

MOPAN ASSESSMENT REPORT

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# The Global Fund

to Fight AIDS, Tuberculosis  
and Malaria

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PART II  
Technical and Statistical  
Annex



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2021-22

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## EXPLANATORY NOTE

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MOPAN is the only collective action mechanism that meets member countries' information needs regarding the performance of multilateral organisations (MOs). Through its institutional assessment report, MOPAN provides comprehensive, independent, and credible performance information to inform members' engagement and accountability mechanisms.

MOPAN's assessment reports tell the story of the multilateral organisation (MO) and its performance. Through detailing the major findings and conclusions of the assessment, alongside the MO's performance journey, strengths, and areas for improvement, the reports support members' decision-making regarding MOs and the wider multilateral system.

MOPAN assessment reports are composed of two parts: the Analysis Summary and the Technical and Statistical Annex. This is Part II: Technical and Statistical Annex of the Global Fund Assessment (2022). It contains the detailed underlying analysis of each score, the list of supporting evidence documents, as well as the summarised results of the external partner survey that fed into this assessment.

For the Analysis Summary of the MOPAN Assessment of the Global Fund, including organisational context, key findings and the assessment methodology and process, refer to Part I.

This document is published under the responsibility of the Multilateral Organisation Performance Assessment Network (MOPAN). MOPAN is an independent body that is governed by a Steering Committee composed of representatives of all its member countries and served by a permanent Secretariat. The Secretariat is hosted at the Organisation for Economic Co-operation and Development (OECD) and is bound by its administrative rules and procedures. It is independent in terms of financing and the content and implementation of its work programme.

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## ABBREVIATIONS AND ACRONYMS

<b>A2F</b>	Access to Funding	<b>NGO</b>	Non-governmental organisation
<b>ACT-A</b>	The Access to COVID-19 Tools Accelerator	<b>NSP</b>	National Strategic Plan
<b>AFC</b>	Audit and Finance Committee	<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>AFD</b>	Annual funding decision	<b>OIG</b>	Office of the Inspector General
<b>AGYW</b>	Adolescent girls and young women	<b>OPEX</b>	Operating expenditures
<b>AIP</b>	Annual Implementation Plan	<b>OPM</b>	Operational Policy Manual
<b>AMA</b>	Agreed management action	<b>P&amp;A</b>	Performance and accountability
<b>C19RM</b>	COVID-19 Response Mechanism	<b>PCE</b>	Prospective Country Evaluation
<b>CCM</b>	Country Coordinating Mechanism	<b>PCFC</b>	Policy to Combat Fraud and Corruption
<b>COE</b>	Challenging operating environment	<b>PEPFAR</b>	President's Emergency Plan for AIDS Relief
<b>CRG</b>	Community, Rights, and Gender	<b>PPR</b>	Pandemic Preparedness and Response
<b>DoA</b>	Delegation of authority	<b>PR</b>	Principal Recipient
<b>ERM</b>	Enterprise Risk Management	<b>PSEAH</b>	Prevention of sexual exploitation, abuse, and harassment
<b>ESCC</b>	Environmental sustainability and climate change	<b>PU/DR</b>	Progress Update / Disbursement Request
<b>GAC</b>	Grants Approval Committee	<b>RSSH</b>	Resilient and sustainable systems for health
<b>GAVI</b>	The Vaccine Alliance	<b>SDG</b>	Sustainable Development Goals
<b>GMD</b>	Grant Management Division	<b>SEA</b>	Sexual exploitation, and abuse
<b>GOS</b>	Grant Operating System	<b>SEAH</b>	Sexual exploitation, abuse, and harassment
<b>HRG</b>	Human rights and gender	<b>SI</b>	Strategic Initiative
<b>HSS</b>	Health system strengthening	<b>SO</b>	Strategic Objective
<b>IATI</b>	International Aid Transparency Initiative	<b>SOP</b>	Standard operating procedure
<b>IRM</b>	Integrated Risk Management	<b>SPH</b>	Strategy and Policy Hub
<b>ISA</b>	International Standards on Auditing	<b>STC</b>	Sustainability, transition, and cofinancing
<b>KP</b>	Key population	<b>TB</b>	Tuberculosis
<b>KPI</b>	Key Performance Indicator	<b>TERG</b>	Technical Evaluation Reference Group
<b>KVP</b>	Key and vulnerable populations	<b>ToR</b>	Terms of reference
<b>LFA</b>	Local Fund Agent	<b>TRP</b>	Technical Review Panel
<b>M&amp;E</b>	Monitoring and evaluation	<b>UHC</b>	Universal health coverage
<b>MDB</b>	Multilateral development bank	<b>UN</b>	United Nations
<b>MEC</b>	Management Executive Committee	<b>UNAIDS</b>	Joint United Nations Programme on HIV and AIDS
<b>MECA</b>	Monitoring and Evaluation and Country Analysis	<b>UNGA</b>	United Nations General Assembly
<b>MEL</b>	Monitoring, evaluation, and learning	<b>UNGASS</b>	United Nations General Assembly Special Session
<b>MI</b>	Micro-indicator	<b>USD</b>	United States dollar
<b>MO</b>	Multilateral organisation	<b>VfM</b>	Value for money
<b>MOPAN</b>	Multilateral Organisation Performance Assessment Network	<b>WHO</b>	World Health Organisation
<b>NFM</b>	New Funding Model		

## PART II

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# Technical and Statistical Annex

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Part II provides the background to the key findings and scores presented in the first part of the report. It starts by outlining the underlying analysis of each score by key performance indicators, micro-indicators and elements. Then, it lists the documents used as evidence for analyses and scores. Last, it summarises the results of the external partner survey that fed into the assessment.

## ANNEX A – PERFORMANCE ANALYSIS

### METHODOLOGY FOR SCORING AND RATING

The approach to scoring and rating under MOPAN 3.1 is described in the *2020 Methodology Manual* (MOPAN 2020a), which can be found MOPAN’s website.









Each of the 12 KPIs contains several MIs, which vary in number. The KPI rating is calculated by taking the average of the ratings of its constituent MIs.

#### Scoring of KPIs 1-8

The scoring of KPIs 1-8 are based upon an aggregated scoring the MIs. Each MI contains a several elements, which vary in number, that represent international good practice. Taking the average of the constituent scores per element, a score is then calculated per MI. The same logic is pursued at aggregation to the KPI level, to ensure a consistent approach. Taking the average of the constituent scores per MI, an aggregated score is then calculated per KPI.

#### Scoring of KPIs 9-12

The scoring of KPIs 9-12 is based upon a meta-analysis of evaluations and performance information, rated at the MI level and aggregated to the KPI level. For KPI 9, results against the mandate and contribution to cross-cutting results are given equal weight. KPIs 9-12 assess results achieved as assessed in evaluations and annual performance reporting from the organisations.

 <b>Highly satisfactory</b> (3.51-4.00)	 <b>High evidence confidence</b>
 <b>Satisfactory</b> (2.51-3.50)	 <b>Medium evidence confidence</b>
 <b>Unsatisfactory</b> (1.51-2.50)	 <b>Low evidence confidence</b>
 <b>Highly Unsatisfactory</b> (0.00-1.50)	
 <b>No evidence / Not applicable</b>	

#### Rating scales

Whenever scores are aggregated, rating scales are used to translate scores into ratings that summarise the assessment across KPIs and MIs. The rating scale used under MOPAN 3.1 is shown below.

A score of “N/E” means “no evidence” and indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that “no evidence” does not necessarily mean that the element is not present (which would result in a zero score). Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report). A note indicating “N/A” means that an element is considered to be “not applicable”. This usually owes to the organisation’s specific nature.

#### Changes to MOPAN’s rating system

MOPAN’s methodology is continuously evolving, and a recent notable change concerns how ratings (and their corresponding colours) were applied based on the scores at microindicator (MI) and key performance indicator (KPI) levels. Compared to the pre-2019 rating scale, the threshold for each rating has been raised to reflect the increasing demands of organisational performance in the multilateral system. The underlying scores and approach to scoring are unaffected.



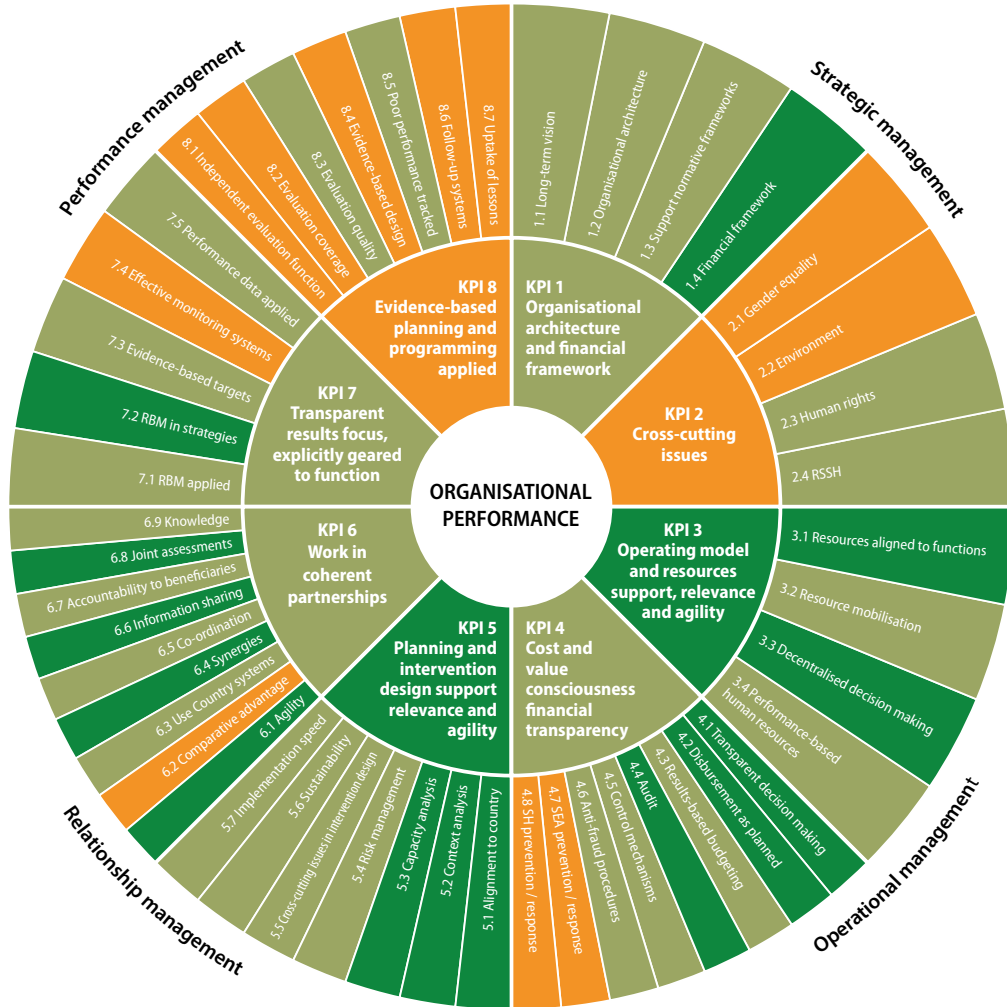
## THE GLOBAL FUND’S SCORING OVERVIEW

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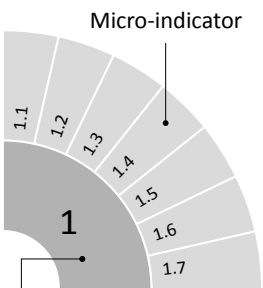
The graphic on page 6 provides a snapshot of the Global Fund’s scoring against the MOPAN framework of key performance indicators (KPIs), micro-indicators (MIs), and elements by the five performance areas (Strategic Management, Operational Management, Relationship Management, Performance Management, and Results).

The Performance rating summary indicates that the Global Fund performs particularly well in the areas of Operational Management and Relationship Management with “highly satisfactory” scores across several MIs and at the element level. It also performs well in the areas of Strategic Management and Results, although there is room for improvement at the MI level in addressing cross-cutting issues. One main area for improvement is Performance Management, due mainly to challenges in KPI 8 (Evidence-based planning and programming applied) and the need for the Global Fund to strengthen its evaluative and learning functions, with a particular focus on sharing information with external and in-country stakeholders.

THE GLOBAL FUND'S PERFORMANCE RATING SUMMARY

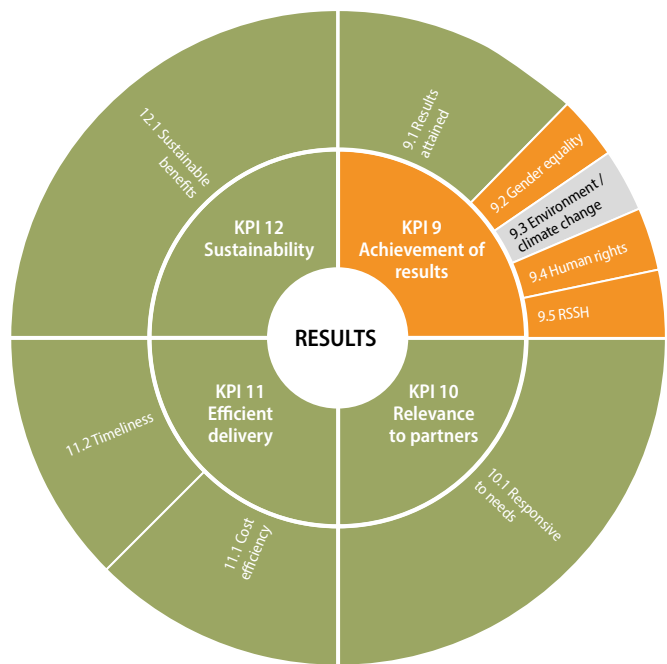


How to read these charts



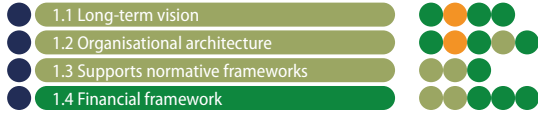
Key Performance Indicator

- **Highly satisfactory** (3.51-4.00)
- **Satisfactory** (2.51-3.50)
- **Unsatisfactory** (1.51-2.50)
- **Highly unsatisfactory** (0-1.50)
- **No evidence / Not applicable**



**Strategic management**

**KPI 1: Organisational architecture and financial framework**

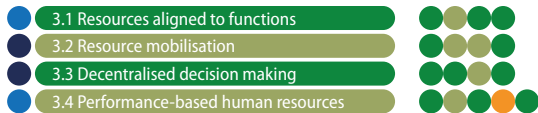


**KPI 2: Cross-cutting issues**



**Operational management**

**KPI 3: Resources support, relevance and agility**

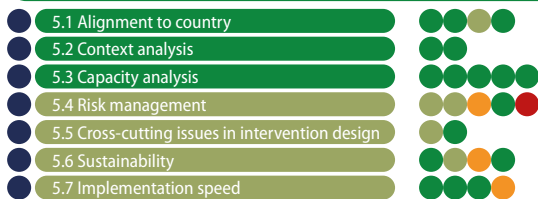


**KPI 4: Cost and value consciousness, financial transparency**

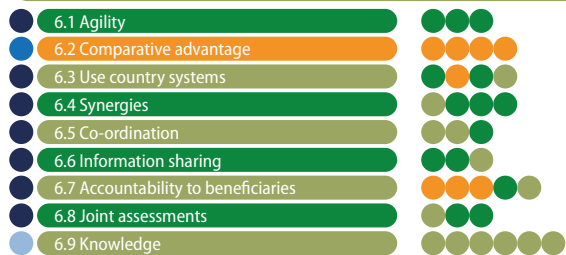


**Relationship management**

**KPI 5: Planning / intervention design support, relevance and agility**



**KPI 6: Work in coherent partnerships**



**Performance management**

**KPI 7: Transparent results focus, explicitly geared to function**

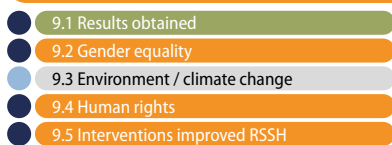


**KPI 8: Evidence-based planning and programming applied**



**Results**

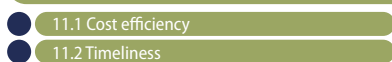
**KPI 9: Achievement of results**



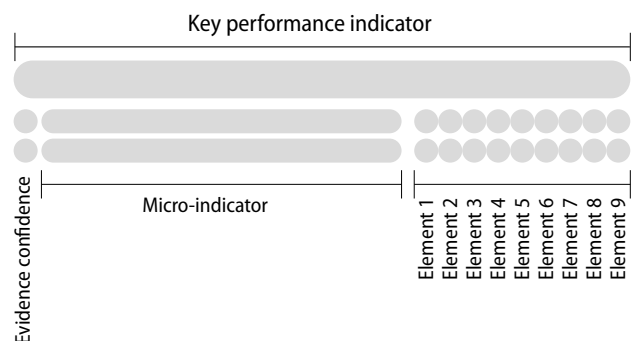
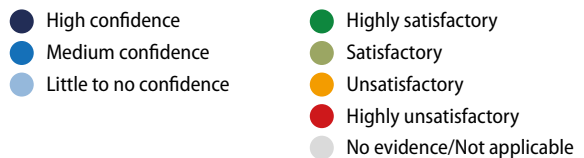
**KPI 10: Relevance to partners**



**KPI 11: Results delivered efficiently**



**KPI 12: Results are sustainable**



## PERFORMANCE ANALYSIS TABLE

This section provides the background to the scoring of individual key performance indicators across the five performance areas, by including detailed analysis and score justifications at the level of micro-indicators and elements. It also highlights the key sources of information used for analysis and scoring. For more information on the assessment methodology, please refer to Chapter 4 in Part I of the MOPAN Assessment of the Global Fund (2022).

Certain indicators have been adapted to fit the organisation's context. Any adaptations to, and interpretations of the standard methodology are underlined in the performance analysis table.

### STRATEGIC MANAGEMENT

*Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.*

<b>KPI 1. Organisational architecture and financial framework enable mandate implementation and achievement of expected results</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>3.46</b>
<p><b>The Global Fund (GF) continues to evolve its strategy and corresponding organisational architecture, and results, planning, financial and budgetary systems in order to ensure that it can deliver against its vision, mission, and objectives.</b></p> <p>This MOPAN assessment occurs during a time of notable change for the Global Fund. In November 2021, the Global Fund's Board approved the next iteration of its strategy which, while not significantly deviating from its previous mandate, does strengthen and make explicit certain principles (e.g. a people-centred approach) while also adding new areas to address (e.g. pandemic preparedness and response). Overlaying these strategic changes has also been the Global Fund's substantial response to the COVID-19 pandemic. That it has been able to respond to both these urgent needs and longer-term priorities is commendable.</p> <p>Both its current and upcoming strategies are thorough and clear in positioning the Global Fund within the also evolving global health landscape. They both have delineated the Global Fund's vision, mission, objectives and enablers to achieve its mandate. The process for developing the Global Fund's strategies ensured substantial input from a vast array of stakeholders and it is through this public review, as well as the ongoing review by its governance bodies, that the Global Fund ensures that its strategy remains relevant. While its specific comparative advantages are not distinctly articulated in any one statement or document, it is clear that it has many and that its stakeholders are aware of them.</p> <p>Its organisational architecture and operational model both broadly support the implementation of its long-term vision and provide accountability for results, though there continues to be room for improvement. Of particular concern is that some areas which have been deemed higher-level and/or cross-cutting objectives (such as human rights and gender, and resilient and sustainable systems for health [RSSH]) have been given less priority in terms of internal resourcing and that, in general, there continues to be a need to invest in staff capacity to engage with countries, specifically in understanding country contexts and having the diplomatic skills to engage with senior leadership. This has become more apparent with both the ongoing COVID-19 pandemic, as well as with the upcoming strategy and some of the new areas of focus. Of particular concern, which has been noted by other reviews, is the ability for individuals and teams to collaborate and cooperate across the organisation. Perhaps the transition period from the current strategy to the next version will also allow time to reflect on how these issues can be addressed.</p> <p>Similarly, an overarching monitoring and evaluation (M&amp;E) framework is under development which will provide a holistic overview of the Global Fund's results as part of its next strategy and strengthen its learning function. Currently, while the Global Fund clearly contributes to the greater global development agenda, specifically a number of Sustainable Development Goals (SDGs) and disease-specific objectives, the linkages to those global commitments have not yet been made distinctly evident. Given the Global Fund's significant contributions toward these overarching commitments, it is vital that this gap be remedied.</p> <p>Finally, the Global Fund's overall financial framework is, likewise, currently undergoing its own evolution. Recognising the need for a more integrated and transparent approach to planning and budgeting, the Global Fund recently instituted a new system which requires a more system-wide, holistic approach for bringing together its programming and operational expenditure</p>	

(OPEX) budgets. While the results of this new approach have yet to be evaluated, it aims to move toward optimising resources and ensuring that the Global Fund’s ability to deliver results is tied to how it allocates its internal resources. As the organisation has matured, so have its approaches and systems for assuring it achieves its mandate.

<b>MI 1.1. Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage in the context of the 2030 Sustainable Development Agenda</b> <i>Strategic plan in the context of the Global Fund refers to its strategy (applicable to elements below)</i>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.5</b>
Element 1: A publicly available strategic plan (or equivalent) contains a long-term vision	4
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	2
Element 3: The strategic plan operationalises the vision and defines intended results	4
Element 4: The strategic plan is reviewed regularly to ensure continued relevance and attention to risks	4
<b>MI 1.1. Analysis</b>	<b>Source document</b>
<p><b>1.1.1. Both the previous (2017-22) and upcoming (2023-28) publicly available Global Fund strategies contain statements which make explicit the Global Fund’s long-term vision.</b> In its 2017-22 strategy (Global Fund terminology is “strategy” instead of “strategic plan”), the long-term vision of the Global Fund was given as follows: “a world free of the burden of AIDS, tuberculosis and malaria with better health for all”. That vision was further supported by a mission statement – “attract, leverage and invest additional resources to end the epidemics of HIV, tuberculosis and malaria and to support attainment of the Sustainable Development Goals” – along with four core objectives (Maximise Impact against HIV, TB and Malaria; Build Resilient and Sustainable Systems for Health; Promote and Protect Human Rights and Gender Equality; and, Mobilise Increased Resources), and two strategic enablers (Innovate and Differentiate along the Development Continuum and Support Mutually Accountable Partnerships). While there are some slight wording changes in the vision for the 2023-28 strategy, it was not significantly modified and is now: “a world free of the burden of AIDS, tuberculosis and malaria with better, equitable health for all”. Nearly 80% of MOPAN’s partner survey respondents either “strongly agree” or “agree” that the Global Fund Strategy demonstrates clarity of vision.</p>	
<p><b>1.1.2. While the Global Fund, according to key informants, certainly has a number of comparative advantages, they were not explicitly articulated in previous strategic documents, and staff also had varying opinions of what the Fund’s comparative advantages were. More recent strategy documents have made its comparative advantages clearer.</b> A thorough review of previous strategic documents and partnership agreements found little evidence of a clear articulation of the Global Fund’s comparative advantages; though, there were several references to it having such advantages and undertaking a leadership role in those areas. Similarly, nearly 75% of survey respondents either “strongly agree” or “agree” that the Global Fund’s current strategy demonstrates a good understanding of its comparative advantages. Feedback during the Partnership Forum for the Development of the New Strategy (2023-28) included this follow-up action: articulate the Global Fund’s comparative advantages, strengths, and core principles.</p>	1, 65, 90, 100, 133, 140, 147, 191
<p>The documentation which was developed in support of the upcoming strategy (2023-28) and the new strategy itself do make a number of references to the Global Fund’s comparative advantages. These include:</p> <ul style="list-style-type: none"> <li>the ability to substantially finance and support RSSH investments that deliver the Global Fund’s HIV, TB, and malaria (HTM) goals;</li> </ul>	

- the use of integrated, people-centred investments with community systems strengthening (CSS) playing a strong role;
- investments in areas such as CSS, data generation and use, procurement and supply chains, including market shaping, and diagnostic and laboratory networks to support case management and disease surveillance; and,
- the ability to invest in and strengthen community systems capacity.

Responses from staff, when asked to articulate the Global Fund's comparative advantage, were varied. Responses included: 1) It builds on previous lessons learned from other development organisations. 2) It is results-focused. 3) It is inclusive, involving a wide range of stakeholders, such as local communities. 4) It has equalised power relationships between stakeholders through its partnership model. 5) It is committed to transparency. 6) Its grants give it depth and breadth of reach. 7) It is flexible, innovative, and adaptive. As one key informant noted, "everyone comes at it from a different perspective".

**1.1.3. The Global Fund in its previous strategy (2017-22) clearly defined the results it aimed to achieve and provided operational guidance on achieving those same results. Results for the next strategic period are still under discussion.** The Global Fund's 2017-22 strategy defined intended results at several levels. First, noting the global plans and impact and service delivery targets for the three diseases; then several high-level Global Fund KPIs which will define its contribution. Finally, it notes the (26) global targets and milestones from the Fast Track/UNAIDS Strategy, the End TB Strategy/Global Plan to End TB, and the Global Technical Strategy for Malaria. It states that: "Over the 2017-22 strategy period, the Global Fund will increasingly rely on its partnership model to achieve impact at country-level." The operationalisation of the strategy is based on the 2021 Operational Policy Manual (OPM) which provides guidance on topics such as: operational procedures on making, approving and signing grants; design and review of funding requests; programme and data quality; IP reconciliation and grant closure; risk management across the grant lifecycle; grant revisions; and strengthening M&E systems and data quality.

**1.1.4.** The Global Fund has several formal and informal mechanisms to regularly review its strategy and ensure its relevance and the mitigation of risks. The Global Fund regularly reviews its strategy via a full strategic review (done every two to three years) commissioned by the Technical Evaluation Reference Group (TERG). The two most recent strategic reviews were completed in 2020 and 2017. For example, Strategic Review 2020 had three main objectives, namely:

1. assess the outcomes and impact of Global Fund investments against the goals and objectives of the 2017-22 strategy at its mid-term;
2. assess operationalisation and implementation of the current strategy; and,
3. provide an evidence-informed rationale for integrating lessons learned during the first half of the 2017-22 strategy, and how to position the Global Fund within the global field of health development organisations in its post-2022 strategic cycle.

Similarly, the Charter of the Strategy Committee (2019) sets out the roles and responsibilities of the committee which meets three times yearly (in addition to extraordinary meetings). They are:

- provide oversight of the strategic direction of the Global Fund;
- ensure the optimal impact and performance of its investments in health;
- develop and review the institutional strategy of the Global Fund;
- modify Board-approved strategic funding policies and initiatives;
- enhance investment impact and value for money, taking into consideration issues such as epidemiological trends, technological developments, and market-shaping interventions;

1, 65, 90, 100, 133,  
140, 147, 191

<ul style="list-style-type: none"> <li>• monitor areas of risk that affect strategic objectives, goals and targets or other risk matters assigned by the coordinating group;</li> <li>• identify and analyse risk implications of the strategic policies and initiatives of the Global Fund, which may impact its strategic objectives and investments and the implementation of related mitigation measures.</li> </ul>	1, 65, 90, 100, 133, 140, 147, 191
<b>MI 1.1. Evidence confidence</b>	<b>High</b>
<b>MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model</b> <i>Strategic plan in the context of the Global Fund refers to its strategy (applicable to elements below).</i>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.4</b>
Element 1: The organisational architecture is congruent with the strategic plan	4
Element 2: The operating model supports implementation of the strategic plan	2
Element 3: The operating model is reviewed regularly to ensure continued relevance	4
Element 4: The operating model allows for strong co-operation across the organisation	3
Element 5: The operating model clearly delineates responsibilities for results	4
<b>MI 1.2. Analysis</b>	<b>Source document</b>
<p><b>1.2.1. The Global Fund has aligned its organisational units with the vision, mission, objectives and enablers articulated in its strategy (2017-22), although there are periodic adjustments to its internal architecture to ensure efficiency and effectiveness.</b> As noted in Element 1.1.1, the Global Fund has the overall vision of a world free of the burden of AIDS, TB and malaria with better health for all. This vision is supported by its mission of attracting, leveraging and investing additional resources in support of its vision, along with four strategic objectives and two strategic enablers. The Secretariat organisational units supporting the above vision, mission and objectives are, for example, the Board, the Donor Relations and Government Department, the Private Sector Engagement Department, the Political and Civil Society Advocacy Department, the Sourcing and Supply Operations Department, the Strategy, Impact and Investment Division (which encompasses the Strategic Information Department, Health Finance Department, Community Rights and Gender Department, Technical Advice and Partnership Department, and Access to Funding Department), the Grant Management Division, the Risk Department, along with several supporting financial and administrative divisions and departments (e.g. Finance and Administrative Division, Legal and Governance Department, Human Resources Department).</p> <p><b>1.2.2. While the operating model is structured to support implementation of the Global Fund’s strategy, feedback on its effectiveness from both the Strategic Review 2020 and staff is mixed, although the Fund’s partners paint a more positive picture.</b> The Global Fund’s overall operating model is comprised of several stakeholder groups involved in supporting the implementation of the Global Fund’s Strategy. This would include for example, the Board, Country Coordinating Mechanisms (CCMs), the Global Fund Secretariat, Local Fund Agents (LFAs), the Office of the Inspector General (OIG), the TERG, the Technical Review Panel (TRP), Principal Recipients (implementing partners), and technical and development partners among others. Specific to the immediate and, mostly internal, structure, the organisation is broadly classified into four categories:</p> <ol style="list-style-type: none"> <li>1. Governance and Oversight (e.g., Board, OIG);</li> <li>2. Office of the Executive Director (including the Strategy and Policy Hub);</li> </ol>	1, 74, 75, 81, 100, 133, 147, 167, 190

3. four divisions (External Relations and Communication, Finance and Administration, Grant Management, and Strategy, Investment, and Impact); and,
4. several departments (e.g. Ethics, Human Resources, regional teams, Grant Portfolio Solutions, Community Rights and Gender, Access to Funding) which either report directly to the Board, Office of the Executive Director, or a division.

In the MOPAN partner survey, approximately 60% of respondents either “strongly agree” or “agree” that the Global Fund organises and manages its grants in a way that fully supports its vision. Another 30.5% “somewhat agree”. However, the Strategic Review 2020 and staff also point out weaknesses in the operating model. One of the main objectives of the Strategic Review 2020 was to assess how well the Global Fund business model was working to operationalise and implement the current strategy at its mid-term. While the review noted that the operating model had several strengths, including an increase in technical guidance and support to improve allocative efficiency, it also indicated some of its shortcomings. It pointed out that a number of mechanisms did not work consistently across the portfolio to ensure that grants were sufficiently prioritised for maximum disease impact, while also making necessary progress towards human rights and gender (HRG) and resilient and sustainable systems for health (RSSH) and equity and sustainability more generally. Notably, it stated that “the Global Fund business model does not always work to create strong and clear incentives for partners and other stakeholders to improve programme results.” Thus, the model still does not deliver solutions to a number of long-standing challenges that primarily relate to the coordination of action across multiple objectives and achieving evidence-informed prioritisation when stakeholders at both international and country level have diverging levels of capacity and differing priorities.

During key informant interviews, staff also noted concerns about the Global Fund’s operating model that included:

- that the operating model had an inherent inertia even when faced with evolving disease epidemiologies;
- that there was a lack of investment in Secretariat staff competencies, especially as they relate to understanding country contexts and having the gravitas to interact with government counterparts;
- that it is too difficult to dismiss non-performing Secretariat staff;
- that it still lent itself too much to vertical financing;
- that communities, rights and gender (CRG) work was still underrepresented in prioritisation and staffing, and not fully realised as cross-cutting issues;
- that RSSH continues to be treated as an “afterthought”, so leading to multiple and parallel systems;
- that the OPEX budget has been disproportionality focused on high-impact countries to the detriment of core and focus countries;
- that COVID-19 may crowd out interest in the three diseases that are core to the Global Fund’s mandate.

**1.2.3. To ensure the continued relevance of the Global Fund’s operating model, it undergoes regular reviews. These include ongoing reviews by the Management Executive Committee (MEC) and the Strategy Committee, as well as full strategic reviews every two to three years.**

In accordance with its terms of reference (TOR), the Global Fund’s MEC, headed by the Executive Director, is responsible for regularly reviewing operational matters and preparing issues or decisions for presentation to the Global Fund Board. The MEC also develops policy to address any operational matters. Supplementing the MEC’s work, the Strategy Committee, as its charter states, is responsible for overseeing the Global Fund’s strategic direction of and ensuring the optimal impact and performance of its investments in health. This includes areas of risk that affect strategic objectives, goals and targets

1, 74, 75, 81, 100, 133, 147, 167, 190



or other risk matters assigned by the Coordinating Group. Further, the TERG commissions strategic reviews every two to three years (the most recent ones were in 2017 and 2020), which typically have as one of the main objectives to assess the operationalisation and implementation of the current strategy. Finally, if needed, either the TERG or the Secretariat may review or evaluate areas of the operating model which are of special concern.

**1.2.4. The Global Fund’s operating model allows for beneficial cooperation across the organisation, although the model continues to evolve and improve in this regard (and has faced some challenges due to COVID-19).** For all the countries which receive Global Fund grants the Operational Policy Manual (OPM) outlines roles and responsibilities for staff and how they are to interact in various situations. For example, in the area of sustainability, transition, and cofinancing, country teams will focus on strategic engagement and the negotiation of cofinancing arrangements appropriate to the country context. The country teams are supported by one or more legal officers to incorporate cofinancing requirements in grant agreements in an enforceable and policy-consistent manner. The Health Finance Department may provide technical support and advice for cofinancing negotiations, the assessment of public financing mechanisms, the macroeconomic and fiscal outlook, updated data and other information inputs in programme and health sector financing, while a risk specialist will analyse the cofinancing risks in selected high-impact and core portfolios.

The OPM, at 336 pages, covers many additional coordinating aspects, including, but not limited to grant implementation, annual funding decisions (AFDs) and disbursements, grant revisions, and risk management across the grant lifecycle. For each of these sections and sub-sections, the OPM typically uses a table, graph, or narrative to delineate which operational unit within the Global Fund takes responsibility for which action, result or follow-up and for illustrating the thresholds above which an issue has to be moved to a higher management level.

However, as noted in the Strategic Review 2020 (and above in Element 1.2.2) some of the findings, conclusions, and recommendations pointed to areas for improvement in coordinating and working across the Global Fund. These included:

- the model’s continuing failure to deliver solutions to a number of long-standing challenges that primarily relate to the coordination of action across multiple objectives and how to achieve evidence-informed prioritisation when stakeholders at both international and country level have diverging levels of capacity and differing priorities; and,
- the inconsistency with which a number of business model mechanisms work across the portfolio to ensure that grants are sufficiently prioritised to maximise disease impact, while also making necessary progress towards HRG, RSSH and, in general, greater equity and sustainability.

Staff noted that coordination in the operating model is now being more robustly and routinely examined. This review starts at the senior management level (i.e. the MEC) and has seen a shift in focus from more administrative aspects to strategic and programmatic topics. Further, the MEC has a process for documenting the discussions and outcomes of its decisions and how they will cascade to teams, with this information being published weekly for the whole Secretariat to review. According to staff, this has strengthened the spirit of collaboration and transparency in improving organisational processes. In addition, it was noted that the Global Fund was developing a document for the operating model designed to detail the interdependencies between departments and this business process and to help identify where teams need to interact to achieve certain aims and objectives in support of the strategy. Finally, key informants and documents indicate that the Global Fund has moved to an integrated planning process which, though in the early stages of roll-out, will focus on utilising cross-functional teams to plan and produce an organisation-wide plan.

1, 74, 75, 81, 100, 133,  
147, 167, 190

<p><b>1.2.5. The Global Fund clearly delineates roles and responsibilities for results, from organisation-wide goals to country- and grant-specific results.</b> The core documents for the Global Fund list the stakeholders (e.g. the Board, Secretariat, OIG, TRP, etc.) involved in its partnership, together with the specific organisational units within the Secretariat. Further, these documents (e.g. TORs and charters) provide details on the specific roles and responsibilities of each stakeholder. For example, the Global Fund Risk Management Policy (2014) specifically states: “The implementers are responsible for delivering programmatic results with the funds provided.” The OPM gives additional guidance which covers many aspects of the grant lifecycle and typically uses a table, graph or narrative to delineate which operational unit within the Global Fund takes responsibility for which action, result or follow-up and for setting thresholds above which an issue has to be moved to a higher management level. The only somewhat notable comments regarding responsibility for results came from interviewees who said it was hard to monitor the Executive Director’s performance using the current Global Fund KPIs and that there was a need for more specific, assessable objectives and corresponding indicators.</p>	<p>1, 74, 75, 81, 100, 133, 147, 167, 190</p>
<p><b>MI 1.2. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 1.3. Strategic plan supports the implementation of global commitments and associated results</b>  <i>Strategic plan in the context of the Global Fund refers to its strategy (applicable to elements below).  The Global Fund’s work is centred primarily around SDG3 and related commitments (e.g. UNAIDS 959595.) rather than the Grand Bargain and the QCPR (applicable to elements below).</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3.33</b></p>
<p>Element 1: The strategic plan is aligned to the 2030 Sustainable Development Agenda, wider normative frameworks and their results (including, for example, the Grand Bargain and the QCPR)</p>	<p>3</p>
<p>Element 2: A system is being applied to track normative results for the 2030 Sustainable Development Agenda and other relevant global commitments (for example, the QCPR and the Grand Bargain, where applicable)</p>	<p>3</p>
<p>Element 3: Progress on implementation and aggregated results against global commitments are published at least annually</p>	<p>4</p>
<p><b>MI 1.3. Analysis</b></p>	<p><b>Source document</b></p>
<p><b>1.3.1. While the Global Fund’s Strategy 2017-22 does list the Sustainable Development Goals (SDGs) to which it contributes along with the disease-specific objectives with which it is aligned, the explicit linkages between its internal measures and the SDGs are still being developed.</b> The Global Fund’s current strategy lists the various SDGs to which it contributes (e.g. SDGs 1, 3, 5, 16, and 17) and provides brief statements as to how it contributes. It states, for example, that for SDG 3 (“Ensure healthy lives and promote well-being for all at all ages”) Global Fund investments “will be used by countries to prevent, test and treat the three diseases and to build systems for health, enabling healthy lives and greater well-being for their populations”. Along with the SDGs, the strategy also notes its alignment with global disease-specific objectives such as:</p> <ul style="list-style-type: none"> <li>• for HIV/AIDS: rapidly reduce HIV mortality and incidence through scaling up universal access to HIV prevention and treatment in line with the UNAIDS Fast Track and WHO Global Strategy;</li> <li>• for TB: rapidly reduce TB, TB-HIV and multidrug-resistant TB incidence and related mortality through universal access to high-quality care and prevention in line with the End TB Strategy and Global Plan to End TB;</li> <li>• for malaria: scale up and maintain interventions to reduce malaria transmission and deaths and support countries to eliminate Malaria, in line with the Global Technical Strategy and Action and Investment to Defeat Malaria).</li> </ul>	<p>1-5, 64, 127, 130, 147, 168</p>

However, the direct and precise links between the Global Fund’s results and these greater goals are not yet clearly or completely defined. Key informant interviews reveal that those linkages will be developed in the next iteration of supporting documents for the 2023-28 strategy, which will include the development of an overarching M&E framework.

**1.3.2. The Global Fund has produced a thorough, well tested system for tracking results, but an overarching M&E framework which clearly defines linkages with the broader SDG agenda is still being developed.** The Global Fund has specific and established guidance for tracking results from the country level up its results chain. The chain starts with the Principal Recipients (PRs)’ grants reporting on progress toward meeting programme objectives and targets, including the activities implemented by subrecipients (SRs). Implementation is monitored by the Secretariat on an ongoing basis by country teams (in collaboration with LFAs and in-country partners), with results fed into regular decision-making on determining grant performance ratings, making AFDs, setting operational risk levels, and putting in place management actions and other requirements. These country-level results are then aggregated within the Secretariat to demonstrate progress toward overall organisational Global Fund key performance indicators and objectives.

However, a recent review (“Lessons Learned from the Implementation of the 2017-22 KPI Framework”) acknowledges “that KPIs should be nested within a broader M&E framework which provides the Board, Secretariat and countries information on performance of Global Fund investments as well as country and global progress against the three diseases and for health”. It further notes that the development of the next strategy creates the opportunity to develop a clear and accountable KPI Framework for the Global Fund that will provide a view of progress aligned to strategic goals and the organisational mandate, a transparent, rigorous and consistent assessment of performance, and a common language for performance to build accountability across the organisation and with partners around clear high-level objectives. Key informants anticipate that the overarching M&E framework, which would include the Global Fund’s KPIs and links to global goals, will be forthcoming as part of the next iteration of strategy-related documents. This will yield the holistic vision of how “everything connects.”

**1.3.3. The Global Fund publishes its progress on implementation and aggregated results against global commitments more than annually.** In recent years, strategic performance reports have been published twice yearly and there are multiple other means of accessing results on an ongoing basis. In the 2019 and 2020 strategic performance reports, the Global Fund considers commitments and targets to be those primarily related to its four strategic objectives:

- SO1 = maximise impact against HIV, TB, and malaria,
- SO2 = build resilient and sustainable systems for health,
- SO3 = promote HRG equality,
- SO4 = mobilise increased resources

It also considers targets at the global level for which it has a lower level of accountability (i.e. more removed from of its manageable interests. For example, Annex 1 of the 2020 Strategic Performance Report provides global indicators. There are other publicly available methods for accessing its results with the main method being Data Explorer and underlying datasets on its website.

1-5, 64, 127, 130, 147, 168

### MI 1.3. Evidence confidence

High

MI 1.4. Financial framework supports mandate implementation	Score
<b>Overall MI rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.6</b>
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	3
Element 2: A single integrated budgetary framework ensures transparency	3
Element 3: The financial framework is reviewed regularly by the governing bodies	4
Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels <i>In the Global Fund, earmarked funding is accepted only from the private sector and not in Official Development Assistance.</i>	4
Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas <i>In the Global Fund, earmarked funding is accepted only from the private sector and not in Official Development Assistance.</i>	4
<b>MI 1.4. Analysis</b>	<b>Source document</b>
<p><b>1.4.1. The Global Fund’s methods for financial and budgetary planning, in general, ensure prioritisation and continue to evolve, although there is one notable exception from recent discussions.</b> The Global Fund allocates its grant resources according to two key principles: 1) determining which countries are eligible and 2) providing a rationale for how funds should be programmed within eligible countries. Eligibility supports strategy by ensuring that available resources are allocated to countries with the highest disease burden and the lowest economic capacity, and to key populations that are disproportionately affected by the three diseases. To assess economic capacity, the Global Fund uses the latest three-year average of gross national income (GNI) per capita to determine income classifications in line with World Bank income groups and thresholds. It also uses disease burden to determine upper-middle income eligibility, in addition to some exceptions in that income group. The allocation methodology, in general, seeks to maximise the impact of resources for the three diseases and to build resilient and sustainable systems for health. The country allocation methodology focuses funds on the countries with the highest disease burden and lowest economic capacity and, within each disease-related pool of funding, funds are distributed across eligible components in line with the technical parameters of the allocation formula, while accounting for other external financing and maintaining minimum and maximum limits. A qualitative adjustment process allows for allocations to be adjusted up or down to address key epidemiological, programmatic and country characteristics on a case-by-case basis in order to determine final country allocations.</p> <p>Similarly, to match programmatic funds, the Global Fund Secretariat’s OPEX budget undergoes a multi-stage process. This involves budget owners submitting initial requests, clarifying and revising requests (if needed), and senior management reviewing and approving the finalised requests. Final decisions are based on three levels of priority: 1) Fund Now (in full or by funding efficiency); 2) Fund Later (Consider funding through reforecast or from other sources); 3) Do Not Fund.</p> <p>The survey supports this approach. Approximately 56% of survey respondents either “strongly agree” or “agree” that the Global Fund’s allocation methodology and policies support the effective implementation of its mandate and strategy. Another 32.5% “somewhat agree”. However, several staff members noted that the recent discussions in 2021 regarding the disease allocation and splits were less than optimal. Additionally, several Board members stated that the information provided by the</p>	17, 42-44, 75, 92, 95, 99, 121, 156, 195

Global Fund Secretariat was neither timely, well-organised, strategic, holistic, nor complete. As one key informant stated, “data was presented to argue for what the Secretariat could do... a position was being sold”.

**1.4.2. Integration and transparency continue to be strengthened as the Global Fund’s budgetary framework evolves.** In recent years, it was noted in budgetary discussions, primarily with the Audit and Finance Committee (AFC), that there was a growing misalignment between the strong growth in donor pledges during the last several years and the stability of Secretariat OPEX resourcing, a need to increase transparency around OPEX cost drivers, and better alignment was required with the strategy and its cycles of replenishment. Therefore, an “OPEX evolution” budgeting framework was presented to the AFC in 2020 to increase synchronisation and linkage with strategy implementation between the OPEX Budget and the three-year funding cycle, to establish a minimal baseline to cover obligations and standard level of operational activities, and to better align resources with the agreed level of ambition. This included the introduction of three new OPEX budget categories (core, cyclical, and priority) to both increase differentiation in Secretariat resourcing and provide transparency on OPEX cost drivers. This was a shift away from previous budgeting which focused on budget discipline within a prescribed ceiling to budget discipline based on the optimisation of OPEX resources. This strategic shift in approach aims at reaching a dual objective: maintain strong cost discipline on Secretariat structural and fixed costs and increase the level of strategic-enabler funding related to deliver maximum programmatic impact.

Although the results of this shift have yet to be fully realised or evaluated, staff believe that it will lead to a more accountable and transparent use of resources, as well as to a more holistic and integrated approach to budgeting. Further, staff believe that this approach will better link the OPEX budget with programmatic results and the overall strategy and its objectives. Finally, staff noted that there is an ongoing and positive feedback loop between the AFC and related Secretariat staff insofar as the information presented to the AFC for decision-making was at the appropriate level of detail and understanding, with additional granularity available where needed. Additional next steps in the process include developing a real-time financial data dashboard for the AFC.

**1.4.3. The Global Fund’s financial framework is reviewed multiple times in any given year by its governing bodies.** There are two main governing bodies responsible for the review of the Global Fund’s financial framework. They are the Audit and Finance Committee (AFC) and the Board. As the AFC, also known as the “Committee”, states in its charter, its purpose is to “1) provide oversight of the financial management of the Global Fund’s resources; 2) provide oversight of the internal and external audit, as well as investigation, functions of the Global Fund; and 3) ensure optimal performance in the corporate and financial operations of the Global Fund.” As also noted in the charter, the AFC has the responsibility for oversight and review of the financial management of Global Fund resources, including annual reviews of financial forecasts; status of donor pledges and contributions; the activities of, and relationship with the World Bank in its capacity as trustee for the Global Fund; and, financial management performance against key performance indicators adopted by the Board. It also reviews the annual expenditures of the Global Fund against budgets approved by the Board, as well as performance against approved work plans. The Board’s responsibilities include oversight of the commitment of financial resources, review and approval of funding proposals, approval of work plans and budgets for the governing, advisory and administrative bodies of the Global Fund, and approval of the annual report and financial statements of the Global Fund. While both of these bodies meet at least twice a year, staff report that meetings are more frequent than the minimum, and the AFC has sub-committees which also meet frequently to discuss financial and budgetary issues.

17, 42-44, 75, 92, 95, 99, 121, 156, 195

<p>1.4.4. <b>The Global Fund does not generally accept earmarked funds.</b> While the Global Fund’s general policy is not to accept earmarked funds, it does make some minor exceptions. The Global Fund acknowledges the need to accommodate restricted financial contributions in order to fully realise its mission of mobilising additional resources for the fight against AIDS, TB and malaria, and has authorised the Secretariat to accept such contributions. However, those restricted funds are limited to those from private donors and a limited number of public mechanisms approved in advance by the Board for this purpose. However, the Global Fund does not accommodate restrictions on contributions made as part of official development assistance. Furthermore, restricted financial contributions can be used only to support grants or other priorities approved by the Board and Secretariat activities that are in line with the recipient-driven, Board-determined priorities of the Global Fund.</p> <p>1.4.5. <b>As noted above, the Global Fund does not generally accept externally earmarked funds, although it does earmark them internally for catalytic investments.</b> The term ‘earmarked’ thus refers to how the Global Fund internally earmarks funds to target priority areas. It is rare that funds are earmarked externally (i.e., by donors) and those are smaller amounts typically given by the private sector. The primary purpose for internally earmarked funds is catalytic investments. Catalytic investments are a portion of funding approved by the Global Fund Board for programmes, activities and strategic investments that cannot be addressed through country allocations alone, and yet are important to ensure that the Global Fund’s investments deliver on the Global Fund Strategy. Catalytic investments can include matching funds, multicountry approaches and strategic Initiatives (SIs).</p>	<p>17, 42-44, 75, 92, 95, 99, 121, 156, 195</p>
<p><b>MI 1.4. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>KPI 2. Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels, in line with the principles of the 2030 Sustainable Development Agenda</b></p>	<p><b>KPI score</b></p>
<p><i>The Global Fund does not have specific country strategies. As such, national strategic plans (supported by the Global Fund) and country funding applications are assessed here, with particular reference to the micro-indicators under review, specifically MIs 2.1 to 2.4.</i></p>	
<p><b>Unsatisfactory</b></p>	<p><b>2.46</b></p>
<p>Human rights and gender (HRG) are one of four strategic objectives of the 2017-21 strategy. For the most part, human rights issues are appropriately integrated in the Global Fund’s KPI Framework, but there is only one indicator to monitoring gender equality commitments, which is at odds with “Promote and Protect Human Rights and Gender Equality” as one of its core objectives of the 2017-2022 strategy. Even so, there are continued efforts to improve the use of disaggregated data. Accountability mechanisms for HRG are strong, and there is good coverage of HRG by evaluations and audits, although internal reporting on gender equality is limited to adolescent girls and young women (AGYW). Human Resources for the Community, Rights and Gender Department (CRG) increased from three staff members in 2013 to 25 in 2021 and there is additional gender expertise within the Secretariat and its advisory bodies. Likewise, gender expertise in the TRP has grown significantly, which has led to more recommendations to applicants for integrating HRG in grant making. Following the launch of CRG Accelerate in 2019, accountabilities for HRG across the Secretariat have been strengthened, with increased responsibilities delegated to the Grant Management Division (GMD). CRG has also developed a network of focal points who provide support to country teams, a new modality that is working well. CRG is also in the process of rolling out a learning agenda to increase staff capacities for HRG in GMD, which remain mixed. Some concerns remain, however, that the level of financial resources dedicated to HRG are not commensurate with the importance it is given in the strategy.</p>	
<p>The 2017-22 strategy does not address issues of environmental sustainability and climate change (ESCC). Even so, in recent years, the Global Fund’s Supply Operations Department has addressed environmental issues with suppliers through its Responsible Procurement Framework. Additionally, the RSSH team – along with the supply chain team and health product management specialists – have supported the integration of healthcare waste management in grant making. The Global Fund also</p>	

developed guidance and has provided training to country teams on healthcare waste management. In December 2021, the Global Fund adopted a corporate statement on ESCC through which the organisation commits to addressing ESCC issues more comprehensively, an approach that is firmly embedded in the 2023-28 strategy. As of 2023, the Global Fund is expected to further integrate ESCC issues in grant making by, for example, supporting countries in building climate-resilient health systems. Beyond capacity in healthcare waste management and responsible procurement, there are currently limited human and financial resources dedicated to ESCC and the Secretariat agrees that more expertise in this area will be required to ensure the successful implementation of new ESCC commitments.

RSSH is a strategic objective of the 2017-22 strategy; however, key informants expressed concerns that it is not prioritised to the extent that it should be in grant making, nor has there historically been sufficient human resources to address RSSH. Staffing has increased in recent years, including through the creation in 2021 of the Health Finance Department. However, high staff turnover in the RSSH team remains a challenge. Some of these issues may be addressed via the recent launch of an RSSH development and learning agenda to improve capacities for RSSH. In recent years, the Global Fund has released several guidance and tools to support the integration of RSSH in grant making, but awareness and use of these tools vary by country. In addition, the tools are still too broad to meaningfully support the prioritisation of RSSH investments. Interviewees noted that this is likely because the Global Fund’s approach to RSSH is so broad. The Global Fund has improved the quality of indicators used to monitor RSSH commitments (with further improvement expected in its new KPI Framework) and have strong mechanisms in place to report against RSSH objectives, including through internal monitoring and independent evaluations and audits. However, concerns regarding diffuse accountabilities for RSSH in the corporate P&A framework remain.

<b>MI 2.1. Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for gender equality and women’s empowerment</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2.5</b>
Element 1: Dedicated policy statement on gender equality available and showing evidence of application	2
Element 2: Gender equality indicators and targets fully integrated into the MO’s strategic plan and corporate objectives <i>Strategic plan here refers to the Global Fund’s strategy.</i>	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	3
Element 4: Gender equality screening checklists or similar tools inform the design for all new interventions <i>The Global Fund does not design interventions, so the assessment focuses on the review of funding applications (and corresponding requirements) submitted by countries.</i>	3
Element 5: Human and financial resources are available to address gender equality issues	3
Element 6: Staff capacity development on gender is being or has been conducted	2
<b>MI 2.1. Analysis</b>	<b>Source document</b>
<p><b>2.1.1. Gender equality is a key objective of the 2017-22 strategy, but there are challenges in its application.</b> The Global Fund Strategy 2017-22 underlines the importance of addressing gender inequality, which contributes to driving HIV infection rates, hinders equal access to health services for men, women and transgender people, and is emphasized in addressing all three diseases and RSSH. Strategic Objective 3 (SO3) seeks to “promote and protect human rights and gender equality”. SO3 includes two operational objectives that address gender equality:</p> <ol style="list-style-type: none"> <li>1. Scale up programmes to support women and girls, including programmes to advance sexual and reproductive health and rights.</li> <li>2. Invest to reduce health inequities including gender- and age-related disparities.</li> </ol>	1, 66-68, 123, 124, 133, 141-143, 166, 215, 273, 275, 277

While gender equality is addressed through a standalone strategic objective, it is not mainstreamed across the strategy, with little mention of gender in other SOs. It is noteworthy that in the 2023-28 strategic, “maximising health equity, gender equality and human rights” is a mutually reinforcing contributory objective and is embedded much more strongly across the three primary goals (of ending AIDS, TB and malaria).

