic area was not sufficiently covered by the key questions. The second group of questions—characterized by grey font colour—is simply for orientation and might be asked in case the set interview duration of about one hour leaves room for it. According to different kinds of informants—state level, partner organizations and experts as well as members and non-members of the CCM—the two parts of modules were then adjusted by making three versions and cutting off inappropriate and non-applicable questions.

Figure 6 Structure of the interview guide
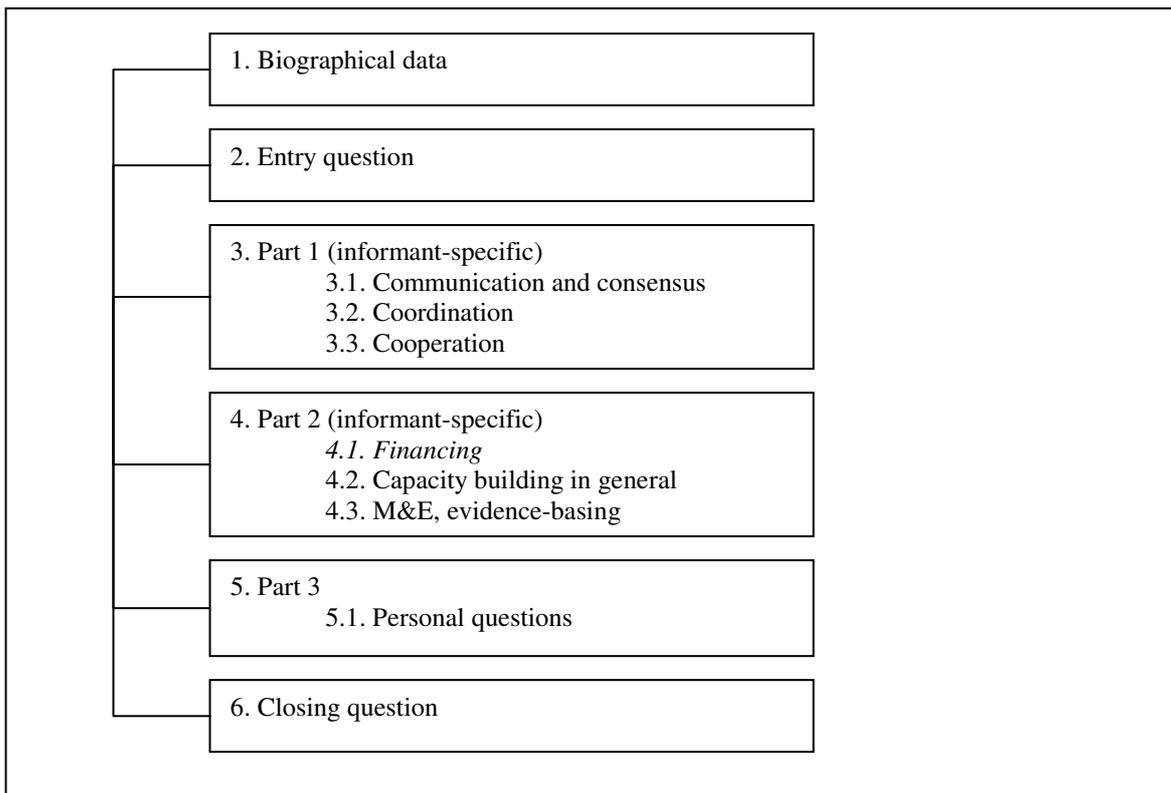
Apart from part one and two, the interview guide consists of four more modules namely 'biographical data', 'entry question', 'personal questions' and 'closing question'. Excluding the module 'biographical data' they consist of one or two questions, which are obligatory.

In the following we take a look at the content of the several modules. The first module collects biographical data (compare KRAUS 1998: 86) namely age, sex, nationality, years of professional experience related to public health as well as years of professional experience in a leading position.

Afterwards the actual interview starts with the 'entry question' asking for a description of a typical working day. This has the purpose of warming up the situation and to lose its exceptional character (ibid.). The informants' reply is supposed to contain information leading to at least one thematic area of part one or two and thus the interview is opened up.

The thematic area 'communication and consensus' explores the communication and transparency between organizations related to HIV/AIDS prevention including governmental organizations (GOs) and NGOs. In detail it is designed to find out more about the formal meetings, their atmosphere, possible conflicts and their reasons. In case the informant is a member of the CCM the questions refer to CCM meetings, especially to communication about programme and resource questions as well as consensus. The thematic area 'coordination' investigates the management aspect of Estonian HIV/AIDS prevention including assumed coordination problems. Besides, informants of the partner organizations are asked about their involvement in the coordination process. The thematic area 'cooperation' focuses on the extent and character of cooperation among and between GOs and NGOs. This includes the informants' understanding of cooperation and hindrances of cooperation.

Part two as a whole explores development of capacities and capacity building within the Estonian HIV/AIDS prevention system. The thematic area 'financing' is aiming at the financial aspect of sustainability. The thematic area 'capacity building in general' investigates the access to up-to-date information, available and utilized opportunities and means of human resource development as well as consequences on provided services and activities of partner organizations. The thematic area 'M&E, evidence basing' focuses on the assessment of the monitoring and evaluation (M&E) policy of Estonian HIV/AIDS prevention, the definition of responsibilities, the application of M&E measures and its objectives, opportunities for improving M&E, the influence of M&E requirements on the allocation of funds and the reporting performance of partner organizations. CCM members are additionally asked how far the CCM is promoting M&E.

At the end the informants are asked personal questions (part five) and a closing question (part six). The personal questions refer to the informants' motivation of working in the field of HIV/AIDS prevention and their self-assessment while the closing question provides the informant with space to talk about expectations, ideas and visions for the future of Estonian HIV/AIDS prevention.

5.2.2 Pre-test

The aim of the pre-test was to find out whether the interview guide is able to provide informative and useful answers regarding the objectives of the study (MORSE / FIELD 1998: 91). In line with MORSE / FIELD (ibid.) the first step was to test it with the co-author who was encouraged to think out loud so that confusing points are recognized. After taking this first step two further pre-test interviews were performed—one on a representative of the state level and one on an NGO representative. Those two were not involved in the actual case study later on. Additionally all pre-test interviews were audiotaped and transcribed (compare ibid.). The results of the pre-test refer to the 1) questions, 2) language, 3) interview duration and 4) behaviour of the interviewer himself.

The first point concerns the change or removal of questions as well as their sequence. First of all we generally improved the questions in the way that they were more suitable to make the informant provide more and differentiated interpretation and explanations. This included changing closed to open-ended questions[27] and the increased use of figures of speech[28] helping the informant to continue. Furthermore questions were made more understandable[29].

Coming to the changes in terms of content the entry question was replaced as it did not prove to warm up the situation; rather people seemed to feel that someone is checking them. Besides this the new entry question focusing on previous experiences provides information about the informants' background. Furthermore the thematic area 'financing' was dropped. It would have needed more questions and time to appropriately explore this interesting aspect but we did not want to expand the interview duration. Within part three the question asking for a self-assessment was dropped because it did not lead to an explanation apart from "good" or "ok". More or less, references regarding the informants' own performance were found between the lines. Finally the word expectation within the closing question was dropped as the pre-test persons understood it in the way of 'what do we want or rather wish to expect'. Regarding the sequence of questions we made one change within part two and brought the question focusing on the allocation of funds depending on M&E forward.

The interviews were done in the English language. It turned out that the second pre-test person's command of English was rather low. Consequently, information was lost as the

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[27] For instance, the question "Are you involved in coordinative questions?" was replaced by "How far you involved in coordinative questions?"

[28] For instance, using the figure of speech "in your opinion" or replacing "How do you define cooperation?" by "What does cooperation mean to you?"

[29] The question "To what extent do you integrate M&E measures in your work?" was replaced by "In which way do you assess your ongoing activities and their progress?" and "In which way do you assess your overall achievements?"

person was not able to express himself properly. The potential misunderstanding or half-understanding lying in there can even mislead the research project. In conclusion it was decided that the co-author—assuming the consent of the informant—will act as translator in case an informant's command of English is insufficient to express himself in a differentiated way[30]. In case we did not become aware of an insufficient command of English before the actual interview was supposed to take place we decided that the interview would be rescheduled. 'Express himself in a differentiated way' is a very soft criterion lacking a clear dividing line, and therefore the criterion was to be handled very leniently. Besides this it was concluded that during an interview it is a must to have an Estonian-English or Russian-English dictionary at hand.

In all pre-test interviews it was possible to stick to the set interview duration of about one hour while covering all thematic areas. The pre-test interviews took between 60 and 75 minutes. One pre-test person claimed, "people will not talk to you for that long [because; a.c.] people in this field are very busy". We decided to keep this criticism in mind but did not shorten the interview guide, at least not immediately. Later, during the actual interview sequence, this fear did not prove to be right.

The behaviour of the interviewer himself was reviewed on the basis of the interview transcriptions. This proved to be very helpful as space for improvement was identified. This concerned suggestive questions and statements, inappropriate summaries by the interviewer, two questions in one as well as long transitions[31]. Apart from this the interview style proved to be suitable in the sense that the informants' parts in the interview were much higher.

Taking the interview transcriptions into account we concluded that the interview guide is able to provide informative and useful answers regarding the objectives of the study. Despite the necessary changes made due to the pre-test no fundamental changes in terms of content had to be made.

5.2.3 Realization of the interviews

The interviews were carried out by Sven Voigtländer within a two and a half month period between the end of August and the beginning of October 2003. It was left to the informants to choose the place, date and time for the interview to take place while we mentioned that

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[30] See MORSE / FIELD (1998: 99) considering the advantages and disadvantages of using a translator.

[31] For instance pre-test two: *"Where does this different language come from but before I would like to come back to the other point. So did you say that if they are not able to find a compromise, it's due to personalities?"* and *"Is it also a matter of human resource and development in the way that just human resource development on the lower level is not (…) is not existing?"*

the interviewing process as a whole will last about one and a half hours, recommended to choose a quiet and confidential place and additionally offered the author's office as a possible place for carrying out the interview. Finally the command of English of all informants was sufficient, and thus there was no necessity for the co-author to act as a translator.

In the beginning of the meeting with the informants there was a briefing (compare HERRMANNS 2000: 367). The aim of the briefing was to make the informants participate on the basis of a voluntary nature and informed consent. Therefore the informants were given an Estonian informed consent form (see annex 9.6 and its translation 9.7), which was based on an informed consent form used by MARSDEN / ALI (2000: 25p.) in a WHO project focusing on ecstasy use by young people. The informed consent form contains information about the authors, objectives and context of the study, confidentiality including tape-recording, ethical issues and the utilization of the given information. The informed consent form points out that the informants can partly or fully withdraw their consent at any time[32]. After the informants had read the informed consent form, but before they signed it, they were asked for remaining questions or uncertainties, which were then clarified. Then the informants' biographical data were collected. As a last step before carrying out the actual interview the issue of anonymity was pointed out again as well as the fact that the informants should not adapt themselves to assumed expectations of the researcher, rather the informants should feel free and answer what they really think.

The applied informed consent form had one weakness, namely the indefinite wording 'personal data'. Our underlying understanding of 'personal data' differed from the general one. We understood 'personal data' in a narrow way including name, birth date, personal numbers, signs, image and voice while the general understanding regards 'personal data' as "any information relating to an identified or identifiable natural person" (compare CARBONNEAU / DION 2004, JADMA 1998). The latter one does, for instance, also include education and professional experience and thus limits the shareable information between author and co-author. Consequently the narrow understanding of 'personal data' was applied between the authors.

After finishing the initial briefing and collection of biographical data, but before asking the entry question, the audiotaping device[33] was switched on (HERRMANNS 2000: 362). The following reply was used to lead to either part one or two of the interview guide. Adapting to the informants' reply the questions of part one and two were flexibly asked.

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[32] Additional attention was paid on an unspoken and partly withdrawal of consent during the interview, which is marked by wordings like "I should not have said this." or "This I only tell you." (compare MORSE / FIELD 1998: 79p.).

[33] We used a SONY® stereo cassette recorder TCS-580V and an external SONY® stereo microphone ECM-TS125. After the interview a copy of the original cassette was made.

Additionally, questions arising in the interview situation as such were asked to make the informants provide further explanations or interpretations. According to HOPF (2000: 359) the interview guide was not regarded as an instrument to discipline oneself or something that has to be recalled permanently; rather the interviewer tried to be open to unanticipated aspects. Part one and two of the interview guide were followed by the personal and the closing question. Before switching off the audiotaping device, the informants were asked whether there is something left they would like to talk about or something they would like to know from the interviewer (MORSE / FIELD 2000: 89). After that the informants were asked for their willingness to meet a second time in case of further questions (ibid.).

An important influencing factor of the qualitative interview is the interview style. The interview style should aim at creating a natural conversation, which is also characterized by informants having a higher share in the conversation and allow the informants to be sincere in their image cultivation (HERRMANNS 2000: 364). The underlying paradigm is: it is not the interviewer but the informants who are the experts (MORSE / FIELD 1998: 92). Consequently the interviewer listened attentively and in a concentrated way (ibid.: 91, HERRMANNS 2000: 367). The interviewer tried to have a calm, relaxed and open-minded effect (MORSE / FIELD 1998: 91, HERRMANNS 2000: 363) as well as taking an intentionally naive attitude in order to question the meaning of terms used by the informants instead of regarding them as natural (ibid.: 364). According to HERRMANNS (ibid.: 365) and MORSE / FIELD (1998: 92) the interviewer also chose a passive, non-leading role and—in case of an informant making a pause—decided to wait and see instead of beginning to speak.

As a last step the interviewer wrote down field notes in a standardized form (see annex 9.8). This form is based on MORSE / FIELD (2000: 110). The idea of writing down field notes is to make the interviewer reflect upon the interview right afterwards and write a preliminary analysis.

5.3   Sample

The following chapter describes the sample selection by using the method of theoretical sampling (see 5.3.1). Then we provide a very limited description of the sample in regard to ethical issues (see 5.3.2).

5.3.1   Selection of informants

The selection of informants in this particular case can be divided into access to the research field (compare WOLFF 2000: 334) and actual selection of informants. According to WOLFF (2000: 335p.) a researcher trying to access a research field—here the Estonian HIV/AIDS prevention system (see 2)—is confronted with two questions:

1. How can he succeed to get in touch with the research field and get its members to take part?
2. How can he position himself in regard to the research field in such a way that the conditions for appropriately realizing the research project are ensured?

Regarding the first question the initial and loose contact to the research field was provided by Ljudmilla Priimägi and later led to the problem-oriented talks with the key persons mentioned under point 3.1. Those problem-oriented talks and key persons, again referred to other key persons as well as key organizations. Additionally the initial and current members of the CCM were considered. On this basis a preliminary list of key stakeholders and experts was outlined, which was then adjusted with the persons contacted during the first and preliminary stay (see 3.1.1)[34]. The final list of 36 persons includes representatives of the state level, NGO representatives as well as representatives of ministries apart from the MoSA and county governments because the cases were not defined by then. As a next step an email was sent to all 36 persons announcing the research project and asking for their willingness to participate[35]. 32 positive replies and one negative reply were received whereas three persons did not answer at all. In conclusion there was a pool of 32 potential informants and thus the access to the Estonian HIV/AIDS prevention system was assessed to be feasible. Based on the positive replies the interviews were requested. It has to be added that some of the positive replies were received after the start of the data collection and that two of those served as pre-test informants (see 5.2.2).

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[34] Excluding Aljona Kurbatova.
[35] This email included information about the background and objectives of the study. The concept of the study (see annex 9.2) was attached.

Referring to the second question we were actively trying to build trustful relationships by discussing the study concept with several key persons and seeking their agreement (see 3.1.2), requesting the willingness of participation and simultaneously offering a personal conversation (see 5.3.1), providing a consent form, briefing the informant before the interview and applying a certain interview style (see 5.2.3) as well as explaining the way of proceeding with audiotapes and transcriptions including the several member checks (see 5.4.1, 5.4.4). Certainly it helped that one author was an external person not involved in Estonian HIV/AIDS prevention.

Over and above a trusting relationship HERRMANNS (2000: 364) states that an essential competence of the interviewer is to understand social roles meaning what is the interviewer's role seen by the informant and in which role does the informant act and talk? As stated in the study concept (see annex 9.2) We were striving for a supportive, integrative role, which rather focused on mediation and the creation of knowledge and understanding. On the other hand there was an aspect of instrumentalizing the interviewer because to a certain extent informants perceived the interview as a means to get their own "agenda" through[36]. This becomes evident taking the specific characteristic of over-organizational research into account; an area in which—referring to Friedrich Wilhelm Nietzsche—different organizational interpretations and perspectives exist and compete with each other and thus continuously shape and reform the prevailing way of seeing Estonian HIV/AIDS prevention. Thus it was important to 1) contrast the interviews with each other, 2) include various data sources, 3) gain distance to the research field by writing a research diary and to 4) create inter-subjectivity and reflect on the process of analysis.

The actual selection of informants was based on theoretical, purposeful and criteria-related decisions (MORSE / FIELD 1998: 76). MORSE / FIELD (ibid.) mention two principles: usefulness and reasonableness. Usefulness refers to the selection of each single informant and means that the chosen informants are the most suitable ones in regard to the objectives of the study. Whereas reasonableness refers to the conclusion of the selection process and means that the amount of collected data is sufficient to describe the investigated phenomena in a comprehensive and detailed way. Referring to MORSE / FIELD (2000: 77pp.) the following selection criteria were applied:

- direct knowledge of the research phenomena consensus, cooperation and capacity building
- knowledge about norms and values of the Estonian HIV/AIDS prevention system

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[36] Being (temporarily) part of the 'enlarged' Estonian HIV/AIDS prevention system the authors were—apart from the interview as such—naturally exposed to various influences in form of problem-oriented talks, informal discussions etc.

- nearness to centres of communication regarding formal and informal structure[37]
- willingness to provide information

- initially persons representing different segments of Estonian HIV/AIDS prevention
  → heterogeneity of informants, wide scope of data collection
- towards the end of the selection, persons suitable for verification meaning to confirm or falsify preliminary findings
  → homogeneity of informants, narrow scope of data collection

Furthermore MORSE / FIELD (2000: 82) recommend to not only select people including their role, knowledge and insight but also processes, events—for instance a CCM meeting, places and times. We did not follow this recommendation as our focus was rather general and did not include HIV/AIDS preventive services and activities. It can be stated that all interviews except one took place at the informants' working places.

I applied the method of theoretical sampling (compare GLASER / STRAUSS 1967: 45pp.). This is supported by FLICK (2000: 258) stating that some methods of GLASER and STRAUSS including the theoretical sampling can be practicable for studies aiming at a detailed description of reality. Theoretical sampling means that data collection and the process of interpretation go hand in hand, meaning that current study findings influence the selection of the next informant. There is no preconceived sample of informants. Based on previously outlined objectives (see annex 9.8) informants are chosen one after another out of the pool of potential informants. The interview sequence ends with empirical saturation, which means the fulfilment of the criterion reasonableness. In line with theoretical sampling the interview guide applied to the last two interviewees was reduced and at the same time more focused. The underlying purpose was to verify preliminary findings.

5.3.2 Description of the sample

The description of the sample touches a very sensitive issue—ethics. One of the ethical principles guiding research is "non-maleficence" or rather "Do no harm" to research participants (CIOMS 1991). Consequently the research should not expose informants to any disadvantages or danger and preserve their anonymity (GSA 1992). Therefore the American Sociological Association's Code of Ethics (ASA 1999) states that in regard to publication "sociologists disguise the identity of research participants, students, individual or organizational clients, or other recipients of their service." This is important taking the narrowness of the 'Estonian setting' into account which makes it easier to trace back the

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[37] This does not mean that only selected so-called "social butterflies" (DOUGLAS 1976: 213pp.) were collected, as the criteria is nearness and not being (identical with) the centre of communication. Consequently this criterion also includes other types, for instance the so-called "outsider".

identity of an informant. Thus it needs more precautions to preserve the anonymity of informants participating in this case study.

In conclusion a list of participants including demographic information like for instance age and sex is not presented (compare MORSE / FIELD 1998: 170). Moreover MORSE / FIELD (ibid.: 171) referring to GLASER (1978) point out that demographic data should not be regarded as relevant as long as it does or does not turn out to be meaningful, and in this case study it did not.

According to the underlying case definition the presentation of informants is just divided into state level and NGO level (see Figure 7). In line with this the presented quotations are divided into state level and NGO level and have a serial number instead of seven different pseudonyms. This shall prevent that quotations can be ascribed to one person in case one quotation is identified (MORSE / FIELD 1998: 170).

Figure 7 Structure of the sample

Structure of the sample	
	Number of informants
State level:	4
NGO level:	3

5.4 Analysis

According to YIN (1994: 102pp.) data analysis is one of the most difficult steps of case study research as there is no standardized procedure; rather the researcher has to develop and lay down his own strategy of analysis. Our data analysis is based on four successive phases of analysis outlined by MORSE / FIELD (1998: 121pp.): understanding, synthesis, generating theory and re-embedding in the context (see Figure 8). According to MORSE / FIELD (ibid.) those phases are general to qualitative research methods as a whole.

The first phase 'understanding' is based on the transcribed interviews (see 5.4.1) and characterized by the primacy of data while literature plays a minor role. The aim is to identify meaning. We did a so-called analysis of the latent content which aims at identifying and sorting the spoken and unspoken meaning within an interview (ibid.: 131). Identifying and sorting meaning can be subdivided in 1) phenomena, 2) form of each phenomenon and 3) variants of each phenomenon. The technique used for the content analysis is called coding (see 5.4.2). Parallel to coding the process of writing memos was started (see 5.4.3). The phase of understanding ends when the researcher has collected enough data for a comprehensive, detailed and coherent description.

A process of sifting out and developing a feeling for the situation characterizes the second phase 'synthesis'. A feeling for the situation means that the researcher is able to describe norms, explain variation in the data, tell concise stories about the research subject and has an imagination of the findings' reach. In this phase we developed first assumptions.

The third phase 'generating theory' has to be adapted to 'generating hypotheses' as we are aiming at a general and comprehensive description instead of generating theory (compare KRAUS 1998: 107pp.). This phase is characterized by a systematic selection and adaptation of models about connections within the data. Here the technique of theoretical sampling (see 5.3.1) helped to verify our assumptions. Therefore we did two more interviews with one informant from the state level and another one from the NGO level. Then we prepared the findings, which were continuously compared with all informants based on a category-specific aggregation of all interview transcriptions. The fourth phase 're-embedding in the context' included a member check (see 5.4.4) and connecting the results with publications of other researchers.

Figure 8 Strategy of analysis following MORSE / FIELD (1998: 131pp.)

Strategy of analysis

1) Understanding	2) Synthesis	3) Generating hypotheses	4) Re-embedding in the context

Transcription

Coding (content analysis → determining phenomena or rather topics (mostly according to the questions) → primary categories → later sub-categories

Memos — Member check

1. Phenomena	- Developing	- Verification of	- Internal
2. Form of each phenomenon	assumptions	assumptions	verification
		a) Two more interviews	- External
3. Variants of each phenomenon		b) Continuous comparisons	verification

5.4.1 Transcription

MORSE / FIELD (1998: 126) point out that information within qualitative research is usually based on texts. Therefore interviews have to be processed by transcription and field notes have to be written down (see 5.2.3 and annex 9.8). In line with KRAUS (1998: 100) the interviews were transcribed word-for-word and transcriptions included verbal as well

as non-verbal behaviour. KRAUS (ibid.) points out that a certain loss of information—for instance vocal characteristics—is unavoidable.

The process of transcription used can be divided into 4 steps—transcription, review, first member check and second member check. A serial number was added to every audiotape and then it was given to an Estonian student in order to transcribe it. This was based on previously outlined rules (see Figure 9) including one model and the transcriptions of the pre-test interviews. To our mind these rules are a good compromise between writing down as much information as possible and a practicable processing.

Figure 9 Rules of interview transcription following KRAUS (1998: 100)

Rules of interview transcription	
1. Concerning the transcription of the interviews it is important to quote exact in terms of content and according to the situation (compare Zepke 1994: 77p.). The transcription should be done word-for-word and should also document breaks, unfinished sentences, slips of the tongue and emotions. If relevant for interpretation coughing and clearing one's throat is documented, too.	
2. Every document or material, which contains confidential data, has to be kept securely. Regarding confidentiality issues the interview should be transcribed by using headphones respectively being alone in the room where the transcription takes place.	
(…)	Short break or unfinished sentence
(Mmh), (Uhm) etc.	Fillers
(Break)	Long break, more than five seconds as a clue
(?)	Unintelligible word or wording
(Yes?)	Suspected word or wording, no exact understanding
(*Laughs*)	Concomitants of talking
(*Telephone rings*)	Other conspicuous things
[Serial number: speech]	Short comment made by one person while the other is talking
' '	Person uses direct speech

As a second step the transcript was reviewed and corrections were made. At the same time it was possible to become more familiar with the content of the interview and to look for clues for improving the interview style.

In the following step 'first member check' the transcription was sent to the informant. Additionally the guidelines of transcription were explained and it was pointed out that the transcriptions are not yet anonymous as some passages of the interview allowed conclusions about the informants' identity. The reason was that—regarding the process of data analysis—I did not want to destroy the meaning and content of the interviews. Therefore we promised a second member-check comprising those parts of the

interview, which will be published as quotations later on. Based on the first member-check the informant could review his given interview. Feedback was requested in case the informant wanted a section to be cut off, had questions or wanted to make a comment or add an explanation. Only one out of seven informants made use of sending a detailed feedback. Furthermore this first member-check was also used to clarify questions of understanding.

