



MOPAN 2015-16 Assessments

Global Fund to Fight AIDS, Tuberculosis and Malaria (The Global Fund)

Institutional Assessment Report



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Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of donor countries with a common interest in assessing the effectiveness of multilateral organisations. Today, MOPAN is made up of 18 donor countries: Australia, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Luxembourg, The Netherlands, Norway, Republic of Korea, Spain, Sweden, Switzerland, the United States of America, and the United Kingdom. Together, they provide 95% of all development funding to multilateral organisations.

The mission of MOPAN is to support its members in assessing the effectiveness of the multilateral organisations that receive development and humanitarian funding. The Network's assessments are primarily intended to foster learning, and identify strengths and areas for improvement in the multilateral organisations. Ultimately, the aim is to improve the organisations' contribution to overall greater development and humanitarian results. To that end, MOPAN generates, collects, analyses and presents relevant information on the organisational and development effectiveness of multilateral organisations. This knowledge base is intended to contribute to organisational learning within and among multilateral organisations, their direct clients/ partners and other stakeholders. MOPAN members use the findings for discussions with the organisations and with their partners, and as ways to further build the organisations' capacity to be effective. Network members also use the findings of MOPAN assessments as an input for strategic decision-making about their ways of engaging with the organisations, and as an information source when undertaking individual reviews. One of MOPAN's goals is to reduce the need for bilateral assessments and lighten the burden for multilateral organisations. To that end, MOPAN members are closely involved in identifying which organisations to assess and in designing the scope and methodology of the assessments to ensure critical information needs are met.

MOPAN 3.0 — A reshaped assessment approach

MOPAN carries out assessments of multilateral organisations based on criteria agreed by MOPAN members. Its approach has evolved over the years. The 2015-16 cycle of assessments uses a new Methodology, MOPAN 3.0. The assessments are based on a review of documents of multilateral organisations, a survey of clients and partners in-country, and interviews and consultations at organisation headquarters and in regional offices. The assessments provide a snapshot of four dimensions of organisational effectiveness (strategic management, operational management, relationship management, and knowledge management), and also cover a fifth aspect, development effectiveness (results). Under MOPAN 3.0, the Network is assessing more organisations concurrently than previously, collecting data from more partner countries, and widening the range of organisations assessed. Due to the diversity of the organisations' mandates and structures, MOPAN does not compare or rank them.

MOPAN assessed 12 multilateral organisations in the 2015-16 cycle. These are: the African Development Bank (AfDB); GAVI; the Global Fund to Fight Aids, Tuberculosis and Malaria (The Global Fund), the Inter-American Development Bank (IDB), the International Labour Organization (ILO), the Joint United Nations Programme on HIV/AIDS (UNAIDS), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), UN-HABITAT, the United Nations Children's Fund (UNICEF), the United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA), and the World Bank.

Acknowledgements

We would like to thank all participants in the MOPAN 2015-16 assessment of the Global Fund. The Global Fund's senior management and staff made valuable contributions throughout the assessment, in particular in relation to the document review and headquarters interview processes, and they provided lists of their direct partners and cosponsors to be surveyed. Survey respondents contributed useful insights and time to respond to the survey. The MOPAN Institutional Lead, the United States of America, represented MOPAN in this assessment, liaising with the Global Fund throughout the assessment and reporting process. MOPAN members provided the MOPAN Country Facilitators, who oversaw the process in the partner countries where the survey took place.

Roles of authors and the MOPAN Secretariat

The MOPAN Secretariat, led by Björn Gillsäter (until early May 2016) and Chantal Verger (since then), worked in close cooperation with the MOPAN Technical Working Group and IOD PARC on all methodological aspects. Together they developed the Key Performance Indicators (KPIs) and Micro-indicators (MIs), designed the survey and its methodology and defined the approach to the document review. The MOPAN Secretariat drew up lists of survey respondents with the help of MOPAN members and the multilateral organisations being assessed, and approved the final survey questionnaire. IOD PARC carried out the survey partnering with Ipsos mori, and analysed it. IOD PARC also carried out the document review, undertook the interviews, analysed the data and drafted the reports. The MOPAN Secretariat oversaw the design, structure, tone, and content of the reports, liaising with MOPAN's Institutional Leads and the focal points of the multilateral organisations. Chantal Verger from the MOPAN Secretariat provided the oversight for this Global Fund report.

IOD PARC is an independent consultancy company specialising on performance assessment and managing change in the field of international development. Through this blended expertise IOD PARC helps organisations, partnerships and networks identify the needs, chart the journey and deliver improved performance to achieve greater impact.

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Acronyms and abbreviations

AIDS	Acquired immunodeficiency syndrome
AIM	Accelerated integrated management
ARV	Anti-retroviral
CAT	Capacity Assessment Tool
CCM	Country Coordinating Mechanism
COE	Challenging operating environment
CRG	Community, rights and gender
DfID	Department for International Development (UK)
Gavi	The Vaccine Alliance
Global Fund	The Global Fund to Fight AIDS, Tuberculosis and Malaria
HIV	Human immunodeficiency virus
HR	Human resources
ITP	Implementing Through Partnerships
KPI	Key Performance Indicator
LFA	Local funding agent
MDG	Millennium Development Goal
MI	Micro-indicator
MOPAN	Multilateral Organisation Performance Assessment Network
MoU	Memorandum of understanding
MSM	Men who have sex with men
M&E	Monitoring and evaluation
NFM	New funding model
NGO	Non-governmental organisation
OIG	Office of the Inspector General
ORC	Operational Risk Committee
PMU	Project management unit
PPM	Pooled -procurement mechanism
QCPR	Quadrennial Comprehensive Policy Review
QUART	Qualitative Risk Assessment, Action Planning and Tracking
RBM	Results-based management
SAGE	Strategic Actions for Gender Equality
SDG	Sustainable Development Goal
SRH	Sexual reproductive health
TB	Tuberculosis
TERG	Technical Evaluation Reference Group
TRP	Technical review panel
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WHO	World Health Organization

Executive summary

The 2015-16 MOPAN 3.0 assessment of the Global Fund to fight AIDS, Tuberculosis and Malaria, and specifically its Secretariat, covers the period from 2014 to mid-2016. Applying the MOPAN 3.0 methodology, the assessment considers organisational systems, practices and behaviours, as well as the results the Global Fund achieves. The assessment considers five performance areas: four relate to organisational effectiveness (strategic management, operational management, relationship management and performance management) and the fifth relates to development effectiveness (results). It assesses the Global Fund's performance against a framework of key indicators and associated micro-indicators that comprise the standards that characterise an effective multilateral organisation, and gives an overall view on its performance trajectory. This is the first MOPAN assessment of the Global Fund.

Context

GLOBAL FUND

- It is a financing institution to help countries defeat AIDS, tuberculosis and malaria, which in 2000 were killing 4 million people a year
- It is accountable to its Board, which comprises members from donor and implementer governments, NGOs, the private sector, foundations and communities
- It is funded through donor contributions for three-year replenishment periods, with 5% of funding from the private sector
- It runs its operations through a centrally based Secretariat. Beneficiary countries, through their country coordinating mechanisms, apply to the Secretariat for grants. Currently there are 446 active grants with projects implemented by organisations on the ground
- Its Secretariat has undergone extensive restructuring, including the introduction of a new funding model in 2012 to improve alignment with countries and increase efficiency of delivery.

Organisation at a glance

- Established in 2002
- Annual disbursements: USD 2.5 -4.6 billion
- Last three-year replenishment conference raised USD 13 billion
- Active in over 100 countries
- Over 700 staff
- Operates through Secretariat in Geneva

Overall performance

The 2016 MOPAN 3.0 assessment finds that the Global Fund provides strong global leadership for the response to HIV and AIDS, tuberculosis and malaria. While this assessment reveals some areas where performance could be strengthened and improved, the overall conclusion is that the Global Fund fully meets the requirements of an effective multilateral organisation. It is fit for purpose and able to adapt to future needs.

The Global Fund's internal restructuring and adoption of the new funding model strengthened its performance. Its focus on results-based planning, management and reporting are driving efforts to improve country-level data. Its increasing emphasis on health systems strengthening, coupled with its existing strengths in strategic and operational management, should continue to increase the impact of its investments.

The Global Fund delivers its support through structures over whom it has limited influence, and which at times suffer from weak capability, particularly in the case of Country Coordinating Mechanisms. It has

systems to assess partners' capacity within country level structures and increasingly seeks to build their capacity. The Global Fund is a learning organisation, and staff have a reputation for delivering pragmatic solutions. Innovation is valued.

The new funding model focuses financial resources where the disease burden is highest. Absorptive capacity at the country level is factored into The Global Fund's spending models and resources are generally disbursed as planned. The Global Fund builds effective partnerships, and has built innovative partnerships with the private sector both globally and in developing countries. The Global Fund is an effective multilateral organisation that makes an important contribution to global health. Investments are estimated to have saved around 22 million lives; AIDS, tuberculosis and malaria deaths have declined by more than one-third since 2002. The Global Fund's commitment to tight organisational alignment with strategy means the Secretariat is used to working flexibly in a changing environment. However, there is room for improvement, particularly in the areas of evidence-based results measurement, and specifically in the area of health systems strengthening.

Key strengths and areas for improvement

Key strengths

- **Clear strategic direction** and a proactive approach to innovation and change. Staff is encouraged to **innovate** and propose solutions
- Significant **organisational restructuring** made in direct response to partner identified operational challenges
- **Improved risk management, human resources and results-based budgeting** all well aligned to strategy within a low operational budget
- **Vibrant and effective partnerships.** The Global Fund engages with civil society as a key lever of influence in country programmes and leverages private sector skills to address operational gaps
- **Commitment to practical implementation of results-based management.** Comprehensive and detailed results reporting showing **improved outcomes** for the three diseases
- Initiatives to address **data quality** and quantity gaps to track outcomes.

Areas for improvement

- Ensuring sufficient staff to cover the **integration of cross-cutting issues** into business practices, and for the adequate support of country processes
- Consideration of the **ability of recipient countries to prioritise health system strengthening**; more explicit attention to building sustainability into design of health system strengthening interventions and careful tracking of results of health systems strengthening interventions
- Incorporating **impact measures for cross-cutting issues** into accountability systems including corporate reporting and evaluation; particularly for the interests of key populations
- **Capacity analysis** at the country level, particularly when intending to scale up intervention
- Monitoring the speed of **administrative processes** at all stages of grant implementation
- Improving the documentation flow and learning impact (internally and externally) from a systematic and quality assured set of **evaluation** activities
- **Strengthening results management and organisational learning** through a formal system to identify and address poorly performing interventions.



INTRODUCTION



1.1 The Global Fund to Fight AIDS, Tuberculosis and Malaria

Mission and mandate

The Global Fund to Fight AIDS, Tuberculosis and Malaria was founded in 2002 with the mission of directing resources to countries to support their response to these three diseases. It is a partnership between governments, civil society, the private sector and people affected by the diseases. As a financing institution, the Global Fund does not implement programmes on the ground. Instead, it raises and invests funds, currently almost USD 4 billion a year, to support programmes which are managed by experts on the ground in affected countries and communities.

The Global Fund's principles are as follows:

- Partnership
- Country ownership
- Performance-based funding
- Transparency

Governance

The Global Fund is managed by a Board, which determines strategy, governs the institution and approves funding decisions. The Board is made up of members from donor and implementing governments, NGOs, the private sector, private foundations and affected communities.

The Global Fund Secretariat is headed by an Executive Director and is responsible for day-to-day operations as well as implementing Global Fund strategies and policies, providing support to implementers, fundraising, and managing relationships with donors.

Each implementing country creates a national committee, or Country Coordinating Mechanism, to submit funding requests on behalf of the country as a whole and to oversee implementation once funding is received.

Global Fund oversight and assurance is provided by the Office of the Inspector General, an independent body that reports directly to the Board. Its mandate is to ensure the Global Fund invests in the most effective way possible and to safeguard funds.

Organisational structure

The Global Fund is headquartered in Geneva, with its entire staff of around 700 employees based at this location. It has no additional offices elsewhere. The Global Fund was established as a Swiss foundation in 2002 and Switzerland granted it status comparable to that of UN organisations through the 2004 Headquarters Agreement.

Strategy and services

The Global Fund's strategy sets out priorities for how it can accelerate progress against HIV, tuberculosis and malaria and improve global health. It includes ambitious goals and targets to measure progress.

In 2016 the Board approved the organisation's strategy for the period 2017-22, *"Investing to End Epidemics"*. This strategy is based on a framework of four objectives:

- Maximise impact against HIV, tuberculosis and malaria
- Build resilient and sustainable systems for health
- Promote and protect human rights and gender equality
- Mobilise increased resources.

The “Investing to End Epidemics” strategy builds on The Global Fund’s strategy for the 2012-16 period *“Investing for Impact”*.

Finances

The Global Fund began an allocation-based funding system in early 2014 to replace its previous ‘rounds-based’ system. In the rounds-based system countries were invited to submit proposals for a particular round within a set timeframe. The timing of rounds was set by the Global Fund and varied significantly; countries were not guided in terms of how much money was available, making the process difficult and unpredictable. The allocation methodology represented a significant shift in how the Global Fund sought to invest funds for impact. An allocation is determined at the beginning of a three-year cycle to provide implementing partners with predictable funding and flexible timing. As a result of this change, funding has significantly increased for ‘high-disease burden’ and low-income countries, as well as a slight increase for middle-income countries.

In the 2014-2016 three-year cycle, pledges amounted to USD 12.23 billion. Donor governments have contributed 94% of The Global Fund’s grant investments to date.

Organisational change initiatives

The Global Fund has undertaken significant organisational change, with an emphasis on enhancing the effectiveness and efficiency of the Secretariat. The Global Fund’s 2015 Strategic Review found that while improvements to the operating model had been made, greater clarity and direction for prioritisation were still needed, and that concerns surrounding the undifferentiated funding model needed to be addressed.

The Global Fund’s new funding model, introduced in 2014, has altered the manner in which the fund works. An independent review praised the new funding model for its strategic approach to resources mobilisation. The grant application process for countries is significantly changed to require the Country Coordinating Mechanism (CCM) to consult with all significant stakeholders – i.e. all those with an interest in improving access to health services in relation to the three diseases – in compiling its concept note, which is the evidence-based rationale underpinning the grant proposal. Challenges remain in diversifying The Global Fund’s funding base to incorporate the private sector and new economies.

1.2 The assessment process

Assessment framework

This MOPAN 3.0 assessment covers the period from 2014 to mid-2016. It addresses organisational systems, practices and behaviours, as well as results achieved during the relevant period of the 2012-16 strategic plan. The assessment focuses on five performance areas. The first four performance areas relating to organisational effectiveness, each have two Key Performance Indicators (KPIs). The fifth performance area (results), relating to development effectiveness, is comprised of four KPIs.

Each KPI is based on a set of micro-indicators (MIs) that, when combined, enable assessment against the relevant KPI. The full set of KPIs and MIs is available in Annex 1.

Table 1: Performance Areas and Key Performance Indicators

Performance Area	KPI
Strategic Management	KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels
Operational Management	KPI 3: Operating model and human/financial resources support relevance and agility KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability
Relationship Management	KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships). KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources.
Performance Management	KPI 7: Strong and transparent results focus, explicitly geared to function KPI 8: Evidence-based planning and programming applied
Results	KPI 9: Achievement of development and humanitarian objectives and results – e.g. at the institutional/corporate-wide level and regional/country level, with results contributing to normative and cross-cutting goals. KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries. KPI 11: Results delivered efficiently KPI 12: Sustainability of results

The Global Fund's specific role as a global fund for health means that MOPAN's Key Performance Indicators and micro-indicators have been interpreted as appropriate for this assessment. In particular, the organisation's role as a financing institution has been emphasised within the assessment process.

Lines of evidence

Four lines of evidence have been used in the assessment: a document review, a survey, interviews and consultations. These evidence lines have been collected and analysed in a sequenced approach, with each layer of evidence generated through the sequential assessment process, informed by, and building on, the previous one. See Annex 2 for a list of documents analysed as part of the Global Fund assessment and Annex 3 for a process map of the assessment. The full methodology for the MOPAN 3.0 assessment process is available at <http://www.mopanonline.org/ourwork/ourapproachmopan30/>.

The following sequence was applied:

- The assessment began with the collection and analysis of 113 documents. These included three independent evaluations.
- An interim version of the document review was shared with the Global Fund. It set out the data extracted against the indicator framework and recorded an assessment of confidence in the evidence for each of the micro indicators. The Global Fund provided feedback and further documentation to enable finalisation of the document review, which was completed in September 2016.
- An online survey was conducted to gather both perception data and an understanding of practice from a diverse set of well-informed partners of the Global Fund. The survey generated a total of 56 responses drawn from 14 countries (Afghanistan, Burkina Faso, Haiti, India, Iraq, Liberia, Moldova, Mozambique, Nepal, Nigeria, Solomon Islands, Somalia, Tajikistan, Vietnam), including from donor and national government representatives and international and national NGOs. An analysis of both the quantitative and qualitative data has informed the assessment. Annex 4 presents the results of the Partner Survey.

- Interviews and consultations were carried out at the Global Fund headquarters in Geneva with 32 members of the Global Fund staff, ensuring coverage of all of the main parts of the organisation. The interviews were conducted in a semi-structured way, guided by the findings and evidence confidence levels of the interim document review.
- Discussions were held with the Institutional Lead of the MOPAN 3.0 Global Fund assessment, as part of the analytical process, to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

Analysis took place against the MOPAN 3.0 scoring and rating system, which assessed data from all evidence lines combined. These scores and the evidence that underpins them form the basis for this report. Annex 1 presents the detailed scoring and rating system as applied to the Global Fund.

The main limitations of the report are the limited documented evidence – in particular from independent reviews/ evaluations – on the extent to which changes being actively implemented within the strategic plan period of 2012-16 are having the intended effect on organisational practice, and on the results of the Global Fund. The assessment report itself therefore represents only a snapshot view of the Global Fund at a particular moment in time.

1.3 Structure of the report

This report has three sections. Section 1, introduces the Global Fund and the MOPAN 3.0 assessment process. Section 2 presents the main findings of the assessment in relation to each performance area. Section 3 presents the conclusions of the assessment.



2. ASSESSMENT OF PERFORMANCE

2.1 ORGANISATIONAL EFFECTIVENESS

PERFORMANCE AREA: STRATEGIC MANAGEMENT

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

Strategic management: The Global Fund has a clear strategic direction and has focused on building an effective and skilled organisation and financial framework that support mandate implementation. The organisation ensures transparent and direct strategic and financial management as part of continuous improvement of internal systems. Its strategy is extensively re-evaluated. This has led to significant changes including the design and implementation of the new funding model, which emphasises alignment with country priorities, as well as the ongoing refinement of processes that support work in challenging operating environments. Appropriate structures are in place that enable an effective focus on cross-cutting issues, although at this stage the organisation has yet to place any focus on environmental sustainability. Part of the internal change focus has included improving staff knowledge and ability to support gender issues, good governance, human rights and health systems access for key populations.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 1: Organisational architecture and financial framework enables mandate implementation and achievement of expected results

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels

KPI 1: Organisational architecture and financial framework enable mandate implementation and achieve expected results

The Global Fund's performance against this KPI is rated as **highly satisfactory**.

A clear long-term vision, aligned to normative frameworks: The Global Fund's current 2012-16 strategy, *"Investing for Impact"*, is based on a clear long-term vision geared to the achievement of the Millennium Development Goals. The 2017-22 strategy, *"Investing to End Epidemics"*, approved in July 2016, contains a clear vision statement for *"a world free of the burden of AIDS, tuberculosis and malaria, with better health for all"*. It also restates the original mission, which is *"to attract, leverage and invest additional resources to end the epidemics of HIV, tuberculosis and malaria and to support attainment of the Sustainable Development Goals"*.

The strategic plan is explicitly aligned and closely geared to international normative frameworks such as the Sustainable Development Goals (SDGs) and the Stop TB and Roll Back Malaria partnerships. The Global Fund's goals and targets fit within SDG 3 that seeks to *"ensure healthy lives and promote well-being for all at all ages"*, and are aligned with the target of ending the epidemics by 2030. Quadrennial Comprehensive Policy Review elements are also closely linked to the strategic plan, such as the need to build capacity in recipient countries and the need to ensure gender equality in Global Fund grant implementation. Health systems strengthening work attempts to address implementation of normative frameworks within countries. In particular, the Global Fund draws on the protocols and guidance produced by the specialist

UN agencies such as the World Health Organization and the Vaccine Alliance (Gavi) to ensure compliance with international norms and standards.

A consultative process: Global Fund strategies are formulated through a consultative process. The 2012-16 and 2017-22 strategic plans contain implicit analysis of the Global Fund's comparative advantage, referring to: its market position; role as a financing instrument; ability to leverage, performance-based funding; and its track record in combating the three diseases. The shifts from the 2012-16 to the 2017-22 strategies indicate that the Global Fund takes account of partner inputs and ensures its ongoing relevance. This strategic orientation is bolstered by a governance structure that engages actively with Secretariat management and, notably for a multilateral agency, includes civil society representation at the table with an equal voice and equal voting rights.