Although in MOPAN’s partner survey, 96% of respondents were of the view that the Global Fund promoted gender equality, the Strategic Review 2020 found that limited progress had been made against gender objectives overall, aside from some progress in the implementation of activities addressing AGYW. Similarly, the Lessons Learned report of the TRP found limited attention is paid to gender dimensions of funding requests across the three diseases and that more attention is required to address gender-based violence and sexual and reproductive health rights. Secretariat staff mentioned that the new strategy will more strongly emphasise gender-transformative approaches to address these issues.

**2.1.2. The Global Fund’s KPI Framework for Strategy 2017-22 strategy does not fully mainstream gender equality, although there are continued efforts to improve the use of disaggregated data.**

The KPI Framework includes one indicator on gender (KPI 8) – it measures HIV incidence in women aged 15-24 years old. However, gender equality is not adequately mainstreamed in the KPI Framework and other indicators are not gender-sensitive. The 2020 Technical Review Panel’s Lessons Learned report expressed concerns that the lack of disaggregated data in grants still represents an issue. Similar concerns over the lack of disaggregated data were noted in the Strategic Review 2020. Interviewed Secretariat staff explained that there is strong impetus for more disaggregated data. Based on a review of the indicator guidance sheets for HIV, TB and malaria, revised in 2020, the MOPAN assessment team confirms that several grant-level indicators are now sex- and age-disaggregated. In addition, Secretariat staff explained that further adjustments are expected to gender-related indicators in the Global Fund’s KPI Framework for the new 2023-28 strategy, mainly to measure contributions through new gender-transformative approaches.

1, 66-68, 123, 124, 133, 141-143, 166, 215, 273, 275, 277

**2.1.3. The Global Fund has accountability mechanisms in place to ensure oversight of progress toward SO3 on gender equality.** Because gender equality is a corporate strategic objective, several mechanisms are in place to report on progress toward implementation. This gap is reflected in the Strategic Performance Report, which includes little information on gender beyond reporting on KPI 8. However, the annual update on Community, Rights and Gender (CRG) and Strategic Objective 3 provides updates to the Board on the implementation of SO3 that provides more detailed information on gender. In addition, both the TERG’s 2020 and 2017 strategic reviews and yearly prospective country evaluations (PCEs) assess progress toward gender equality commitments. In 2018, the TERG also conducted a thematic review of AGYW and HIV.

In 2019, the OIG Advisory Review expressed concerns around unclear accountabilities for gender and human rights in the Performance and Accountability Framework, with lack of oversight and responsibilities for gender and human rights outside CRG. This issue has been largely addressed through CRG Accelerate, which has strengthened joint accountabilities for gender and human rights between CRG and GMD.

**2.1.4. The Global Fund has good quality technical guidance on gender equality but evidence of its use is mixed. Efforts are underway to make the guidance more user-friendly.** Interviewed Secretariat staff explained that in 2018 the TRP alerted CRG that gender and human rights were not being sufficiently integrated into grant making. CRG has since taken a number of steps to address this concern, including the development of guidance and tools for applicants. In 2019, CRG developed the Technical Brief Gender Equity to support the integration of gender equality in HIV, TB and malaria grant-making. In 2020, it also developed the Technical Brief HIV Programming for AGYW in high-HIV burden



settings. This technical brief provides specific guidance to applicants on how to strategically invest resources for the 2020-22 funding cycle towards their national response to AGYW. The Strategic Review 2020 found that gender-related guidance produced by CRG has improved significantly in recent years, but also noted that the guidance is still ambiguous and could be interpreted differently by applicants. It also found mixed levels of awareness and utilisation of the guidance by applicants. This is consistent with data that MOPAN gathered through interviews with GMD and country teams, who acknowledged improvement in the guidance, but also expressed concerns that it may not be used by all applicants. Secretariat staff acknowledged this and confirmed that efforts are ongoing to make the guidance more user-friendly.

In addition to technical guidance, the Global Fund has put systems in place to ensure that gender equality is considered during the grant review process. Once a funding request has been submitted, country teams are asked to produce in consultation with the CRG team a briefing note to the TRP reflecting on the extent to which the funding request integrates gender equality issues. The TRP then reviews the funding request together with the briefing note, using specific review criteria and guiding questions for gender equality outlined in the Review Approaches of the Technical Review Panel (TRP), developed in 2020.

**2.1.5. Gender expertise has increased across the Secretariat in recent years, but financial resources remain modest.** Secretariat staff confirmed that human resources in the CRG department increased significantly from 3 staff in 2013 to 25 in 2021. A 2019 OIG advisory review of SO3 found that responsibilities for gender equality and human rights were too concentrated in CRG, which prompted the CRG to embark on the CRG Accelerate, a transformation aimed at making gender and human rights “everybody’s business”. This entailed enhancing the visibility of and capacity for gender and human rights across the Secretariat. The CRG department has developed a network of focal points who provide support to country teams in aspects related to gender equality and human rights. In interviews country teams confirmed that the support they receive through this network is appropriate. In addition, CRG experts actively participate in the review of grant applications. Secretariat staff also confirmed that gender and human rights experts on the TRP had increased from 9 in 2018 to 15 in 2021. They actively review grant applications, with approximately 8% of all TRP recommendations linked to gender and human rights issues.

1, 66-68, 123, 124, 133, 141-143, 166, 215, 273, 275, 277

With respect to financial resources, the Global Fund has dedicated USD 16 million for the Strategic Initiative (SI), “Community, Rights and Gender”. However, Secretariat staff said in interviews that OPEX resources for CRG had fallen, while some Board members expressed concerns that financial resources dedicated to CRG were insufficient, given that gender and human rights are core elements of the Strategy. They also expressed concern that CRG was not directly represented at the MEC and that more efforts were still required to fully embed gender and human rights across the Secretariat.

**2.1.6. CRG is in the process of rolling out a learning agenda on gender equality, but staff capacity to address gender and human rights varies among staff in GMD.** Strengthening the capacity for gender and human rights across the Secretariat is central to CRG Accelerate. To that end, CRG started to develop capacity by conducting some training sessions for country teams, though not all of them have been reached yet. CRG is in the process of developing a more comprehensive learning agenda and has developed material for workshops and elearning. However, Secretariat staff noted some delays in rolling out training, mostly due to the COVID-19 pandemic. Country teams acknowledge that staff across GMD have varying degrees of capacity for addressing gender and human rights.

**MI 2.1. Evidence confidence**

**High**

<b>MI 2.2. Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for environmental sustainability and climate change (ESCC)</b> <i>The Global Fund has a corporate strategy and, in general, does not have country strategies.</i>	Score
<b>Overall MI rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.5</b>
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of application	1
Element 2: Environmental sustainability and climate change indicators and targets fully integrated into the MO's strategic plan and corporate objectives <i>Strategic plan here refers to the Global Fund Strategy.</i>	0
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	1
Element 4: Environmental screening checklists or similar tools inform design for all new interventions	2
Element 5: Human and financial resources are available to address environmental sustainability and climate change issues	2
Element 6: Staff capacity development on environmental sustainability and climate change is being or has been conducted	3
<b>MI 2.2. Analysis</b>	<b>Source document</b>
<p>2.2.1. <b>The current strategy does not mainstream ESCC even though the Global Fund's Supply Operations Department has been addressing environmental issues. Mainstreamed into the 2023-28 strategy, ESCC is expected to be integrated into grant making in the future.</b> Over the assessed strategic cycle, there was no corporate policy on ESCC. Nor did the 2017-22 strategy integrate issues of ESCC. However, the 2008 Procurement Policy includes a section on ethics that requires suppliers to comply with internationally recognised environmental standards. Secretariat staff confirmed that the Supply Operations Department has also adopted a Responsible Procurement Framework. Within this framework, it addresses environmental issues in its Supply Operations through optimised procurement and supply chain management practices. This has included, for example, improved packaging of items like bed nets to reduce plastic waste and lower emissions associated with freight transport. The Global Fund also chairs the UN Informal Interagency Task Team on Sustainable Procurement in the Health Sector. Regarding procurement at country level, the Code of Conduct of Suppliers (2021) strongly encourages suppliers to participate in the UN Global Compact, which promotes, among others, environmental responsibility and the use of environment-friendly technologies. In addition, the Global Fund Policies on Procurement and Supply Management of Health Products (2021) include provisions for recipients to ensure the safe disposal of unusable pharmaceutical products to minimise risks to public health and the environment, and compliance with WHO guidance for the management of healthcare waste, including laboratory waste. Secretariat staff confirmed in interviews that the Global Fund has been supporting countries in improving their healthcare waste management systems through RSSH grants.</p> <p>In December 2021, the Global Fund adopted a corporate statement on Climate Change and Environmental Sustainability, which recognises the impact of environmental damage and climate change on human health and outlines the steps that the organisation intends to take to address this issue. In the statement, the Global Fund commits to minimising the Secretariat's footprint by reducing travel-related emissions and adopting greener practices. It also commits to continuing to reduce its environmental impact through its supply chain operations, as well as country support in healthcare</p>	1, 3, 32, 91, 126, 139, 151, 170, 184, 192, 274, 276

waste management. In addition, the statement commits to investing in environmentally sensitive and One Health approaches through grant making to support countries build climate-resilient disease programmes. These commitments are reaffirmed in the recently adopted 2023-28 strategy. Under its evolving objective on pandemic preparedness and response (PPR), the strategy includes a sub-objective that specifically addresses the threat of drug and insecticide resistance and encourages climate and environmentally sensitive and One Health approaches.

**2.2.2. The Global Fund’s current KPI Framework does not integrate ESCC.** The MOPAN assessment team did not find evidence of ESCC indicators and targets in the KPI Framework for the 2017-22 strategy. Interviewed Secretariat staff underlined that the KPI Framework for the 2023-28 strategy is currently being developed and may include KPIs on ESCC. They noted that all objectives of the new strategy – including those related to PPR and sub-objectives related to ESCC – will be monitored by the Board, either through KPIs, additional management information and/or evaluations.

**2.2.3. Accountability mechanisms do not yet reflect ESCC considerations.** The Secretariat does not yet to report to its Board on issues of ESCC. For example, the Strategic Performance Report end-2020 does not address ESCC. Similarly, the MOPAN assessment team did not find evidence of the integration of ESCC in evaluations or audits. For example, neither the TERG Thematic Review of Resilient and Sustainable Systems for Health nor the OIG Audit Managing Investments in Resilient and Sustainable Systems for Health examine healthcare waste management within the context of RSSH interventions. At grant level, the modular framework includes interventions on health care waste management, accompanied by one indicator (i.e. national policies/guidelines for waste management, biosafety, biosecurity & standard operating procedures [SOPs] developed) under the laboratory systems module of RSSH. This means that support in waste management may be monitored in grants, but this is not rolled up into corporate accountability mechanisms. The modular framework also includes interventions in environmental compliance and waste management as part of the indoor residual spray (IRS) intervention under the vector control module. However, interventions on vector control are not accompanied by any indicators measuring environmental compliance.

Secretariat staff explained in interviews that the Responsible Procurement Framework was owned by the Supply Operations Department, and was being elevated to the Secretariat level. Once done, this should enable the Secretariat to report on the environmental benefits of responsible procurement. In addition, interviewees explained that metrics will be developed in the 2022 internal performance and accountability (P&A) framework to help monitor the actions made in the external statement on climate and environment.

**2.2.4. The Global Fund has guidance and tools for the integration of healthcare waste management in RSSH grants. However, there is no evidence of environmental screening checklists or similar tools to inform the design of new interventions.** The Applicant Handbook 2020-22 is accompanied by a Sustainable Healthcare Waste Management Technical Brief, which Technical Advice and Partnerships (TAP) uses when reviewing applications. Developed in 2020, the Technical Brief seeks to help applicants better integrate healthcare wastewater management into grant funding applications. In addition, the modular framework for RSSH provides a detailed description of the scope and description of activities that are expected from interventions on “avoidance, reduction and management of healthcare waste”. However, beyond guidance on healthcare waste management, the MOPAN assessment team did not find evidence of environmental screening checklists being used at the design stage to ensure that grants do not have adverse effect on the environment. In interviews Secretariat staff confirmed that additional application guidance material will be developed for the 2023-25 cycle, including in areas of ESCC.

1, 3, 32, 91, 126, 139,  
151, 170, 184, 192,  
274, 276

<p><b>2.2.5. The MOPAN Assessment Team found evidence of human and financial resources for responsible procurement and healthcare waste management, although overall resources for ESCC remain low.</b> Within the Global Fund, there is no unit or position specifically dedicated to ESCC. Rather, different teams and individuals are addressing ESCC along with other responsibilities. In recent years, the Global Fund’s Supply Operations Department has addressed environmental issues through its Responsible Procurement Framework, and the RSSH team, the Health Product Management specialists and Supply Chain Team have supported the integration of healthcare waste management in grant making. As noted in MI 2.4, the RSSH team has increased staff capacity in the past two years, with five dedicated laboratory specialists responsible for supporting countries in improving their laboratory systems and comply with healthcare waste management guidelines. The Strategy Policy Hub (SPH) is currently tasked with leading the organisation’s thinking on the integration of ESCC in the 2023-28 strategy. Interviewed Secretariat staff confirmed that a cross-departmental group was recently set up to discuss ways in which the Global Fund could integrate issues of climate resilience in grant making as part of the new strategy. Interviewees confirmed that this is a new area of focus for the Global Fund and that the Secretariat will likely need to bring on board new expertise in climate resilience and zoonoses to support the implementation of the One Health approach. As for financial resources, there is no budget line in the OPEX budget that is dedicated to ESCC, although interviewed Secretariat staff confirmed that USD 340 000 were made available to support work related to climate and the environment, including the development of the Responsible Procurement Framework and a carbon footprint assessment of the Secretariat.</p> <p><b>2.2.6. The Secretariat has conducted training on healthcare waste management, but a training programme to strengthen staff capacity on climate-resilient health systems has yet to be developed.</b> In June 2020, the Secretariat conducted a training programme on healthcare waste management, addressing issues such as the management of pharmaceutical waste, insecticide waste, and COVID-19 waste. Training was attended by procurement supply chain experts and country teams. However, the assessment team did not find evidence of the number of trainees.</p> <p>As part of its new 2023-28 strategy, the Global Fund will for the first time integrate climate resilience into grant making. This will require additional skills and knowledge in country teams. The MOPAN assessment team did not find evidence of the development of a training programme to strengthen staff capacity in this area.</p>	<p>1, 3, 32, 91, 126, 139, 151, 170, 184, 192, 274, 276</p>
<p><b>MI 2.2. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 2.3. Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for human rights including the protection of vulnerable people (those at risk of being “left behind”)</b></p> <p><i>The Global Fund has a corporate strategy and, in general, does not have country strategies, so the corporate strategy is the basis for review.</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3</b></p>
<p>Element 1: Dedicated policy statement on human rights available and showing evidence of application</p>	<p>3</p>
<p>Element 2: Human rights indicators and targets fully integrated into the MO’s strategic plan and corporate objectives</p> <p><i>Strategic Plan here refers to the Global Fund’s Strategy.</i></p>	<p>3</p>
<p>Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets</p>	<p>4</p>
<p>Element 4: Human rights screening checklists or similar tools inform design for all new interventions</p>	<p>3</p>

Element 5: Human and financial resources are available to address human rights issues	3
Element 6: Staff capacity development on human rights is being or has been conducted	2
<b>MI 2.3 Analysis</b>	<b>Source document</b>
<p><b>2.3.1. Addressing human rights is at the heart of Strategy 2017-22, with progress toward results in some but not all countries.</b> Global Fund Strategy 2017-22 underlines the importance of addressing human rights, as “human rights barriers, stigma and discrimination undermine an effective response to the three diseases”, and commits to addressing human rights issues in its grants to ensure that countries sustain gains in the fight against the three diseases. Strategic Objective 3 (SO3), which seeks to “promote and protect human rights and gender equality” comprises three operational objectives that address human rights:</p> <ol style="list-style-type: none"> <li>1. Introduce and scale up programmes that remove human rights barriers to accessing HIV, TB and malaria services.</li> <li>2. Support meaningful participation of key and vulnerable populations and networks in Global Fund-related processes.</li> <li>3. Integrate human rights considerations throughout the grant cycle and in policies and policy-making processes.</li> </ol> <p>With respect to the application of human rights commitments, the 2020 Strategic Review found that human rights investments had increased substantially in a sub-set of countries, especially in the 20 countries benefitting from the Breaking Down Barriers initiative to match funds. This initiative supports countries to conduct baseline human rights assessments and develop implementation plans for programming to remove human rights barriers. However, the 2020 Strategic Review did not observe similar gains across the entire portfolio. In the survey, 96% of respondents agree that the Global Fund promotes human rights.</p> <p><b>2.3.2. The Global Fund has improved KPIs to measure human rights-related investments, with further improvements expected in the new KPI Framework.</b> The KPI Framework includes three indicators (KPI 9a, 9b, and 9c) relating to investments related to human rights, but only in certain countries – e.g. those included in the Breaking Down Barriers initiative or select countries with a high TB or HIV burden. The OIG advisory report for SO3 found that KPI 9a only measured 45% on human rights-related investments and that data collection and reporting methods for KPI 9b and KPI 9c were cumbersome. These issues have largely been addressed through the revised KPI Framework. Secretariat staff acknowledged that indicators will be further improved for the next strategic cycle.</p> <p><b>2.3.3. The Global Fund has strong accountability mechanisms in place to ensure oversight of human rights mainstreaming.</b> Because addressing human rights is a corporate strategic objective, several mechanisms are in place to report on progress toward implementation. For example, strategic performance reports inform the Board on human rights indicators established in the KPI Framework. In addition, both the TERG 2020 and 2017 strategic reviews and yearly PCEs assess progress toward human rights commitments. Furthermore, CRG presents annual updates to the Board on the implementation of SO3. Finally, in 2019, the OIG performed an advisory review which examined progress and barriers in operationalising the human rights aspects of SO3. As noted in MI 2.1, the Global Fund has also strengthened lines of accountability for SO3.</p> <p><b>2.3.4. Guidance on human rights have contributed to more emphasis on human rights in grant making. However, utilisation is not consistent across countries.</b> CRG offers technical guidance to support the integration of human rights into grant making in the following areas:</p>	1, 133, 141-143, 166, 215

<ul style="list-style-type: none"> <li>• implementing and scaling up programmes to remove human rights-related barriers to HIV services (2020);</li> <li>• achieving quality in programmes to remove human rights- and gender-related barriers to HIV, TB and malaria services (2020);</li> <li>• HRG programming in challenging operating environments (2017);</li> <li>• ensuring that programmes to remove human rights-related barriers to HIV, TB and malaria services are gender-responsive and gender-transformative (2021)</li> </ul> <p>The TRP lessons learned report notes an increase in human rights guidance and initiatives. One example is the Breaking Down Barriers initiative, which has contributed to greater attention to human rights in grant making than in 2017-19. The Strategic Review also acknowledges improvements in guidance produced by CRG, while (as with gender) acknowledging that their utilisation is not consistent across countries.</p> <p><b>2.3.5. Progress has been made to strengthen organisational capacity for human rights. The Secretariat has provided catalytic investments to compensate for low country investments in human rights.</b> As noted in MI 2.1, the Global Fund has made efforts to strengthen the organisational structure and level of human resources for human rights through ‘CRG Accelerate’. Secretariat staff also confirmed in interviews that an equity advisor will be hired in 2022. In terms of financial resources, the Strategic Review found that investments in human rights remain low, aside from an increase in investments targeting key vulnerable populations (KVPs) in HIV interventions. One of the main driving factors of low investments has been the lack of political will to address human rights issues and that the Secretariat has dedicated some resources. To ensure gains in the area, the Secretariat has funded human rights interventions through catalytic investments. It has also dedicated funding through SIs (e.g. the Human Rights Strategic Initiative). However, as noted in MI 2.1, some interviewees expressed concerns over the dwindling OPEX budget for CRG, noting that gender and human rights are a core element of the Strategy and require more core resources.</p> <p><b>2.3.6. As noted in MI 2.1, CRG is in the process of rolling out a new learning agenda on gender and human rights.</b> As noted previously, GF Secretariat staff cited delays in rolling out the training, mostly due to the COVID-19 pandemic. Country teams acknowledge that staff across GMD have varying degrees of capacity to address gender and human rights.</p>	<p>1, 133, 141-143, 166, 215</p>
<p><b>MI 2.3. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 2.4. Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for Resilient and Sustainable Systems for Health (RSSH)</b> <i>This issue was added to the assessment framework as a cross-cutting issue.</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>2.83</b></p>
<p>Element 1: Dedicated policy statement on any other cross-cutting issue available and showing evidence of application</p>	<p>2</p>
<p>Element 2: Cross-cutting issue indicators and targets fully integrated into the MO’s strategic plan and corporate objectives</p>	<p>3</p>
<p>Element 3: Accountability systems (including corporate reporting and evaluation) reflect cross-cutting issue indicators and targets</p>	<p>3</p>
<p>Element 4: Cross-cutting issue screening checklists or similar tools inform design for all new interventions</p>	<p>3</p>

Element 5: Human and financial resources (exceeding benchmarks) are available to address cross-cutting issues	3
Element 6: Staff capacity development on cross-cutting issue is being or has been conducted	3
<b>MI 2.4. Analysis</b>	<b>Source document</b>
<p><b>2.4.1. The Strategy 2017-22 makes a commitment to building resilient and sustainable systems for health, though its application has been uneven.</b> The Global Fund Strategy 2017-22 emphasises that resilient and sustainable systems for health (RSSH) are essential to ensuring that populations have access to well-functioning health systems, without which progress against HIV, TB and malaria is not possible. To that end, Strategic Objective 2 (SO2) of the Strategy specifically focuses on building resilient and sustainable systems for health. SO2 comprises seven operational objectives:</p> <ol style="list-style-type: none"> <li>1. Strengthen community responses and systems.</li> <li>2. Support reproductive, women’s, children’s, and adolescent health, and platforms for integrated service delivery.</li> <li>3. Strengthen global and in-country procurement and supply chain systems.</li> <li>4. Leverage critical investments in human resources for health.</li> <li>5. Strengthen data systems for health and countries’ capacities for analysis and use.</li> <li>6. Strengthen and align to robust national health strategies and national disease-specific strategic plans.</li> <li>7. Strengthen financial management and oversight.</li> </ol> <p>As for the implementation of the RSSH commitment, the 2020 Strategic Review found that limited and uneven progress had been made toward SO2 on RSSH and that weak health systems continued to be a barrier to achieving targets in the three diseases in SO1. More substantial results were observed in strengthening data systems and public sector management systems, though weak progress was observed in other areas, such as human resources for health and community responses and systems. Some country teams explained in interviews that the Global Fund’s strategic approach to RSSH is very broad, which sometimes makes its application challenging. In Strategy 2023-28, the Global Fund seems to be refocussing its approach to RSSH, with a strong focus on people-centred integrated care.</p> <p><b>2.4.2. Concerns regarding RSSH measurement in the Global Fund’s KPI Framework have been addressed, although the RSSH team is working to further improve metrics for RSSH for the next KPI Framework.</b> In 2019, the OIG’s audit report “Managing investments in Resilient and Sustainable Systems for Health” found that the KPI Framework only included indicators to monitor progress against three of the seven RSSH components of SO2 and provided recommendations to improve the monitoring framework for RSSH. The Agreed Management Actions (AMAs) Progress Report (2021) confirms that the Secretariat has taken primary steps to improve RSSH measurement, including a revised investment guidance, modular framework and grant performance framework. The AMA was completed and closed in 2021. This said, Secretariat staff explained in interviews that the RSSH team is currently working with support from the Bill and Melinda Gates Foundation (BMGF) to further improve RSSH measurement. This includes ongoing efforts to develop a theory of change for RSSH and the development of improved metrics for the new KPI Framework that will accompany Strategy 2023-28.</p> <p><b>2.4.3. The Global Fund reports on the implementation of RSSH to its Board but accountability mechanisms require further improvement.</b> The Board receives yearly strategic performance reports on RSSH indicators established in the Global Fund KPI Framework. In addition, RSSH interventions are examined by TERG evaluations. For example, TERG’s 2020 and 2017 strategic reviews both assess</p>	1, 3, 30, 32, 57, 124, 133, 139, 141-143, 166, 186, 196, 271, 277

progress in the application of RSSH commitments, as do the yearly PCEs. In addition, the TERG conducted in 2019 its Thematic Review of Resilient and Sustainable Systems for Health. Finally, in 2019 the OIG conducted its audit on managing investments in resilient and sustainable systems for health, which examined the effectiveness of organisational processes to implement corporate commitments on RSSH.

However, the OIG's audit report found that RSSH objectives are implemented in a siloed approach with no mechanisms to ensure organisational accountability and collaboration across the Secretariat. The 2021 progress report on agreed management actions (AMAs) found that the implementation of the OIG recommendation to better define roles and responsibilities for RSSH in the Performance and Accountability Framework at the corporate level is outstanding.

**2.4.4. Guidance on RSSH has improved in recent years, but is still too broad to meaningfully guide the prioritisation of RSSH investments.** The Thematic Review on Resilient and Sustainable Systems for Health (RSSH) noted shortcomings in the quality and use of technical guidance on RSSH. Since then, the Secretariat has revisited its technical guidance for RSSH. The instructions for the Full Review Application Approach request applicants to integrate RSSH in the funding request. In addition, the Applicant Handbook (2020-22) includes guidance on what to consider regarding RSSH in the country dialogue and funding requests. The handbook is accompanied by the RSSH Information Note (2019), which provides greater guidance on RSSH elements to be considered in different types of interventions, including health sector governance, CSS, human resources for health, laboratory systems and integrated service delivery. Furthermore, the modular framework also includes a module on RSSH, which provides details on the scope and description of intervention packages. Strategic Review 2020 acknowledged that technical guidance on RSSH has improved in recent years, but also noted that the guidance still remains ambiguous in some areas. It also notes that awareness and use of the guidance varies from one country to another. This is confirmed by interviews with country teams, who recognise that guidance on RSSH has improved in recent years, but also note that RSSH is so broad and that the guidance sometimes makes it difficult to understand which areas should be prioritised.

In addition to technical guidance, the Global Fund has also put systems in place to ensure that RSSH is considered throughout the funding cycle and during the grant review process. During the pre-submission phase, the RSSH team works with country teams to support countries throughout the funding cycle. For instance, the Service Delivery Innovations uses South-South learning among countries to strengthen RSSH in funding requests. Once a funding request has been submitted, country teams are asked to produce in consultation with the RSSH team a briefing note to the TRP reflecting on the extent to which the funding request integrates RSSH considerations. The TRP then reviews the funding request, together with the briefing note, using specific review criteria and guiding questions for RSSH outlined in the review approaches that the Technical Review Panel (TRP) developed in 2020.

**2.4.5. Human resources for RSSH have significantly increased in recent years, but high turnover in the RSSH team remains a concern. Although the Secretariat dedicates resources to RSSH through SIs, investments in RSSH continue to be insufficient.** Technical Advice and Partnerships (TAP) has a dedicated RSSH team that has grown over the years. In addition to the RSSH team, a new Health Finance Department (which is part of RSSH) was created in 2021. The RSSH team has developed a network of RSSH focal points who provide support to country teams during grant making. Country teams acknowledged in interviews that this support has been significant. However, Secretariat staff expressed concerns over the high turnover of staff in the RSSH team, which can in part be attributed to heavy workloads and to the fact that several positions are externally funded short-term assignments (with much of the funding coming from the BMGF). Interviews also indicate that RSSH expertise has increased significantly within the TRP, which has been making more recommendations to improve the integration of RSSH in grant making.

1, 3, 30, 32, 57, 124, 133, 139, 141-143, 166, 186, 196, 271, 277



In terms of financial resources, the Strategic Review 2020 reveals that the Global Fund invests approximately USD 0.5 billion yearly on RSSH and is the largest multilateral grant provider in the strengthening of health systems. Overall, 15% of grant funding is budgeted for RSSH. However, Strategic Review 2020 notes that data systems and public sector management account for the majority of RSSH investments, though other areas remain underfunded. Interviews with Secretariat staff indicate that the RSSH team has made efforts to integrate RSSH in grant making, but no corporate accountabilities ensure that this is done consistently. For example, advisors on the three diseases are required to sign off on grants, but this is not the case for the RSSH team. Furthermore, the Strategic Review 2020 also reveals that about 65% of RSSH investments are used for health systems support (which includes recurrent costs of the Ministry of Health), while the remaining 35% is used to strengthen health systems. The Strategic Review 2020 explained that this is partly because of huge needs in RSSH investments, which the Global Fund cannot meet alone, and also because of the overall lack of clarity as to the purpose of RSSH investments. The Strategic Review 2020 also acknowledged that lack of political will for RSSH is a key factor hindering meaningful RSSH investments. Considering that governments decide how to use Global Fund grants to support their NSPs, the Strategic Review recommended that the Global Fund strengthen its support for the development of NSPs to ensure that they reflect better consideration of activities to achieve NSP goals, including considerations for RSSH.

However, the Secretariat does allocate specific resources to RSSH through SIs. For example, the Service Delivery Innovations (SDI) SI – which amounts to USD 39 million – seeks to support better service delivery for the three diseases through RSSH approaches, while the Data SI (USD 35 million) seeks to strengthen data systems for the three diseases.

**2.4.6. Following concerns regarding country capacities to manage RSSH investments, the RSSH team has recently launched a development and learning agenda.** The TERG Thematic Review to Assess the Current Approach to Investments in Resilient and Sustainable Systems for Health (RSSH) (2019) identified gaps in CCM capacity to engage in RSSH-related discussion and prioritisation and to manage RSSH investments. Similar concerns were expressed in the OIG’s 2019 audit report, Managing Investments in RSSH (OIG), which recommended that the Secretariat “assess its capabilities and capacities to deliver on the RSSH roadmap and develop an appropriate learning and development plan for RSSH for the 2020-22 cycle”. The Joint AMAs Progress Report (2021) reported that the recommendation is being addressed through the launch of a learning and development plan for RSSH. Interviews with Secretariat staff confirmed that the implementation of the learning agenda is expected to be completed within the next 18 months. As part of this learning agenda, the RSSH team is also working with CCM representatives to improve country dialogue on RSSH and build the capacities of in-country stakeholders to better manage RSSH investments.

1, 3, 30, 32, 57, 124,  
133, 139, 141-143,  
166, 186, 196, 271,  
277

#### MI 2.4. Evidence confidence

High

## OPERATIONAL MANAGEMENT

*Assets and capacities organised behind strategic direction and intended results to ensure relevance, agility and accountability.*

KPI 3. The operating model and human and financial resources support relevance and agility	KPI score
<b>Highly satisfactory</b>	<b>3.6</b>
<p><b>In recent years, the Global Fund has developed processes to ensure that its organisational structure remains fit for purpose and supports the efficient implementation of its strategy.</b> The Strategy Implementation Team is responsible for organisational planning and prioritisation, and works in close collaboration with the MEC and teams across the Secretariat to ensure cross-organisational collaboration in the implementation of the strategy. Furthermore, the Global Fund adopted a new integrated budgeting process in 2019, whereby the Strategy Policy Hub, finance and human resources work jointly to develop a budget that is aligned with organisational priorities. Further, the roll-out of Strategic Workforce Planning has resulted in a workforce that has become more flexible and responds to emerging organisational needs. Finally, the Global Fund has actively engaged in internal restructuring exercises to ensure that its structure remains fit for purpose. This includes the creation and/or merging of the External Relations and Communications Division (ERCD) team to manage donor relations in an increasingly complex donor landscape, as well as the addition of the new Health Finance Department to support domestic resource mobilisation (DRM) and health financing in a context where more countries prepare for transition.</p> <p>Anchored in its Strategic Objective 4, the Global Fund has a robust resource mobilisation strategy. At its sixth replenishment, launched in 2019 for the 2020-22 cycle, the Global Fund mobilised USD 14 billion in donor pledges, which represents a 15% increase over the previous replenishment cycle. In response to the COVID-19 pandemic, donors pledged an additional USD 4 billion for a total of USD 18 billion. In addition, the Global Fund is strong at mobilising domestic resources, surpassing cofinancing requirements established by the Sustainability, Transition and Cofinancing (STC) Policy. In addition, the Global Fund is effectively diversifying its resource base by engaging increasingly with the private sector and philanthropies.</p> <p>The Global Fund has a clear delegation of authority matrix for AFDs. To ensure business continuity during the COVID-19 pandemic, the Global Fund has further decentralised decision-making processes, which has resulted in a more agile response. In addition, the organisation introduced a new portfolio optimisation process in the 2017-19 funding cycle, whereby underutilised funds are reallocated to grants with higher absorption rates. Funds are reallocated through a prioritisation framework, which ensures that they are strategically invested to achieve higher impact.</p> <p>The Global Fund has a system in place to assess the performance of all its staff. The recent introduction of 360-degree feedback mechanisms and informal check-ins is an improvement over the previous system, which saw performance assessment as a one-off event rather than a continuous process to manage staff performance. The staff performance system is tied to individual objectives set in staff development plans, which are in turn linked to departmental and organisational objectives. The Global Fund has also made progress in rolling out its learning and development programme. However, managing poor performance and ensuring that top talent progresses to leadership positions remain work in progress.</p>	
<b>MI 3.1. Organisational structures and staffing ensure that human and financial resources are constantly aligned and adjusted to key functions</b> <i>Strategic plan as referenced below refers to the Global Fund's strategy.</i>	<b>Score</b>
<b>Overall MI rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.75</b>
Element 1: Organisational structure is aligned with, or being reorganised to, requirements set out in the current strategic plan	4
Element 2: Staffing is aligned with, or being reorganised to, requirements set out in the current strategic plan	3
Element 3: Resource allocations across functions are aligned to current organisational priorities and goals as set out in the current strategic plan	4

Element 4: Internal restructuring exercises have a clear purpose and intent aligned to the priorities of the current Strategic Plan	4
<b>MI 3.1. Analysis</b>	<b>Source document</b>
<p><b>3.1.1. The Global Fund has developed mechanisms to ensure that its structure is working in an efficient and agile way in support of its Strategy.</b> In 2016, to promote a functional organisational structure that serves its Strategy, the Global Fund established the Strategy Implementation Team, which is located in the Strategy Policy Hub (SPH). The Strategy Implementation Team leads organisational planning and prioritisation, working in close collaboration with the MEC and with teams across the Secretariat. The Secretariat developed a business process model to support cross-organisational linkages. In interviews the Secretariat explained that, in light of the new 2023-28 Strategy, it is in the process of updating the business process model, which will detail interdependencies between departments and identify where teams need to interact to ensure the implementation of the strategy. Secretariat staff explained that the Global Fund made a conscious decision to approve Strategy 2023-28 one year ahead of implementation. This is the first time that this has been done and should give the Secretariat sufficient time to restructure to reorganise itself and ensure that the organisation is fit-for-purpose to deliver on Strategy 2023-28.</p> <p><b>3.1.2. The workforce of the Global Fund has become more flexible and aligns with organisational needs, though some gaps in staffing are noted.</b> In 2016 the Global Fund adopted its Building People Together Strategy 2017-22. Structured around seven strategic objectives, the “People Strategy” seeks to build an HR function that will enable the Global Fund to become an innovative and agile organisation. The People Strategy is complemented by the Strategic Workforce Planning (a human resources strategic objective). It seeks, among other things, to build organisational capacity to analyse current and future workforce demographics and trends through an integrated approach to workforce analysis and planning. Workforce planning consists of identifying short-term gaps (over a one-year horizon), as well as medium-term gaps (over a three- to six-year horizon). It is a yearly integrated process that is conducted jointly with SPH, Finance and Human Resources to ensure that workforce planning responds to evolving organisational needs in line with the strategy. Interviewed Secretariat staff mentioned that the workforce has become more flexible in response to emerging needs, with two categories of human resources:</p> <ol style="list-style-type: none"> <li>1. human resources for business as usual,</li> <li>2. human resources for the enablers.</li> </ol> <p>The latter consist of short-term positions created to respond to punctual needs. In the survey, 87% of respondents agree that the Global Fund’s country teams are sufficiently experienced and skilled to successfully manage grants in the different contexts of operation, while 78% agree that the Global Fund has a sufficient number of staff to deliver the results it intends. This is consistent with data gathered through interviews with Board members, who expressed concerns that the Global Fund does not have sufficient human resources to cover all programme areas, with the bulk of staff assigned to high-impact portfolios, while other portfolios suffered from some staff shortages. They also underlined the importance for the Global Fund of further discussing the implications of the new strategy for staffing.</p> <p><b>3.1.3. The Global Fund adopted a new integrated budgeting process, which ensures that resources are aligned with strategic priorities.</b> In July 2019, the MEC approved an integrated organisational planning process. Through this process, strategy planning (SPH), Finance and Human Resources work jointly to develop an OPEX budget that is aligned with strategic priorities. Interviews with the Secretariat staff mentioned that this process ensures that OPEX resources, set at USD 315 million for 2021, are used efficiently in the context of increased pressure on the Secretariat to deliver on strategic objectives in the context of the COVID-19 pandemic. As per this new integrated organisational planning</p>	10, 46, 47, 158, 171

<p>process, the Audit and Finance Committee approves and endorses the budgeting approach in Q1 with budget and workforce baselines subsequently established. Shortly thereafter, annual organisational priorities are endorsed and initial budget requests are made by teams across the Secretariat. These requests are reviewed jointly by SPH, Finance and Human Resources, and budget recommendations take into consideration organisational priorities and team requests. Recommendations are considered by the Executive Director and the budget is subsequently reviewed by the AFC, which advises the Board on the budget. The Board has final approval authority. The 2021 OPEX Budget and Corporate Work Plan confirms that the new integrated budgeting process was used to align OPEX resources with strategic requirements.</p> <p><b>3.1.4. There are multiple examples of how the Global Fund has engaged in internal restructuring exercises to ensure that the organisation is fit-for-purpose and well positioned to meet strategic objectives.</b> In the last three years, the Global Fund has restructured departments or improved their functioning to ensure that the organisation remains agile and fit-for-propose. As noted in KPI 2 (see above), a transformation of the Community, Rights and Gender team was implemented in 2019 to ensure that the organisation is positioned to achieve SO3 on HRG. In addition, the Work Plan and Budget Narrative (2019) reports a transformation of the Global Fund's Supply Operations Function to enhance organisation capabilities in supply chain management and improve procurement practices. Furthermore, in response to dwindling donor resources and an increasingly competitive fundraising landscape, the Secretariat merged its external relations and communications functions into a single business unit. The new External Relations and Communications Division (ERCD) is expected to be able to manage larger donor portfolios to support the achievement of resource mobilisation targets. Another example is the creation of the new Health Finance Department, which shows that the organisation is increasingly committed to supporting DRM and domestic health financing, as more countries progress along the development continuum and prepare for transition. Another major change to the organisation structure has been the creation in 2020 of the COVID-19 Response Mechanism (C19RM) Secretariat, whose purpose is to coordinate funding requests from countries to fight the COVID-19 pandemic: support those teams that are reviewing the requests; and bring the outcomes of these reviews to the Investment Committee for decision.. In the survey, 91% of respondents 'Agree' that the Global Fund has been able to adapt its operating model in response to COVID-19 to ensure operational continuity.</p>	10, 46, 47, 158, 171
<p><b>MI 3.1 Evidence confidence</b></p>	
<p><i>The evidence confidence is medium because there are no independent evaluations or audits that examine the effects of new organisational structuring, in particular the integrated budget process and strategic workforce planning.</i></p>	
<p><b>MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities</b>  <u>Resource mobilisation refers to both funds generated through the replenishment process and those generated as part of domestic resource mobilisation.</u>  <u>Strategic Plan as referenced below refers to the Global Fund's Strategy.</u></p>	Score
<p><b>Overall MI rating</b></p>	Satisfactory
<p><b>Overall MI score</b></p>	3.5
<p>Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan</p>	4
<p>Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector</p>	3
<p>Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities</p>	3

Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the strategic plan/relevant country plan	4
<b>MI 3.2 Analysis</b>	<b>Source document</b>
<p><b>3.2.1. The Global Fund has an effective resource mobilisation strategy that is aligned with the Strategy 2017-21.</b> As a grant-making organisation, resource mobilisation is a central element of the Global Fund. “Mobilising increased resources” is the fourth strategic objective of the Global Fund (SO4). At every replenishment, the Global Fund mobilises public and private resources for its three-year funding cycle through an investment case for the three diseases. The Investment Case for the Sixth Replenishment, launched in 2019 for the 2020-22 cycle, sets a resource mobilisation target of at least USD 14 billion, which represents a 15% increase over resources mobilised during the Fifth Replenishment Period. The 2021 Financial Performance Report confirms that the Global Fund has achieved 129% of its pledge target, with announced pledges of USD 18.08 billion against an initial target of USD 14 billion. This is largely driven by additional donor pledges made to the C19RM. Secretariat staff explained in interviews that the Global Fund was quick to adjust its processes to respond to the COVID-19 pandemic and that this agility contributed to attracting additional donor funding. In addition, the Global Fund has also spearheaded resource mobilisation efforts under the ACT-Accelerator Partnership to support the delivery of treatments, diagnostics and personal protective equipment (PPE) to low-to-middle-income countries in the context of the COVID-19 pandemic. In 2021, The Global Fund initiated preparations for the Seventh Replenishment, which is one of six organisational priorities funded by the OPEX budget. Activities for this priority include rolling out a refreshed branding strategy, articulating a new investment case, and developing a replenishment campaign.</p> <p><b>3.2.2. The Global Fund has made efforts to diversify its resource base through increased engagement with non-governmental donors, although this remains a work in progress.</b> The Global Fund’s Strategy 2017-21 recognises the importance of diversifying its funding base, seeking to engage with both public and private donors. As a public-private partnership, the Global Fund has the ability to mobilise resources from both donor countries and the private sector. At the Sixth Replenishment, the Global Fund secured pledges from 16 private sector donors – a two-fold increase over the Fifth Replenishment. In interviews staff Secretariat also indicated that efforts had been made to engage with philanthropic foundations. However, the Pledges and Contributions Report (July 2021) indicates that mobilising resources from non-governmental donors remains a work in progress, with about 90% of resources coming from governments and the remainder from the private sector and philanthropies. A single non-government donor (the Bill and Melinda Gates Foundation) provides the majority of contributions for that group. Still, the Secretariat continues to make efforts to engage with the private sector. The Secretariat’s update on resource mobilisation presented to the Board in November 2021 confirmed that the Global Fund has entered in discussions with the World Economic Forum (WEF) to explore innovative partnerships with the private sector in the context of the COVID-19 pandemic.</p> <p><b>3.2.3. The Global Fund has signed agreements with multiyear payment schedules and the conversion of pledges into contributions is on track.</b> At each replenishment, the Global Fund has a good overview of the funds that it expects to receive over its three-year funding cycle through donor pledges (which, as noted above, amounted to USD 14 billion for the Sixth Replenishment). The update on resource mobilisation presented to the Board in November 2021 reports that the conversion of pledges into contributions is largely on track: the Global Fund has signed contribution agreements with 71% of public donors and 88% of private sector donors. In addition, it confirms that the majority of public donors (32 out of 41) have signed agreements with multiyear payment schedules.</p>	1, 3, 7, 9, 10, 11, 118, 133, 156, 269, 270

<p><b>3.2.4. The Global Fund has strong processes in place to promote domestic resources mobilisation, with cofinancing requirements that consider specific country needs.</b> Under SO4 (“mobilising increased resources”) of the Strategy 2017-22, one operational objective focuses on raising domestic resources through government cofinancing in grant making. A key element is for cofinancing to incentivise greater national health financing for the three diseases. Therefore, the strategy also aims to provide technical support for the development of national health financing strategies and support for the integration of the three diseases in national health insurance schemes. The strategy also recognises the importance of engaging with national decision-makers such as ministries of finance and parliamentarians to influence national health financing. The 2016 Global Fund STC Policy specifies cofinancing requirements, which vary according to the country. Cofinancing requirements increase as countries move closer to transition and are progressively expected to absorb the costs of key programme components, such as human resources and procurement. Cofinancing requirements also offer some flexibility for countries with lower income levels and budgetary constraints limiting their ability to meet the 15% target on public spending for health. The 2020 Strategic Performance Report confirms that corporate targets on cofinancing have largely been surpassed, with cofinancing investments reaching 129% of STC Policy requirements. Cofinancing commitments have increased by 41% in the 201820 cycle over the previous cycle. The 2020 Strategic Review recognises the notable progress made in the application of cofinancing requirements, but also expressed concerns over the shrinking fiscal space in many countries to increase domestic financing for health which has been further exacerbated by the COVID-19 pandemic and could negatively affect the Global Fund’s DRM efforts going forward. In interviews Board members praised the Global Fund for its efforts on DRM.</p>	<p>1, 3, 7, 9, 10, 11, 118, 133, 156, 269, 270</p>
<p><b>MI 3.2 Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 3.3. Resource reallocation/programming decisions responsive to needs can be made at a decentralised level</b> <i>The Global Fund has guidelines for the materiality of reprogramming decisions and which individuals/organisational units need to be involved. Assessment will be made on that basis.</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Highly Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3.75</b></p>
<p>Element 1: An organisation-wide policy or guidelines exist that describe the delegation of decision-making authorities at different levels of the organisation</p>	<p>4</p>
<p>Element 2: Policy/guidelines or other documents provide evidence of a sufficient level of decision-making autonomy available at the country level (or other decentralised level, as appropriate) regarding resource reallocation/programming</p>	<p>4</p>
<p>Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level as appropriate <i>This includes dialogue between country teams and country coordinating mechanisms.</i></p>	<p>3</p>
<p>Element 4: The MO has made efforts to improve or sustain the delegation of decision-making on resource allocation/programming to the country or other relevant levels</p>	<p>4</p>
<p><b>MI 3.3 Analysis</b></p>	<p><b>Source document</b></p>
<p><b>3.3.1. The Global Fund has a clear policy in place detailing levels of delegation of authority for funding decisions.</b> The AFDs and Disbursements Policy Note (2016) describes the levels of delegation of authority for AFDs. Approvals for AFD are broken down into three categories:</p> <ol style="list-style-type: none"> <li>1. up to and including USD 20 million;</li> </ol>	<p>25, 26, 147, 169, 207, 269</p>

2. above USD 20 million and up to (and including) USD 40 million;
3. above USD 40 million.

Operational team have the authority to approve decisions of up to USD 20 million. For the second category, approval is required from both the operational team and the head of the portfolio department in GMD. ADF above USD 40 million require the approval of the Division Head in GMD. In interviews country teams said they were satisfied with the level of delegation of authority and that the delegation of authority (DOA) matrix was clear. Of survey respondents, 85% agreed that the Global Fund staff/ country teams can make critical programming decisions for the country grants.

**3.3.2. The Global Fund has a clear policy and guidelines to reprogramme funds through its portfolio optimisation process.** In its 2017-19 funding cycle, the Global Fund introduced a mechanism for portfolio optimisation, which is detailed in the Comprehensive Funding Policy (2016). Through the portfolio optimisation process the Secretariat analyses fund absorption rates and reallocates unabsorbed funds (with AFC approval) to grants that have a higher absorption rate, using a prioritisation framework to direct the investments of additional resources where there is potential for greater impact. Funding applicants are also asked at the design stage to draw up a list of additional activities that could be funded should additional funding become available. This list is then analysed by the Secretariat to prioritise the reprogramming of funds.

**3.3.3. Despite a few gaps, the Global Fund has strong processes to reallocate underutilised funding. Increased levels of delegation of authority have also allowed the Secretariat to respond to the COVID-19 pandemic in an agile way.** In interviews Secretariat staff describe the portfolio optimisation process as a success, with USD 747 million in funds reallocated through the portfolio optimisation process during the 2017-19 funding cycle. Furthermore, the AFC Chair's notes from its October 2021 meeting confirms that the AFC has just approved USD 100 million for portfolio optimisation for 2022. Interviewed country teams expressed positive views regarding the portfolio optimisation process, and provided several examples of how this process has allowed them to funds activities in areas that have been underfunded (e.g. HIV programming in Sudan) or to purchase additional material (e.g. bed nets in Togo). The audit of the Global Fund's internal financial controls in 2021 found that the Global Fund successfully analyses variances between planned and disbursed funds as part of its corporate-level portfolio optimisation process. However, the audit also found wide variances between forecasted and actual purchase orders in the Global Fund's Pooled Procurement Mechanism (PPM). Misalignment between PPM and disbursement mechanisms has hindered the ability of country teams to reprogramme leftover PPM funds for grant implementation.

Regarding COVID-19, the OIG Audit of Emergency Preparedness (2021) reported that the Executive Director approved a revised decision-making framework to allow some operational decisions to be approved at lower levels to ensure business continuity within the context of the pandemic. The audit found that this expedites the decision-making process and increases operational flexibilities in response to COVID-19. Interviews with country teams confirmed that the Global Fund has been particularly agile in its response to the COVID-19, either through the swift inclusion of funding in grant revisions, or through additional funding from the C19RM. In the survey 93% of respondents agree that the Global Fund has been able to adapt its programming and financing to respond to COVID-19 in an agile and responsive way.

**3.3.4. The Global Fund makes continuous organisational improvements to ensure an optimal use of funds.** As mentioned in other elements, the Global Fund has made continuous improvements to improve the reallocation of funds in recent years, notably through the introduction of the portfolio optimisation process in the 2017-19 cycle.

25, 26, 147, 169, 207, 269

<b>MI 3.4. HR systems and policies are performance-based and geared to the achievement of results</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.4</b>
Element 1: A system is in place which requires all staff, including senior staff, to undergo performance assessment	4
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation for all staff and to the required frequency	3
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other entities	4
Element 4: Staff performance assessment is applied in decision-making on promotion, incentives, rewards, sanctions etc.	2
Element 5: A clear process is in place to manage disagreement and complaints regarding staff performance assessments	4
<b>MI 3.4. Analysis</b>	<b>Source document</b>
<p><b>3.4.1. The Global Fund has a system in place to assess the performance of its staff, including senior staff.</b> Performance and development are at the heart of the Global Fund’s human resources management. In January 2020 the Global Fund redesigned its performance management process, which is linked to a unified competency framework. The Performance and Development Framework is structured around three key elements:</p> <ol style="list-style-type: none"> <li>1. objective setting, jointly agreed by the staff member and line manager;</li> <li>2. a staff development plan;</li> <li>3. informal check-ins between staff members and their line managers to discuss performance and progress towards objectives.</li> </ol> <p>In addition to informal check-ins, all staff are expected to undergo a performance evaluation at the end of each performance cycle. Interviewed Secretariat staff highlighted that the new performance management process include 360-degree feedback mechanisms, which was something that was lacking in the past.</p>	21, 87, 171, 214, 216-218
<p><b>3.4.2. Yearly performance assessments are applied, but the MOPAN assessment team did not find documentary evidence of the application of informal check-ins and 360-degree feedback.</b> The audit report on Global Fund Human Resources Management Processes (2019), found that “performance management processes and procedures are generally well established at the Secretariat”. Interviewed Secretariat staff confirmed that the revamped performance assessment process is in place and implemented systematically. However, the assessment team did not find other lines of evidence that would confirm that regular check-ins and the new 360-feedback process is occurring as planned.</p>	
<p><b>3.4.3. The performance assessment system is tied to a staff development programme whose design was informed by organisational needs.</b> One of the objectives of the People Strategy is to “develop and deploy a learning and development framework that enables employees at all levels to have the competencies and skills to execute the Strategy 2017-22”. This objective is supported by the human resources strategic objective Learning and Leadership Development, which entails the roll-out of a learning programme to help employees deliver on the Global Fund’s Strategy. Secretariat staff confirmed in interviews that a specialist on learning and development sought inputs from the departments regarding skills and competency needs to inform the design of learning programmes.</p>	



As per the 2021 Employee Handbook, learning and leadership opportunities now offered by the Global Fund include new employee induction, coaching, mentoring, leadership training, external training and detailed assignments. Learning opportunities are linked to individual staff development plans, which are developed on the basis of skills and competencies needed to perform an employee's current function, as well as short-term career aspirations. Secretariat staff explained that performance objectives and development actions in staff development plans are also selected based on an analysis of organisational and departmental priorities. According to a 2021 update on the implementation of the People Strategy, the implementation of Learning and Leadership Development is progressing as planned.

**3.4.4. The Global Fund has a staff recognition framework, but rewarding top talents and managing poor performers remain work in progress.** The Employee Handbook states that a key element of the Global Fund's performance and development approach is performance recognition. Through its Recognition Framework, the Global Fund offers letters of recognition and awards to high performing individuals and teams. Interviewed Secretariat staff also confirmed that high-performing employees received financial rewards in 2020. However, they also confirmed that the Global Fund does not link good employee performance to promotion, which is a highly rigorous process done through competitive calls. This said, a central element of the People Strategy is to attract and retain highly qualified staff, and the importance of career progression is therefore recognised. To achieve this, the HR Department launched the Integrated Talent Management Strategic Objective. A key element of this strategic objective is "people reviews", a process through which line managers and department heads would discuss how high-performing staff can become top talents and fill leadership positions through succession planning. However, the people reviews were deprioritised in 2021, in part due to the COVID-19 pandemic, and are now set to be implemented in 2022.

With respect to linking performance assessments to sanctions, the 2019 audit report, Global Fund Human Resources Management Processes, expressed concern over the inadequate management of poor staff performance. Interviews with Secretariat staff revealed that managing poor staff performance remains challenging, but that some efforts have been made to address this issue. For example, the HR Department recently issued a checklist informed by international best practice to help line managers identify and manage poor performers. This checklist is expected to be complemented by training for line managers on how to manage poor performance.