During the last step 'second member check' those parts of the interviews which were serving as quotations in the final report were sent back to the informants in order to obtain their agreement. Thus the informants could check the used quotations and, for instance, cut off a quotation. Regarding anonymity and readability (MORSE / FIELD 1998: 169) the quotations sent to the informants were prepared as followed:

- substitutions: in case of names of persons or organizations, indicated by a comment
- comments: in case a word was missing or names and terms were indefinite, indicated by "a.c."
- abridgements: "(….)" indicates an abridged quotation
- orthography: linguistic corrections in terms of gender, singular/plural and tense
- repetitions: cut out words and wordings mentioned more than one time in a row (in case the repetition was not done on purpose)
- deletion: deleted fillers and short breaks

5.4.2 Coding

Coding is the assignment of textual categories[38] to words, phrases or passages within the interviews to prepare them for a subsequent storage and selection (MORSE / FIELD 1998: 127). Therefore the interview is subdivided into sections of meaning, which are coded in the following. STRAUSS (1994: 64) differs between natural and theoretical codes. Natural codes refer to the words or phrases used by the informant whereas theoretical codes refer to sociological constructs. Furthermore SCHMIDT (2000: 447) differs between pre-conceived categories and categories emerging during the analysis of collected data and points out that an appropriate analysis cannot classify collected data only under preconceived categories.

Due to the theoretical sampling of informants collecting data, coding and writing memos (see following point 5.4.3) were interweaved and did not follow each other in a linear way. We started the coding process without a previously outlined scheme of categories. In the beginning we used very general codes, which lead to few and not overlapping categories (MORSE / FIELD 1998: 128). Therefore we only used a few

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[38] A category means the area and range, which is covered by a code.

number of natural codes. Later we subdivided those general categories in less extensive categories, which finally led to a scheme of categories (see annex 9.9). Regarding this KRAUS (1998: 101) speaks of a creative process, which has to be continuously questioned and reviewed because the scheme of categories is an essential contribution to the subsequent interpretation.

For the management of data we used qualitative analysis software namely a demo version of 'Atlas.ti 4.2'[39]. Our use of 'Atlas.ti 4.2' was limited to manage and aggregate collected data to codes. The only things we want to point out are that double coding and a category-specific aggregation of interview transcriptions are possible with 'Atlas.ti 4.2'[40].

5.4.3 Memos

Parallel to collecting data and the process of coding we wrote memos. According to STRAUSS (1994: 152p.) memos are constant notes on insights, ideas, hypotheses and discussions about the implications of codes and further thoughts, which support the dialogue between the researchers. STRAUSS (ibid.: 174) distinguishes between the following kinds of memos:

1. Orientation memo
2. Preparation memo
3. Memo inspired by an earlier one
4. Memo in the beginning of going into a new phenomenon
5. Memo thinking about a "discovery"
6. Memo expanding the implications of a borrowed concept within the framework of own findings

Thus memos can cover all steps of the analysis—understanding, synthesis, generating hypotheses and re-embedding in the context (see point six)—and play an important role in outlining the results and preparing the final report (ibid.: 152). In line with the four steps of analysis memos are continuously becoming more focused on certain categories and their sub-categories.

Before working with memos a memo form (see annex 9.10) was drafted, which is in line with the rules outlined by STRAUSS (ibid.: 152, 172p.). Initially all our memos focused on understanding (see annex 9.11) while later memos had a much more synthetic and hypothetical character covering the second and third step of the analysis (see annex

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[39] See http://www.atlasti.de.

[40] For further information see the "Introduction to Qualitative Analysis Software at CSSCR" available from http://.julius.csscr.washington.edu/pdf/qualdat.pdf, which is providing a good overview of qualitative analysis software.

9.12). The majority of the memos are based on our data sources which were first of all coded interview passages but also field notes following the interview, diary notes, minutes of meetings as well as contemporary history sources. Apart from this memos were thinking out loud about a 'discovery' or were inspired by earlier memos and developed assumptions.

5.4.4 Verification

Verification tries to backup the developed results and can be subdivided into member check and if applicable re-embedding in the context by taking the current state of science into account. The member check is feeding back the provisional results to the informants while re-embedding in the context is focusing on linking the provisional results with the current state of science and pointing out their uniqueness (compare MORSE / FIELD 1998: 131).

I took the basis that the results are not hurtful or rather beyond the ability of approval, and that it is consequently appropriate to do a member check (compare STEINKE 2000: 329). The member check on results was done in combination with the second member check on transcription (see 5.4.1). Those results excluded all quotations given by other informants. Thus the informants could check and be aware of the descriptions and interpretation of their quotations as well as the overall interpretation. In line with this we requested feedback from every informant to 1) state whether they are or to what extent they are not in agreement with the description and interpretation of the quotations and to 2) include comments, explanations or questions in regard to the overall interpretation.

Apart from sending the results to the informants we also sent the results—excluding all quotations—to key persons who were not informants, for instance Eda Leesalu who is chief specialist including HIV/AIDS matters within the public health department of the MoSA. Those key persons were encouraged to send feedback including comments or explanations. Sending the results to all key persons also served the purpose to inform them in advance and integrate them in the research process rather than confronting them with the results at the end. Furthermore personal talks preceded the information about the results.

Re-embedding the results in the (scientific) context was done in two ways. The first one was to achieve a structured and coherent description of the presented quotations within the result parts and the second one was to strengthen their analytical or rather explanatory character.

Regarding a structured and coherent description terminological definitions and scientific models—provided by UNFPA (2003), SCHWEITZER (1998), BROBST et al. (1997), TUCKMAN (1965) etc.—were applied to the result parts. Furthermore the recent

and important publication in this very research field by DONOGHOE et al. (2003) was included.

Strengthening the result parts' analytical or rather explanatory character meant to contrast findings and hypotheses with a range of different scientific publications. These publications can be subdivided in the (partly overlapping) areas NGO-related publications and publications focusing on post-communism and transformation.

5.4.5 Fulfilment of quality criteria

In the following we will concentrate on the fulfilment of quality criteria outlined under point 4.1.1. we will list the single criteria and give explanation or the cross-reference.

1. Inter-subjective comprehension

1.1.Documentation of the research process

1.1.1. Previous understanding of the researcher

The previous understanding in terms of content was rather low as the only reference was an HIV/AIDS prevention project undertaken in cooperation with the National Youth Council of the Republic of Ghana. Therefore the actual starting point and initial understanding were created by the problem-oriented talks as well as the parallel literature review (see 3.1).

1.1.2. Documentation of methods and context of data collection (see 5.2)

1.1.3. Documentation of rules of interview transcription (see 5.4.1)

1.1.4. Documentation of data (see 5.2.2)

1.1.5. Documentation of methods of data analysis (see 5.4)

1.1.6. Documentation of source of information (see 6)

1.1.7. Documentation of decisions and problems

This sub-criterion is realized throughout the report.

1.1.8. Documentation of applied quality criteria (see 4.1.1)

1.2.Interpretation in groups.

Due to the involvement of a co-author regarding the final report to the NIHD the development of inter-subjectivity and comprehensibility was positively influenced. Furthermore, using the method of writing memos increased the discourse between author and co-author. Apart from this, two other persons were involved. First, Beate Mitzscherlich, Professor of Health Care Research and Psychology in the Health Care Department at the University of West Saxony, who supervised the research and second, one Estonian student who transcribed the interviews and also provided useful impressions and thoughts.

1.3.Application of codified procedures (see 4.3, 5.3.1, 5.4.1,5.4.2, 5.4.3)

2. Indication of research process

2.1.Indication of qualitative approach (see 4.1)
2.2.Indication of selected methods (see 4.3, 5.2, 5.3.1, 5.4)
2.3.Indication of rules of interview transcription (see 5.4.1)
2.4.Indication of sampling strategy (see 5.3.1)
2.5.Indication of single methodological decisions This sub-criterion is realized throughout the report.
2.6.Indication of evaluation criteria (see 4.1.1)

3. Empirical foundation

3.1.Application of codified methods (see 5.4.2, 5.4.3)
3.2.Sufficiency of textual references The description and interpretation within the results (see 6) is based on a number of quotations. No interpretation is just based on one quotation.
3.3.Member check (see 5.4.4)

4. Coherence

The different chapters on results deal with related subjects and refer to each other as, for instance, the chapter on vertical cooperation (see 6.3) and the chapter on leadership (see 6.4).

5. Relevance

The case study, which is based on a relevant research question (see 3.3), is very context-specific, assessing cooperation and capacity building in their Estonian context. Out of this arises a very pragmatic and problem-oriented contribution to the Estonian HIV/AIDS prevention system. Based on the informants this includes propositions to improve the status quo.

6. Reflected subjectivity

6.1.Self-observation Parallel to the research process we wrote a research diary helping us to gain some distance to the context. Additionally the 'enlarged' research team gave each other feedback. One fundamental standpoint based on the problem-oriented talks was that the case study focuses on "conflict-ridden problems" within the Estonian HIV/AIDS prevention system namely cooperation and capacity building.
6.2.Reflections of individual suitability Regarding the individual suitability, author and co-author complemented each other. While the latter one was a member of the wider research context the other one had already considerable experience in qualitative research, namely as a member of a research project focusing on executives of health care facilities.
6.3.Existence of a trusting relationship between researcher and informant (see 5.3.1)
6.4.Occurrence of reflections in the course of entering the field In the preliminary stay and the beginning of the second stay all conversations were documented in order to quickly gain an overview. The documentation included structures, topics, persons and their viewpoints as well as initial impressions.

5.5 Ethical issues

My focus in terms of ethical issues is on the informants. Certain procedures were applied in order to "Do no harm" and ensure anonymity. First, the informants were provided with a consent form pointing out the possibility of a partly or full withdrawal at any time (see 5.2.3, annexes 9.119.6 and 9.7). Second, the description of the sample was restricted (see 5.3.2). And third, the transcription of the interviews included two member checks and the quotations are published with serial numbers (see 5.3.2, 5.4.1). Furthermore is has to be stated that signed consent forms, audiotapes and interview transcriptions were stored in the author's own and lockable office to which no other person had access.

6 Main results

In line with the research question the results refer to capacity building and cooperation. The first three chapters (see 6.1, 6.2, 6.3) take a look at the NGO capacities in terms of applying M&E and at horizontal and vertical cooperation. Afterwards cooperation and capacity building are assessed in the context of leadership (see 6.4) and finally the focus is laid on the Global Fund Programme including the Country Coordinating Mechanism comprising representatives from different levels and disciplines (see 6.5).

The five problem-oriented chapters start with a short introduction defining the context and a summary concluding the chapter. In each chapter the presentation of collected data, their description and interpretation are distinguished. Although reality progressed further, the results are written in present tense, as it is more readable and vivid.

In order to prevent a misunderstanding we want to point out that the results are not aiming at a comparison between Estonia and other countries, which are characterized by a different background and epidemiological situation. Nevertheless some of the analysed issues do not seem to be unique for Estonian but rather general, for instance the meaning of institutional boundaries for horizontal cooperation (see 6.2.1). Taking ethical considerations into account we did not include any quotation focusing on an individual person.

As the title 'main results' suggests we leave out or do not explicitly deal with issues, which are regarded as less meaningful. These issues are the conflict between the new and old system including the staff of the former AIDS Prevention Centre, stakeholders' satisfaction with the functioning of the CCM, different leadership styles and their effects, the character of new upcoming NGOs and the extent and implications of stigmatising PLWHA as well as other target groups of HIV/AIDS prevention.

6.1 Monitoring and evaluation

The following text will focus on the M&E practice of NGOs, its reasons and implications. Before this the concept of M&E is shortly outlined.

Monitoring "is the routine, daily assessment of ongoing activities and progress. In contrast, evaluation is the episodic assessment of overall achievements. Monitoring looks at what is being done, whereas evaluation examines what has been achieved or what impact has been made" (UNAIDS / World Bank 2002: 3). Thus monitoring is focusing on efficiency[41] while evaluation focuses on effectiveness[42]. Monitoring and evaluation "helps program implementers to:

- determine the extent to which the program [or project; a.c.] is on track and to make any needed corrections accordingly;
- make informed decisions regarding operations management and service delivery;
- ensure the most effective and efficient use of resources; and
- evaluate the extent to which the programme/project is having or has had the desired impact" (UNAIDS 2003: 7).

However, the "value of M&E is realized only through the *use* of the M&E data … Collecting numbers - even the best numbers - or constructing the perfect indicators is useless unless data are reviewed and interpreted and then fed back into the decision-making process" (ibid.). Thus M&E and reporting go together because reports are the means of feeding back M&E data and make it accessible. Therefore, we will use the wording M&E in the following without explicitly adding reporting unless differentiation is necessary.

M&E is a general management task on all levels. Taking a look at the 4-phases management model (see BROBST et al. 1997: 17pp.)[43] M&E plays a role in each phase. The assessment (first phase) includes the gathering of knowledge based on M&E, while in the planning phase (second phase) objectives and then activities are set to be monitored in the realization phase (third phase) and evaluated in the evaluation phase (fourth phase).

Regarding the GFP M&E is one of the key strategies (see Grant Agreement: 19). Two workshops on management and M&E are planned under objective 7 (see ibid., Attachment 1 to Annex A: 4) in order to increase the institutional capacity.

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[41] According to the Oxford Advanced Learners Dictionary (CROWTHER 1995) efficient means "able to work well without wasting resources".

[42] According to the Oxford Advanced Learners Dictionary (CROWTHER 1995) effective means "having the desired effect" and "producing the intended result".

[43] This management model was developed in the framework of nursing sciences and applies to other forms of (project) management, too. The four phases are assessment, planning, realization and evaluation. Some publications add a fifth phase called implementation.

Well, let us take a first look at the interviews:

> *NGOLevel1 (889/908): "…for us it's very hard just to evaluate because we have to do our work all the time and this, not theoretical, but this management is not good (….) The management is not so good because we don't have so much people. And for example I'm the project leader but I'm doing all the time not the project leader work, but the same, the social work and the (…) just consulting all the time by myself. So I'm doing this. Because I cannot take people if I cannot pay them salary. And it's the main problem. Because if I will do my specified work, it will work. It's like I will organize everything and I will organize meeting and everything like that, but I don't have enough time for that because I have to do a work. The real work with people…"*

> *StateLevel1 (609/613): "…it has all been the issue, why is it for and also always a problem that this reporting and monitoring and those things are seen as really disturbing the real work. And not necessary and something that should be done for the financer. So this has to be changed."*

The two above-mentioned quotations combine M&E with 1) the attitudes towards and understanding of M&E, 2) human resources, 3) the role of the state level and 4) M&E in practice. In the following we want to take a more detailed look at all these points.

6.1.1 Attitudes towards and understanding of monitoring and evaluation

Regarding the first quotation work is divided into management and "real work with the people", whereby the "real work" has priority and does not leave enough time to focus on the management. This division of work and the differently perceived necessity are confirmed by the quoted representative from the state level denying that the NGOs have an intrinsic need to apply measures of quality assurance.

Similar indications concerning the NGOs' attitudes towards M&E and reporting can be found in the report of a WHO/EURO mission to Estonia (DONOGHOE et al. 2003):

- *"The monitoring and evaluation of services does not appear to be a priority for service providers."* (p.15) and
- *"Lack of supervision, monitoring and evaluation means the value of these services is not known."* (p.9)

However, there are no general NGO attitudes towards M&E; rather they are different as the following quotation shows:

> *NGOLevel2 (824/844): "I think what is meant and what is good is financial reporting anyway, but it's also reporting about results. This is the only way we basically will get knowledge about the effectiveness, which actually works or what doesn't work. (….) We are also ourselves very interested to get the knowledge. So it's, I think it's very normal and there have* [been; a.c.] *some complaints that it demands resources and money and, and from, in CCM some people have said. That's true that I think it's worth of it. (….) Of course there is some, there must be some balance that you can't report every week, so it (Laughs) will be too demanding, but after some time it will be useful for everybody to report. And just also that those people who are doing the field work, so they will think about things that they are doing actually. (Laughs)"*

Besides acknowledging restrictions like available resources and reporting frequency this NGO representative is regarding evaluation and reporting as a natural part of the work based on an intrinsic "interest". It is worth it and paying off in future. Reporting about results makes field workers reflect their work and thus enables the NGO to gain knowledge about the effectiveness of undertaken projects. The value of M&E and reporting is recognized in this case. Interestingly the informant points out reflection, which is an essential part of every learning process and improvement.

> *StateLevel2 (654/657): "When you give out the state money, you really must know what has been done with it, because it will be always asked from our side. What has been really achieved, how has it been achieved and…"*

> *StateLevel3 (481/491): "I mean reporting, taking responsibility of funds, what they use (…) not just doing things, but trying to reach the goals. This way of thinking. (Break) And how to define the goals. (….) And if you say that, let's say, training or whatever activities could be done in an economical way you are trying to save now the money for HIV/AIDS prevention, but this is important, isn't it? So it is difficult to get this understanding and again I understand that they just lack the skills."*

On the other hand the state level also understands M&E as a necessary feedback tool for the rendering of account and thus proving the efficient and effective allocation of state money. This feeling of accountability seems to be not so strong at the NGO level. The second quotation additionally claims that it is not only about doing the "real work" and that the thought of M&E has not been fully taken up by implementing organizations as they are lacking the skills.

6.1.2 Human resources

As already suggested the practice of M&E also depends on human resources. The opening quotation under point 6.1 claims that evaluation and management in general are made more difficult due to a lack of personnel as there are not enough finances for this. Here it is about a lack in the quantity of human resources preventing the division of labour into project leader's work and fieldwork. In the contrary representatives of the state level claim that it is not much additional work but rather a question of qualification and available skills.

> *StateLevel4 (627/634): "… they all have good experiences by now on practical work, because those NGOs active in the field in the moment have done it for several years already. (….) but another thing that I added before that the administrative side is not good yet and is something that needs to be developed together and it seems that for several organizations the work is quite chaotic and not really organized well…"*

> *StateLevel5 (665/693):*
> *"Interviewer: And are those problems in the administration concerning reporting and M&E related to a lack of human resources?*

Reply: In NGOs. I don't even think so, because it's not so much additional work. It should be the normal part of the work of those people involved (….) there should not be a special person who deals with reports and who deals with monitoring. (….) This monitoring and evaluation issues, they are very natural part of the project work, it's not additional work. (….) Of course it's lack of knowledge."

StateLevel6 (427/430): "… the NGOs are the implementing agencies and the implementing groups, but they, I shouldn't say the competence, but the overall human abilities of the people in the NGOs are, let's say, average or a little bit low."

StateLevel7 (423/425): "Management and accountability is rather weak. This is the problem. But this even is not just about HIV, this is about the NGO sector in Estonia as a whole."

In addition the opening quotation under point 6.1 is confirmed in the sense that the work of "several organizations" is not well organized or rather that the "administrative side", meaning the management is weakly developed. Whereas in the latter quotation the word management refers to the NGOs' inside, the word accountability refers to (superior) organizations outside meaning that NGOs are seen as not sufficiently able to give explanations of their activities and expenditures.

6.1.3 Role of the state level

The informants quoted below remark that the state level is lacking reporting requirements. It seems that reports are requested but not certain information or M&E data. Regarding the third quotation this is connected with tools and a common vocabulary, which are not worked out well. Tools like report forms and templates are means to outline requirements and set a certain standard whereas a common definition of M&E is seen as a basis to create tools and make them work. And again there is the indication that M&E and reporting are not understood in the same way on state and NGO level.

StateLevel8 (717/719): "…definitely the national programme doesn't have a view right now, what they would like to know from those projects."

StateLevel9 (781/784): "So this is perhaps the main thing that has not been done before, because they just want the report in the national programme, but they don't say what kind of report they [NGOs; a.c.] have to provide them with."

StateLevel10 (510/516): "We have not worked out good tools and common vocabulary, so that everybody understands what it is, why is it needed and which way it should be done. Down to very practical, let's say, samples or report sheets or templates (….) I think we have made some improvement within last year…"

In addition the last two quotations suggest that this is not a fixed situation; differences within the state level and improvement are pointed out. The need for setting reporting requirements, which are guiding NGOs in their M&E and reporting practice, is recognized.

Besides the provision of tools supporting the M&E practice the following quotation criticizes the state attitude, which is characterized as an only passive involvement in upgrading NGOs. In conclusion this informant demands a shift in the dominant attitude, as it might take long for the NGOs to become ready without governmental support. Upgrading is capacity building and thus strengthens human resources of NGOs.

> *StateLevel11 (426/441): "…the dominant attitude is that state cannot hand over responsibilities to NGOs yet, because they are not ready. So it is better to keep the activities as much as possible, or if things need to be done, we, meaning the state, has to do it on our own. And to my mind, from this way of thinking there is lacking this part how this NGO could get stronger. So that, let's say, tomorrow we would be able to hand it over. This part is usually missing from thinking within the state, meaning state is even not actively, very actively I mean, searching for ways how to upgrade the third sector. It is based on donors from outside and then from, let's say preconditions set by somebody outside, like this Global Fund, because by their rules 50% of funds must be spent through NGOs, so now the state has to think how to make these funds together with these NGOs to work for the good of the national targets. But this has not been the initiative by the state."*

Taking a look into the Grant Agreement between the GFATM and the NIHD shows the defined percentage of funds to be allocated to NGOs (Grant Agreement 2003: 21) and that the "Principal Recipient shall have systems in place, acceptable to the Global Fund, to assess the capacity of Sub-recipients, monitor their performance, and assure regular reporting from them in accordance with this Agreement" (ibid.: 8). Therefore the two already mentioned workshops on management and M&E organized by the staff of the NHAPP will be held for participating organizations in order to meet the required minimum capacity standards applicable to the GFP (ibid., Attachment 1 to Annex A: 4).

This push given by the GFP is confirmed by the following quotation of an NGO representative. Besides the NGO representative points out the M&E unit to be established within the NIHD.

> *NGOLevel3 (426/443): "I think that one of the first and best steps was birth of this M&E unit in health protection [Institute for Health Development; a.c.] (….) So one criticism in Estonia has been just that we do know very few about effectiveness of projects. Of course there was budget monitoring, but just like outcomes monitoring, but what actually happens, this is, this was weak I think. I think there have been some attempts to, or some NGOs have tried to make some evaluations, but this is definitely weak point. And I would say that this is our weakest point of all this policy at all, because up to now we don't know very well or we do know from foreign literature, which kind of methods can work and which don't, but we don't have our own experience of our own evaluation. So it's missing, but once again in (…) now this Global Fund project, all that is in that project, they all must be monitored, the statistical results and also the NGOs will be evaluated."*

6.1.4 Monitoring, evaluation and reporting practice

The following quotation is made by an NGO representative who regards evaluation as natural. Consequently the informant refers to already made M&E experience based on own initiative. Moreover the overall evaluation project is seen as development towards meeting future GFP requirements.

NGOLevel4 (828/835): "…we had kind of development already before, we had our own project, which aim was [to; a.c.] evaluate all those sub-units and their work and their effectiveness and what they are doing (….) And so just the Global Fund requirements of all this evaluation, it's just (…) that it's very normal…"

However, based on the presented quotations so far the practice of M&E and reporting probably corresponds more with the following quotations:

NGOLevel5 (865/886): "…I evaluate for example this that I see this people with whom he's [employee; a.c.] working with and they say me directly what they think about it. (….) Evaluation is coming from those whom we are working with, and progress also. (….) We have some meetings. They are not regular, but we just sit down and talk about this. We have discussions and everybody's idea [is; a.c.] welcome always."

NGOLevel6 (1144/1167): "…I'm just writing every once what I have done and what I'm planning and how much money I have spent. That is the report for me. (….) I just write what we did. And that's standard that we have to write our progress, write down and that is the standard."

Involving the clients in M&E and welcoming everybody's idea in meetings are very good, however the statements are very general and there is no reference to the application of specific M&E tools. M&E seems unstructured, unsystematic and not actively pursued by using explicit quality assurance measures. In conclusion M&E is rather done unconsciously and progress is random.

Taking a further look at the second quotation it seems that apart from expenditures reporting focuses on activities meaning what has been done, what was the progress of those activities and which activities are planned next. This would be purely monitoring without evaluating whether the defined objectives have been achieved.

6.1.5 Summary

Many quotations from different informants show positive attitudes towards M&E pointing out its usefulness and the need for a better M&E practice. This goes especially for representatives from the state level. Besides this one NGO representative presents considerable experience in applying M&E. Nevertheless the majority of NGOs can be characterized by a weak M&E performance and a lack of accountability.

However, there are strong indications that most of the NGOs have not taken up the concept of M&E and that there is no intrinsic motivation to do so meaning that M&E is for the most part donor-led. Rather a division is made into 'real work' and 'additional M&E'. Important are the number and extent of activities going in hand with the perception that this is restricted by the time spent on M&E measures.

Another factor influencing M&E practice are human resources. The administrative side or rather management of the majority of NGOs is generally described as insufficient or weakly developed. Whereas representatives from the state level see the reason in a lack of skills NGO representatives rather claim that this is due to a quantitative lack of human resources.

Although the state level has started to increasingly promote M&E as shown by the two workshops within the GFP and the plan for setting up an M&E unit, it does not seem to be based on personal initiative but due to preconditions set by the outside. This is illustrated by the case of the GFP.