An important recent step has been building the Global Fund's ability to work in challenging operating environments, and increasing the focus on key populations.

Organisation reform for improved effectiveness: Significant organisational reform in 2012 aligned structures, roles and responsibilities with the strategy. The 2015 Strategic Review recorded improved Board communication, increased Secretariat support to countries and better deployment of funds. It also noted some areas for improvement. These included: greater differentiation in the application and reporting requirements for large and smaller grants; improved sustainability planning; greater responsiveness to health needs in challenging operating environments; and greater engagement with human rights frameworks. The 2017-22 strategy reflects improvements in all these areas, and supporting policies are in place. Management reports to the Board on implementation of the strategy, and the Technical Evaluation Reference Group (TERG) looks at progress and does regular reviews.

The internal culture being built is one of innovation, and the Secretariat is geared to working in multi-dimensional teams, with staff moving between teams and projects to ensure that the appropriate skills sets gather to implement new approaches to delivery. There is strong evidence of effective and innovative collaborative working in the field, particularly in challenging operating environments like Somalia, Central African Republic and Liberia.

A financial model appropriate for a financing institution: The Global Fund's financial framework is aligned to its operating model as a financing institution. Operating costs are capped at USD 300 million. The Secretariat has reported operations budgets coming in below this ceiling, and aims to maintain this. All donor funding is placed into the Global Fund's central fund without conditions. Replenishment rounds take place every three years. A new funding model was introduced in 2014 that emphasises alignment with country schedules, context and priorities; prioritises countries with the highest disease burden and lowest ability to pay; introduces greater simplicity and predictability; and builds in incentives for accountability. Grant management staff work closely with the proposal process to ensure that national priority areas are targeted and realistic goals are set. A country survey reported extremely positively about the new funding model applications process. All countries receiving grants must show that they meet a minimum spending threshold from their own funds, and that they plan to increase this annually. Countries must also commit to annual reporting on disease and health sector expenditure data. The final 15% (for the 2014-2016 allocation and 15% and more for future allocations) of the country allocation only becomes available when the country commits more of its own funds to national disease programmes or related health sector programmes supported by the Global Fund. This applies to all countries, but the amount committed depends on their ability to pay. The Secretariat reported, however, that it is difficult to accurately monitor the country spending that releases the final agreed percentage allocation.

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues

The Global Fund's performance against this KPI is rated as **satisfactory**.

A strategic plan which encompasses gender, human rights and key and vulnerable populations: The 2017-22 strategic plan focuses on these three key areas, and emphasises the introduction and scaling up of programmes that remove human rights barriers to accessing HIV, tuberculosis and malaria services. However, barriers to scaling up programmes, and being able to monitor these increased activities, are data availability and quality. Initiatives to improve country-level data quality and quantity are currently addressing this gap, and the Global Fund will support 15-20 countries to scale up such programmes. The 2015 Strategic Review also identified concerns about the lack of both data and targeted programmes in concept notes, despite evidence of concentrated epidemics among key and vulnerable populations. Working with partners and within the key focus areas, the Global Fund aims to reduce inequality and build inclusive societies through strengthening community participation, giving priority to the most affected countries and communities, and working to eliminate stigma and discrimination.

Gender: The engagement of the Global Fund on gender equality has become clearer with a Gender Equality (GES) Action Plan that was approved in 2014. This Action Plan demonstrates how the 2008 Gender Equality Strategy will roll out and in doing so address the strategic objective in the new 2017-22 strategic plan to “*promote and protect human rights and gender equality*”. The GES is a multi-year operationalisation plan across 15-20 countries, that focuses particularly on addressing barriers to human rights. The Global Fund plans to monitor and evaluate this plan, and set indicators to confirm significant change. However, a rapid review of results, gaps and lessons from strategies and action plans on gender and key populations found that gender required further definition as a term.

The Board has allocated USD 15 million for technical assistance on community, rights and gender (CRG); this amount was drawn from a special initiatives fund of USD 100 million aimed at supporting civil society and community engagement in community dialogue and concept note processes to ensure inclusion of HIV, key population and gender issues. Catalytic funding of USD 800 million for the next period (2017 - 2022) includes strategic initiatives, matching funds, and multi country grants that will provide continued funds for the CRG strategic initiatives; matching funds for human rights, AGYW (adolescent girls and young women) and key populations programs, among other things. The Strategic Actions for Gender Equality (SAGE) project, which is championed by the Executive Director, also focuses on mainstreaming gender internally across the Global Fund to support concept note development and grant management.

Secretariat resources, however, are insufficient given the scope of the challenges posed by cross-cutting issues. Significant shifts in Global Fund policy have not always translated into gender-focused programme proposals with allocated costs. For example, the 2015 Strategic Review and the Technical Review Panel (TRP) found gender analysis in concept notes to be weak and translated poorly into interventions and budgets. As a result, the TRP has asked the Secretariat to provide guidance on how to operationalise gender-focused interventions. External partners' awareness of the Global Fund's approach to gender issues is uneven, indicating that the strategy is not yet embedded.

Good governance: Principles of good governance are valued and implemented within the Global Fund, even if they are not explicitly framed as such. Various documents identify good governance as an essential strategic enabler, particularly for periods beyond grant implementation. Country Coordinating Mechanisms and Principal Recipients, which are the structures for programme accountability and delivery, are assessed at various points for functionality including the aspect of governance. Good governance is also required in the process of transitioning countries from grant recipient status. Secretariat engagement here includes providing support to build sustainable systems and governance for the transitioning country's

health systems. The Global Fund provides grants to 47 countries categorised as fragile (USD 1.4 billion in 2016), and addresses governance challenges through its Challenging Operating Environments Policy. The differentiation process has included staff capacity building on governance issues.

Key populations and human rights: The Global Fund has committed to “*continue to champion meaningful engagement of key and vulnerable populations, setting an example of the standard for engagement in health governance*”. Key populations are those who experience a high epidemiological impact from one of the diseases, reduced access to services (compared to the rest of the population), and/or being criminalised or otherwise marginalised. The *Key Populations Action Plan 2014-2017* details safeguards to ensure prioritised and strategic investments; the Corporate Performance Framework measures the availability of population size estimates; and the Eligibility Policy specifies evidence-based interventions that address human rights and gender-related barriers as well as under-served and key and vulnerable populations.

Two high-level reviews found that the Global Fund tends to conflate human rights with the programmatic needs of key populations in practice, and that investments in key populations remain low. In this regard, the Partnership Forum of 2015 highlighted the restricted funding available for key populations. This is despite the Global Fund’s strong intent and a range of deliberate actions it has taken. The two reviews tasked the Secretariat with improving Global Fund contributions to evidence-based health policies and pro-health human rights frameworks, with a focus on results for key populations. This confirms Secretariat staff views that health indicators and disease modelling are ‘human rights blind’, and cannot take account of the specific barriers encountered by different sub-populations.

The Global Fund does address identified gaps. A rapid review of results, gaps and lessons on gender and key populations found evidence of some significant institutional improvements underway within the Global Fund, including a USD 6 million allocation to conduct size estimates and programmatic mapping for key populations in 15 high-impact countries. The Technical Evaluation Reference Group (TERG) found the Secretariat had focused on improving the extent to which programmes addressed human rights barriers to access by making regional grants, prioritising the identification of barriers, and expanding participation of key populations and human rights experts in country dialogues. The Secretariat was tracking its work plans and had key performance indicators to measure progress on mitigating human rights violations. The TERG also found evidence of qualitative (as opposed to quantitative) evaluations of human rights interventions. Other internal measures identified training for staff and establishment of a human rights complaints procedure. Human rights-related barriers to access are identified as high risk on the organisational risk register.

External partners are aware of the Global Fund’s focus on key populations and endorse it. The absence of data makes it difficult to assess how these issues are implemented in country programmes. External partners also indicated that they see the Global Fund as having a deliberate and fairly visible process of promoting the principles of good governance and that they are aware of the Global Fund’s positions on and work in the areas of human rights and access to services.

Environmental sustainability: A 2015 environment scoping exercise notes that the Global Fund must consider the impact its activities can have on the environment, given their scope and nature. There is no explicit environmental policy, although there are plans to develop one. Nor is there a clear, focused, mandatory and monitorable environmental management system in place, in particular for funded activities. An early 2015 rapid assessment of the health care waste component of Global Fund grants in five countries found mixed efforts to address environmental issues. The scoping exercise report makes six recommendations that include making a clear public commitment to address environmental impacts, with time-bound milestones for implementation. However, environment is not mentioned in the current or the 2017-22 strategic plans, and no evidence was found to show that environmental sustainability or climate change issues are central to conversations within the Secretariat or with countries and partners.

Figure 1: Partner Survey Analysis – Strategic Management*An illustration of aggregated partner views from across the countries***Qualitative analysis – illustrative quotes**

"The Global Fund has good strategies for cross-cutting priorities, but it is unclear how they are managing this work from Geneva."

"Feel that the human rights perspectives and good governance are a strong part of the mission, as is gender, with environmental concerns still lagging behind."

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

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

Operational management: The Global Fund realigns human and financial resources to strategy changes, and is working to become as flexible as possible in terms of appropriate fund reallocations at country levels. The Global Fund's management of resource mobilisation is good, with clear targets for each replenishment conference which takes place every three years. The Global Fund is acutely aware of its role as a funding rather than implementing organisation, which requires less in-country presence. However, it still seeks to fully understand country contexts and ensures that informed and skilled teams support implementation partners. The organisation is increasingly focused on identifying, monitoring and reporting results and ensuring that they are aligned to strategic priorities. Resources have been disbursed as planned, to the extent that is feasible. The Global Fund works to international standards of accounting, as do its internal and external audit functions, and has effective procedures to identify and deal with financial irregularities.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 3: Operating model and human/financial resources support relevance and agility

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability

KPI 3: Operating model and human/financial resources support relevance and agility

The Global Fund's performance against this KPI is rated as **highly satisfactory**.

An organisational reform process for improved effectiveness: The Global Fund, as a financing institution, has organisational management structures that reflect a grant making rather than a direct delivery, operating model. It is based in Geneva, and from there oversees the process of grant making to countries. By design it does not have offices in implementing countries. Staff costs represent 47% of the Secretariat budget, which is appropriate to the level of support provided to grant management activities.

In 2012 an organisational change process focused on improving the effectiveness of the Secretariat, increasing the resources and team sizes dedicated to country support work. Since then a number of innovative additional corporate projects have addressed different areas of operations. These projects, each planned to last approximately one year, aim to ensure effective delivery of the new strategic approach and the new funding model by optimising internal work processes for different sizes of grants; improving data quality, gathering and processing; embedding gender awareness into operations; and ensuring that implementing partners are fully supported. An overarching project management function has been established that takes the projects to conclusion and ensures that all departments contribute. Secretariat staff are somewhat overstretched, with insufficient resources in some areas such as gender mainstreaming where two people out of the ten-person Community Rights and Gender (CRG) team, cover

gender and human rights. The CRG is a team of ten specialist advisers who work into the country teams and the applications and grant management processes. This team includes two human rights advisers, the two gender advisers and other advisers focusing on key populations, community responses/harm reduction and policy. As country teams become more conversant with mainstreaming issues, pressures should reduce.

A resource mobilisation strategy that seeks diversified funding sources: An independent review in 2015 praised the Global Fund for its strategic and proactive approach to resource mobilisation, but there is still a need to intensify mobilisation of funds from new economies and the private sector. The link between the strategy and the replenishment process is now clearly understood, and interviews showed that the process has been strengthened. The strategy is intended to source multi-year funding and the Global Fund had a clear picture of the international commitments countries were bringing to the September 2016 replenishment conference in Canada. National resource mobilisation is taking place via the domestic co-financing strategy in the new funding model, in which a percentage of grant allocations depend on national contributions. Private sector engagement is primarily through (RED) products, which transfer up to 50% of the profits from iconic red-branded products to the Global Fund. These funds contribute to HIV treatment in eight African countries. About 5% of Global Fund's budget comes from the private sector. The Innovation Hub initiative is another private sector contribution that taps into specialised private sector expertise and links it to development challenges.

Additional partnerships aimed at enhancing delivery targets include leveraging the comparative advantage of private sector enterprises to help the Global Fund improve logistics and human resource management at the country level. Civil society is also seen as a critical partner in helping to hold governments to account; some Global Fund staff are responsible for supporting and enabling advocacy effectiveness.

Flexibility within funding criteria: The Global Fund and its partners recognised that the previous rounds-based funding model lacked flexibility. The new funding model allocates funds on the basis of qualitative and quantitative criteria, but facilitates operational agility by incorporating flexibility in key areas. For example, it provides greater flexibility in the applications cycle; funding adjustments are made to reflect co-financing; and country programme grants reflect the prevalence of each disease. Within certain parameters, the Country Coordinating Mechanism has delegated authority to make changes to country allocations, and is able to move funds between disease programmes. Material changes must be negotiated with the Global Fund and must be approved at the Technical Review Panel level. However, key weaknesses within this improved process are the capacity and performance of the Country Coordinating Mechanisms. Respondents to the survey consistently described these structures as weak, inefficient and an ineffective channel for communications.

The refined allocation methodology has two funding levels. First are country allocations based on disease burden and economic capacity. Second are catalytic investments, including for key and vulnerable populations; women and girls; human rights; multi-country approaches; and strategic initiatives. These enable the prioritisation of emerging needs and increase the Global Fund's ability to flexibly address the needs of countries on a case-by-case basis. The Accelerated Integrated Management (AIM) project aims to differentiate and optimise internal work processes for different sizes of grants, ensuring simpler and faster processes for reporting for smaller grants. It is anticipated that completion of the AIM project will enable quick but informed portfolio decisions for re-allocation approval, because financial and programme data will be in one system. An acknowledged area for improvement is the last mile – getting medication to ultimate users – and this is a critical area for focus in the next period, as failure in this space negates gains in all others.

Human resourcing reform: The Global Fund has performance and results-based human resources policies and systems, which have been restructured and adjusted since 2014. These are currently being used effectively to meet the demands of a rapidly changing organisation. The human resources delivery model includes a shared services transactional contract with different departments and specialists who focus on rewards, employee needs, talent, recruitment and learning. Four human resources business partners work in different departments, providing support to those managers and staff. The business partners have close contact with the central human resources function.

The performance and talent management strategies aim to promote continuous improvement. Performance evaluation has clear steps with requirements that mirror the new funding model changes. There is a process for managing disagreements on appraisal ratings, and a cross-departmental review ensures consistency across departments. A reward matrix sets out the principles of performance-based remuneration.

Talent management includes improved staff deployment and development, and is based on three talent pools that support internal staff movements: potential internal candidates, rotation pools for job swaps and succession plans. There are 'stretch learning programmes' for people identified as potential successors. Staff turnover appears to be very low, at 5.5%, indicating that staff are appropriately recruited and effectively retained.

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability

The Global Fund's performance against this KPI is rated as **highly satisfactory**.

Transparent resource allocation systems: The Global Fund's systems for resource allocation are clear and transparent. Grant allocations are made based on the allocation methodology. There is an eight-step assessment process which includes the disease burden (and increasing rates of infection as a qualitative factor) and the absorptive capacity (also as a qualitative factor). The allocation methodology underpins the new funding model. The criteria and the amounts allocated to countries are available publicly.

The role of domestic financing alongside Global Fund grants is transparent in documentation, with countries encouraged to commit funding into Global Funded programmes; such commitments then release the final percentage of grant funding. The roles of different parts of the organisation in the process of decision making are clearly outlined. For example, the Board's role in financial oversight, and of the Technical Review Panel as independent experts, is explicit.

External partners surveyed are positive about the Global Fund's transparency in communications, and satisfied with its country allocation criteria and resultant alignment with countries' epidemiological factors.

The targets for disbursement to partners are the amounts allocated to each country. Systems aim to ensure that allocated funds are disbursed as planned through country team support to Country Coordinating Mechanisms and implementing partners, and through Local Fund Agents (LFAs) who support partner expenditure reporting. During 2015 new grant commitments were 76% higher than in 2014, and actual disbursements were 11% up over 2014. This included USD 17 million for special initiatives. Partner absorptive capacity can be a limiting factor at the country level, and external factors in challenging operating environments create difficulties in disbursement and reporting.

Financial allocation linked to strategic goals but with challenges in grant management: The Global Fund financing model ties grant disbursement to performance indicators and the goals of the strategic plan. In this respect, it embeds some of the principles of a performance-based financing model. Increased use of results-based budgeting approaches aims to support better programme results, simplify grant management, reduce transaction costs and facilitate improvements in countries' health system functionality. However, the current concept note structure does not easily facilitate results-based budgeting, and adjustments have to be made in challenging operating environments (reflected in the Challenging Operating Environments Policy). Grant management staff confirmed that results-based budgeting has not made grant management any easier, and this is also the case with key populations and the lack of relevant indicators, as well as the ongoing problem of ensuring independent verification of results at the country level. Despite problems, there are encouraging initiatives such as the Global Fund/World Bank programme to support expansion of essential health services for women and children through results-based financing. Other emerging results-based initiatives are the debt swap arrangement that, it is hoped, will improve in-country spending on health services, and the social impact bond initiative.

Interviews with finance and strategic management staff indicated that the learning from implementation of the new funding model have been used to professionalise internal financial systems as well as the process to align results and costs via the Accelerated Integrated Management process. The Global Fund has recently strengthened its banking arrangements, moving away from having a sole banker (the World Bank).

Strong external audit systems for the Secretariat, but challenges in auditing disbursed funds: The Global Fund has two sets of funds subject to different kinds of audit. External audits cover the Secretariat allocation and the disbursement of grants to Principal Recipients. External auditors do not provide assurance for disbursed funds.

Internally, the Secretariat budget is managed within a USD 300 million cap, and given the range of activities and innovative and change-based projects in process, it has successfully worked within this frame, with resources closely aligned to priorities. Initial oversight is provided through the Office of the Inspector General (OIG). The OIG safeguards assets, investments, reputation and sustainability through internal audit, investigation and evaluation of operations. Its procedures conform to international standards. Secretariat management has a set time to respond to queries and recommendations from reviews and audits. These are centrally collected and tracked by the senior management team, and there is a set turnaround time for responses back to the governing structures, which staff reported as being met.

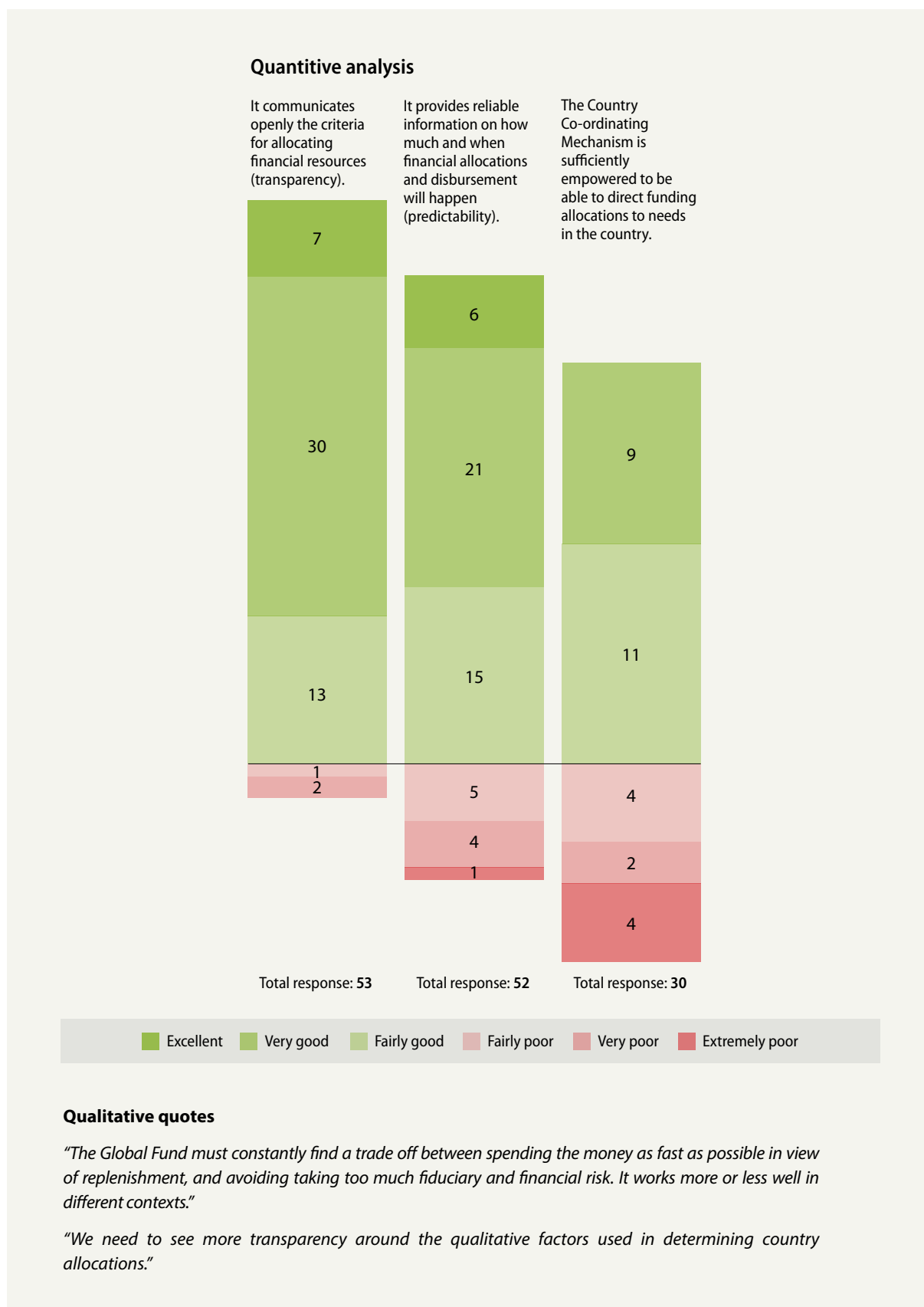
Once grants are disbursed they become the responsibility of the Principal Recipients in countries. All parties handling Global Fund funds must agree to be subject to independent audits, and to accept the consequences, should audits reveal financial malfeasance. However, a recognised risk is in-country financial management, usually because of a lack of capacity within Principal Recipients. Grant management and finance staff are tasked with ensuring that they identify the right risks and measure the right things in order to balance mission risk and delivery and financing risk. The Accelerated Integrated Management project is intended to improve internal financial and process systems and thereby speed up the delivery of financial data to the central accounting and grant management functions.