**3.4.5. The Global Fund has a process to manage disagreements regarding staff performance assessments and there is evidence of use.** The Employee Handbook (2021) includes a section describing the procedure for resolving disagreements relating to performance evaluation ratings. The process starts informally, whereby a staff member attempts to sort out a disagreement with their line manager. If unsuccessful, the staff member has the right to file a formal disagreement to the HR Department, which has 60 days to determine whether a revision in performance evaluation rating is warranted. If an employee disagrees with the decision of the HR Department, he or she may file an appeal with the Global Fund Appeal Board. In interviews Secretariat staff confirmed that this process was used in the 2020 performance cycle to resolve one case of disagreement.

21, 87, 171, 214, 216-218

**MI 3.4. Evidence confidence**

**Medium**

*The assessment team is lacking evidence of the extent to which the revised performance assessments system, including the 360-feedback process, is applied consistently to all staff.*

KPI 4. Organisational systems are cost- and value-conscious and enable financial transparency and accountability	KPI score
Satisfactory	3.27

**The Global Fund's allocation-based funding model uses transparent allocation criteria that considers a country's income level and disease burden to ensure that allocations are made in line with strategic objectives related to the three diseases, that they respond to the greatest needs, and that all partners are held accountable.** In addition, some allocations are set aside to address the needs of higher-income countries where the disease burden is concentrated in key populations. Mindful that the Global Fund cannot achieve strategic objectives through country allocations alone, it also offers catalytic funding that either complement country allocations (e.g. matching funds) or enhance organisational performance (e.g. through SIs) to improve results in grant making. In response to the COVID-19 pandemic, the Global Fund has also introduced C19RM, which allocates funding using transparent criteria to help countries address COVID-19 within the context of the three diseases.

To ensure that resources are used in an optimal way, the Global Fund has a control framework that requires funds to be absorbed before additional funds can be disbursed. The Global Fund closely monitors fund absorption, with a grant absorption rate of 81% for 2018/20 against a 75% target. Recently, the Global Fund has made efforts to strengthen the Performance Update and Disbursement Request (PU/DR) process so that expenditures are reported more efficiently and funds disbursed more quickly. Despite a few gaps, the disbursement process is efficient overall. Financial reports also report on fund utilisation and explain variations where relevant.

Performance-based financing is one of the four principles of the Global Fund's Strategy 2017-22. In funding requests, applicants are required to align expected investments with the relevant disease components (i.e. HIV, TB and malaria) and with efforts to build resilient and sustainable systems for health (RSSH). However, while allocation letters give clear guidance to countries for the funding to be invested per disease, they do not indicate amounts to be invested in RSSH. In line with the principles of performance-based funding, grant disbursements are tied to the PU/DR process, which reports on outputs achieved. The Global Fund also offers a payment-for-results modality, which ties funding disbursements to the achievement of outcomes in the three diseases, though few grants use this modality yet. Finally, the OPEX budget recently introduced new budget categories, each of which has been allocated a resource envelope.

Global Fund external audits are performed in accordance with international standards. KPMG, which is the Global Fund's external auditor, also acts as local fund agent (LFA) in some countries. However, it should be noted that KPMG (Switzerland) SA serves as the external auditor, whilst separate entities, which are not part of KPMG (Switzerland) SA but partners within the KPMG International Limited Network, may serve as LFAs subject to conflict-of-interest clearance. The AFC provides this clearance. The 2020 external auditor's report confirms that financial statements comply with international standards.

The Office of Inspector General (OIG) is responsible for providing assurance of the Global Fund's internal controls through the conduct of internal audits. Overall, the Global Fund's has strengthened its internal control mechanisms in recent years. The OIG is also responsible for investigating cases of fraud or misconduct in programmes financed by the Global Fund and by grant implementors within the scope of the OIG Charter. The Global Fund has guidelines for staff to report suspected cases of misconduct, and there are clear standard operating procedures (SOPs) for management to handle these cases. The OIG reports to the Board on investigations of misconduct and also provides updates on the implementation of audit recommendations. Implementation of AMAs falls under remit of the Secretariat. Nearly one-third of open AMAs are long overdue (over 180 days), though this proportion was much lower in November 2019 (8.7%), prior to the onset of COVID-19 pandemic.

The Global Fund has an anti-corruption policy, Policy to Combat Fraud and Corruption (PCFC), and functioning whistle-blower mechanisms. In addition, it has provided training on and raised awareness of anti-fraud and corruption, particularly through its I Speak Out Now! Platform. In addition, the Global Fund effectively recovers non-compliant expenditures. However, the Board has raised some concerns over the implementation of the PCFC. In response, the Secretariat developed in 2021 a PCFC Implementation Plan, which should be fully rolled out by 2024.

An organisation-wide Operational Framework on the Protection from Sexual Exploitation and Abuse, Sexual Harassment (PSEAH), and Related Abuse of Power was approved in July 2021. Along with the codes of conduct for employees, recipients, suppliers, CCM members and governance officials, it contains explicit PSEAH-related prohibitions that cover all personnel and are aligned with international best practice. Mechanisms are currently being developed to regularly track its status of operationalisation. While there are already dedicated resources and structures established, especially at HQ level, measures are yet to be strengthened to ensure operationalisation at the country level.

The Global Fund commits to a victim-centred approach to PSEAH. The framework outlines how, in practice, it will prioritise facilitating the delivery of support to victims/survivors. However, it is too early to assess the extent to which the Global Fund is following through on these commitments, as no evaluations or audits of the PSEAH approach have been undertaken to date. Regular training and awareness-raising on SEAH policies is conducted by OIG, together with the HR and Ethics Offices. The Global Fund contributes to inter-agency efforts on PSEAH at the HQ and field levels, through discussions with key actors in public health and proactive involvement in the Inter-Agency Standing Committee (IASC) Thematic Experts Group on PSEAH, which works to standardise best practices across the sector. One of the concrete outcomes to date has been to connect with IASC networks at country level. However, there is no evidence that the organisation feeds into inter-agency human resource mechanisms relating to SH issues.

<b>MI 4.1. Transparent decision-making for resource allocation, consistent with strategic priorities over time (adaptability)</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Highly Satisfactory</b>
<b>Overall MI score</b>	<b>4</b>
Element 1: An explicit organisational statement or policy is available that clearly defines criteria for allocating resources to partners	4
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current strategic plan <i>Strategic plan refers to the Global Fund's strategy.</i>	4
Element 3: Resource allocation mechanisms allow for adaptation in different contexts	4
Element 4: The organisational policy or statement is regularly reviewed and updated	4
<b>MI 4.1. Analysis</b>	<b>Source document</b>
<p><b>4.1.1. The Global Fund has transparent resource allocation criteria that are communicated to partners clearly.</b> The Global Fund's allocation-based funding model was first introduced in the 2014/16 funding cycle. A country's eligibility to receive Global Fund allocation per disease component (i.e. HIV/AIDS, TB and malaria) is set out in the 2018 Global Fund Eligibility Policy. Income classification based on gross national income is the first criterion used to determine eligibility. Low-income countries and low-to-middle-income countries are eligible to receive an allocation regardless of the disease burden, while the burden per disease component is used to determine eligibility among middle-income countries. Country allocations are then made in every three-year funding cycle through the Allocation Methodology Framework, which defines the criteria for resource allocation. Interviewed Secretariat staff explained that, prior to the introduction of the allocation model, country allocations were made using a round-based systems, whereby countries would submit proposals without a predefined funding ceiling. A key advantage of this model is that it provides countries with predictable funding to engage with the Global Fund. In MOPAN's partner survey, an overwhelming majority of partners (89%) agree that the Global Fund's strategic allocation of resources is transparent and coherent with agreed strategic priorities. Similarly, 93% agree that the Global Fund openly communicates the criteria for allocating financial resources.</p>	1, 92, 93, 95, 267

**4.1.2. The allocation methodology is designed to respond to needs and achieve strategic objectives for the three diseases.** According to the allocation methodology (2020-22), country allocations are determined through the global disease split, the allocation formula and qualitative adjustments. To support the achievement of strategic objectives for the three diseases, Global Fund resources are distributed across the three diseases as follows: 1) HIV/AIDS (50%); 2) TB (18%); 3) malaria (32%). The allocation formula then considers a country's economic capacity and diseases burden to ensure that resources are allocated according to the highest needs. Interviewed Secretariat staff explained that in the previous round-based system, the Global Fund had no clear overview of whether funding was distributed to countries with the greatest needs. In the survey, 89% of respondents agree that the Global Fund's allocation methodology and policies support the effective implementation of the mandate and strategy. However, views tended to diverge among respondent groups, with all in-country partners agreeing and approximately 15% of external partners and private sector/academia/civil society partners expressing varying degrees of disagreement.

In addition, mindful that strategic objectives cannot be achieved through country allocations alone, the Global Fund offers catalytic funding, which is provided through three modalities:

1. Matching funds, which are provided to the country and complement country allocations.
2. Multicountry funds.
3. Strategic initiatives (SIs), which are intended to increase overall performance and results of country grants through different workstreams such as innovations, improved service delivery and human rights. For the 2020-22 cycle, there are there are 19 workstreams totalling USD 343million.

1, 92, 93, 95, 267

**4.1.3. The allocation methodology is flexible enough to be applied to different contexts.** The current allocation formula is insufficient to capture the particular needs of countries where the disease burden is concentrated among key populations (e.g. in a higher-income country with an overall lower burden of disease) and the allocation methodology (i.e. Band 4) foresees allocations for these populations. In 2020, in response to the COVID-19 pandemic which disrupted Global Fund programmes in 92 countries, the Global Fund created the COVID-19 Response Mechanism (C19RM), which allocates funding to countries to address COVID-19 in the context of the three diseases. Global Fund C19RM Funding Request Instructions include details on what can be funded through the mechanisms. As of August 2021, the C19RM had granted USD 2,623 million in funding to address COVID-19 in the context of the three diseases, which amounts to approximately 20% of the 2020-22 allocation.

**4.1.4. The Global Fund periodically reviews its resources allocation criteria to ensure that it is consistent with the evolution of the disease burden.** The allocation model is reviewed every funding cycle to ensure that the criteria are based on an analysis of the latest epidemiological context. In interviews Secretariat staff explained that the allocation methodology has become a stable model in recent years, and that the last revisions consisted of some minor adjustments to the malaria burden indicator. In November 2021, in light of the adoption of Strategy 2023-28, the Global Disease Split for the 202325 methodology was reviewed.

#### MI 4.1. Evidence confidence

High

<b>MI 4.2. Allocated resources disbursed as planned</b> <i>Analysis was done primarily at the policy level rather than examining individual grants.</i>	<b>Score</b>
<b>Overall MI rating</b>	<b>Highly Satisfactory</b>
<b>Overall MI score</b>	<b>3.75</b>
Element 1: The institution sets clear targets for disbursement to partners	4
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	3
Element 3: Clear explanations, including changes in context, are available for any variances against plans	4
Element 4: Variances relate to external factors rather than to internal procedural blockages	4
<b>MI 4.2. Analysis</b>	<b>Source document</b>
<p>4.2.1. <b>Disbursement targets are clearly outlined in the AFD.</b> Countries get a general overview of the amount of funding that they will receive throughout the funding cycle through the country allocation letter. Subsequently, applicants submit a funding application for grant approval. Once a grant is approved, it is subject to the AFD and disbursement processes (as detailed in the Operational Policy Manual). The AFD amount represents yearly disbursement targets. Over a funding cycle, a total of three AFDs are approved and a disbursement schedule is determined for each. The first AFD amount is based on the approved grant budget. To determine the second and third AFDs, the country team's finance specialist uses as a starting point the amounts proposed by the principal recipient (PR) or LFA in the PU/DR process. The specialist may propose adjustments as needed based on his or her assessment of two factors: 1) annual performance (programmatic and financial performance); and 2) PR cash expenditure forecast.</p> <p>4.2.2. <b>Grant absorption rates are strong and, despite a few gaps, disbursements to partners are efficient.</b> The Global Fund has a control framework that requires funds to be disbursed only when needed, once funds have been absorbed. The Global Fund closely monitors grant absorption through KPI 7A of its KPI Framework. The Strategic Performance Report of mid-2021 reports that overall grant absorption rate is at 81% for 201820, which is above the 75% target. The Strategic Review 2020 found that, despite some gaps, the Global Fund has increased allocative efficiencies in the three diseases, but that grants related to RSSH tend to have lower absorption rates. Interviewed Secretariat staff explained that the Global Fund has conducted PU/DR strengthening activities to enhance expenditure reporting and ensure more timely disbursements. Interviewed country teams agreed that efficiencies in disbursements have increased significantly in recent years, in part because of the introduction of the Grant Operating System (GOS), which includes a module on disbursements. Even so, the 2021 audit report of Global Fund Internal Financial Controls expressed concerns that disbursements are sometimes made toward the end of a grant execution period due to stringent requirements in the disbursement control framework, which could result in activities not being implemented within the agreed time frame. In the survey, 92% of respondents agree that the Global Fund provides reliable information on when financial allocations and disbursement will happen and for how much.</p> <p>4.2.3. <b>Financial reports show and explain variances between fund utilisation and planned budget.</b> Through the Global Fund's KPI Framework, the organisation monitors allocation utilisation (KPI 7a), which reached 96% of the Sixth Replenishment disbursed or forecasted, according to the Strategic Performance Report of mid-2021. In addition, the Annual Financial Report (2020) confirms a 99% utilisation of planned resources for SIs. Furthermore, it reports that operating costs totalled USD 298 million against a planned budget of USD 305 million. Variances in the OPEX budget are explained.</p>	17, 44, 133, 263

<p>4.2.4. <b>Variations observed are generally attributed to external factors.</b> For example, the 2020 Annual Financial Report confirms savings in Global Fund operating costs, which were incurred as a result of reduced travel in the context of the COVID-19 pandemic. Savings were reinvested to strengthen IT systems for remote operations. Similarly, the annual report also details foreign exchange gains and losses.</p>	17, 44, 133, 263
<p><b>MI 4.2. Evidence confidence</b></p>	High
<p><b>MI 4.3. Principles of results-based budgeting applied</b>  <i>Assessment was based on the financial function (allocation and disbursement), with an examination done across grants, diseases, and activities.</i></p>	Score
<p><b>Overall MI rating</b></p>	Satisfactory
<p><b>Overall MI score</b></p>	3
<p>Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current strategic plan  <i>Strategic plan refers to the Global Fund's strategy.</i></p>	3
<p>Element 2: A budget document is available that provides clear costs for the achievement of each management result</p>	4
<p>Element 3: Systems are available and used to track costs from activity to result (outcome)</p>	3
<p>Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)</p>	2
<p><b>MI 4.3. Analysis</b></p>	Source document
<p>4.3.1. <b>The Global Fund does not have a corporate budget detailing the allocation of resources per strategic objective. Allocation letters and subsequent funding requests are aligned with the three diseases (SO1), but not with other strategic objectives.</b> Interviewed Secretariat staff explained that – as a grant-making organisation – the Global Fund does not use the term “results-based budgeting”, but rather “results-based financing”. As noted in MI 4.1, Global Fund resources are distributed across the three diseases as follows: 1) HIV/AIDS (50%); 2) TB (18%); 3) malaria (32%). The country allocation for each of the three diseases is calculated using the allocation methodology and communicated to countries through the allocation letter. Because the Global Fund operates on the basis of country ownership, it is countries that decide how to prioritise resource allocations within this broad resource envelope. Therefore, there is no corporate budget providing detailed budgetary information per outcome area. The Strategic Review found that allocation letters for the 2017-19 cycle suggested a percentage to be allocated to RSSH. However, guidance for the 2020-22 funding cycle is much vaguer by indicating that countries RSSH investments are “welcomed” without specifying an investment range. Using the funding request form for the 2020-22 allocation period, applicants are required to explain, using the Global Fund Modular Framework, how each module (and expected investment) aligns with the relevant disease components (i.e. HIV, TB, malaria) and RSSH. Therefore, country budgeting is done in alignment with SO1 and SO2. However, the funding request form does not require applicants to specify expected amounts of investments for gender equality and human rights, even though this is a Strategic Objective.</p> <p>4.3.2. <b>The OPEX budget is structured according to budget category and organisational priority.</b> The OPEX budget, which sets the organisation’s operating expenses, has a cap of USD 300 million. In 2021, the Global Fund introduced three new OPEX budget categories to bring greater differentiation to resourcing, as follows: 1) core operations, 2) cyclical enablers, 3) priorities. Funding was allocated to each budget category. In addition, the priority category included six organisational priorities to enable the achievement of results.</p>	1, 44, 56, 57

<p>These were:</p> <ol style="list-style-type: none"> <li>1. proactively mitigate impact of COVID-19,</li> <li>2. launch next cycle of grants and accelerate support to national programmes in COVID-19 context,</li> <li>3. drive efficiency and effectiveness,</li> <li>4. invest in people and build strategic capabilities,</li> <li>5. finalize the next strategy and prepare for implementation,</li> <li>6. build Global Fund brand and prepare for Seventh Replenishment.</li> </ol> <p>Each priority has been allocated a resource envelope.</p> <p><b>4.3.3. Performance-based financing is one of four principles of the Global Fund Strategy 2017-22.</b> Interviewed Secretariat staff explained the total grant amount as defined at an early stage and, subsequently, disbursements are tied to the PU/DR, which report on effectiveness (although this approach is mostly based on output reporting). The Global Fund also offers a payment-for-results modality, which ties funding disbursements to the achievement of outcomes in the three diseases. In addition, interviewees noted that the allocation methodology includes a qualitative criterion that considers effectiveness, which can lead to stronger performers being allocated more funding. In the survey, 88% of partners agree that the Global Fund applies principles of results-based budgeting and tracks grant expenditures according to results. Global partners expressed less positive views than other partners.</p> <p><b>4.3.4. In the current cycle, the Global Fund has increasingly been emphasising the payment-for-results approach, although this is still work in progress.</b> Interviews indicated that payment for results has been further emphasised in the 2020-21 guidance, but that few grants are made using a payment-for-results approach. The MOPAN assessment team did not find evidence to rate this MI.</p>	1, 44, 56, 57
<b>MI 4.3. Evidence confidence</b>	<b>High</b>
<b>MI 4.4. External audit or other external reviews certify that international standards are met at all levels, including with respect to internal audit</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Highly Satisfactory</b>
<b>Overall MI score</b>	<b>3.75</b>
Element 1: External audit conducted which complies with international standards	4
Element 2: Most recent external audit confirms compliance with international standards across functions	4
Element 3: Management response is available to external audit	3
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	4
<b>MI 4.4 Analysis</b>	<b>Source document</b>
<p><b>4.4.1. External audits are conducted in accordance with international standards.</b> Annual financial statements produced by the Global Fund are subject to an external audit by KPMG. As referenced above, separate legal entities which are not KPMG (Switzerland) SA, but are partners in the KPMG International Limited Network, may act as LFAs subject to conflict-of-interest clearance. The external audit confirms that it was conducted in accordance with International Standards on Auditing (ISAs). It also confirms that the external auditor is independent of the Global Fund and complies with the International Ethics Standards Board for Accountants Code of Ethics for Professional Accountants. In some countries, KPMG also assumes the function of LFA. Interviewed Secretariat staff explained that the potential conflict of interest that arose from this was assessed by the AFC, which gave clearance; and measures were adopted to manage the conflict of interest.</p>	13

<p>4.4.2. <b>The External Auditor’s report confirms that financial statements comply with international standards.</b> As per the Comprehensive Auditor’s Report (draft to the Board of Directors in 2020), the responsibility of the external auditor is to analyse information presented in the Global Fund’s annual financial statements and to consider whether the information is materially inconsistent with financial statements obtained through the external audit. The auditor’s report confirms that it has not identified any material misstatements.</p> <p>4.4.3. <b>A management response to the external audit is available, but not public.</b> A management response accompanies the Comprehensive Auditor’s Report to the Board of Directors. This management response is submitted to the Board of Directors but it is not publicly available.</p> <p>4.4.4. <b>The management response provides an action plan to address gaps.</b> For each external audit recommendation, the management response details the set of actions that will be taken to address identified gaps. It also identifies a clear timeline for when the action is expected to be completed.</p>	13
<b>MI 4.4. Evidence confidence</b>	<b>High</b>
<b>MI 4.5. Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards, etc.) adequately addressed</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.4</b>
<p>Element 1: A clear policy or organisational statement exists on how issues identified through internal control mechanisms/reporting channels (including misconduct such as fraud and sexual misconduct) will be addressed</p> <p><i>Relevant at both Secretariat and country level, taking the approach that PRs are accountable for SRs and SSRs. PR should operate as the initial reporter.</i></p>	3
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues and include timelines	4
Element 3: Clear guidelines are available for staff on reporting any issues identified	3
Element 4: A tracking system is available that records responses and actions taken to address any identified issues	4
Element 5: Governing body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external) with clear timelines for action	3
<b>MI 4.5. Analysis</b>	<b>Source document</b>
<p>4.5.1. <b>Global Fund’s internal controls have improved, but gaps remain.</b> Overseen by the Audit and Ethics Committee (AEC), the Ethics and Integrity Framework of the Global Fund to Fight AIDS, TB and Malaria (2014) identifies the importance of an integrated compliance and anti-corruption programme. The framework addresses multiple types of misconduct, including fraud and sexual misconduct. As per the OIG Charter, it is the OIG that is responsible for providing assurance over the Global Fund’s internal controls that are in place to manage the risks affecting Global Fund programmes and operations. The OIG is an independent unit that reports directly to the Board through the AFC. It is responsible for investigations of alleged fraud and abuse in Global Fund financed programmes and by grant implementers within scope of the OIG Charter. The OIG Charter states that the OIG and the Ethics Office should collaborate closely, as certain matters of misconduct are closely related.</p>	13, 20, 23, 38, 75, 87, 99, 103, 115, 264, 282



The Audit of the Global Fund Key Organisational Controls (2021) concludes that internal controls have continued to mature and show an improvement over 2019. Controls for business processes have been strengthened following the adoption in 2019 of the Committee of Sponsoring Organisations (COSO) Internal Control Framework. That same year, the Secretariat also started implementing its Performance and Accountability Framework, which has contributed to enhancing the maturity of 52 business processes. At the same time, the audit also identified gaps in the implementation of internal controls, including controls supporting implementation readiness in grant making and controls in market shaping processes. In the survey 87% of respondents agree the Global Fund adequately addresses issues and concerns raised by internal control mechanisms (Survey Question 1f), 8% disagree, and 3% responded “don’t know”. (See Annex C)

**4.5.2. The Global Fund has clear guidelines for handling cases of misconduct.** The 2020 Ethics and Integrity Case Management Standard Operating Procedure (SOP) provides management with clear guidelines for addressing misconduct. The SOP includes detailed guidance to address cases of misconduct, from case management to investigation and referral or escalation. For each stage, the guidelines include specific actions to be followed with a timeline for completion (the latter of which is monitored through a series of KPIs). In case of fraud and corruption, the SOP includes clear referral mechanisms to the OIG.

**4.5.3. The Employee Handbook and Code of Conduct for Global Fund Employees both include guidance to staff for how to report issues of misconduct.** The Employee Handbook states that an employee who has observed illegal or unethical conduct is obliged to report it in line with whistleblower policy. It further specifies that employees can report such wrongdoing to their line manager, the HR Department, ethics office, the OIG, or through an online form. Similarly, the Code of Conduct for Global Fund Employees includes a section about reporting violations of the code, with detailed information on the reporting channels.

**4.5.4. The Global Fund has a tracking system that details actions for overdue Agreed Management Actions.** The Board receives AMA reports twice a year. These reports are also reviewed by the Audit and Finance Committee at its spring and autumn meetings. The progress report presents information on the total number of open AMAs. The progress report provides an update on action taken to address the AMAs that have remained open for more than six months (long-overdue AMAs).

**4.5.5. The OIG reports to the Board on actions taken to address issues identified through internal controls. However, more than one-third of AMAs are long overdue, though this may be due, in part, to the impacts of COVID-19.** The OIG presents to the Board an annual report with information on the number of investigations conducted and closed in response to allegations of potential wrongdoing. In addition, as noted previously, the OIG reports on progress in the implementation of internal audit recommendations (AMAs). The implementation of AMAs falls under the remit of the Secretariat. In September 2021 59 AMAs were open, of which 23 (39%) were long overdue. It should be noted, say Secretariat staff, that COVID-19 has impaired their ability to respond to AMAs as promptly as before the pandemic. For example, of the 78 open AMAs in November 2019, 9 were long overdue (a share of 8.7%).

13, 20, 23, 38, 75, 87, 99, 103, 115, 264, 282

**MI 4.5. Evidence confidence**

**High**

MI 4.6. Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities	Score
Overall MI rating	Satisfactory
Overall MI score	3.5
Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	4
Element 2: The policy/guidelines clearly define/s the roles management and staff roles in implementing/ complying with them	4
Element 3: Staff training/awareness-raising has been conducted on policy/guidelines	4
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the governing body	2
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and “whistle-blower” protection policy)	4
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, and ensures that they are made public	3
<b>MI 4.6. Analysis</b>	<b>Source document</b>
<p>4.6.1. <b>The Global Fund has a comprehensive PCFC.</b> It was adopted in 2017 and is publicly available. The Policy commits to preventing, detecting and responding to fraud and corruption, which it recognises as a threat to the fight to end the epidemic because it “diverts funds, medicines and other resources away from countries and communities in need”. The PCFC applies to all Global Fund activities, whether implemented through grant implementers or counterparties.</p> <p>4.6.2. <b>The PCFC identifies who must comply with the policy and the roles and responsibilities of management to ensure its implementation.</b> The PCFC covers institutions and individuals, referred to as “covered parties”. These include Implementers, counterparties, governance bodies, the Global Fund Secretariat and the OIG. The PCFC also describes the roles and responsibilities of different bodies and individuals in overseeing its implementation – e.g. the Ethics and Governance Committee, the AFC, the Executive Director, the Inspector General, and the Ethics Officer.</p> <p>4.6.3. <b>The Global Fund raises awareness on anti-fraud and corruption and offers compulsory training.</b> The Global Fund’s PCFC underlines the importance of training in and awareness of fraud and corruption, in line with international best practices. The Global Fund has fraud awareness training that is mandatory for all Secretariat staff and LFAs. Furthermore, the OIG manages the online platform I Speak Out Now! (<a href="https://www.ispeakoutnow.org/home-page/">https://www.ispeakoutnow.org/home-page/</a>) which includes videos and resources on anti-fraud and corruption, such as toolkits for implementers. Finally, the OIG’s 2021 and 2020 annual reports show that the OIG has spearheaded multiple online fraud awareness-raising activities targeting GMD as well as implementers in high-impact countries.</p> <p>4.6.4. <b>Concerns regarding the implementation of the PCFC are being addressed through the roll-out of the PCFC Implementation Plan.</b> In 2019 the audit report Managing Ethics and Integrity at the Global Fund commended the Global Fund for setting in place processes for the implementation of the PCFC, such as the Integrity Due Diligence Framework (IDD) and the Code of Conduct for CCM. It also noted that the implementation of the PCFC across the Secretariat and Global Fund operations has been unstructured. At its 42nd meeting, the Board expressed similar concern regarding the implementation of the PCFC. In response, the Secretariat developed in 2021 an implementation plan to operationalise the PCFC, which includes several actions such as updating fraud risk management guidelines and tools for fraud risk assessments; embedding such guidelines into risk management tools</p>	19, 20, 29, 61, 79, 80, 178, 281

<p>and processes; and training staff, LFAs, and service providers on the updated approach. The roll-out of the PCFC implementation plan is expected to be completed by end of 2024. Interviewed Secretariat staff emphasised that the Global Fund is highly effective at monitoring and addressing fraud and corruption in financial processes. However, they noted that more work is needed to ensure that fraud is addressed in governance and programmatic processes.</p> <p><b>4.6.5. The Global Fund has functioning whistleblowing mechanisms to report irregularities.</b> In 2006, the Global Fund adopted its Whistleblowing Policy and Procedures. The purpose of the policy is to “help the Global Fund exercise its duty of trust to protect its funds and to protect employees from behaviour that does not adhere to the Global Fund’s core values or Employee Handbook and Code of Conduct”. The policy applies to Global Fund employees as well as to third parties involved in Global Fund activities. It includes several channels (e.g. hotline, email, telephone, etc.) through which irregularities can be reported. Individuals can also report potential wrongdoings through OIG’s I Speak Out Now! Platform. The OIG is responsible for reviewing all reports made by whistle-blowers, for ensuring proper follow-up or referring the case to another entity as appropriate. The Operational Progress Report of the OIG (January to September 2021) noted that of the 194 allegations of potential wrongdoing reported to the OIG between January and September 2021, 51% (n=98) were reported by whistle-blowers, compared to 47% for 2020.</p> <p><b>4.6.6. The Global Fund reports to the Board on the recovery of non-compliant expenditures. Though funds are being recovered, the OIG identified certain challenges in the recovery process.</b> The annual OIG report is publicly available. The OIG’s 2020 Annual Report confirms that, in 2020, USD 1 million were recovered following investigations of fraud. The Recoveries Report for the period ending 31 December 2020 also finds that the outstanding OIG recoverable balance increased from USD 0.45 million to USD 1 million, while the non-OIG aggregate outstanding balance increased from USD 17.7 million to USD 20.3 million. The 2020 audit report, Global Fund Recoveries Management Processes, rated the effectiveness of processes and controls to identify, resolve, monitor and report on amounts recoverable as partially effective. It explains that the recoveries policy clearly defines the procedure GMD country teams should follow, but that they do not systematically follow it. The audit raised concerns over delays in the issuance of demand letters. It also identified cases where non-compliant transactions were not raised through such demand letters and were therefore handled outside the institutional recovery process, thereby weakening the oversight of the Recoveries Committee.</p>	<p>19, 20, 29, 61, 79, 80, 178, 281</p>
<p><b>MI 4.6. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 4.7. Prevention of and response to sexual exploitation and abuse (SEA)</b>  <i>Relevant for the Secretariat, individual Global Fund consultants, the OIG and country level actors (e.g. CCM members) taking the approach that PRs are accountable for subrecipients (SRs) and sub-subrecipients (SSRs). The PR should operate as the initial reporter. Noted that SEA and SH are usually considered together in the Global Fund, but will be assessed in a differentiated manner where possible.</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Unsatisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>2.38</b></p>
<p>Element 1: Organisation-specific dedicated policy statement(s), action plan and/or code of conduct that address SEA are available, aligned to international standards, and applicable to all categories of personnel</p>	<p>4</p>
<p>Element 2: Mechanisms are in place to regularly track the status of implementation of the SEA policy at HQ and at field levels  <i>Field level refers to in-country partners</i></p>	<p>2</p>

Element 3: Dedicated resources and structures are in place to support implementation of policy and/or action plan at HQ and in programmes (covering safe reporting channels, and procedures for access to sexual and gender-based violence services)	2
Element 4: Quality training of personnel / awareness-raising on SEA policies is conducted with adequate frequency	3
Element 5: The organisation has clear standards and due diligence processes in place to ensure that implementing partners prevent and respond to SEA	2
Element 6: The organisation can demonstrate its contribution to interagency efforts to prevent and respond to SEA at field level, and SEA policy/best practice coordination fora at HQ <i>Field level refers to in-country partners.</i>	2
Element 7: Actions taken on SEA allegations are timely and their number related to basic information and actions taken / reported publicly	2
Element 8: The organisation adopts a victim-centred approach to SEA and has a victim support function in place (stand-alone or part of existing structures) in line with its exposure/risk of SEA	2
<b>MI 4.7. Analysis</b>	<b>Source document</b>
<p>4.7.1. <b>In 2021, the Global Fund adopted its first organisation-wide Operational Framework on the Protection from Sexual Exploitation and Abuse, Sexual Harassment and Related Abuse of Power (henceforth ‘Operational Framework’). It also introduced PSEAH-related prohibitions into its codes of conduct. They cover all personnel, including CCM members, who are described as the appropriate vehicle to facilitate in-country PSEAH efforts, and align with international best practices.</b> All Global Fund Officials (governance officials and employees) are required to certify annually that they have read, understood and will comply with the pertinent code of conduct that has specific prohibitions SEAH, bullying and harassment. While there is no evidence of a requirement for suppliers, recipients or CCMs to certify compliance against the code of conduct each year, they are all required to enforce their own individual codes of conduct. CCMs are responsible for confirming compliance to the Global Fund in respect of members and recipients. Compliance with the Code of Conduct for Suppliers is required by the Global Fund Standard Terms and Conditions of Purchase of Services and Goods.</p> <p>The Operational Framework on the Protection from Sexual Exploitation and Abuse, Sexual Harassment and Related Abuse of Power uses the SEA definitions from the UN Secretary-General’s Bulletin (2003):</p> <ul style="list-style-type: none"> <li>• Sexual exploitation is any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.</li> <li>• Sexual abuse means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.</li> </ul> <p>The Operational Framework was finalised in June 2021, almost three years after the Global Fund had committed to the outcomes of the London summit in 2018. In the opening statement, the Executive Director expresses the organisation’s commitment to reinforce protection against SEAH across the partnership, both at HQ and country level. Since 2018, the Global Fund has implemented a series of actions, including</p> <ul style="list-style-type: none"> <li>• appointing the Chief of Staff to be the PSEAH Champion;</li> <li>• rolling out a more explicit and specific code of conduct for staff and related training;</li> <li>• updating codes of conduct for CCMs and governance officials, recipients of Global Fund resources and suppliers.</li> </ul>	103-107, 109-111, 251, 253, 277, 280

The Operational Framework was developed under the lead of the Ethics Office through extensive consultations across the Secretariat which started in the spring of 2021. It was endorsed by the Steering Committee and approved by the Management Executive Committee in July 2021. A written update was also provided to the Board’s Ethics and Governance Committee (EGC) in July to describe the framework, next steps and current PSEAH activities. Overall, there has been robust support for PSEAH across the organisation both at the Board and Secretariat level, and there were no major obstacles in putting the Operational Framework in place. The urgent need to accelerate progress to institutionalise a PSEAH approach and further clarify roles and responsibilities since 2018 was felt even more keenly following the Ghana investigation completed toward the end of 2020. The letter from the Executive Director in response to the investigation in March 2021 says: “This report challenges us to accelerate the approach the Secretariat uses to manage the risk of sexual exploitation and abuse.”

Inside the Global Fund, the Framework requires cross-cutting engagement of governance officials, senior management and employees. A code of conduct for governance officials and employees has included PSEAH since 2021. Given the Global Fund is a head office structure and that its own staff have little direct contact with local populations, requirements from field-based entities are crucial. Codes of conduct are an integral part of grant agreements and were communicated, together with guidance, to all PRs in May 2021 through an operational update.

In addition to prohibitions of engaging in SEA, codes of conduct include expectations and requirements to prevent and respond to such matters as developed by the Ethics Office and presented to the Policy Committee. For example, the Code of Conduct for Employees, Suppliers and Recipients specify that employees, suppliers (and their representatives), and recipients (and their representatives) are **required** to report all allegations of sexual exploitation and abuse through available channels. The Code of Conduct for Governance Officials does not specify explicit PSEA requirements, however. While it states governance officials must immediately disclose “suspected or observed misconduct to the Global Fund”, or seek advice from the Ethics Office, it does not explicitly mention SEA apart from prohibiting it. Finally, the Code of Conduct for CCMs, who are responsible for facilitating PSEA in-country efforts, specifies that CCM members share the accountability for prohibiting, preventing and responding to SEA and that, as employees, suppliers, and recipients above, they are required to report all allegations of SEA to the Global Fund. Principal recipients are thus accountable for sub-recipients and sub-sub recipients. Interviews support the above findings, with staff acknowledging that principal recipients are liable for ensuring that subrecipients are also compliant. The Operational Framework is accompanied by an Annual Implementation Plan (AIP) which contains five workstreams covering both corporate and country level and an emphasis on prevention:

1. Policy and Response: framework, policy and partnership.
2. Prevention: training and awareness.
3. Reporting and Complaints: victim/survivor support and case management.
4. Prevention: in-country PSEAH risk assessment and capacity building.
5. Prevention: preventive programme design, integration and oversight.

The 2022 AIP includes actions under Prevention, classified as “Inside Global Fund” and “Outside Global Fund”, the latter being required and/or expected of LFAs, suppliers, recipients, and CCM members.

**4.7.2. Mechanisms are currently being developed to regularly track the status of implementation of the Operational Framework.** The Protection from Sexual Exploitation, Abuse, and Harassment Coordination Unit (PCU), created in 2021 within the Ethics Office, is responsible for co-ordinating stakeholders in implementing the Operational Framework. It is intended to be a “living document”, reviewed by independent experts and community victim/survivor representatives, and updated at

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regular intervals. As noted above, it is accompanied by an Annual Implementation Plan (AIP), which outlines activities for each year at the corporate and country level. The AIP outlines activity level of priority and effort, the term, and who is accountable and responsible for their implementation. Deliverables at the country level for 2022 include ensuring all CCM members sign codes of conduct annually, facilitating CCM engagement with in-country PSEAH networks, and implementing principal recipient risk and capacity pilot projects.

The Operational Framework requires the Ethics Officer to report every year to the Board on quality and compliance of PSEAH controls and requirements. The Ethics Officer provided their first official written update in the Global Fund Ethics Office Annual Report and Opinion. The report was presented to the Ethics and Governance Committee (EGC) in March 2021 and the Board in May 2021. It is available to all Governance Officials and Secretariat staff on the Global Fund Intranet. It is also published on the Fund's website following the Board meeting. The next report will be presented to the Board in mid-May 2022. In addition to this reporting, the Ethics Officer provided regular (internal) written updates on PSEAH to EGC in October 2020, March 2021, July 2021, and October 2021. Committee documents are not published on the Global Fund website. As of 2022, two other mechanisms will be rolled out to monitor the Framework's implementation, including the risk and capacity assessments at principal recipient and portfolio levels and the LFA verification of compliance with code of conduct requirements related to PSEAH.

Staff also report that PSEAH risk is monitored through the Organizational Risk Register (ORR) where it is included as high risk with no tolerance. The Organizational Risk Register includes an entry for SEAH and Misconduct Risk, which is owned by the Ethics Officer. Critical risks are required by the Risk Management Policy to be included in the ORR. Through the ORR, SEAH and Misconduct Risk is reported to the Management Executive Committee, to Standing Committees of the Board, and to the Board on a quarterly basis. Additionally, resources have been secured to fund two full-time positions in the PCU starting in January 2022 with one specific focus on monitoring SEAH risk and implementer capacity, and another position to help facilitate in-country victim support coordination and ensure a victim/survivor-centred response to all SEAH allegations. Additional resources have likewise been secured for two SEAH case managers to monitor in-country investigative responses.

The PCU and GMD provide regular, ongoing support and guidance to Principal Recipients for implementation and for cascading it to downstream partners. However, structures are not yet mature to fully operationalise the Operational Framework, given that a lot of recruitment is still ongoing. Implementation will be evaluated by the Global Fund's existing Performance and Accountability Framework, monitored on a quarterly basis by the PCU and reported to MEC. This will be complemented by an "iterative feedback loop" on the implementation of the AIP, led by the PCU, with input from select Global Fund staff, CCMs, principal recipients, beneficiaries, peer institutions, and an external advisory group. Directly or through appropriate partners, the Global Fund will monitor PR, SR and supplier compliance with the Global Fund's PSEAH requirements and expectations in the following ways:

- oversight and engagement by the PCU;
- use of local fund agents;
- regular engagement among in-country implementers and CCMs and the Global Fund Secretariat;
- regular engagement between supply operations and suppliers;
- OIG audit and investigations.

**4.7.3. While there are dedicated resources and structures established to support the implementation of the Operational Framework at HQ level, measures have yet to be strengthened to ensure operationalisation at the country level.** At the Geneva level, the Fund has a PSEAH Champion in place,

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its Chief of Staff. The Chief of Staff acts as the Global Fund’s liaison for inter-agency co-operation. Multiple actors across the partnership are responsible for the internal coordination of PSEAH-related issues: the PSEAH Task Force, headed by the PSEAH Champion, which meets annually and oversees the Annual Implementation Plan, and comprises the PSEAH Steering Committee, the SEAH Case Review Panel, and the PSEAH Working Group. A multidisciplinary team supports SEA victims through the OIG’s investigative process. The actual PCU is part of the Ethics Office. It is, however, noteworthy that at the time of this assessment, PSEAH is not (yet) part of the Ethics Officer’s terms of reference, and that the Ethics Officer has only an “advisory” function vis-à-vis the Governance Committee and the Executive Director (ED), and is not part of the Management Executive Committee (MEC). This stands in contrast with organisations where the PSEAH function reports directly to the head of the organisation. The Operational Framework also describes the in-country structures to support PSEAH, which include CCM and principal recipient PSEAH focal points.

The OIG 2020 Annual Report found that the Global Fund lacked fully mature measures to address PSEA at the country level, a challenge unearthed through the OIG Investigation in Ghana. Following the investigation, the Global Fund created the above-mentioned SEAH Case Review Panel to ensure communication and collaboration between the OIG and the Ethics Office as they respond to allegations within the organisation and the programmes it supports. The OIG and Ethics Office have their own investigative procedures when investigating or overseeing the investigation of in-country SEAH cases. The OIG’s timelines for SEA investigations are monitored by the OIG Stakeholder Engagement Model. The Employee Handbook contains information on investigation procedures and timelines when an inquiry into potential misconduct (including in relation to SEAH) is launched in relation to staff misconduct. Currently, HR handles all issues of staff misconduct, including SEAH. Assuming that guidelines are followed in the case of staff misconduct, HR first conducts a preliminary evaluation of the information upon receipt of an allegation or information concerning potential misconduct or other wrongdoing to determine if an investigation is warranted. This is normally completed within 30 days. If an investigation is initiated, it is generally completed within 90 days from the date the subject was informed in writing that an investigation had been launched. The ED may in exceptional circumstances extend this period. The subject may be given an opportunity to review and comment on relevant draft investigation within a 10 working-day period if there are any substantiated allegations. The investigator then submits a final report to the Manager, Community of Expertise and the subject are notified of the findings and conclusion of the investigation. However, no information is available on how response times are monitored.

In terms of ensuring confidentiality, the Operational Framework states that concerns and allegations can be reported confidentially or anonymously online, by email, by phone, or in person. It outlines the principles of the 2019 United Nations Protocol on the Provision of Assistance to Victims of Sexual Exploitation and Abuse, which the organisation intends to follow when conducting investigations. This includes respecting the rights of victims to privacy, confidentiality and informed consent. The Ombuds is another safe, neutral and confidential forum in which staff may give their views, express feelings and concerns, and provide feedback to the organization. It acts as a supplement to regular channels and is confidential, independent, and informal. Furthermore, the OIG’s Whistleblowing Policy and Procedures explicitly state any reporting is anonymous and confidential to protect whistleblowers. Finally, OIG investigation reports are anonymised and carefully crafted to protect the identity of all witnesses and victims.

The codes of conduct for recipients and suppliers are also an integral part of grant agreements and were communicated, with guidance, to all PR s in May 2021 through operational update. Notably, other codes of conduct, which are aimed at CCM members, governance officials and staff, are not part of

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grant agreements. There are future plans to ensure that the Global Fund embeds measures into its programmes, such as the launch of a PSEAH capacity assessment and capacity-building exercise in 2022. It will run through to 2024 and cover all PRs. It is expected that the PRs will in turn assess the PSEAH capacity of the SRs. Staff confirm that the structure behind the Framework's operationalisation is being built. The Ethics Office currently hosts two PCU staff members, and plans to recruit four or five additional members next year. Similarly, the OIG is building its human capacity for PSEAH – it has an annual dedicated budget of USD 4 million for its activities and report no budget constraints. The HR office, according to staff, is adequately resourced to respond to SEA. HR staff are able to investigate cases and provide support, such as through the Ombudsman. They also develop training tools for staff.

**4.7.4. The OIG, HR, and Ethics Offices conduct regular training and awareness-raising on SEA policies.** The I Speak Out Now platform, managed and regularly updated by the OIG, is important for raising awareness of SEA among Secretariat staff and implementers. The Operational Framework also refers to a PSEAH awareness-raising and training plan updated on an annual basis. From the beginning of 2021, relevant Global Fund staff have received training that is planned to take place annually, tailored to their specific roles. New recruits are required to complete PSEAH training as part of their onboarding. Furthermore, additional and specialised training is mandatory and provided to key Global Fund staff and stakeholders such as Board members, OIG staff, senior management and other Secretariat staff with direct responsibility for PSEAH.

The PSEAH Training and Awareness Activities Register outlines all training courses that took place in 2021, and records the number and type of participants. The 2021 UNFPA Ghana Report on Preventing Sexual Exploitation, Abuse and Harassment Training for Principal and Subrecipients of Global Fund, and Members of the Country Coordinating Mechanisms states that the 3day training course that took place in Ghana in August 2021 ended with an evaluation. The feedback from the 27 participants included feeling informed and enlightened, having an increased sense of responsibility to be ambassadors for PSEAH, and feeling empowered to further build organisational capacity, designate training days and encourage the use of IEC materials. Finally, governance officials and employees are required to certify annually that they have read, understood, and will comply with relevant codes of conduct.

Staff confirm the I Speak Out Now platform contains free training materials and knowledge resources, including for implementers, and that, in addition to internal training, specialised staff such as investigators and auditors have been sent for external training. However, they report that currently there are no goals or targets they hope to reach with their training and awareness-raising plans and that they have not systematically sought participant feedback. For example, although they requested participant feedback on the safeguarding training session and built suggestions into future training sessions, they have not done so for all training courses conducted. The OIG hopes that an analysis of the Ghana investigation case currently in progress will help determine what type of implementers should be targeted for additional training. Overall, the OIG works closely with fund portfolio managers (FPMs) to ensure that attendee lists for regional PSEAH awareness-raising webinars are tailored to the specific people involved in delivering services to beneficiaries.

**4.7.5. Given the Global Fund's headquarters-centric model, clear due diligence processes in the field are a centrepiece in the Fund's SEA prevention and response. The Global Fund has only recently (in March 2021) put clear standards and due diligence processes in place to ensure that implementing partners prevent and respond to SEA.** It plans to further strengthen these standards and processes in coming years. Due diligence checks are now conducted by the Global Fund Secretariat for potential principal recipients prior to a grant agreement, which includes an assessment of PSEAH compliance. Selected PRs are then required to abide by clear PSEAH standards, have policies and measures in place to prevent and respond to SEA, and facilitate and provide assistance to victims and

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survivors. Country teams and LFAs are expected to undertake and manage compliance checks on a regular basis. In March 2021, the Global Fund provided Principal Recipients with an operational update of SEAH codes of conduct and requested they identify a focal point to support their implementation. Staff confirm there has been significant investment in training and awareness for implementers and CCM members on the new PSEAH prohibitions in the codes of conduct through webinars. They report that there are currently 78 designated PSEAH focal points in CCMs (out of a total of 98). Survey data is somewhat sparse, with no in-country government responses and a relatively high percentage of “don’t know” and “no opinion” responses (1822%). Of those who have responded, only 1719% “strongly agree” that the Global Fund requires partners to apply clear standards for PSEAH vis-à-vis host populations, which reflects the fact that many of these efforts have yet to be implemented.

In the future, the Global Fund intends to undertake regular compliance checks, managed by the country teams and supported by the PCU. Staff hope that due diligence will be further improved once the PSEAH-specific compliance check for Principal Recipients is introduced, based on the Capacity Assessment Tool endorsed by the IASC. The Global Fund envisages rolling it out in 2022 to address this gap, and refreshing it every three to four years. In the Operational Framework, the Global Fund also confirms its intention to work with Inter-Agency Standing Committee partners to avoid duplicating assessments, while pointing out that the Global Fund may require an approach that is tailored to the principal recipients it works with. The Global Fund is currently rolling out a risk management approach that focuses on all contexts they work in. The approach strives to ensure 1) that implementers have adequate capacity to identify, prevent, detect, and respond to SEAH; and 2) that they design safer programmes by focusing on how services are provided and accessed by beneficiaries. It includes risk and capacity assessment as well as capacity building and risk mitigation to address these goals in four modules.

Module I provides a snapshot of country-level SEAH risk and allows the Global Fund to prioritise the order of roll-out and interventions across all countries. Modules II and III focus on assessing and building the PSEAH capacity of all PRs. However, the capacity assessments will start with NGOs and INGOs PRs as a first priority in 2022 and government PRs as second priority in 2023. While the approach will be similar, it can be adapted to this group of implementers, if needed. Where others, such as UNICEF, have already assessed a PR’s capacity, the Global Fund will use it in lieu of its own. For UN agencies, the Global Fund will rely on existing MOPAN assessments and PSEAH documentation and standards. Finally, Module IV allows implementers to jointly assess SEAH risk at the level of grant activities and find solutions to mitigate those risks. The objective is to institutionalise the approach in the longer term (i.e. by 2025) to make it part of all grant applications. Currently, the methodology is tested and piloted in up to 12 countries on a voluntary basis. In the future, the Global Fund also intends to engage LFAs to confirm PR compliance with the Code of Conduct for Recipients. It outlines the responsibilities of PRs in relation to their downstream partners. Similarly, regular oversight and compliance checks of SRs are envisaged, managed by the country teams.

Furthermore, there are plans to include explicit PSEAH questions in reference checks as part of recruitment and already, applicants have to declare any past involvement in SEAH allegations during the interview process. However, they admit there are still challenges in terms of ownership and ultimate responsibility for PSEAH issues. The Ghana misconduct case which occurred at the subrecipient and sub-subrecipient levels revealed that there are limits to the Global Fund’s oversight. For example, the OIG investigation finds that, while the terms of the grant agreement are clear regarding the accountability of the PR for the use of grant funds and that sub-subrecipients must be subject to equivalent obligations to those of the PR including prohibitions from SEA, due to inadequate contract provisions used by the principal and sub-recipients, the SSR was not subject to the expected set of contractual obligations. In

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cases where the PR has sufficient investigative capacity (such as with big international NGOs such as Save the Children or World Vision), it will usually conduct its own investigation into the implementing partners. It is however a strength of the Global Fund that the OIG has the mandate to conduct administrative investigations into anyone, including sub-subrecipients. Guidance is available on when an investigation needs to be reported to local authorities.

**4.7.6. The Global Fund has begun to participate in inter-agency efforts on PSEAH at the HQ and field levels. It holds active discussions with key actors in public health and joined the IASC Thematic Experts Group on PSEAH, which works to standardise best practices across the sector.** In 2019 the Global Fund alongside Global Alliance for Vaccines and Immunisation (GAVI) released concrete commitments covering their governance bodies and partners to focus on four strategic shifts to PSEAH, in line with sovereign donors at the Department for International Development Safeguarding Summit in October 2018. At the moment, the Global Fund is actively exploring the possibility of joining the Misconduct Disclosure Scheme (MDS). The organisation has already initiated discussions with the Steering Committee for Humanitarian Response (SCHR) on the matter. It is, however, not clear if this is for staff only.

At country level, the Global Fund has ‘requested’, in an Operational Update, that CCMs join the PSEA networks created by UN organisations. (“The Global Fund may make use of these or similar networks where available.”) Membership of the PSEA network is decided at country level. As mentioned above, 20 out of 98 CCMs have yet to designate a PSEA focal point. How successful the Global Fund will be in encouraging CCMs – or CCM Secretariat members – to join local PSEA networks remains to be seen. For the time being, a large percentage of respondents in the MOPAN partner survey are not aware of the Global Fund’s efforts to support or join inter-agency PSEA efforts vis-à-vis the host population. Indeed, almost 40% say “don’t know” or “no opinion” in the external global partners group.

Staff, however, emphasise the Global Fund’s commitment to coordinating its PSEAH approach with partners. One of the main areas which the organisation is currently exploring with GAVI and WHO is how to embed PSEAH ownership within government implementers, although discussions are still at an initial stage. Also, the Ethics Office is currently in the process of hiring a victim advocate to work with CCMs to connect them with local networks.

**4.7.7. While planning documents such as the Operational Framework and the Ethics and Integrity SOPs state that actions on SEA allegations will be taken in a timely manner, available evidence is limited to judge if this is always the case. Where appropriate, information in relation to these allegations is made publicly available.** SEA allegations, regardless of the channel through which they are received, are referred to the appropriate screening bodies. The Employee Handbook, in particular, includes details on the process and response times for processing an allegation once it has been received, but information on whether targets are met is not available. The allegations received by the Ethics Office are logged in the Ethics Case Management System and all SEA allegations are forwarded to the OIG for screening. SEA allegations that fall outside the OIG mandate (e.g. sexual harassment within implementer organizations) are normally referred from the OIG to the Ethics Office for action. In such cases they provide victim/survivor support, or victim support oversight and investigative oversight. The annual OIG report, which is submitted to the AFC and Board and made public, includes information on misconduct cases and allegations, including in relation to SEA. OIG tracks all allegations in its complaints screening system by tagging complaints which contain PSEAH elements. It stores the original complaint on a secure server and provides a summary and analysis of the complaint, as well as the outcome (e.g. OIG assessment, referral to ethics bodies, etc.). The 2021 OIG annual report states the number of allegations increased from 4 in 2020 to 17 in 2021. The OIG also publishes investigations, audits and advisory reports on specific SEA investigations and the organisation’s overall PSEAH systems, policies, and procedures. In addition to written reports, the OIG provides notice to donors of

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all SEA investigations through briefings to the AFC and the Ethics and Governance Committee. Finally, the annual opinion and report of the Ethics Officer, which is submitted to the Board and made public, sometimes includes aggregated and anonymised data, where appropriate, capturing the number of allegations, investigations, and disciplinary actions related to SEAH and related abuse of power.

However, staff report that the processes outlined above are sometimes executed in a manner that is not entirely effective, citing the Ghana misconduct investigation as evidence of an instance where an SEA allegation was not handled in a timely manner. In response to the report, the Executive Director states that he welcomes the publication of the findings and lessons, and confirms preventive action was taken to ensure the continuation of critical programme activities during the investigation, while preventing further abuse and keeping survivors' interests "paramount". Some of the key elements of the response that the Executive Director highlights as evidence of the Fund's intention to build on and reinforce include the focus on survivor protection, the comprehensive due process, and the collaboration with national authorities.