Those who have taken up the concepts of M&E and accountability refer to three functions which need to be developed further:

1) Efficiency – using (monetary) resources "in a more economical way"
→ Monitoring
2) Effectiveness – knowledge about goal attainment of activities and provided services
→ Evaluation
3) Accountability – transparency and comprehensible explanations of actions and expenditures
→ Reporting

Accountability includes giving feedback to higher levels and its quality depends on the way monitoring and evaluation have been done before. At the same time the quotations show that knowledge about effectiveness is the weakest point. This has important implications on the state level as knowledge about effectiveness and efficiency is fed back into the decision-making processes of the state level (see annex 9.13). For instance lacking knowledge about effectiveness can, at worst, lead to a situation where people 'do the wrong things in the right way'.

FINDINGS:

1. Majority of NGOs:
- existing M&E is unstructured, unsystematic and often done unconsciously → weak M&E performance—especially evaluation—and a lack of accountability
- no intrinsic motivation to actively apply M&E → performance of M&E is donor-led

   o Reasons:
      ▪ division into 'real work' and 'additional M&E':
         • lack of human resources in terms of quantity and qualification and following a low understanding of the M&E concept, its importance and application
         • the importance of number and extent of activities and the perception that this is restricted by the time spent on M&E measures
      ▪ low initiative of the state level to improve the M&E practice

2. State level:
- lack of knowledge about the system-wide effectiveness of HIV/AIDS prevention making it hard to coordinate HIV/AIDS prevention and give evidence of accountable allocated state funds

   o Reasons:
      ▪ weak M&E practice of NGOs (see above)
      ▪ low initiative to improve the existing M&E practice
      ▪ means for improving the M&E practice do not exist to the needed extent

6.1.6.1 Re-embedding in the context

The issues M&E within and accountability of the NGO sector are widely discussed throughout literature. There is agreement that NGOs have to be accountable to the general public although differences exist regarding the specific target groups of accountability efforts (compare GIBELMAN / GELMAN 2001, HELMICH / SMILIE 1998). Furthermore HELMICH / SMILIE (ibid.) state that due to a general shortage of public finance and increasing NGO allocations there are "influences on the NGO community to provide more and better information and documentation about its activities."

However, general as well as Estonian-specific publications on the NGO sector provide a very critical view and confirm a weak M&E performance and a lack of accountability. LAGERSPETZ / RIKMANN / RUUTSOO (2002: 83), for instance mention that "with respect to the possible role of [Estonian, a.c.] NGOs in service provision, we must consider that the performance of such functions requires support of

strong organizational structure, ensuring quality control, financial accountability, training of volunteers etc. Here our results do not confirm any widespread prevalence of such capacities. With the possible exception of Tallinn and maybe some strong regional centres local governments are unlikely to find NGOs that would be willing and capable to act as partners in service provision." and summarize that "resources of Estonian NGOs are smaller than expected" (ibid.: 85). GIBELMAN / GELMAN (2001: 61) claim "for countries in which the third sector is at an earlier stage of development, the notion of NGO accountability to the public is not yet entrenched. The majority of NGOs do not as yet evidence a commitment to the concept of accountability and, in general, their boards are not meeting the basic roles and responsibilities essential for effective governance. This state of affairs, to the extent that it is substantiated and perpetuated, does not bode well for the future."

In their reasoning the above authors confirm the findings in terms of human resources and understanding the concepts of M&E and accountability which are crucial for a motivation to actively apply M&E. On the other hand they complement the findings and add new aspects.

'At an earlier stage' suggests an increasing but yet low level of professionalism within the Estonian NGO sector. REGULSKA (1999: 61pp.) and KARATNYCKY / MOTYL / SHOR (1997: 144) confirm that the Estonian NGO sector is merely fourteen years old due to drastic changes of NGOs and the NGO sector after the collapse of the Soviet Union in 1991 and the rapid evolvement of many new NGOs. Whereas the first Estonian NGOs working on HIV/AIDS prevention were founded in the early 1990s the dramatic increase in newly diagnosed HIV-infections in the second half of 2000 (compare MoSA 1997: 4) resulted in new NGOs or old ones widening their extent and scope of activities.

Connected with the young age of Estonian NGOs REGULSKA (1999: 63), whose statements are based on the Polish NGO sector, tackles professionalism and human resources: "in a climate of fiscal austerity, many groups need to develop a large and steady base of volunteers to sustain their activities … In addition, leaders often do not know how to separate and delegate tasks for both staff and volunteers, yet good management is required to create the initiative, assign small tasks, and motivate. These skills, although emerging, as more NGOs gain a greater level of professionalism, are still in vast demand." Besides the limitations to professionalism set by volunteerism the stated lack of management skills, which include M&E-related skills, confirms the findings.

Another influencing factor of the M&E practice, which was not discussed in the interviews, seems to be the issue of financing schemes underlying the activities of NGOs. According to LUDERMANN (2001: 190) grant-giving organizations treat NGOs as cheap service providers and cover few administrative costs although the application of M&E

needs appropriate monetary resources. Thus calls for the provision of more and better information and documentation about NGO activities have to be reflected in financing schemes which should appropriately cover the necessary quantity of M&E measures. To our mind the issue of financing schemes partly explains the NGOs' perception of the 'real work' being restricted by the time spent on M&E measures; another part being M&E-related understanding and skills.

Finally we have the assumption that the NGOs' lack of accountability can be partly explained by the fact that the culture of their target groups rubs off on them. Many people of target groups try to avoid the control by governmental health authorities and instead request sensitive and individualised services provided by NGOs[44]. We assume that the NGOs—similar to their target groups—try to avoid control by the state level. However, it remains an assumption as the interviews do not contain information concerning this.

Regarding the found donor-led performance of M&E which is just trying to satisfy donor requirements HELMICH / SMILIE (1998) point out that "by stressing control and verification, donor-led evaluations drive both failure and learning underground, hiding lessons that may be more important, than those derived from success". LUDERMANN (2001: 190) claims that this tendency is heightened by competition among each other. Consequently the promotion of M&E, which has to be improved, has to stress both reasons of M&E: 1) learning and 2) control and verification (HELMICH / SMILIE 1998). Based on the paradigm of self-evaluation HELMICH / SMILIE (ibid.) outline three possible solutions: 1) taking the sting out of failure, 2) funding programmes, not projects and 3) rethinking partnership. The latter one includes that outsiders are not eligible to evaluate the work of NGOs but that donors insist on a basic level of evaluation and the publication of results. Furthermore it includes the fostering of joint evaluations and thus horizontal cooperation among NGOs, for instance, in form of umbrella organizations developing evaluation rosters or clearing houses (ibid.).

GIBELMAN / GELMAN (2001) think that "even with more vigilant internal controls, NGOs are unlikely, themselves, to institutionalize adequate public accountability. Some mixture of watchdog agencies[45], government oversight, and internal NGO procedures is probably the most feasible route for the present to heighten accountability and avoid any more financial scandals and questionable businesses and ethical practices." This suggestion primarily aims at increasing financial accountability in order to avoid mismanagement and public scandals and thus maintain public trust and confidence in charitable activity. We take the viewpoint that M&E has to be done by the NGOs

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[44] This is pointed out by a recent report of the UNDP (2004) valuing the NGOs' role in connecting target groups of HIV/AIDS prevention with governmental health care systems.
[45] Watchdog agencies' aim is "to increase charities' efficiency and effectiveness and public confidence and trust" (Charity Commission 2003). In doing so they assist donors in making sound giving decisions for instance, by publishing a National Charity Reports Index (see http://www.give.org).

themselves but that it is helpful to additionally enforce accountability and thus transparency by outside organizations and measures.

HYPOTHESES:

1. Real development towards a more efficient and effective HIV/AIDS prevention including a continuous learning process requires an intrinsic motivation of NGOs to apply M&E.

2. Increasing NGOs' human resources in terms of quantity and qualification in hand with a change in the state level's behaviour towards an active promotion of (and demand for) M&E will significantly improve M&E-related awareness and motivation, knowledge and skills within the NGOs and thus the extent and quality of accessible M&E data. Consequently the coordination of Estonian HIV/AIDS prevention would be much more efficient and effective.
   - An active promotion of M&E includes:
     - strengthening the learning aspect of M&E, especially by taking the sting out of failure
     - either developing M&E tools and M&E-related workshops, trainings and seminars or rather organizing access to them
     - developing a common vocabulary and reporting standards
     - in the long-term exclusively funding NGOs which are able to give evidence of an established quality management system fulfilling defined and practical standards

3. In order to achieve an NGO-wide and comprehensive application of M&E measures financial schemes or planned budgets underlying funding have to explicitly cover M&E-related efforts as a natural part of projects or activities.

6.1.6.2 After copy deadline

The first of the two mentioned workshops on management and M&E took place after the copy deadline 11th January 2004. The participants of this workshop we have spoken to confirmed the existence of the NGOs' division into 'real work' and M&E as well as the lack of understanding and knowledge about the concept of M&E. Under these conditions the persons we spoke to experienced the workshop as very helpful and a considerable step forward. In detail it was stated that state level and NGO level came closer to a common vocabulary and understanding of M&E.

However, the impression remains that this necessary step should have been taken much earlier meaning before the start of the GFP as such because becoming able to apply the needed M&E standards should be a preparatory step of realizing the GFP activities.

6.2 Horizontal cooperation

The following chapter takes a closer look at horizontal cooperation on NGO level: influencing factors, forms of cooperation, attitudes towards and ideas of cooperation. In the beginning we present some general thoughts about cooperation.

Cooperation can be defined as "joint work towards a common end" (ROGET'S II 1995). A more detailed definition is provided by SCHWEITZER (1998, page 24): "Initially cooperation can be defined as an activity which is coordinated between at least two parties and which is aiming at a certain result … cooperation is necessarily aiming at a common work product—in contrast to "interaction", "communication" and "co-evolution"—and thus it goes better with research of professional activity…"[46].

Those are only two out of several and partly non-concurring definitions of cooperation (in detail see GRUNDWALD 1982) and at the same time we were aware that apart from those narrow and "scientific" definitions of cooperation other everyday and more meaningful definitions of cooperation might exist. Consequently we are focusing on cooperation in its scientific as well as practical meaning.

In our opinion more cooperation per se is no guarantee for the better; rather it depends on assessing the potential of cooperation in the individual case in question. Cooperation has to be worthwhile for everybody involved and make sense meaning that either efficiency or effectiveness of a project, activity or in a wider sense campaign etc. is increased as a result of cooperation. Besides this we take the standpoint that cooperation on a horizontal level is voluntary and every player is free to decide about it.

There is one general umbrella organization called Network of Estonian Nonprofit Organizations (NENO) [47]. A specific umbrella organization or lobby for NGOs working in the sector of public health or HIV/AIDS in particular does not exist.

6.2.1 Influencing factors

Among others the following statements were made after asking informants about cooperation among NGOs:

> *NGOLevel7 (498/504): "I think it's more competition than more cooperation. Between NGOs. And that makes the problem more problematic, you know, because every NGO sees in another NGO as their enemy. I don't know why. (Laughs) Maybe because of the, then they can get more money and they are afraid that this another will get more money, then they will not get, it's more because of that. It's more competition between NGOs."*

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[46] Translation by the author (S.V.).
[47] See further information under http://www.ngo.ee.

> *NGOLevel8 (276/285): "...the problem with all NGOs is that in principle they are, in society they are competing for same resources (....) those NGOs working in the same area. From one side it could be rational to work together, it seems logically to be rational, but in reality the competition for money is much more powerful, so they don't share or sometimes they share information, but they, very often they don't react very cooperative way..."*

The two before-mentioned quotations suggest that NGOs regard each other rather as competitors or even "enemies" in the way that they are competing for the same resources. Those resources are a major concern as they form the basis of each NGO's livelihood and thus the concept of competition seems to be stronger than the concept of cooperation. Already allocated funds are not available anymore for other NGOs.

A feeling of competition restricting cooperation is also presented in the following quotation where the informant claims NGOs are afraid that the cooperation partner could steal their idea in order to run the project themselves. In the informant's conclusion NGOs concentrate on their own work. In our opinion the quotation also shows that trust in each other is an essential prerequisite to cooperation.

> *StateLevel12 (760/771):*
> *"Interviewer: (....) How elaborated is cooperation among NGOs?*
> *Reply: Between themselves? Like (...) how to say. (Break) People are afraid that somebody can steal their idea, so there is very common that everybody is doing their own work alone or with one organization. But usually between NGOs maybe not so much, but maybe NGO and some specialist more, because there is more collaboration, because then you know that the specialist can't write the project, the same project and do it faster..."*

The following quotation goes even beyond restrictions of cooperation and claims that NGOs are not actively searching for partnership[48]. In line with the before-mentioned quotation NGOs are self-referent meaning that they are much focused on their own work and on what they can do themselves.

> *StateLevel13 (384/387): "Each NGO is very narrow-minded in the sense that they are just seeing what they are able to do and developing themselves in that direction. They are not actively searching for partnership."*

Furthermore the thought of self-reference suggests that the direction of developing services and activities primarily depends on the NGOs' capabilities and for instance not on potential synergies with other NGOs. On other implications of a possible dominance of the own capability in developing services and activities we will focus in the part of vertical cooperation.

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[48] Referring to the data the words cooperation and partnership are used synonym or one after another like "cooperation partners". In the particular case above the informant refers to partnership after being asked about cooperation.

Moreover the following quotations raise institutional boundaries[49] in general, comprising organizational, interest and motivation boundaries, as a fundamental restricting force or hindrance to cooperation:

> *NGOLevel9 (343/346): …there are the borders of NGOs, they are very powerful, just restricting force or, so it's not very easy that NGOs will do some cooperative work. For some reasons. It would be nice doing more, but (Laughs) that's just how it is."*

> *NGOLevel10 (361/369): …all the NGOs are capable to, for example to participate in one conference or something to, and (…) but after conference they once again, they will do their own things. So it's like in public policy, there is the question 'do institutions matter?' And it is just institutional setup, for example are there two, three different NGOs, or the same people and just one NGO? And the answer is also 'yes, institutions matter', because in case of three NGOs there will be borders between NGOs still, organizational borders and motivational and interest borders. So it matters."*

The informant points out the importance of institutional boundaries restricting cooperation among NGOs. In conclusion to this two or more NGOs have to bridge those boundaries in order to cooperate successfully. This would include compromises (or less likely consensus) about allocation of funds and personnel as well as purpose of cooperation, self-interest and/or organizational culture. In line with the first quotations under point 6.2.1 monetary resources and the division of those seem to be a very strong restricting force to cooperation. According to the informant bridging those strong institutional boundaries is rare or even not existing in the NGO reality. Besides, this quotation is again confirming the self-reference of NGOs—they are capable of participating in one conference but they do not actively look for partnership.

6.2.2 Cooperation in practice

Taking into account the former quotations on competition for same resources, institutional boundaries in general and the NGOs' tendency of working on their own: how does cooperation look like in practice?

> *NGOLevel11 (710/730): "I cannot say that we cooperate, but we have very good relationship maybe, with* [name of an NGO; a.c.] *and* [name of another NGO; a.c.] *and the others, they are just so cold outside. (….) I know that if somebody would come and ask me that for example, I would like to be a volunteer in this organization, and I say of course, and I can recommend, that I know that they are doing a good work (….) We are trying, both of us are trying to help each other. We are from Tallinn and they are from Narva. But it's, I think we have to do more. Other we'll never have progress. We have to cooperate a lot."*

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[49] In the following the term 'institutional boundaries' is used but one could ask: why institutional and not the more general term organizational? By using the term 'institutional boundaries' we want to stick to the quotation but clearly point out the boundaries between two or more independent bodies. According to the informant, the term 'organizational boundaries' is used in the sense of symbolic and structuring measures within an organization (compare WIENDIECK 1994).

The above quotation states that good and "warm" relationships to two other NGOs exist and indicates that those relationships can be characterized by trust and appreciation of each other's work. This strengthens our assumption that trust is a basis of cooperation. More generally a good personal relationship incorporating trust is a basis of cooperation.

The NGOs recommend and help each other; however the informant cannot call this cooperation and rather suggests that cooperation is more than that. The meaning of helping each other is not explained in more detail. Interestingly this informant is also supporting more cooperation namely to have progress.

> *StateLevel14 (18/31):*
> *"Interviewer: And how do you see the communication between the institutions and organizations related to the HIV/AIDS programme?*
> *Reply: You ask about institutions and organizations, but in Estonia most of the relationships are based on personalities. Meaning if the communication is good between certain persons, then it can be said that the relationship is good also between the institutions that those two partners may represent. But not vice versa. Meaning that there may be institutions that basically are in a good relationship. But if persons working on a specific field do not have a good match, then this won't work. So Estonia is very individualistic country and that reflects also how cooperation is built upon."*

The above quotation claims that cooperation in general is based on personal relationships. This strengthens our assumption that a good personal relationship and trust are a basis of cooperation. This is especially meaningful for horizontal cooperation, which is defined by its voluntary nature. As this quotation is very general and goes beyond horizontal cooperation among NGOs we will follow it further under point 6.3.

Finally the question remains unclear whether NGOs cooperate more actively apart from sharing information[50], recommending and helping each other[51]. In the following we want to focus on cooperation in a narrower sense combining resources and aiming at a common goal and work product.

> *StateLevel15 (378/384):*
> *"Interviewer: And does cooperation exist in the way that NGOs are putting together resources and are actively working on the same activities and programmes?*
> *Reply: No. That's for sure."*

> *NGOLevel12 (349/369):*
> *"Interviewer: And can you mention a good example of cooperation in the way that two or three NGOs are actively working together, sharing their resources and aiming at a common goal?*
> *Reply: In HIV I am (…) well, it depends. There are some short-time projects or (…) and, but I don't know any longer period* [of; a.c.] *such a joint work. It can perhaps (…) there has not* [been; a.c.] *enough time yet or it will be in future, because there have been quite few NGOs…"*

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[50] See the 2nd quotation under 6.2.1.

[51] For instance the NGO "Living for Tomorrow" and the NGO APC, which came from the formerly governmental APC, have their offices in the same building (see ILLISSON 2003).

According to the above quotations cooperation in a narrower sense does not exist or rather does not exist for a longer period. Furthermore the latter informant is trying to give reasons for this—not enough time yet and a little number of NGOs.

The following quotation is in line with the before-mentioned quotations and is again pointing out money as a restricting force to cooperation. Coming back to institutional boundaries it seems again that those boundaries are not bridged because the informant highly doubts that NGOs are able to deliver the money between them.

> *StateLevel16 (842/855):*
> *"Interviewer: And talking about cooperation in the sense of actively working together towards a common goal? Like putting together resources and work together?*
> *Reply: I very much doubt, because as I told you, this is all about money. This is all about survival. (Break) So they are sort of afraid of this real cooperation, so for instance I very much doubt whether we get projects written by two NGOs. So one project by two NGOs that they are able actually to deliver the money between themselves. To say that well, I'm the project manager and you are not – if we send in the project. So I highly doubt we get like combined projects from two or three NGOs."*

6.2.3 Attitudes towards cooperation

The previous quotations contain two statements by representatives of the NGO level (NGO level 9 and 11) presenting attitudes towards cooperation. The first one generally states "it would be nice doing more" while the second one thinks "we have to do more. Other we'll never have progress. We have to cooperate a lot." According to the quotations there has to be or could be more cooperation to have progress. So far the kind of progress remains unclear.

> *NGOLevel13 (684/691): "…or people don't know that the cooperation is so much worth, but so sometimes they must forget their individualistic views and if they work jointly, so they can win together, so (…) Perhaps people are not just wise enough to see or, because it's the first reaction is very often no. I see it every, every day, it's (...) and in a way it's sad (….) they don't see the benefits they can get if not saying no…"*

> *NGOLevel14 (724/727): "…to get something you must always pay some price. If the price is small enough to get something bigger, so it's worth of paying it, so Estonians, they are not, they don't think so, in such a long terms, so it's…"*

In the above quotations cooperation carries positive connotations, too—"is so much worth", "win together" and "benefits". At the same time those connotations are rather general and the question remains: what do people expect of cooperation or hope for?

Besides we can find a further reference to the NGOs' self-reference, meaning to focus on its own and turn down cooperation, because the informant claims that the value of cooperation is not seen. Furthermore, "pay some price" suggests that compromises to bridge the boundaries are either not or rarely made.

Taking a look at our material we can find only two quotations concretising the expected way and purpose of more horizontal cooperation:

> *NGOLevel15 (695/710): "I think the first step maybe would* [be; a.c.] *to organize a round table of NGOs, for example NGOs who are working on this problem, I mean those who are working with HIV/AIDS and drug abuse but we have to, we need some round table (….) but I'm just afraid that nobody would come there (Laughs)."*

> *NGOLevel16 (732/748):*
> *"Interviewer: And of what kind of cooperation do you think of?*
> *Reply: It could be. For example just (…) that if my imagination now working, just for example our volunteers can go to Narva, for example, and from Narva they can come here and just we can work together, because they have some things what they can do better than we do and we have something what they don't, that we do better, so it's like very (…) We had just to sit down together and decide that everybody will tell what they can do, and I think oh 'I would like to do the same, can you teach me' and it's more like educational level, but nobody wants to give his, you know this potential where information and everything, because they are afraid, everybody is afraid. And in the beginning when we started, we just thought maybe we can do something all together, but we see now that everybody is afraid and there is competition…"*

The informant is raising two points and concretising "sharing information" and "helping each other": first, there could be a round table of NGOs working on HIV/AIDS prevention and second, there could be an exchange of volunteers or more generally staff. Both ideas are based on the thought that NGOs have their own strengths and can offer this potential to each other by exchanging skills, competencies and knowledge in order to increase their organizational capability.

At the same time 'learn from each other to do the same' is in contradiction to the above-mentioned competition and would require that institutional boundaries are bridged. Although the informant is raising the point of exchanging volunteers with the purpose of educating each other this understanding of cooperation is not touching the core work of NGOs namely combining resources and aiming at a common goal and work product.

6.2.4 Summary

The peer-relationships of NGOs are characterized as more competitive than cooperative. NGOs compete for the same resources in society, which is seen as the most powerful force restricting cooperation. This goes in hand with the indication that NGOs are self-referent meaning to be very much focused on their own work and try to develop them based on their own capability. An influencing factor seems to be the low experience of inter-organizational cooperation. As a result NGOs do not actively search for cooperation partners. Our data does not contain sound information regarding the competition for fields of activity.

In our opinion the monetary issue is part of the wider term 'institutional boundaries'[52] like financial system, personnel, organizational culture, motivations and interests. These institutional boundaries need to be bridged by negotiating compromises on role allocation in order to cooperate successfully. This goes especially for a cooperation combining resources and aiming at a common goal and work product. Regarding the successful bridging of institutional boundaries two important influencing factors are a good personal relationship and trust.

There is little evidence of cooperation among NGOs. The existing cooperation is based on good personal relationships and trust and is limited to sharing information and recommending each other. Cooperation in the way of combining resources and aiming at a common goal and work product does not exist.

The word cooperation as such carries a lot of positive connotations and the informants agree that cooperation should increase. However, the demanded increase in cooperation does not include cooperation in a narrower sense and is rather general in its goals and content. The only concrete statement suggests inter-organizational exchange in the form of a round table of NGOs and an exchange of personnel in order to learn from each other. Consequently we do not recognize clear motivations for a more intense cooperation. In the end cooperation may be just a word with positive connotations, turning it down is socially not welcomed and therefore people tend to support it (SCHWEITZER 1998: 27p.).

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[52] We understand institutional boundaries as something general rather than something unique for Estonia.

FINDINGS:

- majority of NGOs behave self-referent
  - they focus on their own work and try to develop themselves according to their own capability
  - they do not actively search for cooperation partners
- existing cooperation among NGOs is based on good personal relationships including trust and covers informational exchange and generally helping each other, for instance by recommendation
- there is no evidence of NGO-wide cooperation as well as cooperation aiming at a common goal and work product

  - Reasons:
    - strong competition for monetary resources
    - moreover institutional boundaries—comprising financial system, personnel, organizational culture, motivations and interests—are hardly or rather not bridged by finding compromises on role allocation
      - exception: informational exchange and helping each other based on a good personal relationship including trust
    - few experiences of cooperation to built upon
    - although cooperation is a word carrying positive connotations there is a lack of concrete contents and motivations for an increase in cooperation

6.2.4.1 Re-embedding in the context

Referring to MITZLAFF (1998) SCHWEITZER (1998: 31) claims that cooperation, understood in a wider sense as the opposite of conflict, is more worthwhile for older and already established systems providing health-related services. In the phase of their creation, however, relationships characterized by more quarrel and disorder turn out to be more innovative (ibid.). This is reflected in the young and not consolidated Estonian NGO sector (see 6.1.6.1). Certainly cooperation has to be worthwhile; more worthwhile than a non-cooperative behaviour (or strategies of conflict and competition) (compare SCHWEITZER 1998: 29).

Considering possible contents and prospects of horizontal cooperation among NGOs in order to strengthen themselves, we make a start with the two complementing functions of NGOs: service provision and influencing (social) policies (compare LAGERSPETZ / RIKMANN / RUUTSOO 2002: 75, HELMICH / SMILIE 1998). Based on literature both functions can be substantially supported by cooperation among two or few NGOs as well as NGO-wide cooperation.