Strong emphasis on risk management and mitigation: The Global Fund has strong processes and internal control mechanisms to identify operational and financial risks: The Capacity Assessment Tool (CAT); the Qualitative Risk Assessment, Action Planning and Tracking (QUART) tool; and the Operational Risk Committee (ORC). There are also adequate measures for addressing risks. The Pooled Procurement Mechanism addresses procurement risk. Local Fund Agents assess grant recipients and the Principal

Recipient's capacity in financial management. Under the new funding model, the Global Fund can 'recover' money against the 15% country allocation if there are debts or non-compliance.

Risk is an intrinsic part of the Global Fund's business model as a financing instrument. Effective policies and procedures are in place to prevent, detect, investigate and deal with cases of fraud, corruption and other financial irregularities. Practically, the grant management division is seen as the first line in risk management as it works with partner countries' Principal Recipients. There is also greater focus on using local country financial management systems, which should have their own internal controls. However, weak governance and corruption are key risks, particularly in challenging operating environments. The Global Fund has focused resources to identify and address financial and fiduciary risk through enhancing Country Coordinating Mechanism governance, compliance and oversight.

The increasing focus on health systems strengthening interventions, which are actively included within the disease-specific grant proposals, is also viewed as a risk management strategy. In addition, external audits of grants are meant to identify possible fraud. In addition, some private sector partnerships address recipient grant platform and supply chain weaknesses. The requirement for accurate and sufficient data can be undermined by the imperative to work within country systems, which in many cases have been found to provide inadequate data. The Implementation through Partnership (ITP) project is aimed to help improve accountability at all levels.

Figure 2: Partner Survey Analysis – Operational Management*An illustration of aggregated partner views from across the countries*

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engages in inclusive partnerships to support relevance, leverage effective solutions and maximise results in line with the Busan Partnership commitments

Relationship management: The Global Fund's interventions are carefully aligned with national priorities and are based on stronger contextual analyses. The capacity analysis of Principal Recipients is improving and organisational practice is based on a good understanding of risk management. There are internal projects aimed at speeding up implementation and leveraging the Global Fund's comparative advantage as a financing institution. The Global Fund is committed to the principles of the Busan Partnership and its health systems strengthening focus is helping to strengthen country-level fund management systems. The Global Fund co-ordinates and finances programmes with and through partners. These investments are at the national level and reviews of progress would include Global Fund contributions. Partners and other agencies support the collection and analysis of country-level data to assess progress. Communications processes appear effective in sharing information and modelled results. A number of the Global Fund's improvements, notably its new funding model, have been developed in response to partner inputs. In this regard, it is notable that the majority of survey respondents felt internal Global Fund processes did *not* delay implementation.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)

KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)

The Global Fund's performance against this KPI is rated as **satisfactory**.

Prioritisation of context and efforts to ensure rigour of design: Contextual (and epidemiological) analysis is required in the Global Fund concept note process. It is also part of the decision-making process to ensure support is targeted to the right populations in the right place, and that health systems are strengthened to support investments. The context analysis also requires consideration of the governance and the relative strength of the health system. To ensure targeted programming, Global Fund grant proposal drafting includes a process of country dialogues – which are consultations with key stakeholder and/or target groups – and the assessment of institutional and absorptive capacity using the Capacity Assessment Tool. This measures Principal Recipients in four areas: monitoring and evaluation, finance, health product management, and governance. The capacity and risk assessment tools will soon be integrated to build a centralised database of risks and mitigating measures. The increasing health systems strengthening component in grant design – which is embedded in each of the disease programmes rather than dealt with as a separate category – is both a risk management strategy and an enabler so that the countries can move towards transitioning out of beneficiary status. Country analyses show that many in-country risks are systemic.

Programme rigour and relevance is further ensured via an iterative revision process during concept note completion, where drafts are reviewed and commented on, and writers have the opportunity to improve programme design before the grant agreement is finalised. There are also review points during grant implementation that enable reallocation of funds if impact is not being achieved. The Secretariat's country teams are involved in both of these review process. However, a lack of country-level health system and disease data often prevents a full and complete picture during grant preparation. A number of reviews have pointed to weaknesses in epidemiological and context information and a failure to address key population access issues in programme content. They also note a failure to identify the way recipient country financial constraints can have an impact on sustainability and scale up.

External partners have diverging views on the effectiveness of Global Fund initiatives to strengthen health systems. Recipient governments feel the new funding model aligns well with national priorities, while implementing agencies and NGOs feel alignment is poor.

Efforts to address capacity weaknesses: Capacity weaknesses – technical, managerial and organisational – are a particular challenge in fragile contexts. The Global Fund's Department of Communications and Training provides capacity-building support to both country teams and Country Coordinating Mechanisms throughout the proposal and programme implementation phases. This is important to address the gap identified in the 2015 Technical Review Panel review, which suggested scale ups in programmes often do not take account of existing capacity or other challenges in the health system. A new approach to capacity development in 2016 includes establishing a global social network together with structured support for programmatic delivery.

The design of Global Fund grant agreements is focused on country-based outcomes, and ideally based on National Strategic Plans. These national plans' highest-level results are usually based on international disease-related targets such as the *90-90-90 goal for HIV and AIDS*. Some grant recipient countries have used the applications process to develop comprehensive responses to all diseases and health system weaknesses. However, it is concerning that in other countries, National Strategic Plans have been driven by the grant application process. In challenging operating environments, alignment between the grant agreement and national and international targets is more difficult. However, the Global Fund is aware of these weak points.

Grantee concept notes are also required to include an analysis of cross-cutting issues. However, data and the related analysis are often poor, particularly in relation to key populations, and proposals often omit interventions focused on these groups. The Global Fund is addressing this through guidance or technical assistance to ensure proposals do address the barriers in different contexts. The extent that this is achieved in the concept note design may vary according to the quality of information available, and the capacity of the concept note drafting team in-country. Gender is addressed in programme design in a more integrated way, with most partners beginning to take a more practical approach and address the needs of population groups with the highest disease burden. Good governance issues are addressed in the proposal and approval process, but environmental sustainability is not yet a focus within either stage. How to monitor and measure cross-cutting issues within programmes is a subject of increasing discussion, and initiatives exist to address data gathering gaps. To support more effective planning and implementation, the Global Fund has built bigger teams to focus on the 20 countries that receive the bulk of its funding. These larger teams have enabled a better and more targeted response to different aspects of each country programme, although it is acknowledged that this is a work in progress.

Systems to monitor implementation quality: The Global Fund has moved away from compliance-based auditing to risk-based auditing linked to the organisation's strategy. This confirms management's view that while gaps in risk management identified in 2014 have been filled, improvements are still needed. Monitoring implementation quality is a routine function for grant management staff. Additional assessments that also identify risks are provided for in the programme and data quality strategy. External partners have largely positive views about the Global Fund's risk management processes. There was evidence that staff in the risk department in particular were strengthening their knowledge of the operating context and its challenges, and sharpening their ability to identify risks. Global Fund staff frequently mentioned risk, an indication that they understand potential risk damage.

No formal sustainability plan required, but strategic commitment in place: The Global Fund's Strategic Objective 1e addresses supporting sustainable responses and successful transitions, and Strategic Objective 4b focuses on supporting countries to better use their resources and increase domestic resource mobilisation. In some countries, a sustainability plan is required during the first year of grant implementation and is stipulated in the grant agreement. For example, a sustainability plan is required if the country is close to transition status or if the Global Fund is the sole funder of ARVs. However, this is not yet a universal requirement. The underlying long-term goal – possibly not sufficiently highlighted in documentation – is that countries 'transition' beyond the requirement for grant funding to support their disease responses. This goal is beginning to become more evident. In April 2016, the Board approved the Policy on Sustainability, Transition and Co-financing. The Willingness to Pay and the co-financing requirements set to access allocations in the last strategy cycle were important precursors to this policy. The 2016 policy defines sustainability as: *the ability of a health program or country to both maintain and scale up service coverage to a level, in line with epidemiological context, that will provide for the continuing control of a public health problem and support efforts for elimination of the three diseases, even after the removal of external funding by the Global Fund and other major external donors.*

While concept notes do not require a sustainability plan, the Global Fund is working towards building financial and programmatic sustainability to enable countries to transition entirely to domestic financing. The most important measure to support sustainability is the requirement for middle-income countries to commit to providing domestic financing into Global Fund programmes to trigger the last percentage of the grant. The Executive Director has reported an increase in domestic funding, which indicates that this strategy is gaining traction. However, the capacity of health departments is often a barrier to sustainability, particularly in challenging operating environments. Initiatives here include capacity-building support and the integration of health systems strengthening into disease specific programmes. Health systems strengthening programming also includes consideration of the legislative environment, and whether this may need to be addressed to ensure that all targeted groups have equitable access to health services.

Assessment of the sustainability of a programme, including its monitoring and evaluation plan, is part of a country's transition readiness assessment.

Efforts to improve implementation speed: Policies and strategies linked to the new funding model, as well as processes which address different contexts and grant sizes, now enable the Global Fund to execute its commitment to faster implementation. Interviews suggested a generally high level of ability within the Secretariat to implement new processes swiftly; all the innovation projects in process have a year's completion envelope. Additional concrete measures which have improved operating speed include a flexible timeline for country applications, an emergency fund, two tiers of grant reporting based on grant size, greater country engagement by country teams, and internal performance indicators tracking grant disbursement. The Partnership Forum in 2015 noted the bureaucracy and burden that come with Global

Fund processes. External partners surveyed had diverse opinions. Some comments indicated that the in-country challenges such as absorptive capacity or poorly performing CCMs could delay disbursements, but a majority of those surveyed felt that Global Fund procedures did not cause delays in implementation.

KPI 6: Working in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources

The Global Fund's performance against this KPI is rated **satisfactory**.

Organisational changes to improve leverage and agility: In 2015 the Secretariat began various initiatives in response to recommendations about the need for greater coherence and prioritisation. Among these was a recommendation to allow for differentiation of grant management processes according to country capacity, particularly in challenging operating environments. A Differentiation For Impact initiative is underway, and the Challenging Operating Environment Policy explicitly provides space for flexible approaches and reduced grant management processes. The 2016 Eligibility Policy also provides for greater flexibility in these contexts. To ensure ongoing relevance to country situations, the new funding model enables grant agreements to be amended to reflect changes in circumstances. Country Coordinating Mechanisms can quickly revise allocations between programme elements to better suit the country context. If changes involve significant revision to the agreement's terms and content, the Technical Review Panel must review these. Consequently, there are different levels of administration for differing degrees of intended change.

In more conventional environments, attempts to promote agility include partnerships with the private sector. An e-learning module on reprogramming takes grant recipients through the procedures enabling changes during grant implementation.

Agility can also be promoted through local pressure and civil society holding governments to account. Effective advocacy is based on local influence, and the Secretariat has recognised that its role is helping to create the space for this. As part of this, country teams are building constructive dialogues with civil society around grant management and implementation. This dialogue process was identified as having a productive place within new funding model processes.

Emphasis on partnerships: The Global Fund also works with multilateral technical partners (the World Health Organization, UNAIDS and others in the UN system) on programmatic technical issues, and through the multi-stakeholder Country Coordination Mechanism platform at the country level. The Global Fund's success therefore is based on its ability to choose and work with appropriate and effective partners. The Partnership Strategy describes the comparative advantages of partnership working as lesson learning, mutual accountability and the Country Coordination Mechanism's role in providing a structured platform for various sectors to work together. While the Global Fund does not engage directly in countries, it does have a political role to play through high-level government engagement, where it has direct access to ministers of health and heads of state. External partners are of the view that the Global Fund provides high quality inputs into policy dialogues.

External partners are also generally positive about the Global Fund's new funding model, the rationale for support to the three diseases, and health systems strengthening. Global Fund partnerships which leverage comparative advantages include the private sector-focused Innovation Hub, memoranda of understanding with UNICEF and UNFPA, and the Market Shaping Strategy with UNITAID that seeks to promote greater availability and affordability for a core set of health products. There are examples of

innovation and co-operation with other donors in challenging contexts: for example, in Somalia there is a process to move project implementation money into the country through mobile phones. In more conventional environments, there are also attempts to promote agility, particularly through partnerships with private sector enterprise. Whether all of these partnerships have led to better results has not yet been measured.

Most external partners surveyed responded positively about the Global Fund's initiatives to work in synergy with other organisations, as well as the alignment of financing with partners to ensure health initiatives are coherent and not fragmented.

Some attempts are being made to collaborate with other donors in the joint delivery of programmes, particularly in challenging operating environments. However, the Global Fund generally aligns its grant making with national country-level planning cycles, where this is possible.

Strategic commitment to using country systems for sustainability: The Global Fund is committed both strategically and institutionally to work with, support and integrate its work with country systems. The Global Fund does include learning and capacity building opportunities for Country Coordination Mechanism members and Principal Recipient staff and structures as part of the commitment to strengthening country systems. For Principal Recipients, this emphasis is on improvements to their financial and governance systems. Many recipient countries now report Global Fund support on their national disease strategy budgets, and most external partners surveyed responded positively about the Global Fund's use of country systems as a channel for funds. Despite this, most countries still manage these grant funds through vertical budgets, structures and controls that are largely independent of country systems. Where country systems are not used, alternative Principal Recipients, such as large NGOs, can provide services for target groups that would otherwise not be serviced. Alternative Principal Recipients also need to demonstrate their ability to absorb funds and implement.

Key Performance Indicator 11 in the new strategic plan tracks domestic financing allocations to the three diseases, and this is part of the overall approach to understanding country sustainability for each disease response. The Sustainability, Transition and Co-financing Policy describes the minimum amounts that countries are required to provide from national funding in order to be eligible for a grant, as well as the conditions for increased national financing commitments to trigger delivery of the final percentage of grant money owed. Health systems strengthening initiatives also aim to ensure country ownership of the health response. While most future funding for the three epidemics will come from national resources, there are a number of private sector initiatives aimed at improving country health systems efficiency and consequently sustainability. To further embed longer-term sustainability, the Country Coordination Mechanisms are encouraged to develop a 'global health lens' and to set up national health accounts to understand the real costs of public health provision.

Efforts to ensure beneficiary population involvement: The Key Populations Action Plan 2014-2017 outlines the targeted involvement of key populations at every level of the Global Fund's financing processes, including the critical planning phases of country dialogue and concept note development. The Board holds seats for both civil society groups and for people living with and affected by the three diseases. However, this does not necessarily guarantee accountability to beneficiaries, and the Global Fund relies on Country Coordination Mechanisms and other partner recipients to provide feedback to beneficiaries. Civil society plays an important role in the Partnership Forum, which is an accountability tool, but the extent of civil society ownership can wax and wane. The Executive Director has made a personal commitment to building ownership, which will help to hold the Global Fund accountable.

Civil society in-country can find it difficult to differentiate between the Global Fund and the national government, and sometimes targets the Global Fund as the source of its frustration. However, interviews showed that the Global Fund does work to mitigate these frustrations. For example, through contact with heads of state and influential people in-country, the Global Fund helps shape country dialogues, and provide guidance to civil society advocates to ensure that replenishments align with current needs and domestic financing for health (sustainability).

Country teams work to ensure beneficiary populations are included in planning and programming throughout the grant cycle. The majority of partners surveyed have a positive view about the inclusion of key populations in planning and dialogue processes.

Commitment to joint assessment but limited evidence of engagement: There is some evidence of a commitment to joint assessments, but documentation reviewed finds limited evidence of actual participation with national and other partners in mutual assessments of progress in implementing agreed commitments. The Global Fund primarily co-ordinates and finances programmes with and through partners. These investments are at the national level and reviews of progress would include Global Fund contributions. Partners and other agencies support the collection and analysis of country-level data to assess progress. As the Global Fund generally does not collect primary data it does not contribute to instruments such as the United Nations Development Assistance Framework.

Global Fund programme performance information is gathered and collected at the country level, usually through a combination of programme monitoring, commissioned evaluations and the Local Fund Agent. External partners were positive about Global Fund efforts to conduct mutual assessments in-country with national and regional partners. The country and regional teams engage with Principal Recipients in terms of assessments planned for in grant agreements.

Increased emphasis on information transparency and communication, but weaknesses at CCM level: Global Fund communication and information sharing were previously weak, but by 2016, the Fund was ranked fifth in the International Aid Transparency Index rankings, behind UNDP and UNICEF. This follows a concerted effort in recent years to improve transparency. The Global Fund's communication function is focused and demonstrates a clear understanding of the organisation's priorities. Communications staff engage frequently with different departments to enable preparation of materials suitable for the range of audiences. All Global Fund audits are published, and the website provides open access to a very wide range of corporate documents including policies and primary decision-making processes, grant information, country and regional impact reports, and e-learning courses to support its grant making. The new funding model is clear about criteria for allocations, and the amounts are public knowledge. The Office of the Inspector General was satisfied that internal processes and information gathering were sound.

The Global Fund does not explicitly describe itself as a knowledge producer, but it does package and disseminate information. In particular, the Global Fund constantly reviews the disease burden throughout the world, and supports processes to improve country level data: 25 countries now have nationally adequate estimates for at least two key population groups; 17 high-impact countries have been supported to map and analyse mortality and cause-of-death sources and data; 10 countries are drafting plans to map and analyse mortality data; and six countries will be applying for funding to undertake mortality data mapping and analysis.

However, external partners generally felt Country Coordination Mechanisms were not very good at sharing information, again reflecting that this structure at country level is a weak link in the grant management value chain.

Figure 3: Partner Survey Analysis – Relationship Management

An illustration of aggregated partner views from across the countries

Quantitative analysis

Its current funding model prioritises alignment with the national planning cycle in the country, rather than being driven by the process of applying for new/further grants.

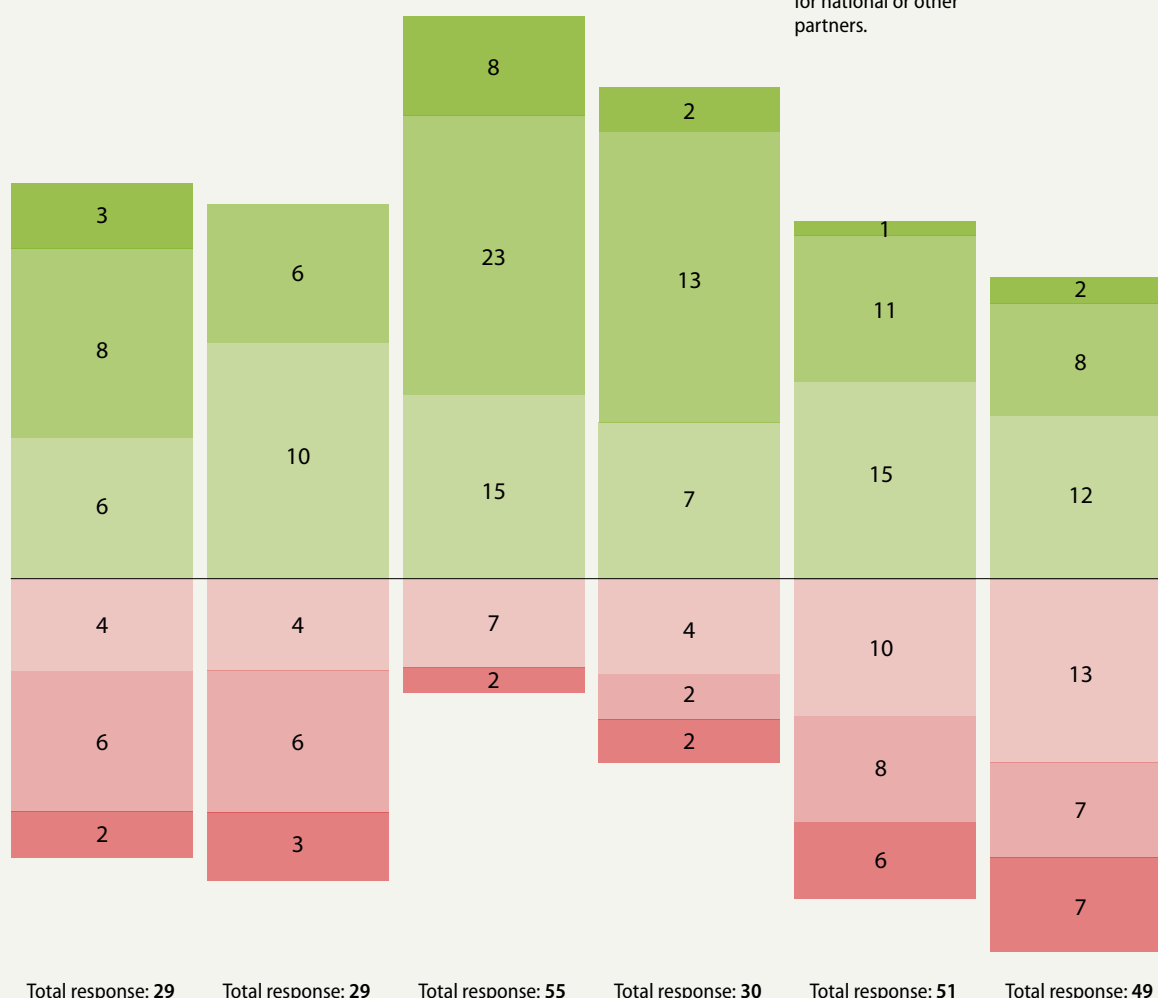
Its current funding model provided the flexibility to quickly amend grants agreements to reflect changes in circumstances and arrangements in the country.