**4.7.8. The Global Fund commits to taking a victim-centred approach to SEA, but it is too early to assess the extent to which the organisation is following through on these commitments.** The Operational Framework explicitly states that "the Global Fund is guided by a victim/survivor-centred, trauma-informed approach to each aspect of its work related to PSEAH, whether in the formulation of its governing policies, the design of its structures and programs, or the commitment to international coordination." It defines it as follows:

"This means that the Global Fund seeks to maintain a victim/survivor's dignity, safety, experiences, rights, needs, and wants at the centre of the PSEAH process from end-to-end: in risk assessment and program design (prevention); education and reporting channels (detection); support services and investigations (response); and international engagement (partnership). In embedding trauma-informed response mechanisms, the Global Fund deliberately seeks to minimize the risk of a victim/survivor's re-traumatization, equip responders with the tools to recognize and work through the debilitating effects of trauma, and disrupt the cycle of traumatization that risks derailing our ability to deliver on our mission."

The Operational Framework is precise in defining how this approach will be operationalised. In the roll-out of the framework in countries, under the responsibility and oversight of the PCU, the Global Fund aims to prioritise facilitating the delivery of support to victims and survivors by focusing on in-country reporting and response readiness closest to the point of contact. When responding to allegations of SEAH (and throughout investigations), the Global Fund intends to engage with survivors and victims through experienced trauma-sensitive practitioners to avoid re-traumatisation and systematically focus on their safety and well-being. The Child Protection Framework outlines the "expectations" and "obligations" of recipients and suppliers vis-à-vis victims/survivors. For example, they and their representative are prohibited from engaging in sexual activity with children (persons under the age of 18), regardless of the age of majority or consent locally. They are 'expected' to have policies and measures in place to prevent and respond to SEA and to 'provide' assistance to victims and survivors (although they are probably more likely to 'facilitate' such assistance). Staff also refer to the forthcoming creation of a victim support emergency fund mechanism and the ongoing recruitment of a victims' rights advocate to help CCMs in their approach to PSEAH from a victim-centred perspective.

While the Global Fund commits to a victim-centred approach, it is too early to assess the extent to which it is implementing these intentions, as no evaluations or audits have been conducted so far on the Global Fund's PSEAH approach.

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**MI 4.7. Evidence confidence**

**Medium**

<p><b>MI 4.8. Prevention of and response to sexual harassment (SH)</b>  <i>Relevant for the Global Fund Secretariat, individual Global Fund consultants, the OIG and the country level (e.g. CCM members) taking the approach that principal recipients are accountable for subrecipients and sub-subrecipients. PR should operate as the initial reporter. Noted that SEA and SH are usually considered together in the Global Fund but, they will be assessed in a differentiated manner where possible.</i></p>	<b>Score</b>
<p><b>Overall MI rating</b></p>	<b>Unsatisfactory</b>
<p><b>Overall MI score</b></p>	<b>2.43</b>
<p>Element 1: Organisation-specific dedicated policy statements and/or codes of conduct that address SH available, aligned to international standards and applicable to all categories of personnel</p>	3
<p>Element 2: Mechanisms are in place to regularly track the status of implementation of the policy on SH at HQ</p>	2
<p>Element 3: The organisation has clearly identifiable roles, structures and resources in place for implementing its policy/guidelines on SH at HQ: support channel for victims, a body coordinating the response, and clear responsibilities for following up with victims</p>	3
<p>Element 4: All managers have undergone training on preventing and responding to SH, and all staff have been trained to set behavioural expectations (including with respect to SH)</p>	3
<p>Element 5: Multiple mechanisms can be accessed to seek advice, pursue informal resolution or formally report SH allegations</p>	2
<p>Element 6: The organisation ensures that it acts in a timely manner on formal complaints of SH allegations</p>	2
<p>Element 7: The organisation transparently reports the number and nature of actions taken in response to SH in annual reporting and feeds into inter-agency HR mechanisms</p>	2
<p><b>MI 4.8 Analysis</b></p>	<b>Source document</b>
<p>Given that all Global Fund staff are based at corporate HQ, the following indicators will assess the prevention of and response to sexual harassment at the HQ level alone. Where relevant, SH requirements at the field level will be noted, but the <b>implementation</b> of those requirements will not be addressed. Furthermore, evidence on SH is limited in that SEA and SH are conflated in the PSEAH and bullying Operational Framework and reporting, so making assessment against specific SH criteria difficult.</p> <p><b>4.8.1. As described in MI 4.7, the Global Fund has an organisation-wide Operational Framework on the Protection from Sexual Exploitation and Abuse, Sexual Harassment, and Related Abuse of Power and Codes of Conduct. Its SH prohibitions cover all personnel, including CCM members,<sup>1</sup> and are aligned with international best practice.</b></p> <p>The Global Fund’s definition of SH, drawing on the UN’s uniform definition, is as follows:</p> <ul style="list-style-type: none"> <li>• Sexual harassment is any unwelcome conduct of a sexual nature that might reasonably be expected or perceived to cause offense or humiliation.</li> <li>• Sexual harassment may involve any conduct of a verbal, non-verbal or physical nature, including written and electronic communications, and may occur between persons of the same or different genders.</li> </ul>	<p>[103]-[107], [109]-[111]</p>

1. The Operational Framework on the Protection from Sexual Exploitation and Abuse, Sexual Harassment, and Related Abuse of Power refers to the Country Coordinating Mechanism as “the appropriate vehicle to facilitate in-country PSEAH efforts” (p.5)

In the opening statement of the PSEAH and bullying Operational Framework, the Executive Director confirms the organisation’s commitment to reinforcing protection against SEAH across the partnership, at both HQ and country level. It recognises that such efforts will require the cross-cutting engagement of governance officials, senior management and employees. Suppliers are required to observe the highest standard of ethics, including in relation to SEAH and related abuse of power, and partners undergo specific screening in accordance with the IDD contained in the Private Sector Engagement Framework, covering human rights and related gender risks. All codes of conduct (employees, recipients, CCM members, suppliers and governance officials) explicitly reference PSEAH-related prohibitions and include definitions in line with international best practice. The Code of Ethical Conduct for CCM Members explains that CCM members share accountability for prohibiting, preventing and responding to harassment and abuses of power. CCM members are additionally required to abstain from bullying, harassment, discrimination and other abuses of power. Interviews support the above findings, with staff adding that principal recipients are expected to ensure that subrecipients are also compliant.

**4.8.2. Mechanisms are currently being developed to regularly track the status of implementation of the Operational Framework. Notably, available evidence here does not specify the capacity to track the SH response in particular.** The Protection from Sexual Exploitation, Abuse, and Harassment Coordination Unit (PCU), created in 2021 within the Ethics Office, is responsible for coordinating stakeholders in implementing the Operational Framework. The framework is intended to be a “living document”, reviewed by independent experts and community victim/survivor representatives, and updated at regular intervals. It is accompanied by an Annual Implementation Plan (AIP) which outlines activities for each year at the corporate and country level. The AIP outlines activity levels of priority and effort, the term, and who is accountable and responsible for their implementation. Deliverables at the country level for 2022 include ensuring all CCM members sign codes of conduct annually, facilitating CCM engagement with in-country PSEAH networks, and implementing principal recipient risk and capacity pilot projects.

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The PSEAH Operational Framework requires the Ethics Officer to report every year to the Board on quality of and compliance with PSEAH controls and requirements. The Ethics Officer provided their first official written update in the Global Fund Ethics Office Annual Report and Opinion. The report was presented to the Ethics and Governance Committee in March 2021 and the Board in May 2021. It is available to all Governance Officials and Secretariat staff on the Global Fund Intranet. It is also published on the Fund’s website following the Board Meeting. The next report will be presented to the Board in mid-May 2022. In addition to this reporting, the Ethics Officer provided regular (internal) written updates on PSEAH to the EGC in October 2020, March 2021, July 2021 and October 2021. Committee documents are not published on the Global Fund website. As of 2022, two other mechanisms will be rolled out to monitor the PSEAH Operational Framework’s implementation, including the risk and capacity assessments at principal recipient and portfolio levels and the LFA verification of compliance with code of conduct requirements related to PSEAH.

Staff also report that PSEAH risk is monitored through the Organizational Risk Register (ORR), where it is included as high risk with no tolerance. The ORR includes an entry for SEAH and Misconduct Risk which is owned by the Ethics Officer. Critical risks are required by the Risk Management Policy to be included in the ORR. Through the ORR, SEAH and Misconduct Risk is reported to the Management Executive Committee, Standing Committees of the Board and the Board on a quarterly basis. Additionally, resources have been secured to fund two full-time positions in the PCU starting in January 2022 with a specific focus on monitoring SEAH risk and implementer capacity, and another to help facilitate in-country victim support coordination and ensure a victim/survivor-centred response to all SEAH allegations. Additional resources have likewise been secured for two SEAH case managers to monitor in-country investigative responses.

The PCU and GMD provide regular and ongoing support and guidance to principal recipients for implementation and cascading it to downstream partners. However, structures are not yet mature enough to fully operationalise the Operational Framework, with a lot of recruitment still ongoing. Implementation will be evaluated by the Global Fund’s existing Performance and Accountability Framework, monitored on a quarterly basis by the PCU and reported to MEC. This will be complemented by an “iterative feedback loop” on the implementation of the AIP, led by the PCU, with input from select Global Fund staff, CCMs, principal recipients, beneficiaries, peer institutions and an external advisory group. Directly or through appropriate partners, the Global Fund will monitor PRs, SRs and supplier compliance with the Global Fund’s PSEAH requirements and expectations in the following ways:

- oversight and engagement by the PCU;
- use of local fund agents;
- regular engagement among in-country implementers , CCMs and the Global Fund Secretariat;
- regular engagement between the Supply Operations Department and suppliers;
- OIG audit and investigations.

**4.8.3. While there are dedicated resources and structures established to support the implementation of the PSEAH Operational Framework, especially at HQ level, measures can be strengthened to ensure operationalisation at the country level. However, available evidence does not indicate what resources and structures are there specifically to support SH.** Multiple actors across the partnership are responsible for the internal coordination of PSEAH-related issues, such as the PSEAH Task Force, which is then comprised of the PSEAH Steering Committee, the SEAH Case Review Panel stakeholders that convenes once annually to review the progress of the previous year and to endorse the following year’s Annual Implementation Plan. The PSEAH Steering Committee, also chaired by the PSEAH Champion, maintains a holistic focus on PSEAH, facilitates resource and capacity allocation, and manages and implements the PSEAH Operational Framework and AIP. Membership usually includes representation from the Office of the Executive Director. OIG participates as a permanent guest. The PSEAH Steering Committee meets at least quarterly and more frequently, if needed, to manage evolving PSEAH matters. Each member is accountable for the delivery of PSEAH activities within their department or division. The SEAH Case Review Panel (CRP), chaired by OIG, is a cross-cutting group of practitioners (staff from OIG, PCU, GMD and CRG, as required), which ensures communication between the OIG and the Secretariat (both of which are responsible for investigating allegations of SEAH) and communication to a broader stakeholder group. The SEAH Case Review Panel facilitates standardised case management, notification and reporting of external SEAH cases within the organisation. It meets at least quarterly and more frequently, if needed. It is not a decision-making body. Finally, the PSEAH Working Group, co-chaired by the PCU Manager<sup>2</sup> and the PSEAH Specialist, supports or advises the Ethics Office and/or PCU in the development and implementation of the Operational Framework and AIP. Members (staff from OIG and the Secretariat) report to their respective SC members on the work produced by the Ethics Office and/or PCU. The focus of their work includes codes of conduct and policies, training and awareness, victim/survivor support and case management, and in-country PSEAH risk assessment and capacity building.

The Operational Framework also describes the in-country structures that exist to support PSEAH, which include the CCM and principal recipient PSEAH focal points. There are future plans to ensure the Global Fund is mature enough in terms of embedding safeguarding measures into its programmes.

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2. The PCU Manager is responsible for the coordination of all stakeholders across the Global Fund partnership to execute the AIP.

Staff confirm the structure behind the PSEAH Operational Framework is being built. The PCU hosted at the Ethics Office currently has a staff of two, with plans to recruit four or five additional members next year. Similarly, the OIG is building its human capacity for PSEAH. It has an annual dedicated budget of USD 4 million for its activities and reports no budget constraints. The HR Office, according to staff, is adequately resourced. If the allegation relates to sexual harassment, there are four key groups with referral mandates:

1. the Ethics Office (if the subject of investigation is an implementer, PR, subrecipient, CCM member, or counterparties, such as suppliers);<sup>3</sup>
2. the Ethics and Governance Committee of the Board (if the subject is the ED, the Inspector General, or the Ethics Officer);
3. the Chief of Staff (if the subject is a staff member from HR);
4. the Human Resources Office (if the subject is other Global Fund staff and consultants).

**4.8.4. There is regular mandatory training and awareness-raising in SH policies conducted by the OIG, Human Resources, and the Ethics Office, including for all managers.** All Global Fund officials (including interns, secondees, and loanees) are required to undergo training on SH upon joining the organisation and again at regular intervals, depending on their roles and functions. The Operational Framework refers to a PSEAH awareness-raising and training plan updated on an annual basis. From the beginning of 2021, relevant Global Fund staff have received annual training, tailored to their specific roles, and new personnel are required to complete PSEAH training as part of their onboarding. Furthermore, additional and specialised training is available for key Global Fund staff and stakeholders such as Board members, OIG staff and PSEAH Task Force members, who are directly responsible for PSEAH. In addition, all employees are required to undergo training sessions on dignity and respect at work and unconscious bias, sessions that address themes of harassment and bullying. Finally, governance officials and employees are required to certify annually that they have read, understood, and will comply with the relevant codes of conduct. Staff confirm that, in addition to internal training, specialised staff, such as investigators and auditors, have received external training. Any updates to the codes of conduct and PSEAH guidance are also communicated internally. In the wake of the Ghana investigation, UNFPA Ghana organised a three-day PSEAH training with support of the Global Fund for PRs, SRs and CCMs to create awareness of SEAH, SEAH prevention, and the reporting, investigative and victim support structures in place. The training used presentations and group work (such as case studies and scenarios, documentaries and videos, and discussions and analyses), and received positive feedback from participants. However, staff report that there are no immediate goals or targets they hope to reach with their training and awareness-raising plans.

**4.8.5. There are multiple mechanisms available for seeking advice and informal resolution or formally reporting allegations of sexual harassment.** The Global Fund ensures that anyone can report concerns and allegations of SEAH and related abuse of power to it. Concerns and allegations can be reported confidentially or anonymously online, by email, by phone, or in person. The Global Fund may refer a report to the appropriate local entity or authority. Some of the key mechanisms for internal coordination include the PSEAH Task Force, the PSEAH Steering Committee, the SEAH Case Review Panel, and the PSEAH Working Group. The available reporting channels, and the process of making a complaint, are outlined in the PSEAH Operational Framework. Staff also report that multiple channels exist for reporting, with the OIG, the Ethics Office and HR Department all having their own mechanisms. The OIG, for example, conducts a triage and screening of allegations, then formally refers

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3. In the case of Governance Officials, the Ethics Officer advises the Ethics and Governance Committee of the Board.

an instance of SH at the implementer level to the Ethics Office and country teams. The OIG adds that the growing caseload is evidence that the efforts to strengthen reporting have so far been successful. The PSEAH Operational Framework states that the Global Fund will comply with the principles of the 2019 United Nations Protocol on the Provision of Assistance to Victims of Sexual Exploitation and Abuse when investigating allegations of SEAH and related abuse of power, including providing assistance to all victims/survivors in a manner that is victim/survivor-centred, rights-based, age-, disability- and gender-sensitive, non-discriminatory, and culturally appropriate. There is no further detail on what all these aspects mean to the Global Fund, however. The codes of conduct for CCM members, recipients, governance officials and employees include information on reporting channels. The code for governance officials includes only a reference to “appropriate channels”.

The Global Fund has no in-country presence, staff, or offices. As a result, CCM members share accountability for prohibiting, preventing and responding to SH and related abuse of power in the context of Global Fund programmes. The Global Fund also works with a broad range of implementing partners, such as governments, multilateral organizations, international NGOs (INGOs), local NGOs and community-based organizations. Where these entities act as principal recipients for Global Fund grant programmes, they are bound by the SEAH provisions contained within the Code of Conduct for Recipients, the Global Fund’s grant regulations, and other relevant grant agreements. These provisions are designed to prevent and reduce the incidence of SH in connection with Global Fund activities. Oversight and compliance checks are undertaken regularly and managed by the country teams, including by LFA spot checks, and supported by the PCU.

There is also an established SEAH Case Review Panel, which is chaired by the OIG with support from the PSEAH Specialist.<sup>4</sup> It is a cross-cutting group of practitioners from the OIG, PCU, GMD and CRG designed to ensure communication between the OIG and the Secretariat. The OIG is responsible for screening allegations of SH, bullying and harassment, and the Secretariat for managing responses to allegations of SH, bullying and harassment that fall outside of the OIG mandate. In particular, the case review panel facilitates standardised case management, notification, and reporting of external SH cases within the organization. It convenes at least quarterly (and more frequently if necessary) to convey high-level briefings of new cases and allegations within Global Fund activities.

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Staff stated that currently the terms of reference of the Ethics Office do not specify dealing with SH as one of their responsibilities. The organisation has been primarily focused on execution and securing financing during the first months of the PSEAH Operational Framework’s roll-out, but intends to circle back to updating guidance as soon as possible. However, the first six months of the roll-out have also demonstrated the need to upscale capacity. For example, the PCU hosted at the Ethics Office currently has two members of staff with plans to recruit four or five additional members next year.

**4.8.6. Planning documents such as the PSEAH Operational Framework, the Ethics and Integrity SOPs, and the Employee Handbook state that actions on SEAH allegations will be taken in a timely manner, although there is limited or no evidence that this has actually been the case.** SEAH allegations, regardless of which channel they are received from, are referred to the appropriate screening bodies. The Employee Handbook mentions that actions taken will be addressed in a discreet manner. It also includes details on the turnaround times for processing an allegation once it has been received. Staff added that when an allegation is identified as SH at the implementer level, the Ethics Office and country teams are immediately notified through formal memos of referral.

4. The PSEAH Specialist is responsible for leading the facilitation of appropriately tailored SEAH victim/survivor support, particularly during OIG investigations.



<p>4.8.7. <b>While the Global Fund transparently reports the number and nature of actions taken in response to SH in annual reporting, there is no evidence that it feeds into inter-agency human resource mechanisms.</b> The OIG publishes investigation, audit and advisory reports on the organisation’s overall PSEAH systems, policies and procedures. The annual opinion and report of the Ethics Officer, which is submitted to the Board, is also made public and, where appropriate, may include aggregated and anonymised data, so capturing the number of allegations, investigations and disciplinary actions related to SH and related abuse of power.</p>	<p>[103]-[107], [109]-[111]</p>
<p><b>MI 4.8. Evidence confidence</b></p>	<p><b>Low</b></p>

Confidence is rated “low” because there is limited or no specific SH evidence in relation to most elements.

## RELATIONSHIP MANAGEMENT

*Engaging in inclusive partnerships to support relevance, leverage effective solutions and maximise results*

<p><b>KPI 5. Operational planning and intervention design tools support relevance and agility within partnerships</b></p> <p><i>For MIs 5.25.7, the Global Fund does not design interventions, but provides funding to support country-designed interventions via funding requests which are then independently assessed by a review panel of technical experts. As such, this assessment refers to funding applications, GF-designed modular frameworks of possible interventions, iterative negotiations with CTs based on TRP recommendations, and subsequent portfolio optimizations.</i></p>	<p><b>KPI score</b></p>
<p><b>Highly satisfactory</b></p>	<p><b>3.51</b></p>
<p><b>Global Fund strategies and investments consider the country needs and priorities as set out in their national strategic plans (NSPs). Key corporate documents – such as the Global Fund’s 2017-22 Strategy, the Operational Policy Manuel (OPM), and funding applications and guidance – emphasise the importance of alignment with country needs and national priorities.</b> The Global Fund generally does not develop specific country or regional strategies, though it may have some regional strategies and strategic initiatives which are developed by the Secretariat. Additionally, some multicountry grants (MCGs) may be pre-shaped and others may be in response to a request for proposal (RFP). As such, national strategic plans (supported by the Global Fund) and (multi-)country grant funding applications, together with their corresponding guidance and processes, were used for assessment as equivalent to “operational planning and intervention design tools”, unless otherwise indicated. In addition, the Global Fund does not design interventions, but provides funding to support country-designed interventions via funding requests, which are then independently assessed by a technical review panel (TRP). Thus, funding applications, Global Fund-designed modular frameworks of possible interventions, iterative negotiations with CTs based on TRP recommendations, and subsequent portfolio optimisations, together with associated processes and guidance, formed the basis for the review of this KPI as part of the MOPAN assessment.</p> <p>During grant approval, the TRP, which reviews all funding applications, is instructed to look at criteria specifically focused on key populations in their assessment. The process of ensuring alignment is robust, with review stages that include CCM members, implementing partners, and Global Fund country teams. Successful funding applications link their interventions, indicators and milestones to national goals, as well as positioning their interventions within the operating context. They also provide a clear justification of how interventions will help build the capacities of national implementing partners. Finally, the grant approval process pays particular attention to the inclusion of cross-cutting issues such as human rights, gender, and RSSH.</p> <p>Local fund agents (LFAs) conduct capacity assessments using a detailed capacity assessment tool to verify implementing partners, which have the capacity to implement the proposed interventions and build on existing country systems to ensure sustainability. The assessment is developed in consultation with CCM members and PRs, who work closely with other partners such as UNICEF, to address capacity limitations. The assessment also includes recommendations and mitigating actions, with applicants requested to propose who will be responsible for their follow up in their funding applications.</p>	

During grant implementation, programme revisions (formerly referred to as “reprogramming”) can be triggered when significant changes in the operating environment require further adaptation to local contexts and needs. The Global Fund tracks performance, including any changes that warrant revisions, using a grant oversight tool (i.e. dashboard) and PR progress updates. In addition, benchmarking shows how progress in implementation could be improved. The monitoring and evaluation plans of different grants include guidance to focus on cross-cutting issues, although there is evidence to suggest that wider processes – such as lengthy implementer selection and contracting, intensive reporting, data verification requirements and burdensome revision processes – have had a negative impact on the implementation speed of some grants, specifically investments focused on RSSH. This was partly due to resources for RSSH activities being spread across grants, and because the responsibility for them often lies outside of the disease programmes.

In recent years, the risk management function has matured significantly. It has strong processes in place to identify, assess and report on risks. Through its Organizational Risk Register (ORR), the Global Fund monitors and reports to the Board on 22 types of grant-facing and non-grant facing risks. In addition, the Global Fund has recently updated its Risk Appetite Framework, allowing the organisation to take on additional risks to achieve strategic objectives in the context of the COVID-19 pandemic in pursuit of its strategic goals and targets. Likewise, the Global Fund effectively manages reputational risks, especially those associated with private sector engagement (PSE). However, policies and guidelines on risk management do not refer to political risks, which are only considered for some grant-facing risks. In addition, even though organisational processes for risk management have improved significantly in recent years, the Integrated Risk Management (IRM) module lacks certain features, which has hindered the ability of country teams to adequately manage risk mitigation actions. This issue is expected to be resolved in mid-2022 through the Institutional Review Board’s rebuild project.

<p><b>MI 5.1: Interventions/strategies aligned with needs of beneficiaries and regional/ country priorities and intended national/regional results</b></p> <p><i>The Global Fund generally does not develop specific country or regional strategies. As such, national strategic plans (supported by the Global Fund) and country/multicountry grant (MCG) funding applications, together with their corresponding guidance and processes, have been used for assessment here unless specified otherwise.</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Highly Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3.75</b></p>
<p>Element 1: The organisation’s country or regional strategies refer to national/regional body strategies or objectives</p>	<p>4</p>
<p>Element 2: Reviewed interventions/strategies refer to the needs of beneficiaries, including vulnerable populations</p>	<p>4</p>
<p>Element 3: The organisation’s country strategies or regional strategies link targeted results to national or regional goals</p>	<p>3</p>
<p>Element 4: Structures and incentives in place for technical staff that allow them to invest time and effort in alignment process</p>	<p>4</p>
<p><b>MI 5.1 Analysis</b></p>	<p><b>Source document</b></p>
<p><b>5.1.1. Key corporate documents, such as the Global Fund’s 2017-22 Strategy, the OPM, and funding applications and guidance, emphasise the importance of alignment with country needs and national priorities.</b> One of the main KPIs in the strategy refers to population needs, and the aim of improving the alignment of investment decisions with country needs, defined in terms of disease burden and the ability to pay. Furthermore, the OPM emphasises the role of national strategic plans in shaping and informing funding applications. In particular, the design and review of funding requests should consider how they build on existing national systems and strategies to avoid the duplication of efforts. Funding applications require applicants to make clear references to NSPs, which are mandatory in grant applications. Applicants are requested to provide details on the intervention prioritisation</p>	<p>1, 56, 58, 147, 148</p>

approach followed by the CCM to demonstrate if the application was linked to the country context and elements prioritised in the NSP. Staff confirm that the main reference document they use during the funding request process is the NSP, and that they build the whole grant around it. In fact, they avoid funding anything that is not featured in the national plan and substantial work may be needed to align smaller portfolios with national strategies. Survey respondents are largely in agreement with all in-country governments, particularly in agreeing that the Global Fund's grants are designed and implemented to fit with national programmes and intended results. There is a bit more variation in the external global partner group, where almost 12% disagree with the aforementioned statement.

**5.1.2. The TRP, which reviews all funding applications, is instructed to look at criteria specifically focused on key and vulnerable populations in its assessment.** The TRP's terms of reference have criteria used for assessing grant applications that include a focus on key and vulnerable populations in a country-specific context. The TRP also considers if the proposed interventions will scale up programmes needed to improve access to prevention, care, and treatment services among the key and vulnerable populations disproportionately affected by the three diseases. Finally, it looks at the extent of engagement and empowerment of key and vulnerable populations in decision-making, programme design, service delivery, advocacy, and accountability efforts. At the corporate level, the Global Fund Strategy makes an explicit reference to beneficiary needs through KPI 5 (service coverage for key populations). At the country level, funding application documents specify that applicants need to identify key and/or vulnerable populations when considering the country context for each funding priority module. There needs to be a justification for the selection of interventions and indicators/milestones in terms of how they will focus on key and/or vulnerable populations. Instructions further specify that the request should be developed through inclusive engagement with key and vulnerable populations. Staff confirm that, while they do not necessarily consult with beneficiaries on specific target setting, they involve them during intervention discussions. For HIV-specific interventions, in particular, beneficiaries can be consulted on target setting due to the chronic nature of the disease, if the country's risk level so allows (for example, in countries where there is a lower legal risk for people in same-sex relationships). Staff add that, in the 2017-19 funding cycle, they introduced a key populations adjustment to the allocation model to more accurately reflect the burden of HIV on those populations. However, staff also admit that data are not always available for key populations, a gap they will be reviewing in the next funding cycle. Survey respondents are overwhelmingly in agreement with the statement, "the Global Fund's grants respond to the needs of beneficiaries, including the most vulnerable populations (i.e. 95% for private sector/academia/civil society and external global partners, and 98% for in-country governments).

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**5.1.3. Successful funding applications link their interventions, indicators and milestones to national goals, but may fall short of full alignment because of the three-year funding cycle and five-year period covered by national strategic plans.** The funding application guidance requires applicants to describe how the Global Fund, domestic investments and funding from other partners will support national health targets during the allocation period. Staff confirm that, as part of the funding proposal submission, country teams conduct a gap analysis to reflect on the needs in the country, the NSP targets, the available funding from existing Global Fund grants and other partners and so come to a better understanding of the right target to reach NSP goals. They also note that country teams join the nationally led process of programme reviews, which are done every one to three years and bring all performance data together, to discuss their alignment with national goals. However, staff note that there are sometimes challenges with investment reporting over a three-year funding cycle, considering that the NSPs are developed for a five-year period.

<p><b>5.1.4. The process of ensuring alignment is robust, with several stages of review during the funding application process and a mechanism to ensure that TRP recommendations are addressed.</b></p> <p>The OPM provides an overview of the grant application process, which includes the screening of funding requests for completeness, consistency and compliance. In that process, the Global Fund also reviews whether funding requests have captured actions in the TRP Review and Recommendations Form. However, staff sometimes report challenges with managing the expectations of the TRP and Board about what is possible in certain country contexts – such as challenging operating environments (COEs), where the existence of a full CCM may not always be possible. Staff appreciate the process of resource portfolio optimisation, which allows countries to apply for additional funding mid- to end-cycle in cases where funds become available. The list of interventions is pre-approved during the funding application when the TRP, as part of the Prioritized Above Allocation Request (PAAR), notes those interventions which cannot be funded, but are part of a country’s strategic plan and are added to the Register of Unfunded Quality Demand. This allows countries to mobilise quickly, if funds become available.</p>	1, 56, 58, 147, 148
<p><b>MI 5.1. Evidence confidence</b></p>	High
<p><b>MI 5.2. Contextual/situational analysis (shared where possible) applied to shape intervention designs and implementation</b></p>	Score
<p><b>Overall MI rating</b></p>	Highly Satisfactory
<p><b>Overall MI score</b></p>	4
<p>Element 1: Intervention designs contain a clear statement positioning the intervention within the operating context</p>	4
<p>Element 2: Reflection points with partners take note of any significant changes in context</p>	4
<p><b>MI 5.2 Analysis</b></p>	Source document
<p><b>5.2.1. Successful funding applications position their interventions within the operating context.</b></p> <p>Funding applications ask for a range of cross-cutting and disease-specific information on the country context. Specifically, applicants are asked to provide information on the epidemiological context of the three diseases, the overall health system (and the linkages between them), and socioeconomic-related barriers in access to services. Applicants are also encouraged to describe the challenges and fragilities to consider during programme design and implementation. The funding instructions specify that flexibility, such as waiving certain requirements in the funding request process, may be granted to portfolios facing these challenges. Finally, the TRP’s terms of reference include a criterion for assessing whether grant applications have built on the challenges, results and impact of previous implementation periods to inform intervention design. Staff confirm that, during the funding request preparation, country teams prepare a portfolio analysis that technical specialists feed into to analyse the country context and identify recommendations for the CCMs to take on board when preparing the application. Staff also add that the Modular Handbook that serves as guidance for countries to select indicators includes a range of indicators to allow full alignment with the specific country context. Finally, they confirm that one of the key objectives of the country dialogue process during the development of a funding request is to identify the interventions that apply the most to the country context and support countries in integrating them in the grant design. However, a few informants acknowledged there is no special treatment for challenging operating environments (COEs) and that there are challenges in managing expectations of the Board and TRP. For example, it is not always possible to put in place a fully functioning CCM in high-impact countries. Thus, there is a need to distinguish between the type of support and level of effort required to ensure alignment.</p>	1, 56, 57, 147, 148
<p><b>5.2.2. Programme revisions are triggered when there are significant changes in the operating context, among other reasons.</b></p> <p>The OPM describes a number of potential scenarios to trigger a programme revision. These include the need to invest more strategically, e.g. in the event of changes in</p>	

<p>NSPs or epidemiological trends, or the need to adapt to changes in the national context, unit costs and implementation arrangements. In addition, programme revisions can be considered to scale up effective interventions or mitigate risk, or when shifting activities and budget from one grant/PR to another. Finally, the need to advance transition planning, particularly in the event of a country nearing the end of its funding relationship with the Global Fund, can also trigger a programme revision. The revisions can be initiated by the PR, CT or in consultation with the CCM. Revisions are managed in consultation with CCM, PR and technical partners. For specific country contexts, such as COEs, the manual provides more agility. Grants implemented in such contexts require regular revision, and countries can submit programmatic revision requests any time during grant implementation, if warranted by the context. Staff add that an ongoing challenge has been the speed of integration of funds during grant revisions. However, by the end of this current funding cycle, they managed to address that by reducing the time to only two months (compared to more than six months in previous rounds).</p>	1, 56, 57, 147, 148
<b>MI 5.2. Evidence confidence</b>	<b>High</b>
<b>MI 5.3. Capacity analysis informing intervention design and implementation and strategies to address any weakness found are employed</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Highly Satisfactory</b>
<b>Overall MI score</b>	<b>4</b>
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	4
Element 2: Capacity analysis, from the perspective of using and building country systems, considers resourcing, staffing, monitoring and operating structure.	4
Element 3: Capacity analysis statement has been jointly developed with country partners and shared with development partners	4
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability, where applicable developed jointly with development partners	4
Element 5: Reflection points with partners take note of any significant changes in capacity	4
<b>MI 5.3. Analysis</b>	<b>Source document</b>
<p><b>5.3.1. Successful funding applications provide a clear justification of how interventions will help build the capacities of national implementing partners.</b> Funding instructions require CCMs to nominate one or more PRs when they submit their funding application through a transparent process that is based on clearly defined and objective criteria. Based on the nomination, the country team initiates a capacity assessment of the nominated PR undertaken by the LFA. If a capacity assessment is not undertaken, the Fund Portfolio Manager (FPM) captures the rationale for this decision in the capacity assessment of the IRM module, and submits it as part of the application package. In certain instances, a country team may conduct an assessment for an existing PR in order to manage risks resulting from material changes in the programme scale, grant risk or capacity levels of the PRs. At the HQ level, ‘implementation maps’ or visual depictions of a grant’s implementation are used by the Global Fund to assess capacity across the proposed programme and identify risks across the implementation arrangements. Based on the defined implementation arrangements, the principal recipient selects the subrecipients with approved terms of reference and contracts. The PR is then responsible for assessing its proposed SRs and any lower-level implementers. The Global Fund expects SRs to be subjected to the same assessment as the PR to ensure that nominated SRs have the capacities required to undertake the proposed activities. There may be cases where the Global Fund Secretariat decides to undertake the assessment itself – e.g. if the PR has capacity issues or is not deemed sufficiently independent</p>	56, 57, 147, 149, 150

to conduct a thorough assessment of key implementers. Staff confirm that the capacity assessment process is robust and works well, but admit it may be easier to conduct with NGO partners than with government partners.

**5.3.2. Capacity assessments are thorough and consider the implementing partners' capacity to use or build country systems.** Funding applications and the accompanying instructions emphasise the need to consider country system capacity in their proposed interventions. For example, the Global Fund encourages applicants to consider the selection of both local non-government entities and government entities as PRs. If a funding request does not include both government and non-government PRs, it should explain the reason for this. Staff confirm the formal LFA assessment at the start of the grant provides recommendations and mitigating actions in order to strengthen country systems. They are shared with the PRs who work together with partners to address any capacity limitations. The capacity assessment tool mirrors the Global Fund's risk management framework, covering the same domains, e.g. programme quality, M&E systems, and procurement and supply chain systems. The governance domains that look at the institutional arrangements between national programmes and health systems are key because there is a wide variation between grants. Staff add that assessments can be more informal in the case of continuing implementers where in-country Global Fund partners are involved in providing functional support in order to strengthen implementation. This process is more reactive for adjusting capacity during implementation. Staff also report that since strengthening civil society organisations (CSOs) is often considered a priority by the Global Fund, grant funds can be used to strengthen their capacity through on-the-job training. Survey respondents are generally in agreement that the Global Fund's grants take into account national and regional capacity, including that of the government, civil society and other actors, with a slightly higher disagreement rate among external global partners (12.5%) than in the private sector/academia/civil society (8.5%) and in-country governments, where only one respondent disagreed.

56, 57, 147, 149, 150

**5.3.3. The capacity assessment is developed in consultation with CCM members and PRs, who work closely with partners to address capacity limitations.** The OPM highlights the required involvement of PRs during the grant application process in order to ensure effective implementation. Meaningful community engagement is also ensured. The final funding request needs to have the endorsement of all CCM members, or their designated alternatives. Staff add that the implementing partners have access to the capacity assessment tool and guidance, which is valuable as they are aware of what they will be assessed against. The recommendations are also shared with the PRs, who often work closely with partners to address capacity limitations. For example, Global Fund partners are significantly involved in the more informal capacity assessments during grant implementation, as they have the in-country presence to provide more proactive support on the ground.

**5.3.4. The capacity assessment of implementers includes recommendations and mitigating actions to strengthen implementation capacity, with applicants requested to propose who will be responsible for their follow-up.** As part of the funding request, applicants are asked to include funding for technical assistance (TA) to strengthen implementation capacity, if needed. They should suggest the entity to be responsible for the mitigating measures. In certain contexts, such as in challenging operating environments, service contract arrangements may be applied to support and build the capacity of implementers during the grant cycles in areas such as project, finance, procurement and supply chain management. To an extent, capacity gaps are tolerated to allow countries to address them at a later stage with a view to sustainability. However, if significant gaps are identified that cannot be mitigated in the short term, the Global Fund reserves the right to reject the nominated PR and request a replacement from the CCM. Staff confirm that the process of capacity assessment is robust, providing strategies to manage the risk and offering mitigation measures. Fund portfolio managers (FPMs) can

<p>sometimes use the capacity assessments to explore specific areas of capacity limitations in more detail, especially for the continuing implementers with which they are more familiar. The capacity assessment and follow-up actions both require the involvement of implementers. Finally, staff report that to ensure sustainable financing grant funds are often used to strengthen CSOs and country systems and prepare them for the future. An analysis of the qualitative survey responses, however, shows more nuanced views with around 10% emphasising the need to place stronger emphasis on ensuring sustainability and country ownership.</p> <p><b>5.3.5. Regular updates track implementation capacity and, if there is any significant change, a grant revision can be triggered.</b> The guidelines for implementers outline the responsibility of the CCM in tracking performance and capacity. Its responsibility is to make strategic decisions at key moments during implementation such as during changing implementation arrangements or when there is a need to address PR capacity issues. The OPM describes several potential scenarios for triggering programme revisions. These include moments when it might be appropriate to scale up effective interventions, mitigate against risk, or when shifting activities and budget from one grant/PR to another.</p> <p>The manual also emphasises the requirement to conduct capacity assessments, particularly new PRs who have not previously been assessed for their capacity to implement the disease component, or existing PRs who are implementing new activities for which their capacity has not been previously assessed. A country team may also conduct a capacity assessment for an existing PR, if it is necessary to manage risks – e.g. when there is evidence that the PR’s capacity has significantly changed since the previous capacity assessment. Staff add the portfolio optimisation process which allows unused funds to go to countries who have performed well to fund additional activities, taking into account the absorption capacity of countries. While the process is widely acclaimed, a couple of challenges were reported, such as the difficulty in developing criteria which are clear, equitable and transparent across the portfolio.</p>	56, 57, 147, 149, 150
<b>MI 5.3. Evidence confidence</b>	<b>High</b>
<b>MI 5.4. Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.6</b>
Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk	3
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	3
Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	2
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	4
Element 5: Intervention design is based on contextual analysis, including potential risks of sexual abuse and other misconduct with respect to host populations	1
<b>MI 5.4. Analysis</b>	<b>Source document</b>
<p><b>5.4.1. The Global Fund has strong processes for identifying and reporting on risks, including operational risks, although the implementation of risk mitigation actions still requires improvement.</b> The Global Fund adopted its Risk Management Policy in 2014 and updated its Enterprise Risk Management (ERM) Framework in 2020. In accordance with the ERM Framework, the Global Fund employs a “three lines of defence model”, with GMD responsible for day-to-day risk management (first line); the Risk Department providing oversight of and support for implementing the ERM framework (second line); and OIG and External Audit providing independent assurance of risk management</p>	20, 26, 31, 55, 76, 81, 172, 177, 192, 265, 266

activities (third line). Risk management activities are integrated in the Global Fund's Grant Operating System (GOS) through the Integrated Risk Management (IRM) module, which is an online platform used by country teams to record and monitor grant-facing (i.e. operational) risks. The OIG Audit of Global Fund Internal Financial Controls (2021) reveals that organisational risk management processes have improved significantly in recent years. This is echoed by interviewed Board members, Secretariat staff and country teams, who acknowledge that the Global Fund is effective at identifying and reporting on risks. This is also consistent with survey data, with 88% of respondents agreeing that the Global Fund appropriately manages risk within the context of its grant management. However, the OIG audit also found limitations in the IRM module which hinder effective risk management, including the prioritisation of risks and mitigation actions. Interviewed country teams acknowledged that the IRM module requires improvements and that more attention is needed to address risks once they are identified. Secretariat staff confirmed that a risk prioritisation exercise has been completed and that the IRM rebuild project, scheduled for delivery in July 2022, will allow CTs to better track mitigation actions in the IRM module.

**5.4.2. The Global Fund effectively assesses strategic risks and takes appropriate measures to mitigate risks that could hinder the achievement of strategic objectives.** At corporate level, the Global Fund has an ORR that monitors 22 types of risks, including grant-facing and non-grant facing risks. ORR are monitored by the Enterprise Risk Committee and are reported to the Board on a quarterly basis. The ORR is also reported to the three standing committees, which advise the Board on risks allocated pursuant to their respective charters or by the coordinating group, and within the Secretariat to the Management Executive Committee. For each risk, root causes and mitigation actions are identified. Mitigation actions commonly include the implementation of strategic initiatives to promote the achievement of strategic objectives that may not be achieved through grants alone.

In 2018, the Global Fund adopted its first Risk Appetite Framework, which defines the level of risk that the organisation is willing to take to achieve its strategic objectives. In the context of the COVID-19 pandemic, the Board approved amendments to the Risk Appetite Framework in November 2021, increasing the level of acceptable risks for 4 out of 11 grant-facing risks to ensure the achievement of strategic objectives across the three diseases. However, some country teams expressed concern in interviews that risk appetite does not sufficiently consider the diversity of recipient countries, which sometimes affects programme delivery in COEs. In addition, they noted that the risk appetite sometimes limits the innovations needed to achieve strategic objectives.

**5.4.3. The Global Fund analyses political risks, although country teams could benefit from additional guidance.** Policies and guidance reviewed – including the 2014 Risk Management Policy, the updated ERM Framework (2020) and the OPM on Risk Management across the Grant Lifecycle (2018) – do not mention political risks. In the ORR, roots causes are analysed for all types of risks. A review conducted by the MOPAN assessment team of the ORR reveals that political risks are considered in root cause analyses for only 2 of 13 grant-facing risks. However, the Global Fund systematically assesses political risk at grant/country level through its Integrated Risk Management module. Political risk is identified as a root cause across all key risk categories, including programme quality, human rights and gender, fraud and fiduciary risk, and governance, oversight and management. In addition, an interview with a country team indicated that more guidance on how to manage risks arising from political instability is warranted.

**5.4.4. The Global Fund effectively manages reputational risks, including those associated with private sector engagement (PSE).** Reputational risk is one of 22 risk types that are monitored by the ORR. This reputational harm can be caused by, for example, control weaknesses, performance issues, poor governance or negative media coverage. The ORR identifies root causes of reputational risks and mitigation actions to address them. The Risk Management Report and the 2021 Chief Risk Officer's Annual Opinion reports that the implementation of mitigation actions is on track.

20, 26, 31, 55, 76, 81, 172, 177, 192, 265, 266



<p>In 2019, the Global Fund updated its framework on private sector engagement, which was first adopted in 2015. The framework acknowledges reputational risks associated with PSE and includes provisions for due diligence in partnering with the private sector. The OIG audit report, “Managing Ethics and Integrity at the Global Fund” (2019), found the due diligence process in PSE to be mature, but also noted that screening guidelines focused only on primary partners and not third parties. The Risk Management Report and Chief Risk Officer’s Annual Opinion (2021) confirm that a new Integrity Due Diligence (IDD) framework has been rolled out to PSE and applies to third parties. Interviewed Secretariat staff explained that the PSE Committee – which is co-chaired by the PSE and Ethics offices – regularly meets to discuss risks related to PSE. They further noted that every partnership has a management plan that outweighs the risks and benefits of the partnership.</p>	
<p><b>5.4.5. The Global Fund does not yet assess PSEAH risks in its grants. It plans to start doing so in 2022. PSEAH risks are monitored in the ORR.</b> In December 2021, the Global Fund released a draft concept note on PSEAH risk and capacity assessment. The concept note describes how the Global Fund will identify and assess PSEAH risks using three modules:</p> <ol style="list-style-type: none"> <li>1. an assessment of SEAH risk caused by the external environment,</li> <li>2. an assessment of PSEAH capacity of principal recipients,</li> <li>3. an assessment of SEAH risk in grant activities and programmes.</li> </ol> <p>The Global Fund is currently developing the methodology for conducting these assessments. The PSEAH Risk and Capacity Assessment Project will start its pilot phase in 2022 – reaching an initial set of 15 countries – and is expected to be fully in place by 2024. In November 2021, the Global Fund added SEAH and Misconduct as a new ORR risk, which will be monitored and updated as the Global Fund progresses with the roll-out of the project.</p>	<p>20, 26, 31, 55, 76, 81, 172, 177, 192, 265, 266</p>
<p><b>MI 5.4. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)</b></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3.5</b></p>
<p>Element 1: Approval procedures require an assessment of the extent to which cross-cutting issues have been integrated in the design</p>	<p>3</p>
<p>Element 2: Plans for intervention monitoring and evaluation include attention to cross-cutting issues</p>	<p>4</p>
<p><b>MI 5.5 Analysis</b></p>	<p><b>Source document</b></p>
<p><b>5.5.1. The grant approval process includes a consideration of human rights, gender and RSSH but more can be done to ensure country-level awareness of their significance.</b> Funding requests require applicants to integrate into their applications cross-cutting issues, such as outlining how challenges, barriers, and inequities related to HRG are being addressed through the proposed interventions. The funding instructions encourage applications to include reference documentation in relation to HRG to inform the country context analysis and to include a justification of the selection of interventions and indicators/milestones through the lens of how they will address HRG-related barriers and inequities in access to services.</p> <p>RSSH, a main intervention area alongside the three diseases, is also discussed extensively in funding requests and instructions. For example, applicants are strongly encouraged to discuss RSSH needs at the beginning of the country dialogue and develop requests that address common systems constraints</p>	<p>1, 56, 57, 147, 148, 151</p>

faced by the disease programmes. The TRP's terms of reference, which state the criteria for assessing funding requests, also include criteria for assessing cross-cutting issues, such as reducing human rights-related barriers to accessing services and advancing gender equality. Following its review, the TRP provides recommendations to the Board and Secretariat, which may include requesting further iteration for the applicant to resubmit their funding request. The TRP review also provides feedback to applicants on the quality of their funding requests, a clear rationale for its assessment and, where applicable, why funding requests have been recommended for further iteration. The Grant Approvals Committee (GAC) refers to the outcomes of the TRP review in its recommendation to approve a specific grant and funding. In cases where there are material changes from the TRP recommendations as determined by the GAC, the Secretariat obtains further input from the TRP prior to seeking the Board's approval.

In cases where additional funding may be needed to ensure an inclusive funding request, the applicant and the country team may consider the Community, Rights, and Gender Strategic Initiative (CRG SI) for providing technical assistance to support the engagement of civil society, key populations, people living with or affected by the three diseases, and women's networks and organisations, either independently or in partnership with the CCM. Staff add that having Global Fund KPIs that relate to gender and human rights is one way to ensure these issues are integrated into grants. However, they admit that having available guidelines and tools accessible both internally and externally does not necessarily lead to the integration of gender and human rights in grants, and that there is more work to be done to make countries aware of their importance. This is especially true for RSSH activities, which are broad and complex, and there is a need for a common vision at the country level in order to push this issue forward. This is also the area where they have much less supporting guidance with a significant turnover in the RSSH team. Staff emphasise the role of public health and monitoring and evaluation (PHME) specialists and TRP in ensuring a focus on cross-cutting issues. PHME specialists support countries during the country dialogue to ensure they consider the available technical briefs and integrate them in the grant design. They also consult with experts from Technical Advice and Partnerships (TAP), CRG specialists and RSSH focal points before providing feedback to the countries on their funding request submissions to TRP. However, the responsibility for outreach lies with the country teams.

**5.5.2. The Global Fund's strategy and guidance on intervention design, which help the organisation in monitoring and evaluating grants, include a focus on cross-cutting issues.** At the corporate level, vision statements and how they are to be measured are included in the Global Fund's strategy. The strategy includes four KPIs focused on cross-cutting issues:

1. KPI 8, gender and age equality;
2. KPI 9a, human rights barriers to services;
3. KPI 9b, key populations and human rights in middle-income countries;
4. KPI 9c, key populations and human rights in transition countries.