BARTON-VILLAGRANA / BEDNEY / MILLER (2002) focus on cooperation among two or a few NGOs and examine symmetrical peer relationships among community-based organizations (CBOs) providing HIV prevention services in Illinois, United States. They discovered the following eleven relationship activities serving organizational survival and growth as well as participation in the HIV/AIDS movement: 1) networking, 2) information sharing, 3) needs identification, 4) technical assistance (training), 5) program adoption, 6) program implementation, 7) joint programming, 8) joint events, 9) financial resources, 10) referral/linkage agreement and 11) service coordination (ibid.: 223pp.). These activities have four functions:

1. awareness function: awareness of innovative practices in the organizational field (activities 1 to 3)
2. program incorporation function: incorporate innovations in the menu of existing services (4, 5)
3. efficiency function: share and exchange resources to implement programmes more efficiently (6 to 9)
4. territory maintenance function: maintain each CBO's distinct organization boundaries (10, 11)

In identifying these activities and functions BARTON-VILLAGRANA / BEDNEY / MILLER provide interesting views on institutional boundaries and competition. Institutional boundaries have to be bridged or rather spanned and maintained: "activities serving efficiency functions lead CBOs to span each other's organizational boundaries by engaging in collaborative ventures. In contrast, activities serving territory maintenance functions enable CBOs to clearly delineate each organization's boundaries by differentiating themselves and the services they provide. These boundary spanning and boundary maintaining forces directly parallel mutualism and differentiation postulated by the density dependence theory" (ibid.: 230). Furthermore they state "as the relationship activities serving the territory maintenance function (i.e., referrals, service coordination) indicate, it is vital to a CBO's sustainability to reduce competition locally by providing "unique" services in their community" (ibid.: 231). Taking these statements into account as well as the fact that the competition mentioned by the informants is rather foggy regarding the questions 'who?', 'where?', 'when?' and 'under which conditions?', it seems that the young Estonian NGOs and the services they provide are not yet very differentiated and "unique". Regarding this NHAPP's support of the NGO Convictus in providing needle exchange services in Tallinn (compare NIHD 2003), while the NGO Tugikeskus already ran stationary and mobile needle exchange sites there, endanger organizational sustainability. However, it is likely that part of the Estonian NGOs, particularly the older ones affiliated to the former APC, already show characteristics of density dependent

relationships namely of differentiation and specification of provided services in order to reduce competition.

Regarding NGO-wide cooperation among NGOs working on HIV/AIDS prevention we will summarize contents and prospects presented by several authors as well as provided forms to channel this cooperation. On the one hand there is the overcoming of internal weaknesses, such as a "lack of ability to organize, to write proposals, to obtain funding, to set clear priorities etc." (REGULSKA 1999: 63), by skill development (BERARDO 1999: 259). On the other hand there is the increasing of NGOs' monetary resources, power and influence. This includes to "claim power and to position themselves to gain greater access to resources, widen local constituencies, and establish connections with political elites" (REGULSKA 1999: 64p.). According to NUSCHELER (1996: 505) the creation of a favourable bargaining position or rather an effective increase in the NGOs' political potential of pressure depends on three conditions: 1) NGOs as competent partners in talk, 2) ability to make compromises among each other and 3) building alliances with social groups[53].

Provided forms to channel NGO-wide cooperation are an NGO council and an integrated or separated clearing house (compare BERARDO 1999, HELMICH / SMILIE 1998, SIMUKONDA 1992). The NGO council is similar to the presented idea of a round table of NGOs and aims at strengthening and coordinating "the activities of many organizations working toward similar and potentially complementary tasks" (BERARDO 1999: 258). Referring to experiences made in the United States the NGO council can "provide an excellent forum for different NGOs to focus on management innovations, technical and administrative training, developing communication networks, and designing partnership opportunities" (ibid.: 262) and "also help to address concerns related to NGO contracting ..., such as how agency competition for funding stifles information sharing, and whether NGOs become dependent upon single funding sources, thereby constraining their administrative flexibility and limiting their ability to adequately address service needs..." (ibid.: 259). An integrated or separate clearing house is suggested to focus on "research and information on cutting-edge strategic approaches" (ibid.). However, BERARDO (ibid.) outlines certain conditions for the success of an NGO council, such as the 1) minimization of politics, 2) organizations' ability to maintain autonomy, 3) minimal time requirements for participation and 4) membership fees and/or foundation grants to found the council's programmes.

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[53] Note that the Estonian population's trust in NGOs is with 34% rather low while a big proportion of 44% is undecided (ESTONICA 2004).

HYPOTHESES:

1. At the moment a self-referent and rather non-cooperative behaviour is the preferred strategy of NGOs to develop the own organization and reflects the young and not consolidated NGO sector.

2. Horizontal cooperation does not threat organizational survival and growth; rather it has the potential to support it by increasing efficiency and reducing competition among NGOs.

3. Horizontal cooperation among NGOs will increase and bring changes if certain contents and concrete prospects for cooperation, which are worthwhile to the persons and NGOs concerned, will be found. Under this condition an NGO council can be a suitable platform.
   o Regarding non-existing NGO-wide cooperation this could be the overall availability of monetary resources, NGOs political potential of pressure and their public standing.
   o Regarding cooperation among two or a few NGOs this could be organizational development including needs identification, joint programming, technical assistance and service coordination.

6.3   Vertical cooperation

Following the previous chapter on horizontal cooperation we want to take a look at vertical cooperation between state and NGO level. Our points of interest are influencing factors, beginning with general ones applying to the whole HIV/AIDS prevention system, as well as how vertical cooperation looks like. The GFP is excluded, as we regard it as an exceptional case. We are devoting the whole chapter 6.5 to the GFP including its meaning for vertical cooperation.

Apart from the already mentioned definitions of cooperation under point 6.2 an informant made the following statement while talking about vertical cooperation:

> *StateLevel17 (351/353): "Cooperation means that, I tend to repeat, if different people or different organizations are working towards the same goal."*

I want to specify this as follows: "Vertical cooperation means that different organizations of different levels are working towards the same goal".

Vertical cooperation including different levels is not free of hierarchical relationships and structures which make it hard to differentiate between cooperation and coordination. SCHWEITZER (1998: 24) differentiates between cooperation and coordination as follows: "Different to cooperation coordination can occur in a written way, against the will of the players and does not require a personal exchange and no common definition of objectives of the participants"[54]. In our opinion working towards the same goal necessarily goes in hand with commonly defining objectives. Assuming that only one side is defining the objectives we are convinced that the other side (or sides) will not work towards the same goal. Rather it (they) will still strive to achieve its (their) own objectives and regard the defined objectives as a restrictive framework. Apart from this SCHWEITZER (1998) points out that cooperation does not exclude conflicts; rather it is necessary to openly specify the lack of agreement throughout the process of cooperation

In difference to the chapter about horizontal cooperation but in line with the above quotation we want to widen the scientific definition of cooperation in order to widen its applicability. Therefore we drop the criterion of "aiming at a common [and tangible; a.c.] work product" which is rarely the case with vertical cooperation.

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[54] Translation by the author (S.V.).

Taking a look in the translated minutes of the Board meetings of the NHAPP[55] indicates that vertical cooperation is a conflicting issue. Furthermore a lack of understanding each other seems to be an essential factor.

6.3.1 Orientation towards persons

First of all we want to take up a quotation we used under point 6.2.2 because it goes beyond horizontal cooperation as such and has a more general meaning:

> *StateLevel14 (18/31):*
> *"Interviewer: And how do you see the communication between the institutions and organizations related to the HIV/AIDS programme?*
> *Reply: You ask about institutions and organizations, but in Estonia most of the relationships are based on personalities. Meaning if the communication is good between certain persons, then it can be said that the relationship is good also between the institutions that those two partners may represent. But not vice versa. Meaning that there may be institutions that basically are in a good relationship. But if persons working on a specific field do not have a good match, then this won't work. So Estonia is very individualistic country and that reflects also how cooperation is built upon."*

Regarding the Estonian context the informant generally claims that cooperation as working towards the same goal is based on personal relationships meaning that good cooperation goes in hand with a good personal relationship. In conclusion this would mean that cooperation is a depending variable of personal relationships. Taking the chapter about horizontal cooperation into account this seems to be equally for horizontal and vertical cooperation.

> *StateLevel18 (1138/1149): " Finally it's always the personal reasons, because one person cannot stand another person and so on and I guess it's not only in Estonia so. And maybe it's thing of general growing of the Estonian state as such that people should look more behind the personalities, because this personality presents some kind of job or some kind of post, official position, yes, right, some kind of position, but it is not a reason for not cooperating with this organization or with the representative of this position, because I don't like her or him as a person. This one who wants to cooperate has to see a bigger picture.*

The above quotation confirms that cooperation is based on personal relationships in terms of liking and dislike. At the same time the informant demands that vertical cooperation should become more independent of a personal basis and give professional relationships a higher priority. This would require that people start to see the "bigger picture" meaning the whole HIV/AIDS prevention system and gain a more comprehensive understanding of each other.

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[55] See 'protocol' number three, 29th October 2002: "…from those comments we can see that different implementers of the programme do not have a common language."

6.3.2 Lack of understanding each other

StateLevel19 (848/856):
"Interviewer: What are the biggest fights?
Reply: Different understandings with county governments, different understanding with the NGOs and just different understandings on what roles what levels should be having. And what kind of relationships should they have."

StateLevel20 (1121/1124): "…this very big challenge to on becoming on common understandings with different levels on how should we work, so as I have stated, every level has different interests and it is hard to combine them together."

The above informant confirms vertically different understandings—different understandings on role allocation including how the different players should be related towards each other. More generally role allocation comprises the allocation of responsibilities and the definition of institutional relationships.

Furthermore the informant regards coming to a common understanding between different levels as the big challenge to improve vertical cooperation. Different interests are seen as the major hindrance in coming to an understanding. This makes us recall the institutional boundaries including boundaries of interest mentioned under point 6.2.1. Those interest boundaries are restricting horizontal cooperation and here interest boundaries between different levels are seen as restricting vertical cooperation.

What lies behind those different understandings regarding state level and NGOs and how is vertical cooperation experienced? We are not taking a look inside the state level. Taking the state level's hierarchical structure into account we will focus on this in the chapter about leadership.

6.3.3 State level and NGOs

NGOLevel17 (26/41):
"Interviewer: How are the different organizations and institutions related to HIV/AIDS prevention in Estonia communicating with each other, how would you describe it? If you take ministry, state level and (…)
Reply: You mean the governmental and non-governmental? I think that in my case maybe we are quite young, but I think that this communication is not enough. I mean that the government is sometimes not so interested in, to help us, because we are doing a lot of work that they cannot do and they must be more interested, because we are some kind of potential for solving the problem. But somehow it just happens but we're like, that we are fighting in two different worlds (Laughs) that they're just doing the people work and we are doing this real work.

The above quotation initially claims that the communication between state level and NGOs is not enough and then moves on to claim insufficient help by the state level, which remains rather indefinite as well. To the informant this is not understandable as he regards the work of NGOs as a potential to solve the HIV/AIDS problem and thus making the NGOs to a valuable partner for the state level. In conclusion the informant claims that the

state level does not recognize the complement or interdependent character of the relationship between state level and NGOs.

The last sentence shows a feeling of separation among NGOs and state level suggesting that the different working levels do not complement each other; rather every side is focusing on its own work.

> *StateLevel21 (125/196): "NGOs are always like fighting against the government, they never see government as a partner, they always see government as an enemy who thinks out, who all the time is thinking out obstacles why the NGOs shouldn't work or can't work, but this is not the case. And it is very difficult to turn their thinking, and they always take a position, whatever the government says, this is against them. And this is quite difficult, because it's really time-consuming to make them understand that 'we are taking decisions not for you and not against you, but we are taking the decisions to move things forward'. (Laughs) (….) they [government and NGOs; a.c.] see this HIV epidemic as a common problem, but for the NGO dealing with the prostitutes is the top priority, for the government dealing with the prostitutes is far from top priority. They have a lot of other top priority things to deal with and to spend money on them, for instance families with low income, a huge amount of people living under the middle income, then disabled people, then whomever. Because this sector of prostitutes (…) first, the number is low, secondly they don't produce any kind of taxes. So they don't give to the government or to the Estonian people anything except the HIV. So this is a problem in a country with limited resources."*

Instead of "fighting in two different worlds" the above informant states that NGOs are fighting against the government not seeing the government as a partner who is moving things forward. Taking the above quotation into account the relationship between state level and NGOs is loaded with a conflict, however both quotations describe themselves as a partner to the opposite side. Both sides seem to feel misunderstood in their work on different levels rather than having a comprehensive understanding as partners do.

The informant is giving the explanation that each other's priorities strongly differ. Whereas the state level, especially the MoSA, has limited resources to spend on many diverse and competing priorities each single NGO focuses on one or few target group/s. This is also reflected by calling the NGOs implementing agencies while the responsibility of the state level primarily is the fulfilment of planning and decision-making functions.

> *StateLevel22 (153/167): "So the conflict is now the (…) let's say the new dimension is that understanding of what is needed is different, but again there is nobody else to be blamed than, let's say, the ministry and the national programme as it is our task to communicate what is needed, but we have been so busy in doing the things by ourselves and now when the, let's say, the potential partners have understood that they are expected, because everybody says that we should deal with HIV/AIDS, so they come along with their eagerness to act, but we are not satisfied with them as they (…) to our mind, they do not do or propose the things that are most needed. Again it can be (…) the change can be initiated only by our side. Because they do obviously what they think they are best at. And if we want them to do other things, then we have to train them and then we have to define properly, what we are expecting."*

The quotation provides a contrast to the two before-mentioned general ones. Although the quotation agrees on a conflict between partners the focus lies on a different understanding in terms of content of HIV/AIDS prevention meaning what is needed to be done. The

quotation claims that the potential partners have not understood what is most needed resulting in NGOs proposing the wrong activities and services. According to the quotation the proposed services and activities rather depend on the existing capability within the NGOs. That is in line with the NGOs' self-reference outlined in the chapter about horizontal cooperation. At the same time the informant recognizes that trainings have to be organized to make the NGOs capable of proposing and doing the right things. Furthermore the informant concedes that the state level has not properly defined and communicated its expectations while the NGOs are described as eager to act and not likely to initiate changes.

> *NGOLevel18 (555/556): "…because they just imagine and this imagination is totally wrong."*
(and a little way further)
> *NGOLevel19 (578/683): "… they just discussing on a very high level and it just (…) everything goes down, you know, all the information goes down from government to NGO, but they don't want to accept the information from NGO to the government. Because the NGO is like, there's like informator, you know, we are just working with people…"*

The above informant responds that the process of defining what is needed should include NGOs as they are directly working with the target groups. Otherwise the process of defining what is needed would still be based on imagination, which is different to knowledge. The informant is not questioning the state level's leading role in defining what is needed but claims that the definition of what is needed meaning what are the objectives and following services and activities of HIV/AIDS prevention should be based on mutual communication between state level and NGOs. It remains unclear whether the informant is talking about mutual communication taking place between the state level and the NGOs as a whole or every NGO separately.

> *StateLevel23 (359/375): "They (…) to my mind they* [NGOs; a.c.] *are doing it at the limit of their understanding, what is needed to be done. I mean they are not supposed, basically, they are not supposed to take very strategic viewpoint to solve problems. It is up on another level, where the prioritisation of these different, small activities, and also the judgment on what are the needs among those NGOs to do their job better. To serve better this common goal. And to create this common goal also is not task of those NGOs, but on this higher level. So very short answer to your question is that yes, I mean NGOs are doing things at their best understanding. I wouldn't blame NGOs as such, that they are not maybe (…) maybe they are not doing the things that are the most important or maybe they are not doing the things exactly the way how they should be done."*

The informant points out that the NGOs have no comprehensive understanding and refers to the different responsibilities of state level and NGOs. While the NGOs are implementing agencies the state level's task is to take a strategic viewpoint and prioritise the different activities to serve a common and comprehensive goal. According to the informant this includes also the assessment of which kind of support the NGOs need in order to upgrade them and their work. Whether or to which extent the common goal should be based on a common definition by involving the NGOs in its creation remains unclear.

At the same time the quotation indicates the essential role of management in terms of capacity building and the prioritisation and adjustment of different activities towards a common goal. We will focus on this in the next chapter, which is about leadership.

The next quotation points out positive developments regarding vertical cooperation:

> *StateLevel24 (48/55): "…before the new programme started at 2002, it was mainly this kind of methodological help to the NGOs for starting with different activities and also help to get funds from international sources or so, but now also it has been possible directly from national programme to fund some NGO activities, so this has changed, so I think that in general the network of very direct cooperation partners has increased. In this sense. So I guess the possibilities for cooperation have changed…"*

Referring to the above quotation the opportunity of the NHAPP to directly fund NGO activities increased the network of cooperation partners and enabled narrower cooperation as NHAPP activities were formerly limited to methodological help and advising NGOs. Funds are regarded as necessary to initiate cooperation, which is not limited to 'guidance'. The mentioned cooperation is channelled by a working group on IDUs under the NHAPP[56]. This working group comprises representatives of the state level and NGOs.

> *StateLevel25 (196/205): "…this working group coming together every, every month, this I think that this works really good, of course there's also always lots of discussions and sometimes emotions and so on, but it works good in this sense that we can come to common consensus on different things so maybe before it NGOs have felt that this has been more this way the programme decides something and they have to do, but now they have a more active role in saying what should be done and what should be not. Of course it's difficult, because we have just very different understanding on many things, but I think it will develop on time."*

The above quotation is drawing a positive conclusion of the working group—besides repeatedly stated different understandings the NGOs actively take part and the working group as a whole is coming to consensus; different understandings are brought together. Subsequently we want to contrast the above quotation with quotations of an NGO representative.

> *NGOLevel20 (1071/1076): "…sometimes they* [staff of the NHAPP; a.c.] *think that they know more than we do, I mean like about the needs of injection users and when we tell them that actually you are not right and actually they need this, this and this, and they know, we think, we know better, so it's sometimes a conflict, but I think it's everywhere."*
>
> *NGOLevel21 (1117/1125): "… somehow we are equal and somehow we are not. Because we have to be under their rules, you know. Because they are offering us this and we have to do what do they, you know, not want, but they say it for us, that you have to do, but sometimes we think that it's not good, and we're just arguing all the time (Laughs) And we just, we think that we have to do more, but they say they don't have enough finances for that and in this case we are not equal, you know, because we would like to do more and they don't listen for us."*

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[56] The working group was established with the beginning of March 2003.

Again the quotations confirm the different understandings between NHAPP and NGOs on what is needed to be done but at the same time qualifies it as rather general. The relationship between NHAPP and the concerned NGO is described as partly equal because the NHAPP communicates what should be done. Furthermore the quotations claim that the activities must be increased which flounders on limited resources of the NHAPP. It seems that limited resources are not accepted as the informant states they would like to do more but the NHAPP does not listen.

Once more the dividing line is marked between the state level—handling limited resources and prioritising objectives and activities; and the NGOs—representing one or a few target group/s, being very committed to their work and trying to develop it further.

6.3.4 Summary

In line with the chapter about horizontal cooperation vertical cooperation is highly influenced by orientation towards persons meaning that a good personal relationship is the basis of working towards the same goal. At the same time professional relationships basing vertical cooperation seem to be rare. However, an orientation towards persons is always selective whereas well-developed professional working relationships and structures are much more comprehensive.

Throughout the chapter different understandings between the different levels are stressed. Referring to the institutional boundaries mentioned within chapter 6.2 vertical cooperation can be characterized by "level boundaries" namely different interests, which seem to be the major reason for different understandings. The necessity to overcome different understandings is seen as the first and important step to have smooth and productive vertical cooperation.

Regarding vertical cooperation between state level and NGOs it can be said that both sides assess HIV/AIDS as a common and severe problem and perceive each other as interdependent, working on different but complementing levels. While taking a system-wide view the state level has to prioritise and adjust diverse issues and allocate limited resources to these issues whereas NGOs focus on working with one or few target group/s, are very committed to their work and try to develop it further.

Although the leading role of the state level is not questioned by the NGOs there seems to be a severe separation between both levels. This is backed up by a lack of understanding on both sides, which is related to different understandings in terms of role

allocation[57] and in terms of content. These different understandings are due to different interests and insufficient communication between both sides.

Different understandings in terms of role allocation refer to the question: who is responsible for strategic planning as well as defining the national policy of HIV/AIDS prevention whereas different understandings in terms of content refer to the questions: what will be the objectives and how can they be achieved. One NGO representative proposes that the process of strategic planning and definition should involve the NGOs and thus be based on mutuality. Referring to the definition of cooperation outlined in the introduction the common definition of objectives is an essential part of vertical cooperation. Additionally one representative of the state level confirms that the amount of communication given to the NGOs in hand with the improper definition of objectives did not facilitate an understanding on the side of the NGOs.

In practical terms we took a look at the working group on IDUs under the NHAPP. This working group offers space for mutual communication between state level and funded NGOs and thus makes it possible to come to agreements, which are primarily based on a professional relationship and structure. This is—as a step forward—standing out against past procedures. However it remains unclear whether the communication is limited to the way projects are carried out meaning the level of activities or whether it also includes the definition of objectives. Besides this, it has to be stated that the working group on IDUs is the only regular one existing even if it is dealing with one of the two major target groups[58].

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[57] Basing on the quotations we have defined role allocation as the allocation of responsibilities and the definition of institutional relationships. Following WALLER (2002: 98 pp.) responsibilities can be subdivided in 1) planning and decision-making, 2) provision of services and 3) financing.
[58] Apart from this the following non-regular working groups exist or existed: working group 'HIV/AIDS prevention campaign', working group 'youth survey' and working group 'summer activities'.

FINDINGS:

- vertical cooperation is fragmented and not comprehensive
- lack of understanding each other, particularly in terms of role allocation, while both sides regard each other as being interdependent
    - the necessity to overcome different understandings in order to have smooth and productive cooperation is widely recognized
- one positive example—standing out against past procedures—is the working group on IDUs under the NHAPP

    - Reasons:
        - orientation towards persons and a lack of professional working relationships
        - interest boundaries between state level and NGO level and their improper communication
            - state level: prioritise and adjust diverse issues and allocate limited resources to them
            - NGOs: focus on working with one or few target group/s, very committed to their work and trying to develop it further
        - lack of communication by the state level regarding the amount of communication and the insufficient definition of objectives
        - at the same time NGOs demand more mutuality namely a higher influence on strategic planning as well as the definition of objectives and contents of Estonian HIV/AIDS prevention; the leading role of the state level is acknowledged
        - cooperative behaviour of NGOs does often depend on a direct funding by the state level

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6.3.4.1 Re-embedding in the context

LAGERSPETZ / RIKMANN / RUUTSOO (2002: 85) conclude "in Estonia, as in other postsocialist countries, the Real Socialist legacy has left important traits in the political culture and in decision-making practices. Political life tends to be structured around patron-client relationships based on personal, particularist loyalties. And such structures might well hinder the emergence of a more open civil society based on universalist values. Thus an important question is: To what extent are Estonian policymakers willing to acknowledge NGOs as potential participants in designing the future aims of society? And to what extent does existing legislation and administrative practice encourage such participation? At present, many politicians and civil servants tend to treat civic activity as a disturbing factor in the rapid "transitional stage" of Estonian economic and political development." LAGERSPETZ / RIKMANN / RUUTSOO (ibid.) explicitly claim channels of participation do not exist but have to be created by the Estonian NGOs in the first place. These statements stressing on historical legacy of the previous non-democratic

authoritarian regime as well as present political culture and exclusion or rather non-participation of Estonian NGOs so far serve as our starting point for further examinations.

Regarding the lack of professional working relationships KRAUS (1998: 30) emphasizes that an "orientation towards persons can lead to neglect the fulfilment of organization and decision tasks in order to develop professional working relationships and structures"[59]. This clearly has negative implications on the existing political culture and not only on the emergence of civil society.

However, to understand present political culture we have to take a closer look at the legacy of the previous non-democratic and authoritarian regime (LINZ / STEPAN 1996: 402), which "brutally transformed the [Baltic; a.c.] polities demographically, culturally, economically, and even ecologically" (ibid.). Following this GLAEßNER (1994: 283) states that the previous communist regime did not provide people with behaviour patterns, which are characteristic for a rule through balancing of interests. Thus people could not fall back on a tradition of democracy of consensus. This legacy is seen as a fundamental obstacle for establishing a polity, which takes care of balancing of interests and protection of minorities, and a more than just formal participation of citizens.

Referring to Poland, REGULSKA (1999: 65) describes such a learning process involving local governments and NGOs. Both sides recognized "that their relationship needs to move from "protest" to "proposal"" involving principles for the provision of services by NGOs and "minimum material guarantees (finances, premises)" for them by the local governments, and in the example of Lodz this process led to a "mutual understanding and desire to cooperate" (ibid.).

According to BRINKERHOFF (2003: 107pp.) the extent of vertical cooperation can be identified by looking at two dimensions: mutuality and organization identity. A mutual relationship is a relationship that "produces equal benefits for both parties" and comprises horizontal, meaning at the same eye level, coordination and accountability as well as equality in decision-making (ibid.). Further principles are jointly agreed purpose and values, mutual trust, respect and mutual dependence entailing respective rights and responsibilities of each actor to the others (ibid.). Referring to ASHMAN (2001) horizontal accountability can be understood "as collaborative accountability where each partner recognizes the contributions of others, as well as their partners' legitimate need to be accountable for their use in the partnership" (ibid.). This also applies to state level's accountability and transparency as it has not given sufficient and proper communication.