It prioritises working in synergy/ partnerships as part of its business practice.

It aligns its financing with other development or humanitarian partners to make sure that financial co-operation for health in the country is coherent and not fragmented.

Its bureaucratic procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) do not cause delays in implementation for national or other partners.

The Country Co-ordinating mechanism shares key information (analysis, budgeting, management, results) with external partners on an ongoing basis.



■ Excellent
 ■ Very good
 ■ Fairly good
 ■ Fairly poor
 ■ Very poor
 ■ Extremely poor

Qualitative analysis – illustrative quotes

"Overall the Global Fund works very well with Partners in country."

"There is variability among the qualities of functionality and leadership across CCMs with some being in the extremely ineffective stage and others working reasonably well."

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

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

Performance management: Leadership and management within the Global Fund are committed to results-based management and budgeting, and to building up a sound evidence base for interventions. A number of projects and significant resources are focused on improving the acknowledged poor quality and quantity of data at the country level in order to improve monitoring of results targets. New intervention proposals are required to show an evidence base. There is an independent evaluation function, although there is not sufficiently broad or comprehensive evaluation coverage, and lessons from previous evaluations are not very well integrated into the design of new programmes. Accountability for implementing recommendations is clearly understood, and lessons learned are incorporated into business practice. However, a more formal system of recording and disseminating good practices and lessons learned is needed. A more formal system for the identification, addressing and recording of poorly performing interventions is also needed.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 7: Strong and transparent results focus, explicitly geared to function

KPI 8: Evidence-based planning and programming applied

KPI 7: Strong and transparent results focus explicitly geared to function

The Global Fund's performance against this KPI is rated as **satisfactory**.

Ongoing building of results-based management systems: Following weaknesses identified in 2014, Global Fund leadership has driven an organisation-wide results-based management (RBM) approach through a comprehensive performance management framework. In 2015, further deficiencies in information collation, which hindered the Board's ability to monitor results, led to practical projects to improve the coherence of results and results monitoring through the collection of sufficient reliable evidence. This work also involved bringing together different sets of information in order to build an accurate picture of the cost of results achieved; this is primarily through the Accelerated Integrated Management project which brings financial and programme information together.

The Global Fund does not have a theory of change underpinning its strategy, but has consistently ensured that corporate strategies are developed with a results-based management focus. Annual consultative processes are used to update corporate strategies and policies. The Grant Management division engages with all other Secretariat structures to develop a common view on country-level results to inform the Global Fund's work going forward. This process is supported through staff deployments aimed at addressing gaps and areas of additional work needed to facilitate improving results. Strategic reviews and reviews from the Office of the Inspector General are discussed with the Board and management reports on actions taken in relation to recommendations.

The Global Fund publishes its results annually and attempts to track contribution and attribution, with high-level results on the number of lives saved being the product of a statistical modelling system that draws data from the country level, the World Health Organization, other UN agencies and other sources. The 2015 Strategic Review judged the model used to assess impact (the Lives Saved Tool) as satisfactory but recommended improvements to monitoring systems and data.

The Global Fund's monitoring framework logic and evidence base is improving with time. The Indicator Framework has been revised down to 15 indicators from 40 and the performance framework increasingly focuses on coverage, outcome and impact. It is aligned with national frameworks and harmonised with partners, and the 2016 Sustainable Development Goals now comprise the high-level objectives framework.

Efforts to tackle weaknesses in country data systems: Programme results are tracked based on information from the country level. The current strategic framework states that the *"credibility of the Global Fund's performance-based funding model depends on the availability of quality data, which is generated when countries have well-established and functioning M&E systems"*. Country-level data is acknowledged to be variable in quality and quantity, but where there is good data, causal links are identified at both country and corporate levels. The Global Fund clearly faces some critical challenges in this regard and it is tackling them in a number of ways. These include the allocation of USD 17 million for the Special Initiative on Country Data Systems and the Global Fund has invested USD 10-million from a catalytic fund to improve country data. The Secretariat has projects focused on consolidation and streamlining of monitoring, with the approach and designs based on careful analysis and internal cross-team consultations. The Global Fund has indicated a pressing need to generate improved data about vulnerable groups, and an expert panel of partners and independent experts is currently developing recommendations to enable the Global Fund to improve its methods for measuring impact.

Grant systems linked to expected results: The country concept note/grant proposals process is firmly results-based – results outlined in proposals should be calculated from baselines, and results must be quantified and detailed costings provided. Where baselines do not exist, the study to quantify baseline data can form part of the grant proposal. During grant implementation, reporting of results is the trigger for the Global Fund to release the next tranche of a country grant. Surveyed partners agree that Global Fund grant proposals require targets and indicators aligned with national systems, and that proposals need to be based on sound evidence and logic.

Ongoing efforts to improve corporate performance data: Corporate-level performance data are collected, reviewed and reported to the Board. In relation to grants, documentation provides examples of the intended use of data, but there is little evidence recorded of their use for decision making. However, the new funding model is in its first iteration, and performance data is a major focus. There is extensive evidence of work being done to improve the quality and quantity of data, as well as to address the challenge of ensuring continuity of funding for data collection at the country level.

KPI 8: Evidence-based planning and programming applied

The Global Fund's performance against this KPI is rated as **satisfactory**.

A function for independent evaluation: The Technical Evaluation Reference Group (TERG) is an independent evaluation advisory group that reports to a Board committee. In 2016 its terms of reference were revised to specify this independence. The TERG and the Office of the Inspector General (OIG) both initiate independent evaluations of the Secretariat and country programmes, and their budgets are met

by core funds. Each year the TERG plans five or six independent strategic reviews of partner agreements, and a similar number of independent thematic reviews, although not all of these may be completed. Donors also initiate evaluations. Country Coordinating Mechanisms and Principal Recipients may also commission evaluations.

The TERG work plan has a clear rationale for planned evaluation activities. Evaluations undertaken cover all aspects of Global Fund engagements such as efficacy of agreements with partners, sustainability of programmes, decision making within programmes, and five-year impact reviews, and all key priorities appear to be covered. The Global Fund provides a Monitoring and Evaluation Toolkit to guide all programme evaluations undertaken by external evaluators. This toolkit is based on, and has been jointly developed by, the Global Fund together with other UN agencies.

Grant agreements must include a costed monitoring and evaluation plan with around 7-10% of the grant budget allocated to this. Country teams can undertake mini reviews of different aspects of country programmes. Most external partners felt the Global Fund is clear about the requirement for grant-funded activity in the country to be evaluated.

No formal quality assurance systems as yet in place: There are no formal quality assurance systems in place. However, the quality of the assessments that form the basis for the 2015 Strategic Review reflects a robust and thorough approach to data gathering, data quality analysis, data analysis and interpretation. The strategic reviews show good research methodologies. Their findings also are presented clearly against key questions, provide considered recommendations for the efficient use of monitoring data, and provide suggestions on how to optimise and improve modelling frameworks. However, it was not clear whether there was a sufficiently broad coverage of evaluation, as the country-levels are presented as highly summarised communications briefs, and the quality of the research methodologies is not known.

Variable quality of evidence in grant applications: Concept notes and proposals must provide a situational analysis and findings from previous evaluations. However, at times concept notes present shallow and/or incomplete analyses. Global Fund management stressed the intention to achieve a clear translation of situation analysis into programme elements. External partners all agreed that grant applications must show their evidence base. No evidence was found to indicate that incentives exist for applying lessons learned, or for publicising how lessons learned have informed new operations designs.

Performance managed as part of overall grant management: There is no formal system to identify poor performance of specific interventions, and poor performance appears to be dealt with as part of broad grant management processes. Currently, tracking poorly performing interventions depends on the quality of country team engagements, data quality and coverage, and Local Fund Agent capacity, as well as the ability of the Country Coordinating Mechanism to manage and monitor grant implementation. To improve country-level ability, Principal Recipient, Country Coordinating Mechanism and NGO capacities are assessed during proposal drafting, and country teams recommend appropriate capacity building. Also, partner capacity building is often focused on departments of health because they are generally the first choice, or may be the only available choice as Principal Recipient. Country teams include specialists who engage to fix identified gaps at the country level. There is no formal process for information sharing. However, the way country teams harness appropriate skills across the Secretariat means that poor performance and solutions become generally understood. External partners' perceptions were that the Global Fund is good at consistently identifying poor performance and either providing support or technical assistance to fix identified problems.

Informal lesson-learning systems but systematic use of evaluation recommendations: Lesson-learning systems are largely informal, but nonetheless can inform decision making. For example, the Emergency Fund and the classification of a challenging operating environment arose from learned experience in these environments as well as evaluation recommendations. The Secretariat is required to produce a response to external audits, evaluations and reviews of performance, and generally actions are taken by relevant departments. The Global Fund aims to monitor grants more closely in future, although currently reviews have already triggered reprogramming in response to evaluation recommendations.

Technical Review Panel (TRP) recommendations are generally implemented before grant signing. For interventions, country teams identify core risks mentioned in Local Fund Agent reviews, and decide on mitigating actions. Country-level evaluations such as those done by the Local Fund Agent or the Principal Recipient do have an effect on planning at national level, and National Strategic Plans will take account of these findings. Country teams work with Country Coordinating Mechanisms and Principal Recipients to implement timed action plans covering TRP and evaluation recommendations. External partners agree that the Global Fund is systematic in following up evaluation recommendations.

Technical Evaluation Reference Group independent evaluations of Global Fund high-level performance are intended to facilitate organisational learning, but there is no formal process to ensure uptake of lessons learned. However, interviews showed a continuous process of learning, reflection and application of lessons learned. Lessons learned from implementation of the new funding model are being incorporated into business processes. Over two-thirds of survey respondents agreed that the Global Fund learns lessons from previous experience, rather than repeating the same mistakes.

Figure 4: Partner Survey Analysis – Performance Management

An illustration of aggregated partner views from across the countries

Quantitative analysis

It prioritises a results-based approach – for example when engaging in policy dialogue, preparing grant applications.

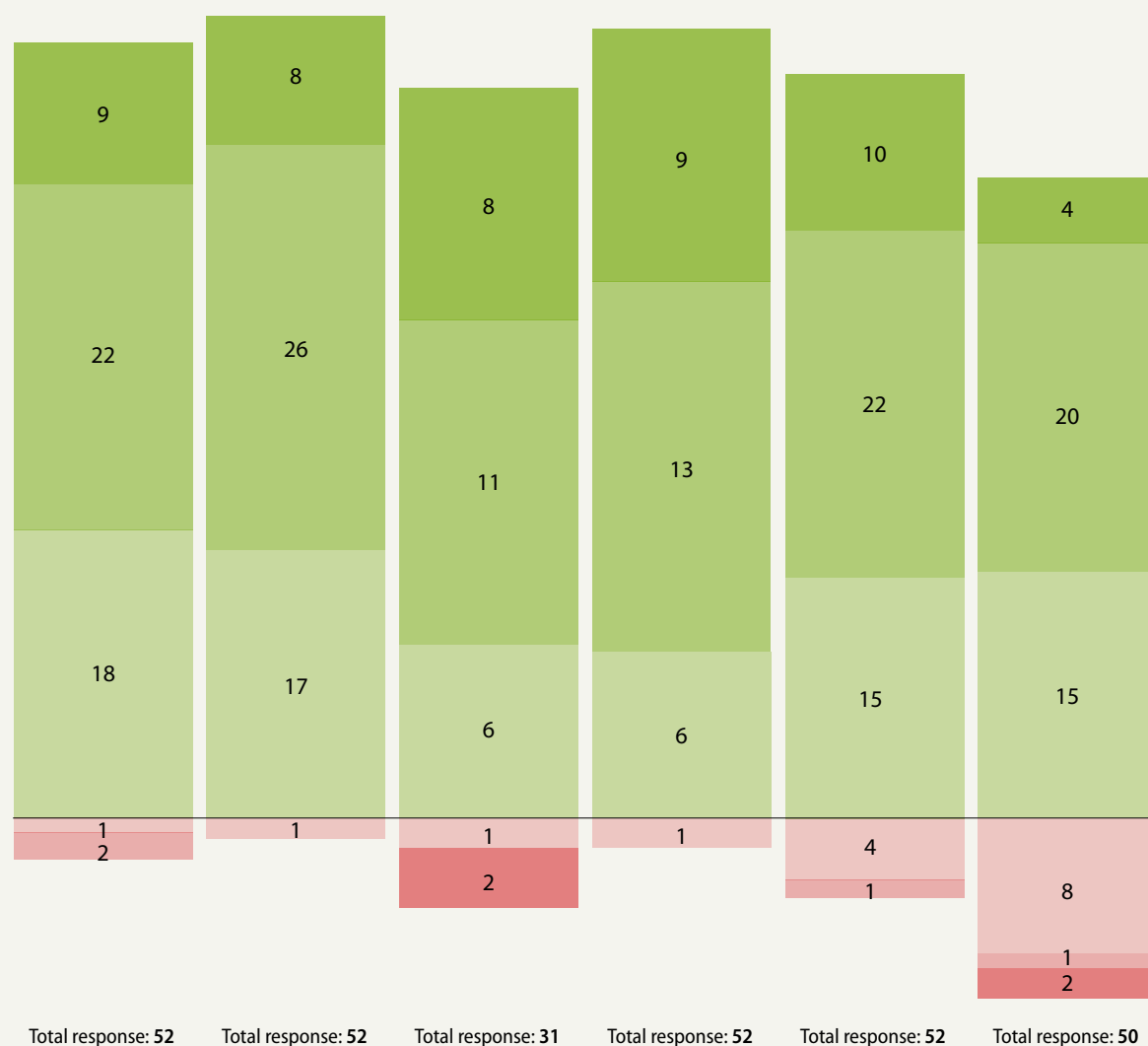
It insists on the use of robust performance data when preparing and approving grant applications.

It is committed to generating improved data about vulnerable groups in the country.

It has a clear guidance on the requirements for grant-funded activity the country to be evaluated.

It consistently identifies which grant-funded activities are under-performing.

It learns lessons from previous experience, rather than repeating the same mistakes.



Qualitative analysis – illustrative quotes

“Performance management has changed and improved over the past two years with a greater focus on programme metrics, making changes to grants for under-performance and working with and utilising partnerships in country.”

“The Global Fund has a strong evidence-based approach. However, the lack of data at country level is often an impediment to a real evidence-based approach.”

Organisational Effectiveness scoring summary

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
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PERFORMANCE AREA: STRATEGIC MANAGEMENT

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

KPI 1: Organisational architecture and financial framework	MI 1.1	MI 1.2	MI 1.3	MI 1.4	
KPI 2: Implementation of cross-cutting issues	MI 2.1	MI 2.2	MI 2.3	MI 2.4	MI 2.5

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

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

KPI 3: Operating model and human/financial resources	MI 3.1	MI 3.2	MI 3.3	MI 3.4		
KPI 4: Financial transparency/ accountability	MI 4.1	MI 4.2	MI 4.3	MI 4.4	MI 4.5	MI 4.6

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, leverage effective solutions and maximise results (in line with the Busan Partnership commitments).

KPI 5: Planning and tools support relevance and agility	MI 5.1	MI 5.2	MI 5.3	MI 5.4	MI 5.5	MI 5.6	MI 5.7		
KPI 6: Leveraging/ensuring catalytic use of resources	MI 6.1	MI 6.2	MI 6.3	MI 6.4	MI 6.5	MI 6.6	MI 6.7	MI 6.8	MI 6.9

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

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

KPI 7: Strong and transparent results focus	MI 7.1	MI 7.2	MI 7.3	MI 7.4	MI 7.5		
KPI 8: Evidence-based planning and programming	MI 8.1	MI 8.2	MI 8.3	MI 8.4	MI 8.5	MI 8.6	MI 8.7

2.2 DEVELOPMENT EFFECTIVENESS

PERFORMANCE AREA: RESULTS

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

Results: The *Approach to Assessing Progress in Impact Against HIV, Tuberculosis and Malaria 2004 - 2014* report found a highly reliable link between lives saved and the Global Fund's level of financial expenditure at the aggregate level. This affirms the original rationale for establishing the Global Fund. Efforts are underway to ensure grants are more targeted to overcome specific barriers that prevent different key populations from accessing health services. More attention is given to gender equality and good governance in interventions. The Global Fund has also developed a range of in-country and Secretariat-level initiatives to improve cost efficiencies and delivery times. Efficiencies are more difficult to achieve in challenging operating environments. Sustainability, and what this means for interventions, are increasingly a focus. It was not possible to determine whether Global Fund grants have significantly strengthened the enabling environment, but this should be possible with the improvement of data quality and when the first round of the new funding model is assessed. It is of concern that some countries may be revising their national Strategic plans to conform to Global Fund objectives, rather than ensuring that their own priorities are reflected.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 9: Achievement of development and humanitarian objectives and results

KPI 10: Relevance of interventions to needs and priorities of partner countries and beneficiaries

KPI 11: Results delivered efficiently

KPI 12: Sustainability of results

KPI 9: Achievement of development and humanitarian objectives and results

The Global Fund's performance against this KPI is rated as **satisfactory**.

Challenges of attribution but positive evidence of contributions to results in the three diseases: Given the evidence base it is difficult to measure the precise impact of Global Fund inputs in terms of directly linking specific country-level results to grant funding. However, there is evidence in a study which shows that disease outcomes have improved in countries where the Global Fund has invested grant funding. From its modelled results, the Global Fund reports 17 million lives saved by 2014, and a likely 22 million by the end of 2016; AIDS, tuberculosis and malaria deaths reduced by more than one-third since 2002; 9.2 million people on antiretroviral drugs; 15.1 million people tested for tuberculosis since 2002; over 11.7

million tuberculosis cases treated; over 659 million mosquito nets distributed; and 582 million malaria cases successfully treated. While some delivery targets are in danger of not being met, management has provided reasonable explanations.

The key to ensuring that key populations' health needs are met is to address the barriers to access. The Secretariat is ensuring that these issues are considered as part of country-level interventions in a range of ways, including through staff training on gender and results-based-management, ensuring that country teams focus on the disease burden profiles in high-burden countries, and targeted re-programming at review points.

Results for the first phase of the new funding model are not yet fully quantified, but the figures for 2015 and 2016 reported in mid-2016 for Global Fund-supported programmes showed improved results, with a 7.5% increase in people put on antiretroviral drugs, 357 000 tuberculosis cases detected and treated, an 8.3% increase in women reached with Prevention of Mother-to-Child Transmission services, and a 9.9% increase in mosquito net distribution.

The Global Fund has also reported that domestic financing now accounts for over half of funding for HIV and more than three-quarters for tuberculosis, with around one-quarter for malaria. Seven countries have taken over HIV disease programme costs, three have taken over tuberculosis programme costs, and four are committed to increased resourcing for key populations.

Positive contributions to improving national health funding but challenges in health systems strengthening: Interventions have contributed to changes at country health policy and health system delivery levels. Over one-third of Global Fund expenditure contributes to countries' health systems, and there is a noticeable increase in the level of co-financing. The establishment of National Health Accounts enable national ministries to understand the cost of dealing with each epidemic. Other areas supported were the integrated delivery of interventions with other health services, democratising health responses and supporting provincial disease planning.

However, reviews show that health systems strengthening and capacity-building interventions to date have had limited results. This reflects the need for political and societal buy-in, and how objectively difficult it is to help developing country partners change their institutions. Also, while centralised pooled procurement and private sector support to logistics worked well, staff also acknowledged that getting commodities and services to ultimate beneficiaries continues to be a challenge in many locations.