At the grant level, the Modular Framework Handbook details intervention packages for RSSH and the three diseases for integration into grant applications. They refer extensively to gender and human rights. There are also pre-established core indicators for the four sets, some of which are mandatory for applicants. Staff add there has been a much stronger focus on gender since the creation of the CRG department which helps CTs in monitoring gender and human rights in grants. Both CRG and RSSH teams provide more support to high-impact countries and tailored support to focused countries. They also organise brown-bag meetings and training sessions, some of which are attended by implementers. However, while CRG focal points are assigned to country team, they often work across 16-17 countries and may not be able to provide adequate support to each when needed. Yet, staff confirm that gender

1, 56, 57, 147, 148, 151

<p>became a critical component of one of the Global Fund’s four key priorities, and this will continue with the new strategy.</p> <p>While guidance on intervention design includes a focus on cross-cutting issues, there is no equivalent requirement to include cross-cutting issues in evaluations, However, based on the sample of publicly available evaluations, the assessment found that TERG reports include attention to cross-cutting issues. In July 2019, the TERG published a thematic review specifically focused on RSSH.</p>	1, 56, 57, 147, 148, 151
<b>MI 5.5. Evidence confidence</b>	<b>High</b>
<b>MI 5.6. Intervention designs include detailed, realistic measures to ensure sustainability (as defined in KPI 12 of the MOPAN assessment (see below))</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.25</b>
Element 1: Intervention designs include statement of critical aspects of sustainability, including institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	4
Element 2: Intervention design defines key elements of the enabling policy and legal environment required to sustain the expected benefits of successful implementation	3
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	2
Element 4: Where shifts in policy and legislation will be required for sustainability, the intervention plan directly addresses these reforms and processes in a time-sensitive manner	4
<b>MI 5.6 Analysis</b>	<b>Source document</b>
<p><b>5.6.1. The Global Fund has strong processes in place to ensure the inclusion of sustainability and cofinancing requirements in grant making.</b> Sustainability was identified as an organisational priority during the 2014 discussions that led up to the Strategy 2017-22. This commitment was reaffirmed in 2016 through the adoption of the Global Fund’s Sustainability, Transition and Cofinancing (STC) Policy. This STC Policy underscores the importance for countries to sustain and scale up programmes to achieve impact in the three diseases as part of the effort to move toward universal health coverage (UHC). The policy recognises the need for countries to move from donor financing to domestically funded systems and establishes a cofinancing requirement. As noted in MI 3.2, the Global Fund largely surpasses cofinancing targets. The policy also commits to supporting upper middle-income countries in initiating the process of transition toward nationally funded programmes through transition-readiness assessment and transition work plans. The funding request form for the 2020-22 allocation period requires applicants to indicate how they will meet cofinancing commitment and address challenges related to sustainability and transition. The request form is accompanied by a guidance note on STC to help applicants embed sustainability in grant design, in line with the STC Policy.</p> <p>Overall, the TERG review of the STC Policy concluded that the Global Fund is transforming the work of the organisation and that effective skills and tools are in place to help countries make the transition to externally financed programmes. However, it also recognises the need for greater sustainability considerations in grant making in regions where few countries are planning for transition. Interviewed Board members generally recognised the Global Fund’s work in DRM, also acknowledging that continued efforts are needed in the context of the shrinking fiscal space and that sustainability should become one of the main principles of the Global Fund. The new Strategy 2023-28 puts renewed emphasis on sustainability and transition. In the survey 81% agree that the Global Fund’s grants are designed and implemented such that their effects and impact are sustained, 18% disagree, and 1% have no opinion or do not know.</p>	1, 3, 56, 118, 133, 144, 208

<p><b>5.6.2. The Global Fund has provided support for the development of national strategies and plans, but continued efforts are needed.</b> The STC Policy outlines the importance for the Global Fund of supporting the development of national health strategies, disease-specific strategic plans and health financing plans. Similarly, one of the operational objectives of SO2 (RSSH) of the Global Fund Strategy is to “strengthen and align to robust national health strategies and national disease-specific strategic plans”. The 2020 Strategic Review confirms that some results have been achieved in this area, but that further progress is needed. In addition, the 2020 Strategic Review also reports some support for the development of health financing strategies.</p> <p><b>5.6.3. The M&amp;E Framework monitors progress in domestic resource mobilisation (DRM), but still lacks some indicators to fully measure the implementation of STC commitments.</b> The Global Fund’s KPI 11 monitors domestic resources mobilisation (KPI 11). The 2020 Strategic Performance Report confirms that corporate targets were surpassed, with cofinancing investments reaching 129% of STC Policy requirements. However, the TERG’s 2020 evaluation of the STC Policy found that the current KPI Framework lacks indicators for comprehensively monitoring and reporting on STC commitments. In its management response, the Secretariat committed to incorporating additional metrics for the next strategy cycle. Interviewed Secretariat staff confirmed that they were working to enhance the monitoring of the STC Policy.</p> <p><b>5.6.4. The Global Fund increasingly supports health financing reforms within the context of UHC.</b> The STC Policy support progressive government expenditure on health to meet national UHC goals. The TERG review of the STC Policy revealed that, as part of domestic resource mobilisation efforts, the Global Fund has advocated that countries take over and scale up programmes on HIV, TB and malaria. Secretariat staff explained that the Global Fund has evolved from a narrow focus on DRM in 2011 to a much broader approach to health financing that is anchored in universal health care. Staff further noted that the Global Fund has developed partnerships to support reforms within the context of UHC. For example, it is working with WHO to strengthen health expenditure tracking through national health accounts. In January 2021, the Global Fund created its new Health Finance Department, which is expected to be fully staffed by January 2022. The Health Finance department has a network of focal points that provide support to country teams.</p>	1, 3, 56, 118, 133, 144, 208
<b>MI 5.6. Evidence confidence</b>	
<b>MI 5.7: Institutional procedures (e.g. systems for hiring staff, procuring project inputs, disbursing payment, logistical arrangements) positively support speed of implementation and adaptability in line with local contexts and needs</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.5</b>
Element 1: The organisation has internal standards set to track implementation speed	4
Element 2: Institutional procedures are adaptable to local contexts and needs	4
Element 3: The organisation’s benchmarks (internally and externally) its performance on implementation speed across different operating contexts	4
Element 4: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	2

MI 5.7 Analysis	Source document
<p>5.7.1. <b>The Global Fund has mechanisms such as a grant oversight tool (dashboard) and the PR progress update and disbursement requests (PU/DRs) to track grant performance, which includes implementation speed.</b> During grant implementation, the CCM is responsible for overseeing grant performance. The Global Fund developed a grant oversight tool, called “dashboard”, whose use is voluntary but strongly recommended for CCMs. It provides CCM members with a visual, strategic summary of key financial, programmatic and management information drawn from existing data sources. CCMs are now encouraged to develop similar tracking tools for the new funding cycle that better answer their oversight needs. The PR and CCM agree on communication and shared reporting arrangements throughout grant implementation, which can involve the regular attendance of principal recipients at CCM meetings or sharing PU/DRs with the CCM before they are submitted to the Global Fund.</p> <p>Principal recipients expect PU/DRs to help the Global Fund review implementation progress and decide on annual funding. They also help inform the organisation of any implementation issues and identify corresponding mitigating measures. Staff add that they regularly track the procurement plan and grant performance framework, through which they define the period of reporting to understand the status of implementation. PRs have to report to the Global Fund on a biannual basis on both performance and financial data, which contain the total funding used from disbursement. In addition, they have internal monitoring processes, which include how speed grants are signed and reprogrammed. Recently, staff reported that the Grant Management Division has started a process to identify the challenges to the speed of grant take-off. It is a new process that aims to enhance the speed of implementation once grants are signed.</p> <p>5.7.2. <b>Programme revisions (formerly referred to as “reprogramming”) are the main procedure for adapting grants to local contexts and needs during implementation.</b> The OPM specifies that a programme revision may be proposed during grant implementation to adapt to local contexts and needs. They entail the change of scope or scale of the programme within an already approved funding ceiling and current implementation period. Their goal is to enable adjustments to ensure the resources invested achieve maximum impact in line with the Global Fund’s Strategy. The manual lists five types of grant revision – extension, additional funding, programme, budget and administrative.</p> <p>Staff add that the Global Fund has a level of maturity and a decentralised model of partnership which give it the agility to respond to changes in local contexts and needs by partnering with organisations best placed to respond. For example, for the first time, delegation matrices were developed as part of business contingency planning in the context of COVID-19. They clearly outline the people responsible for making decisions when key decision makers are unavailable. The organisation also adapted its reporting mechanisms, especially in the context of COVID-19, to receive more timely data for decision-making processes. The message from committees and partners is that the Global Fund needs to maintain its level of ambition, acknowledge adjusted levels of risks, and allow adaptations to continue. Survey respondents are largely in agreement (83%) that the Global Fund adapts its grant management as the context changes, though there is some disagreement among partners from private sector, academia, civil society, and among external global partners, constituting a share of 15%17% of respondents who disagree.</p> <p>5.7.3. <b>The Global Fund conducts a variety of benchmarking exercises to inform its grant investments, including how implementation progress could be improved.</b> Since 2015, the organisation has invested a significant amount in developing a customised enterprise resource planning tool, the Grant Operating System (GOS) to manage and monitor grants on a cloud-based platform. External parties such as the LFAs can access particular modules to support improved collaboration and</p>	<p>20, 27, 58, 141, 142, 146, 147, 150, 152</p>

<p>faster information sharing. The system also includes benchmarked data. Staff report that in addition to comparing progress on indicators with historical data, the Global Fund does regional benchmarking to compare countries and understand how grant progress can be improved. They can also collaborate with partners to compare various approaches in data analysis. All this benchmarking applies to programme data as well as financial and procurement data.</p> <p><b>5.7.4. There is evidence to suggest that procedural delays negatively impacted the implementation of grants, especially for cross-cutting investments, though there are efforts to improve these processes.</b> The Global Fund’s 2021 Prospective Country Evaluation Synthesis Report finds that the lengthy process of selecting and contracting implementers – particularly PRs selecting and contracting SRs – delayed the implementation of activities in most prospectively evaluated countries. The report also identifies Global Fund processes as a barrier to implementation progress. For example, most PCE countries spent the first six months of the existence of the New Funding Model (NFM2) grant closing NFM1 grants due to their time-consuming nature.</p> <p>Aligning budgets and implementation plans for Global Fund grants is also a highly complex process, the risk management-related advantages of which do not seem to outweigh the complexity of subsequent changes to implementation plans. Finally, the PCE report finds that intensive reporting and data verification processes, weak coordination within programme teams and between donors, and burdensome revision processes took significant time and attention away from the PR focus on implementation. Coordination challenges particularly affected RSSH investment, in part due to resources for RSSH activities being spread across grants and because responsibility often lies outside of the disease programmes. The TERG Thematic Review of HIV Primary Prevention also notes that the Global Fund is generally considered to be relatively slow at offering support for new interventions.</p> <p>Staff noted that there have been efforts to improve implementation speed. For example, the Grant Management Division recently launched a process to identify the challenges and bottlenecks that slow implementation. The A2F and Allocation Team also reports continuous improvement in the speed with which funds are integrated in grant revisions as part of the portfolio optimisation process – now only two months compared to over six in previous cycles.</p> <p>Only 41.5% of survey respondents either “strongly agree” or “agree” that the Global Fund’s management processes do not cause unnecessary delays for grant recipients, while another 22.8% “somewhat agree”. Another 21.7% “somewhat disagree”, “disagree”, or “strongly disagree” with the statement.</p>	<p>20, 27, 58, 141, 142, 146, 147, 150, 152</p>
<p><b>MI 5.7. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>KPI 6. Working in coherent partnerships directed at leveraging and catalysing the use of resources</b>  <i>Partnerships as defined at the country level (CCMs, etc.) and at the global level (donors and technical agencies).</i></p>	<p><b>KPI score</b></p>
<p><b>Satisfactory</b></p>	<p><b>3.25</b></p>
<p><b>Partnerships are one of the cornerstones of the Global Fund, a principle clearly articulated in many of its core documents. And although its operationalisation of this principle is generally strong, it could be deepened in certain areas.</b> Since its inception more than 20 years ago, the Global Fund has emphasised that it operates within a partnership model that draws on a wide variety of stakeholders – such as governments, civil society, the private sector and people affected by the three diseases – to ensure the success of its programmes. These partnerships operate at both the global level, through fora like the composition of the Global Fund’s Board, and at the country level through CCMs (CCMs and their inclusivity are distinguishing features of the Global Fund).</p>	

The Global Fund has broadly outlined its various roles, responsibilities, and partners as part of its partnership model. More specifically, it has operationalised those responsibilities in various positive and reinforcing actions. For example, it has clearly delineated and committed to joint planning, programming, and ensuring the transparency of budgetary information with its partners. Further, it has clearly described in its funding information that the process of submitting a grant proposal requires both broad consultation with partners and building upon existing programming and support for national strategic plans for the three diseases. With this, it has unmistakably committed itself to working with a partnership framework.

Nevertheless, there remain a few areas which the Global Fund could strengthen to ensure that its partnership model remains fit for purpose. First, while the Global Fund is seen as having many comparative advantages, as its documentation and various stakeholders attest, there is no clear and definitive statement as to what those advantages are. As the fiscal space for global health may become more modest and competitive in upcoming years, that clear articulation may work to its advantage. Additionally, as Global Fund grant recipient countries advance along the development continuum and, in some cases, transition away from Global Fund support, there would appear to be an opportunity to strengthen South-South cooperation so that this type of cooperation becomes the norm rather than the exception. Finally, while accountability is another principle to which the Global Fund adheres, there is limited documentation which unequivocally states that it is accountable to its beneficiaries. Perhaps this has been an oversight, as all staff believed that the Global Fund operates accountably to its beneficiaries. Therefore, evidence of this accountability needs to be documented.

<b>MI 6.1. Planning, programming and approval procedures make partnerships more agile when conditions change</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Highly Satisfactory</b>
<b>Overall MI score</b>	<b>4</b>
Element 1: Procedures in place to encourage joint planning and programming	4
Element 2: Mechanisms, including budgetary, in place to allow programmatic changes and adjustments when conditions change	4
Element 3: Institutional procedures for revisions permit changes to be made at the appropriate level to ensure efficiency	4
<b>MI 6.1. Analysis</b>	<b>Source document</b>
<p><b>6.1.1. Partnership is one of the four key principles of the Global Fund and is operationalised, including joint planning and programming, at the country level, primarily through its support to CCMs.</b> As reflected in its framework documents, including its founding documents and bylaws, partnership is at the centre of how the Global Fund does business. Its model for planning and programming relies heavily on a bottom-up approach driven by country partners and their participation and input in the CCMs, which the Global Fund supports. The documentation states:</p> <p>“The Global Fund will work with a country coordination and partnership mechanism that should include broad representation from governments, nongovernmental organisations, civil society, multilateral and bilateral agencies and the private sector. The mechanism should be at the highest national level responsible for national multi-partner and multisectoral development planning. The TRP will only recommend funding coordinated country proposals, which reflect genuine, broad participation and ownership of all interested groups.”</p> <p>Further, it is made clear in documentation that the Global Fund has a commitment to supporting programmes that reflect national ownership, respect country-led implementation processes, and ensure all members have an equal voice. According to its CCM policy, the Global Fund requires all CCMs to coordinate the development of funding requests through transparent documented processes that engage a broad range of stakeholders, including CCM members and non-members, and clearly document efforts to engage key populations in the development of funding requests.</p>	42, 74, 78, 147

<p>These ideas were echoed by staff who noted that the Global Fund model of working through CCMs “has proven to be robust” and works well with civil society. Staff mentioned that the limitations of the model were tested in 2020 because CCMs were not initially plugged into the separate COVID-19 response, although they quickly adapted to ensure that COVID-19 grant requests were aligned with national responses.</p> <p><b>6.1.2. The Global Fund has well defined procedures and mechanisms for programmatic changes, described primarily in its Operating Policy Manual.</b> As noted in its OPM, “the goal of a grant revision is to allow Global Fund investments to adjust to programmatic requirements during grant implementation in order to ensure the continued effective and efficient use of Global Fund resources invested to achieve maximum impact”. The OPM further defines when, and under what circumstances (or triggers), a grant revision may occur, the processes and requirements for that revision, a decision tree to determine the type of grant revision to pursue, and the criteria for determining the appropriate approval authorities. Types of grant revisions include revisions of extensions, additional funding, programmes (material and non-material), budgets and administrative procedures. Informants believed that having these guidelines in place was useful for the Global Fund’s response to the COVID-19 pandemic. Overall, grant flexibilities allowed countries with current Global Fund grants to meet immediate COVID-19 response demands by using up to 5% of their current grant value where there were savings, and/or by reprogramming up to 5% of the value of a grant. It was estimated that nearly USD 500 million could be reprogrammed for COVID-19 as part of this approach.</p> <p><b>6.1.3. The Global Fund’s OPM provides detailed guidance on approval authorities for programmatic changes, including determination of the level of materiality and corresponding responsibilities, to ensure efficiency of operations.</b> As noted in Element 6.1.2, grant revisions are to allow the Global Fund to adjust its programmes to ensure “the continued effective and efficient use of Global Fund resources”. The OPM recommends that country teams determine the type of revision required. At a high level, the roles and responsibilities associated with pursuing a grant revision are similar, regardless of the type of revision pursued, in that a number of criteria (e.g. grant end date, funding amounts, and materiality) are used to determine the appropriate approval authorities. For example, the country team, in consultation with the relevant disease advisors, regional managers and department heads, reviews the request and makes a preliminary determination of whether a revision is material or non-material. If no agreement is reached in determining the materiality of the request, the decision-making will be escalated in accordance with the Global Fund’s standard escalation procedure, as given by the country team approach. Similarly, the approval authority for a (lower-level administrative revision) is the Fund Portfolio Manager. All of these types of grant revisions, together with the procedures for requesting approval, are provided in the OPM and staff believe they operate well.</p>	<p>42, 74, 78, 147</p>
<p>MI 6.1. Evidence confidence</p>	<p>High</p>
<p><b>MI 6.2. Partnerships are based on an explicit statement of comparative or collaborative advantage, such as technical knowledge, convening power/partnerships, policy dialogue/ advocacy</b></p>	<p>Score</p>
<p><i>The Global Fund is a funding mechanism or manager; so comparative or collaborative advantage must be assessed through this lens (in other words, it is neither a traditional donor nor a technical agency).</i></p>	
<p><b>Overall MI rating</b></p>	<p>Unsatisfactory</p>
<p><b>Overall MI score</b></p>	<p>2</p>
<p>Element 1: Corporate documentation contains a clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership</p>	<p>2</p>



Element 2: Corporate documentation contains a clear and explicit statement on the collaborative advantage that the organisation intends to realise through a given partnership	2
Element 3: Resources/competencies needed for intervention areas are aligned with the perceived comparative or collaborative advantage	2
Element 4: Comparative or collaborative advantage is reflected in the resources (people, information, knowledge, physical resources, networks) that each partner commits (and is willing) to bring to the partnership	2
<b>MI 6.2 Analysis</b>	<b>Source document</b>
<p>6.2.1. <b>As noted in Element 1.1.2, comparative advantages for the Global Fund are mentioned in the development of its new strategy (2023-28) and the strategy itself, but not in previous documentation. There was thus no clear, explicit statement on the comparative advantage that it brings to a given partnership for most of the review period.</b> Though there is discussion of the Global Fund’s comparative advantage, it is not clearly articulated. Indeed, one document notes that partners, via the Global Fund’s Partnership Forum, have requested it to be more clearly expressed. However, within the survey, 53.4% of respondents either “strongly agree” or “agree” that the Global Fund’s work with partners is based on a clear understanding of its comparative advantage, while almost 30% “somewhat agree”. In interviews for this assessment, staff noted that the Global Fund does bring several comparative advantages to its partnerships:</p> <ul style="list-style-type: none"> <li>• a clear focus on its mandate;</li> <li>• the ability to contribute to building health systems, the movement toward UHC and broadly speaking, Sustainable Development Goal 3;</li> <li>• its flexibility and adaptability, demonstrated in its response to the COVID-19 pandemic and in its work with counterparts in the ACTAccelerator;</li> <li>• a willingness to consider and respond to new donor concerns (e.g. climate change, sexual exploitation, abuse, and harassment.);</li> <li>• its market shaping abilities both in scale and scope and lower prices for all partners;</li> <li>• its ability to leverage cofinancing, both internationally and domestically;</li> <li>• through its CCMs, the provision of a forum for all partners at the country level to discuss issues related to the three diseases (and now to COVID-19).</li> </ul> <p>6.2.2. <b>The Technical Evaluation Reference Group’s 2019 thematic review of partnerships and position paper form the basis of evidence for the collaborative advantage the Global Fund has realised through its partnerships, although this has not yet been formally articulated.</b> Some of the findings of the TERG review noted that the reasons for productive partnerships were similar, regardless of the model examined. This included identifying partners’ comparative advantages and common points of interest, and ensuring mutual focus on a similar outcome. TERG further noted that the Global Fund’s partnership model enables global partners and countries to work together, each in relation to their comparative advantage, in order to develop an agreed approach to addressing common problems (e.g. data collection, quality and use) and sharing lessons on widespread challenges such as UHC. When entering a partnership, factors to consider include choosing the right partner (mandates), identifying technical needs, understanding monitoring arrangements, and ensuring accountability, communications and coordination. The TERG review also noted some limitations, such as limited knowledge or evidence of comparative advantages in partnerships with non-state actors, which sometimes lead to poorly defined roles and responsibilities and incompatible approaches.</p>	65, 90, 138, 140

<p>6.2.3. <b>As noted in previous elements, the lack of explicit information on the Global Fund’s comparative advantages makes it challenging to provide information for this element. Thus, whether the Global Fund’s resources are competencies are aligned with its perceived advantage is difficult to determine.</b> As noted in Element 6.2.2, the 2019 TERG review provides a starting point for following this up. Additionally, staff mentioned that, when the new UNAIDS Global AIDS Strategy was under development, the executive directors of the two organisations (UNAIDS and the Global Fund) discussed and strategized on what each organisation would bring to the ongoing partnership. Further, as noted by staff, the situation rooms provide a forum for discussing the different resources each partner will bring to address the three diseases. In other words, the technical agencies come with normative guidance, and the Global Fund brings its funding and experience of grant making to a country to determine the best course of action.</p> <p>6.2.4. <b>As noted previously, comparative advantages for the Global Fund are mentioned in the development of its new strategy (2023-28) and the finalized strategy, but have not been made explicit in the previous cycle of documents.</b> Thus, while the Global Fund certainly does have a number of comparative or collaborative advantages, is it unclear if these are adequately and appropriately reflected in the resources it brings to its partnership.</p>	65, 90, 138, 140
<b>MI 6.2. Evidence confidence</b>	<b>Medium</b>
<p>Evidence is rated “medium” because for a number of elements (6.2.2, 6.2.3, 6.2.4) there is either a lack of evidence, unclear documentation, or documentation which was finalized in the last month of the assessment.</p>	
<b>MI 6.3. Demonstrated commitment to furthering development partnerships for countries (e.g. support for South-South collaboration, triangular arrangements, and use of country systems)</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.25</b>
Element 1: Clear statement on how the organisation will support principles of collaboration with countries on their development agenda (Nairobi Principles, 2030 Sustainable Development Agenda)	4
Element 2: Clear statement/guidelines for how the organisation will support development partnerships between countries	2
Element 3: Clear statement/guidelines for how the organisation will use country systems	4
Element 4: Internal structures and incentives supportive of collaboration/cooperation with countries, and use of country systems where appropriate	3
<b>MI 6.3 Analysis</b>	<b>Source document</b>
<p>6.3.1. <b>The Global Fund provides several unequivocal statements, including, but not limited to its framework documents, about how it will support principles of collaboration with countries in their development agenda.</b> The Global Fund has always adopted the four principles of partnership, country ownership, transparency, and results-based management as its foundation. Several Global Fund framework documents state that the purpose of the Global Fund is to attract, manage and disburse additional resources through a new public-private partnership, mitigating the impact caused by HIV/AIDS, TB and malaria in countries and contributing to poverty reduction as part of the Millennium Development Goals. Further, its documents state that the Global Fund will promote partnerships among all relevant players within the country, and across all sectors of society.</p>	1, 74, 75, 78, 90, 124, 138, 173

Additional documents state that “partnership forms the very basis of the Global Fund model”. Its strategy also provides an accountability framework to enable the Global Fund and its partners to measure the effectiveness of the partnership through the ability to deliver results. Partners are involved at all levels of the Global Fund model, from Board membership through to country coordination and the implementation of programmes in communities. As it states: “country level partnerships are needed to ensure alignment and provision of coherent support to countries”. The principle of country ownership of programmes is inviolable, but the Global Fund recognises that ownership by partners at country level varies considerably. In line with the Paris Declaration and Accra Agenda for Action commitments, the Global Fund continues, where appropriate, to support aligning CCMs with other relevant in-country structures.

The Global Fund has also developed the Partnership Forum, an ongoing process linked to the Global Fund Strategy that provides persons and entities concerned about HIV/AIDS, TB and malaria with a forum to express their views on the Global Fund’s policies and strategies. Participation in the Partnership Forum is open to a wide range of stakeholders who actively support the Global Fund’s objectives, including representatives of donors, multilateral development cooperation agencies, developed and developing countries, civil society, NGOs and community-based organisations, technical and research agencies, and the private sector.

**6.3.2. While several documents extensively discuss partnerships between the Global Fund and other organisations and groups at the global, regional and country level, there is little to no information about how it will support partnerships between countries. To date, most South-South cooperation has been done via strategic initiatives.** Approximately 42% of survey respondents either “strongly agree” or “agree” that the Global Fund grants support countries in further developing partnerships. Another 30.5% “somewhat agree”, with 12.6% choosing to “somewhat disagree”, while another 12.6% either “don’t know” or have “no opinion”. During the 2017-19 funding period the Global Fund supported a South-South Peer Review, Learning and Funding SI with an approximate value of USD 14 million which focused on technical assistance between countries to solve issues such as implementation bottlenecks, to support adolescent young girls’ and women’s programmes, to design and implement malaria programmes, and integrated community case management of malaria among other items. There were also a number of regional and global workshops, while normative guidance was developed for community M&E. Another South-South SI received USD 7 million in funding for the 2020-22 period. Because it was approved in July 2021, however, results are still forthcoming. Finally, it should be noted that:

- SIs are not typically part of core programmatic funding and are not, therefore, guaranteed.
- The 2019 TERG Review of Partnerships examined six different models of technical assistance partnerships, none of which was developed for collaboration between countries. Consequently, whether these South-South initiatives were useful is still to be fully determined.

Staff who were knowledgeable about the Global Fund’s South-South partnerships believed that they worked fairly well. For example, there appears to be ongoing discussions between global partners about establishing two capacity-building hubs in sub-Saharan Africa, ensuring that the regional workshops allow better engagement with local and regional partners (e.g. WHO regional offices, PAHO, Africa CDC) and that they allow countries to learn from each other. In addition, the establishment of the CRG regional platforms made positive contributions at country level and should be sustainable. “

**6.3.3. One of the Global Fund’s strategic objectives is to build RSSH and to rely on country systems. This is made clear both in its framework documents and its guidelines for what it will fund.** There are two main notable items by which the Global Fund demonstrates its support for country

1, 74, 75, 78, 90, 124, 138, 173

<p>systems. They are its support for strengthening health systems, and its use of CCMs for providing an oversight and governance function. As noted in its funding materials, the Global Fund states that “the Global Fund will support proposals which... strengthen systems for working within the health sector, across government departments, and with communities...[b]uild on, complement, and coordinate with existing regional and national programmes in support of national policies, priorities and partnerships... and support existing and new innovative programmes at national and multicountry levels”. As such, it has committed more than USD 990 million to interventions specifically to improve the national capacity of health systems, as well as funding via disease-specific components which has had additional effects and slightly more than 75% of survey respondents either “strongly agree” or “agree” that Global Fund grants have helped develop the capacity of country systems.</p> <p>Similarly, the Global Fund recognises the role of governments in coordinating overall health programmes in their countries, as well as their role in planning, implementing and providing resources for programmes and, as such, has instituted the CCM which serves as a forum for some of that coordination and planning. In accordance with the Global Fund’s CCM Policy, CCMs should, if possible, be formed from existing national structures, should be at the highest level responsible for multi-partner and multisectoral development planning in a country, and should include a broad range of stakeholders, including civil society and people affected by the diseases.</p>	
<p>6.3.4. As noted in Element 6.3.3, <b>there is clear documentation on how internal structures (i.e. the Secretariat and the funding provided via grants) should collaborate with countries and use country systems. A review of provided documentation, though, does not yield any evidence of “incentives” that support this collaboration.</b> As noted in multiple other elements (1.2.4, 1.3.2, 6.1.1, 6.1.2, 6.1.3) and as fully elaborated in the 2021 Operational Policy Manual, country teams form the basis of the internal structure of the Global Fund. Heading each country team is a fund portfolio manager supported by a number of staff, depending on the size and complexities of the corresponding country grants. Thus, the primary operational focus of the Global Fund is based on having Secretariat staff serve as counterparts to corresponding country stakeholders. Additionally, as noted in Element 6.3.3, the emphasis on using country systems is elaborated both at a high level (e.g. Global Fund strategy) and at the operational level (e.g. OPM). However, whether staff are “incentivised” to use country systems is unclear for two reasons. First, provided documentation did not yield evidence for this type of incentive and second, and perhaps more importantly, the Global Fund does not design interventions, but only chooses or not to fund proposals which are submitted. The TRP as part of the iterative review and approval process, though, can make the note and recommendation of the need to better utilize the country system. Therefore, the choice of using a country system rests with in-country stakeholders and, it can be safely assumed, they will continue to choose. As one key informant stated: “[The Global Fund] will say if countries don’t ask us, we won’t do it. But this may not be the right approach.” A few other staff noted that the evidence points to systems that have been supported but not strengthened.</p>	1, 74, 75, 78, 90, 124, 138, 173
<p><b>MI 6.3. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 6.4. Strategies or designs identify and address synergies with development partners to encourage or leverage catalytic use of resources and avoid fragmentation in relation to the implementation of the 2030 Sustainable Development Agenda</b></p> <p><i>The focus for this MI is on the Global Fund’s Strategy and the funding application process.</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Highly Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3.75</b></p>
<p>Element 1: Strategies or designs clearly identify possible synergies with development partners and leverage of resources/catalytic use of resources and results</p>	<p>3</p>

Element 2: Strategies or designs clearly articulate responsibilities and scope of the partnership	4
Element 3: Strategies or designs are based on a clear assessment of external coherence	4
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	4
<b>MI 6.4 Analysis</b>	<b>Source document</b>
<p><b>6.4.1. Throughout the Global Fund’s framework documents there are multiple statements about how it will work in partnership and leverage resources to produce results. However, recent reviews note that this coordination and leveraging could be strengthened.</b> The Global Fund’s framework documents show it was established on the basis of partnership and the idea of making available and leveraging additional financial resources to combat HIV/AIDS, TB and malaria in support of the attainment of the SDGs set by the United Nations. Further, the Global Fund plays a role in raising additional resources, including expanding innovative financing approaches, assisting countries to leverage domestic resources, and bringing in new private sector donors. Additionally, the Global Fund has collaborated either formally (e.g. partnership agreements) or informally (e.g. working groups, situation rooms) with technical partners at the global, regional and country level to leverage political and technical support with mutual accountability centred on country outcomes. The document developed in support of the next strategy shows anticipation that the Global Fund will evolve its approach to better leverage domestic resources through a revised cofinancing policy, as well as proactively and deliberately leveraging its market position to facilitate improved global markets for health products. More specifically, the Global Fund encourages investments through joint platforms to address high-priority areas at the country or sub-regional levels to leverage the capabilities of development finance institutions, as well as the additional funding they can provide. Finally, as will be covered in more detail in subsequent elements, the overarching goal of the Global Fund’s country engagement on cofinancing is to leverage additional domestic financing in line with overall health need, national strategy plan targets, and fiscal capacity of the country.</p> <p>Recent reviews highlight that there continues to be a need to strengthen this area. For example, the TRP in its review identified that in the funding requests there is a need for significantly increased coordination across partners and that the Global Fund will need to work differently in the 2020-22 allocation cycle and beyond to intensify synergistic efforts with partners, donors and domestic resources, to leverage the full potential of its replenishment and to maximise the impact of funding from different sources. Additionally, the Governance Survey and SR2020 emphasised that several of the Global Fund’s KPIs measure performance of national programmes or partnerships, and that the Global Fund in many instances has limited leverage or influence in achieving results against those KPIs. Finally, only 58.6% of MOPAN survey respondents either “strongly agree” or “agree” that the Global Fund coordinates its financial contributions to ensure coherence and avoid duplication of resources. Another 28% of respondents “somewhat agree”.</p> <p><b>6.4.2. The Global Fund’s Partnership Strategy provides the primary basis for clearly articulating responsibilities and the scope of its partnerships, as it does not produce individual country strategies or design interventions.</b> The Global Fund has an overall global strategy and funds grant applications designed and submitted by recipient countries via the CCMs. Thus, similar to Element 6.4.1, the leveraging of resources and results is elaborated in organisational strategic and operational documents. Most notably in its Partnership Strategy (which was submitted as an attachment to the Global Fund’s 20th Board Meeting in 2009), the roles, responsibilities and scope of its partnerships are thoroughly articulated. As it states: “By outlining the roles and responsibilities required from the Global Fund Board, Secretariat and partners in order to ensure that the Global Fund remains a dynamic and effective institution, the Partnership Strategy attempts to instil a sense of common ownership</p>	1, 56, 57, 64, 74, 75, 78, 118, 123, 127, 147, 173, 208

and responsibility for the of Global Fund model in all partners.” The Partnership Strategy further notes and delineates the Global Fund’s role as convener to periodically review and update standards and guidelines to ensure that its programming is based on the latest information. Further, it notes that as a financing institution, the Global Fund does not provide technical assistance to its grant recipients; but relies on development partners to engage in programme development and grant implementation and to clarify policy issues, harmonise the Global Fund’s procedures with established development practices and to identify specific roles partners may undertake at country level to support the Global Fund process. Finally, and importantly, it notes that the success of the Global Fund partnership is the result of the collective advocacy of partners, particularly those living with and affected by the diseases, and that the involvement of civil society in all aspects of the work and governance of the Global Fund is in one of the founding principles of the organisation.

**6.4.3. The Global Fund ensures external coherence of funding through its global strategy process and the CCM.** Its global strategy is designed in collaboration with its partners and goes through a broad multi-stage development, vetting and approval process. Requests for grant funding are similarly developed and approved via CCMs, which are the main fora for country partnerships. The primary method for the Global Fund to ensure the external coherence of its strategy in collaboration with partners is via the Global Fund’s Partnership Forum. In its website (<https://www.theglobalfund.org/en/partnership-forum/>), the Global Fund convenes representatives from across the Global Fund partnership at its Partnership Forum to review input, evidence and guidance received on strategy development and to identify areas of future focus for the next Global Fund strategy. The Partnership Fora provide a platform to discuss how the Global Fund can contribute to the 2030 goals for HIV, TB, malaria and health as set out in UN SDG 3. More recently the Partnership Fora also considered the challenges posed by COVID-19. In all Partnership Fora, participants represent a broad and diverse range of stakeholders that make up the Global Fund partnership and these Fora are considered a central part of the development of Global Fund strategy.

For proposals requesting grant funding, it is the responsibility of the CCMs to ensure that the proposals are aligned with national strategic plans for the corresponding three diseases and that a broad range of stakeholders are involved in the grant development process. According to the Global Fund’s CCM Policy, CCMs must coordinate the development and submission of funding requests and ensure linkages and consistency between programmes financed by the Global Fund and other national health and development programmes. This requirement is reflected in grant funding request forms and instructions. These state that applicants must demonstrate lessons learned from Global Fund and other partner investments and describe how Global Fund and domestic investments, as well as those of other partners, will support national health targets during the current allocation period. Lessons learned may draw from wider programme reviews, evaluations and other donor programmes.

**6.4.4. The Sustainability, Transition, and Cofinancing (STC) Policy and Guidance Note provide clear instructions on how leverage of domestic financial resources will be ensured.** As noted in elements 6.4.1 and 6.4.2, the Global Fund has several documents – including its framework document, bylaws, strategy, and operational manual – which provide overall guidance about leveraging resources from other partners. As noted above, the Global Fund does not design country-level strategies or design interventions. Thus, for the purposes of Element 6.4.4., the focus is on how the Global Fund ensures the leveraging of (domestic) resources through its STC Policy and Guidance Note. Both documents provide numerous details on the process and procedures for securing domestic resources, ensuring that they are committed, and outlining the consequences for countries which fail to meet their obligations.

The STC Policy is premised on the idea that domestic financing incentives should be aligned to ensure that, as countries move closer to transitioning away from Global Fund financing, they take

1, 56, 57, 64, 74, 75,  
78, 118, 123, 127, 147,  
173, 208

<p>up programming for the three diseases. Cofinancing refers to pooled domestic public resources and domestic private contributions that finance the health sector and NSPs supported by the Global Fund. This may include government revenues, government borrowing, social health insurance and debt relief proceeds that include Debt2Health arrangements. The STC Policy is explicit in that all country components eligible to an allocation from the Global Fund must comply with cofinancing requirements to access their allocation, demonstrate progressive government expenditure on health to meet national UHC goals, and show increased cofinancing of Global Fund-supported programmes over each allocation period. Countries are incentivised to provide this cofinancing by tying Global Fund grant allocation amounts (dependent on the country income classification) to the cofinancing. To ensure compliance the Global Fund Secretariat engages with key stakeholders, including ministries of finance and health, to ensure that the cofinancing commitments have the necessary approval of the concerned governmental authorities. The countries then need to provide evidence of confirmed cofinancing commitments from the ministry of finance or other relevant bodies. Failure to demonstrate progressive government expenditure on health and/or comply with other cofinancing commitments will be factored into subsequent allocations (unless a waiver is granted). Monitoring of the cofinancing commitment is supposed to be annual. However, say staff, the monitoring mechanism and its frequency is still evolving.</p>	<p>1, 56, 57, 64, 74, 75, 78, 118, 123, 127, 147, 173, 208</p>
<p><b>MI 6.4. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 6.5. Key business practices (planning, design, implementation, monitoring and reporting) coordinated with relevant partners</b></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3.33</b></p>
<p>Element 1: Active engagement in joint exercises/mechanisms (planning, coordination, monitoring, evaluation) to support external coherence</p>	<p>3</p>
<p>Element 2: Participating in joint monitoring and reporting processes with key development partners</p>	<p>3</p>
<p>Element 3: Identifying shared information or efficiency gaps with development partners and developing strategies to address them</p>	<p>4</p>
<p><b>MI 6.5 Analysis</b></p>	<p><b>Source document</b></p>
<p><b>6.5.1. The Global Fund engages through CCMs to support external coherence, including through joint planning, coordination, monitoring and oversight. Thus, the assurance of external coherence is dependent on CCMs, which vary greatly in how well they function.</b> CCMs are the key organisational unit by which planning, design, implementation, monitoring and reporting is coordinated with relevant partners. Core principles, which are at the heart of the CCM model and express the Global Fund's commitment to support programmes, include:</p> <ul style="list-style-type: none"> <li>• national ownership, and use of country-led implementation processes;</li> <li>• partnerships among all relevant stakeholders and across all sectors of society where all members have an equal voice;</li> <li>• involvement of communities and people living with the diseases;</li> <li>• complement and coordinate with existing regional and national programmes in support of national policies, priorities and partnerships;</li> <li>• promotion of transparency and accountability.</li> </ul> <p>The Global Fund (through its CCM Policy) requires all CCMs to coordinate the development of all funding requests through transparent and documented processes. Those processes must engage a broad</p>	<p>57, 78, 138</p>

The Global Fund (through its CCM Policy) requires all CCMs to coordinate the development of all funding requests through transparent and documented processes. Those processes must engage a broad range of stakeholders, including CCM members and non-members. This helps ensure that funding requests contain evidence-based analyses of the epidemiological, operational, social, political and economic realities of the country or region. It also helps for basing programmes on national strategy documents, and in drawing lessons learned from wider programme reviews, evaluations and other donor programmes among other items. However, as numerous evaluations, reviews, studies and other Global Fund documents have noted, the functioning of CCMs can vary widely, depending on the host country and the lifecycle of the CCM (i.e. CCMs may be less effective when there is high membership turnover). Thus, the CCM Evolution Strategic Initiative, which works toward improving the functioning of these bodies and received pilot funding of USD 3.85 million in the 2017-19 period, continues during the 2020-22 allocation cycle with funding increased to USD 15 million.

**6.5.2. CCMs provide the main forum for joint monitoring and reporting with key development partners at the country level. As noted in Element 6.5.1, the ability of CCMs to provide programme oversight varies and usually corresponds to a CCM's general level of functioning.** Through its CCM Policy, the Global Fund requires all CCMs to oversee the performance of the principal recipients (implementing partners) to ensure that agreed targets are met. It is by CCM oversight that PRs are held accountable to country stakeholders. The CCM Policy goes on to state that CCMs should regularly review the performance of grants in collaboration with the PRs and bring together all the necessary stakeholders, including Global Fund Secretariat staff, to address risks and bottlenecks and, if needed, initiate the replacement of consistently poorly performing PRs. The Global Fund requires all CCMs to submit and follow an oversight plan for all Global Fund-approved financing. This plan must detail oversight activities and describe how the CCM will engage in oversight programme stakeholders, who include CCM members and non-members, particularly non-government constituencies and key populations. As noted in Element 6.5.1, CCM performance and functioning, including the ability to provide oversight, has historically varied and the Global Fund initiated the CCM Evolution SI to strengthen CCMs. Finally, nearly 59% of the MOPAN survey respondents either “strongly agree” or “agree” that the Global Fund participates in joint evaluations.

**6.5.3. There are multiple channels and levels by which the Global Fund identifies information and/or efficiency gaps with its partners and develops strategies to address them.** At the country-level this is primarily done by the CCM, which is composed of partners from government, civil society and external development agencies, and is explained in elements 6.3.3, 6.4.1, 6.4.2, 6.4.3, 6.5.1, 6.5.2. For example, during the development of a grant proposal, the CCM is required to identify missing information items and how it will address them, including the long-term strengthening of M&E systems. Similarly, during grant implementation, as explained previously, the CCM is obliged to provide oversight of the principal recipient and its activities, including querying the data and information provided, assigning responsibility for follow-up, and assisting the PR when needed. Within the Global Fund Secretariat, two main groups (with Secretariat support) are tasked with ensuring information needs are fulfilled prior to grant signing. These two groups are the TRP and the Grants Approval Committee (GAC). The TRP evaluates every request for funding submitted to the Global Fund. It comprises an independent group of experts in HIV, TB, malaria, HRG, health systems and sustainable financing. Membership is drawn from a wide variety of partners and has, for example, recently included individuals from academia, private foundations (e.g. BMGF), implementers (e.g. Management Sciences for Health), bilateral partners (e.g. USAID), as well as persons who are self-employed.

The GAC is a committee of senior management at the Global Fund, as well as representatives of technical, bilateral and multilateral partners and has, among other functions, responsibility for the final

57, 78, 138



<p>review of a grant proposal before recommending it to the Board of the Global Fund for approval. As part of its review, the GAC determines the final programmatic scope to ensure strategic investment of Global Fund resources, aligned with the national strategy, and focused on key populations, human rights, gender, and high transmission geographies, as appropriate. Further, it conducts a rigorous financial and budget review that should result in cost efficiencies and savings, when possible. It also assesses the government and partners' funding landscape, including domestic contributions and sustainability plans. Finally, the Global Fund has instituted situation rooms for the three diseases. The situation rooms allow close monitoring and support of coordination amongst partnerships and aim to improve targeting and effectiveness. Staff noted that the situation rooms have increasingly become a vital tool in technical support collaboration and coordination in the country-to-HQ-to-country feedback loop.</p>	57, 78, 138
<b>MI 6.5. Evidence confidence</b>	<b>High</b>
<p><b>MI 6.6. Key information (analysis, budgeting, management, results etc.) shared with strategic/ implementation partners on an on-going basis</b></p> <p><i>Information is both aggregated and disaggregated, and there are many different avenues through which information is shared with partners. Level of aggregation/disaggregation varies according to the needs.</i></p>	<b>Score</b>
<b>Overall MI rating</b>	<b>Highly Satisfactory</b>
<b>Overall MI score</b>	<b>3.67</b>
Element 1: Clear corporate statement on transparency of information is aligned with the International Aid Transparency Initiative	4
Element 2: Information is available on analysis, budgeting, management in line with the guidance provided by the International Aid Transparency Initiative	4
Element 3: Responses to partner queries on analysis, budgeting, management and results are of good quality and responded to in a timely fashion	3
<b>MI 6.6. Analysis</b>	<b>Source document</b>
<p><b>6.6.1. The Global Fund has made transparency of information one of its founding principles and its adherence to the International AID Transparency Initiative (IATI) has been affirmed.</b> Transparency is highlighted as one of the Global Fund's key principles. For example, as the Framework Document states: "The Global Fund will seek to establish a simplified, rapid, innovative process with efficient and effective disbursement mechanisms, minimising transaction costs and operating in a transparent and accountable manner based on clearly defined responsibilities." Further, as noted in "Donor Group revised process for public donor seat allocation", the document issued by the Global Fund's 39th Board Meeting in 2018:</p> <p>"The Global Fund fully participates in the IATI and supports international efforts to improve aid transparency and accountability."</p>	
<p><b>6.6.2. The Global Fund's information on programming, budgeting and management is aligned with IATI guidance, much of which is available through IATI's data tool (d-portal).</b> Several thousand Global Fund documents have been submitted and made available through IATI. This includes funding proposals, programme documentation, annual financial reports, results reports, and strategies. Furthermore, the AID Transparency Index 2020 ranked the Global Fund 8th of all the organisations it reviewed, with an overall score of 86.5 and an overall rating of "very Good". Specifically, it received a 24.6/25 score for finance and budgets for publishing all its commitments and disbursements, along</p>	

<p>with an organisational budget. However, it dropped a small number of points for failing to provide disaggregated budgets, project budgets, and project budget documents. Additional scores included:</p> <ul style="list-style-type: none"> <li>• organisational planning and commitments – 13.7/15;</li> <li>• project attributes – 16.5/20;</li> <li>• joining-up development data – 18.5/20;</li> <li>• performance – 13.2/20.</li> </ul> <p>6.6.3. <b>The Global Fund appears to respond to partner requests on analysis, budgeting and management in a timely fashion, and those responses are of good quality.</b> While the Global Fund’s annual reports (e.g. Global Fund 2020 Annual Financial Report) are available publicly, as are its mid- and end-year strategic performance reports and the information on its Data Explorer web page, (<a href="https://data.theglobalfund.org/investments/home">https://data.theglobalfund.org/investments/home</a>), the process for responding to ad hoc partner queries appears to be less defined at the corporate level, as it is dependent on what type of information is being requested. In the MOPAN survey, 68.3% of respondents either “strongly agree” or “agree” that the Global Fund shares key information with partners on an ongoing basis. Another 21.5% “agree”.</p>	<p>1-3, 17, 63, 74, 198</p>
<p><b>MI 6.6. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 6.7. Clear standards and procedures for accountability to beneficiaries implemented</b></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>2.6</b></p>
<p>Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations, e.g. Accountability to Affected Populations</p>	<p>2</p>
<p>Element 2: Staff guidance is available on the implementation of the procedures for accountability to beneficiaries</p>	<p>2</p>
<p>Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries</p>	<p>2</p>
<p>Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries</p>	<p>4</p>
<p>Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed in the intervention</p> <p><i>Intervention here means the funding request.</i></p>	<p>3</p>
<p><b>MI 6.7. Analysis</b></p>	<p><b>Source document</b></p>
<p>6.7.1. <b>Although accountability to beneficiaries was cited as one of the key principles of the Global Fund by stakeholders, there is limited documentation which explicitly states this principle. Many documents allude to accountability, and key informants were clear that the Global Fund has multiple lines of accountability, including to its beneficiaries.</b> Few documents reference accountability to beneficiaries and affected populations either directly or indirectly. This was found within the Global Fund’s Ethics and Integrity Framework (2014) and its 2020 Code of Conduct for Global Fund Employees, which applies to all Global Fund employees, regardless of the type or duration of contract. It states that employees should be “guided in their actions and decisions by the Global Fund’s commitment to the principle of accountability and act in the best interest of the Global Fund and its beneficiaries”. Though several OIG audit reports allude to accountability to beneficiaries, those reports are not core operational guidance. It is also indirectly noted in the codes of conduct for governance officials.</p>	<p>1, 31, 56, 57, 74, 78, 103, 104, 106, 148</p>

Other documentation which notes specific accountability is that for CCMs and their members; “As individuals, CCM members are accountable to the core constituency and, as a group, the CCM is accountable to the nation...”. Additional details in terms of CCM accountability is that CCMs are the focus of programme accountability through their oversight function. More generally, several of the framework documents, including the Fund’s current strategy, reference accountability with For example, some of the statements within the Strategy include, “The Strategy is based on...leadership and accountability mechanisms” and “Meaningful engagement is recognised as a necessary step towards increasing investments in evidence based and rights-based programming which deliver greater impact on the responses to the three diseases and which strengthen local accountability.”

Interviewed staff at all levels stated that the Global Fund is accountable to its beneficiaries even if that accountability is difficult to define. Additionally, that accountability, say key informants, has to be balanced against other accountabilities, such as those to the governments and taxpayers of donor countries, the in-country governments in which there are grants, and the Global Fund’s wider partnership, including its governance structure. As some staff members noted, these different accountabilities can cause tension among constituencies as they can be in variance (e.g. the principle of country ownership and extent to which government and civil society are duty bearers for accountability). A key informant noted that accountability to beneficiaries “is a dotted, unclear line”, although all staff stated that this accountability was recognised. Another key informant stated: “That voice of communities is extremely important at country level. That’s what makes the Global Fund stand out.”

**6.7.2. There is general staff guidance for implementation of procedures for accountability to beneficiaries, although, because of the Global Fund’s financing mechanism role, that accountability is indirect.**

Global Fund grants are implemented through Principal Recipients, who usually work with SRs and sometimes SSRs. The Global Fund’s the level of accountability is generally, therefore, to ensure that PRs and as well CCMs (national-level oversight bodies) adhere to their respective Codes of Conduct, as well as PR accountability pursuant to grant agreements and CCM funding agreements The Code of Conduct for Recipients of Global Fund Resources requires recipients to, “...exercise diligence in ensuring that Global Fund Resources are used for their intended purposes and reach the intended beneficiaries.” Recipients must also ensure that their Code is communicated to all affiliates, officers, employees, subcontractors, agents and intermediaries. They must also take all reasonable steps to ensure compliance from recipient representatives, while performing their roles and responsibilities and taking immediate action to end and correct behaviour that is not compliant with the recipients’ code of conduct. Similarly, as given in the Code of Ethical Conduct for CCM members, it states that CCM Members are accountable to the people they represent and, therefore, are expected to be transparent, be responsible stewards of CCM assets, and manage information responsibly.

1, 31, 56, 57, 74, 78,  
103, 104, 106, 148

**6.7.3. The documentation provided shows that the Ethics Office has conducted many trainings, though it is unclear how much of these trainings focused on procedures for accountability to beneficiaries.**

As noted in Elements 6.7.1 and 6.7.2, the primary references regarding accountability to beneficiaries have been found within the Codes of Conduct developed by the Ethics Office, whose role is to independently advise, support, monitor and report on ethics and integrity matters, and to work with stakeholders to embed ethics and integrity into processes, including through communications and training. PRs and CCMs are also accountable pursuant to grant agreements and CCM funding agreements. As further noted in documents, the Global Fund has taken several steps to operationalise the Ethics and Integrity Framework. For example, within the secretariat, 652 staff attended interactive Code of Conduct sessions in 2018. In addition, a training session on codes of conduct and values is provided to new staff, consultants and interns during. It is unclear, though, how much of this training focuses on issues related to accountability to beneficiaries.

<p><b>6.7.4. The Global Fund’s grant application form is the primary mode by which programming requirements are made explicit. This includes procedures for accountability to beneficiaries.</b> In the grant application form, specific sections are utilised for applicants to present information on how beneficiaries will be addressed by a Global Fund grant. This includes Section 1.2 (Summary of Country Context), in which applicants are asked to explain critical elements of the country context that informed the development of this funding request. Issues to be addressed include: 1) relevant key and/or vulnerable populations; 2) human rights, gender and age-related barriers and inequities in access to services; 3) socioeconomic, geographic, and other barriers and inequities in access to health services; 4) community responses and engagement. Additionally, in Section 2.1 (Overview of Funding Priorities) applicants are asked to provide information about how challenges, barriers and inequities, including those related to HRG, are being addressed through the modules prioritised within this funding request. Finally, in the application instructions it notes that the funding request should be developed through inclusive engagement with key and vulnerable populations and provide up-to-date, evidence-based analyses of the epidemiological, operational, social, political and economic realities of the country or region that informed the choice of interventions and/or performance indicators for this funding request. This would include, for example, the functioning of the health system, community engagement and responses, key and/or vulnerable populations most impacted by disease, and HRG-related barriers and inequities to accessing health services.</p> <p><b>6.7.5. The review criteria for Global Fund funding applications are extensive and, while they do require evidence of focus on and engagement with key populations, there is no explicit statement about how accountability for beneficiaries will be addressed.</b> Some of the criteria considered in reviewing funding applications include:</p> <ul style="list-style-type: none"> <li>• strategic focus or building on the challenges, results and impact of previous implementation periods;</li> <li>• use of appropriate data to respond to the epidemiological priorities, highest transmission geographies, and focusing on key and vulnerable populations in a country-specific context;</li> <li>• evidence of investing in epidemiologically appropriate, rights- and evidence-based interventions to scale up programmes that are needed to improve access to prevention, care, and treatment services among key and vulnerable populations;</li> <li>• building effective country-level partnerships to enhance coordination, efficiencies and synergies in delivering services, including partnerships with networks of people living with and affected by the three diseases, and networks of key and vulnerable populations being served.</li> </ul> <p>Some staff expressed concerns that this lack of an explicit statement had undermined the ability of civil society to ensure that their concerns were adequately addressed during the funding request development process. As one key informant stated: “[We] had consistently and repeatedly made certain recommendations and it took a lot of effort for our feedback to be incorporated.”</p>	<p>1, 31, 56, 57, 74, 78, 103, 104, 106, 148</p>
<b>MI 6.7. Evidence confidence</b>	<b>High</b>
<b>MI 6.8. Participation with national and other partners in mutual assessments of progress in implementing agreed commitments</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Highly Satisfactory</b>
<b>Overall MI score</b>	<b>3.67</b>
Element 1: Participation in joint performance reviews of interventions, e.g. joint assessments	3
Element 2: Participation in multi-stakeholder dialogue around joint sectoral or normative commitments	4
Element 3: Use of surveys or other methods to understand how partners are experiencing working together on implementing mutually agreed commitments	4

MI 6.8. Analysis	Source document
<p>6.8.1. <b>At the country-level most joint/national programme reviews are undertaken by Country Coordinating Mechanism as part of their oversight responsibilities, the quality of that participation varies based on the CCM’s functionality. The Global Fund Secretariat and its partners are encouraged to participate in joint reviews, monitoring, and evaluation as well.</b> As noted previously, CCMs are required to oversee the performance of the Principal Recipients (PRs or implementing partners) to ensure that agreed targets are met and drive improvements in grant performance in support of national programmes. For PRs there are certain indicators for implementation, as given in the Modular Framework Handbook (2019), which encourage joint planning and review. They are, for example:</p> <ul style="list-style-type: none"> <li>• the number of joint planning and review meetings of the Ministry of Health with disease programmes to improve cross-programme coordination;</li> <li>• joint TB and HIV planning to integrate the delivery of TB and HIV services;</li> <li>• joint monitoring and supervision visits.</li> </ul> <p>The MOPAN survey shows that 52.9% of survey respondents either “strongly agree” or “agree” that the Global Fund jointly monitors progress on shared goals with local and regional partners. Another 28.9% “somewhat agree” that it does so.</p> <p>At a broader level, the Global Fund states – in its Strategic Framework for Data Use for Action and Improvement at Country Level (2017-22) – that it aims to support annual programme reviews and coordinated joint partner missions in countries; undertake targeted joint-partner missions on specific thematic areas to help solve specific bottlenecks and document progress; strengthen existing platforms of routine programme reviews; support joint evaluations; and work within joint forums to review success and implementation challenges and identify actions.</p> <p>Additionally, in 2015-16 the Global Fund instituted the Implementation through Partnership initiative (ITP1) to address bottlenecks that were delaying countries in successfully implementing Global Fund grants. Implemented in 20 countries that were recipients of substantial grants and had poor records of fund disbursement, ITP1 was a collaboration with United States, French and German governments, WHO, UNAIDS, Stop TB Partnership, UNICEF, the Gates Foundation and GAVI. It brought together country authorities with bilateral and multilateral partners and Global Fund country teams to jointly assess barriers to grant absorption in the country and then prioritise action, mobilise political commitment, and coordinate technical support and capacity building to resolve barriers. In December 2016, the idea that ITP1 should be mainstreamed as an approach with a broader scope was considered.</p> <p>6.8.2. <b>There are multiple fora where the Global Fund participates in multi-stakeholder dialogue regarding its commitments on a regular basis.</b> As noted extensively in Element 6.4.3, the Partnership Forum is one of the main mechanisms by which the Global Fund encourages, participates and receives feedback from stakeholders on both its strategy and its sectoral commitments. Similarly, as noted in Element 6.5.3, the Situation Rooms are how the Global Fund participates and receives feedback on those same commitments on an ongoing basis. Close monitoring and support for coordination amongst partnerships can improve targeting and effectiveness. This is particularly the case when the area of technical support is specific and multiple partners can add specific value. The Situation Rooms have increasingly become a vital tool in technical support collaboration and coordination in the country-to-HQ-to-country feedback loop. Finally, as noted in many previous elements, CCMs at the country level are the fora for discussion of commitments, targets and results of Global Fund grants and programmes and their synergies with national and global programmes and commitments.</p>	<p>64, 75, 78, 133, 138, 151</p>

<p><b>6.8.3. The Global Fund, mainly through its TERG strategic and thematic reviews, has used multiple surveys and other methods to understand how partners experience working together on implementing mutually agreed commitments.</b> The TERG has conducted multiple thematic and strategic reviews, almost all of which use surveys and other methods to better understand how the Global Fund works with its partners to implement mutually agreed commitments. Some of those recent reviews are:</p> <ul style="list-style-type: none"> <li>• Strategic Review 2020 Final Report Vol. 1;</li> <li>• Strategic Review 2020 Vol 2 – Annexes;</li> <li>• Community, Rights and Gender SI 2017–19: Independent Evaluation;</li> <li>• Market Shaping Strategy Mid-Term Review, TERG;</li> <li>• TERG Thematic Review of the Global Fund country level technical support partnership model;</li> <li>• TERG Thematic Review to Assess the Current Approach to Investments in Resilient and Sustainable Systems for Health (RSSH);</li> <li>• Global Fund Prospective Country Evaluation: 2021 Synthesis Report;</li> <li>• TERG Thematic Review of the Sustainability, Transition and Cofinancing (STC) Policy;</li> <li>• TERG Thematic Review of the Role of the Private Sector in Programme Delivery;</li> <li>• TERG Thematic Review of HIV Primary Prevention;</li> <li>• Thematic Review of Adolescent Girls and Young Women and HIV;</li> <li>• Thematic Review of Malaria Elimination in Southern Africa.</li> </ul>	<p>64, 75, 78, 133, 138, 151</p>
<p><b>MI 6.8. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 6.9. Use of knowledge base to support policy dialogue and/or advocacy</b>  <i>The Global Fund as a financing mechanism and fund manager does not have the typical role of knowledge production, like a technical agency would. Assessment of this MI is primarily focused on feedback from key informants (e.g. Global Fund Board members, surveyed partners, etc.).</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3</b></p>
<p>Element 1: Statement in corporate documentation explicitly recognises the organisation’s role in knowledge production</p>	<p>3</p>
<p>Element 2: Knowledge products produced and utilised by partners to inform action</p>	<p>3</p>
<p>Element 3: Knowledge products generated and applied to inform advocacy, where relevant, at country, regional, or global level</p>	<p>3</p>
<p>Element 4: Knowledge products generated are timely/perceived as timely by partners</p>	<p>3</p>
<p>Element 5: Knowledge products are perceived as high quality by partners</p>	<p>3</p>
<p>Element 6: Knowledge products are produced in a format that supports their utility to partners</p>	<p>3</p>
<p><b>MI 6.9. Analysis</b></p>	<p><b>Source document</b></p>
<p><b>6.9.1. The Global Fund as a fund manager, not a technical agency, may not see “knowledge production” as one of its fundamental roles. Rather, it adheres to the technical policies, protocols and norms produced as knowledge products of its partners. There does not, therefore, appear to be any explicit recognition of its role in knowledge production.</b> Staff noted that the Global Fund does not develop technical guidance, but applies the guidance developed by its partners in the countries where it works. Through its review and approval of grant proposals, it works with partners (including in-country partners) to implement the right mix of interventions and tools. For example, the Global Fund may work with its partners and their technical guidance to figure out how to optimise</p>	<p>134, 136-139, 141, 144-148</p>

coverage of an intervention when there are limited resources, or work with the private sector and community-based organisation on how to best reach key populations. Of particular usefulness, say staff, are the lessons learned and best practices, which are derived from the operational knowledge of the Country Teams through overseeing the implementation of activities in countries, then shared in various fora (e.g. the Situation Rooms). While Secretariat staff acknowledge that the sharing of this knowledge externally (i.e. outside the Global Fund partnership) could be improved, they believed that it has been generally effective in strengthening the response to the three diseases.