Organization identity "generally refers to which is distinctive and enduring in a particular organization" (ibid.: 108). This includes lasting "characteristics—particularly comparative advantages", which are "a primary driver for partnerships" as they enable

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[59] Translation by the author (S.V.).

partners to access "key resources needed to reach objectives, but lacking or insufficient within one actor's individual reserves" (ibid.). BRINKERHOFF (ibid.) calls this the partnership's added value, which is the foundation of vertical cooperation and—if big enough—outweighs extra efforts required for cooperation.

Scientific literature extensively presents comparative advantages of NGOs[60] (compare UNDP 2004: 83, HIRSCH 2001: 30, BERARDO 1999: 253, NUSCHELER 1996: 503), such as expertise and knowledge, nearness to target groups and ability to deliver highly sensitive and individualized HIV-related services as well as connect people with public health authorities, ability of social mobilization etc.[61] These comparative advantages of NGOs, which are partly referring to existing state lacks of regulation and legitimation (HIRSCH 2001: 30), form the basis of demanding a higher influence of NGOs on national (and international) policies comprising the definition of (social) problems, decision-making processes and the realization of related measures (UNDP 2004: 2, 78, 83, BERARDO 1999: 253) According to the informants it is about higher influence of NGOs while the leading role of the state in national policy-making is acknowledged. This leading role of the state is supported by STEPHENSON (2002: 582): "interviewees [businessmen, public administrators, journalists; a.c.] in all three countries [Estonia, Russia, Finland; a.c.] continued to see a central role for the welfare state in the solution of social problems, and dismissed the idea of civil society institutions taking away state functions."

The "will to partner can be enhanced if mutuality is built upon mutual understanding and trust" (BRINKERHOFF 2003: 117). This can be achieved through bureaucratic governance mechanisms, which can be found in the GFP, and/or through frequent interaction among partners and the development of less formal norms of behaviour through an organization culture that expects and supports participatory approaches and mutual respect (ibid.: 118). We will focus on the latter one within the following chapter.

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[60] Major comparative advantages of the state are its monetary resources and its legislative and executive potentials (compare HIRSCH 2001: 32).

[61] Two advantages are questioned by EBRAHIM (2001: 95, referring to Edwards / Hulme 1996 and Mackintosh 1992) who adds that the "growth in NGO numbers and funding has occurred despite a lack of sufficient empirical evidence to support the assumptions that NGOs are more efficient service-providers or significant players in democratization processes".

HYPOTHESES:

1. Due to the legacy of the former non-democratic and authoritarian regime Estonia could not fall back on a tradition of rule through balancing of interests. This is evident in the orientation towards persons, the behaviour of politicians and civil servants as well as the non-existence of channels of (civil) participation. Regarding this Estonia is still undergoing a learning process and this has to be continued on the way towards a democracy of consensus.

2. The strong orientation towards persons does not only go in hand with a lack of professional working relationships but also leads to neglect the fulfilment of organization and decision tasks in order to develop professional working relationships and structures.

3. In retrospect to chapter 6.2 NGO-wide cooperation can increase the NGOs' influencing control, meaning they gain in significance regarding strategic planning and thus in defining the national policy of HIV/AIDS prevention.

4. Mutual cooperation between state level and NGOs does enable the utilization of NGOs' comparative advantages—e.g. their nearness to target groups—and thus improves the strategic planning and decision-making process of Estonian HIV/AIDS prevention.

6.4 Leadership

In this chapter we want to follow up a quotation of the previous chapter suggesting an essential role of management and especially leadership in terms of different players working towards a common goal and in terms of capacity building. Furthermore we are taking a look at structural changes, for instance the foundation of the NIHD, which have been taken and still take place within the HIV/AIDS prevention system. Thus we are focusing on three leadership challenges: working towards a common goal, capacity building and structural changes within the state level.

In the beginning we want to define and clarify the terms leadership and capacity building. Leadership is part of the construct management, which is a complex of different skills (compare KOTLER 2000). With regard to many diverse definitions of leadership[62] We understand leadership as "an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (ROST 1993: 102). This relationship is reciprocal and encompasses a purposeful process of mutual meaning making (DRATH 1998: 414). Besides this ROST (1993) points out that often there is no proper differentiation between the terms leadership and management. This seems to apply to some of the informants as well which in the result makes us use the term leadership in case an informant uses the word management but actually refers to leadership rather than management in general.

A useful definition of capacity building is provided by UNFPA (2004): "Sustainable capacity-building encompasses the building of organizational and technical abilities, behaviours, relationships and values that enable individuals, groups and organizations to enhance their performance effectively and to achieve their development objectives over time. It includes both strengthening the processes, systems and rules that shape collective and individual behaviours and performance in all development endeavours as well as people's ability and willingness to play new developmental roles and to adapt to new demands and situations". This definition clarifies the content of capacity building but does not define the responsibility for capacity building as it can be done by concerned individuals, groups and organizations themselves or by the outside. In the following chapter we focus on the state level's outside role in the capacity building of NGOs.

6.4.1 Common goal

I want to take up the orientation towards persons and separation between different levels which were mentioned in the chapter about vertical cooperation and look at whether

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[62] For instance leadership „understood as the long-term facilitation of achievement" (GOELZNET 2003).

working towards a common goal is possible and if so, which concrete role falls to leadership.

In order to work towards a common goal different understandings of different players and levels have to be brought together first. So far there is one quotation under point 6.3.3 claiming that the working group on IDUs under the NHAPP is doing so. In the following we want to take into account how other informants assess the possibility.

> *StateLevel26 (509/519):*
> *"Interviewer: Do you see an opportunity to bring priorities together or at least understanding of different priorities?*
> *Reply: This is in principle not possible, because for instance this NGO thinks the absolute priority is prostitutes, this NGO thinks that the absolute priority is injecting drug users and this NGO thinks that the absolute priority is sexual health. So (…) and this ministry or this National Institute [NIHD; a.c.] has to prioritise all those first priorities. So every, always every, somebody gets hurt."*

The above quotation takes a look at the NGOs and states that bringing together different priorities among the NGOs themselves is not possible. Inevitably someone gets hurt because his priority is lowered.

> *StateLevel27 (842/844): "…it could be said that it's good management when the cooperation with different partners is running smoothly…"*

> *NGOLevel22 (460/462): "… many things can be managed or it depends on leader how to make those things work, will there be any conflicts or everything will be smoothly solved."*

The two quotations confirm the meaningfulness of leadership—good leadership can make a difference as it positively influences the process and results of cooperation. According to the above informants leadership can bring different sides together and make things work efficiently as it minimizes frictional losses.

A more detailed picture of leadership is provided by the following quotation:

> *StateLevel28 (203/221): "…I think that leadership, in its positive and modern meaning, is something that can bring different opinions together. If there is strong vision or if this, even more if this vision is built together, then somebody takes this responsibility to carry on the implementation of this vision. And if you always (…) even with this (…) or even more during these CCM meetings, if you keep this vision kind of ahead and if you start struggling on small technical details, and then you always bring this vision back to people's eyes, so they can see that there may be different roads, but if the goal remains the same, if the goal is not harmed during this or that technical solution, then I think this is the only way to get (…) but the vision must be concrete enough. I mean it must cover the different, not just aspects, but the interests of different groups. Each group must see that this goal serves their purposes as well. Also the really (…) people working in the field, doing the practical work, must see that this is not something else's business that they are engaged in."*

The above informant explicitly claims that leadership can bring different and fragmented understandings together. The way of doing so is the creation of a strong vision. This vision as such is defined as 1) commonly created by the different players and levels of HIV/AIDS

prevention, 2) covering the different interests of different groups and 3) concrete enough to result in a strong vision integrating different interests and understandings. Consequently the vision is based on diversity and agreement but not egalitarianism.

The central meaning of the vision is to guide the HIV/AIDS prevention on every level (horizontal) and between different levels (vertical) and thus lead different institutions to work towards the same goal—the implementation of this strong and common vision. Consequently two characteristics can be identified. First, a vision does not give orders but offers guidance while different players are able to act self-responsible and second, creating a vision like this promotes system-wide exchange and mutual understanding and is not limited to certain groups or circles meaning personal relationships. Furthermore the informant stresses the practical meaning in terms of efficiency by referring to the CCM comprising of representatives from different levels and points out the necessity to continuously hold up the vision.

Although it was already mentioned by the former quotation the next quotation is giving a very clear idea of what having a strong and lively vision means.

> *StateLevel29 (179/184): "…if we want to increase dramatically the human resources, we need massive training and also not just, let's say, very practical skills, but to start with communicating with all the probable partners to get onto the same frequency. I mean to use the same language, to think adherently in small things, while having the same framework."*

Actually the quotation focuses on capacity building but the more fundamental issue is seen in coming to a mutual understanding and creating a common vision. According to the quotation having a strong vision means 'to think adherently in small things while having the same framework'. The importance of communication including all probable partners is pointed out.

Pursuing the idea of a strong vision further the question arises: how should the vision-creating process be organized in practice? Who shall take the leadership and how could this process be channelled? Referring to our data we find the following quotation:

> *StateLevel30 (250/267): "…to have a forum for HIV practicians and professionals is definitely needed. But it needs leadership, it could be as it has been set out now by the ministry. We have some cases and we have actually thought that it would be very nice if we get very strong opinion leader or public person to take the role (….) the National Institute for Health Development being a governmental agency is also possible option for this national leadership, but it must be the main job for this person, actually the only job for this person. If we take the scale of the problem. And then, if this is good person, really, with big letters, this person is able to bring together the different interests and try to melt them together into one goal and vision."*

The above quotation proposes a national forum bringing together people who are attached to HIV/AIDS issues. In conclusion the forum would comprise the different players and

levels and thus be a pool of divergent and concurrent interests. Besides this platform, which is supposed to carry out the vision-creating process, a characterization of its leadership is given. The leadership of this national forum should be tied to either the MoSA or the NIHD and the leading person is defined as a strong opinion leader able to integrate different interests and only focusing on this one assignment.

6.4.2 Capacity building

Before consulting new quotations we want to sum up relevant information given in the previous chapters. The chapter about monitoring and evaluation shows a clear and widely recognized need for capacity building in terms of management and M&E on side of the NGOs. In addition, one quotation claims that the state level has not been working out good tools and a common vocabulary but adds that improvements have been made within the last year. Regarding this, two points have to be emphasized—the planned establishment of an M&E unit within the NIHD and the carrying out of two workshops on management and M&E for the staff of the NIHD and organizations participating in the GFP; the first one in the 3rd week of 2004. However one informant of the state level points out that activities like, for instance, the two workshops are based on preconditions set by the outside while the state is not actively searching for ways to upgrade the third sector and simply regards the third sector as not ready to take over more responsibilities.

In the chapter about vertical cooperation there are two relevant statements. First, a quotation claiming that the state level has to offer training to NGOs in order to equip them with the capability needed to achieve the set objectives. Second, an NGO representative who is very generally criticizing insufficient support by the state level.

> *StateLevel31 (315): "…NGOs need anyway professional support."*

The above quotation generally claims that NGOs are dependant on professional support by the state level. The kind and purpose of the demanded support remain indefinite— professional support enabling NGOs and their individuals or professional support substituting insufficient capacities for using somebody else's capacities?

> *StateLevel32 (526/548): "…I cannot see any good solution to select between them in the real meaning of the word. What we need to select is to select what kind of assistance each of them needs and then to offer this assistance to them, so that they can be upgraded to be equal partners. We do not have enough of them to just to lean back and wait the best to come to us. They are all (…) they have all their weaknesses and (...) as I see it, we need to improve their weaknesses. And I also know that there are again very practical tools how to do that, there is also money available for that, again I know that international opportunities can be used for that. It is just about kind of putting it into the framework and trying to put it on the time scales, well, so that the activities for some logical order."*

According to the above informant the state level has to identify the NGOs' needs in terms of capacity building and offer appropriate assistance in order to upgrade them. Explicitly it is about increasing their abilities and thus enabling them to stand on their own feet and not being dependent on somebody else's abilities. Referring to NHAPP's half year and third quarter report of 2003 (NIHD 2003) there were three trainings: one for the NGO "Convictus", which consisted in visiting the NGO "You are not alone" and receiving technical training on providing needle exchange services, and two for counsellors of needle exchange sites. The trainings were mainly focusing on building technical abilities meaning the proper provision of services related to HIV/AIDS prevention.

The mentioned assistance does not necessarily have to be directly provided by the state level. The state level is rather seen as controlling the capacity building meaning that it acts as a mediator among NGOs on one side and (international) funds as well as tools to build capacities on the other side. Referring to the quotation this has to be based on a framework including timelines.

Additionally the informant points out that capacity building can make the NGOs to become equal partners of the state level. This also suggests a possible change in role allocation between state level and NGOs in the way that more responsibilities are handed over to then competent NGOs.

6.4.3 Structural changes within the state level

Apart from the state level's role in building the capacities of others it is also building its own capacities to increase the overall achievements in HIV/AIDS prevention. An important and recent example is the foundation of the NIHD in May 2003 and thus merging "…3 separate governmental establishments under the Ministry of Social Affairs (MoSA) [IECM, CHPE and PHSTC; a.c.] that deal with bits and pieces of necessary tasks…" (AAVIKSOO 2002: 1) in order to "…enhance efforts to improve health and welfare on an evidence-based manner" (ibid.).

The foundation of the NIHD is in line with the criticism made by DONOGHOE et al. (2003: 23) who demand "…improving leadership and making structural changes that will create synergy and mobilize already existing resources." Furthermore it is stated "Structural changes as required in the HIV/AIDS programme [for instance to overcome the disperse structure between CHEP and APC by then; a.c.] and the public health sector in Estonia only create efficiency and sustainability if there are sufficient means to effect the change and if the people working in the structure understand them and support them. … It requires strong and visible leadership, as well as a broad consensus between those providing resources, those who are acquiring new tasks and resources, and those giving up tasks and resources" (ibid.: 24-25). Following this quotation we want to take a look at how

the structural changes are experienced and pursue the demand for strong and visible leadership further.

> *NGOLevel23 (787/806): "Well I think, it's (…) if all this what has planned up to now, the Global Fund and all those structures, health institute [NIHD; a.c.] with all its sub-units, and if it all will start to work (….) So I think [in; a.c.] future it will be very much on knowledge based and democratic structure, which will manage the resources in best way. (….) if all this will be more knowledge-based, so we will know exactly, that we will give money and it goes to right place. And it's really good. So I think it will be the best and will be very successful. But at the moment it's kind of (…) there are already some structures on the place and ideas, but it's still like formation or just fixing up some rules."*

The above quotation by an NGO representative insistently supports the structural changes and hopes for a successful future characterized by a knowledge-based decision-making and resource management. 'Democratic structure' suggests that the structural changes are associated with an additional participation and exertion of influence.

The future 'will be successful' under the condition that all planned structural changes are completed. However in the current situation the transitional stage still lasts, the structural changes are not completed. Thus a final assessment whether they brought efficiency and sustainability would not be possible.

Besides what the structural changes could bring the following quotations point out the ongoing of the transitional stage and its effects.

> *StateLevel33 (836/841): "… we cannot get the things to run, we cannot get the system work. Because it's changing all the time. During this time that the new programme has been working from the beginning of 2002, there have been changes, changes, changes. People changing, institutions changing and in this situation it is really hard to create a powerful management when you don't even know what are you going to manage tomorrow."*

> *StateLevel34 (1157/1164): "…we cannot really take the aim of the programme and start to walk towards it, but we have to struggle with very different issues all the time, according to the structure and losing people and so on, so it's taking so much time and we just (…) it is hard to get the system work. So actually, in ideal case system should be put in the place and the programme should start. And the system should work through the programme. But we are still struggling with the system and soon the second year of the programme ends."*

The above quotations suggest that structural changes continue since the beginning of the year 2002 and create a feeling of uncertainty of people working within the state level and in addition to this demand a lot of time, which cannot be used to carry out the actual work. As indicated by the collected data a big and recent factor was the long-lasting lack of clarity about the future role allocation between NHAPP and GFP which finally ended up in two separate programme secretariats[63].

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[63] And now the NIHD initiates a change from a program-based structure to institutional activities gathered under the Development Centre (see 2.1). This change does not include the GFP secretariat.

Consequently it is seen as hard to create a powerful management and get the HIV/AIDS prevention system work. According to the last quotation time is ticking away and it is not foreseeable when the transitional stage will be completed and the NHAPP can start to work properly.

In contrast to the above quotations focusing on the NHAPP as a whole the following quotation refers to an individual job:

> *StateLevel35 (86/93): "…I am very confused, what are my first of all responsibilities and my assignments. I don't (…) sometimes I am not very clear on that and I also see that also my bosses (Laughs) are not very clear on that (….) it's like always, if there are changes, then everybody (…) everything is messed up, so right now is this kind of situation. Everything is messed up."*

The quotation confirms the feeling of uncertainty of working within the state level as a result of structural changes. The person is not sure about the own responsibilities and assignments. Moreover the informant claims that this is more general as the feeling of uncertainty also applies to superior persons. In the case of the above informant the word change is negatively loaded and put on a level with a disorganized state, which reflects on leadership.

The uncertainty can also have other reasons besides structural changes as illustrated by the following quotation:

> *StateLevel36 (716/747):*
> *"Reply: …the situation is now that working plan of the programme for this year has not* [been; a.c.] *approved. This official process means that every year minister* [of Social Affairs; a.c.] *has to sign the working plan for the national programme and the budget of the national programme so it becomes official. It has not been done so far.*
> *Interviewer: For this year?*
> *Reply: Yes. And actually for last year it wasn't done too. The budget was approved and signed, but not the working plan (….) I see it as a big problem. Because as long as we don't have this officially approved document as a basis of the work, there's also always possibilities to say 'but why did you do that and why didn't you do that?' We can say yes, well, we have this working plan, but so what."*

The informant points out that the working plans of the NHAPP for 2002 and 2003, which are supposed to be approved by the MoSA, have not been approved. According to the informant the NHAPP is consequently lacking a reliable yearly basis for its work.

In the following we want to turn the attention to the before-mentioned aspect of strong and visible leadership, which is seen as needed to make people working in the structure understand structural changes and support them.

> *StateLevel37 (933/955): "Then at the level of the institute* [NIHD; a.c.] *the leadership is a confused issue and it started to be confused when the new programme* [NHAPP; a.c.] *started and beside the AIDS Prevention Centre the Health Education and Promotion Centre came into picture, because the*

leadership was divided. (….) Nobody really understood who should lead whom and who should manage who and today this is solved this way that the AIDS Prevention Centre doesn't exist anymore, but this kind of (…) it is still not clear who is (…) who should be the very concrete leader of the programme. It has been stated also in the WHO report for example, (….) that AIDS prevention programme should need a very concrete leader, who would always presented at the public and as a...
Interviewer: Strong and visible.
Reply: Yes, kind of symbol of the state programme. But in the moment it is hard to define who should that be, because from one point there is the programme leader, but at the same time, there's the manager of the whole institute, who is the one who's signing documents for example, the programme leader has no assignment right, a signature right. And then there is the leader of the Global Fund Programme who was at the ministry before, now she's coming to work for the institute, so this is actually confusing, who should be this strong leader."

The above quotation claims that the current leadership of the national HIV/AIDS prevention is a confused issue and began to be like that in the beginning of 2002 when the NHAPP started and a leadership division into CHPE and APC took place; hierarchy, relationships and responsibilities were unclear. This is in line with WHO report by DONOGHOE et al. stating that the "lack of overall leadership, which is mentioned in several reports and evaluations of the past, is due to this currently dispersed structure of the programme" (2003: 23). Referring to the same report the informant claims that there is no clarity about who should be the concrete and strong leader of the NHAPP or rather the whole national HIV/AIDS prevention although the initial leadership division into CHPE and APC is settled by now. Three positions are regarded as worthy of consideration—the manager of the NHAPP, the manager of the GFP recently coming into picture and the director of the NIHD.

StateLevel38 (597/612): "I don't know who is actually the A&O of the HIV/AIDS prevention. It's not clear. Because it is not the manager of the national programme [NHAPP; a.c.], because she is reporting to the director of the National Institute [NIHD; a.c.], it is certainly not the manager of the Global Fund Programme, it is, well, certainly not the deputy secretary of the health care [department within the MoSA; a.c.] and it is not the minister [of Social Affairs; a.c.] as well. (….) So I really don't know who is actually...
Interviewer: Do you see a problem in this or (…)?
Reply: Well, I think this is a common problem of the institute right now, if everything and the structure settles down by the end of the year, it becomes clear already.

The above informant is also not clear who is the leader of the national HIV/AIDS prevention and claims that this is at the moment a common problem of the NIHD, as the structure has not settled down. In conclusion the leadership that according to the WHO report should accompany the structural changes will become clear as the structure settles down.

6.4.4 Summary

Leadership is regarded as being able to create smooth and efficient cooperation. Leadership striving towards and based on a common and comprehensive vision facilitates

and controls vertical cooperation by building professional working relationships and structures as well as overcoming and integrating different interests[64]. The central meaning of the proposed system-wide vision is to guide the HIV/AIDS prevention on every level (horizontally) and between different levels (vertically) in order to lead different organizations to work towards the same goal. Thus the vision would affect horizontal cooperation as well.

The proposed vision-creating process to be led by the MoSA or NIHD is based on a national forum channelling the dialogue involving all probable partners. That way professional working relationships and structures instead of personal ones are developed. Although the vision-creating process is aiming at bringing several players in line with a common vision (SCHWEITZER 1998: 24) it is not ordered by 'the powers that be' but based upon essential cooperative elements namely personal exchange and a common definition of objectives.

Apart from the utility of this vision there is above all the question of its feasibility. So far we know that it is a leadership task indicating that the first step is a clear and public avowal by the MoSA and NIHD. Based on one quotation the person to take the leading role has to be a public person (and opinion leader), an integrative and decisive character and focused full-time on this role. Furthermore the feasibility of this vision depends on the creation of appropriate conditions to follow it and whether the strained relationship between 'common' and 'strong'[65] can be solved. To our mind creating conditions to follow the vision primarily includes the creation of space for mutual exchange and dialogue as well as the building of management and M&E capacities.

The proposed national forum of persons attached to HIV/AIDS prevention does not exist yet. The general purpose behind the forum seems to be inter-organizational exchange and dialogue. This is what the proposed round table of NGOs, the planned national AIDS conference (CCM ESTONIA 2002: 36 p.) and the national forum have in common, although they have different functions.

The need for capacity building, especially for organizational skills regarding management and M&E, as well as its importance for the system-wide goal-attainment are widely recognized and also pointed out in several official documents (compare Grant Agreement 2003, CCM ESTONIA 2002, MoSA 2002). The quotations indicate that the state level should involve itself more actively in capacity building and take the initiative beyond preconditions set by the outside. That rather means to organize capacity building by taking a mediator role than providing capacity building itself. According to one informant

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[64] Based on the given definition of capacity building the creation of a vision applies to it because a vision encompasses relationships and values. The latter one might not be so obvious but every vision is based on certain value judgements.

[65] Whereas a strong vision is rather concrete and clearly defined a common and system-wide vision, on which everybody can agree, tends to be very broad—being based on the lowest common denominator.

upgrading the third sector in general is also serving the long-term interests of the state level as it enables the NGOs to take over more responsibilities.

The structural changes within the state level to enhance efforts on an evidence-based manner are not completed—the transitional stage of nearly two years still continues. Consequently the attention and energies are partly drawn away from the actual work. At the same time the quotations show a feeling of uncertainty of people working within the state level referring to an indefinite perspective and the unclear conclusion of structural changes. Furthermore clarity about the leadership structure of HIV/AIDS prevention does not exist either; rather it is unclear due to the structural changes themselves. Taking DONOGHOE et al. (2003: 23) into account the lack of overall leadership lasts—similar to the structural changes—for about two years.

Therefore it appears doubtful whether the people working in the governmental structure could and can fully understand and support the structural changes. To our opinion a clarification of leadership in hand with a common vision and clear distribution of responsibilities provides the needed orientation and certainty.

FINDINGS (1):

1. leadership based on a strong and common vision, which could be created by a national forum, can facilitate and control vertical and horizontal cooperation

   - Reasons:
     - the establishment of a national forum develops professional working relationships and structures, and offers space to a dialogue, which is able to create mutual understanding
     - the vision itself is commonly created, concrete and covers the interests of different groups and thus functions as a commonly shared framework
   - Obstacles to be coped with:
     - creation of appropriate conditions to follow the vision
     - solution of the strained relationship between 'strong' and 'common'

2. the need for comprehensive, integrative and open forms of inter-organizational exchange and dialogue based on professional working relationships and structures is what the thought of a national forum, the round table of NGOs proposed in chapter 6.2 and the planned national AIDS conference have in common

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FINDINGS (2):

3. the state level has to take a more active role in the capacity building of NGOs working on HIV/AIDS prevention; most suitable is taking a mediator role between funds as well as contents on one side and NGOs on the other side

   o Reasons:
     - capacities of NGOs—especially skills regarding management and M&E—are weak
     - system-wide achievements are not satisfactory
     - international funds and expertise are available and can be exploited
     - in the long term NGOs become able to take over more responsibilities

4. the Estonian HIV/AIDS prevention system, particularly the state level, are in a transitional stage which overlays the actual work and does not facilitate short term achievements

   o Reasons:
     - incomplete and ongoing structural changes take away resources
     - people working in the governmental structure cannot fully understand and support structural changes
       - perspective and conclusion of structural changes are unclear
       - leadership of HIV/AIDS prevention system itself is not settled and unclear

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6.4.4.1 Re-embedding in the context

The recent UNDP report (2004: 63) widely stresses the importance of leadership and states "leadership by governments in combating HIV/AIDS is essential and their efforts should be completed by the full and active participation of civil society, the business community and the private sector." On the one hand this has implications on capacity building as it includes to "help NGOs to become better partners for state agencies" (ibid.: 2) and "identifying those activities that have a proven record for fostering leadership in NGOs and connecting them with leaders in other sectors" (ibid.). Therefore UNDP offers a "Leadership for Results Programme" (see ibid.: 97-108), which seeks to develop human resources of key leaders working in all sectors related to HIV/AIDS prevention and care.