Variable performance on cross-cutting issues: Country Coordinating Mechanisms have guidelines on gender and equal representation of men and women in Global Fund-related decision making, and the participation of women has risen to 39.2% in 2015 from 33.9% in 2010. Global Fund partnerships with civil society support the participation of women in strategy and grant-making processes, including gender consultation at the 59th Commission on the Status of Women. Staff clearly understand and focus on barriers to access for women and girls. Results of these processes will only become visible within a couple of years when the data improvement processes have been completed. Other benefits relevant for country-level results recorded in a rapid review of work on gender include gender assessments of national responses to HIV in over 40 countries; as of 2015, 60% of Global Fund spending directed to women and girls; and the revision of data systems, indicators and grant-making tools to better capture and use sex-disaggregated data.

Environmental sustainability and climate change issues as they affect health systems are occasionally mentioned, and medical waste management was reviewed in five countries in 2015. However, the issues are not high in programme priorities, and it is recognised that these issues need further attention.

There is evidence that good governance practices are in place, and the Office of the Inspector General has good systems for review. The Technical Evaluation Reference Group is also clear about good governance practice. The Global Fund has found innovative ways of overcoming the challenges of working in challenging operating environments. However, grants in fragile contexts perform less well than in other recipient countries, particularly for malaria, and management of partners in these difficult contexts is a key factor.

Increased co-financing indicates that more attention to policy dimensions may be taking place within country governance structures. There is ongoing support to country governments, Country Coordinating Mechanisms and Principal Recipients. Country team requests for support in relation to governance in proposal and grant management processes indicate that this issue is frequently raised in engagements. However, at the country level, achieving good governance is a slow and continuous process that has to date not resulted in a greatly improved level of capacity. Nevertheless, it is recognised that progress on good governance, is a prerequisite for strong and sustainable health systems.

KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries

The Global Fund's performance against this KPI is rated as **satisfactory**.

Relevant interventions for beneficiary and country need: The report, *Approach to Assessing Progress in Impact Against HIV, Tuberculosis and Malaria, 2004-2014*, found a link between lives saved and the level of financial expenditure of the Global Fund at the aggregate level that could be ascertained with a high degree of reliability. This affirms the original rationale for establishing the Global Fund.

The Global Fund does consider the needs and priorities of partner countries and beneficiaries, and this can be seen in the new funding model requirement for alignment with country objectives, as well as in adjustments in administration requirements. The Global Fund's allocation model invests resources in countries with the highest disease burden and lowest economic capacity. The current allocation delivers more than 90% of Global Fund grant investments to low- and lower-middle-income countries, and more than 95% to high-burden countries. The Allocation Methodology 2017-2019 provides for refinement and increasing resources to high-need contexts and with greater scope for differentiation. A significant part of this differentiation process involves simplified applications and reduced reporting requirements for countries with little capacity, for smaller grants and in challenging operating environments. Capabilities for producing either quality applications or sufficiently comprehensive reports – even with reduced requirements – are generally not in place in these environments, so country teams do provide assistance. This support process is therefore in place but it has not yet been evaluated.

Positive contributions to coherence but challenges in fragile situations: *The Building Resilient and Sustainable Systems for Health* report describes positive actions taken by the Global Fund to address coherence. Under the new funding model, the Global Fund required integrated TB-HIV concept notes from the 38 countries with the highest co-morbidity of tuberculosis and HIV. In Kenya, this resulted in a 43% increase in clients screened for tuberculosis during antenatal visits. The Thematic Review on Fragile States found that the Global Fund's limited experience of global or in-country humanitarian cluster co-ordination mechanisms presented challenges for some of its interventions, citing examples in the Democratic Republic of the Congo and Goma.

The Global Fund recommends that health systems strengthening be embedded in the disease-specific concept note. There has also been a special initiative on 'value for money' and World Health Organization good practice, which involves setting up National Health Accounts – 78 have been set up so far. The Global Fund, the World Health Organization and other partners pool resources to institutionalise the National Health Accounts and finance capacity building and implementation costs in recipient countries. The introduction of co-financing, which makes 15% (for the 2014-2016 allocation and 15% and more for future allocations) of a grant contingent on increased country financing into programmes or programme areas, is aimed at embedding effective and appropriate spending in countries.

Strong contributions to national development goals and objectives but risks of national reorientation:

The Global Fund contributes to national development goals and objectives, and data collected over time indicate that funds have contributed to international targets. Various reports show this clearly: The Global Fund-supported work to prioritise interventions for adolescents in Swaziland, for example, aligns well with that country's strategic priority to address HIV among young people; countries such as Sudan and Burkina Faso have used the Global Fund proposal process to develop comprehensive responses to all diseases and health system issues. However, with the new funding model only in its first iteration, the full picture of impact is yet to be realised. Data from countries tends to be patchy and reliability is sometimes in question. However, focused interventions are addressing the data gaps as well as country partners' capacity to identify and collect data against agreed indicators.

The 2015 Strategic Review found that partners were very positive about the new funding model requirement to align concept notes to national strategic plans. However, they did raise the concern that many countries dependent on the Global Fund revised and re-oriented their own national strategies to be in line with Global Fund needs. This situation should be addressed as the national priorities in these countries could be compromised.

The 2015 Strategic Review considered prioritisation in programme design and budgeting, and found mixed results from Global Fund interventions responding to the needs of targeted groups. Target groups for the Global Fund include people living with and/or affected by HIV, tuberculosis and malaria, and within this a focus on key populations. Case studies in 16 countries found that despite a strong focus on key populations there are challenges with translating good key population analysis into effective programmatic interventions. For example, in the Democratic Republic of the Congo, health equity was promoted on paper, but was silent on gender and HIV discrimination; in Haiti, national programmes promoted human rights and were gender-sensitive but there was a lack of gender-specific services, and Global Fund grants were not supporting improvements in this area. This was also the case in Nigeria and Rwanda. However, in some cases there is weak key population analysis and the needs of adolescent girls and young women were not well covered.

KPI 11: Results delivered efficiently

The Global Fund's performance against this KPI is rated as **satisfactory**.

Efforts to improve corporate efficiency: The 2015 Impact Report indicates that operating expenditure is decreasing because of the new funding model, disciplined cost control, efforts to save money and adherence to a prudent budgeting framework. Operating expenses are kept below the budget of USD 300 million. There are significant corporate efficiency measures, and an increased focus on value for money. However, there is no institutional definition of value for money or independent assessments of value for money.

Procurement mechanisms and supply chains have significantly improved, with nearly USD 600 million saved over two years by pooling procurement. An online platform, which is currently working as an active pilot and will soon be available internationally, will provide increased transparency, improved reliability and lower prices for quality-assured medicines and health products. Direct savings have also been achieved in supply areas releasing more money to put people on treatment.

Interviews indicate a high level of understanding of the costs of doing business in challenging operating environments where distribution and travel costs are much higher, implementation is often through multiple NGOs, and security measures cost money. However, a process is in place to identify what one interviewee termed ‘pain points’ in these settings, where things are not working, and there are opportunities for differentiation and simplification.

The Global Fund’s reporting against various KPIs show that it achieves a fair level of efficiency in operational results, particularly in the areas of Secretariat functioning and grant management. An important improvement is in procurement through the pooled procurement mechanism achieving increased on time and in-full delivery of core health product, which indicates that this could produce good savings once more countries begin to use it. Where the Global Fund struggled to meet targets, in the area of grants disbursement, absorptive capacity will have to be further addressed by country teams.

KPI 12: Sustainability of results

The Global Fund’s performance against this KPI is rated as **satisfactory**.

Clear intent and approach on sustainability of results yet to be consistently realised: The 2015 Strategic Review found sustainability at the country level is patchy, although it is a high priority for senior management and the Board, and a number of actions are being taken. The co-financing policy has focused on financial analysis and set low benchmarks. It has struggled to stimulate sustainability planning. There are instances of sustainability and impact, but these are not yet systematic. Examples include a human rights-based HIV law in Honduras; in Ethiopia 93% of hospitals and 80% of health facilities implementing a new integrated health management information system.

The increased focus on sustainability and health systems strengthening reflects the Global Fund’s view that these form the basis of a country’s ability to contribute to advancing the fight against the three diseases and ending the epidemics. These processes also help countries transition away from Global Fund support in a way that ensures that their health systems continue to appropriately scale up their disease responses - China and Mexico were the first countries to transition. The transitioning process is well developed and there are now criteria that enable country teams to support the process. A review of health systems strengthening work showed examples of improved health systems management but this is not evidence in itself of sustainability. The extent of likely sustainability is not really known at this stage given the new funding model’s lack of full-scale evaluations. However, the Global Fund is consciously working to put sustainability building blocks in place within the framework of the new funding model. This is a reflection of the Secretariat’s continuous refinement and maturing of approaches while operating in difficult political and social spaces.

The Counterpart Financing Policy which in April 2016 became the Sustainability, Transition and Co-Financing Policy has led to increased domestic investments and to examples of health system strengthening and additional government commitments of USD 5.7 billion to health over a three-year period. Domestic financing accounts for over half of funding for HIV and more than three-quarters for tuberculosis, with

around one-quarter for malaria. Seven countries have taken over HIV disease programme costs, three have taken over tuberculosis programme costs, and four are committed to increased resourcing for key populations. For the 2014-2016 allocation period, 15% of the country allocation was contingent upon additional domestic co-financing commitments. The revised co-financing policy has a co-financing commitment of *at least* 15% which can be revised upward, and where these investments can be made depends on a country's income level and disease burden.

Under the new funding model, well-coordinated in-country processes for co-ordination and harmonisation; identification and provision of technical assistance; evaluations and/or assessments; and different funding models have led to effective investments in health systems. However, many countries lack the internal structural capacities to discuss longer-term sustainability for dealing with disease.

The Health Systems Strengthening Review found that opportunities exist to further improve guidance, for better co-ordination with other development partners, and to build in-country capacity in cross-cutting areas in order to build resilient and sustainable systems for health.

The new funding model is in the main a response to country complaints about the extent, complexity and time-consuming nature of the rounds-based funding model. The internal restructuring, aligned to country needs, grant sizes and disease burdens, was also aimed at enabling country partners to get better at grant absorption and delivery. How successful these initiatives are will only become clear when impact is measured in two to three years' time.

The 2015 Strategic Review found a number of examples where the legislative environment had improved to ensure human rights protection. The Global Fund believes it can contribute to sustainable and robust health systems through other interventions including using private sector partners, such as the Coca-Cola Company for logistics and SAP for human resources management, to get commodities and services to ultimate end users; supporting delivery of programmes and services to groups criminalised for their orientation and/or behaviour (such as sex work, needle exchange, MSM-friendly health services); and contributing to the survival of civil society organisations who hold governments to account.

Ultimately sustainability requires political will and engagement of government leadership and institutions as well as civil society. The search for sustainability is ongoing, currently through ten country studies on sustainability strategies.

There is a link between lives saved, as ascertained through the lives saved model, and the level of financial expenditure of the Global Fund at the aggregate level. Therefore, while the Global Fund may still struggle to identify specific country-level contributions or impacts, it is contributing to the changing face of the three diseases. Global Fund approaches include elements that push boundaries and provide opportunities for more systemic change, as well as examples that can be implemented beyond the health environment. The Global Fund has developed innovative practices that could be emulated in other sectors. Good examples are its work in establishing target group dialogues as part of proposal drafting, including gender and governance issues in programming, challenging indirectly illegal situations, and defining requirements for good management of a public service health system. Also, the Country Coordinating Mechanism structure could potentially bring together sector stakeholders to consider necessary changes to a particular environment.

Development Effectiveness scoring summary

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
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PERFORMANCE AREA: RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way.

KPI 9: Achievement of results	MI 9.1	MI 9.2	MI 9.3	MI 9.4	MI 9.5	MI 9.6
KPI 10: Relevance of interventions	MI 10.1	MI 10.2	MI 10.3			
KPI 11: Results delivered efficiently	MI 11.1	MI 11.2				
KPI 12: Sustainability of results	MI 12.1	MI 12.2	MI 12.3			



3. CONCLUSIONS



3.1 CURRENT STANDING OF THE ORGANISATION AGAINST REQUIREMENTS OF AN EFFECTIVE MULTILATERAL ORGANISATION

This section of the report brings together the findings of the analysis against the micro-indicators (MIs) and Key Performance Indicators (KPIs) of the MOPAN assessment methodology to report against MOPAN's understanding of the current requirements of an effective multilateral organisation. These are reflected in four framing questions corresponding to relevance, efficiency, effectiveness and impact/ sustainability.

Illustrative quotes from Partner Survey on overall performance

"Its partnership model remains a great strength."

"The scale of Global Fund's operations gives a significant influence in mobilising domestic resources for health, securing government commitment to addressing problems and shaping commodity markets."

"Global Fund is evidence-based, logical and very objective. Subjectivity is almost non-existent."

RELEVANCE

Does the Global Fund have sufficient understanding of the needs and demands it faces in the present, and may face in the future?

The Global Fund has developed a comprehensive and nuanced role in the global effort to eradicate HIV and AIDS, tuberculosis and malaria by 2030. The consultative processes to develop and finalise strategic plans show that the Global Fund is also open to engagement and debate with a wide range of partners and stakeholders. This engagement extends to the development of indicators, further showing the Global Fund's commitment to remaining relevant to partner and country agendas. The improvements in Board member selection and communications also point to organisational responsiveness to contextual needs. Management feels that Board constituencies serve as an effective stimulus to local-level discussions on challenging issues and solutions that are critical for impact (e.g. fund absorption).

The Global Fund clearly understands its role as a financing institution that implements indirectly, through its partners, and responds to needs articulated by the multi-stakeholder structure of the Country Coordinating Mechanism. However, the Global Fund has and continues to look for ways to support and enhance implementation and build the capacity of its implementing partners. The new funding model was a comprehensive reframing of the grant-making modality, and was undertaken as a response to partner criticisms of the previous framework. However, a number of consultative fora and mechanisms, such as the Partnership Forum and Network as well as the Secretariat country teams and ad hoc consultation processes, provide ongoing information about the relevance and usefulness of Global Fund processes. Newly approved policies such as the Challenging Operating Environment Policy and the Sustainability and Transition Policy are good examples of the Global Fund's ability to remain relevant into the future.

There is a clear commitment to progressing normative frameworks through the application of the new funding model, which requires grant applications to be aligned with national plans and targets. However, in a number of cases applicant countries have adjusted their national plans to be in line with the Global Fund rather than vice versa. This is an area to be monitored, and capacity-building assistance needs to ensure that Country Coordinating Mechanisms understand and drive their country priorities.

While the new funding model has not yet been evaluated in all aspects, reviews indicate that interventions are relevant to their intended target populations. However, there is room for improvement in terms of more focused programmes to address gender and barriers experienced by key populations. Within the Secretariat, this is apparently well understood. The fact that the Global Fund is now more effectively involved in joint UN coordination mechanisms will also help to ensure high relevance.

There is an effective internal practice of reflection and sharing of information within the Secretariat to take the institutional memory beyond individuals and into an accessible knowledge management system. However, this is not formally documented. The Country Coordinating Mechanism is a good example of bringing together a wide range of country stakeholders into a consensus structure, and could have use beyond the health sector. This is also not documented; and systematic documentation may help to build a strategy to address the systemic weaknesses in this key structure.

There is good evidence that the Global Fund achieves leverage and builds catalytic partnerships to enhance implementation at national level. Some examples are the Innovation Hub which leverages private sector expertise, and the pooled procurement mechanism.

EFFICIENCY

Is the Global Fund using its assets and comparative advantages to maximum effect in the present, and is it prepared for the future?

The Global Fund's organisational architecture is clearly well aligned to its strategy, and management is constantly aware of the need to improve efficiency and effectiveness. The grant allocation process under the new funding model is intended to focus financial resources where there is most need and the highest disease burden. Resources are generally disbursed as planned, and there is an increasing focus on absorptive capacity at the country level.

A clear internal culture of change readiness exists at management level. A range of focused projects aim to address gaps identified by consultative processes and reviews and evaluations. These internal projects (Accelerated Integrated Management, Implementation Through Partnerships, Strategies to Advance Gender Equality, and the Differentiation Initiative) are closely aligned to Global Fund strategic priorities, are strictly time-bound, have very specific outputs, and have drawn on existing Secretariat resources. Internal human resources processes are also geared to optimising efficiencies and maximising skills use across the organisation. Staff are moved as necessary, and the alignment of country team size to grant and disease burden size indicates that the Global Fund is allocating its financial and human resources according to strategic priorities.

The pooled procurement model and the resultant e-platform show great potential to leverage large savings and increased efficiencies in procurement of medicine and health sector equipment – initially for the Global Fund but ultimately for all countries who access it. An acknowledged area for improvement is 'the last mile' – getting medication to ultimate users – and this is a critical focus in the next period, as failure in this space negates gains in all others.

The Global Fund looks for effective partnerships to enhance its delivery targets. These include leveraging the comparative advantage of private sector enterprises. Civil society is also seen as a critical partner in helping to hold country governments to account.

EFFECTIVENESS

Are the Global Fund systems, planning and operations fit for purpose? Are they geared in terms of operations to deliver on their mandate?

The Global Fund is broadly fit for purpose in terms of the internal policies and systems required to operate efficiently and effectively as a multilateral organisation. The Global Fund's operating model is appropriate for a funding institution in a development environment, and it includes thoughtful and evolving mechanisms to support implementing partners. There is both direct and indirect support which includes online modules to inform partners, a capacity support unit within the Secretariat, specialist staff based in country teams and funds focused on data quality improvement.

Together, the internal restructuring process and the new funding model have focused planning and operations more clearly on the Global Fund's mandate. The increasing focus on results-based planning, management and reporting has required an intensive interrogation of the data available to validate results. The requirement for accurate and sufficient data can be undermined by the imperative to work within country systems, which often provide inadequate data. This spurred a drive to improve country-level data that is currently in process. There is increasingly an emphasis on the need for baseline information in concept notes, and this should be incorporated as a requirement in the guidelines to further embed good practice at country level.

An important element of Global Fund potential for increasing effectiveness is the focus on health systems strengthening, which is also a prerequisite for sustainability. This area is recognised as central to achieving effective management of universal health coverage; the eradication of the three diseases is impossible without strong and robust national health systems. A health systems strengthening focus is therefore included in all concept notes and is integrated into the disease-specific focus. Reviews found that health systems strengthening interventions have to date had limited success. This reflects the need for political and societal buy-in before this aim can be realised. To make progress in this challenging space will require the Global Fund to seek further innovative advocacy and incentivised approaches.

There is good evidence that the Global Fund has integrated cross-cutting issues into its thinking and has embraced the challenge of how to operationalise and monitor these elements. There are a number of areas for improvement, particularly in ensuring adequate initial analysis (this is often hampered by lack of data and information), and in the need to tackle access barriers in programming. The Global Fund is aware of these gaps and work is underway to close them. However, the one notable absence is environmental sustainability. This will soon become a serious gap in contexts where hazardous and/or non-biodegradable medical waste is produced. Many high-burden countries are also currently experiencing increased vulnerability due to climate change, and big cities are facing increasing waste management challenges.

Internal financial systems operate effectively, with sound risk management, accountability and fraud detection guidelines and/or processes in place. It is notable that the Global Fund has recently improved its banking arrangements, moving away from the World Bank as its sole banker, and has used learning from implementation of the new funding model to professionalise internal financial systems. External audits of Secretariat operations are publicly available and the Global Fund has been found to operate in accordance with international financial good practice standards.

The Office of the Inspector General (OIG) is responsible for internal audit and monitoring whether the Global Fund is operating within its mandate and according to good practice. An external review of the Office of the Inspector General showed that it was compliant with all international standards and good practice.

The Technical Evaluation Reference Group (TERG) is responsible for external evaluations and reviews. Although it is based within the Secretariat, the TERG acts independently through a separate work plan. Evaluations and reviews reviewed show a rigorous approach to evaluation, but it was not clear whether there was a sufficiently broad coverage of evaluation.

IMPACT/SUSTAINABILITY

Is the Global Fund delivering and demonstrating relevant and sustainable results in a cost-efficient way?

The Global Fund has demonstrated a solid level of performance over the past period in relation to achieving its stated objectives. The organisation has reported extensively on achievements. However, determining whether these achievements will lead to long-term sustainability cannot be stated with certainty.

A range of achievements, however, are establishing the prerequisites for sustainability. For example, Global Fund interventions in a number of countries have contributed to changes in the legislative environment aimed at improving human rights protection. Global Fund interventions have enabled the establishment of 78 National Health Accounts with sub-accounts per disease, which will enable national governments to understand the full cost of each response. There have been increased domestic financing commitments over the past three years, and the Global Fund reports that domestic financing now accounts for over half of funding for HIV and more than three-quarters for tuberculosis, with around one-quarter for malaria. Seven countries have taken over HIV disease programme costs, three have taken over tuberculosis programme costs, and four are committed to increased resourcing for key populations.