**6.9.2. The information that the Global Fund generates is definitely used to inform decision-making, although feedback suggests that it could be improved both in terms of quantity and quality.** Most staff, when asked to comment on whether the data and information they received from the Global Fund Secretariat was used for decision-making and subsequent actions, stated that it was and were appreciative of the Secretariat's efforts in this regard. However, they also commented on the fact that they sometimes receive as many as a thousand pages of documents prior to important meetings. As one key informant noted: “[I]mportant nuggets get buried and there’s a concern that it may be deliberate or presented to make a certain argument.” This issue was raised particularly concerning the recent discussions on the funding to be allocated amongst the three diseases (i.e. the global disease split). It appears to have undermined decision makers’ trust by in the neutrality of the information received from the Secretariat. Further, staff noted that a primary issue is not merely about what information is shared, but about the process for sharing that information. In other words, there was a recognised need to observe other committee meetings to understand those preliminary discussions, and staff were appreciative that the Executive Director had opened up that process in response to feedback. As one key informant noted: “[This information sharing] is a big point of tension, in terms of how to make it efficient so it’s not more work for the Secretariat and how to get needed information... it’s an area that is weak in the Fund and needs to be worked on quite a bit.”

134, 136-139, 141,  
144-148

**6.9.3. As noted in Element 6.9.1, the Global Fund in its role as a fund manager does not focus on knowledge production. However, it does produce information to advocate for certain actions at multiple geographical levels.** In recent years, the Global Fund has expanded its external communications (which was merged into the External Relations and Communication Division) and strengthened its efforts to build both its visibility and brand. This was done, staff, for fundraising purposes, but also to demonstrate lessons learned and best practices. For example, per the MOPAN survey finds that slightly more than 60% of survey respondents either “strongly agree” or “agree” that the Global Fund has been active in providing relevant knowledge and thought leadership on COVID-19. Another 26% “somewhat agree”.

The “refreshing” of the Global Fund brand was partly to make it more modern, and partly to build the idea that it is a movement, that it builds upon responses to injustice and inequity, and that everyone counts. Additionally, while much of the information shared is internal to the partnership, the Global Fund has, per staff, for example, published on how they have adapted WHO guidance and operationalised it.

**6.9.4. In general, the Global Fund produces information which is perceived as timely by its partners.** In addition to the information which the Fund regularly publishes either as reports or on its Data Explorer webpage, it receives many other requests for information from its donors and other partners. This became particularly challenging during the COVID-19 pandemic, as those requests increased significantly. Depending on the type of information request (e.g. country-level information and funding expenditures), different teams within the organisation handle the response. None of the staff interviewed had received information late in response to a request.

<p>6.9.5. <b>Based on the available evidence, it appears that the Global Fund’s knowledge products are generally of high quality.</b> Most staff, while noting the large amount of information received, also expressed that the quality was usually quite good. However, because most documentation is in English, with some in French, non-Anglophone and non-Francophone stakeholders noted that they may struggle with understanding the nuances of the information. This is also compounded by the large amount of information that is typically shared. More broadly, per staff, the Global Fund has expanded its communication channels and associated quality control because of the growing complexity of the global health landscape and the associated higher risk of the information produced. Finally, approximately 61% of MOPAN survey respondents either “strongly agree” or “agree” that the Global Fund provides high-quality inputs to the global policy dialogue. Another 21.7% “somewhat agree”.</p> <p>6.9.6. <b>As noted in previous elements, information/knowledge products are produced in a variety of formats most of which are of utility to stakeholders.</b> Staff say that the Global Fund shares information as reports, PowerPoint slides, recorded discussions, tables, lessons learned, first-person accounts, etc. None of the staff interviewed stated that any form was of lesser utility. Nevertheless, one key informant noted that although there is a template for report writing, the Global Fund Secretariat often does not adhere to it.</p>	134, 136-139, 141, 144-148
<b>MI 6.9. Evidence confidence</b>	<b>Low</b>

As noted above, the Global Fund is a fund manager, not a technical agency, so it does not have a well-defined role in the area of knowledge production. Furthermore, because many of the elements are based on (external) stakeholder perceptions, the evidence for those elements would need to come from either the survey or key informant interviews. The survey had a limited number of questions regarding this topic and, by necessity, the key informant interviews had to be limited in number.

## PERFORMANCE MANAGEMENT

*Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning*

<b>KPI 7. The focus on results is strong, transparent and explicitly geared towards function</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>3.05</b>
<p><b>The Global Fund describes itself as a performance-based funding agency that uses performance data based on higher-level results to guide its operations, including funding decisions.</b> The organisation has invested in data systems to improve the quality and availability of data for use in strategic decision making. Over time, it has shifted its focus from project-level goals to higher-level results. Strategic performance reports, which provide updates on KPI results against agreed targets and performance trends, are produced on a biannual basis and discussed at board meetings.</p> <p>There is clear accountability for KPI achievement, including at country level where CTs receive guidelines to develop grant-specific performance frameworks. All relevant staff are trained in results-based management (RBM) approaches and methods at the start of the funding cycle and throughout the implementation of the grant. According to staff, while beneficiaries are not directly consulted in the process of setting specific targets, they are involved in the overall grant design, depending on the focus and geography of the grant.</p> <p>While the Global Fund has various tools and methods for measuring and managing results, some grant management activities are not clearly linked to corporate-level results. Existing tools are not fully effective at measuring the outcomes of RSSH interventions in particular, as they may not be reflected within the three-year grant cycle. Linkages between the different layers of the Global Fund’s Strategic KPI Framework (2017-22) can be improved for more effective performance management, especially in RSSH activity.</p>	



Funds are invested in an RBM system in a way that is proportionate to the Global Fund’s core investments in HIV, TB, and malaria programmes, though there are key human resource gaps which prevent the system from operating to its full capacity. While reporting processes ensure most data are available for key corporate reporting and planning, some critical data are missing, or at risk of error, and may not be necessarily used for internal change processes. Limitations in the design of some performance data have led to their poor utilisation in daily operations. Finally, while performance data inform adjustments to new interventions, it is not clear how consistent this practice is across the portfolio.

<b>MI 7.1. Leadership ensures application of an organisation-wide RBM approach</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.17</b>
Element 1: Corporate commitment to a results culture is made clear in strategic planning documents	4
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	2
Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff	4
Element 4: Tools and methods for measuring and managing results are available	2
Element 5: Adequate resources are allocated to the RBM system	3
Element 6: All relevant staff are trained in RBM approaches and method	4
<b>MI 7.1 Analysis</b>	<b>Source document</b>
<p><b>7.1.1. The Global Fund’s Framework document makes a clear commitment that the organisation will support strategies that focus on clear and measurable results.</b> This applies to the Global Fund’s funding decisions, which will be based on results performance. In addition, the Fund’s (current) Strategy 201720 makes an explicit commitment to invest in data systems to improve the availability and quality of data for analysis and use in strategic decision-making. The associated corporate-level Key Performance Indicator Framework (2017-22) supports the Global Fund’s commitment to results by shifting its focus on project-level goals to higher-level results. This performance management framework was designed to track all parts of the Strategy with strategic KPIs forming the highest level of the framework. The lower levels of the performance management framework are instead based on process- and input-level metrics (reported thematically or [previously] as implementation KPIs or iKPIs) to ensure information can be drilled down to the lowest operational levels and inform course correction.</p> <p>Thematic reporting provides a complementary body of evidence to help interpret Strategic KPI results and give a view of the entire results chain, including financial, procurement and programmatic data, as well as information from in-depth evaluations of more complex issues led by the Secretariat, partners, or the Global Fund’s independent TERG. These iKPIs were discontinued at the time of the follow-up audit of the KPI Framework (March 2019) because they were replaced by the Performance &amp; Accountability (P&amp;A) Framework. Grant results are aggregated in the Grant Operating System (GOS) and the data used for monitoring and decision-making purposes. Staff acknowledge that the Global Fund is a performance-based funding agency that uses results at various levels, from guiding grant disbursements and programme course corrections to feeding into organisational replenishment discussions.</p> <p>7.1.2. The Global Fund sets out clear requirements and incentives to support an RBM approach in planning and programming, but some grant management activities are not clearly linked to corporate-level results. The audit of the Strategic KPI Framework (2017-22) rates the governance and oversight arrangements of the framework as effective. It finds that there is clear accountability over KPI achievement, and individual performance objectives are linked to the overall framework. The Global</p>	1, 27, 32, 37, 39, 64, 66-69, 74, 125, 151

Fund's Performance and Accountability Framework further clarifies roles and responsibilities for different strategic and (formerly) implementation KPIs. Focal points across Secretariat departments are responsible for validating data used for results reporting.

Staff also acknowledge that there is a focus on RBM in grant management through the performance framework, developed at the start of each grant. Countries have clear guidelines to use as they prepare this framework. However, the audit finds there is a need for stronger links between strategic KPIs and some grant management activities. It reported inconsistencies in how the organisation uses KPIs in its day-to-day activities with some integrated into end-to-end business processes (including individual objectives) and used for performance monitoring, and others – having no linkages to departmental and individual objectives, or to annual work plans. For example, at the time of the audit all Fund Portfolio Managers in the Grant Management Division had the same target set in their performance objectives regardless of the size of their portfolio or whether the organisation funds the activity or not. This one size-fits all approach to RBM could disincentivise staff from focusing on results and was flagged as a limitation. Work is ongoing to strengthen the focus on results in grant management.

**7.1.3. Guidelines for setting results targets and developing indicators are clear and accessible to all staff.** The Modular Framework Handbook provides guidelines on selecting indicators based on the type of intervention and fosters consistency in tracking results across grants. The Indicator Guidance Sheets for HIV, TB, Malaria and RSSH provide information on different levels of indicators (coverage, output, outcome and impact). Staff acknowledge countries have clear guidance when preparing the Grant Performance Framework. Onboarding training on all aspects of the grant, including M&E, is also conducted for new staff (including refresher training sessions throughout the year, when a new measurement framework is introduced for example). The training packages are accessible to staff online and internally through Teams.

1, 27, 32, 37, 39, 64, 66-69, 74, 125, 151

**7.1.4. Various tools and methods are available for measuring and managing results, but existing tools are not fully effective at measuring RSSH outcomes in particular.** The audit of the Global Fund's KPI Framework rates the measurement tools and methods that are available, such as process maps to formalise data sources and the automated collection of data for certain KPIs, as effective. However, it finds shortcomings in the management of some results, such as RSSH, which can lead to inaccuracies in the results that are reported. Existing tools are not fully effective at measuring the outcomes of RSSH interventions in particular, as they may not be reflected within the three-year grant cycle. Three of the seven sub-strategic objectives on RSSH are not currently measured.

The objectives for Human Resources for Health, Communities and Integrated Service Delivery are not tracked either through the Global Fund's KPI Framework or other defined performance metrics, even though they account for 65% of RSSH investments. Their progress is instead being monitored through internal Strategy Implementation reporting at the Secretariat. Overall, 36% of the direct RSSH investments made by the Global Fund are not tracked through the current Global Fund KPI Framework.

**7.1.5. Funds are invested in an RBM system in a way that is proportionate to the Global Fund's core investments in HIV, TB, and malaria programmes, though there are key human resource gaps which prevent the system from operating to its full capacity.** Since 2012, there has been an increase in resources going toward strengthening M&E systems, including support for routine reporting systems. The GOS was developed with an investment of USD 16.3 million to manage grant lifecycles. However, the audit of the GOS finds that limited resources continue to impact the development of the GOS platform, including the absence of key in-house skills in areas such as system testing, Salesforce software architecture, and user experience.

<p>7.1.6. <b>All relevant staff are trained in RBM approaches and methods.</b> There are intensive trainings for grant management staff that include details on data requirements, processes and quality controls. These sessions are specific and tailored. In addition, there are more general sessions for staff, including brown-bag sessions, to inform them on the use of the relevant Global Fund KPIs in daily operations. Staff acknowledge that the relevant staff are trained in M&amp;E systems, including country partners and LFAs. Trainings are conducted at the start of the funding cycle and throughout the implementation of the grant, e.g. when new measurement frameworks are rolled out.</p>	1, 27, 32, 37, 39, 64, 66-69, 74, 125, 151
<p><b>MI 7.1. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 7.2. Corporate strategies, including country strategies, based on a sound RBM focus and logic</b>  <i>The Global Fund does not have specific “country strategies”. As such, National Strategic Plans (supported by the Global Fund), country funding applications, and the Fund’s overall approach of linking disbursements with performance will be the focus.</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Highly Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3.6</b></p>
<p>Element 1: Organisation-wide plans and strategies include results frameworks</p>	<p>4</p>
<p>Element 2: Clear linkages exist between the different layers of the results framework, from project to country and corporate level</p>	<p>2</p>
<p>Element 3: An annual report on performance is discussed with the governing bodies</p>	<p>4</p>
<p>Element 4: Corporate strategies are updated regularly</p>	<p>4</p>
<p>Element 5: The annual corporate reports show progress over time and notes areas of strong performance as well as deviations between planned and actual results</p>	<p>4</p>
<p><b>MI 7.2. Analysis</b></p>	<p><b>Source document</b></p>
<p>7.2.1. <b>The Global Fund Strategy includes key performance indicators to measure the achievement of the organisation’s strategic goals and targets.</b> The Strategy is linked to the Allocation Methodology, which outlines how the organisation will use available resources to achieve its expected impact and service delivery targets. Staff confirm that the development of the new Strategy 2023-28 coincides with organisation-wide thinking on creating a new M&amp;E framework. This has helped them link the design of the strategy with efforts to measure its implementation.</p>	
<p>7.2.2. <b>Linkages between the different layers of the Strategic KPI Framework (2017-22) are not clear enough for more effective performance management.</b> Efforts have been made to provide greater visibility on performance management across the entire results chain, including the introduction of implementation KPIs (known as iKPIs) and thematic reporting, to ensure that evidence on high-level strategic KPIs can be drilled down to the lowest operational levels and inform grant course correction.</p> <p>An analysis of funding proposals showed that most of the strategic KPIs proposed operate on a contribution basis with the Global Fund as one partner among many, making accountability for results complex. As outlined in the Global Fund’s KPI Framework, thematic reporting aims to address this by contextualising the role of the Global Fund in wider partnerships. However, the follow-up audit on the KPI Framework finds no regular reporting of the iKPIs and the Secretariat has since decided to discontinue their use. Furthermore, an audit on RSSH investments reports a lack of clear links between the seven sub-objectives of RSSH interventions. They are being implemented across three different divisions and four departments, which are all at various levels of maturity and operate using different measurement approaches. This makes the exchange of lessons learned difficult. While the audit reports some initial efforts to address this challenge through the use of inter-departmental working groups and</p>	<p>1, 2-5, 32, 39, 64, 125-127</p>

<p>quarterly reporting updates to the MEC, it finds no synergies achieved to date. Staff report that work to address RSSH in a more integrated way across departments is just beginning, but that there is appetite for such work and that Country Teams are more aligned to the Secretariat's ambitions in this area than they were six years ago.</p> <p><b>7.2.3. Strategic Performance Reports, which provide an update on Global Fund KPI results against agreed targets, are produced on a biannual basis and discussed at Board meetings.</b> Staff add that in addition to progress against strategic objectives, annual reports include historical data that show trends over time at the corporate level. Grant funding and disbursement decisions based on performance are made on an annual basis by the Country Teams.</p> <p><b>7.2.4. Since 2004, the Global Fund's Strategic KPI Framework has been regularly updated and improved to sharpen its focus from project-level goals to higher-level impact.</b> Since the first Strategic KPI Framework was approved, the Global Fund has maintained its commitment to monitoring its performance. There have been multiple independent reviews and evaluations which have helped sharpen focus and strategic alignment. In particular, the incremental updates to existing KPIs and targets have improved measurement in specific strategic areas. The Secretariat will continue to adjust its Strategic KPI Framework to ensure it stays fit for purpose. Staff report that it has taken up to 10 years for some KPIs to be completed and refined, in particular in areas such as HRG and risk management. However, there is still work to do in dissecting and/or separating KPIs, especially in relation to tracking individual performance.</p> <p><b>7.2.5. Strategic performance reports, produced on a biannual basis, show progress over time and outline performance trends, including noting strong performance and Global Fund KPIs at the risk of not achieving their targets.</b> As mentioned above, staff confirm that annual results reports include historical data to track performance trends in addition to current results.</p>	<p>1, 2-5, 32, 39, 64, 125-127</p>
<p><b>MI 7.2. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 7.3. Results targets set on a foundation of sound evidence base and logic</b></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3</b></p>
<p>Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives</p>	<p>2</p>
<p>Element 2: Indicators are relevant to expected results to enable the measurement of the degree of goal achievement</p>	<p>2</p>
<p>Element 3: Development of baselines are mandatory for new Interventions</p>	<p>4</p>
<p>Element 4: Results targets are regularly reviewed and adjusted when needed</p>	<p>4</p>
<p>Element 5: Results targets are set through a process that includes consultation with beneficiaries</p>	<p>3</p>
<p><b>MI 7.3. Analysis</b></p>	<p><b>Source document</b></p>
<p><b>7.3.1 While most targets and indicators are adequate to capture causal pathways between interventions and outcomes, this is not the case for all RSSH objectives.</b> Indicators for HIV, TB and malaria are informed by NSPs and global targets. However, the audit on RSSH investments finds that causal pathways between RSSH activities and results are not adequately captured, specifically in the areas of community systems and data and supply chain systems. The Secretariat has therefore developed guidance that requires CTs to include Work Plan Tracking Measures (WPTMs), where no defined indicators exist for material activities. As described in the Modular Framework Handbook, WPTMs are input- and process-level measures that track implementation and key activities included in</p>	<p>32, 39, 127, 151</p>

the work plans. The audit, however, finds no consistent use of these measures. Furthermore, it states that the Global Fund and in-country structures are not optimally designed for the delivery of RSSH activities. The reason is that results may not be available on an annual basis (as with other grants) and activities take much longer than the standard grant cycle of three years to be completed.

**7.3.1 While most targets and indicators are adequate to capture causal pathways between interventions and outcomes, this is not the case for all RSSH objectives.** Indicators for HIV, TB and malaria are informed by NSPs and global targets. However, the audit on RSSH investments finds that causal pathways between RSSH activities and results are not adequately captured, specifically in the areas of community systems and data and supply chain systems. The Secretariat has therefore developed guidance that requires CTs to include Work Plan Tracking Measures (WPTMs), where no defined indicators exist for material activities. As described in the Modular Framework Handbook, WPTMs are input- and process-level measures that track implementation and key activities included in the work plans. The audit, however, finds no consistent use of these measures. Furthermore, it states that the Global Fund and in-country structures are not optimally designed for the delivery of RSSH activities. The reason is that results may not be available on an annual basis (as with other grants) and activities take much longer than the standard grant cycle of three years to be completed.

**7.3.2 Similarly, while most indicators are relevant to expected results and enable the measurement of goal achievement, there are significant limitations in the design of Global Fund KPIs related to RSSH activity.** The audit on the KPI Framework rates the use of these KPIs for performance-based decision making as “partially effective”, and the existing monitoring framework to measure RSSH activity as needing “significant” improvement. For example, there are limited coverage indicators for RSSH activities and, while WPTMs were designed to be used where no indicators for material RSSH activities exist, their use was found to be inconsistent. The Global Fund is evaluating the possibility of aligning the three-year grant duration with the NSPs periods which are typically five years. This debate is ongoing.

**7.3.3 There is evidence on the use of baselines in the documents reviewed, with staff reporting that each grant performance framework requires applicants to include a baseline.** Because most countries applying for grants are already implementing existing grants, the baselines used at the time of the funding request are the latest results in their current grant implementation. Baselines are updated between the time the grant agreement is signed and the time implementation starts (usually between six months and a year). Thematic reviews commissioned by TERG include references to baseline assessments informing the design of grants in the next funding cycle. For example, the Prospective Country Evaluation 2021 Synthesis Report makes a reference to an AGYW baseline assessment in Uganda completed in New Funding Model 2 (NFM2) and used to inform the design of NFM3. The Strategic Review 2020 also refers to the Breaking Down Barriers Strategic Initiative, which helps 20 countries to conduct baseline human rights assessments and develop implementation plans for comprehensive programming. Some countries – such as Mozambique, Nepal and Ghana, which have already completed their mid-term assessments – have used them to design their NFM3 grant proposals.

**7.3.4. Results targets are regularly reviewed and adjusted both at the corporate and grant level.** The corporate Global Fund KPI Framework, which includes targets, is regularly reviewed while the grant specific performance framework is regularly reported on. If needed, targets, including baselines, are adjusted from the time the grant is signed and the performance framework approved to the time the grant starts implementation.

**7.3.5. Beneficiaries are not directly consulted in the process of setting specific targets, but in the overall grant design.** During the funding request process, and depending on the disease and geography, beneficiaries are consulted to ensure their views are considered in the design of interventions. For

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<p>example, key populations are included in discussions on HIV interventions, which may include target setting, but that is not necessarily the case for TB and malaria grants, where the diseases are not chronic. One key informant, a fund portfolio manager, mentioned that, although beneficiary input does not carry much weight in the grant design, CTs go back to communities to inform them if there are major changes in the grant proposal. However, stakeholders perceive greater consultation, with the majority of survey respondents (over 90%) agreeing that the Global Fund consults with stakeholders in setting results targets at country level. The group where disagreement is highest, at 8.3%, is within the external global partners. Finally, say key informants, beneficiaries are more heavily involved in the funding proposal process in countries where there is less risk for communities, e.g. where same-sex relationships are not criminalised in the case of HIV grants.</p>	32, 39, 127, 151
<p><b>MI 7.3. Evidence confidence</b></p>	<p><b>Medium</b></p>
<p>Confidence is rated as “medium” because evidence against one element (Element 7.3.5) comes from key informants and survey data alone.</p>	
<p><b>MI 7.4. Monitoring systems generate high-quality, useful performance data in response to strategic priorities</b></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Unsatisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>2.25</b></p>
<p>Element 1: The corporate monitoring system is adequately resourced</p>	<p>2</p>
<p>Element 2: Monitoring systems generate data at output and outcome levels of the results chain</p>	<p>3</p>
<p>Element 3: Reporting processes ensure data is available for key corporate reporting and planning, including for internal change processes</p>	<p>2</p>
<p>Element 4: A system for ensuring data quality exists</p>	<p>2</p>
<p><b>MI 7.4. Analysis</b></p>	<p><b>Source document</b></p>
<p><b>7.4.1. While the Global Fund’s KPIs are centrally available, the IT landscape and its resourcing create inefficiencies in adequately monitoring strategic objectives.</b> According to key informants, obtaining monitoring data often involves a three-month long process of collecting information from different divisions and departments, then cleansing and reviewing it prior to reporting. For various legacy reasons, systems cannot easily be upgraded or integrated to meet the Global Fund’s data monitoring needs. As a result, many divisions and departments resolve to run their own IT solutions and use separate spreadsheets for monitoring purposes. There is an ongoing analysis of resource needs for data collection processes and systems required to deliver on the strategic KPIs, as part of the new Strategy implementation planning. Three channels have been identified as available to meet these costs, the OPEX budget, the SI funds (as part of the allocation methodology), and grant funds for specific in-country data system developments. Staff report that efforts are being made to make the link between resourcing decisions and strategy implementation more transparent in Strategy 2023-28.</p>	32, 37, 39, 64, 74, 125
<p><b>7.4.2. Various monitoring systems generate data at the output and outcome levels of the results chain but there are ongoing challenges with RSSH investment monitoring.</b> The Global Fund’s KPI Framework includes multiple levels of performance information, including 12 Strategic KPIs broken into multiple sub-KPIs, to measure progress against the Fund’s four strategic objectives and nine Implementation KPIs, which had been broken down into 10 sub-KPIs used internally to track specific inputs, outputs and outcomes required to meet the Strategic KPIs. However, as mentioned earlier, the iKPIs have now been discontinued as they were not regularly reported. Instead, a new set of performance management metrics were developed, championed by the Executive Director and Chief Risk Officer. One Board member reported performance-based funding could be improved, as most</p>	

indicators are output-based rather than outcome- and income-based. At the grant level, disaggregated data for a set of impact, outcome and coverage indicators are required when countries report against their grant performance framework. However, there are challenges with the outcome measurement of RSSH investments. The Secretariat has refined and clarified expected outcomes under each of the RSSH sub-objectives and updated the indicators and measurement approaches to improve the future monitoring of RSSH activities.

**7.4.3. While reporting processes ensure most data is available for key corporate reporting and planning, some data is at risk of being omitted or erroneous and may not be necessarily used for internal change processes.** In an effort to integrate grant management systems and processes into a single platform, i.e. the Grant Operating System, the Global Fund launched Project AIM in 2015. It automated the reporting processes and helped aggregate grant management data for monitoring and decision-making purposes. However, there are challenges around the reporting of some data included in annual result reports, as the process continues to heavily rely on personal knowledge of staff in the absence of formal process controls. This presents a key person-dependency risk. Even if data are available, the audit of the Global Fund’s KPI Framework found that these reports did not adequately inform and drive strategic decisions because of their limited analysis and contextualisation of results for the Board, Committees and MEC. Staff also report data-use challenges at the grant level. While reporting processes ensure data are available for key planning, including identifying poor grant performance, data have historically not been timely enough to address issues in an effective way. For example, Country Teams were generally able to identify poorly performing grants from data reported on a biannual basis, creating a delay with when actual issues occurred. The Global Fund’s introduction of Pulse Checks in 2021, which collect quarterly data for quick insights, actions and decision making, should mitigate some of these issues.

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**7.4.4. There is a system to ensure the key dimensions of data quality, as defined by Global Fund’s Data Use for Action and Improvement Framework, but the lack of an overarching strategy for data management creates challenges, particularly for data quality related to programme impact.** At the Secretariat level, there is a rigorous quality assurance process in place to ensure completeness, compliance with M&E guidance, and consistency of information across various sections of the performance framework. There are regular data quality reviews of countries with poor and very poor data quality, and less frequent ones (every three to four years) in countries with good data quality. However, in terms of performance data, there is limited accountability for quality, which leads to significant variability in the quality, accuracy and completeness of data. Therefore, the audit on data management rates the data governance at an enterprise level as requiring “significant” improvement. At the grant level, the final performance assessment by the Country Team is based on results reported by the PR, LFA, or Country Team’s own assessment. In the last case, no independent validation of the final assessment is currently performed to ensure validity and accuracy. While several enhancements have been made to PRs’ reporting processes with the introduction of GOS, they do not address issues arising from subsequent data transformations. A few steps have been made to address these concerns with the establishment of a Data Governance Committee in 2017 and an IT strategy to start implementation in 2018. As a result, the OIG found that the overall data maturity of the organisation was at an “initiated” level.

**MI 7.4. Evidence confidence****High**

MI 7.5. Performance data transparently applied in planning and decision-making	Score
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.25</b>
Element 1: Planning documents are clearly based on performance data	3
Element 2: Proposed adjustments to interventions are clearly informed by performance data	2
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	4
Element 4: Performance data support dialogue in partnerships at global, regional and country levels	4
MI 7.5. Analysis	Source document
<p><b>7.5.1 Planning documents such as the Global Fund Strategy (2017-22) and Strategic KPI Framework are based on performance data but limitations in their design have led to their poor utilisation in daily operations.</b> While some KPIs were well integrated into the organisation's day-to-day business and included in performance objectives at the departmental and individual level, others had undefined methodologies until approximately mid-way through the assessment period. The ability of the organisation to use performance data for robust assessment and planning decisions in a timely manner was, thereby, impacted. Furthermore, delays in KPI data submissions to the KPI team and, in turn, to the MEC and Board can have a negative impact on their utility to inform key planning documents. Most survey respondents agree that the Global Fund's grants prioritise a results-based approach – for example, when engaging in policy dialogue, or planning and implementing interventions – with almost 98% agreeing in the private sector, academia, civil society and in-country government groups. However, 10% of external global partner respondents disagree.</p> <p><b>7.5.2 Performance data inform adjustments to new interventions, but it is not clear how consistent this practice is across the portfolio.</b> Countries report grant performance data to the Secretariat through mechanisms such as quarterly Pulse Checks and Spot Checks depending on the prioritisation of the country and/or region based on portfolio differentiation (high-impact and core) and investment in the COVID-19 Response Mechanism (C19RM). Public health and monitoring and evaluation specialists have oversight of what is working and not working, and while it is unlikely for them to make any adjustments to the interventions within the grant period, they use these data to feed into the programme reviews and as the basis for making changes to the next implementation period. Staff report that sometimes grant performance data included in Joint Programme Reviews can be used to inform changes to the NSPs. However, it remains unclear whether interventions are systematically adjusted across the portfolio – in part because there is no specific system for monitoring poorly performing grants. Interventions therefore depend on PHME specialists' own knowledge and awareness.</p> <p><b>7.5.3 Global Fund management reviews performance data on a regular basis and makes adjustments as appropriate, based on the organisation's core principle of being a performance-based funding agency.</b> The Management Executive Committee monitors the progress of the Performance and Accountability Framework on a quarterly basis, and navigates mitigating actions and timelines to correct the course. The shift of the Secretariat's KPI team location from the Finance Division to the Strategy and Policy Hub Department, alongside the Strategy Development and Strategy Implementation teams, have created synergies for more effective performance management. Interviews with FPMs acknowledge the Board has oversight and the authority to reallocate funding through portfolio optimisation based on performance data shared with them. However, interviewed Board members noted that country-level data are rarely, if ever, shared with them.</p>	37, 39, 74, 78, 94, 127, 138



<p><b>7.5.4 Performance data support dialogue in partnerships at global, regional and country levels through mechanisms such as the Partnership Forum, situation rooms and CCMs.</b> The Partnership Forum was established by the (amended) bylaws of the Global Fund to Fight AIDS, TB, and Malaria (2017). It is one of the main mechanisms by which the Global Fund participates and receives feedback from stakeholders on both its strategy and sectoral commitments. The situation rooms are another mechanism through which the Global Fund receives feedback on an ongoing basis. They have become an increasingly vital tools (particularly the TB Situation Room) in technical support collaboration and coordination in the country-to-HQ-to-country feedback loop. At the country level, CCMs oversee the performance of the PRs to ensure agreed targets are met. They bring together all necessary stakeholders, including Secretariat staff and PRs, when reviewing the performance of grants on a regular basis. Staff also report that performance data are sometimes used to inform changes to the NSPs in dialogue with country stakeholders.</p>	37, 39, 74, 78, 94, 127, 138
<p><b>MI 7.5. Evidence confidence</b></p>	<p><b>High</b></p>

<p><b>KPI 8. The MO applies evidence-based planning and programming</b></p>	<p><b>KPI score</b></p>
<p><b>Unsatisfactory</b></p>	<p><b>2.36</b></p>
<p><b>Currently, no evaluation policy or overarching M&amp;E framework limits organisational learning. However, a new evaluation framework was approved in the November 2021 board meetings. It aims to group the various M&amp;E mechanisms across the organisation in an integrated function and to facilitate learning.</b> Currently, the evaluation function of the Global Fund, i.e. the TERG, is an advisory body that consists of independent experts. However, the TERG’s institutional architecture prevents it from achieving full structural independence. The TERG does not have full discretion in deciding the evaluation programme, which is only partly funded by core funds, with the rest covered by catalytic funding. While full independence (including behavioural) has not been achieved in Strategy 2017-22, the introduction of the New Evaluation Model aims to address this shortcoming.</p> <p>In the absence of an evaluation policy, there are other mechanisms to guide M&amp;E efforts. There is an evaluation plan produced on both an annual and multiyear basis (the latter introduced in 2020) to cover the organisation’s planning, budget, and priorities. While annual evaluation plans reflect key priorities and present a fairly broad coverage of Global Fund’s programmes, they can be improved by more systematically covering areas that are hard to measure through other measurement approaches. There are also clear mechanisms to feed lessons in the design of new funding proposals, but it is ultimately the responsibility of the PRs to follow up on actions and on CTs to feed lessons into the next funding cycle. Some evidence exists to suggest that lessons from past grants have informed new grant designs, but it is not clear how consistent this is across the whole grant portfolio.</p> <p>Furthermore, multiple reports cite the current lack of organisational culture of evaluative learning. For example, there is no complete repository of evaluations and their recommendations available for use and no evidence that a formal mechanism for distilling and disseminating lessons learned internally or externally exists beyond the publication of evaluation reports and management responses on Global Fund’s website. Most evaluation reports include a management response, though not all include an action plan with clearly stated responsibilities and accountabilities. While some evidence is available to suggest lessons learned are being applied, a lot more will become available in the coming months as the new evaluation strategy is rolled out.</p>	
<p><b>MI 8.1. A corporate independent evaluation function exists</b></p>	<p><b>Score</b></p>
<p><i>The TERG was considered the independent evaluation function for the purposes of this assessment.</i></p>	
<p><b>Overall MI rating</b></p>	<p><b>Unsatisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>2.5</b></p>
<p>Element 1: The evaluation function is independent from other management functions (operational and financial independence)</p>	<p>4</p>

Element 2: The head of evaluation reports directly to the governing body of the organisation (structural independence)	2
Element 3: The evaluation office has full discretion in deciding the evaluation programme	2
Element 4: The central evaluation programme is fully funded by core funds	2
Element 5: Evaluations are submitted directly for consideration at the appropriate level of decision-making for the subject of evaluation	3
Element 6: Evaluators are able to conduct their work during the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (behavioural independence)	2
<b>MI 8.1. Analysis</b>	<b>Source document</b>
<p><b>8.1.1. The evaluation function of the Global Fund, or the Technical Evaluation Reference Group (the TERG), is an advisory body that consists of independent experts.</b> The group is institutionally independent of the Secretariat, Board, and board committees. However, the Strategy Committee (SC) charter states that it is delegated by the Board delegated mandate for approval of the guidelines, evaluation criteria, processes, work plan and procedures of the TRP and TERG. TERG voting members serve only in their personal capacities and not in the interests of their employers, governments or Global Fund partner organisations. Staff highlight the TERG's independence in conducting evaluations as one of its three main goals. The group has discretion over their budget with their regular work funded by OPEX and PCEs funded under catalytic investments.</p> <p><b>8.1.2. While the TERG is directly accountable to the Strategy Committee and Board, its current institutional architecture prevents it from achieving full independence.</b> The TERG is accountable to the governing body, the Board, and regularly reports its work through the Strategy Committee. However, the TERG Secretariat's organisational location within the Global Fund Secretariat, the consultations needed in order to publish TERG reports, and the funding of the evaluation function all play a role in reducing its independence. The Board may request the TERG to consider commissioning or overseeing independent evaluations in the areas it has identified, though staff report that, in the end, the TERG decides what is feasible to evaluate. Under the New Evaluation Model, the Independent Evaluation Panel will report directly to the Strategy Committee and Board.</p> <p><b>8.1.3. The TERG does not have full discretion in deciding the evaluation programme, but there is no evidence of significant disagreements between the advisory group and the Strategy Committee on the evaluation plans.</b> Staff report a mix of stakeholders, such as the Board, Secretariat and committees, feeding into the evaluation programme. However, they admit it is ultimately the TERG's responsibility to decide what evaluations are feasible and to finalise the evaluation plan.</p> <p><b>8.1.4. The current evaluation programme is only partly funded by core funds, with the rest covered by catalytic funding.</b> At the moment, TERG activities are funded by a combination of funds from OPEX and from catalytic investments. As part of OPEX, senior management in the Strategic Investment and Impact Division (SIID) negotiate the TERG budget. The TERG's budget has been reduced regularly over the last few years. The Prospective Country Evaluations, in particular, are financed from the catalytic funding mechanism, deemed highly vulnerable by the independent assessment of the TERG. However, with the introduction of the new evaluation model, there are plans for the evaluation programme to be fully funded by core funds. Staff confirm that OPEX 2023 will integrate the two sources of funds currently supporting TERG evaluations.</p> <p><b>8.1.5. Evaluation results feed directly to the Committees (AFC and Strategy Committee) and the Board, but evidence is mixed on their timeliness to inform key decision making.</b> The Secretariat reports on Global Fund KPI results twice a year, drawing on a range of data, including data from evaluations conducted by the TERG. TERG recommendations reach the full Board via the Strategy Committee as they have oversight of the TERG, as mandated by their charter with allocated time on</p>	39, 73, 75, 102, 135

the SC agenda to present findings, conclusions and recommendations to SC. These are not revised by the SC, other Board committees, or the Secretariat. Ultimately, the assessments of the TERG, as specified in its terms of reference (ToRs), are intended to support the Executive Director and Secretariat staff responsible for implementing the internal evaluation function. However, the TERG ToRs confirm recommendations are advisory and not binding.

Furthermore, the independent assessment of TERG finds obstacles around full Secretariat engagement with PCEs, highlighting the need to balance objectives of accountability and learning. There is also sometimes overlap in thematic reviews carried out by the Monitoring and Evaluation and Country Analysis (MECA) Team and the TERG. Interviews are generally positive, emphasising the role of the Evaluation Calendar in setting out clearly what decision-making processes a specific evaluation is feeding into. Key business owners and SEC staff discuss the findings for the feasibility of recommendations which then are submitted to the Board, who issues a formal management response. However, staff also report challenges in the timeliness of evaluations with TERG staff sometimes not being fully aware of when decisions happen. A number of Board members said lessons learned from the TERG Strategic Reviews were not considered during the strategy development process, and that TERG reviews do not generally yield agreed management action (AMAs), making it unclear how recommendations are followed up on. This separation is hoped to be addressed under the New Evaluation Model, when a single Evaluation Panel to coordinate all evaluation work will be created.

**8.1.6. Full behavioural independence has not been achieved under the current Strategy, but the introduction of the new Evaluation Model aims to address this shortcoming.** The independent assessment of the TERG cites consultants who express concern about their independence as evaluators during their engagement with the TERG. For example, the TERG has not played a sufficiently strong role in interaction and negotiation between the Grant Management Division and evaluators. However, ensuring behavioural independence at all stages of the process from planning to dissemination has the commitment of the Board. Staff confirm senior commitment to preserve and improve behavioural independence with the new Evaluation Model, which will integrate all evaluation work under a single Independent Evaluation Panel and adapt a transparent, systematic approach to what is being evaluated.

39, 73, 75, 102, 135

**MI 8.1. Evidence confidence****High****MI 8.2. Consistent, independent evaluation of results (coverage)****Score****Overall MI rating****Unsatisfactory****Overall MI score****2**

Element 1: An evaluation policy describes the principles to ensure the coverage, quality and use of findings, including in decentralised evaluations

0

Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations

1

Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available

4

Element 4: The annual evaluation plan presents a systematic and periodic coverage of the MO's interventions, reflecting key priorities

3

Element 5: Evidence demonstrates that the evaluation policy is being implemented at country level

2

MI 8.2. Analysis	Source document
<p>8.2.1. <b>There is currently no evaluation policy or overarching M&amp;E framework. Staff report that evaluations to ensure coverage, quality and use of findings are currently a missed tool.</b> However, during the Board meetings in November 2021, a new evaluation framework was proposed and approved. The new evaluation strategy will address this issue by outlining a much more strategic approach to how topics are identified, both for accountability and learning purposes. Going forward, the Global Fund hopes to drive learning, not only within the Secretariat, but also among country stakeholders and wider public health sector.</p> <p>8.2.2. <b>While there is no evaluation policy or specific manual to drive its operationalisation, an Evaluation Calendar was introduced in 2020 to guide the implementation of different categories of evaluations.</b> TERG evaluations can be strategic, thematic or operational, covering a broad range of topics. A multi-year Evaluation Calendar was put in place to outline what topics will be evaluated and when. However, even with this tool, staff report the TERG does not currently have a good overview of evaluations conducted internally by other teams and programmes, leading sometimes to overlap and duplication.</p> <p>8.2.3. <b>There is an evaluation plan produced both on an annual basis and a multiyear basis (the latter updated in 2020) to cover the organisation’s planning, budget, and priorities.</b> The TERG submits an evaluation work plan and associated budget to the Strategy Committee for approval on an annual basis. The work plan and budget are then recommended by the SC to the Audit and Finance Committee for inclusion in the annual operating expenses budget. The proposed OPEX is submitted to the Board for final approval. Updated in 2020, a multi-year plan (2017-22), which was first produced in 2016, included a mapping of what evaluations are expected over the next five years, and was provided to outline a clearer overview of planned evaluations and reduce duplication across the organisation.</p> <p>8.2.4. <b>Annual evaluation plans reflect key priorities and present a fairly broad coverage of Global Fund’s programmes, but they can be improved by more systematically covering areas that are hard to measure through other measurement approaches. Each annual TERG work plan reflects the key priorities for the year.</b> In the post-2022 strategy period, the aim is for evaluations to play a stronger and more consistent role in providing robust evidence in programme areas difficult to measure quantitatively, such as gender and human rights. A multi-year Evaluation Calendar aligned with the post-2022 strategy will be used to support this. Staff add that due to COVID-19, the evaluation plans in the last two years had to be adapted, with some evaluations being delayed and others dropped because of limited country capacity to engage.</p> <p>8.2.5. <b>While there is some evidence to suggest that the evaluation plan (in lieu of an evaluation policy) is being implemented at country level, there are particular challenges related to PCEs, conducted by TERG.</b> This is in part due to TERG’s primary role as an expert commissioning body, rather than an evaluation body. Since 2017, the TERG has spent more than two-thirds of its time on the implementation and management of PCEs, diverting attention away from its other two main functions – promoting organisational learning and providing independent M&amp;E advice to the Global Fund. Staff report some evidence to demonstrate evaluation findings are picked up in-country. Annual reports from the PCEs are shared with key in-country stakeholders, such as ministry officials, while an informal coordination group facilitates time for in-country learning. However, staff also report three main challenges that will affect the evaluation plan’s implementation as a result of COVID-19. First, there is the ethical issue of continuing to stick to the evaluation agenda from a few years ago when countries are dealing with the severe pressure of the pandemic on their health systems. Second, there is a conceptual issue of how best to design evaluations of the three diseases so they continue to be relevant in the post- COVID-19 context. Finally, there is a methodological issue in relation to data collection and risk of selection bias when in-person interviews are not always possible.</p>	70, 73, 102
<b>MI 8.2 Evidence confidence</b>	<b>High</b>

MI 8.3. Systems applied to ensure the quality of evaluations	Score
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.6</b>
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	2
Element 2: Evaluations use appropriate methodologies for data collection, analysis and interpretation	2
Element 3: Evaluation reports present the evidence, findings, conclusions and, where relevant, recommendations in a complete and balanced way	3
Element 4: The methodology presented includes the methodological limitations and concerns	4
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	2
MI 8.3 Analysis	Source document
<p>8.3.1. <b>Based on the sample of publicly available evaluations, they are based on quality-oriented design, planning and implementation processes but there are inherent challenges in TERG-commissioned evaluations stemming from the lack of evaluation topic consultations and mandate focus.</b> The sample of publicly available strategic and thematic reviews is based on quality evaluation practice. However, the independent assessment of the TERG identifies general issues with weak communication around topics to be considered for evaluations, often leading to overlap with internal evaluations commissioned by the MECA team, as well as broad and unrealistic mandates, leading to evaluations that are unfocused. The assessment also finds issues with the selection of evaluation teams of quality appropriate to the context of the Global Fund. Staff report similar concerns, citing issues around the utility, quality and relevance of evaluations. Under the new Evaluation Model, the Independent Evaluation Panel is envisioned to report annually to the SC and Board on the quality of evaluations, flagging any concerns. A multi-year calendar will continue to be used to ensure there is a clear rationale for why certain topics have been chosen for evaluation.</p>	1, 132, 135, 137-139, 144-146
<p>8.3.2. <b>Based on the sample of publicly available evaluations, they use a varying degree of appropriate methodologies for data collection, analysis and interpretation and do not include a discussion of ethical issues.</b> The publicly available evaluations to date generally use appropriate methodologies for data collection and analysis. They include clear descriptions of the relevant design and set of methods suitable for the evaluation’s purpose, objectives and scope, as well as triangulation of multiple levels of evidence. However, none include a discussion of ethical issues, a key element to consider when assessing evaluation methodologies that may involve, for example, sensitive information. Staff report methodological issues resulting from COVID-19, such as concerns around obtaining relevant data remotely, the risk of selection bias, and failing to capture certain voices when travel is not possible.</p>	
<p>8.3.3. <b>Based on the sample of publicly available evaluations, they generally present evidence, findings, conclusions, and recommendations in a clear and logical way but sometimes recommendations need to be better contextualised or prioritised within the scope of Global Fund’s influence or available resources.</b> Management responses to the evaluations reviewed point to the good presentation of findings, conclusions and, in particular, recommendations. For example, the management response of the Thematic Review on the Role of the Private Sector in Programme Delivery highlights the clearly presented typology of private sector engagement in health that will be useful to inform the Global Fund’s work. It also states that the TERG recommendations on the Secretariat operations will inform the continued PSE capacity-building efforts, while the strategic recommendations will inform disease-specific strategy development and RSSH guidance for this funding period and the next. Staff report that at the end of each evaluation phase, there is usually a</p>	

<p>workshop between evaluators and key business owners or Secretariat staff to validate the findings and conclusions and, more importantly, discuss the feasibility of the suggested recommendations. A report is then developed and shared with the Strategy Committee. The evaluation report is reviewed by TERG and relevant Secretariat staff, followed by TERG issuing a position paper as a means to outline acceptance of findings, conclusions, recommendations or suggestion of addition or exclusion of specific recommendations. The Secretariat then prepares a management response to TERG's position. Final Secretariat Management Responses are published alongside the TERG position paper and report following respective due diligence processes.</p> <p><b>8.3.4. Based on the sample of publicly available evaluations, the methodology presented in the reports include the key limitations and constraints.</b> All evaluations, except one, include a separate section on key limitations, such as the short time frame, limited access to countries for in-depth case studies, and the outbreak of COVID-19. There is no evidence of adaptation to COVID-19, as evaluations were commissioned prior to the start of the pandemic. Only the Strategic Review 2020 makes a reference to the pandemic, acknowledging evaluators' efforts to factor its implications in the report within the constraints of their original mandate. Staff report that, going forward, it will be important to capture the methodological issues resulting from COVID-19, prioritise which evaluations are critical, and which can be de-prioritised due to countries' limited capacity – at least in the short to medium term.</p> <p><b>8.3.5. While a quality assurance process exists, it is not adequate to ensure high-quality evaluations.</b> The quality assurance process is managed by the TERG and its Secretariat, but their capacity to produce high-quality evaluations has been constrained by insufficient resources. The group is comprised of voluntary members who are compensated for 15 to 20 working days a year, which is not sufficient to provide the necessary oversight and quality control, at least in the long-term. The independent assessment of TERG notes that members are often heavily involved in managing evaluations, but not sufficiently engaged in providing guidance and quality assurance. The revamped evaluation function will aim to strengthen the quality of evaluations. For example, the Independent Evaluation Panel will publish annual reports to the SC and Board, including commenting on the quality of evaluations.</p>	<p>1, 132, 135, 137-139, 144-146</p>
<p><b>MI 8.3. Evidence confidence</b></p>	<p><b>High</b></p>
<p><b>MI 8.4. Mandatory demonstration of the evidence base to design new interventions</b>  <i>The Global Fund does not design interventions, but provides funding to support country-designed interventions. As such, funding requests and related processes will be examined in terms of intervention designs recognizing the iterative process of grant negotiations between countries and corresponding CTs based on TRP recommendations.</i></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Unsatisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>2.2</b></p>
<p>Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions</p>	<p>2</p>
<p>Element 2: Clear feedback loops exist to feed lessons into the design of new interventions</p>	<p>2</p>
<p>Element 3: Lessons from past interventions inform new interventions</p>	<p>3</p>
<p>Element 4: Incentives exist to apply lessons learned to new interventions</p>	<p>2</p>
<p>Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public  <i>Countries are responsible for the introduction of new operations designs. As such, this element speaks to the impact of evaluations and their use in changing the Secretariat's operations.</i></p>	<p>2</p>

MI 8.4. Analysis	Source document
<p>8.4.1. <b>While there is a formal requirement to demonstrate how lessons from past interventions have been considered in the design of new funding requests, per key informants, this is done informally and is facilitated by TERG and FPMs.</b> While the Global Fund’s OPN and other documentation contain requirements to take lessons learned from past grants and interventions into consideration in the design of new funding requests, Secretariat staff state that there is no formal requirement. However, they also recognise that part of their job as Fund Portfolio Managers is to be aware of what is working well and not well within a grant, and to influence an implementation change in the next funding cycle. Further, the TERG conducted an analysis of how funding requests are reviewed by the TRP, providing recommendations on how to improve the process. This led to the creation of a Fast-Track Channel for funding requests, indirectly influencing the grant-making process in a positive direction. In a more direct way, results of an EPI analysis at the country level are reviewed by FPMs, the country teams, TRP and other Global Fund organisational units before a country proposal can be submitted. This review includes lessons learned from previous periods. Data are included in joint programme reviews, which become a basis to make future changes, sometimes even to the NSPs.</p> <p>8.4.2. <b>There are clear mechanisms to feed lessons in the design of new funding proposals, but it is ultimately the responsibility of the PRs to follow up on actions and on country teams to feed lessons into the next funding cycle.</b> The independent assessment of the TERG reports that lessons from evaluations do not always inform decisions at the Strategy Committee, as a system with a formal management response is not fully in place. Staff report that lessons learned are included in programme reviews, which are used as the basis for decision making in the next funding cycle, but PRs are responsible for following up on actions and delegating within their organisations. Under the new evaluation model, it is hoped that lessons learned will be more widely disseminated and applied with the recruitment of a dedicated officer focused on learning.</p> <p>8.4.3. <b>Some evidence exists to suggest that lessons from past grants have informed new grant designs, but it is not clear how consistent this is across the whole grant portfolio.</b> For example, the 2020-21 PCE Synthesis Report, which compared NFM2 and NFM3 investments and interventions finds that improvements to the business model between NFM2 and NFM3 contributed to more efficient and inclusive funding request processes. However, it also finds that New Funding Model 3 saw limited adoption of changes in the design of performance monitoring, particularly for HRGEquity and RSSH. In terms of grant implementation, a key conclusion was that multiple barriers and challenges exist for undertaking revisions to the scope and/or scale of grants mid-cycle, such as in response to new evidence or emerging performance issues. Staff report that, as a result of a targeted evaluation of Malaria Elimination in Southern Africa, the funding request for multicountry grants (MCGs) in Sub-Saharan Africa was altered. They also cite an example from Myanmar, where a programme evaluation and its associated operational recommendations informed the next phase of funding for the intervention. However, these examples are not representative of the Global Fund’s grant portfolio, and it remains unclear how consistently lessons learned have been applied to inform specific grant interventions.</p> <p>8.4.4. <b>There is limited or no evidence to suggest incentives exist to apply lessons learned to new grants as multiple reports cite the current lack of organisational culture for evaluative learning.</b> As mentioned earlier, the third function of the TERG, which is to provide independent advice on matters related to monitoring and evaluation, has only marginally been addressed. A review of minutes from TERG meetings, conducted as part of the independent assessment of the TERG, demonstrates that the group does not provide extensive and consistent M&amp;E advice to the Secretariat. This hinders the opportunity to apply lessons learned to new grant cycles.</p>	73, 135, 284