On the other hand this requires "coordinated actions by many individuals and organizations, directed toward a common goal" (ibid.: 1). To do so it needs a different approach than "the sort of 'command and control' approaches that have traditionally shaped public policy in this region" (ibid.: 63); it needs to "build integrated visions and

actions plans that cut across sectors, and offer community and civil society representatives (especially advocates for marginalised groups) real possibilities for institutionalized inclusion and engagement" (ibid.). These thoughts are taken up by the proposed national forum. The national forum to be is suggested to involve all probable partners, offer them real possibilities for institutionalized inclusion and engagement and based on this mutuality to build an integrated vision for Estonian HIV/AIDS prevention (and care).

In examining the potential of NGO-GO sectoral panels BERARDO (1999: 260pp.) presents an idea, which is similar to a national forum. These panels "should include anyone who is interested in participating" (ibid.: 261) and are able to provide "horizontal and vertical coordination among a variety of public and private actors within a resource sector" (ibid.: 255). In this case the resource sector is HIV/AIDS prevention (and care). The panel "could begin to negotiate a common vision" (ibid.: 262); further tasks could be to define standards and procedures for NGO contracting, help formulate and provide policies and strategies to ensure fair standards and equitable service provision for NGO contractors and to address the need for greater communication (ibid.: 261). To prevent that the sectoral panel assumes a life of its own or becomes a hostile environment, equity issues need to be addressed from the beginning so that each party is perceived to gain equally from the panel (ibid.). It could be useful to refer to REGULSKA (1999: 65) and involve principles for the provision of services by NGOs and minimum material guarantees by the state, which would also help NGOs and the state to follow an integrated vision. Besides equity issues BERARDO (1999: 262) outlines further conditions crucial for the success of a sectoral panel: 1) an extremely adept and committed professional facilitator as already proposed by one informant, 2) initial steps to build trust and a safe environment, 3) to encourage everyone to air concerns and identify priorities and 4) to identify areas of mutual interest and concern.

In the summary we stressed that the general purpose behind the national forum, the proposed round table of NGOs and the planned national AIDS conference seems to be inter-organizational exchange and dialogue. BERARDO (1999: 265) looks at it in more effective terms and underscores "building communication networks serves the most essential element to strengthen regional agencies."

One argument, which was given for the state level's more active role in capacity building, is to enable NGOs to take over more responsibilities. This standpoint faces one important obstacle because—as already outlined in chapter 6.3.4.1—influential groups in Estonia "dismissed the idea of civil society institutions taking away state functions" (STEPHENSON 2002: 582). Additionally handing over responsibilities to NGOs would have to "include appropriate mechanisms to hold government accountable to its constituents" and "this will be observed in how much financial support will be consistently

available to NGOs, the degree of accountability enforced, and what measures are in place to ensure equitable distribution of services, especially in remote and potentially underserved communities" (BERARDO 1999: 257pp.).

HYPOTHESES:

1. A national forum creating a common vision can successfully facilitate and control vertical and horizontal cooperation within the Estonian HIV/AIDS prevention but to do so equity issues need to be addressed from the beginning. Furthermore attention needs to be paid to the following success criteria:
   - a clear and public avowal by the MoSA and NIHD
   - an extremely adept and committed professional facilitator
   - initial steps to build trust and a safe environment
   - to encourage everyone to air concerns and identify priorities
   - to identify areas of mutual interest and concern.

2. A mediator role in capacity building to be taken by the state level will be more efficient if the NGOs find a representative form, for instance an NGO council, to do a preparative work and support the state level. The preparative work can include the identification of capacity needs and their extents but also the identification of already existing but scattered capacities among the NGOs themselves. Thus the NGOs could offer support to each other and reply to a part of all the identified capacity needs.

3. The clarification of the unsettled leadership of Estonian HIV/AIDS prevention in hand with a clear distribution of responsibilities within the state level and the comprehensive communication and explanation of structural changes will ensure the understanding and support of people working within its structure.

4. The longer the transitional stage lasts the more likely long term achievements are delayed and the Estonian HIV epidemic continues and becomes more critical.

6.5   Global Fund Programme

The following chapter deals with the GFP and concentrates on expectations and attributions towards the upcoming programme, picked out aspects of the programme by the time of undertaking the interviews and anticipated problems or rather challenges regarding the future performance of the GFP. As already stated within the chapter on the concept of the case study reality progressed by the time of publishing this chapter[66]; meaning that some of the quotations, especially about expectations and attributions, might have proved wrong by now. A description of the GFP including its structure is presented in the chapter about the Estonian HIV/AIDS prevention system (see point 2).

6.5.1   Expectations and attributions

> *NGOLevel24 (530/533): "...this* [CCM, a.c.] *is the only body when, where people from different fields acting in HIV, they will meet and that's great and big thing in Estonia once again. And they are sitting around one table and discussing with each other at least."*

> *StateLevel39 (224/226): "So that the meetings of CCM are not just about dividing money, but sharing ideas and finding solutions to common challenges."*

The first informant regards the CCM as something positive and as a change for the better. The CCM as such is supported as it is seen as a big step forward bringing together different players of different levels related to HIV/AIDS prevention and encouraging discussions. The second informant also hopes for problem-oriented discussions and an exchange apart from financial issues in order to solve common challenges.

> *StateLevel40 (103/105): "...the CCM should be the main advocator. In the society and in the parliament and in the ministry and everywhere."*

Apart from the first two quotations focusing on the system of HIV/AIDS prevention system as such the above one is focusing on the CCM in terms of advocacy and thus referring to the outside like the public in general, the government etc. Advocacy means publicly speaking in favour of HIV/AIDS prevention and supporting HIV/AIDS prevention in its different aspects[67]. According to this the aims of advocacy related to HIV/AIDS prevention can be very wide, for instance an increase in the availability of overall

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[66] For instance the tenders in order to select the implementing organizations are brought to a conclusion already and the GFATM has started with the disbursements by now.

[67] See also the definition provided by COHEN (ADVOCACY INSTITUTE 2004): "Advocacy is pursuit of influencing outcomes - including public policy and resource allocation decisions within political, economic, and social systems and institutions - that directly affect people's lives. Advocacy consists of organized efforts and actions based on the reality of "what is." These organized actions seek to highlight critical issues that have been ignored and submerged, to influence public attitudes, and to enact and implement laws and public policies so that visions of "what should be" in a just, decent society become a reality."

monetary resources, the efficient and effective use of the funds available by sharing knowledge and resources or raising public awareness and fighting stigmatisation.

> *NGOLevel25 (139/142): "…I think, maybe somehow it's our future, that we can develop our work, because the points what they want to achieve for this money, they are quite, you know, very close to us (Laughs) that we can do this."*

In contrast to expectations and attributions regarding the HIV/AIDS prevention system as a whole the above quotation by an NGO representative takes a look at the opportunities the GFP offers to the own organization. In this sense the GFP is seen as the future, as a monetary opportunity to develop and increase own activities and services because they are in line with the priorities set by the GFP.

The following quotations present more detailed expectations focusing on how the GFP is going to work in terms of allocating funds:

> *NGOLevel26 (503/521): "…the CCM is now exactly what was missing, that years ago was missing the coordination or it was random, who got the money, who didn't got. Those who applied, those got, but perhaps some who are very shy, some small groups, they didn't apply, but now it's more public or (…) if there will be clear rules…*
> *Interviewer: Transparent*
> *Reply: Yeah, transparent, there will be clear rules and clear structure, so I think it will be good, and it helps to I guess solve some problems or the saying that somebody can't say that 'I have not treated equally' or badly or, because if those are (…) if we assume that CCM is competent and behaves in fair way, so they know what they are doing, so this will be the coordinating body, basically. Also the second very important body will be health institute [NIHD; a.c.], because it's practical management or practical decisions, all will be made in health institute, so it's (...) but it's much better than before, than it just (…) Yes, once again, and whatever are the reasons. In Estonia many things are happening because of influences, of foreign influences. And (Laughs) sometimes those things can be quite good."*

> *NGOLevel27 (259/264): "That's the Global Fund project and basically I think that majority of money in future years will be shared just within this Global Fund project. There, there can be some additional foreign money from other resources, but Estonian government fund (…) resources probably will follow the same structure…"*

The first quotation claims that the GFP including the CCM will change the way funds are allocated to implementing organizations. Whereas the past is characterized by a random and arbitrary allocation of funds the GFP stands for transparent and understandable rules guaranteeing equal and fair treatment of implementing organizations. Thus the reproach of unequal treatment is substantially prevented. Moreover the CCM is seen as the coordinating body per se and linked with the NIHD, which will realize the implementation of the GFP. The informant's statement is based on the assumption that CCM behaves in a competent and fair way. Taking a look at the reasons of establishing the CCM including its procedures the informant confirms foreign influence, meaning preconditions set by the outside but explicitly supports the GFP, its structure and rules.

The meaning of CCM, which is regarded as the coordinating body per se, becomes clearer by taking the second quotation into account. The informant expects that in future almost all monetary resources will be allocated by referring to the structure of the GFP. Consequently this thought would also include the monetary resources distributed by the NHAPP so far.

Another expectation concerning the CCM is the promotion of monitoring and evaluation, which we have focused on in the chapter about M&E already. The main points were that the Estonian experience of evaluation and thus the knowledge about effectiveness is low as well as that the need for increasing M&E and management skills is acknowledged by and included in the GFP.

6.5.2 Status quo

6.5.2.1   Work so far

> *NGOLevel28 (416/427): "…what we are doing, we are setting up some rules, and so it's, this is what is needed to* [be; a.c.] *done, and I hope it will, everything will be done, but this is just what is missing at* [the moment; a.c.]. *There are some more precise rules, because (…) at how the CCM is, will function in future and what kinds of decisions were made. (….) I think in future the role will be little bit, it will change, because the (...) health institute* [NIHD; a.c.] *will, there will be more actors – the health institute, Global Fund itself, and health institute will have some roles which had CCM before and CCM will have new roles. And that all is needed now to be fixed."*

The above quotation points out that the CCM is currently specifying rules regarding the functioning of the CCM because this needs to be done. Relating to this the rules have to reflect the final role allocation between CCM, NIHD and GFATM and thus need to be specified and concluded.

> *StateLevel41 (50/61): "Well, we are working right now on the terms of reference of the CCM, because the current terms of reference were made a year ago and it was a total different situation even with the Global Fund at that time, because nobody really knew exactly what should CCM do and the terms of reference were put together by an outside expert, so they don't apply right now, because at the time of writing the proposal and writing the terms of reference there weren't even such term as primary recipient, which is now the National Institute for Health Development, at that time there was no National Institute even (Laughs) so they really need to be amended and the roles and responsibilities between the CCM and the National Institute, they have to be very clear."*

The above informant is confirming the one before. The CCM is revising its terms of reference, as the initial ones do not apply anymore because the situation and structure have changed and become clearer. Just as the prior informant the focus is laid on the clear role allocation between the CCM and NIHD in order to increase predictability and a smooth functioning.

NGOLevel29 (278/280): "…they [the discussions are; a.c.] *more about how to organize a good work inside there and how to make rules for projects and competitions and everything…"*

In line with the two before-mentioned quotations the above quotation states that the CCM is focusing on organizing itself and working out rules for carrying out the GFP, namely criteria for the tenders to select implementing organizations.

StateLevel42 (492/526): "…it seems to me that the CCM has not really opened up yet, people don't talk much there and the real discussion often does not develop. And there are mostly the same persons who take very active discussions all the time, (….) but often it seems to me that other people don't participate in those discussions and it seems to me that maybe therefore those decisions made are not completely discussed-through decisions. So CCM has, it seems to me, quite easily accepted this suggestions that had been made to them from the Ministry of Social Affairs. (….) And in this point it has been more theoretical too, because the actual programme has not started yet, so when the real discussion issues and real programmes and so on come to the discussions then it will change."

In line with the CCM's norming stage[68] illustrated by the prior quotations this quotation confirms that the CCM has not really opened up yet—the actual programme has not started yet and the problem-oriented[69] discussions are still to come. The discussions so far are described as theoretical and having a preparatory character.

Partly due to these preparatory discussions the informant claims that a constant and limited number of persons are involved in discussions while others do not participate. Therefore the CCM has "quite easily" accepted the decisions suggested by the MoSA. The informant points out that this has an adverse effect on the quality of the decisions made.

NGOLevel30 (633/638): "…up to now it's, as it's not implemented or it's just on paper or it's kind of structure what should function in future, so it's (…) I think in principle it's okay, there is nothing wrong or anybody has not say that there is very wrong with this structure, but how it will work in reality, it will just see when the project starts, all those activities and how it's functioning."

NGOLevel31 (394/394): "Maybe it's just the beginning. I don't know what will happen next."

The two above quotations by NGO representatives confirm that the CCM is in an initial stage undergoing a norming stage. As the GFP is not implemented yet it is not possible to make statements regarding the work in reality, meaning the actual performance. Furthermore the two quotations reflect the exceptional character of the GFP going in hand with an uncertainty about how the GFP and especially the CCM will function in future.

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[68] The term is borrowed out of a model on group dynamics developed by TUCKMAN (1965). TUCKMAN differs between four stages a group goes through: forming, storming, norming and performing. Later he added a fifth stage called adjourning. We apply the understanding of norming in a limited sense meaning that the group discusses and develops its working style and procedures.
[69] Our understanding of this relatively wide term 'problem-oriented discussion' refers to—apart from financial issues meaning in terms of content—interdisciplinary discussing and finding solutions to parts or individual projects of the GFP based on knowledge and aiming at developing them further in various aspects. Additionally it could go far beyond the GFP as such and include debates on principles as for instance the national approach of HIV/AIDS Prevention and formulating policy and developing concepts for the future (compare CCM ESTONIA 2002: 49).

6.5.2.2   Discussions

In the following we want to pursue discussions and exchange within the CCM meetings further. So far there are two quotations—the first one expecting that the CCM will push the system-wide discussion between different players and levels which is seen as a big step forward (NGO level 24) and the second one suggesting that only a limited and constant number of persons are taking part in discussions during the CCM meetings (state level 42).

> *StateLevel43 (71/75): "…of course the Global Fund activities have helped a lot, because in CCM lots of NGOs and different representatives from different levels are participating. So this also has helped in the sense of information sharing and so."*

> *NGOLevel32 (57/63): "Because I think the Global Fund money, all this project, and working group, and CCM had promoted very much to cooperation and all kind of contacts between different institutions in that field at all, and it also means that (...) I think that during last one and half year, this cooperation has improved very much, so that means that people are communicating with each other…"*

The two quotations by a state level and an NGO representative confirm that the GFP, starting off with the drafting of the proposal to the GFATM, increased and increases the system-wide communication and promotes cooperation in the sense of sharing information.

However, the following quotation confirms a constant and limited number of persons taking part in the discussions during the CCM meetings. In conclusion we assume that a high amount of the mentioned communication takes place aside from the CCM meetings as such. At the same time the CCM is just in a preparatory stage and communication is likely to change as soon as the CCM enters the performing stage.

> *StateLevel44 (407/409): "…there were only more or less three people talking (….) everybody else was just looking…"*

6.5.3 Challenges

6.5.3.1   Managing the funds of GFATM in an accountable way

> *NGOLevel33 (1205/1209): "…it's a main point on CCM meetings. It's like even on the paper that the Global Fund, if we will not organize monitoring and evaluation, it means that the financial support by Global Fund will be stopped. So it's very important for them, it's the main point in all this work."*

In line with the fulfilment of preconditions set by the outside the informant confirms that M&E is a main topic on CCM meetings so far as the GFP, by the submission of reports, has to make sure that the funds received by GFATM are managed accountably. Otherwise the GFATM will take suitable steps and according to the informant might restrict the disbursements.

Taking a look in the Grant Agreement (2003: 5p.) one can see that disbursements are based on the achievement of GFP results and that using GFATM funds not in accordance with the Grant Agreement can result in a refund. Verifying the use of GFATM funds in accordance with the Grant Agreement as well as the achievement of GFP results are done by the provision of proper M&E data.

> *StateLevel45 (747/751): "…in principle we try not to take aboard a new NGO, but spread the responsibilities among the other NGOs, because most of them are dealing not with the one objective only, but with several objectives, so in that case they just have to be able to broaden, to take aboard more people to do the work."*

The above quotation confirms that in case an NGO fails to fulfil performance and M&E demands its responsibilities and activities will be distributed to the remaining NGOs. Still there seems to be a general uncertainty whether the HIV/AIDS prevention system as a whole is ready to allocate the GFTAM funds properly and whether the needed amount of NGOs exists to do so:

> *StateLevel46 (151/153): "…today we were sure that we have more money available than real organizations or people of quality to use this money appropriately."*
>
> *StateLevel47 (227/231): "…we do have all the money that we need. Now we must be wise to use this properly, because if we are not able to use this big amount of money properly, then nobody will believe us after that to get any additional resource, because we're just not able to use it."*
>
> *StateLevel48 (556/5568): "…I'm quite scared of it actually, because I have seen we are already having so many problems with those amounts that we have been giving out today, so many problems with reporting, not doing the activities we have planned the way we have planned, and not reporting on time and not reporting enough (….) and it is going to be very tough when there's so many organizations involved and so strict timelines and so strict responsibilities for reporting and (…) because the Global Fund has very clearly stated that they buy the results. And when there're no results, then the money will be cut off. So (…) and we have had problems in getting those results that we have wanted."*

The quotations indicate—taking the planned disbursements by GFTAM into account—that there is no lack of available funds; rather there is a lack of NGOs and staff able to use these funds properly. The latter quotation presents made experiences and draws a rather pessimistic picture. Those experiences refer to the actual performance and goal-attainment of the Estonian HIV/AIDS prevention system as well as to the M&E practice which is giving account of the prior one.

According to the second quotation misusing these funds will go in hand with a sharp decrease of international credibility and lead to a reduced availability of international funds. Connected with this we already mentioned the two workshops on M&E and management in the beginning of the GFP.

6.5.3.2   Advocacy and problem-oriented discussions

Under point 6.5.1 we presented different expectations and attributions to the GFP—one is that the CCM should lead the advocacy for HIV/AIDS prevention in Estonia. Besides this one informant expects that the CCM meetings are not only about the allocation of money but also about "finding solutions to common challenges".

> *StateLevel49 (362/365): "…because it* [CCM] *was formed in order to send in the proposal, because the proposal had to be sent by the CCM, not by the Ministry of Social Affairs or by the NGOs, it had to be sent in by the CCM. And therefore the CCM was formed."*

> *StateLevel50 (243/251): "…it may be that the way the rules have been set by Global Fund* [GFATM; a.c.] *may just not fit into every corner of the world, including Estonia. So as the need for creating CCM was the need to get the money, so CCM comes together to deal with the money, not to deal with the problem, because CCM was not called together to solve the problem. So that may be the (…) one of the main problems with CCM, but to have a forum for HIV practicians and professionals is definitely needed."*

The two quotations stress that the CCM was formed because the proposal to the GFATM had to be submitted by a Country Coordinating Mechanism. Regarding this the second quotation claims that the CCM is an artificial committee or rather "community" unified by successfully applying for and dealing with the money. Consequently the informant suggests that the CCM is—due to this 'inborn disease' or primary orientation—not focusing on the HIV epidemic in terms of problem-oriented discussions. As there is a need to focus on this as well and "find solutions to common challenges" the second informant proposes a national forum which we threw light on already in the chapter about leadership.

> *NGOLevel34 (421/422): "Because up to now the decisions were made, it was sharing of money and deciding what to do…"*

Taking into account that the CCM is still undergoing a norming stage it is not possible to judge by now whether the CCM will focus enough on the HIV epidemic in terms of problem-oriented discussions. Decisions and activities of CCM so far—e.g. updating the terms of reference and carrying out the tenders with the support of an expert commission— are related with the accountable management and allocation of GFATM disbursements.

> *StateLevel51 (526/533): "But then I can see this problem coming that those NGO representatives* [in the CCM] *will be also those organizations who will get the money from Global Fund and when they are at the CCM meeting, they should take (…) should consider themselves to be in a different level, not as implementer of those activities, but as the representatives who should see a bigger picture as the Global Fund proposal as the whole and as Estonia as the whole…"*

> *NGOLevel35 (428/433): "…not all members of CCM understand that they will, they must change their role, they are not anymore the representative of NGO. So they are, but they can't stand for their NGO or they are (…) just must think more generally about all this project and what is good for Estonia, not so much what is good for personally they institute* [their institution; a.c.] *or…"*

Regarding the above quotations informants from different sides expect the NGO representatives within the CCM to see the GFP as a whole and (strategically) consider what is good for Estonia. At the same time the informants fear that it will be very difficult for NGO representatives to change their role. Recalling the NGOs' self-reference and competition outlined in the chapter about horizontal cooperation it seems hard for them to think that they represent more than only their individual NGOs.

> *StateLevel52 (212/218): "…they are aim to represent the NGO they are coming from, not the NGOs on the whole. Because this is an (…) the CCM is based on the representations of the organizations, so the representative from the Ministry of Internal Affairs does not represent the government, but the Ministry of Internal Affairs. So the person coming from the AIDS Support Centre is representing the AIDS Support Centre, but not the NGOs."*

Reading the above quotation the two prior quotations confirming each other do not seem to be the unanimous opinion. Rather the above informant clearly regards the NGO representatives as such and does not expect them to take a more general or strategic viewpoint.

6.5.4 Summary

The informants present different expectations and attributions regarding the GFP including the CCM as a new type of body because of its interdisciplinary character and the participation of all levels and sectors of HIV/AIDS prevention. The expectations and attributions cover a wide range and reach from 1) the CCM as a fair and clear mechanism of allocating monetary resources, 2) advocacy, 3) discussion and finding solutions in order to stem the HIV epidemic, 4) the promotion of M&E to 5) the organizational development and growth of the own NGO.

The quotations confirm that the CCM is undergoing a norming stage and has yet not opened up. Therefore it is not possible to go beyond the initially stated expectations and attributions, and to assess the real performance of the CCM.

The norming stage comprises for instance the preparation of the tenders and the revision of terms of reference of the CCM. This goes in hand with a constant and limited number of persons taking part actively in CCM discussions. However, other informants state that the GFP promoted and promotes system-wide communication and information exchange. In conclusion it is hard to assess the aspect of promoting communication and the overall amount of communication because first, there is no information about the communication taking place aside from CCM meetings and second, the communication within the CCM meetings might change when leaving the norming stage.

Anticipating the performing stage the informants foresee two potential problems—first, the readiness of the HIV/AIDS prevention system to manage the disbursements by the GFATM accountable and second, the CCM's suitability to discuss on the HIV epidemic in terms of problem-oriented discussions and finding solutions. The major concern regarding the accountable management of the GFATM disbursements is that there are not enough NGOs of quality or rather capacities yet to fulfil the GFATM requirements and use the funds appropriately. However, the upcoming workshops on M&E and management will have a positive, but probably not sufficient influence on it.

The second anticipated problem rests on the fact that the CCM was formed in order to successfully submit the proposal to the GFATM and deal with the money and on the premise that CCM meetings should be more than the allocation of money. Naturally preparations for properly allocating the GFATM funds have priority and so far there was no indication of problem-oriented discussions and finding solutions to the HIV epidemic. Nevertheless it is our opinion that the intended amount of four CCM meetings per year will not be sufficient to do so—taking into account that the objective-specific technical taskforces (CCM ESTONIA 2002: Annex 3) are insufficiently established[70]. Consequently one informant proposes a national forum of all probable partners related to HIV/AIDS prevention, which we presented in the chapter about leadership.

Another hindrance for problem-oriented discussions to develop in future, which is likely to be connected with the CCM's predominant assignment of allocating GFTAM funds so far, is seen in the fact that NGO representatives might not consider what is needed for Estonia as a whole. In line with two informants we take the viewpoint that the NGO representatives who are members of the CCM have to take this wider view because the CCM as a national entity can involve only a limited number of NGOs in its decision-making processes.

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[70] Before the copy deadline there was one objective-specific taskforce, which met once. This taskforce focuses on the 1st objective of the GFP: "To reduce risk behaviour of adolescents and young people and to increase knowledge on HIV related issues among children and young people aged 10-24" (Grant Agreement 2003, Attachment 1 to Annex A: 1).