These gains are significant, but it will be important to monitor them to see whether legislation is implemented and whether countries currently fully funding disease programmes continue to do so. Also, many countries do not yet have the internal structural capacities to discuss long-term sustainability for dealing with the diseases. Where this is the case, the sustainability of building this local-level capacity must be assessed.

The Health Systems Strengthening Review found that opportunities exist to further improve guidance, including better co-ordination with development partners and deepening in-country capacity to deliver on cross-cutting areas. It will be important to ensure that as many countries as possible buy into the pooled procurement mechanisms, which will save significantly on commodities and release funds for other aspects of health system strengthening.

Sustainability relies on the willingness of politicians to serve their citizens appropriately, and the strength and ability of civil society to hold government and leadership to account. These conditions depend on internal local conditions and need nurturing, and each country will require different strategies. The Global Fund continues to look for ways to support sustainability through ten country studies.

The Global Fund has shown that lives are saved where it invests. It encourages beneficiaries to explore opportunities for systemic change that further enables effective country-level management of the three diseases. It was apparent that the Global Fund is a flexible organisation that responds to changing contexts, and one that seeks to identify and implement practical and cost effective solutions to identified challenges.

3.2 The performance journey of the organisation

This is the first MOPAN assessment of the Global Fund. The 2016 MOPAN assessment reveals some areas where performance could be strengthened and improved. However, the overall conclusion of this assessment is that the Global Fund is a 'change fit' organisation and confidently meets the requirements of an effective multilateral organisation that is fit for purpose.

The Global Fund is providing strong leadership in the global response to HIV and AIDS, tuberculosis and malaria, and its organisational architecture is well aligned to its mandate. The Global Fund is delivering substantive results from its programmes and interventions and is well positioned, through its increasing emphasis and clarity of approach on health systems strengthening coupled with existing strengths in strategic and operational management, to increase the impact from its investments.

The Global Fund's internal structures, processes and procedures support efficient and effective operations in line with the organisation's mandate. Against the 12 MOPAN key performance indicators (KPIs) the Global Fund achieved a highly satisfactory rating for three KPIs, and a satisfactory rating for nine KPIs. For those KPIs given a satisfactory rating, due to the identification of areas for improvement or specific challenges faced, scores were generally at the upper end of the satisfactory rating scale, indicating a strong performance overall. The survey results indicate a high level of external partner satisfaction with the Global Fund's performance, with most areas rated as positive.

Constant change can be disruptive to organisational functioning but the Global Fund has managed its internal ongoing change processes very effectively. Importantly, it was clear how each change was directly linked to achieving more effective processes and better results. Interviews suggested a dynamic management approach and an internal culture that thrives on challenge and change. As well, changes are carefully managed. A transition team made up of representatives from across the organisation supported the implementation of the new funding model. Staff were oriented to change through training and change management interventions.

There is a clear understanding of the pitfalls of the development environment, and particularly the difficulties in developing countries where an added barrier is delivering through partners over whom there is no direct control. However, the Global Fund increasingly sees itself as a learning organisation, and staff are geared to finding solutions that work best and deliver the highest impact. Innovation is valued.

Table 2: Strengths identified in 2016


Strengths
<ul style="list-style-type: none"> ● Leadership provides clear direction and a proactive approach to innovation and change. Staff have a clear idea about what is expected of them and they are also clear about the particular contribution this makes to achieving organisational goals. The commitment to building a flexible, agile organisation is reflected in the descriptions of special change projects and what they are tasked to achieve, and the specific timeframe given to these projects. Staff proposed innovations are adopted. Overall, staff clearly expected and welcomed the challenges presented by frequent change.
<ul style="list-style-type: none"> ● Significant organisational restructuring made in direct response to partner-identified operational challenges. The new funding model, and in particular the different times available for submitting applications was a direct response to country-level complaints about how the old submission timetable did not align to their financial cycles. The revision of the size of country teams and the challenging operating environments policy changes were also direct responses to challenges experienced by implementing partners. High burden countries needed more frequent and a wider variety of support, as did fragile states.
<ul style="list-style-type: none"> ● Risk management improved at all levels, and despite a low operational budget, human resources and results-based budgeting are well-aligned to strategy. The need for risk management was mentioned by staff at all levels, and they were able to discuss mitigating activities, as well as the challenges they experienced in balancing risk against results required by the strategy. Risk management is not yet completely implemented, but a firm foundation has been laid at all levels.
<ul style="list-style-type: none"> ● Partnerships are vibrant and effective. The Global Fund believes strongly in engagement with civil society as a key lever of influence in country programmes, particularly in situations where particular groupings or sub-populations' sexual orientation or activities may be criminalised. This also serves to increase credibility for supported programmes. The Global Fund also leverages private sector skills to address operational gaps by looking for good practice in particular areas of work in the private sector (one example is logistics), and negotiating for capacity enhancing assistance to be provided to implementing partners.
<ul style="list-style-type: none"> ● Commitment to practical implementation of results-based management. The Global Fund implements a range of internal systems and processes aimed at more systematic tracking of results and linking expenditure to results. Comprehensive and detailed results reporting shows improved outcomes for the three diseases in countries where the Global Fund invests. The staff performance management system also links individual objectives and deliverables directly to organisational results.
<ul style="list-style-type: none"> ● Addressing data quality to track outcomes. The Global Fund has a number of initiatives to address the acknowledged challenge of poor country-level data quality and quantity gaps. This ranges from ring-fenced funds to help countries improve their data systems, to advisory support from the country teams for implementing partners. The Global Fund is aware that this is a longer-term project, but recognises that improving country-level data is a critical part of sustainability.

Table 3: Areas identified for improvement and/or attention in 2016**Areas for improvement**

- **Integration of cross-cutting issues.** Whilst there is a significant improvement in the focus on and analysis of cross-cutting issues this analysis is not consistently carrying through from concept note stage into programming and linked financing. This is a particular issue in relation to key populations. Staff with responsibility for supporting the integration of cross-cutting issues are thinly stretched over the breadth and depth of Global Fund programmes. A more realistic resource allocation should ensure full integration of these issues throughout the business value chain.
- **Impact measures for cross-cutting issues.** There are now gender focused elements in the Global Fund strategy. Building a range of cross-cutting issue impact measures into accountability systems, including corporate reporting and evaluation would contribute to more focused programming at country level, and results which could also contribute to a stronger awareness of the links between health system outcomes and human rights.
- **Health system strengthening.** Whilst acknowledged as a key pillar of sustainability and a long term challenge there has been little improvement in this area. The Global Fund has found it difficult to track exactly when and how countries spend the 15% (or more) local investment required to unlock part of the Global Fund grant. Internally, ways need to be developed so that even small gains made in health systems strengthening can be tracked. The extent to which country systems are used for Global Fund grants is an important measure.
- **Capacity analysis** at the country level. There are inconsistencies in how this is undertaken, particularly in the context of plans to scale up interventions. Ensuring that implementing partners have sufficient capacity is a critical part of building sustainable systems, and failures are risks for Global Fund credibility and legitimacy.
- **Speed of administrative processes** at all stages of grant implementation. The new funding model has made a big difference to external perceptions about the speed of Global Fund bureaucracy, as evidenced by survey responses. However, the Partnership Forum indicated that there were still problems. The capacity of Primary Recipients is also probably a key factor in sub-recipients experiencing delays. This requires careful monitoring of those grants which fall outside the optimal disbursement timeframe, and swift remedial action. This will build the Global Fund's credibility as an agile, responsive organisation.
- **Evaluation.** The Global Fund conducts evaluations and/or evaluations are being undertaken by partners. There is good popular communication of evaluations/results in pamphlet form. However, there is limited availability of full evaluation reports with clearly outlined methodologies reflecting a more systematic and quality assured evaluative approach. Also, the Global Fund has a relatively informal process of communicating lessons learned and recommendations. This limits the consideration by day-to-day operations and the building of institutional memory.
- A formal system to identify and address **poorly performing interventions.** There is awareness within the Global Fund structure of which interventions/countries/Principal Recipients perform poorly, but this intelligence is gathered relatively informally. To ensure building good lesson learning as well as institutional memory, it is advisable that a more formal system is set up to document and follow up on poorly performing projects.



4. ANNEXES

1. Detailed scoring and rating on KPIs and MIs for the Global Fund
 2. List of documents analysed for the Global Fund
 3. Process map of the MOPAN 3.0 assessment of the Global Fund
 4. Results of the MOPAN survey of the Global Fund
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Annex 1: Detailed scoring and rating on KPIs and MIs for the Global Fund

The Scoring and Rating was agreed by MOPAN members in May 2016.

Scoring

For KPIs 1-8: The approach **scores** each Micro Indicator per element, on the basis of the extent to which an organisation implements the element, on a range of 1-4. Thus:

Score per element	Descriptor
0	Element is not present
1	Element is present, but not implemented/implemented in zero cases
2	Element is partially implemented/implemented in some cases
3	Element is substantially implemented/implemented in majority of cases
4	Element is fully implemented/implemented in all cases

For KPIs 9-12: An adapted version of the scoring system for the OECD DAC's Development Effectiveness Review is applied. This also **scores** each Micro Indicator on a range of 0-4. Specific descriptors are applied per score.

Score per element	Descriptor
0	Not addressed
1	Highly unsatisfactory
2	Unsatisfactory
3	Satisfactory
4	Highly satisfactory

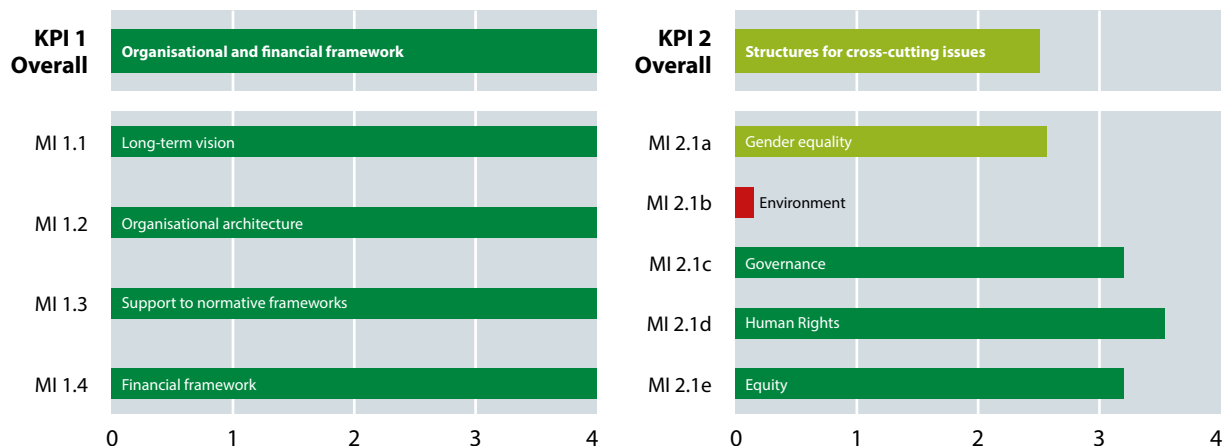
Rating

Taking the average of the constituent scores per element, an overall **rating** is then calculated per MI/KPI. The ratings scale applied is as follows:

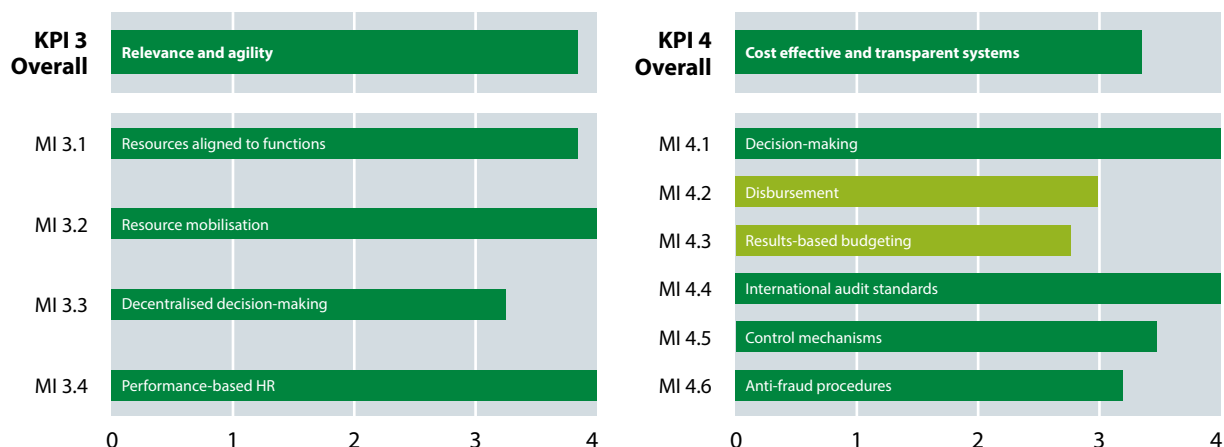
Rating	Descriptor
3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0-1	Highly unsatisfactory

MOPAN scoring summary

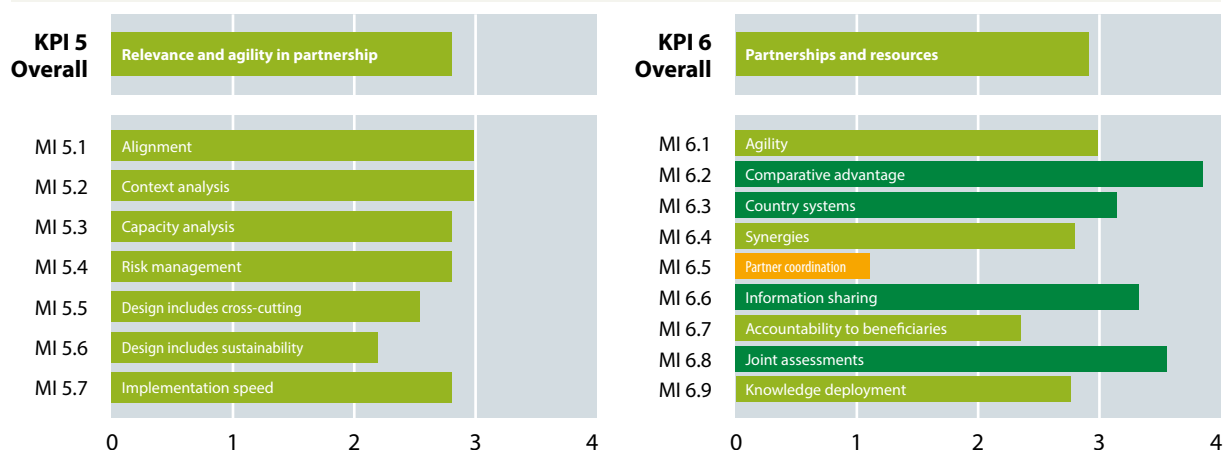
PERFORMANCE AREA: STRATEGIC MANAGEMENT



PERFORMANCE AREA: OPERATIONAL MANAGEMENT

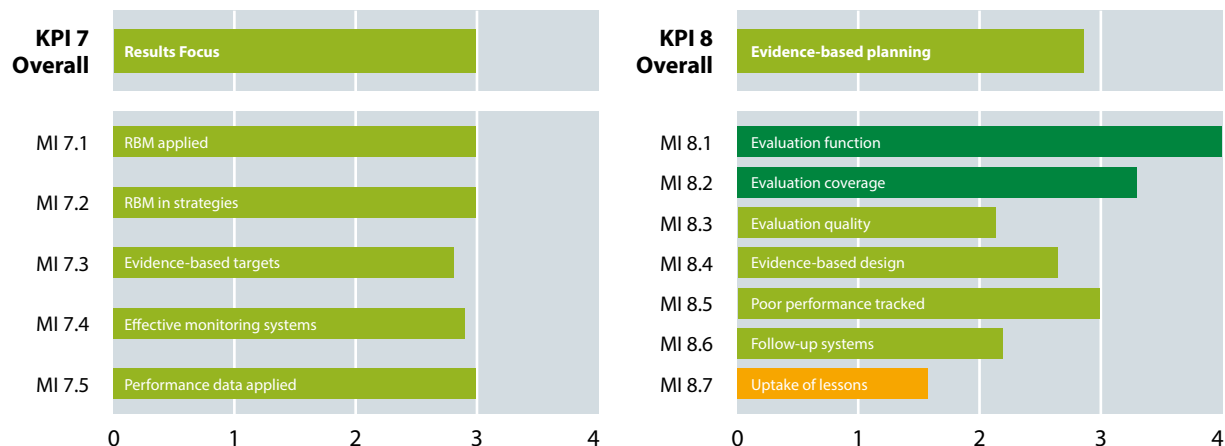


PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

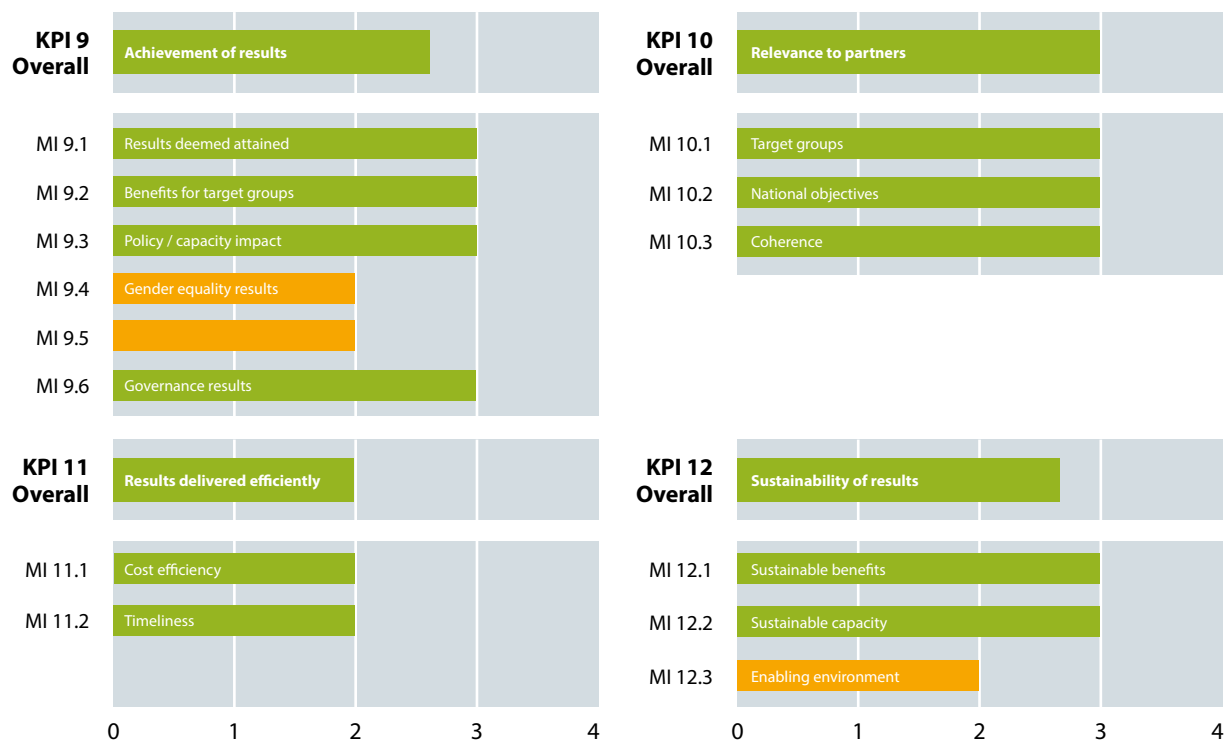


MOPAN scoring summary

PERFORMANCE AREA: PERFORMANCE MANAGEMENT



PERFORMANCE AREA: RESULTS



SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

Performance Area: Strategic Management

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

KPI 1: Organisational architecture and financial framework enables mandate implementation and achievement of expected results

Overall KPI Score

4

Overall KPI Rating

Highly satisfactory

MI 1.1: Strategic plan and intended results based on a clear long term vision and analysis of comparative advantage

Element	Score	Narrative	Source Documents
Element 1: The Strategic Plan (or equivalent) contains a long-term vision	4	<p>The Global Fund's current Strategy 'Investing for Impact' (2012-2016) is based on a clear long-term vision geared to the achievement of the MDGs. The 2017-2022 Strategy, 'Investing to End Epidemics', approved in July 2016, contains a clear vision and mission statement: Vision: 'A world free of the burden of AIDS, TB and malaria, with better health for all'. Mission: 'To attract, leverage and invest additional resources to end the epidemics of HIV, TB and malaria and to support attainment of the Sustainable Development Goals.'</p> <p>The vision and mission, the associated strategic direction, and the intended results have been formulated through a consultative process, as befits a partnership-based organisation. All those interviewed spoke definitively about the results required in their area of focus, how these related to the overall results required by the strategy and objectives. The shifts between the 2012-2016 and the 2017-2022 strategies indicate that the Global Fund takes account of partner inputs to ensure its ongoing relevance.</p> <p>The Strategic Plans do not contain a statement about comparative advantage but implicit analysis is present, with specific references to the Global Fund's market position, its role as a financing instrument, ability to leverage, performance based funding, and its track record in combating the three diseases. Similar analysis exists across a range of strategic documentation.</p> <p>The 2015 Strategic Review Synthesis report however found some tensions between different strategic objectives which led to a lack of prioritisation within or between objectives. A report from the Development Continuum Working Group in 2015 analysed the Fund's strategic positioning in relation to the evolving health and development landscape, concluding that to meet the challenges of the future, the Fund would require greater differentiation, improved sustainability planning, greater responsiveness to health needs in</p>	1, 2, 6,7, 31,32,34, 37,38, 42, 43,44, 51, 52, 53, 55, 56, 92
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	4		
Element 3: A strategic plan operationalizes the vision, including defining intended results	4		
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	4		
Overall Score:	4		

		challenging operating environments and greater engagement with pro-health human rights frameworks. In response, the 2017-2022 Strategy reflects all of these areas, including within its Key Performance Indicators, as do a range of separate Policy instruments (Policies for Challenging Operating Environments, Sustainability, Transition and Co-Financing and Eligibility). The 2017-2022 Strategy Implementation Plan is currently under development.	
Overall Rating:	Highly satisfactory		High confidence