<p>8.4.5. <b>There is no evidence to suggest that the number or share of operations designs informed by evaluations is made public apart from the publicly available 2020–21 PCE Synthesis Report which reports changes made to funding request and grant design processes as a result of lessons learned from past funding cycles.</b> The 2020-21 PCE Synthesis Report compared New Funding Model 2 and 3 investments and interventions, exploring whether lessons learned in NFM2 inform NFM3 funding request processes and grant design, with a particular focus on equity, RSSH and sustainability. However, the publication of evaluations may not always be straightforward, with multiple stakeholders needing to be in agreement before the SC can approve the report’s publication. The Global Fund is currently revising its publication policy to ensure greater transparency of evaluative approaches.</p>	73, 135, 284
<p><b>MI 8.4 Evidence confidence</b></p>	<p><b>Medium</b></p>
<p>Confidence is rated as “medium” because evidence relies heavily on interviews with key informants, which are supplemented by some documentation</p>	
<p><b>MI 8.5. Poorly performing interventions proactively identified, tracked and addressed</b></p>	<p><b>Score</b></p>
<p><b>Overall MI rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>Overall MI score</b></p>	<p><b>3.00</b></p>
<p>Element 1: A system exists to identify poorly performing interventions</p>	<p>3</p>
<p>Element 2: Regular reporting tracks the status and evolution of poorly performing interventions</p>	<p>3</p>
<p>Element 3: A process for addressing poor performance exists, with evidence of its use</p>	<p>3</p>
<p>Element 4: The process clearly delineates the responsibility to take action</p>	<p>3</p>
<p><b>MI 8.5. Analysis</b></p>	<p><b>Source document</b></p>
<p>8.5.1. <b>There is a system to identify poorly performing grants, but existing evidence of its use demonstrates that it can be better implemented.</b> The country portfolio reviews provide a systematic review of progress and risks in specific countries. However, staff report challenges in the timeliness of such reviews, stating that it often takes up to 10 months from the time issues happen to the time an underperforming grant is identified in the review for any mitigating action to be effective. With quarterly reporting, Country Teams can identify and respond to issues more quickly, but such reporting is in place for only certain grants, depending on their risk level. Staff additionally report that the system is one-size-fits-all and not customised to the type of portfolio or grant. The introduction of monthly spot checks as a result of COVID-19 is showing early signs of addressing the ongoing issue of data timeliness. They were launched along with Pulse Checks to better understand how programmatic implementation is progressing and being impacted by COVID-19 in real time.</p> <p>Efforts to improve the maturity of the Global Fund’s monitoring systems were recognised by ISO/IEC 20001:2018 Service Management certification, as well as recertification of ISO 27001 IT Security. A bit over 7% of survey respondents “don’t know” or “have no opinion” of whether the Global Fund consistently identifies which grants are underperforming. However, in-country governments demonstrate the highest agreement, with 33% of respondents strongly agreeing and none disagreeing.</p>	39
<p>8.5.2. <b>Quarterly reporting to the MEC includes a review of the P&amp;A Framework with mitigating actions and time periods to course correct.</b> As mentioned above, there are challenges with the timeliness of the programmatic data received and with the lack of customisation in reporting depending on the type of grant or portfolio. Staff report that grants rated higher-risk could report quarterly instead of biannually, for example. While monitoring of grant status is deemed systematic, the follow-up process of any mitigating actions is more inconsistent and could be improved.</p>	



<p>8.5.3. <b>There is a process to address poor performance with the MEC responsible for navigating the mitigating actions and timeliness to course correct.</b> Staff report that the follow-up process on any issues with grant performance is not systematic. There is room for improvement to ensure all actions identified in relation to poorly performing grants are actively followed up. While most survey respondents agree that the Global Fund addresses any areas of grant underperformance, 9% of external global partners and 8.5% of private sector, academic and civil society respondents disagree.</p> <p>8.5.4. <b>The process clearly delineates the responsibility to take action with the primary responsibility for tracking underperforming Global Fund KPIs within Country Teams.</b> There is a formal process of alerting countries if their grant is underperforming, in the form of a performance letter and agreement on actions to be achieved and by whom. However, staff report the follow-up process could be improved, as currently it is the PHME specialists who hold the knowledge of which of their grants are underperforming. The follow-up is more on an ad hoc basis, without a clear process of tracking actions taken in a consistent way.</p>	39
<b>MI 8.5. Evidence confidence</b>	<b>Medium</b>
Confidence is rated as “medium” because evidence relies primarily on one key document and key informant interviews.	
<b>MI 8.6. Clear accountability system ensures responses and follow-up to and use of evaluation recommendations</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2.00</b>
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	3
Element 2: Management responses include an action plan and/ or agreement clearly stating responsibilities and accountabilities	0
Element 3: A timeline for implementation of key recommendations is proposed	3
Element 4: An annual report on the status of use and implementation of evaluation recommendations is made public	2
<b>MI 8.6 Analysis</b>	<b>Source document</b>
<p>8.6.1. <b>Most evaluation reports included a management response, but not all.</b> The independent assessment of TERG found that a system with a formal management response to each evaluation was not fully in place, as such responses were not always included in TERG presentations to the Strategy Committee. It cited mixed views about the existence of an established system for responding to and following up on recommendations from TERG reports, with 53% saying “yes, to some extent”, and 47% stating “not really”. Improvements to this system were made approximately mid-way (2019) through the assessment period.</p>	73, 132, 137-139, 142, 146, 227
<p>8.6.2. <b>There is no evidence to suggest that management responses include an action plan with clearly stated responsibilities and accountabilities.</b> For example, while the management responses to the thematic reviews, the Role of the Private Sector in Programme Delivery and HIV Primary Prevention, include a summary table of recommendations with a time frame, level of agreement and level of control, there are no clearly stated responsibilities of who is accountable for their follow-up. Furthermore, the Board update on M&amp;E matters in May 2021 states there is no formal system for the development of management responses, and no accountability for the implementation of or follow-up to management responses systematically across all evaluations.</p>	

<p>8.6.3. <b>Timelines for the implementation of key recommendations are included in the management response, though they differ in their level of detail from assigning a time frame against each recommendation to broadly talking about next steps in relation to the next allocation cycle.</b> The sample of evaluations reviewed include management responses with an indication of timelines for the proposed recommendations Matters such as “before the end of 2020”, “prior to approval by the Grant Approvals Committee” and “ongoing, new strategy time frame”. There does not seem to be a standard way of outlining timelines for the implementation of recommendations in management responses.</p> <p>8.6.4. <b>While there is no evidence of a publicly available, annual report on the status of evaluation recommendations, there is an internal database managed by TERG to track the status of recommendations.</b> The Board update on M&amp;E asserts there is a lack of transparency in the publication of TERG reports and management responses. Staff confirm that, while such a mechanism exists, the process is not straightforward as all parties need to agree to make the information publicly available. As part of the revamping of the new Evaluation Model, the Global Fund is currently revising its publication policy to place a greater emphasis on transparency. Staff report that there is an Excel sheet that one person in the group monitors and which includes all recommendations since 2017 and to what extent they have been implemented. There is evidence of follow-up actions in this database.</p>	73, 132, 137-139, 142, 146, 227
<b>MI 8.6. Evidence confidence</b>	<b>High</b>
<b>MI 8.7. Uptake of lessons learned and best practices from evaluations</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2.25</b>
Element 1: A complete and current repository of evaluations and their recommendations is available for use	1
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	3
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	2
Element 4: Evidence is available that lessons learned and best practices are being applied	3
<b>MI 8.7. Analysis</b>	<b>Source document</b>
<p>8.7.1. <b>There is currently no complete repository of evaluations and their recommendations available for use, but this will be addressed with the introduction of the New Evaluation model.</b> Staff report that one person in the TERG is responsible for tracking the follow-up of recommendations, using an Excel spreadsheet that has recorded evaluations since 2017. There is evidence of follow-up actions in this database.</p> <p>8.7.2. <b>There are selected formal mechanisms for distilling and disseminating lessons learned, which include the publication of evaluation reports and management responses on the Global Fund’s website, as well as periodic internal reviews.</b> Lessons learned from the 2017-22 KPI Framework refer to increased efforts to disseminate results internally, but does not describe a formal mechanism. The independent assessment of TERG finds that the TERG is well placed to play a role in organisational learning processes. Under the new evaluation structure, staff report that there are plans to create the role of an evaluation and learning officer, whose focus will be on dissemination to different audiences, including internal ones. Periodic surveys and reviews take place with the aim of distilling lessons learned and shaping internal operational policies and procedures.</p> <p>8.7.3. <b>There is no evidence of a formal dissemination mechanism to partners, peers and other stakeholders and the process appears to vary by type of evaluation and applied on an ad hoc basis.</b> Partners are able to obtain lessons learned from evaluations as the TERG has representatives</p>	73, 127, 135

from different technical groups representing the M&E function of partners, such as UNAIDS and GAVI. The Strategy Committee also has partners represented, such as donors and country stakeholders. In a more direct and proactive way, staff report that during dissemination week, an informal coordination group in-country sees the annual report produced on their PCEs before they are submitted to the Board and Committees, which allows time for reflection. However, this seems to be the case only for the eight PCEs conducted as part of the 2017-19 grant cycle. Evaluators sometimes request to publish lessons learned in scientific journals, but this is not proactively supported by the Global Fund. A new role, that of an Evaluation and Learning Officer, will be created with the new evaluation structure to focus on dissemination to various audiences and to systematise the process.

**8.7.4. Some evidence is available to suggest lessons learned are being applied but a lot more will become available in the coming months as the evaluation strategy is being rolled out.** The lessons-learned report on the implementation of the 2017-22 KPI Framework refers to lessons-learned exercises with the objective of collecting evidence and informing the development of KPIs for the next Strategy. Furthermore, assessments have identified the need to strengthen the independent evaluation function, whose strategy has just been approved in the November Board meetings in 2021. Lessons learned include changes to the TERG’s role and how evaluation is managed and coordinated within the Secretariat. The creation of the Independent Evaluation Panel, approved in November, aims to address the challenges identified by bringing the various evaluations currently conducted across the organisation into an integrated function. Other examples reported by staff include: the creation of a fast-track channel as a result of lessons learned from an analysis done by the TERG; and direct funding request changes introduced as a result of TERG evaluations. Survey data shows that all in-country government respondents agree that the Global Fund learns lessons from previous experiences. However, 12.5% of external global partners disagree, with 4% strongly disagreeing.

73, 127, 135

### 8.7. Evidence confidence

Medium

Confidence is rated “medium”, as evidence is limited or only referenced in interviews with key informants for several of the elements, in particular 8.7.2 and 8.7.3.

## RESULTS

*Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient manner*

### KPI 9. Development and humanitarian objectives are achieved and results contribute to normative and cross-cutting goals

*The Global Fund does not design interventions, but provides funding to support country-designed interventions. The intervention designs assessed here, therefore, are country funding requests, keeping in mind the iterative process of grant negotiations between countries and corresponding CTs based on TRP recommendations.*

KPI score

Unsatisfactory

2.50

**There has been mixed progress across corporate Global Fund KPIs over the course of the review period.** Only one strategic objective related to financing (SO4, Mobilise Increased Resources) has remained consistently on track, achieving its targets across all its KPIs. In contrast, mixed results were identified for strategic objectives SO1, SO2 and SO3. In SO1 (Maximise Impact against HIV, TB and Malaria), lives-saved KPIs were rated “on track” for meeting the strategic target of 29 million lives saved, though the impact of COVID-19 affected this in 2021. In contrast, incidence reduction was deemed at risk, and key population KPIs as not yet achieved. A similar assessment of mixed results was found for SO2 (Build Resilient and Sustainable Systems for Health), with three Global Fund KPIs on track (financial management, results disaggregation, and NSP alignment), but three at

risk (financial systems meeting standards, supply chains, and Health Management Information System coverage). Likewise, SO3 (Human Rights and Gender Equality) also had mixed results. Two KPIs were on track (grant funding for human rights on TB and reducing human rights barriers to services), one was at risk (gender and age equality), and one was off track (grant funding for human rights for HIV).

The decision not to revise the targets in light of COVID-19 disruptions attests to the Global Fund's commitment to the three diseases. However, it has negatively affected progress against some KPIs, according to the most recent Strategic Performance Report.

The Global Fund also performs less well on cross-cutting issues across the board, with several key issues identified for gender equality and women's empowerment (MI 9.2), human rights (MI 9.4), and RSSH (MI 9.5). No score was applied for MI 9.3, as no evidence was identified relating to environmental sustainability or climate change.

<b>MI 9.1. Interventions assessed as having achieved their objectives and results (analysing differential results across target groups, and changes in national development policies and programmes or system reforms)</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
<b>MI 9.1. Analysis</b>	<b>Source document</b>
<ul style="list-style-type: none"> <li>The primary source of data for MI 9.1 comes from the Strategic Performance Report end-2020 Strategic Performance Report mid-2021, which provide updates on performance against the corporate Global Fund KPIs. These are reported every 612 months. This meta-analysis considers results from autumn 2017 through to autumn 2021 (nine reporting periods).</li> <li>Four strategic performance reports are considered for this MI, encompassing eight reporting rounds in total, from autumn 2017 to autumn 2021.</li> <li>The Global Fund's four corporate strategic objectives will be used to assess the achievement of the Global Fund's objectives. Following the onset of COVID-19, the Global Fund took the decision not to revise its targets. A commentary on where and how COVID-19 disruptions have impacted results is recorded throughout.</li> <li>There is little additional relevant evidence from evaluations to corroborate the findings presented below. This is due in part to the emphasis that the Global Fund places on its monitoring data for tracking progress and the focus of the evaluations, which have limited engagement with corporate-level results.</li> </ul> <p><i>Strategic Objective 1. Maximise Impact against HIV, TB and malaria</i></p> <p><b>There is mixed progress for SO1 across the reporting period.</b></p> <ul style="list-style-type: none"> <li>The Global Fund's KPIs on Impact – lives saved (KPI 1a) and investment efficiency (KPI 4), alignment and need (KPI 3) are all “on track/achieved” in 2020 and have been since autumn 2018. The trajectory of lives saved continued to increase between 2017 and 2019, with approximately 16 million lives saved during this period. Progress has been much faster in Global Fund portfolio countries for HIV (deaths declined 17% between 2015 and 2019) than TB (deaths declined 2.9% between 2015 and 2018) or malaria (deaths declined 9.2% between 2015 and 2018). The Global Fund is on track to meet its strategic target of 29 million lives saved, though COVID-19 may slow progress. However, significant gaps remain in scaling up interventions to achieve targets for reducing new cases and infections.</li> <li>The Global Fund's KPIs on Impact – incidence reduction (KPI 1b) and service delivery (KPI 2) are both rated “at risk/partly achieved”, and have been since autumn 2018. Incidence reduction is projected at 1834% against a target of 38%, but does not factor in the negative impacts of COVID-19, findings due to be delivered in the spring 2022 report. The shortfall in incidence reduction is</li> </ul>	3-6, 133, 139, 263

primarily due to regions missing their targets in one of the three diseases. Progress has been faster in Global Fund portfolio countries for HIV (new infections declined 13.7% between 2015 and 2019) than for TB (new cases declined 11.2% between 2015 and 2018) or malaria (new cases increased 4.4% between 2015 and 2018). The autumn 2021 report shows COVID-19 had a significant effect on service delivery (KPI 2) across all three disease areas, with drops in grant performance recorded against varied national targets. However, due to historical performance, strategy targets are believed to still be within reach.

- The Global Fund’s KPIs for key population grant funding (KPI 5a) and service coverage (KPI 5c) were reported for the first time in autumn 2021, both rated “off track/not yet achieved”. Programmatic disruptions related to COVID-19 are believed to be a significant driver of low achievement rates in 2020. The KPI for service coverage (capacity to report, KPI 5b) saw an increase in score from red to amber in the last autumn 2020 report – here there was an increase from 64% to 67% of countries (29 out of 43) about to report on service delivery for at least 2 KPs. However, notable here is the effect COVID-19 may have had on the quality of estimates.
- Overall, the scoring for SO1 across the reporting periods is mixed – three greens, three ambers, two reds, according to the most recent reporting.

#### *Strategic Objective 2. Build Resilient and Sustainable Systems for Health*

#### **There is mixed progress for SO2 across the reporting period.**

- RSSH financial management, transition efforts (KPI 6c1), RSSH results disaggregation (KPI 6e), RSSH NSP alignment (KPI 6f), and allocation utilisation (KPI 7a) are all “on track/achieved”. This score has been consistent for all KPIs since spring 2018, excluding KPI 6c1, which was “at risk/partly achieved” in spring 2020 (but green before that). RSSH procurement prices (KPI 6a) were rated green in autumn 2020, the first reporting period for which data on this parameter were available. KPIs measuring the financial components of Global Fund performance have improved and targets have been exceeded.
- RSSH financial systems meeting standards (KPI 6c2), RSSH supply chains (KPI 6b), and RSSH HMIS coverage (KPI 6d) have all scored “at risk/partly achieved”, with the latter two also deteriorating. All three KPIs have previously scored green at some point in previous reporting periods. According to [003], they have been impacted by issues relating to the timeliness of reporting, challenges around data quality, inability to provide TA, and priority focus shifting away from systems strengthening. For example, the data for KPI 6d indicates that only 39% of countries have fully functional and deployed HMIS against the 2019 target of 50%. Likewise, RSSH supply chains (KPI 6b) have been negatively affected by COVID-19 disruptions.
- RSSH procurement prices (KPI 6a) is “achieved/on track”.
- The Strategic Review 2020 argued that the Global Fund’s KPIs under SO2 do not adequately provide a holistic assessment of progress in RSSH, as defined by the Global Fund.
- The aspects of RSSH that have seen the most gains are the two areas that account for the majority of RSSH investments: strengthening data systems for health and countries’ capacities for analysis and use; and strengthening global and in-country public sector financial management systems. However, even in these areas, there is strong evidence to suggest the persistence of substantial challenges which limit the health impact of Global Fund investments.
- Two-thirds of RSSH resources allocated to RSSH are used to support operational costs for the three disease programmes, rather than strengthening health systems more broadly. As such, investments in RSSH can only be expected to be making marginal contributions to the objectives of building RSSH that would enable progress towards UHC and contribute to programmatic sustainability.

3-6, 133, 139, 263

- The COVID-19 pandemic further demonstrates the ongoing weakness of health systems and the fragility of previous gains made against the three diseases. Overall, SO2 scores range from mixed to limited, with some KPIs at-risk and some showing signs of degradation: five greens, three amber, and one grey in the most recent report.

#### *Strategic Objective 3. Human Rights and Gender Equality*

##### **There is mixed progress in SO3 across the reporting period.**

- Reduce human rights barriers to services (KPI 9a) and grant funding for human rights (TB) (KPI 9b2) scored “on track/ achieved” in [003]. For KPI 9a, a green score has been consistently achieved since spring 2019. KPI 9b2 has achieved a green score since reporting commenced in spring 2020, with signs to suggest performance will continue to improve in this area. Investments in human rights have increased significantly in a sub-set of countries, particularly where specific additional financial and technical support has been provided. This points to the merits of employing targeted approaches in this area. However, there is little evidence of similar gains being made across the wider portfolio, including in countries where there are substantial issues.
- Grant funding for human rights (HIV) (KPI 9b) has shown strong progress since reporting began in spring 2021, evolving from an initial rating of red to green in autumn 2021. In the most recent reporting, the level of investment in programmes to remove human rights-related barriers to HIV and HIV/TB grants in 70 countries is 3.18%, compared to 1.69% in the 2017-19 allocation cycle. This surpasses the 3% target. Specifically, investment in countries that are part of the Breaking Down Barriers initiative show strong progress, indicating the importance of incentives such as matching funds, multi-stakeholder commitment, evidence, sustained efforts and implementation support.
- Gender and age equality (KPI 8) continued to score “at risk/partly achieved” in the most recent autumn 2021 report, with a 36% reduction in HIV incidence from the 2015 baseline and projected incidence reduction [4661%] at risk against the target of 58% (4764% range). An amber score has consistently been achieved since reporting became available in spring 2019.
- Domestic investment in key populations and human rights (KPI 9c) was reported for the first time in the autumn 2021 report. Performing significantly below target, KPI 9c scored “off track/not yet achieved”. Reprioritisation of domestic funds for activities related to COVID-19 is potentially one of the key contributors to low performance.
- Two interim KPIs were discontinued: grant funding for key populations (KPs) and human rights (KPI 9b3); domestic investments in KPs and human rights, reporting capacity (KPI 9c2).
- Similarly to SO2, the Strategic Review contends that the Global Fund KPIs do not provide a holistic assessment of progress towards SO3. Further, the TERG Thematic Review of RSSH observes that tracking the contribution of RSSH investment can be difficult, as most are embedded in disease grants, as well as issues around differentiation between what is “direct” RSSH funding and what is “contributory”.
- Significant inequities exist in access to health services and health outcomes across the portfolio, and particularly affect KPs. These inequities significantly constrain the achievement of SO1 and are driven by social, economic, political, demographic and geographic factors.
- There have nonetheless been gains in scaling up service coverage, including for those who face discrimination and/or other structural barriers, in part facilitated by Global Fund support for technology and service innovations and interventions targeted at KPs. However, the factors driving observed inequities often do not receive sufficient attention in grant and programme design, and wide variations in health service access and health outcomes still exist within and across countries.

3-6, 133, 139, 263

<ul style="list-style-type: none"> <li>Overall, the SO3 scores are mixed – three greens, one amber, one red, and two greys in the most recent report.</li> </ul> <p><i>Strategic Objective 4. Mobilise Increased Resources</i></p> <p><b>There is good progress for SO4 across the reporting period, with all of the Global Fund’s KPIs consistently rated on track.</b></p> <ul style="list-style-type: none"> <li>All five of the KPIs relating to SO4 were rated “on track/ achieved” in [003], with two showing signs of improvement: supply continuity of health products (KPI 12a); affordability of health technologies (KPI 12b).</li> <li>All five scored green in the previous reporting rounds, except for KPI 12a, which was red in spring 2018, 2019 and 2020.</li> <li>Global Fund resource mobilisation efforts have continued to be successful through the Sixth Replenishment, ending at a more than 100% pledge conversion rate. COVID-19 has not impacted conversion negatively and has increased specific pledges from several donors, especially for targeted COVID-19 programmes.</li> <li>A high rate of allocation utilisation continues to be seen (99%) with high utilisation across all portfolio categorisations. This can be partly attributed to the COVID-19 context as countries are making use of funds efficiently including through grant flexibility given their requested need for support.</li> <li>Domestic cofinancing commitments to programmes supported by the Global Fund for the 2017-19 allocation period reached 129% of the minimum policy prescribed for cofinancing, which mirrors past progress.</li> <li>Overall, scoring for SO4 is consistently on track, with five KPIs green in the most recent report.</li> </ul>	3-6, 133, 139, 263
<b>MI 9.1. Evidence confidence</b>	<b>High</b>
<b>MI 9.2. Interventions assessed as having helped improve gender equality and women’s empowerment</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
<b>MI 9.2. Analysis</b>	<b>Source document</b>
<ul style="list-style-type: none"> <li>Promising results have been identified for HIV-positive women in countries where the Global Fund has strategically invested in women and girls. These results include a decline in AIDS-related deaths among adolescent girls and young women (AGYW) since 2010. Performance results on most AGYW interventions were only mildly satisfactory, however, with intervention coverage low due to implementation challenges, capacity and financing gaps.</li> <li>Much of the evidence for this MI is taken from the TERG review of AGYW and HIV, as well as the Strategic Review 2020, and the PCEs. As this section looks at gender equality and women’s empowerment as a cross-cutting issue, results reported under SO3 Human Rights and Gender Equality, are not considered here (please refer to MI 9.1).</li> <li>Evidence suggests the Global Fund has played an important role in scaling up programmes to support AGYW in targeted countries. Strong coordination and collaboration with governments and different development partners were identified, as was better alignment between PEPFAR (The US President’s Emergency Plan for AIDS Relief) and the Global Fund.</li> </ul>	

<ul style="list-style-type: none"> <li>• Performance in gender-sensitive programming in Global Fund AGYW-focus countries has been more successful than non-focus countries. Country capacity and engagement was identified as a recurring issue, with many countries not taking full advantage of available technical assistance. The absence of a systematic approach to identifying technical assistance (TA) needs has led to challenges in coordinating TA. Despite this, the Thematic Review of HIV Prevention did find that there had been an improved focus from the Global Fund on TA to address key issues for AGYW, helped in part by the CRG and AGYW strategic initiatives.</li> <li>• CCM capacity and engagement was also identified as an area that needs addressing. There was a reported lack of meaningful engagement from CCMs with 1) AGYW; 2) gender experts; and, 3) government ministries overseeing critical programmes that address AGYW. AGYW were deemed insufficiently involved in programme management and decision-making processes, instead seen primarily as ‘beneficiaries’. Potential inequalities faced by AGYW were poorly understood, documented and addressed by respective country programmes.</li> <li>• A lack of gender analysis was also identified in NSPs and funding applications. Although AGYW needs are better addressed in funding requests for the 2017-19 allocation period (compared to those for the 2014-16 allocation period), gender analysis remains inadequate, with no age-disaggregated data across AGYW age groups. The legal and institutional framework on gender equality is often in place in many countries, but is lacking mechanisms for practical implementation. Potential inequalities faced by AGYW are also poorly understood, documented and addressed by respective country programmes. This is corroborated in the Strategic Review 2020, which notes that specifically for gender, funding requests often leave critical issues unaddressed.</li> <li>• Overall investments in reducing HRGEquity barriers were found to decline during grant making, particularly for HIV prevention grants. Further, KP and human rights interventions are reportedly funded through external sources, which limits their scope for scale-up and sustainability.</li> </ul>	12, 141, 143, 144, 146
<b>MI 9.2. Evidence confidence</b>	<b>High</b>
<b>MI 9.3. Interventions assessed as having helped improve environmental sustainability/tackle the effects of climate change</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Not assessed</b>
<b>Overall MI score</b>	
<b>MI 9.3. Analysis</b>	<b>Source document</b>
<ul style="list-style-type: none"> <li>• No results or evidence available that concerns environmental sustainability or efforts to tackle the effects of climate change.</li> </ul>	
<p><b>MI 9.3 Evidence confidence</b> No evidence has been identified relating to environmental sustainability or efforts to tackle the effects of climate change. It appears it is considered outside of the Global Fund’s previous mandate, with no results generated in this area.</p>	<b>Low</b>
<b>MI 9.4. Interventions assessed as having helped improve human rights, including the protection of vulnerable people (those at risk of being left behind)</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
<b>MI 9.4. Analysis</b>	<b>Source document</b>
<ul style="list-style-type: none"> <li>• The majority of data for this MI is taken from the three PCEs, which have dedicated sections on human rights and key and vulnerable population considerations. The Strategic Review 2020 was also a key source document.</li> </ul>	3, 133, 141, 142, 144, 146



- As this section looks at human rights, including the protection of vulnerable people as a cross-cutting issue, results reported under SO3, Human Rights and Gender Equality, are not considered here (please refer to MI 9.1).
- **NFM3 funding requests were noted to have a more explicit focus on improving equitable access to health services.** This indicates an improvement on findings from the PCE 2020, which found grant performance against equity objectives to be weak compared to other areas of value for money (VfM). Despite this, in some cases, efficiency and/or effectiveness considerations appear to have taken precedence over equity considerations in NFM3 grant design. This is corroborated by the Strategic Review 2020, which notes that there is a widely held view that equity involves trade-offs with efficiency or effectiveness, where geographies or population groups are prioritised, for instance. It contends that this is a dangerous misunderstanding of equity, which is concerned with giving everyone needs-based equal access to services in order to improve efficiency, effectiveness and impact.
- **An improvement in the coverage of interventions to target key and high-risk populations was found, particularly for HIV programmes.** However, even when targets were met, national key population service coverage levels remained relatively low. Programmes were found to focus primarily on KP service coverage and outcome targets, rather than on specific interventions to reduce human rights or gender-related barriers. Also, performance indicators were not stratified by sex and few captured gender-related barriers.
- **Overall investments in reducing HRG-Equity barriers were found to decline during grant making, particularly for HIV prevention grants.** According to PCE 2019, countries reviewed felt that investments to address key and vulnerable populations and reduce HRG-related barriers were insufficient. Further, KP and human rights interventions are reportedly funded through external sources, which limits their scope for scale-up and sustainability.
- **There are substantial inequalities in access to and utilisation of services and health outcomes across the Global Fund portfolio including by geography, disease and KP group.** These are driven by a range of factors, including economic status, age, sex, level of education, geographic place of residence, as well as by context-specific dimensions such as ethnicity, disability and migratory status. Addressing these issues is challenging, and there has been limited progress in doing so to date, albeit with variations by geography, disease and KP group.
- **Investment in HRG and the reduction of inequality between specific population groups has historically been low.** This is partly due to difficulties in targeting these groups with interventions, due to a lack of strategies, policies and plans to address their needs, weak population size estimates, and a mixed understanding about what works and why. Where there is evidence, the business model does not work to ensure that these are systematically addressed in grants. In terms of human rights, dedicated financing and technical assistance have helped to significantly increase the level of investment and strengthen programming in a sub-set of countries, with some emerging evidence of positive results.
- **The limited availability and quality of data, especially population size estimates for KPs, is one of the major issues** with reporting, monitoring and target-setting for HIV prevention interventions. PCE countries were found to have used better-quality and/or more recent data on KPs during New Funding Model 3 compared to NFM2, which enabled grants to set up new interventions to target KPs more precisely or widen the geographical distribution of places where KPs would receive services. However, the quality of data (particularly the accuracy of KP population size estimates) continues to constrain these decisions and overall allocation efficiency.

3, 133, 141, 142, 144,  
146

<ul style="list-style-type: none"> <li>Engagement of KPs and communities was found to be strong during the design of the funding requests, but generally tends to be more limited during the implementation of HIV-prevention interventions.</li> </ul>	3, 133, 141, 142, 144, 146
<b>MI 9.4. Evidence confidence</b>	<b>High</b>
<b>MI 9.5. Interventions assessed as having helped improve RSSH</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
<b>MI 9.5. Analysis</b>	<b>Source document</b>
<ul style="list-style-type: none"> <li>At the outset of the MOPAN assessment, RSSH was identified as the primary ‘other cross-cutting issue’ and is consequently explored in this section. RSSH is also already considered as part of SO2, Build Resilient and Sustainable Systems for Health (RSSH). As this section looks at RSSH as a cross-cutting issue, results reported under SO2 are not primarily considered here (please refer to MI 9.1).</li> <li>A detailed evaluation of RSSH was undertaken through the Thematic Review on RSSH and it is from this document that much of the data for this MI has been derived. The PCEs also have relevant findings that have been incorporated here.</li> <li>RSSH has gained strategic importance in the Global Fund and is reflected in its increase across the portfolio. Investments in RSSH under both NFM periods were significant and amounted to USD 5.8 billion to date, or 27% of the total Global Fund investment of USD 21.4 billion as of July 2019.</li> <li>How RSSH investments are intended to support the achievement of disease outcomes and strengthen health systems lacks clarity, however, and can lead to operational tensions such as: <ul style="list-style-type: none"> <li>1) disease control priorities versus cross-cutting health system issues;</li> <li>short-term rather than long-term RSSH gains;</li> <li>narrow versus broad-based funding across RSSH investment areas;</li> <li>disease-specific versus integrated service delivery (ISD) models.</li> </ul> </li> <li>The Global Fund’s commitment to the differentiation of RSSH investments across the development continuum was considered appropriate, though more guidance is required to achieve this across the portfolio. Further, Global Fund guidance to countries on RSSH investments was found not to be effectively used in the preparation of grants, due in part to its complexity. Despite the extensive guidance, most NFM3 grant performance frameworks were found not to include many of the RSSH coverage indicators, making monitoring RSSH a challenging exercise. Technical assistance for RSSH was also found to be poorly understood and coordinated among partners.</li> <li>Prospective Country Evaluation 2019 notes that RSSH funds often represented short-term investments to cover programmatic gaps, rather than strategic investments in strengthening health systems. Whilst the transition from NFM2 to NFM3 has seen a greater proportion of RSSH investments being designed to support rather than strengthen health systems, it isn’t clear how NFM3 was set up to change the trajectory of achieving SO2. Evidence suggests the impetus to move to more strategic RSSH investments is not systematically operationalised across countries.</li> <li>Embedding RSSH investments within disease grants has contributed to them being more disease-focused than cross-cutting. The Thematic Review of RSSH found that few countries used the stand-alone request for RSSH grants and that country teams may dissuade countries from this grant mechanism as it leads to lower absorption rates. According to PCE 2020, for example, most PCE countries absorption rates remained less than 50% across most RSSH modules. Common drivers of weak RSSH absorption included complex country financial processes, the need for diverse stakeholder engagement, poor planning and general coordination challenges with operationalising RSSH.</li> </ul>	139, 141-144

<ul style="list-style-type: none"> <li>This resonates with findings from the Thematic Review of the Sustainability, Transition and Cofinancing Policy, which found that grant RSSH activities tended to focus more on support for grant implementation rather than on systems strengthening. In order to enhance country ownership and flexibility, integrate/align disease and RSSH applications, and reduce transaction costs, the Global Fund has reportedly tried to reduce specific requirements for RSSH during the funding request stage. This has resulted in countries employing ad hoc approaches to determining RSSH funding.</li> </ul>	139, 141-144
<b>MI 9.5. Evidence confidence</b>	<b>High</b>
<p><b>KPI 10. Interventions are relevant to the needs and priorities of partner countries and beneficiaries, as the organisation works towards results in areas within its mandate</b></p> <p><i>The Global Fund does not design interventions, but provides funding to support country-designed interventions. As such, we will refer to country funding requests when assessing intervention designs here, recognizing the iterative process of grant negotiations between countries and corresponding CTs based on TRP recommendations.</i></p>	<b>KPI score</b>
<b>Satisfactory</b>	<b>3</b>
<p><b>On the whole, the Global Fund appears to respond to the needs and priorities of partner countries and beneficiaries.</b> The analysis considered two aspects for assessment: 1) the alignment processes to country contexts and needs, and 2) programming tailored towards key and vulnerable populations. Both the monitoring and evaluation data point to an alignment process at the grant design stage that enables country programmes to ensure adopted approaches are responsive and relevant to their contexts.</p> <p>When considering programming tailored towards key and vulnerable populations, however, some areas of concern were identified. There are gaps with the monitoring data, with most Global Fund KPIs that address key and vulnerable populations either off-track or not yet reported. The prospective country evaluations, in contrast, noted some positive developments overall in key population work, but nevertheless observed that 1) programming focused primarily on KP service coverage and outcome targets rather than specific interventions to reduce human rights or gender-related barriers; and 2) programme performance indicators were not stratified by sex and few captured gender-related barriers. Overall investments in reducing HRG-Equity barriers were also found to decline during grant making.</p>	
<p><b>MI 10.1. Intervention objectives and design assessed as responding to beneficiaries, global, country, and partner/institution needs, policies, and priorities (inclusiveness, equality and Leave No One Behind), and continuing to do so where circumstances change</b></p>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
<b>MI 10.1. Analysis</b>	<b>Source document</b>
<ul style="list-style-type: none"> <li>Given that the Global Fund does not design interventions, the assessment analyses country funding requests and the extent to which these requests are: aligned with country contexts and needs; and deliver programming that is tailored to key and vulnerable populations.</li> <li>Strong levels of alignment between the level of investment made in each country and the country's needs were identified, and funds were found to be effectively invested in countries where the need was greatest. Corporate Global Fund KPI 3: Alignment of investment and need does touch upon relevant areas for this MI, however, and has been scored 'on track/achieved' since Autumn 2018. Some changes in large countries had a slight impact on the result but, overall, the target was exceeded.</li> <li>The main process through which beneficiary needs are identified at the Global Fund is the NSP alignment during grant design and via the country dialogue process. According to the Thematic Review on STC, this process is generally working well in ensuring grants are relevant and sufficiently aligned with contextual needs and targets, and was further improved from NFM2 to NFM3. AGYW needs could be better addressed, however, and gender analysis remains inadequate within this process.</li> </ul>	3, 12, 133, 141-144

<ul style="list-style-type: none"> <li>Aligning grants with NSPs has proved problematic in some instances. The Strategic Review 2020 found NSPs were often aspirational, untargeted and/or un-prioritised, serving as a weak foundation upon which to develop a funding request, particularly where, in combination with this, HRG and RSSH needs are not well articulated.</li> <li>Corporate level results for key vulnerable populations are less positive. Most Global Fund KPIs concerning key populations have been scored 'off track/not achieved' in the recent progress reports. Evidence on how intervention objectives and design respond to KP needs is therefore lacking as far as the monitoring data is concerned.</li> <li>An overall improvement in the coverage of interventions to target key and high-risk populations was found in PCE countries reviewed, particularly for HIV programmes. However, even when programmatic targets were met, general key population service coverage levels remained relatively low. Programmes focused primarily on KP service coverage and outcome targets rather than on specific interventions to reduce human rights or gender-related barriers, and programme performance indicators were not stratified by sex and few captured gender-related barriers.</li> <li>Overall investments in reducing HRG-Equity barriers were found to decline during grant making, particularly for HIV prevention grants. According to the PCE 2019, countries reviewed felt that investments to address key and vulnerable populations and reduce HRG-related barriers were insufficient. Further, KP and human rights interventions are reportedly funded through external sources, which limits their scope for scale-up and sustainability.</li> </ul>	3, 12, 133, 141-144
<p><b>MI 10.1. Evidence confidence</b></p> <p>Data on the alignment of investment and need is covered in both the Global Fund monitoring data (KPI 3) and supported by findings from the evaluations and thematic reviews. Data on reaching key and vulnerable populations are less clear, with Global Fund KPI 9a largely not yet reported. Evidence from evaluations provides some insights, but gaps remain. The confidence in evidence is therefore medium.</p>	Medium
<p><b>KPI 11. Results are delivered efficiently</b></p> <p><b>Satisfactory</b></p>	<p><b>KPI score</b></p> <p><b>3</b></p>
<p><b>The Global Fund's monitoring data have rated efficiency as 'on track' throughout the review period. The impact of COVID-19 has delayed timeliness in some areas, though appropriate measures have been put in place to mitigate this as much as possible.</b></p>	
<p>Monitoring data for the efficient delivery of results presents a positive picture in terms of both resource- and cost-efficiency and the timely implementation and achievement of results. The impact of COVID-19 has affected these in different ways and the most recent strategic performance report (with added insights from the most recent PCE 2021) has provided a comprehensive overview of how the pandemic has disrupted results. Only a few data gaps were noted and it is expected that they will be filled in during the next reporting round in autumn 2021.</p>	
<p>For MI 11.1, the relevant monitoring data on allocation utilisation, absorptive capacity, resource mobilisation, domestic investments and other relevant Global Fund KPIs were consistently been scored 'on track' over the review period. PCEs identified resource-inefficiencies and concerns during the grant design stage, including VfM issues around prioritisation. The grant revision provision was also widely reported to be a cumbersome undertaking, and low absorption rates were reported for HRG barriers in programmes. Significant improvements were noted, however, in the move from NFM2 to NFM3, which made processes more streamlined, efficient and flexible.</p>	
<p>For MI 11.2, whilst the impact of COVID-19 did delay implementation across several of the Global Fund's KPIs identified, the measures put in place to allow rapid adaption to the evolving situation were regarded as appropriate, flexible and light lift'. This arguably helped minimise the total disruption the pandemic could have had on Global Fund programmes. Looking across the</p>	

whole review period, several issues that adversely affect timely interventions were identified – e.g. inefficient grant development processes, misalignment of budgets and timelines, and weak coordination between and within grants.

MI 11.1. Interventions/activities assessed as resource-/cost-efficient	Score
Overall MI rating	Satisfactory
Overall MI score	3
MI 11.1. Analysis	Source document
<ul style="list-style-type: none"> <li>• <b>Corporate level results for resource- and cost-efficiency are consistently on track across the board.</b> Global Fund KPIs under strategic objective related to Strategic Objective 4 all relate to resource-/cost-efficiency in different ways. All five scored ‘on track/achieved’ in the most recent reporting period and, part from KPI 12a (which was previously off track), have consistently been graded ‘green’ throughout the 2017–21 period.</li> <li>• <b>Cross-portfolio programme efficiency appears to have increased over time alongside considerable efforts to increase both allocative and technical efficiency, albeit with widely recognised opportunities for further gains.</b> These efforts are however mostly related to SO1 and analysis from the Strategic Review 2020 shows that interventions that seek to strengthen health systems and address HRG-related barriers can be deprioritised throughout grant implementation. This occurs through lower levels of absorption leading to budgetary shifts away from these areas within individual grants, and portfolio optimisation mostly prioritising interventions in support of SO1.</li> <li>• <b>Improvements have been made in how (VfM) considerations have been incorporated into grant design.</b> There is some evidence of this translating into grant implementation, with country programmes found to be delivering good and/or increasing VfM, particularly economy, efficiency and effectiveness. This was not consistent across all programmes, however, and some VfM objectives were found to be prioritised over others. Equity appears to have been deprioritised in contrast to efficiency and/or effectiveness in many of the countries across all three PCEs. VfM objectives were also found to not be applied during grant design in a systematic manner and were often overridden by the political nature of prioritisation decision-making.</li> <li>• According to the PCE 2019, <b>absorption rates were found to be substantially lower than budget allocations and varied by disease and grant module.</b> Absorption has been particularly low for interventions relating to reducing HRG barriers, with contributing factors that including 1) systemic issues: 2) the nature of HIV prevention programming: 3) grant level issues: 4) country-issues: 5) weak data systems: and 6) Global Fund processes and systems issues.</li> <li>• <b>Support on efficiency is not uniform across all country contexts.</b> Global Fund-supported modelling and efficiency analyses were not yet embedded and fully utilised or extended to all countries.</li> <li>• <b>Rather than undertaking substantial programme revisions, some countries are using budget revisions as a financial management tool to influence absorption.</b> This was found to result in a cumulative shifting of unused resources to later in the grant cycle, particularly for low absorbing RSSH and HRG-Equity interventions. This is due in part to the burdensome and administratively complex nature of the grant revision processes.</li> </ul>	3, 133, 141-143, 146

<ul style="list-style-type: none"> <li>• <b>The funding request process was found to have improved from NFM2 to NFM3.</b> It was considered more streamlined, efficient and flexible, characterised by improved country ownership, the participation of a wider group of stakeholders, and a range of business model factors used effectively to influence grant priorities. However, this was found to decline as engagement progressed to the grant-making stages.</li> </ul>	3, 133, 141-143, 146
<b>MI 11.1. Evidence confidence</b>	<b>High</b>
<b>MI 11.2. Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
<b>MI 11.2. Analysis</b>	<b>Source document</b>
<p>According to the PCE 2019, <b>despite the delayed implementation of grants, the majority of grants reviewed were signed and disbursements were made to PRs in a timely fashion.</b> Country teams were involved in finding solutions to early grant bottlenecks and/or approving flexibilities, such as pre-ordering commodities before grant signing or pre-financing SR activities to assist with the transition between grants. Some business model factors were found to hinder grant implementation during the review period, including:</p> <ul style="list-style-type: none"> <li>• <b>Grant revisions:</b> considered burdensome and used primarily as a financial management tool rather than an opportunity to maximise impact. This served to delay implementation in some instances.</li> <li>• <b>Concurrent Global Fund processes:</b> country programmes often had to oversee grant closeout at the same time as initiating new grant design, which reduced PR staff time and delayed implementation progress.</li> <li>• <b>PR selection and set-up:</b> lengthy selection and contracting of implementers delayed implementation of activities. The transition from international to domestic PRs also resulted in changes to monitoring and financial systems, which also led to delays.</li> <li>• <b>Misalignment of timelines for matching funds:</b> approval and disbursement of matching funds did not always align with the timelines for the main grants and selection. This negatively affected the implementation of those activities and had a significant effect on RSSH and HRG-Equity activities, as they rely more on matching funds and take considerable time to plan.</li> <li>• <b>Aligning budgets and implementation too complex:</b> the advantages of input-based budgeting in terms of risk management did not always outweigh the complexity of subsequent changes to implementation plans.</li> <li>• <b>Weak coordination within and between grants:</b> coordination challenges particularly affected RSSH investments, partly due to resources for RSSH activities being spread across grants, and partly because responsibility for the aspects of health systems being targeted often lies outside of the disease programmes.</li> <li>• <b>Slow innovation:</b> the Global Fund is considered slow at offering support for new interventions and innovations.</li> </ul> <p><b>The onset of the COVID-19 pandemic caused significant disruption across the Global Fund portfolio.</b> This is reflected in several Global Fund KPIs in [003], in both implementation and (especially) around reporting. HRG-Equity investments were particularly hard-hit, but the Global Fund responded by adjusting the protocol to enable agile adaptations to occur. These were considered flexible and “light-lift” for country stakeholders, enabling rapid implementation adjustments in 2020.</p>	3, 141-143, 146, 263

<p><b>A commentary on the impact COVID-19 has had on corporate monitoring data is provided in the latest Strategic Performance Reports.</b> The complete list of Global Fund KPIs that have shown COVID-19's impact include:</p> <ul style="list-style-type: none"> <li>• KPI 1, 2, 5c, and 8: negatively affected by COVID-19 programmatic disruptions, with both incidence and mortality affected; several</li> <li>• RSSH KPIs 6b 6c and 6d: incidence and mortality affected;</li> <li>• several RSSH KPIs were impacted due to issues on timely reporting and, challenges around data quality;</li> <li>• KPI 7b: absorption rate continues to be strong at 81% over 201820;</li> <li>• KPI 9a: no measured effect, but possible to see impact on completion of milestones in future reporting;</li> <li>• KPI 9c: performance well below target because of reprioritization of domestic funds due to COVID-19;</li> <li>• KPI 10: new pledges made in response to COVID-19;</li> <li>• KPI 11: domestic funding experienced constraints in 2020;</li> <li>• KPI 12b: COVID-19 likely to have led to higher-than-expected savings.</li> </ul>	3, 141-143, 146, 263
<b>MI 11.2. Evidence confidence</b>	<b>High</b>
<p><b>KPI 12. Results are sustainable</b></p> <p><i>The Global Fund takes a comprehensive approach to supporting the sustainability of health systems and national programs, including a focus on both programmatic and financial sustainability. Therefore, both will be assessed within this KPI.</i></p>	<b>KPI score</b>
<b>Satisfactory</b>	<b>3</b>
<p><b>MI 12.1. Benefits assessed as continuing, or likely to continue after intervention completion (Where applicable, reference to building institutional or community capacity and/or strengthening enabling environment for development, in support of 2030 Sustainable Development Agenda)</b></p>	<b>Score</b>
<b>MI rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>3</b>
<b>MI 12.1. Analysis</b>	<b>Source document</b>
<p><b>Overall, the evaluations point to notable progress towards financial sustainability, but more limited progress in programmatic sustainability.</b> The analysis presented below is based on a review of findings from the Strategic Review 2020, the TERG Thematic Review of the Sustainability, Transition and Cofinancing (STC) Policy, and the TERG Thematic Review of the Global Fund Country-Level Technical Support Partnership Model (2019).</p> <ul style="list-style-type: none"> <li>• <b>Both the Strategic Review 2020 and the Thematic Review of the STC Policy report good progress toward financial sustainability of national disease programmes via domestic resource mobilisation, despite a few areas for improvement.</b> Evaluations report notable progress in the uptake of programme costs by countries. Through its STC Policy, the Global Fund has successfully applied a cofinancing requirement, which has been met by nearly all countries. In addition, it has provided valuable support to facilitate in-country stakeholder dialogue raising the importance of domestic resources for health, while also promoting the use of national health accounts and supporting the development of health financing strategies. However, the Strategic Review 2020 notes that the macro-economic contractions linked to the COVID-19 pandemic risk hindering the ability of countries to meet targets on domestic health financing. Furthermore, the</li> </ul>	

Strategic Review confirms that the Global Fund has effectively engaged in strategic discussions with ministries of finance to advocate for health financing in some countries, but that this is not done consistently across countries. The TERG Thematic Review of the Global Fund Country-Level Technical Support Partnership Model (2019) also raised concerns that the role of the CCM in coordinating with broader sectors and ensuring coordination between the Ministry of Health and the Ministry of Finance to advocate for sustainable health financing is underdeveloped. The TERG Review of the STC Policy acknowledged that many CCMs include members from the MoF, but the extent of their engagement is unclear.

- **The introduction of the STC Policy has resulted in an increased percentage of countries that use domestic resources to procure health commodities, which is a strong indication of reduced dependency on Global Fund resources.** The Strategic Review 2020 indicates that, prior to 2014, only 27% of eligible countries were procuring 100% of their anti-retroviral (ARV) treatments using domestic resources, while this percentage stood at 53% for TB drugs. In 2019, this percentage increased to 38% for ARV treatment and 60% for TB drugs. Furthermore, half of the allocation letters for the 2020-22 funding cycle made reference to the uptake of drugs.
- **Despite substantial Global Fund resources dedicated to RSSH, investments are insufficient to make a meaningful contribution to sustainable health systems and universal health coverage.** The Strategic Review 2020 reported that the Global Fund invests a significant amount of its resources in RSSH, amounting to USD 0.5 billion per year. The Global Fund is, in fact, the largest multilateral grant-making organisation in the area of RSSH. However, even though these resources appear significant, they are only a tiny fraction of the estimated amount needed yearly to 2030 to strengthen health systems in support of UHC. In addition, the Strategic Review found that the majority (65%) of grant resources dedicated to RSSH are used to cover the operational costs of diseases programmes (including health ministries and principal recipients' MoH/PR salaries, meetings, and others) rather than to strengthening health systems. Further, limited, uneven results have been achieved under SO2 (RSSH), which threatens gains made under SO1 and progress towards UHC. The Strategic Review 2020 found limited progress toward achieving RSSH objectives as outlined in the Strategy 2017-22. In RSSH, the Global Fund has contributed to improving data systems for health and strengthening global and in-country procurement and supply chain management systems. However, more limited progress has been made against other objectives, including leveraging investments in human resources for health and strengthening financial management systems for health. A critical underpinning assumption of the Strategy 2017-22 is that strengthening RSSH contributes to UHC and broader health security and, consequently, higher impact in the three diseases. Limited results in RSSH have therefore negatively affected the Global Fund's programmatic sustainability.
- **Although the Global Fund has supported transition readiness in some countries, challenges remain in planning for programmatic sustainability.** The Strategic Review 2020 found that the Global Fund has provided support for the implementation of transition-readiness assessments and the development of sustainability plans, but such support has mostly been provided in regions where countries are transitioning, principally Asia, Europe, Latin America and the Caribbean (AELAC). Prioritising long-term sustainability planning across the entire Global Fund portfolio remains a challenge.
- **Despite efforts to engage with civil society, the sustainability of key and vulnerable populations (KVP) programmes remains a concern.** The Evaluation TERG Thematic Review on Sustainability, Transition and Co-financing (STC Policy acknowledges the importance of working with key populations to sustain disease impact. The evaluation found that little progress has

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been made in establishing processes and the legal framework for the state funding of CSOs for key populations. The Strategic Review also noted that, overall, there had been less involvement of CSOs and KPs in country dialogue and the design of grants. It underscores the importance of strengthening CSOs and community-led systems to ensure the sustainability of results under SO1.	133, 138, 144
<b>MI 12.1 Evidence confidence</b>	<b>High</b>

## ANNEX B: LIST OF DOCUMENTS

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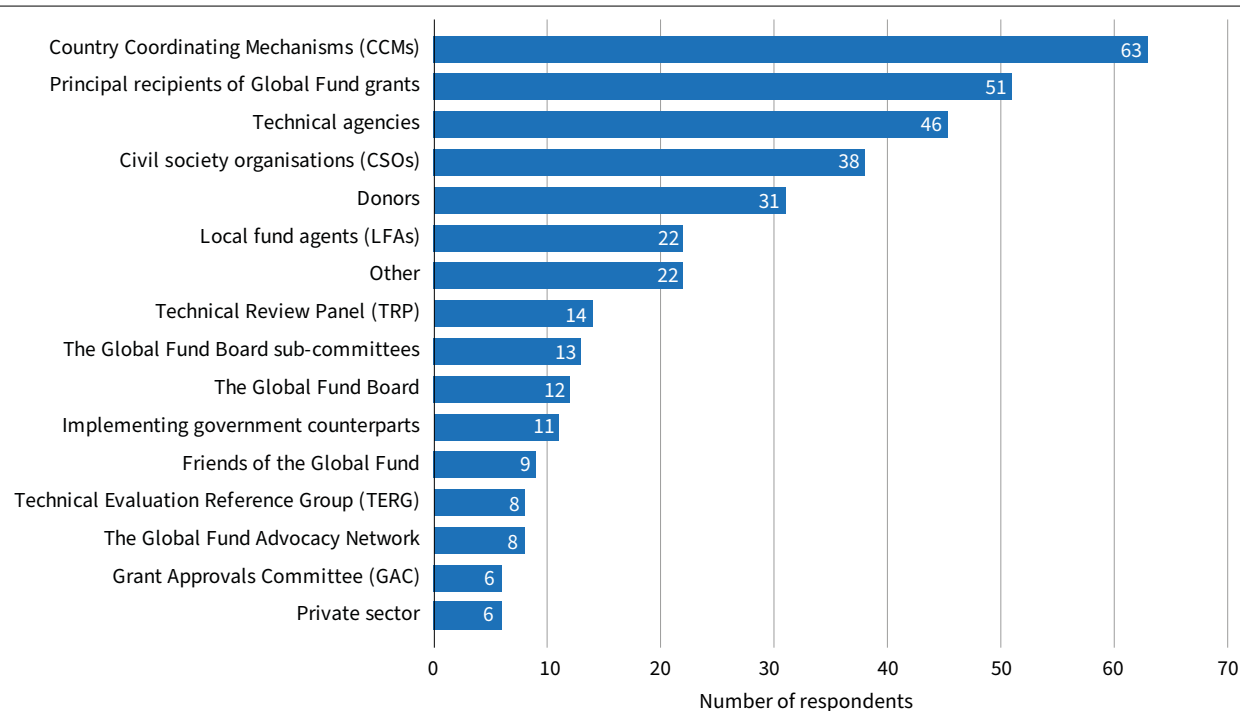


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## ANNEX C: RESULTS OF THE MOPAN EXTERNAL PARTNER SURVEY

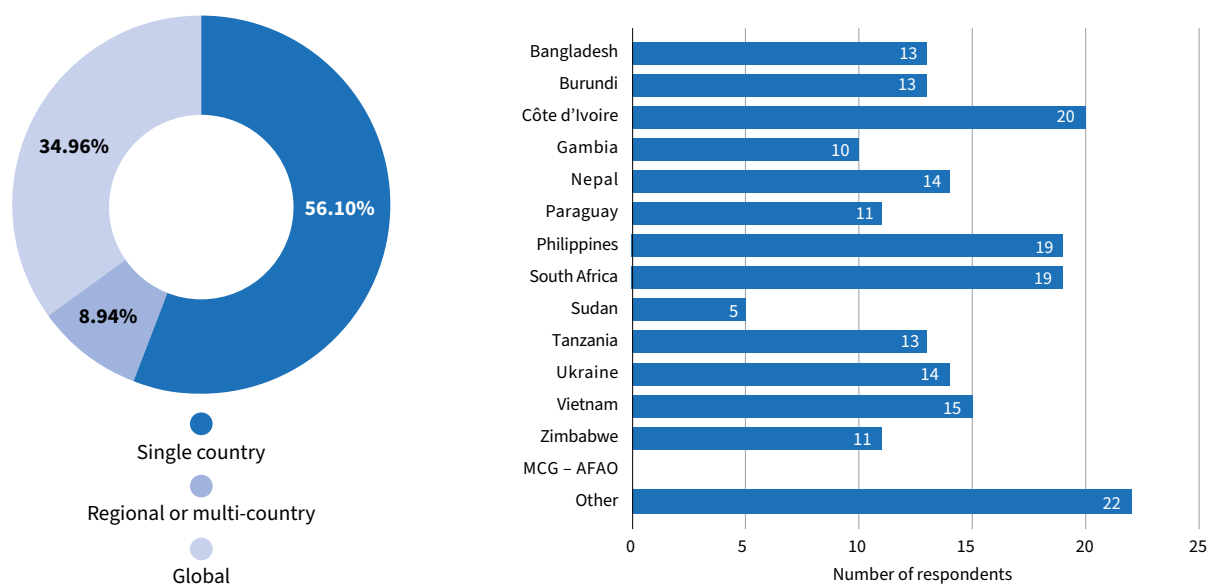
The online survey was administered by MOPAN and was conducted over a period of 6 weeks, starting on 4 October 2021 and closing on 15 November 2021. There were a total of 246 respondents from an effective sample size of 518, yielding a survey response rate of 47.5%.