FINDINGS:

1. the GFP is linked to several positive attributions and expectations:
   o CCM promoting interdisciplinary and multisectoral communication
   o CCM as a fair and clear mechanism of allocating monetary resources
   o problem-oriented discussions and finding solutions to common challenges
   o CCM in terms of advocacy for Estonian HIV/AIDS prevention
   o promotion of M&E
   o organizational development and growth of participating NGOs

2. the GFP, particularly the CCM, is in a norming stage, in which only a few number of CCM members involve in the discussions taking place; consequently there are no findings on the GFP's actual performance

3. the GFP faces two challenges which are decisive for its success
   o 1. managing the funds of GFATM in an accountable way
     ▪ concern that there are not enough NGOs of quality or rather capacities yet to fulfil the GFATM requirements and use the funds appropriately
   o 2. advocacy and problem-oriented discussions
     ▪ "inborn disease": the CCM was formed in order to successfully apply for GFATM funds and not to discuss the problem of the HIV epidemic as such
     ▪ only about four CCM meetings per year
     ▪ objective-specific technical taskforces are insufficiently established
     ▪ self-reference of NGOs and the expected difficulties of NGO representatives to consider Estonia as a whole

6.5.4.1 Re-embedding in the context

According to the UNDP (2004: 77) GFATM funds and related requirements to the recipient countries "have the potential to catalyse multisectoral national responses to the epidemic." Referring to cases in India and Pakistan BRINKERHOFF (2003: 115) even claims "it is unlikely that partnership [between governments, NGOs and citizen groups; a.c.] would have been achieved without the incentives of donor funding, subsequent coercion to ensure compliance with loan agreements, and their convening power." Furthermore one can see that the GFP includes measures—such as top-down buffering and standard operating procedures[71]—that maintain organization identities and strengthen mutuality (ibid.: 114).

On the other hand REGULSKA (1999: 68pp.)—in reference to Poland—rightly objects that "the influx of foreign funding has created major problems of its own, and in

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[71] Similar to the terms of reference of CCM.

the long run may have contributed to the vulnerability of the newly emerging [NGO; a.c.] sector. Difficult issues include overdependency on foreign funding, its short-term duration, insufficiency of infrastructural funding, inadequate tailoring to local conditions and inappropriate reliance on foreign staff, and a failure of funding programs to stretch beyond larger urban areas." Although the GFP pays attention to these difficulties it is a temporary programme with a maximum duration of four years. As one informant claimed the GFP might help to build sustainable structures but this does not go in hand with the sustainability of NGOs. NGOs working on HIV/AIDS prevention will very likely face a decrease in funding once the GFP ends and this will have negative implications on their sustainability. To prevent this threat NGOs have to open alternative funding sources. Referring to the CCM's advocacy function the most sustainable route would be to substantially increase the funding share of the state level.

Taking the scale of the GFP it is no wonder that NGOs regard the GFP as a chance to develop their organization and make it grow. Concerning this non-participation resulting in no funds from the GFP would be a very serious threat. We think that this thought is part of the fear that NGO representatives might be very self-referent and do not consider what is needed for Estonia as a whole. Therefore NGO representatives might behave and discuss less "egocentric" once the tenders are completed and the pre-dominance of allocating GFATM funds decreases or vanishes.

However, there is no doubt that the NGOs have to learn and practice certain forms of representation, for instance an NGO council or platform. Not every single NGO can participate in all decision-making processes of all the different levels; an exception being the proposed national forum focusing on visioning and drawing up principles for vertical cooperation. There are several reasons for this: 1) low efficiency, 2) not combining individual strengths leaves them scattered and rather powerless, perhaps not even gaining access to certain decision-making processes and 3) the state level or others want to focus on one or few partners in the talks or might want to stick to an effective group size for the decision-making process. Besides, there is—at least on a supranational European level—a trend towards funding programmes of NGO networks which forces NGOs to build up representative structures for negotiating programmes and then receiving and allocating monetary resources among themselves (HELMICH / SMILIE 1998).

In regard to the desirable problem-oriented discussions to emerge at CCM meetings it is certainly not helpful that the manager of the GFP organizes the CCM. A conflict of interests exists as the manager of the GFP, who has responsibility for its proper implementation, at the same time organizes the CCM, which is supposed to independently monitor the implementation of the GFP. If an independent person to organize the CCM could be found, the conflict of interests does not exist anymore. In our opinion there is

even a problem beyond this conflict of interests namely that the manager of the GFP by function focuses on the implementation of the GFP and therefore is likely to pay not enough attention to problem-oriented discussions, for instance to develop the GFP further.

Nevertheless one can question whether the CCM could take over the responsibilities of the national forum proposed in the previous chapter? Both—CCM and national forum—are participatory and multisectoral. On the contrary the CCM is monitoring the implementation of the very demanding GFP, a programme which is moreover characterized by a directive role of the GFATM. Apart from these unalterable conditions the CCM is a temporary body due to the GFP's limited duration and the number of its members is limited even if it is open to visitors.

HYPOTHESES:

1. The decrease in funding once the GFP ends will endanger the sustainability of NGOs. The most sustainable route to prevent this from happening would be a substantial increase in the funding share of the state level.

2. In order to effectively participate in decision-making processes NGOs have to learn and practice certain forms of representation. Representation will make their efforts more efficient and combine their individual strengths to gain access to decision-making processes and influence them. Furthermore it comes to meet the state level, which can thus focus on a limited and reasonable amount of partners in talks.

3. The manager of the GFP is in a conflict of interests because he has responsibility for the proper implementation of the GFP and at the same time organizes the CCM, which is supposed to independently monitor this implementation. This conflict of interests endangers the emergence of problem-oriented discussions. Beyond this the manager of the GFP by function focuses on the implementation of the GFP and therefore is likely to pay not enough attention to problem-oriented discussions, for instance to develop the GFP further.

7 Conclusion

The UNDP (2004: 82) concludes "in these countries—which contain the bulk of the regions population [of PLWHA; a.c.]—the epidemic will not be defeated any time soon. It will have to be managed". This management is supported by the treatise in hand.

Any analysis of the Estonian HIV/AIDS prevention system has to acknowledge four fundamentals without being excuses. First, the Estonian NGO sector is very young and this goes especially for NGOs working on HIV/AIDS prevention, which are yet on a low level of professionalism. Second, Estonian political culture is still struggling with the legacy of the former non-democratic and authoritarian regime and the learning process towards a democracy of consensus, which is characterized by a balancing of interests, is not completed. Third, a "relatively high per-capita GDP … and political democracy can not make up for a lack of commitment to responding to the epidemic at the highest of the polity and society" (ibid.: 84). Four, the Estonian HIV/AIDS prevention system is undergoing a transitional stage taking away resources, which lasts already for two years.

To overcome this status quo for the resource sector of HIV/AIDS prevention (and care) and to stop and reverse the epidemic this treatise presents hypotheses and proposes feasible routes. Key elements are: 1) an active promotion of M&E and thus accountability by the state level, especially aiming at an intrinsic motivation of NGOs to apply M&E, 2) a mediator role of the state level in capacity building based on preparative work done by NGOs, 3) opportunities for NGOs to engage in cooperation among each other—including an NGO council—to support organizational growth and political influence, 4) to establish a national forum to control and facilitate system-wide cooperation and support the utilization of NGOs' comparative advantages, 5) a clear distribution of responsibilities within the state level and the comprehensive communication and explanation of structural changes and 6) ensuring the sustainability of NGOs working on HIV/AIDS prevention once the GFP ends by a higher funding share of the state level.

Looking forward at the future impact of the Estonian HIV/AIDS prevention it will be decisive whether state level and NGOs follow the proposals made. Therefore it is advisable to carry out a follow-up evaluation in the year 2006. This follow-up evaluation should review the situation by then and assess the success of the recommendations, as far as they were realized, as well as the developments and impact made by HIV/AIDS prevention. Points of interest are in particular the development of cooperation between state level and NGO level and whether density dependent relationships developed among NGOs working on HIV/AIDS prevention as well as their level of professionalism.

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9 Annex

9.1 Estonian HIV/AIDS prevention system

Estonian HIV/AIDS prevention system – Organigram

Estonian Government
1. Cabinet
2. Parliament
2.1. Problem Committee on HIV/AIDS and Drugs

Supranational organizations, agencies and other countries → Financing and expert advice

- **GFATM**
- UN including WHO, UNAIDS and World Bank
- EU including PHARE
- Council of the Baltic States
- USA, Finland, Germany and others countries through their embassies

Ministry of Social Affairs (MoSA)
1. Minister
1.1. Secretary General
1.1.1. Deputy Secretary General on Labour Policy
1.1.2. Deputy Secretary General on Social Policy
1.1.3. Deputy Secretary General on Health Care
1.1.3.1. Health Care Department
1.1.3.2. Health Information and Analysis Department
1.1.3.3. Public Health Department
- Head, Anneli Taal
1.1.3.3.1. Environmental Health
1.1.3.3.2. Health Services
- Chief Specialist on HIV/AIDS matters

Other Ministries
- Ministry of Internal Affairs
- Ministry of Education
- Ministry of Justice
- Ministry of Defence

Estonian Health Insurance Fund (EHIF)
- Funding small-scale projects on HIV/AIDS prevention

International NGOs (foundations, societies…) → financing, expert advice, branches
- Open Estonia Foundation (OEF)
- Family Health International (FHI)
- …

National Institute for Health Development (NIHD)
1. Director
1.1. Administration
1.2. Training and Information Centre
1.3. Science Centre
1.3.1. M&E unit
…
1.4. Development Centre
1.4.1. NHAPP-related activities
1.4.2. GFP
…

CCM
Representatives from Parliament, Ministry of Social Affairs / Justice, Internal Affairs / Defence / Education, Health Protection Inspectorate, NIHD, East-Viru County Government, West-Tallinn Central Hospital, ESPO Society, Estonian Family Planning Association, Living for Tomorrow, Anti-AIDS Association, AIDS Information and Support Centre, EGLA Arendus OÜ, WHO International, Council of the Baltic Sea States, American Embassy

Local Fund Agent (LFA) PricewaterhouseCoopers to assist the GFATM in its oversight role

National HIV/AIDS Prevention Programme 2002 – 2006 (NHAPP)

Global Fund program (GFP)

County level
- Public Health Specialists
- Prevention Committees

Implementing agencies including NGOs

9.2   Study concept

[Discussion, changes and agreement:
- Ave Talu, Katri Abel (Estonian Drug Monitoring Centre) and Ljudmilla Priimägi (Estonian Anti-AIDS Association), 05.06.2003
- Tiia Pertel (Manager of the Estonian HIV/AIDS Prevention Programme) and Aire Trummal (Co-ordinator for Monitoring und Evaluation, Estonian HIV/AIDS Prevention Programme), 09.06.2003
- Nelli Kalikova (Member of Parliament, former Head of AIDS Prevention Centre), 13.06.2003
- Heli Pallo (Chief Advisor on HIV/AIDS and Drug use, Ministry of Social Affairs), 16.06.2003
- Roger Drew (Health and Development Expert) , 17.06.2003]

Title:
"A qualitative study within the framework of the Estonian HIV/AIDS Prevention Programme 2002 – 2006: especially focusing on cooperation and capacity building. An external public health services analysis."

Objectives:
- Qualitative study regarding the objectives 7 and 8 of the application to the Global Fund to Fight AIDS, Tuberculosis and Malaria based on key stakeholders and experts

- Understand and bring together individual perceptions and experiences concerning the aspects of consensus, cooperation and capacity building as a joint reflection/evaluation

- Developing conclusions and recommendations resulting of the joint reflection/evaluation to scale up the efforts in fighting the HIV epidemic

Background:
Since 2000 Estonia is facing a frightening HIV epidemic, which is affecting the youth, especially injecting drug users. An ongoing of this epidemic and a spread into wide parts of the population through heterosexual contacts have to be prevented. In addition healthcare and support in general have to be provided to PLWHA.

The concerning activities are based on the National HIV/AIDS Prevention Programme 2002 -2006 led by the Ministry of Social Affairs. Furthermore the Institute for Health Development is establishing and the proposal to the Global Fund to Fight AIDS, Tuberculosis and Malaria has been approved.

Within the last-mentioned proposal the objectives 7[72] and 8[73] on the outcome level are crucial for a concerted action and the further development of the HIV epidemic. Up to now there is no base-line data existing for those objectives. To the author's point of view as a first step it is most valuable to study the perceptions and experiences of key stakeholders concerning capacity building, consensus and cooperation. Carrying out a qualitative study, which is offering the needed openness, subject reference and practical orientation, can do this. Based upon this a quantitative analysis can follow up.

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[72] "To increase the institutional capacity of organizations taking part in the program, now and in the future, to effectively meet the objectives and goal of this program" (p. 24).
[73] "To build consensus and cooperation amongst participating organizations so that the program can be effectively coordinated and delivered" (p. 25).

Strategies:

Mental attitude and ethical issues: supportive and integrative way of carrying out the study; anonymity of participants

1. Make structural enquiries and preparation of informal talks
   → Personal starting position and sustained theoretical approach
   Period of time: 09.06. – 04.07.2003

2. Informal talks to continue structural enquiries[74] (also institutional linkages) and to develop a question manual; Announcement and detailed explanation of the study project to key stakeholders and experts
   → Description of the starting point; precise study title, study plan, study design and question manual for the interviews
   Period of time: 07.07. – 18.07.2003 (holiday season!)

3. Pre-test (with persons who will not be involved later on) and improvement of the question manual
   → Final question manual
   Period of time: 21.07. – 25.07.2003 (holiday season!)

4. Arrangement and carrying out of the qualitative interviews on the basis of the theoretical sampling[75]
   → End: point of repletion
   Period of time: 28.07. – 19.09.2003 (holiday season!)

5. Interpretation and generation of hypotheses based on the transcribed, categorised and coded interviews; Conclusions and recommendations
   → Final report
   Period of time: 22.09. – 24.10.2003

6. Trilingual publication of the final report
   Period of time: 27.10. – 07.11.2003

7. Presentation: 12.11.2003

The mentioned periods of time are not fixed and serve as an orientation, e.g. other factors like the holiday season can influence the schedule. Additionally the date of presentation has to find common agreement.

Publication:

The final report is aiming at the Parliament, the Ministry of Social Affairs as well as other institutions and organisations identified as key stakeholders. Publication should be trilingual (English, Estonian and Russian). Furthermore an article will be published in a scientific periodical. The author will not cover costs of publication.

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[74] WALLER 2002: 98pp.
[75] Current study findings determine the interview sequence, sequence ends if point of repletion [the correct wording is 'saturation of data'; a.c.] is reached (GLASER / STRAUSS 1967)

9.3 Main issues

Capacity building, monitoring and evaluation[76]:

Financing:

- Financial sustainability, "Programmes are financially unsustainable. Funding is currently ad hoc, short-term, sporadic and inadequate."
    - o no long-term allocation of financial resources, thus long-term planning is not possible, especially allocation of next year's state funds not known
    - o project-based-policy, project duration mostly not longer than 1 year
    - o "A common reaction is to blame insufficient financial resources for the mismanagement"

Capacity building in general

- large institutional and organisational fragmentation
- Capacity building in the sense of up-to-date information and development of human resources in the way of training aimed at diverse services and interventions
    - o no knowledge management (evidence-based know how)
    - o Distribution of lessons learned to key stakeholders and private persons → **NETWORKING** (also up-to-date information)
- Depth of Capacity Building, "improving program management and M&E will involve delivering training to key staff"
    - o depth capacity building is inadequate

Monitoring & Evaluation, Evidence basing

→ One strong prejudice lying behind this is that M&E is useful without any question and has to be applied wherever possible and useful

- general demand for M&E; "Systematic project planning, monitoring and evaluation must be further strengthened: objectives are often too broad or too numerous or both to be achievable, project monitoring and evaluation not well developed → evaluation, quality assurance measures, small-scale qualitative studies that focus on a limited number of interventions, HIV social and behavioural research"
- evidence-based knowledge as part of the Programme Implementation Principles (NHAPP)
    - o "The current M&E activities are inadequate and a comprehensive M&E plan does not exist. Furthermore responsibilities for M&E are ill defined between various actors. The National plan, as well as other project documents, is not designed to facilitate M&E. Measurable outputs, outcomes or indicators are missing."
    - o no evidence-based policy making, no comprehensive approach → low sustainability in terms of content
    - o no project competition within NHAPP
- CCM as central M&E-Mechanism; responsibility for comprehensiveness
    - o no central mechanism for collecting HIV/AIDS-data → Institute for Health Development
    - o no prevention database (only administration database without means of summarizing data)
    - o no treatment-registration-database

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[76] Please note that the cross-references are removed.

- Reporting and M&E on side of the partner organizations
  - o "decentralize responsibility for delivery of activities and monitoring of process indicators to a range of organizations from different sectors."
  - o sustainability in terms of content and esteem of M&E, "Lack of supervision, monitoring and evaluation means the value of these services is not known"
  - o M&E not part of the actions plans of local governments and counties (is seen as administrative burden), only some few projects are evaluated
  - o M&E in most cases donor-led (Accountability) and not client-led
  - o low maturity of the organizations
  - o no competition and incentives regarding M&E

Communication, consensus, coordination, cooperation:

Communication
- "To achieve a common organisational goal within a job-sharing structure it needs communication between separated but on each other depending units" (vgl. WITTE 1988b)
- Inter-organisational communication is not well structured, lack of understanding and discussion of alternatives
  - o no comprehensive organisational communication, inside communication
  - o problems between ministries and local governments, confrontation upper level and field worker for the last years (different topics? finances vs. contents)
  - o low communication and low communicational structure
  - o separation of formal and informal structure and working method
  - o lack of common trust, high personal orientation (separation between private and professional roles seems to be difficult)
  - o hardening of personal relationships
- communication as condition of cooperation; concerning cooperation at least there is communication about allocation → cooperation which is fairly allocating resources
- Broad Activity, Objective 8 "linkages between CCM and senior political structures"
- Annex 3: Proposed Management Structure for Estonian Proposal to GFATM (communicational linkages between CCM, Estonian Cabinet, Ministry of Social Affairs, Program Management and between CCM Task Forces, Program Co-ordinators und Implementing Agencies)
- CCM: exchange of information and understanding in questions of program and resources

Consensus
- Broad Activity, Objective 8 "Meetings for consensus/common approaches and topical issues → National AIDS conference
- „CCM as national consensus circle"
  - o Estonia is very small, everybody has its own opinion → Individualism; contradicting setting of goals is one cooperation problem
  - o One person: people have the same thoughts??
- "strengthen the National AIDS Program through a unified management system."

Transparency
- Lack of Transparency of the Ministry of Social Affairs
- uncertainty concerning Global Fund as well as relevant committees
- organizations a vague, no clear boarders

<u>Cooperation</u>
- „Initially cooperation can be defined as an activity which is coordinated between at least two parties and which is aiming at a certain result" (Literature list nr. 11, p. 24), in addition see the definitions: (1) cooperation is necessarily aiming at a common work product, different to "interaction", "communication" and "co-evolution", thus it goes better with research of professional activity… (3)"
- Cooperation vs. non-cooperation; is more cooperation better cooperation?
- Cooperation does not exclude conflicts, e.g. specification of lack of agreement in the beginning and during cooperation; at which point does competition within cooperation stimulate the business?
- "organizations identified as key stakeholders in the program who are satisfied with the activities of the program and their involvement in it"
- "Programme Implementation Principles: Co-operation and partnership (upon arrangement of preventive activities the Ministry of Social Affairs shall co-operate with all partners competent and interested – public offices and agencies of local governments, non-governmental organisations, non-profit associations, other prevention programmes, legal and natural persons, etc.)"
- Funds are rather small, people think they have to fight against each other – fear steeling of ideas and sharing the funds
- no network of common resources, only if there is a personal relationship

<u>Coordination</u>
- „different to cooperation coordination can occur in a written way, against the will of the players and does not require a personal exchange and no common definition of objectives of the participants"
- coordination is not based on wide participation → decision are taken by a few who are not communicating them
- "The major gaps, which this program will be responding… These are the need for: …co-ordination amongst the organizations responding to the epidemic…"
    o „CCM as centre of coordination"
    o "members of the CCM and other key stakeholders expressing satisfaction with the functioning of this body"
    o lack of coordination and exchange of information among service providers result in duplicative activities

<u>Decisions</u>
- endless discussions about restructuring
- structural changes require sufficient resources as well as the understanding and support of participants, this also includes a strong and visible leadership
    o structural changes, new Health Development Institute is weak and was created without profound transformation → crisis
    o no strong leadership
- wrong decisions (closure of APC)

Other:
- [3] developing positive and supportive attitudes towards a range of people considered beneficiaries of this program
  - o Different consciousness towards PWLHA??
- "experts" have no relation to real problems

- activities are often based on European initiatives
- Government is only unwillingly spending EU grants for HIV/AIDS prevention for this purpose

9.4 Underlying definitions

Experience:

Experience can be described as "Personal knowledge derived from participation or observation…" (ROGET'S II 1995) or "…living through events and the impression on a person (…) In epistemology, a distinction is made between things known inductively, from experience, and those known deductively or theoretically, from a priori principles" (THE COLUMBIA ENCYCLOPEDIA 2003). To a certain extent experience is "conditioned by social factors affecting the social milieu or by perceptual processes themselves" (ibid.).

Consensus:

"The quality or condition of being in complete agreement or harmony" (ROGET'S II 1995) or rather the "same view to a question/idea" (WEHRMANN 1999) are defining consensus. Consensus is fundamental different to compromise that means "two or more parties with different views find common ground by making certain concessions" (WEHRMANN 1999). In this way we are studying the agreements founding cooperation and the decision-making processes within the HIV/AIDS Prevention Program.

Cooperation:

Basically cooperation can be defined as "joint work towards a common end" (ROGET'S II 1995). A more detailed definition is provided by SCHWEITZER (1998: 24): "Initially cooperation can be defined as an activity which is coordinated between at least two parties and which is aiming at a certain result … (1) cooperation is necessarily aiming at a common work product, different to "interaction", "communication" and "co-evolution", thus it goes better with research of professional activity…" Accordingly we want to find out more about how cooperation itself is defined by key stakeholders/experts and about cooperation linkages, their reasons, their intensity and their objectives as well as cooperation hindrances and conflicts. Particularly, we are interested in the kind of agreements founding cooperation.

Capacity building:

"Sustainable capacity-building encompasses the building of organizational and technical abilities, behaviours, relationships and values that enable individuals, groups and organizations to enhance their performance effectively and to achieve their development objectives over time. It includes both strengthening the processes, systems and rules that shape collective and individual behaviours and performance in all development endeavours as well as people's ability and willingness to play new developmental roles and to adapt to new demands and situations" (UNFPA 2004).

According to objective 7 of the Estonian proposal to the GFATM (CCM ESTONIA 2002: 24) the institutional capacity of participating organizations should be increased to effectively meet the objectives and the goal of the program. Regarding this we want to focus on monitoring & evaluation skills, human resource development and the ability of financial and narrative reporting.

Reflection:

"Thinking, considering. The term describes a deepened form of thinking, which generally includes backgrounds, the reasons and consequences of a fact or action in the cognitive process and in which will be compared, weighted up and assessed. Reflection is not primarily action oriented, but helps above all to gain understanding" (WEHRMANN 1999).

Coordination:

Coordination "adjust different factors or processes to each other" (WEHRMANN 1999) and „Different to cooperation coordination can occur in a written way, against the will of the players and does not require a personal exchange and no common definition of objectives of the participants" (SCHWEITZER 1998: 24). According to objective 8 of the Estonian proposal to the GFTAM (CCM ESTONIA 2002: 25) cooperation and consensus are seen as preconditions for effective coordination and realization of the program.

Monitoring & Evaluation:

Monitoring "is the routine, daily assessment of ongoing activities and progress. In contrast, evaluation is the episodic assessment of overall achievements. Monitoring looks at what is being done, whereas evaluation examines what has been achieved or what impact has been made" (UNAIDS / World Bank 2002: 3).

Monitoring & Evaluation "helps program implementers to:

• determine the extent to which the program is on track and to make any needed corrections accordingly;

• make informed decisions regarding operations management and service delivery;

• ensure the most effective and efficient use of resources; and

• evaluate the extent to which the programme/project is having or has had the desired impact" (UNAIDS 2003: 7).

"The value of M&E is realized only through the *use* of the M&E data… Collecting numbers—even the best numbers—or constructing the perfect indicators is useless unless data are reviewed and interpreted and then fed back into the decision-making process. M&E should consistently be applied to problem-solving within the ongoing programme and decision-making processes" (ibid.).

M&E or rather M&E data is closely connected with capacity building; first, it supports the review of before built capacity and second, it controls the further process of capacity building.

9.5 Interview guide for the partner organizations

- **Biographical data**
    - ▪ [Extra sheet]

- **Entry question**:
    - ▪ Which experiences have you made in the field of HIV/AIDS prevention? (Alternatively: typical working day)

- **Part 1 – Communication, consensus, coordination and cooperation**

    Communication and consensus
    - ▪ **Key question: How do you see the communication between organizations related to the HIV/AIDS Prevention?**
        - • **Differentiation! (Transparency of passed information)**
    - ▪ In which atmosphere are the different meetings held? What about discussing alternatives and alternative allocation of resources? Is the communication based on knowledge, understanding and trust?
    - ▪ Do conflicts occur?
        - • What are their reasons?
        - • Example?

    - ▪ [Only CCM members] How do you assess the CCM meetings in regard to information exchange and communication of program and resource questions?
    - ▪ [Only CCM members] To what extent is consensus achieved at CCM meetings?
    - ▪ [Only CCM members] How are you satisfied with the functioning of the CCM? Is it effective?
    - ▪ [Only CCM members] Ho do you assess the relationships of the CCM to other institutions or committees like the Estonian Cabinet, Ministries and the Program Management?

    Coordination
    - ▪ **Key question: In your opinion - does the HIV/AIDS Prevention Programme have a powerful management system (leadership)? Please, give explanation!**
    - ▪ What can you say about diversity and differences among the existing NGOs?
    - ▪ How far are you involved in coordinative questions? (Partnership)
    - ▪ Which coordination problems do you see? What about duplication?

    - ▪ [Only CCM members] Regarding coordination how strong is the CCM?

    Cooperation
    - ▪ What does cooperation mean to you?
    - ▪ **Key question: How elaborated is cooperation in Estonian HIV/AIDS prevention? (Between MoSA, NHAPP, local/regional governments and NGOs)**

- ▪ Do you think there is a lack of/enough/too much cooperation?
  - ▪ Which hindrances do you see or have you experienced?
    - • Please differentiate! ESPECIALLY COOPERATION AMONG NGOs
  - ▪ Whom do you cooperate with and why? Do conflicts exist and if so what kind of conflicts? Examples?
  - ▪ Whom do you share resources and experiences with?
  - ▪ How did you work out the goals/objectives of this cooperation?

- **Part 2 – Capacity building, Monitoring & Evaluation**

  Capacity building in general
  - ▪ **Key question: How do you assess the capacities of the Estonian HIV/AIDS Prevention? (EXPLANATION)**
  - ▪ What opportunities and means of human resource development do you and your colleagues have at disposal? Are you using them?
  - ▪ What access do you have to up-to-date-information?
  - ▪ What are the consequences on the diversity and quality of your services/activities?

  Monitoring & Evaluation, Evidence basing
  - ▪ **Key question: What do you think about M&E?**
  - ▪ How do you assess the M&E policy of the Estonian HIV/AIDS Prevention Program? Which consequences arise for you out of this?
  - ▪ How far do M&E influence the allocation of funds?
  - ▪ What do you think about project competition on M&E basis?
  - ▪ Are the responsibilities concerning M&E clearly defined?
  - ▪ In which way do you assess your ongoing activities and their progress?
  - ▪ In which way do you assess your overall achievements?
  - ▪ What objectives are you pursuing with M&E?
  - ▪ To what extent do M&E results determine your services?
  - ▪ How do you assess your reporting [narrative and financial] performance?
    - o Do you share lessons learned?
  - ▪ Which opportunities for improvement of M&E do you see for your organization and the HIV/AIDS Prevention as a whole?

  - ▪ [Only CCM members] How far is the CCM promoting M&E?

- **Part 3 – Personal questions**
  - ▪ What is your motivation working within the Estonian HIV/AIDS prevention?

- **Final Question:**
  - ▪ What ideas do you have and what challenges do you see for the future?

9.6 Informed consent form in Estonian

INFORMEERITUD NÕUSOLEKU VORM

Uuringu pealkiri: "Kvalitatiivne uuring Eesti HIV/AIDS Preventsiooni Programmist aastateks 2002-2006: rõhuasetus koostööle ja kompetentsusele. Väline rahvatervise teenuse analüüs."

Uuringu autor: Sven Voigtländer
Uuringu kaasautor: Katri Abel
Telefon: 6514 327

Sissejuhatus:
See nõusoleku vorm kirjeldab uuringu "Kvalitatiivne uuring Eesti HIV/AIDS Preventsiooni Programmist aastateks 2002-2006: rõhuasetus koostööle ja kompetentsusele. Väline rahvatervise teenuse analüüs" eesmärki ja protseduure. Uuring viiakse läbi Eestis Saksamaa West Saxony Ülikooli tervishoiu osakonna magistrandi Sven Voigtländeri ja Eesti Uimastiseire Keskuse spetsialisti Katri Abeli poolt. Intervjueeritavad värvatakse teoreetilise valimimoodustamise[77] baasil, kus antud uuringu tulemused määravad intervjuude järjestikkuse hetkeni, kus uut informatsiooni ei tule enam ja intervjueerimine lõpeb. Vaatluse all olevad teemad on konsensus, koostöö ja kompetentsus HIV/AIDSi Programmis. Intervjuude lõppedes teeme kokkuvõtte erinevatest individuaalsetest soovitustest ja kogemustest, selleks, et suurendada eelpoolmainitud konsensust, koostööd ja kompetentsust HIV epideemiaga võitlemisel.

Enne uuringus osalemise nõustumist, palun lugege see nõusoleku vorm hoolikalt läbi ja arutage iga tekkiv küsimus läbi Sven Voigtländeriga.

Uurimuse kokkuvõte:
Kui te osalete uurimuses, siis esitatakse teile intervjueerija poolt küsimusi personaalse intervjuu vormis. Küsimused baseeruvad poolstruktureeritud küsimuste juhendil ja intervjuu võtab aega ligikaudu 1 tund. Intervjueerija Sven Voigtländer esitab teile küsimusi teie kogemustest ja ootustest HIV/AIDSi Programmi kompetentsuse, koostöö ja konsensuse valdkonnas. Küsimuste juhend on valminud vastavaks uuringuks ja seda kasutatakse iga intervjueeritavaga. Enamus küsimusi on avatud küsimused, mis kujutavad endast orientatsiooni ning küsitakse vastavalt intervjuu käigule. Mõned küsimused on isiklikud. Kogu intervjuu lindistatakse. Teil on alati õigus keelduda põhjendamata küsimustele vastamast, samuti on teil igal hetkel võimalus keelduda edasisest osalemisest uuringus. Teile on antud võimalus ennast väljendada eesti ja vene keeles situatsioonides, kus te ei leia sobivat inglise keelset sõna, kuid intervjuu peamiseks keeleks on inglise keel.

Konfidentsiaalsus:
Uurimus on anonüümne ja konfidentsiaalne. Ainult anonüümne isiku number seostab teid informatsiooniga, mida te edastate ning peale Sven Voigtländeri ei puutu keegi kokku isikuandmetega. Samuti ei esine teie nimi ühelgi publikatsioonil või raportil.
Informatsioon, mida edastate presenteeritakse anonüümselt ja kodeeritud intervjueeritavaid ei ole võimalik tuvastada. Uuringu põhjal tehtav artikkel publitseeritakse teadusajakirjas.

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[77] (GLASER / STRAUSS 1967)

Eetilised küsimused:
On väga vähesed riskid, mis kaasnevad teie osalemisega uuringus. Siiski on võimalik, et intervjuus osalemisega hakkate mõtlema oma töös asjadest, mis on ebameeldivad, kuid teie hinnang ja aktiivsus on oluline meie uuringule.
Uuringus kogutud informatsiooni publitseeritakse teadusajakirjas.

Tasu:
Uurimuses osalemise eest ei maksta mingit tasu. Teie osalemine aitab meil mõista enam konsensuse, koostöö ja kompetentsuse küsimusi HIV/AIDSi Programmis ja kuidas tõhustada HIV epideemia vastu võitlemist.

Muu informatsioon:
Teie osalemine uuringus on vabatahtlik. Teil on alati võimalus uuringust loobuda ja küsida küsimusi uuringu kohta. Küsimuste ja arusaamatuste korral võite alati kontakteeruda Sven Voigtländeriga Tervise Arengu Instituudi telefonil 6514-327. Palun mõelge hoolikalt enne kui nõustute osalema selles uuringus. Te võite võtta nii palju mõtlemisaega kui teil tarvis on.

Autoriseerimine:
Mind allakirjutanut on informeeritud, et minu poolt antud infot hoitakse konfidentsiaalselt ja turvaliselt

Osaleja initsiaalid
_____
                                                    Isiku allkiri, kes annab nõusoleku
Osaleja number
_____   _____

_____
kuupäev
…………………………………………………………………………………………

Informeeritud nõusoleku vorm- uuringu pealkiri: "Kvalitatiivne uuring Eesti HIV/AIDS Preventsiooni Programmist aastateks 2002-2006: rõhuasetus koostööle ja kompetentsusele. Väline rahvatervise teenuse analüüs."

Mina, allakirjutanu , olen teadlik uuringu eesmärkidest ja annan oma nõusoleku osalemaks vabatahtlikult uuringus.

Osaleja initsiaalid
_____
                                                    Isiku allkiri, kes annab nõusoleku
Osaleja number
_____   _____

_____
kuupäev

9.7 Informed consent form in English

INFORMED CONSENT FORM

Study Title: "A qualitative study within the framework of the Estonian HIV/AIDS Prevention Programme 2002 – 2006: especially focusing on cooperation and capacity building. An external public health services analysis."
Study co-ordinators: Sven Voigtländer and Katri Abel
Telephone: +372-6514-327

Introduction:
This form describes the purpose and the procedures of the study "A qualitative study within the framework of the Estonian HIV/AIDS Prevention Programme 2002 – 2006: especially focusing on cooperation and capacity building. An external public health services analysis." The study is being conducted in Estonia. Sven Voigtländer from the Health Care Department at the University of West Saxony in Germany and Katri Abel from the Estonian Drug Monitoring Centre coordinate the study. Participants are recruited on basis of theoretical sampling[78], which means that current study findings determine the interview sequence up to the saturation of data. We want to learn more about consensus, cooperation and capacity building within the framework of the Estonian HIV/AIDS Prevention Programme by bringing together different individual perceptions and experiences. We hope the results of the study will help to develop conclusions and recommendations to scale up consensus, cooperation and capacity building in fighting the HIV epidemic.

Before agreeing to take part, please read this form carefully and discuss any questions or concerns you have with Sven Voigtländer.

Summary of research:
In taking part in the study you will be asked a series of questions based on a question manual in the form of a personal and half-structured interview with Sven Voigtländer. The anonymous interview will be carried out in English language and will take about one hour. You will be asked about your experiences and perceptions towards consensus, cooperation and capacity building within the framework of the Estonian HIV/AIDS Prevention Programme. The question manual has been developed for the study and is being applied to each of the participants. It mostly includes open-ended questions which are serving as an orientation and which are asked in accordance to the course of interview. Some of the questions are quite personal. The whole interview will be audiotaped. Please note that you may refuse to answer any question if you wish without giving a reason why and, if you wish, you may withdraw from the study at any point. In situations in which you do not know the appropriate English word there is the possibility to speak Estonian or Russian.

Confidentiality:
Your name will not be recorded anywhere on the audiotaped interview. In order to preserve your confidentiality, only an anonymous subject number will be associated with the information you provide. Apart from Sven Voigtländer no other person will have contact with personal data. Your name will not appear on any report or publication or be released to anyone.

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[78] (GLASER / STRAUSS 1967)

The information we are collecting will be compiled into a final report and quotations of your given interview will be anonymous. Furthermore an article will be published in a scientific periodical.

Ethical Issues:
There are very few risks associated with you taking part in the study. However, a possible risk is that taking part in the interview may make you think about things in your work that then upset you or make you anxious.
To avoid any unnecessary harm the study interviewees will play an active and validating role within data collection and evaluation. Throughout the whole study the authors will reflect their work and their own role they are playing.

Benefits:
Although there are no specific benefits for you taking part in the study, your participation may help us understand more consensus, cooperation and capacity building within the framework of the Estonian HIV/AIDS Prevention Programme and how to scale up the efforts in fighting the HIV epidemic.

Other Information:
Your participation in the study is entirely voluntary. Choosing not to participate at any time is entirely up to you. Please feel free to ask questions about the study at any time. You may contact Sven Voigtländer, if you have questions or complaints about the study. His telephone number at the Tervise Arengu Instituut is +372-6514-327. Please feel free to ask about anything you do not understand. Please consider this study and informed consent form carefully before you agree to participate. You can take as much time as you like to think about helping us in the study as you wish.

Authorisation:
I understand that my personal information will be kept securely and confidentially and that the study coordinator will keep my signatures below securely and confidentially.

Participant's initials   Signature of person giving consent
_____   _____

Participant number   _____
Date   _____

…………………………………………………………………………………………….......

Informed consent form – Study Title: "A qualitative study within the framework of the Estonian HIV/AIDS Prevention Programme 2002 – 2006: especially focusing on cooperation and capacity building. An external public health services analysis."

I, the undersigned, have understood the above explanation and give my consent to my voluntary participation in this research project.

Participant's initials   Signature of person giving consent
_____   _____

Participant number   _____
Date   _____

9.8   Form for field notes[79]

Notes –Interview [Nr.]:

Participant number:

Date: Start: End:

Biographical data

Age	Sex	Nationality	Years of professional experience related to Public Health	Years of professional experience in leading position

Description of informant:

Previously outlined objectives:

Place of the interview:

Present persons:

Description of the sphere/setting [including personal things]:

Non-verbal behaviour [e.g. voice shade, posture, expression, eye movements, volume, body movements, gestures]:

Content of the interview [e.g. use of key words, topics, personal points of view, precise wording or idioms that are unusual]:

Impressions of the researcher [e.g. nervousness of the interviewee at certain topics, emotional reactions on persons, incidents or objects]:

Analysis [e.g. questions of the researcher, first assumptions, tendency within the information, implying structures]:

Reflection [e.g. flow of the interview, technical problems]:

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[79] The form is shortened.

9.9 Scheme of categories

- Cooperation
    - o Cooperation among NGOs
        - ▪ Conditions and hindrances
    - o Vertical Cooperation
- County and local governments
- Development stages & historical process
    - o Institutionalising
        - ▪ Changes
        - ▪ Conflicts, reactions to governmental decisions
    - o Conflict between old and new system
- Experiences & background
- GFP
    - o CCM
    - o Role allocation NHAPP
- Leadership
    - o Style of leadership
    - o Vision
- NGOs
    - o Relationship to NHAPP and GFP
    - o NGOs of "old-system"
    - o Closeness to information
    - o Capacities, structural sustainability and accountability
        - ▪ Accountability
        - ▪ M&E, financial and reporting
            - • Understanding
        - ▪ Human Resources
            - • Skills
        - ▪ Financing
- Personal orientation & individualism
- Professional Attitude
    - o Self-determination
    - o Professional distance
    - o Motivation
    - o Vision
- State level
    - o Coordination & leadership
        - ▪ Communication
        - ▪ Vision
        - ▪ Capacity building and own capacities
    - o Role allocation between governmental and non-governmental sector

9.10 Memo form

Memo [Nr.] – [Title]; [date and time]:

[Introductory] Comment:

Author: [Acronym]

Reference:
[Interview number, quotation including line numbers]

Insights, ideas, hypotheses and discussion about the implications of codes, further/secondary thoughts etc.:

[Questions for the ongoing interview sequence should be marked bold]

9.11 Exemplary memo no. 1
Memo 9 – Cooperation; 10/09/2003 17:26[80]:

Comment:
- Memo exploring cooperation and its fundament

Author:
- S.V.

Reference:
- Interview 2:
    o (18/31) "Interviewer: And (…) how do you see the communication between the institutions and organizations related to the HIV/AIDS program?
    [Informant2]: You ask about institutions and organizations, but (…) in Estonia most of the relationship (...) relationships are based on personalities. Meaning (…) if the (…) the communication is good between certain persons, then it can be said that the (…) that the relationship is good also between the institutions that those two partners may represent. But not vice versa. Meaning that there may be institutions that basically are in a good relationship. But if persons working on a specific field do not have a good match, then this, this won't work. So Estonia is very individualistic country and, and that reflects also how (...) cooperation is build upon."

Insights, ideas, hypotheses and discussion about the implications of codes, further/secondary thoughts etc.:
- Informant claims that organizational/institutional relationships are based on personalities. Or they are working better if they are based on a personal relationship characterized by sympathy, understanding and respect **because [*name of institution*] for example cannot have non-cooperation to [*name of institution*] or [*name of institution*]? So what does good personal relationship mean?** The argument is that Estonia is a very individualistic country – an argument that was mentioned by most of the following informants as well. **So what does individualism mean?** At least it was mentioned that cooperation is highly influenced by personal orientation.
- If there is a relationship those persons are communicating with each other and that is the basis for cooperation. And (good, functioning) coordination? Whatever is the reason for this (communication: personal instead of institutional relationships) it has a big influence on cooperation and coordination? Is the preference of personal relationships something extraordinary – the same exists in other countries as well – and what extent is just human? At the same time the informant is pointing it out as something special in Estonia. Please not that the informants so far have connections to a wider international context – visits by experts, expert meetings or conferences on European or international level -, which should make them able to differ between general problems and specific Estonian problems.
- It should be further focused on the mostly mentioned individualism and its properties as a reason for bad cooperation/coordination. **Are persons so individualistic that they only match with certain persons?**

→ Hindrances and conditions of cooperation should be further focused on. **I assume that not all the conditions of cooperation have to be fulfilled in good coordination? Let's elaborate this. How is cooperation and individualism related to conflicts of goals/objectives, understanding and external incentives?** Some personal thoughts: individualism means being different or that human beings differ from each other? What is the difference about: external properties, behaviour, character, attitudes, viewpoints, desires, objectives, and fears – the concept of personality? Individuals who do not differ very much/ who have a lot in common understand each other? Do they have the same viewpoints on things and so the same objectives and goals? Persons might have the same viewpoint but they choose different ways of "solutions". This can be wiped out by communication – finding the best solution together if they can work together. Common individuals do react in a common way to external incentives and if there are a lot of different common individuals do they need different kinds of external incentives?
If one wants to be extreme one can say "everybody is an individual" but still people are going on holiday together, or to discotheques because of a certain degree of similarity and sometimes dissimilarity? One difference is that they can choose each other – a point, which is not valid for professional life. People like to work with certain persons but not all persons and so those whom they like have more space in their

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[80] This is an edited version.

professional life but only up to the limits in which they are able to decide and act independently. That means even if A doesn't like B but both of them are part in a compulsory European committee they have to meet each other and cooperate to the extent which is at least expected and demanded from them. After the meeting they can choose and probably each of them will create distance?

One will find individuality there where people can choose or think they can choose between certain actions, thoughts, commodities, and feelings …

9.12 Exemplary memo no. 2

Memo 81 – Cooperation_NGOs; 21/10/2003 11:40[81]:

Comment:
- Memo on cooperation among NGOs

Author:
- S.V.

Reference:
- Interview6:
    - (676/762): "Interviewer: Let me come back to this cooperation issue. Do you see some other hindrances besides this competition thinking and funds or, or money. You said like this (...) NGOs are not cooperating, because of, of the money and they (…) they all want to do by themselves [[Informant6: Yeah, and (…)] and survive by themselves or whatever, I, I don't know.
    [Informant6]: I think it's everywhere, actually, because competition is everywhere, even in very (Yes?) well, in well, in socialist countries, I mean where is everything but there are always competition everywhere.
    Interviewer: But what must happen, you said (...) you would like to see more cooperation. And to your mind, what should happen to, to create more cooperation, to make it more.
    [Informant6]: I think the first step maybe would to organize a round table of NGOs, for example NGOs who are working on this problem, I mean those who are working with HIV/AIDS and drug abuse but we have to, we need some round table, (…) [End of tape]
    Interviewer: Okay, a round table of NGOs.
    [Informant6]: Yeah, a round table. So it's a (…) but I'm just afraid that nobody would come there (Laughs). Maybe few of them. Because for example we, I cannot say that we cooperate, but we have very good (…) good relationship maybe, with [name of organization] and [name of organization] and (…) the others, they are just so cold (Yes?) outside. (….) I know that if somebody would come and ask me that, that for example, I would like to be a volunteer in the organization, and I say of course, and I can recommend, that I know that they are doing a good work (….) We are trying, both of them, of us, are trying to help each other (Yes?) We are from Tallinn and they are from Narva. But it's, I think we have to do more. Other we'll never have progress. We have to, to cooperate a lot.
    Interviewer: And of what kind of cooperation do you think of?
    [Informant6]: It could be. (…) For example just (…) that if my imagination now working, just for example our volunteers can go to, to Narva, for example, and from Narva they can come here and just we can work together, because they have some things what they can do better than we do and we have something what they don't, they, that we do better, so it's like very (…) We had just to sit down together and decide that everybody will tell what they can do, and I think oh, I would like to do the same, can you teach me, and it's more like educational level, but nobody wants to, to give his, you know, (...) this potential where information and everything, because they are afraid, everybody are afraid."

Insights, ideas, hypotheses and discussion about the implications of codes, further/secondary thoughts etc.:
- According to informant6 **NGOs, which do not cooperate and want to do all by themselves exist everywhere (general phenomenon) because competition exists everywhere**. As other informants (e.g. 3,4) too informant6 has a **supportive attitude towards (her vision of) cooperation** ("we have to do more").
    - **Consequences**:
        - **Cooperation in a narrower sense does not exist** (see other memos) even not sharing of information while (selective) **cooperation in a wider sense** (good relationship) exists. NGOs towards which no (special) friendship exists are described as "cold outside" (?). → "But it's, I think we have to do more. Other **we'll never have progress**. We have to, to cooperate a lot." **Waste of potential.**
        - The example for cooperation in a wider sense given by informant6 is about two or more NGOs which help and recommend each other (concrete: to potential volunteers)

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[81] This is an edited and abridged version.

while they are situated a long way away from each other (Tallinn, Narva) → there is no danger (or only a slight one) of competing for the same resources.

- o **Reasons**:
  - ▪ Competition (even defamation) making **NGOs afraid to offer their potential**.
- o **Strategies**:
  - ▪ As a first step (informant6 thinking from step to step, step → do it → next step) initiate **round table discussion among NGOs working on HIV/AIDS and Drug abuse based on voluntary participation → Promotion of cooperation** in the way of 1) sharing experience and knowledge through working together, 2) in line with the before-mentioned point exchange of volunteers (or maybe employees in general) and 3) teach each other in the things each NGO can do best ("educational level"). Keep in my mind memo78 where informant6 is also outlining her vision of **cooperation as/based on a well-balanced/coordinated division of labour.**

It seems unworldly to think there can be no competition anymore. But maybe the way of competition has to be redefined → another foundation?
→ How can competition and cooperation be combined? (Ask [name of persons; a.c.] and German AIDS-Help for experiences and thoughts!)

9.13 Chart on implications of monitoring and evaluation practice

Implications of M&E practice based on the 4-phases management model (BROBST et al. 1997: 17pp.)
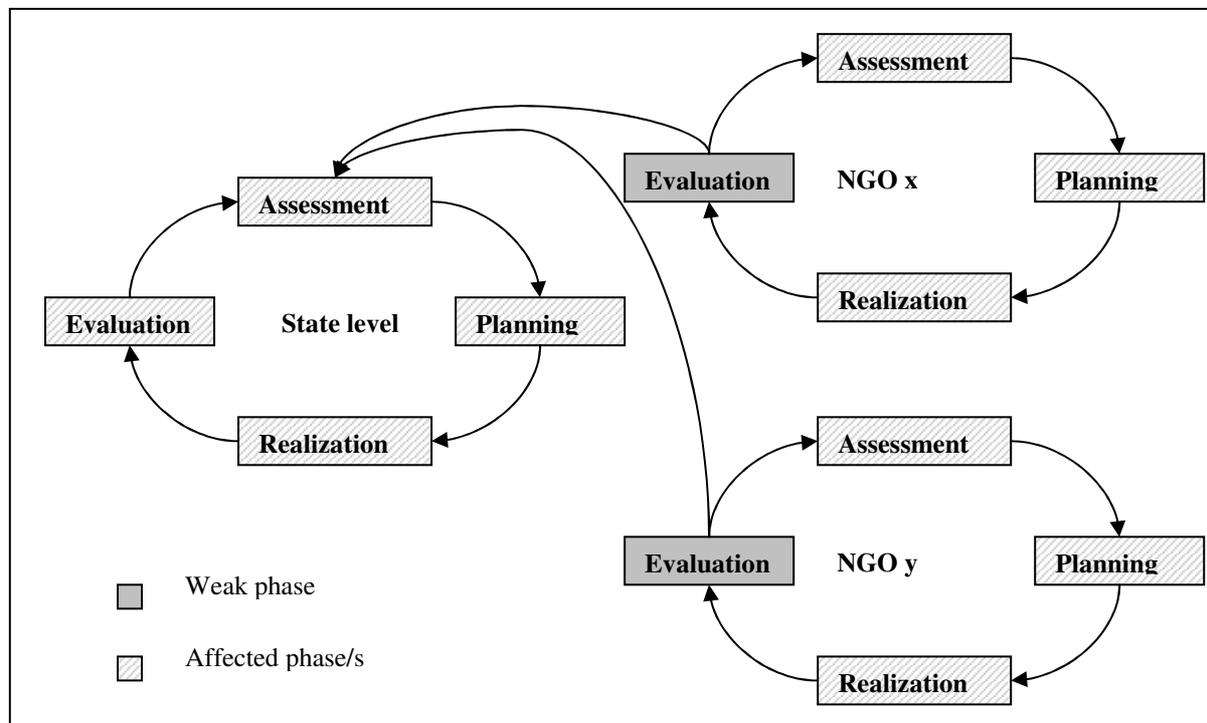
The chart illustrates the connection between the M&E practice of NGOs and the decision-making processes of them as well as the state level. Of course, M&E data provided by the NGOs is not the only source of information for the state level but it is an important one because NGOs working on HIV/AIDS prevention provide related services and thus are in contact with PLWHA and people at risk of contracting HIV.

An insufficient evaluation hinders learning and improvement and thus negatively affects all phases of the work of NGOs and additionally affects the management phases of the state level:

1. NGOs - Assessment: gathering information of low quality
2. NGOs - Planning: the set priorities, objectives and activities are not appropriate or even counterproductive
3. NGOs - Realization: insufficient activities are not very helpful in providing HIV/AIDS prevention and care which can make and impact and stem the epidemic

4. State level - Management phases: state bases the national HIV/AIDS policy, sub-policies and their funding and implementation on information of low quality
   → The HIV/AIDS epidemic continues