### RESPONDENTS' MEMBERSHIP OF ASSOCIATED INSTITUTIONS OR BODIES



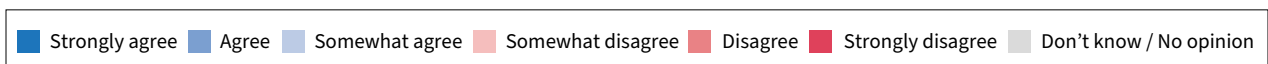
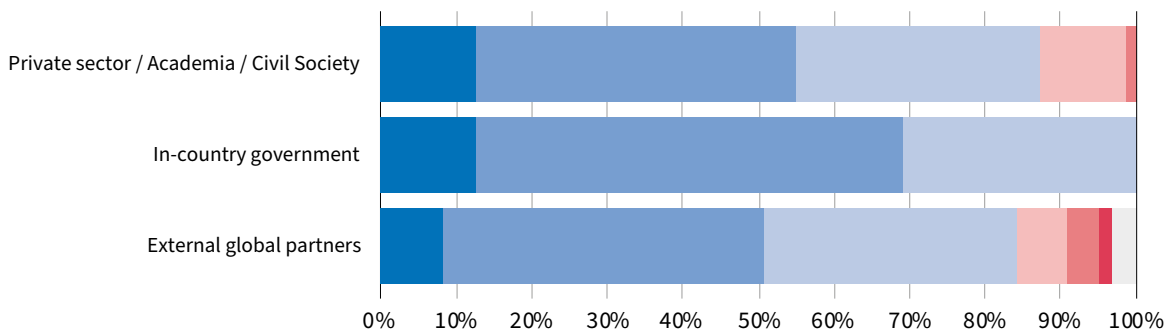
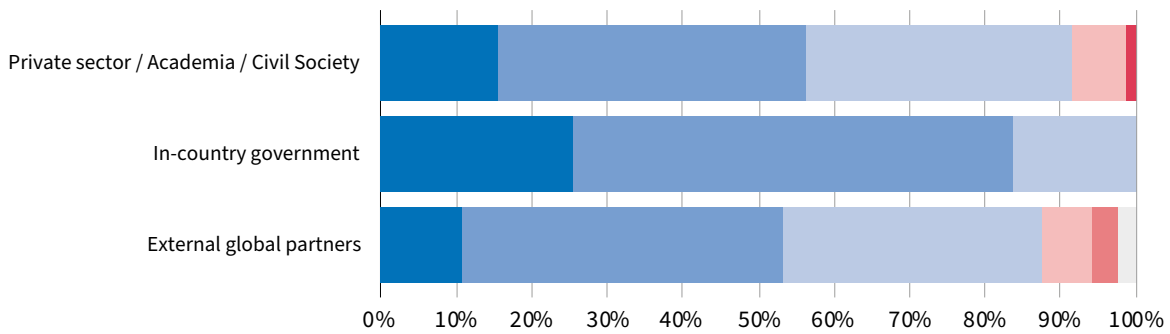
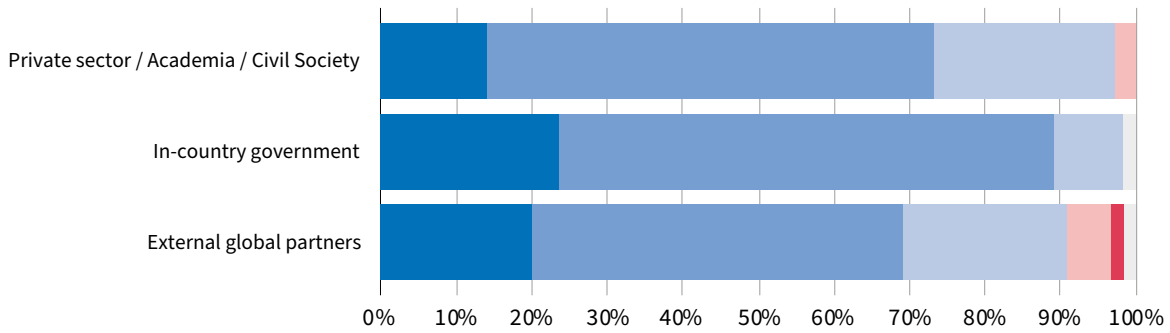
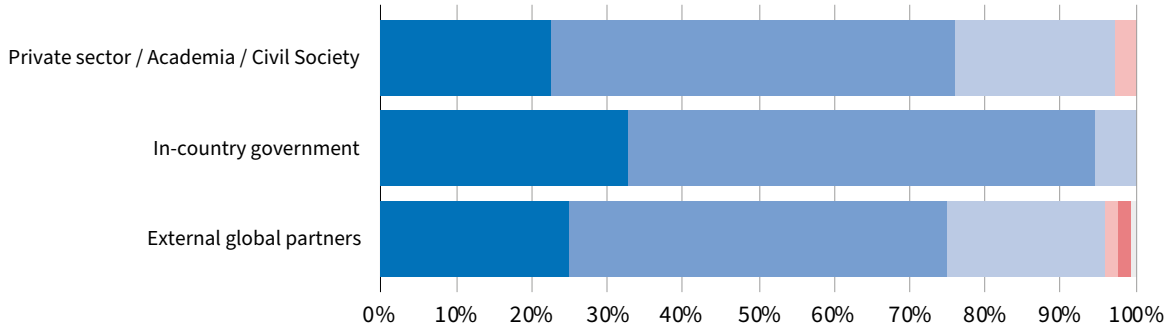
**Note:** The overall number of respondents by institution or body is greater than the total number of respondents because many respondents belong to two or more institutions or bodies.

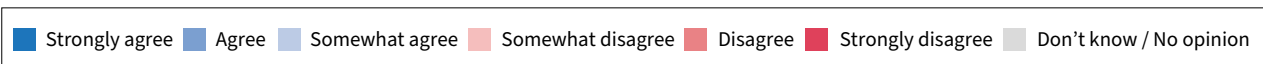
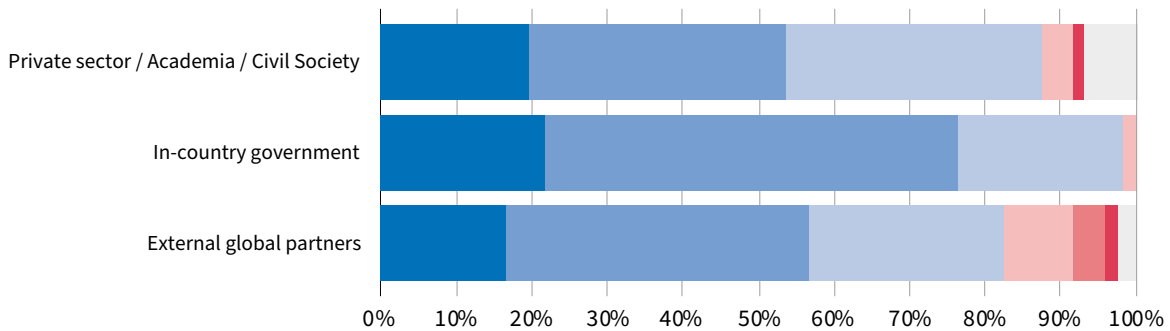
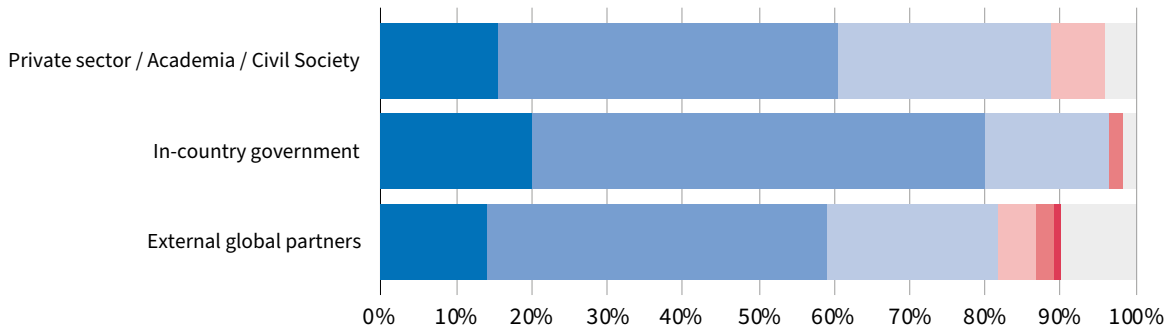
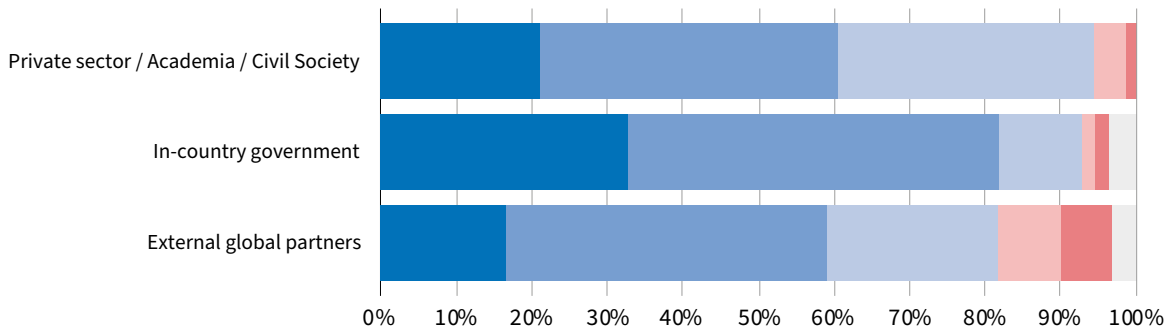
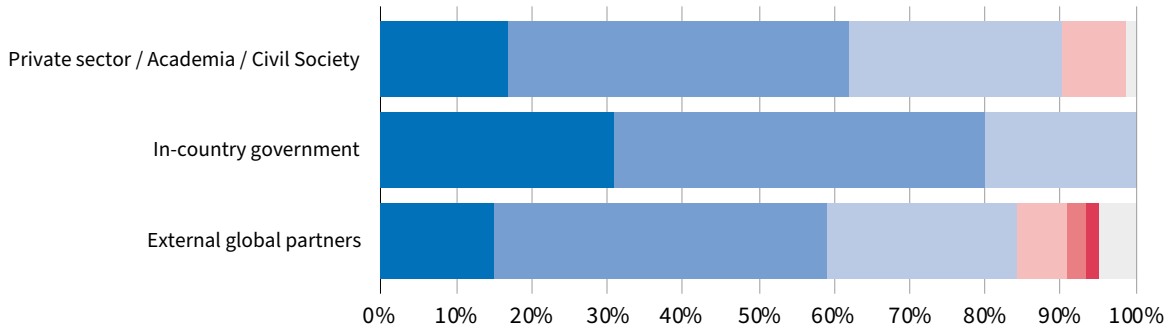
### RESPONDENTS' GEOGRAPHICAL COVERAGE



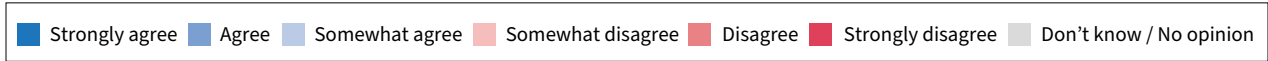
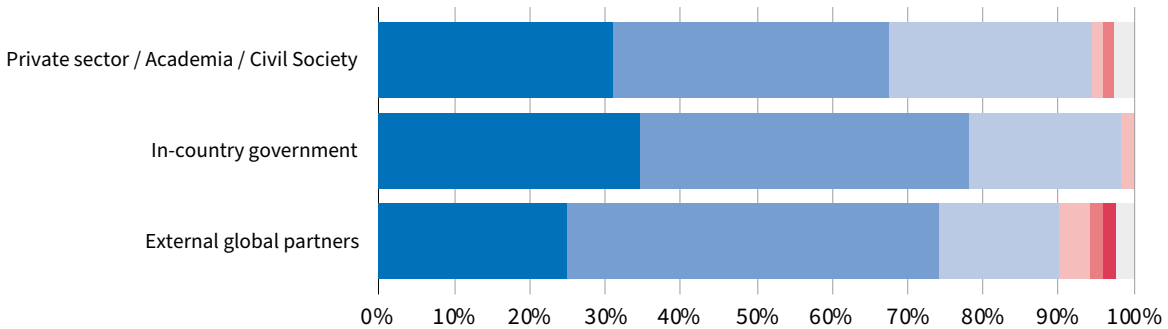
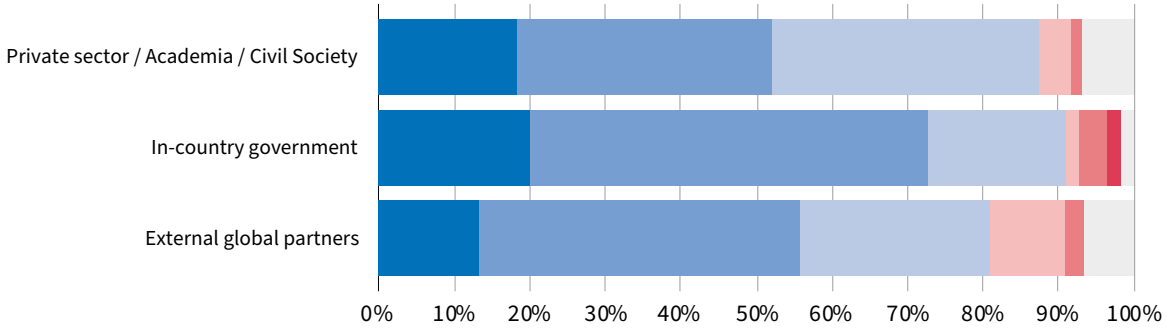
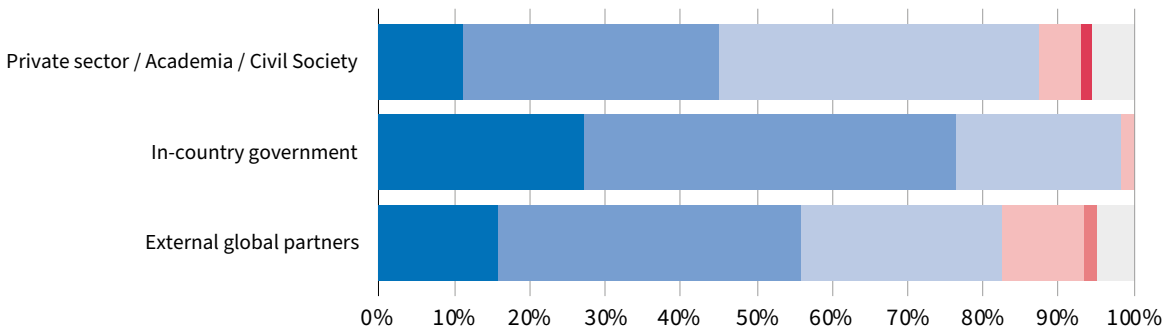
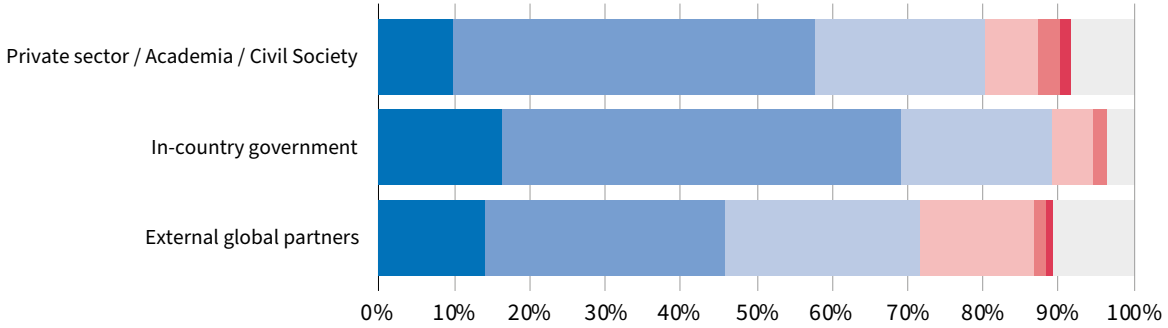
**SURVEY RESULTS**

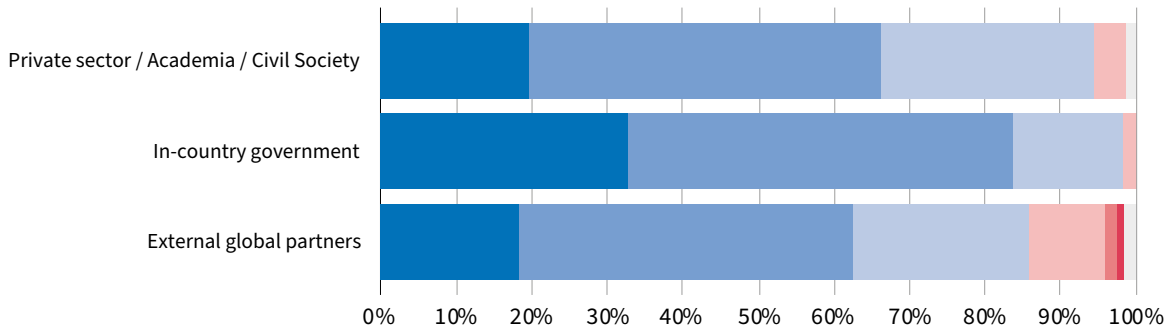
**Strategic management**



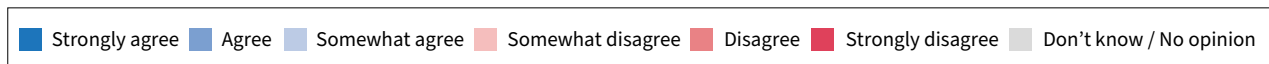
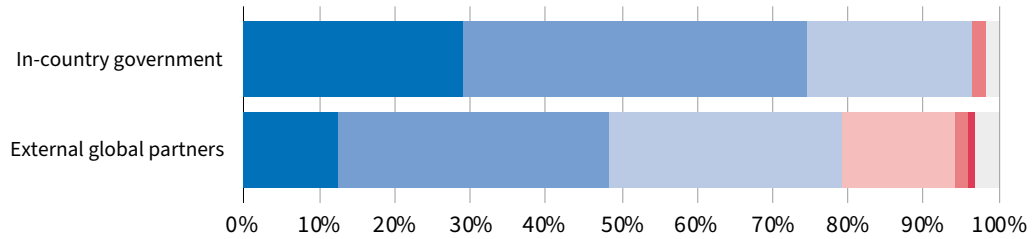
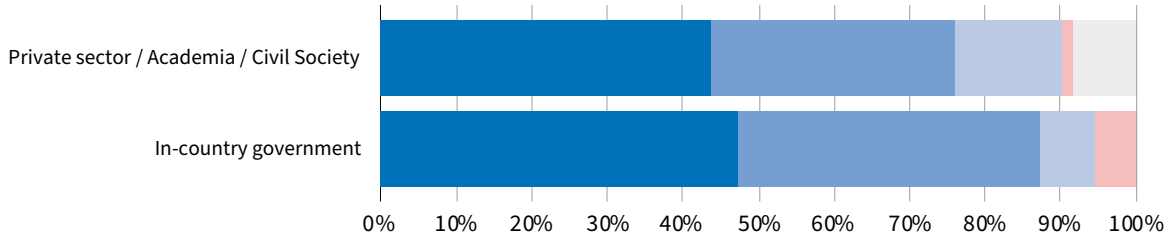
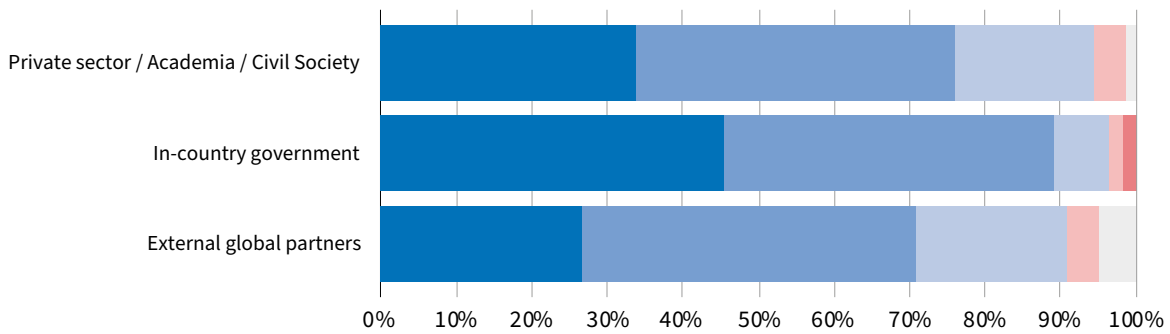


**Staffing**

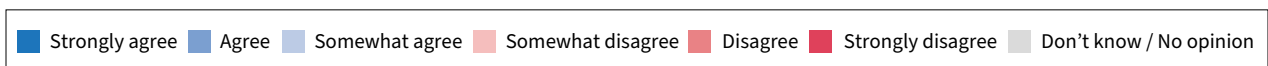
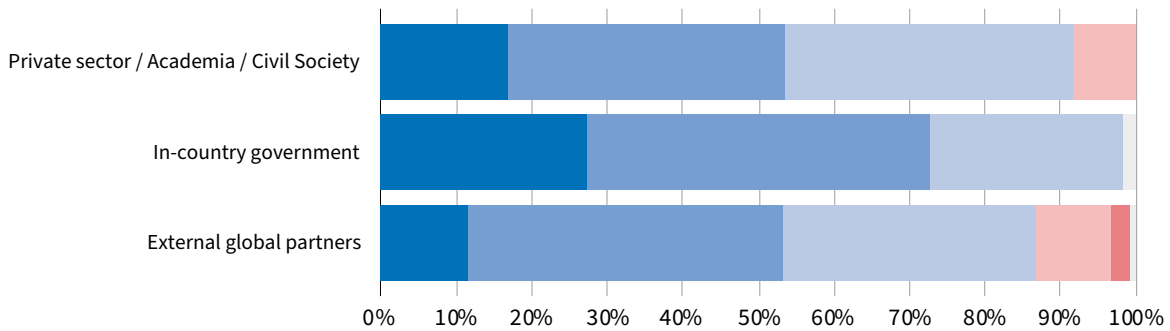
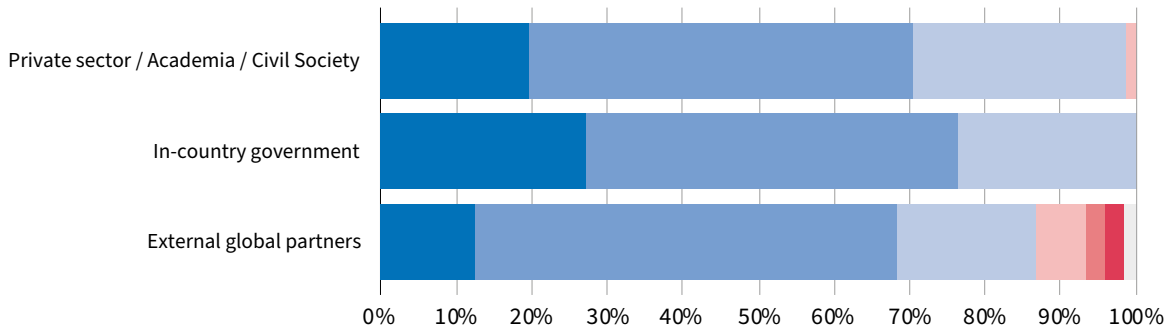
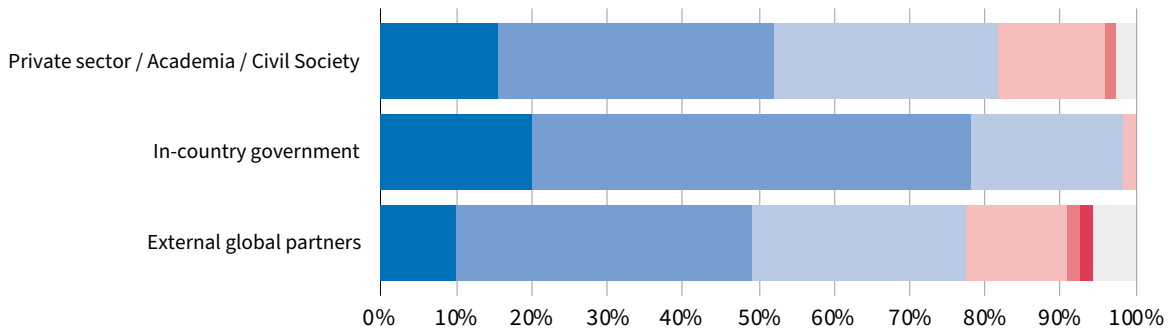
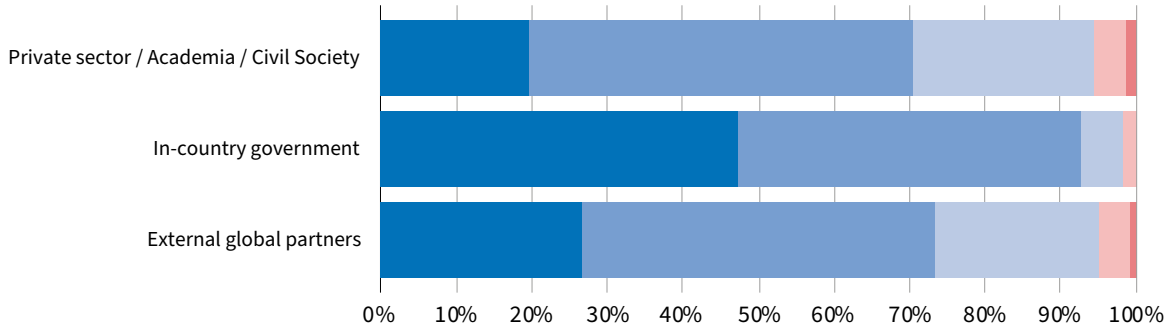


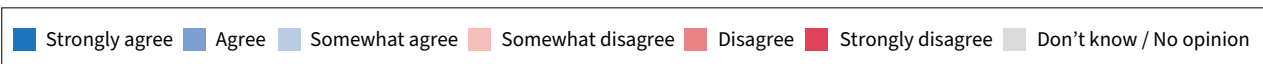
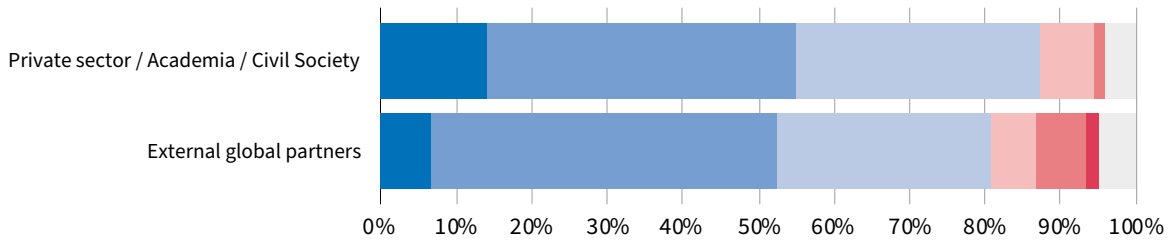
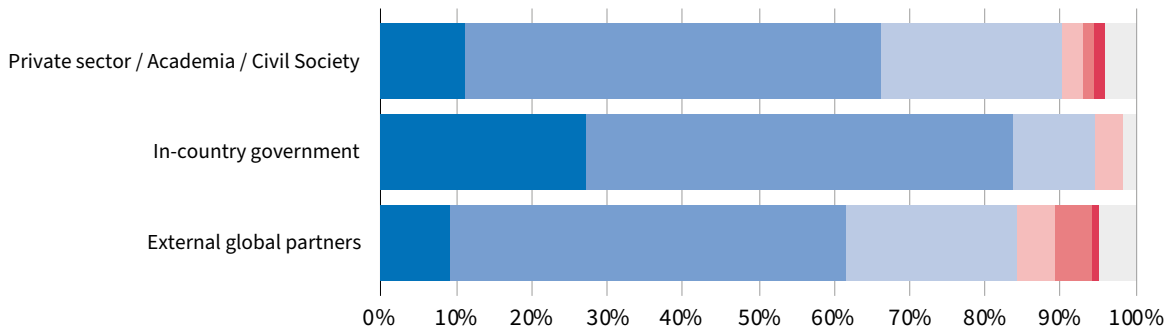
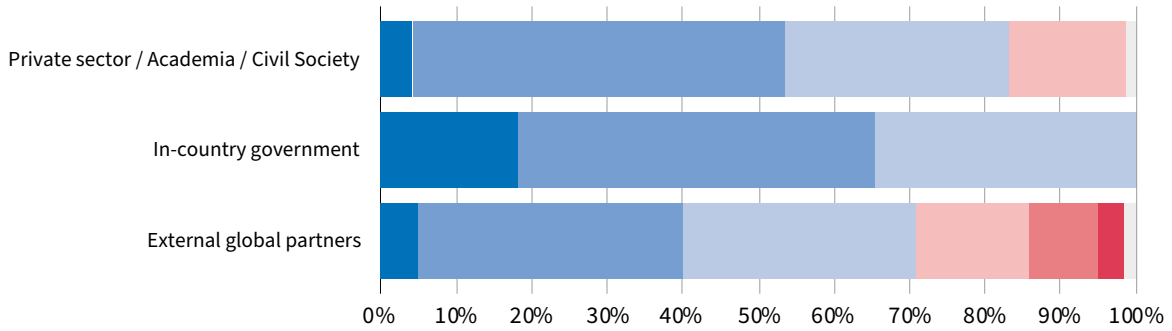


**Managing financial resources**



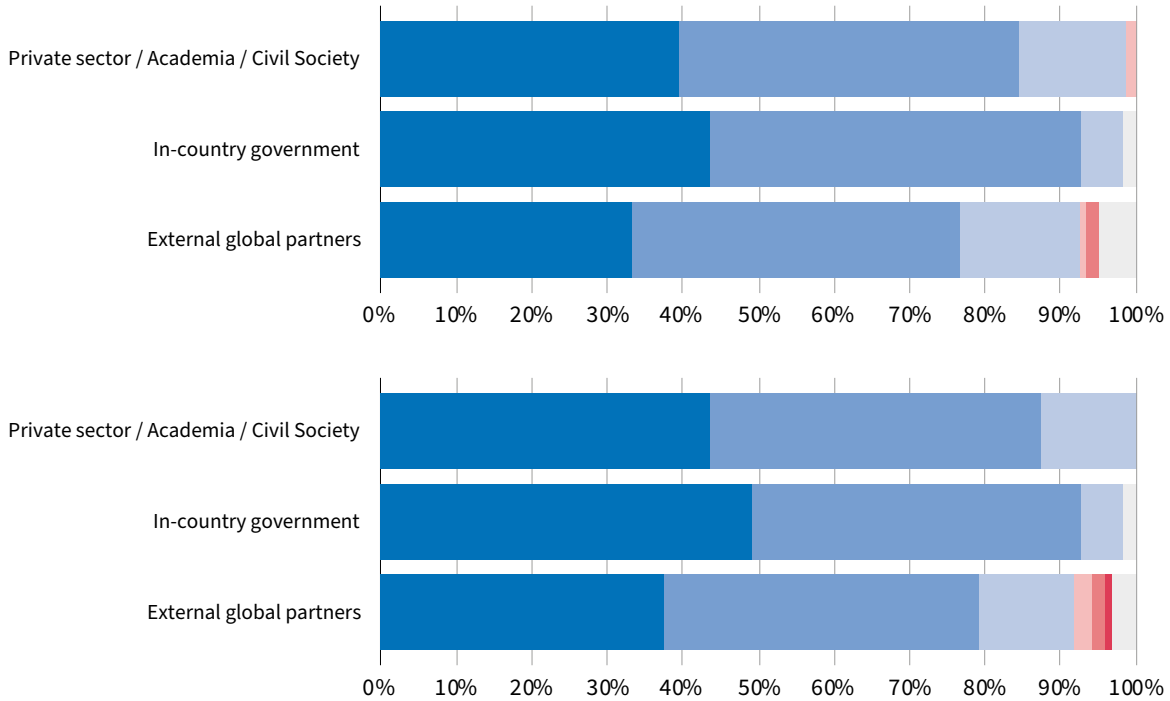
**Interventions**



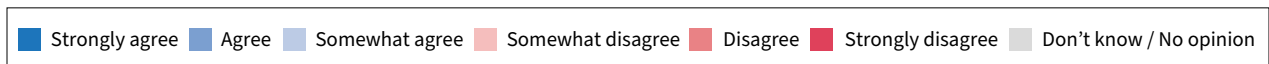
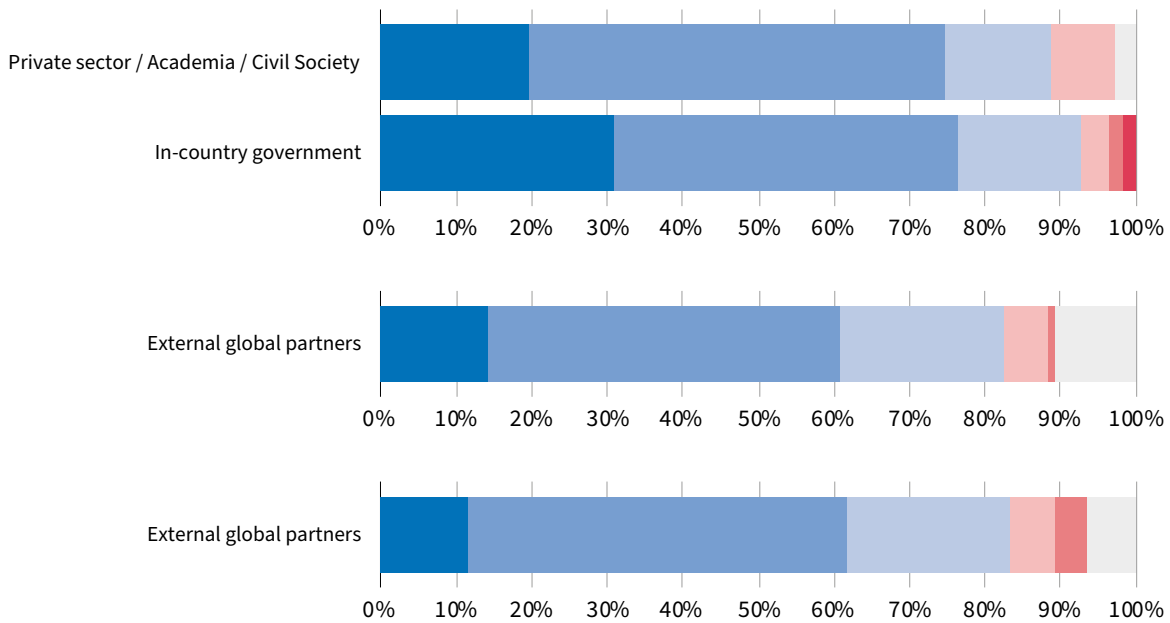


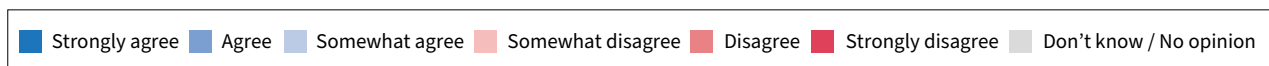
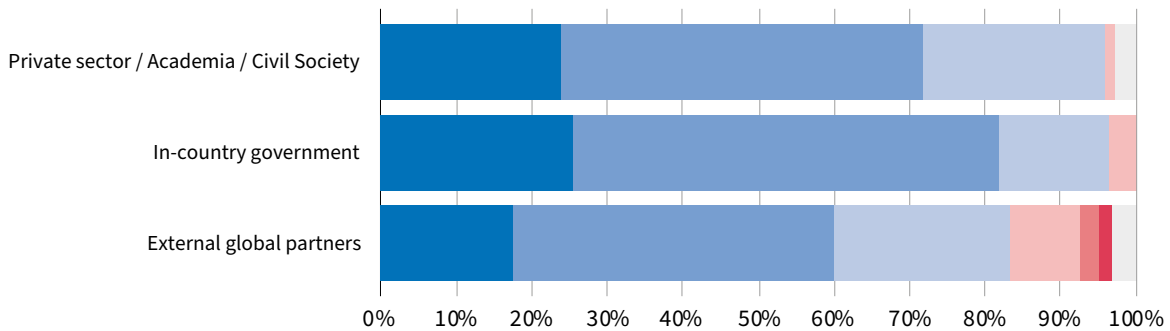
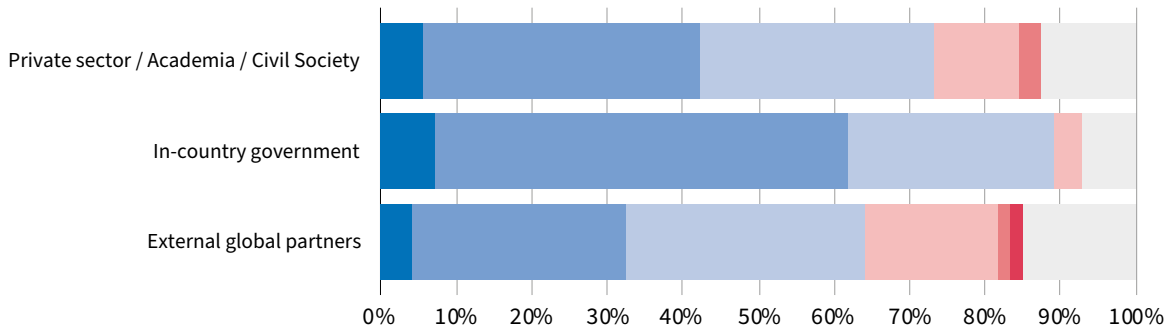
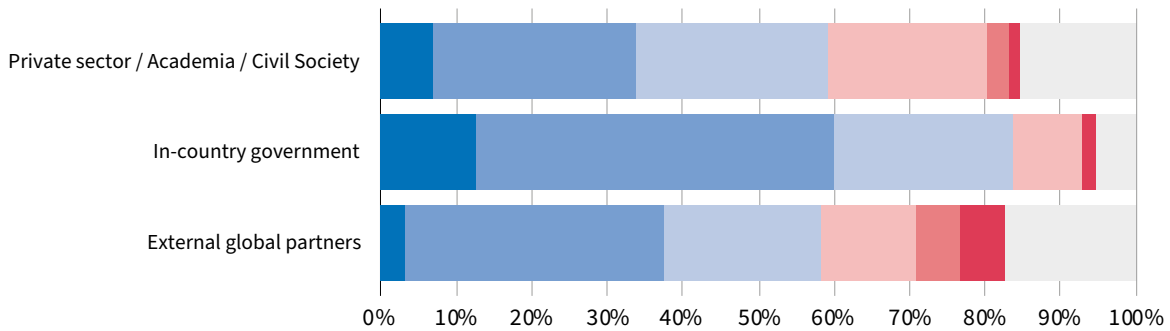
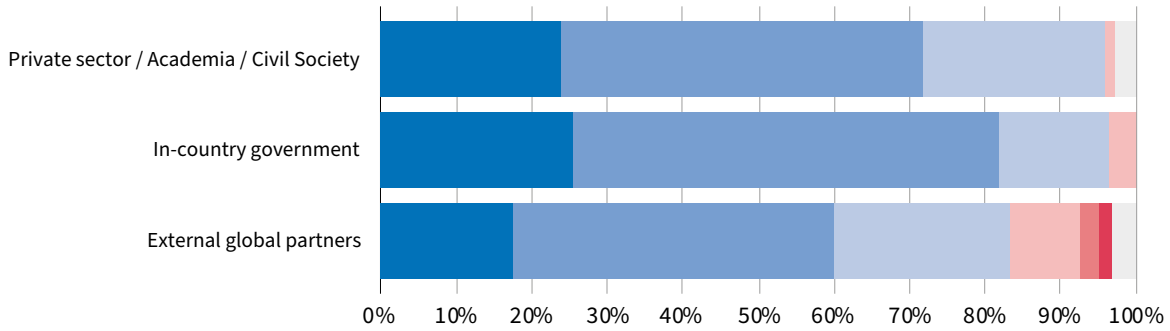


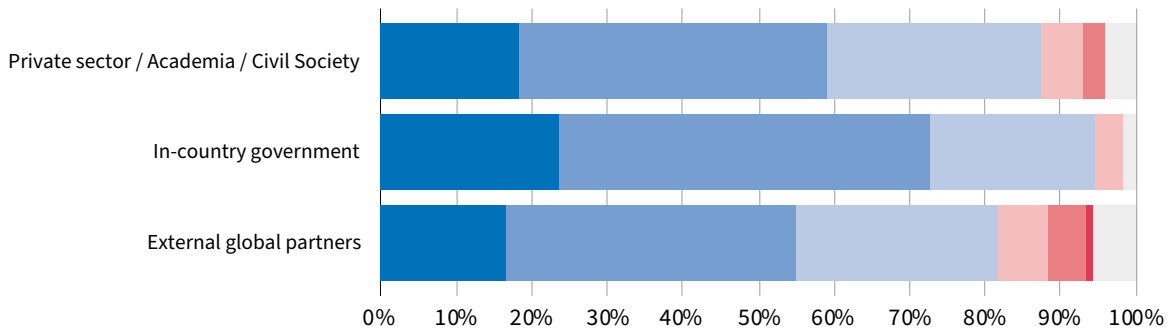
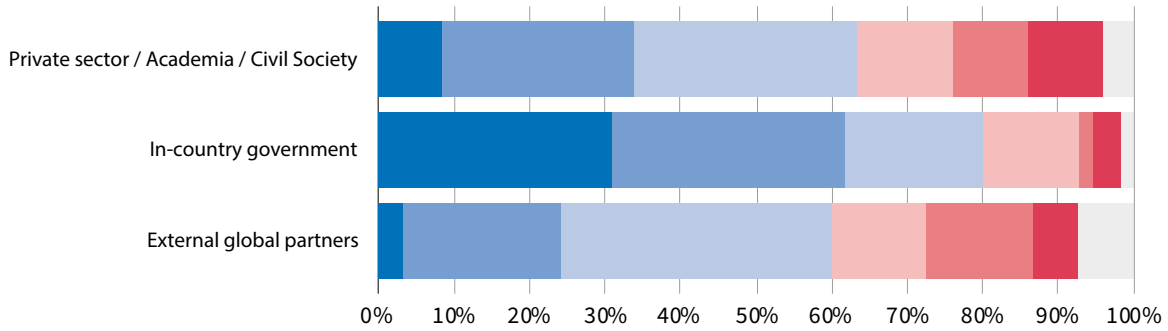
**Cross-cutting issues**



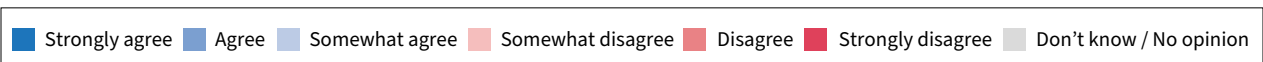
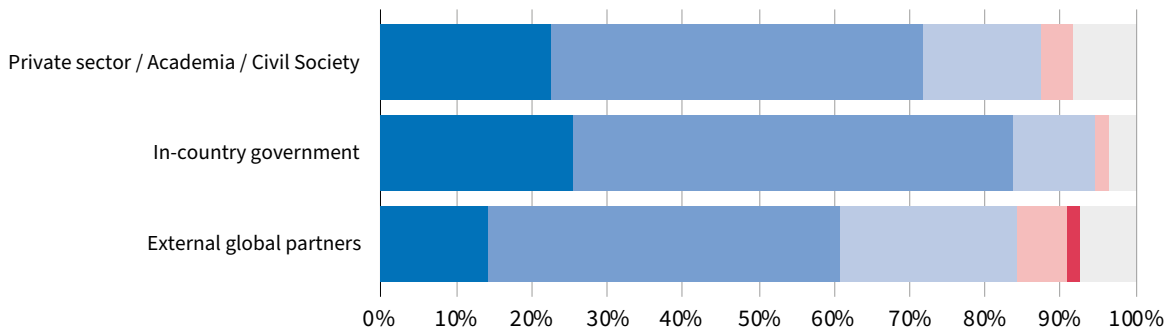
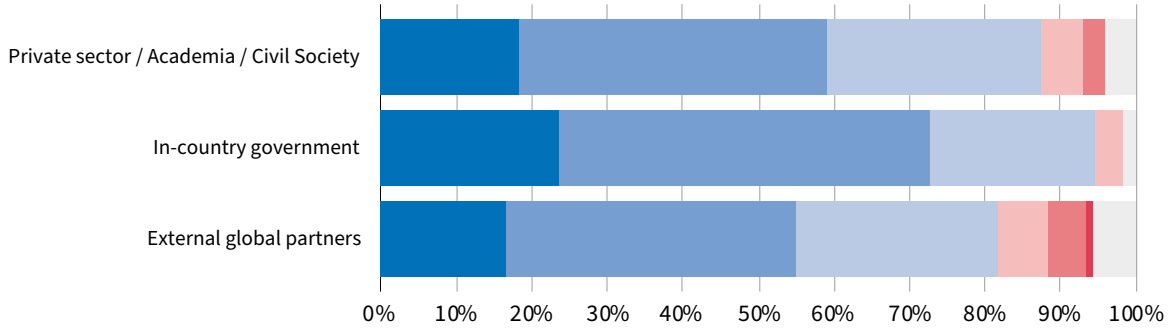
**Managing relationships**

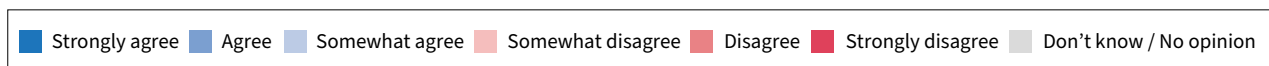
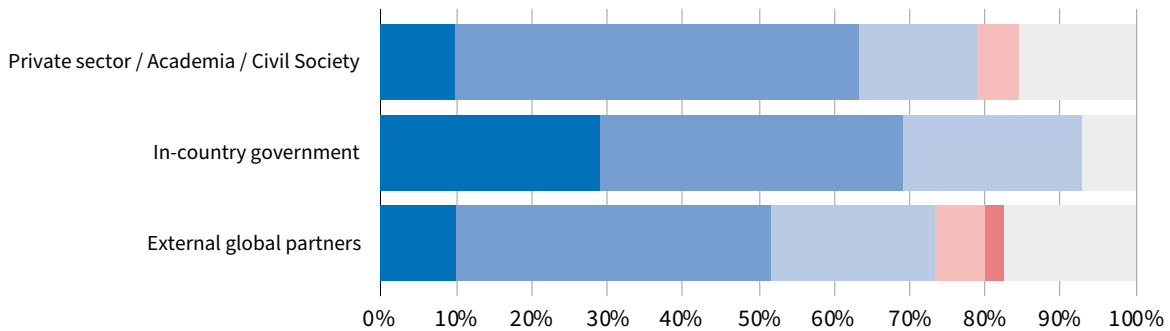
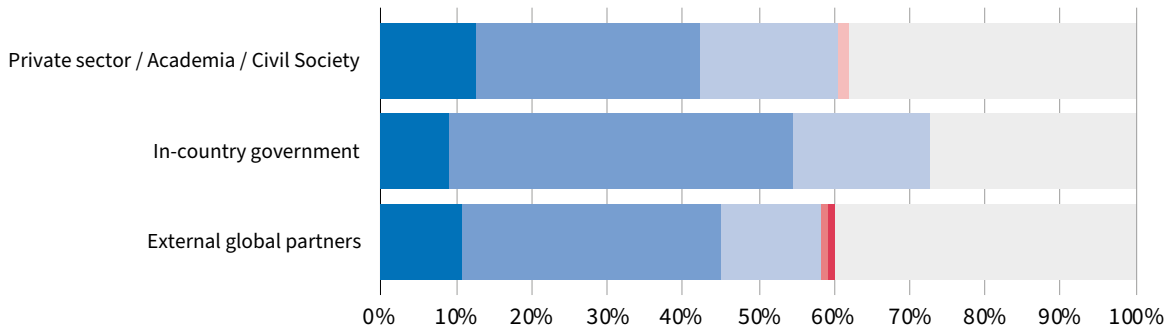
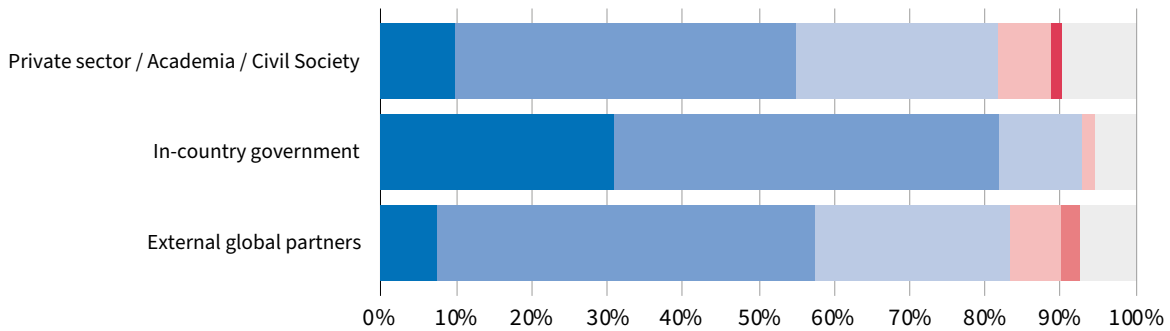
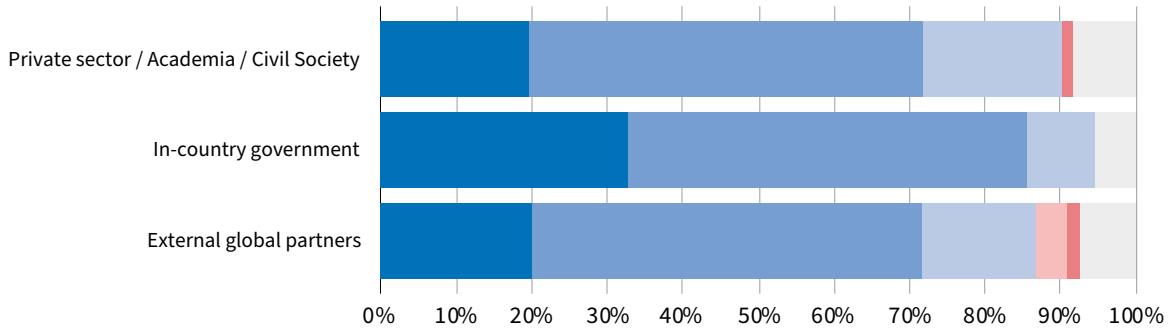


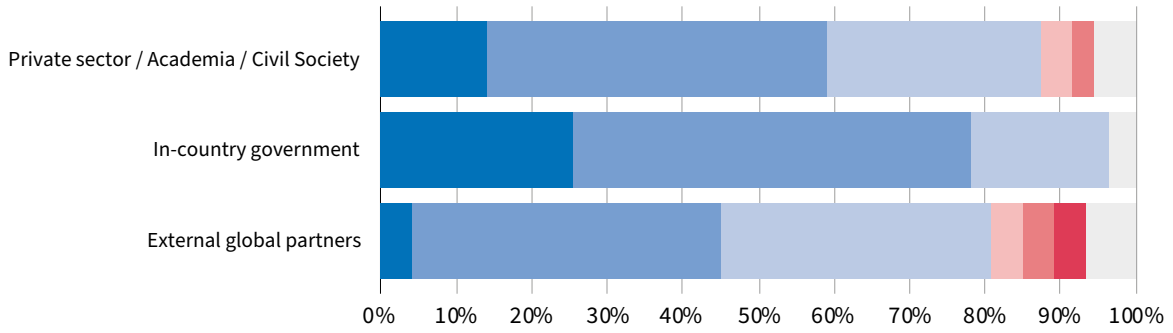




**Performance management**







Source: Based on responses to the MOPAN external partner survey: Global Fund, Oct 2021-Nov 2021.