MI 1.2: Organisational architecture congruent with a clear long term vision and associated operating model

Element	Score	Narrative	Source Documents
Element 1: The organisational architecture is congruent with the strategic plan	4	<p>As a partnership comprised of governments, civil society, the private sector, and people affected by the three diseases, the Global Fund has built its structure to include representatives from donors, implementers and key partners. The organisational architecture at the operational level is focused on delivery and aligned to the needs of the current Strategic Plan. Significant organisational reform was completed in 2012, to better align structures, roles and responsibilities with the Fund's Strategic Vision and Mission. A 2014 Office of the Inspector General (OIG) review of governance processes found satisfactory performance in three of the six core functions with improvements necessary in Risk Management, Organizational Performance and Governance Oversight.</p> <p>The Board has since approved a Governance Performance Assessment Framework, which introduces annual assessments of the effectiveness of the Board, committees and their leadership. The 2105 Strategic Review does not report on the effectiveness of changes made, but records improvements in lines of communication from Board committees to the Board, increased Secretariat support to countries, and increased assertiveness on how and where money is deployed.</p> <p>The Global Fund Board is notable as a Multilateral Organisation governance structure in the way it includes civil society at the table with an equal voice. The engagement of Board constituencies around critical local level issues which influence impact confirms that the 'without country office model' of the Global Fund 'could and should work'.</p>	1, 2, 3, 7, 16, 18, 30, 42, 43, 45, 51, 56, 69, 78, 79
Element 2: The operating model supports implementation of the	4	As part of reviewing the operating model frequently, under the Differentiation for Impact initiative, efforts have been made to restructure management functions to better prioritise	

strategic plan		<p>and focus resources ensuring that the structure is relevant to operational needs. Examples include changes to the structure of Country Teams, and identification of 35 countries with low disease burdens and low-risk operations, to enable ‘right-sising’.</p> <p>The Global Fund’s operating model is one of delivering through partners. The internal culture being built is one of innovation and flexible adaptation. Many talked about the need to move people around to ensure that the appropriate skills sets were gathered to implement new approaches to delivery. The organisation is geared to working in multi-dimensional teams with a lot of cross departmental communication and consultation processes. There was strong evidence of cooperation on the ground, particularly in descriptions of work in Challenging Operating Environments (COEs) like Somalia, Central African Republic and Liberia.</p> <p>The cascade of results from the strategic objectives was mentioned by all those interviewed who clearly felt a responsibility to contribute to these results/ objectives. The GF also consciously works within the broader aid and development environment. In its own strategic results and when working with country implementation processes, the Global Fund draws on the protocols and guidance produced by the specialist UN agencies such as WHO and GAVI to ensure that plans comply with international norms and standards.</p>
Element 3: The operating model is reviewed regularly to ensure continued relevance	4	
Element 4: The operating model allows for strong cooperation across the organisation and with other agencies	4	
Element 5: The operating model clearly delineates responsibilities for results	4	
Overall Score:	4	
Overall Rating	Highly satisfactory	High confidence

MI 1.3: Strategic plan supports the implementation of wider normative frameworks and associated results (i.e. the quadrennial comprehensive policy review (QCPR), replenishment commitments, or other resource and results reviews)

Element	Score	Narrative	Source Documents
Element 1: The strategic plan is aligned to wider normative frameworks and associated results	4	<p>The Global Fund Strategic Plan is explicitly aligned, and closely geared, to international normative frameworks including relevant goals and targets. These comprise mostly international health and gender frameworks and targets; specifically, the Sustainable Development Goals (SDGs) (formerly the Millennium Development Goals (MDGs)) but also other normative frameworks and plans such as Stop TB and Roll Back Malaria. The Global Fund's goals and targets fit within the framework of SDG3, and are aligned with the target identified, to end the epidemics of HIV, TB and malaria by 2030. QCPR (Quadrennial Comprehensive Policy Review) elements are also closely linked to the Strategic Plan, such as the need to build capacity in recipient countries and the need to ensure gender equality in Global Fund grant implementation. Health Systems Strengthening work attempts to address implementation of normative frameworks within countries. In particular, the Global Fund draws on the protocols and guidance produced by the specialist UN agencies such as WHO and GAVI to ensure compliance with international norms and standards.</p> <p>Results related to such normative frameworks are tracked based on information coming from country level. Such reporting can only be as good as the data available, which is acknowledged to be variable in quality and quantity. The Global Fund publishes its results annually and does attempt to track contribution and attribution. High level results are the product of a modelling system which draws data from WHO, UN agencies and a range of other sources.</p>	1, 2, 8, 31, 32, 33, 42, 43, 44, 56, 61, 74, 92
Element 2: The strategic plan includes clear results for normative frameworks	4		
Element 3: A system to track results is in place and being applied	4		
Element 3: Clear accountability is established for achievement of normative results	4		
Element 4: Progress on implementation on an aggregated level is published at least annually	4		
Overall Score:	4		Medium confidence
Overall Rating:	Highly satisfactory		

MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation

Element	Score	Narrative	Source Documents
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	4	<p>The Fund's financial framework is in line with its operating model as a financing institution (not an implementing agency) and its nature as a public private partnership. All resources (95% public and 5% private) are currently provided by donors. A ceiling is set on resources available for operating costs vis a vis grants (\$300million). The Secretariat has reported operations budgets coming in below this ceiling, and aims to maintain this. All donor funding is placed into the Global Fund pot without conditions. Replenishment rounds take place every three years. Under the New Funding Model introduced in 2014, the grant portion of the budget is structured according to the Allocation Methodology, which uses a set of criteria related to highest burden of disease and greatest need to determine the available amounts, against which countries submit applications.</p> <p>The New Funding Model (NFM) places an emphasis on alignment with country schedules, context, and priorities; countries with the highest disease burden and lowest ability to pay; simplicity and predictability; and full expression of demand/reward ambition. Grant management under the NFM requires beneficiary countries to produce consulted proposals based on national strategic plans. Grant Management staff work closely with the proposal process to ensure that national priority areas are targeted and realistic goals are set.</p> <p>A country survey finds 84% had a positive overall experience applying for funding, and 73% found the new application process better than the previous system.</p> <p>Since 2012, the Counterpart Financing Policy (since April 2016 the Sustainability, Transition and Co-financing policy) has set out new requirements for domestic funds to access grant funding, with positive effects (for the 2014-16 period 15% of the allocation was only accessible with additional government contributions, and going forward 15% and upwards is contingent on additional domestic contributions), although it is difficult to monitor this.</p>	
Element 2: A single integrated budgetary framework ensures transparency	4		
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	4		
Element 5: Policies/measures are in place to ensure that earmarked funds targeted at priority areas	4		
Overall Score:	4		High confidence
Overall Rating:	Highly satisfactory		

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels

Overall KPI Rating

2.6

Overall KPI

Satisfactory

MI 2.1: Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for cross-cutting issues.

a) Gender equality and the empowerment of women

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	3	<p>A gender strategy was approved in 2008 and gender features as a Strategic Objective in the new Strategic Plan 2017-22: 'Promote and Protect Human Rights and Gender Equality'. It is supported by a KPI on 'Reduce gender and age disparities in health' and an Operational Objective to 'Scale up programs to support women and girls, including programs to advance sexual and reproductive health and rights'.</p> <p>The Board has allocated USD 15 million for technical assistance on community, rights and gender; this amount was drawn from a special initiatives fund of USD 100 million that is aimed at supporting civil society and community engagement in community dialogue and concept note processes to ensure inclusion of HIV, key population and gender issues. Catalytic funding of USD 800 million for the next period (2017 -22) includes strategic initiatives, matching funds, and multi country grants that will provide continued funds for the CRG SI, matching funds for human rights, AGYW (adolescent girls and young women) and key populations programs, among other things. "</p> <p>Catalytic funding of USD 800 million for the next period (2017 -22) includes strategic initiatives, matching funds, and multi country grants that will provide continued funds for the CRG SI, matching funds for human rights, AGYW (adolescent girls and young women) and key populations programs, among other things. Global Fund programmes have been resourced to shift these barriers. M&E of this is planned in the operational plan, and the process is seeking indicators to confirm significant change, which includes supporting the Concept Note drafting process. A rapid review of results, gaps and lessons from the</p>	1, 2, 5, 7, 9, 10, 26, 31, 32, 35, 37, 40, 41, 42, 43, 51, 52, 53, 55, 56, 59, 85, 86, 87, 92, 98, 101

Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	4	implementation of strategies and action plans on gender and key populations found gender required further definition as a term . The Strategies to Advance Gender Equality project (SAGE, which is championed by the GF Executive Director) focuses on mainstreaming gender internally in Global Fund and this is being rolled out first in the country teams and then by providing support to integrate gender into country concept notes. Project leads on the ground discuss addressing gender and human rights barriers to treatment of all three diseases. Discussions include experts and community activists and look at what approaches will improve impact'.	
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	2		
Element 4: Gender screening checklists or similar tools used for all new intervention	2	However, there is a disconnect between the size of the challenge of gender mainstreaming and the funding and human resource allocated to it – the gender support team is small and they acknowledge that while there have been significant shifts in conversations and support processes, this has not yet translated into meaningful content and results in programmes on the ground. This is confirmed in the 2015 Strategic Review which found that gender analysis in Concept Notes remains especially weak and that even when these aspects are analysed, prioritising and translating funding ceilings into targeted interventions and grant budgets is applied inconsistently. A Technical Review Panel (TRP) analysis of Concept Notes in 2015 corroborates this: ' <i>...the TRP also noted that some concept notes limit discussion of gender issues to the background section, and corresponding concrete gender-specific interventions are not listed among proposed activities or in the modular template</i> '.	
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	2		
Element 6: Capacity development of staff on gender is underway or has been conducted	3		
Overall Score:	2.67	The TRP has asked the Secretariat to provide guidance to applicants on how to operationalise gender-focused interventions when drafting Concept Notes. The survey of external stakeholders showed widely divergent views on the Global Fund's approach to gender issues, indicating that this strategy is not yet embedded.	
Overall Rating:	Satisfactory	Global Fund staff have requested that gender and human rights indicators are included as part of their job profile accountability framework.	High confidence

b) Environmental Sustainability and Climate Change

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	0	<p>A 2015 Environment Scoping Exercise notes that the Global Fund also has an important responsibility to consider its environmental impact given the scope and nature of the activities that it supports, as well as the impact those can have on the environment. No explicit/comprehensive policy on environmental issues is in place currently, but a trajectory of initiatives is starting to take account of environmental impact. Environment is not mentioned in the current or the 2017-2022 Strategic Plans</p> <p>A 2015 scoping exercise points out that despite five areas of engagement which present environmental implications, and whilst the Global Fund has taken some initial steps towards including environmental concerns in its operations, there is still no clear, focused, mandatory, and monitorable environmental management system in place, in particular for funded activities. The Scoping Exercise report makes 6 recommendations, the first of which is for a clear public commitment to address environmental impacts, with time-bound milestones for implementation.</p> <p>Five rapid assessments of the healthcare waste component of Global Fund grants, undertaken by UNDP, found mixed efforts made to embed environmental concerns: In Bosnia-Herzegovina, Kyrgyzstan, Uzbekistan, Global Fund grants included activities to reduce risks and possible negative environmental impact from the project activities; in Tajikistan, the Global Fund grant relied on the use of national systems, for the management of expired or unused pharmaceutical waste, yet these are considered insufficient, risky and not environmentally sound. In Zimbabwe, further efforts are needed to improve the disposal of waste created by the Global Fund projects.</p> <p>There was no evidence during interviews that environmental sustainability or climate change issues are central to conversations within the Secretariat or with countries and partners. As yet there is no dedicated team or internal capacity development focused on environmental issues.</p>	60, 80
Element 2: Environmental sustainability and climate change indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	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 used for all new intervention	0		
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	0		
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has been conducted	0		
Overall Score:	0.17		
Overall Rating:	Highly Unsatisfactory		High confidence

c) Good governance (peaceful and inclusive societies for sustainable development, reduced inequality, provide access to justice for all and build effective, accountable and inclusive institutions at all levels)

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on good governance available and showing evidence of use	4	The Global Fund's Framework Document emphasises areas relevant to MOPAN's understanding of 'good governance'. These orient mostly around reduced inequality/inclusive societies, through strengthening community participation, giving priority to most affected countries and communities, and aims to eliminate stigma and discrimination. The Partnership Strategy (2009) has good governance as one of the six essential areas that need to be in place beyond grant implementation. The 2012-2016 Strategy included good governance as a strategic enabler, and the 2017-2022 Strategy includes as an enabler 'Support Mutually Accountable Partnerships', which includes an explicit linkage to the Partnership Strategy. Therefore, whilst not an explicit policy statement, principles of good governance are embedded into the Global Fund's key strategic documentation. The Office of the Inspector General is also satisfied that at a corporate level the Global Fund has good practice governance structures and accountability mechanisms.	2, 5, 10, 13, 20, 35, 37, 38, 41, 42, 51, 53, 83, 84, 93,99
Element 2: Good governance indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3	The Country Coordinating Mechanism (CCM) is the forum for programme accountability, and needs to ensure that Principal Recipients are accountable to government and donors for money spent, and responsive to the needs of those infected and directly affected by the three diseases. CCMs/Principal Recipients are assessed during the Concept Note development process and reviewed at various points in terms of structures and functionality, including governance.	
Element 3: Accountability systems (including corporate reporting and evaluation) reflect good governance indicators and targets	2	The Differentiation Process has included an internal capacity building process for staff, which covers reporting and accountability processes. Country teams provide capacity development support to CCMs/PRs, particularly where they have proved to be less capable. An inclusive approach in terms of country representation is therefore embedded. Also, the process of transitioning countries from grant recipient status involves providing support to ensure that the transitioning country has sustainable systems and governance for its health systems.	
Element 4: Good governance screening checklists or similar tools used for all new intervention	4	Currently the Global Fund is the third largest multilateral funding source to 47 countries categorised as fragile, (US\$ 1.4 billion in 2016). The Fund applies different approaches to address governance challenges in these situations through its Challenging Operating Environments Policy (COEs). The Policy specifies a set of governing principles for action in Challenging Operating Environments: these are flexibility, partnerships, innovation, and diversified oversight mechanisms.	
Element 5: Human and financial resources (exceeding benchmarks) are available to address good governance issues	3		
Element 6: Capacity development of staff on good governance is underway or has been conducted	4		
Overall Score:	3.33		

Overall Rating:	Highly satisfactory	External partners surveyed indicated that the Global Fund has a deliberate and fairly visible process of promoting the principles of good governance.	High confidence
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d) Human rights

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on Fragility, Conflict and Violence, cross-cutting issues available and showing evidence of use	4	<p>The Global Fund's commitment to promote human rights at strategic level is reflected as a specific strategic objective in both the 2012-2016 Strategy and the new Strategic Plan 2017-22. Human rights are one of three areas of focus in the new Strategy and this is supported by KPIs addressing the reduction of barriers to services, human rights issues for key populations in middle income and transition countries and five Operational Objectives: Operational objective 3c under Strategic Objective 3 aims to 'Introduce and scale up programs that remove human rights barriers to accessing HIV, TB and malaria services'. Accompanying policies and tools have been developed. Evidence of implementation can be seen in the levels of participation of key populations and human rights experts in country dialogue and the use of work-plan tracking measures and qualitative evaluation of human rights interventions. Other internal measures are the inclusion of human rights in the Global Fund's framework agreements of key performance indicators to measure progress on mitigating human rights violations; training for staff on human rights; and the establishment of a human rights complaints procedure (launched in May 2015). Human rights-related barriers to access and failure to apply Community, Rights and Gender ("CRG") principles are also identified as high risk on the organisational risk register.</p> <p>However, a 2015 Technical Review Panel review of concept notes and the 2015 Strategic Review found a tendency to conflate addressing human rights with addressing the programmatic needs of key populations, and their lack of translation into effective interventions, with investments remaining low. The Global Fund was tasked to improve its level of contribution to evidence-based health policies and pro-health human rights frameworks. This echoes the Secretariat's understanding that health indicators and disease modelling are 'human rights blind', and in particular cannot take account of the specific barriers that different identified populations might encounter when trying to access services, and that barriers to access to health services are effectively issues of</p>	1, 2, 3, 4, 6, 9, 25, 26, 32, 35, 37, 38, 39, 42, 43, 51, 53, 55, 56, 59, 70, 83, 84, 87, 91, 98, 100, 110
Element 2: Fragility, Conflict and Violence indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	4		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect Fragility, Conflict and Violence indicators and targets	2		
Element 4: Fragility, Conflict and Violence screening checklists or similar tools used for all new intervention	3		
Element 5: Human and financial resources (exceeding benchmarks) are available to address Fragility, Conflict and Violence issues	4		

Element 6: Capacity development of staff on Fragility, Conflict and Violence is underway or has been conducted	4	human rights rather than issues related to any specific target group or key population. This broadens the issue and often makes it more effective to address this in a range of countries where certain key populations may be criminalised based on their sexual orientation. The key issue is data availability which is currently being addressed in a range of ways both within the Secretariat, and via initiatives to improve country-level data quality and quantity.	
Overall Score:	3.5	15-20 countries have been identified to receive support for scale up of programmes to remove human rights barriers to services. External partners show good awareness of the GF's positions on and work in the areas of human rights and access to services.	
Overall Rating:	Highly satisfactory		High confidence

e) Key Populations

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on Key Populations available and showing evidence of use	4	<p>Key populations are one of three key areas of focus for the new Strategic Plan 2017-2022 alongside Human Rights. They are mainstreamed throughout the Strategic Plan, and specifically addressed as an Operational Objective under KPIs 8 and 9: 'The Global Fund will continue to champion meaningful engagement of key and vulnerable populations setting an example of standard for engagement in health governance...'. The Key Populations Action Plan 2014-17 details safeguards to ensure that key populations are prioritised and that investments are focused and strategic. The corporate Performance Framework measures availability of population size estimates for key populations and the Eligibility Policy specifies evidence-based interventions that address human rights and gender-related barriers as well as under-served and key and vulnerable populations.</p> <p>The 2015 Strategic Review concerns about data paucity and the lack of targeted programmes in Concept Notes despite evidence of concentrated epidemics among key populations, were echoed in Secretariat interviews. This understanding was also highlighted in the Partnership Forum of 2015 which also pointed to the restricted funding envelope which limits effective prevention and treatment services for key populations. A rapid review of results, gaps and lessons from the implementation of strategies and action plans on gender and key populations found evidence of some significant institutional improvements to support the targeting of key populations. Aside from the significant focus on key populations in the new Strategic Plan, this also included a \$6m allocation to conduct size estimates and programmatic mapping for key populations in 15 high impact countries.</p> <p>The survey shows that there is a good understanding of the Global Fund position and a positive response from most respondents. The comments reflect that most people are well aware of the Global Fund positions on cross cutting issues and recognise how the lack of data impacts on the prospects of the intentions of the Fund to get cross cutting issues translated into country programme elements.</p>	5, 6, 8, 20, 25, 34, 35, 37, 38, 42, 43, 56, 76, 83, 87, 92, 98, 104
Element 2: Indicators and targets related to Key Populations are integrated into the organisation's strategic plan and corporate objectives	4		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect Key Populations	2		
Element 4: New interventions are assessed for relevant Key Populations effectiveness issues	3		
Element 5: Human and financial resources are available to address Key Populations issues	3		
Element 6: Capacity development of staff on Key Populations is underway or has taken place	4		
Overall Score:	3.33		High confidence
Overall Rating:	Highly Satisfactory		

Performance Area: Operational Management

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

KPI 3: Operating model and human/financial resources support relevance and agility			
Overall KPI Rating	3.75	Overall KPI	Highly satisfactory

MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions

Element	Score	Narrative	Source Documents
Element 1: Organisational structure is aligned with, or being reorganized to fit the requirements of, the current Strategic Plan	4	As a financing institution, the Global Fund's organisational management structures reflect a grant-making, rather than a direct delivery operating model. As such it is based in Geneva and from there oversees the process of grant making to countries. By design it does not have offices in implementing countries. Staff costs represent 47% of Secretariat budget, which is appropriate. The financial function is well staffed, and the Grant Management Department is made up of Regional and Country teams who support the grant implementation process through advisory support and capacity building activities. In 2012 the GF underwent significant organisational change aimed at improving the effectiveness and efficiency of the Secretariat, with a particular focus on increased resources dedicated to supporting countries. Since then, and in line with the requirements indicated by implementation of the New Funding Model, there have been specific focused corporate projects which address different areas of operational blockage or slow pace. These projects (each planned to last approximately a year), build awareness across the office about the new strategic approach:	1, 7, 9, 16, 35, 42, 43, 45, 53, 54, 56, 58, 113
Element 2: Staffing is aligned with, or being reorganized to, requirements set out in the current Strategic Plan	4		
Element 3: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	3	<ul style="list-style-type: none"> • AIM: Accelerated Integrated Management project aims to differentiate and optimise internal work processes for different sizes of grants (ensuring simpler and faster processes for reporting for smaller grants). Also addressing data quality and data gathering and processing. • SAGE: Strategies to Advance Gender Equality seeks to embed gender and human rights focus into operations. 	
Element 4: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan	4	<ul style="list-style-type: none"> • ITP: Implementing Through Partners seeks to ensure that implementing partners are fully supported in all the ways necessary to ensure programme efficiency and effectiveness at country level. This can include capacity building, systems, human 	

Overall Score:	3.75	resources, or Technical Assistance. An overarching project management function has been set up to take these projects to conclusion, and ensures that managers from all departments are aware of and contribute to progress. A focused team for gender and human rights is also in place, as is a team to address Country Coordinating Mechanism capacity building. Despite these very targeted initiatives, there is evidence that staff are somewhat overstretched, and in some areas insufficient resources may have been allocated (e.g. for gender mainstreaming, where there is a team of two people who cover gender and human rights).	
Overall Rating:	Highly satisfactory		High confidence

MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities

Element	Score	Narrative	Source Documents
Element 1: Resource mobilization case for support explicitly aligned to current strategic plan	4	<p>The Global Fund was praised by a 2015 independent reviewer for its strategic and proactive approach to resource mobilization, although it was noted there is a need to mobilise funds from new economies and the private sector. There is now a clearly understood link between the strategy and the replenishment process, and the interview process revealed that, although this was not the case previously, the process has been consciously adjusted.</p> <p>Interviews indicated that there was a clear understanding of how the replenishment process was aimed to fund the strategy, and that the next challenge was to achieve alignment between the Global Fund and its technical partners. The strategy is to source multi-year funding and there are ongoing negotiations with various countries.</p> <p>The Fund has a clear picture of the international commitments countries will bring to the September 2016 replenishment conference in Canada. In line with its mandate and in an effort to diversify its funding base, the Fund has made major efforts to encourage national resource-raising through the New Funding Model and its domestic financing strategy, where 15% (for the 2014-2016 allocation and 15% and more for future allocations) of grant allocations are dependent on increasing national contributions.</p> <p>The Global Fund has engaged with the private sector since 2006 through Product RED (this funding stream capped at around 5%). There is also the Innovation Hub initiative which taps into specialised private sector expertise and links it to development challenges.</p>	1, 3, 5, 7, 14, 31, 43, 50, 56, 83, 84
Element 2: Resource mobilization strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector;	4		
Element 3: Resource mobilization strategy/case for support seeks multi-year funding within mandate and strategic priorities.	4		
Element 4: Resource mobilization 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		
Element 5: Resource mobilization strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent	4		
Overall Score:	4		
Overall Rating:	Highly satisfactory		High confidence

MI 3.3: Aid reallocation/programming decisions responsive to need and can be made at a decentralised level

Element	Score	Narrative	Source Documents
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	4	As a financing institution, the Global Fund has clear policies and guidelines about decision-making with regards to both Secretariat and grant funding. At the Secretariat level, general financial good governance practices are in place, and this was confirmed by the Office of the Inspector General and audit reports.	1, 35, 37, 41, 51, 58, 62, 66, 71, 95
Element 2: <i>(If the first criterion is met)</i> The policy/guidelines or other documents provide evidence of a sufficient level of decision making autonomy available at the country level (or other decentralized level as appropriate) regarding aid reallocation/programming	4	The previous rounds-based funding model was recognised to lack flexibility, particularly in terms of reallocations. The New Funding Model still allocates centrally, using both qualitative and quantitative criteria to determine the funding envelope countries are eligible for, but there is greater flexibility in terms of the timing of applications as well as the potential for adjustments within the grant, and there are clear processes which outline how this should be done. The co-financing incentive also enables country-level decision-making with regard to this portion of grant linked expenditure. The Country Coordinating Mechanism has ownership of this level, and is able to make decisions in relation to grant funds, between disease programmes for example, as long as there are no ‘material’ changes to the grant focus. Material changes must be negotiated with the Global Fund and must be approved at Technical Review Panel level. This process is closely monitored and adjusted where possible, and it is anticipated that with the completion of Project AIM quick but informed portfolio decisions for reallocation approval will be possible because financial and programme data will be in one system. It was acknowledged in the interviews that the reallocation process was not yet optimal, but it was clear that grant management processes and the relevant staff were focused on ensuring the best balance possible between risk accountability and programme need.	
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	2	Importantly, the refined Allocation Methodology has two funding levels: country allocations (based on disease burden and economic capacity) and catalytic investments, including for key and vulnerable populations, women and girls, human rights, multi-country approaches and strategic initiatives. This enables the prioritisation of emerging needs and increases the Global Fund’s ability to flexibly address the needs of countries on a case-by-case basis.	
Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	3		
Overall Score:	3.25		
Overall Rating:	Highly Satisfactory		Medium confidence

MI 3.4: Human Resources systems and policies performance based and geared to the achievement of results

Element	Score	Narrative	Source Documents
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	4	<p>The Global Fund has performance and results-based Human Resources policies and systems, which have been structured and adjusted since 2014/2015 to meet the demands of a rapidly changing organisation. The Human Resources delivery model includes a shared services transactional contract with different departments. The function includes specialists who focus on, respectively, rewards, employee needs, talent, recruitment and learning. There are also four Human Resources 'business partners' embedded in different departments who provide support to those managers and staff. The business partners have close contact with the central HR function and this means that 'HR is closely linked to where results need to be achieved'.</p> <p>The Performance and Talent Management Strategies are aimed at continuously improving the performance of the organisation. Documents set out clear steps in the performance evaluation process, and the requirements were described as mirroring the New Funding Model changes – individuals are rated by their manager, by peer managers with review by executive Management. Evidence from interviews showed that the performance assessment system was widely implemented and that adjustments and improvements were a constant focus for Human Resources.</p> <p>There is a process for managing disagreements on appraisal ratings, and a cross-departmental review ensures consistency across departments. A Reward Matrix is available which sets out the principles of performance-based remuneration and which ensures consistency in determination of salary increases.</p> <p>Talent Management includes improved staff deployment and development, and is based on three talent pools that support internal moves as the restructuring unfolded: Potential internal candidates; Rotation Pools for job swaps; and Succession plans. There are stretch learning programmes for key successors. Staff turnover appears to be very low at 5.5%, indicating that staff are appropriately recruited and effectively retained.</p>	7, 26, 63, 64, 65
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	4		
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 agencies	4		
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions etc	4		
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	4		
Overall Score:	4		High confidence
Overall Rating:	Highly satisfactory		

KPI 4: Organisational systems are cost and value conscious and enable financial transparency/accountability

Overall KPI Rating

3.4

Overall KPI

Highly Satisfactory

MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities

Element	Score	Narrative	Source Documents
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	4	<p>This assessment found a clear organisational focus on robust and detailed decision-making processes for resource allocation. Grant allocations are made based on the Allocation Methodology. There is an eight-step assessment process which includes as specific criteria the disease burden (and increasing rates of infection as a qualitative factor), absorptive capacity (also as a qualitative factor). These factors are also detailed within the new Allocation Methodology and Eligibility Policies. The Allocation Methodology is the underpinning process for the New Funding Model. The criteria and the amounts allocated to countries is available publicly.</p> <p>The role of domestic financing alongside Global Fund grants is very transparent in documentation, with countries encouraged to commit domestic funding into Global Fund programmes which on receipt then triggers the release of the final 15% of grant funding from the Global Fund.</p> <p>The roles of different parts of the organisation in the process of decision-making are clearly outlined; for example, the Board's role in financial oversight, and the role of the Technical Review Panel as independent experts.</p> <p>External partners surveyed feel positive about the Global Fund's transparency in communications, their country allocation criteria and alignment of this with countries epidemiological factors.</p>	1, 2, 3, 5, 7, 8, 11, 18, 20, 24, 26, 28, 29, 30, 31, 32, 33, 35, 37, 38, 39, 41, 42, 43, 44, 46, 49, 50, 51, 52, 53, 54, 56, 58, 62, 87, 95, 96
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan	4		
Element 3: The organisational policy or statement is regularly reviewed and updated	4		
Element 4: The organisational statement or policy is publicly available	4		
Overall Score:	4		
Overall Rating:	Highly satisfactory		High confidence

MI 4.2: Allocated resources disbursed as planned

Element	Score	Narrative	Source Documents
Element 1: The institution sets clear targets for disbursement to partners	4	The targets for disbursement to partners are the amounts allocated to each country. However, the Fund insists that 'the allocations are for people and not countries'. For example, funds have been allocated to help Syrian people, even if they were not in Syria, but in neighbouring countries.	7, 36, 56, 58
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	3	There appears to be great effort expended on ensuring that allocated funds are disbursed as planned: through country team support to Country Coordinating Mechanisms and implementing partners, as well as the provision of Local Fund Agents (LFAs) who support partners in expenditure and reporting. External factors in Challenging Operating Environments do make it difficult to disburse funds on occasion or to support reporting. Partner absorptive capacity can also be a factor at country level.	
Element 3 Clear explanations are available in relation to any variances	3		
Element 4: Variances relate to external factors rather than internal procedural blockages	2	In 2014, funds disbursements were less than planned, which the Fund attributes to transition to the New Funding Model, improvements to payment terms agreed with the pooled-procurement mechanism (PPM) suppliers, and fund absorption issues in countries as well as the high value of disbursements in 2013, creating a surplus of cash held in countries. During 2015 the Secretariat made new grant commitments for USD 4,327 million, 76% higher than commitments in 2014. US\$ 3,318 million was disbursed during 2015 (2014: USD 2,979 million), which represents an increase of 11% percent, and included US\$17 million for Special Initiatives.	
Overall Score:	3		
Overall Rating:	Satisfactory	It was not possible through interviews to accurately determine whether previously slow responses to partners or bureaucratic reporting processes might have contributed to cases where funds have not been fully disbursed.	High confidence

MI 4.3: Principles of results based budgeting applied

Element	Score	Narrative	Source Documents
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan	4	<p>The Global Fund financing model ties grant disbursement to performance indicators and the intended results of the Strategic Plan. In this respect, it embeds some of the principles of a performance-based financing model.</p> <p>The Technical Review Panel report of February 2015 notes that results-based budgeting is gaining support within the Global Fund, and this is aimed at driving better programme results, simplifying grant management and reducing transaction costs and ultimately facilitating improvements in health system functionality with greater national ownership.</p>	1, 2, 3 8, 10, 26, 32, 35, 37, 41, 42, 43, 44, 46, 51, 52, 54, 56, 87, 93
Element 2: A budget document is available which provides clear costings for the achievement of each management result	3	<p>Concept Note applications from countries are required to provide a detailed budget which outlines clear costings for the delivery of interventions. It was acknowledged in interviews that often country-level budgets may not be optimal, but Country teams support the process as far as possible.</p>	
Element 3: Systems are available and used to track costs from activity through to result (outcome)	2	<p>It is generally acknowledged that adjustments to allocations made have to be made in Challenging Operating Environments (reflected in the Challenging Operating Environment Policy). The current Concept Note structure does not easily facilitate results based budgeting – this is particularly the case with key populations and the lack of relevant indicators, and there is also an ongoing problem with ensuring independent verification of results at country level. Grant management staff confirmed that results based budgeting has not made grant management any easier. Some initiatives are providing examples of what is possible: one example is the Global Fund/World Bank programme to support expansion of essential health services for women and children through results based financing. Two initiatives which may yield results in future are the Debt Swap arrangement which may improve in-country spending on health services; and the Social Impact Bond initiative which is results-based.</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)	2	<p>Internally, the Secretariat budget is managed within a \$300 million cap, and given the range of activities and innovative and change-based projects revealed through interviews; it appears to be done successfully. Resources are aligned with intended results and priorities. The Global Fund has recently improved its banking arrangements, moving away from the World Bank as its sole banker.</p>	
Overall Score:	2.75	<p>There are initiatives within the Secretariat aimed at improving costing and budgeting and recording expenditure against this. Interviews with finance and strategic management staff indicated that significant improvements have been made to systems as a result of learnings from implementing the New Funding Model as well as the process to align results and costs via the Accelerated Integrated Management process.</p>	High confidence
Overall Rating:	Satisfactory		

MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit

Element	Score	Narrative	Source Documents
Element 1: External audit conducted which complies with international standards	4	<p>It is important to note that the Global Fund has two sets of funds subject to different kinds of audit. External audits cover the Secretariat operations allocation and the process of disbursement of grants to Principal Recipients. External auditors do not provide assurance over disbursed funds.</p> <p>The Office of the Inspector General is focused internally on the Secretariat and safeguards the assets, investments, reputation and sustainability of the Global Fund. Management information states that the OIG's work conforms to the International Standards for the Professional Practice of Internal Auditing, the Code of Ethics of the Institute of Internal Auditors and the Uniform Guidelines for Investigations of the Conference of International Investigators. In 2014 and 2015, the Investigations and Audit Units had successful external quality assurance reviews. Staffing allocated to the Inspectorate function effectively mirrors the internal grant management function. The 2015 Corporate Financial Report shows the following improvements made to accounting policies: adoption of all IFRS standards; changes to the organisation and presentation of consolidated financial statements and especially the explanatory notes; and ongoing management of risk related to currency fluctuations.</p> <p>Numerous interviews confirmed that Secretariat management addressed all internal and external audit queries and recommendations, and that the results of actions taken had to be reported back to the Board.</p> <p>Once grants are disbursed they become the responsibility of the Principal Recipients in countries. All parties handling Global Fund grants must agree to independent audits, and to accept serious consequences, should the audits reveal financial malfeasance. The Global Fund can also commission additional audits if this is deemed necessary. However, a recognised risk is in-country financial mis-management, even with Local Fund Agents (LFAs) providing oversight. This is primarily because of a lack of capacity within Principal Recipients – usually identified, but not quickly fixed. A frequent comment was the need to identify the right risks and measure the right things in order to balance mission risk and delivery and financing risk. An internal project (Accelerated Integrated Management) is intended to speed up the delivery of financial data to the central accounting and grant management functions, which will enable a faster assessment of appropriate expenditure against agreed grant budgets, which means appropriate interventions can be made by Country teams.</p>	2, 7, 27, 28, 29, 30, 41, 50
Element 2: Most recent external audit confirms compliance with international standards across functions	4		
Element 3: Management response is available to external audit	4		
Element 4: Management response provides clear action plan for addressing gaps or weaknesses identified by external audit	4		
Element 5: Internal audit functions meet international standards, including for independence	4		
Element 6: Internal audit reports are publicly available	4		
Overall Score:	4		
Overall Rating:	Highly satisfactory		High confidence

MI 4.5: Issues or concerns raised by internal audit mechanisms (operational and financial risk management, internal audit, safeguards etc) adequately addressed

Element	Score	Narrative	Source Documents
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	3	The Global Fund has strong processes and internal control mechanisms in place to identify operational and financial risks. These include the Capacity Assessment Tool (CAT) to identify operational risks inherent in Principal Recipient capacity, the Qualitative Risk Assessment, Action Planning and Tracking (QUART) tool and the institutional mechanism of the Operational Risk Committee (ORC).	1, 3, 7, 9, 12, 28, 29, 30, 37, 41, 42, 51, 56, 82
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	4	Risk is an intrinsic part of Global Fund business because 'we are a financing institution working through partners'. The Grant Management division who work with partner countries and Principal Recipients is seen as the first line in risk management. There is also a greater focus now on trying to use local country Financial Management Systems, which should have their own internal controls. The Local Fund Agent and the Country team are together responsible for dealing with identified gaps.	
Element 3: Clear guidelines are available for staff on reporting any issues identified	4	There are also adequate measures for addressing risks: The Pooled Procurement Mechanism addresses procurement risk, LFAs assess grant recipients, and PR capacity building in financial management. Under the New Funding Model, the Global Fund can 'recover' money against the 15% country allocation if there are debts or non-compliance.	
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	3	The increasing focus on Health Systems Strengthening is also viewed as a risk management strategy. External audits of grants are also meant to identify possible fraud. In addition, some private sector partnerships 'address recipient grant platform and supply chain weaknesses'. The ITP project is aimed to help improve accountability at all levels.	
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)	4	The Office of the Inspector General is tasked with ensuring that the organisation is set up to deliver on the strategy through audit, investigation and evaluation of operations. These audits examine the alignment between the organisational processes and key elements of its strategy. In the past the relationship between the Secretariat and the OIG was strained, but this has been 'recalibrated', and a constructive process has been established to manage risk.	
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting.	3	Secretariat management has a set time to respond to queries and recommendations from reviews and audits. These are centrally collected and tracked by the senior management team, and there is a set turnaround time for responses into the governing structures. Interviews indicated that reporting on management responses were included in reports to the subsequent relevant meeting.	
Overall Score:	3.5		High confidence
Overall Rating:	Highly satisfactory		

MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities

Element	Score	Narrative	Source Documents
Element 1: A clear policy/ guidelines on fraud, corruption and any other financial irregularities is available and made public	3	The Global Fund has effective policies and procedures to prevent, detect, investigate and deal with cases of fraud, corruption and other financial irregularities. These include a Risk and Assurance framework, Amended and Restated Comprehensive Funding Policy, Risk management reports), Asset and Liability Management mechanism, Whistle-Blowing Policy, Internal Financial Controls and a Risk Management Policy.	2, 7, 9, 11, 12, 17, 19, 28, 29, 30, 31, 35, 37, 38, 41, 43, 48, 50, 51, 56
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	3	The process for dealing with fraud and financial irregularities is being improved, and reporting documents show that the Fund is starting to institute recovery processes, and information on specific amounts recovered was included in the 2015 Results Report.	
Element 3: Staff training/ awareness-raising has been conducted in relation to the policy/ guidelines	3	The Thematic Review on Fragile States highlighted weak governance including corruption as a key challenge and there are focused resources aimed at identifying and addressing financial and fiduciary issues such as enhancing Country Coordinating Mechanism governance, compliance and oversight. The internal independent projects for differentiation and improvement of financial systems place a high emphasis on risk management, which came through strongly in the interview process.	
Element 4: There is evidence of policy/ guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	3	The increasing focus on Health Systems Strengthening is viewed as a risk management strategy because many risks in country are systemic in nature. External audits of grants are also meant to identify possible fraud. In addition, some of the private sector partnerships are helping to 'address recipient grant platform and supply chain weaknesses'.	
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	Also, the requirement for accurate and sufficient data for reporting purposes can be undermined by the imperative to work within country systems, which have in many cases been found to provide inadequate data. The ITP project was cited as a good initiative to improve accountability at all levels.	
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	3	There is a whistle-blower policy in place.	
Overall Score:	3.17		
Overall Rating:	Highly satisfactory		High confidence

Performance Area: Relationship Management

*Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results
(in line with Busan Partnerships commitments)*

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)			
Overall KPI Rating	2.71	Overall KPI	Satisfactory

MI 5.1: Interventions aligned with national /regional priorities and intended national/regional results

Element	Score	Narrative	Source Documents
Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives	3	Interviews confirmed that Concept Note guidelines require that the design of finalised agreements with countries is always focused on country-based outcomes, and ideally their National Strategic Plans. Generally National Strategic Plans make reference to international disease-related targets as their high-level results: a country may seek to achieve a proportion of a target such as the 90-90-90 goal for HIV and AIDS. The agreements seek to ensure accountability, to help to improve processes and ensure effective and efficient use of funds. The 2015 Strategic Review found that alignment with national planning was often supply-driven, led by the process of applying for new/further grants. However, some countries have used the Global Fund's allocation constructively, developing a comprehensive response to address all diseases and relevant health system issues by either preparing a single funding application (Sudan), or simultaneously submitting multiple disease applications with a strong focus on building resilient health systems (Burkina Faso). Inside the Secretariat, restructuring from 2012 has focused on ensuring that bigger teams are focused on the 20 countries which receive the most funds. These larger teams have enabled a better and more targeted response into different aspects of the programme at country level. A reward and recognition programme is being rolled out by Human Resources linked to delivery of the strategy.	2, 8, 10, 23, 31, 37, 38, 41, 42, 43, 44, 46, 51, 52, 56, 74
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	3		
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process.	3		
Overall Score:	3		
Overall Rating:	Satisfactory	External partners surveyed are divided in their opinions, with governments indicating that the NFM aligned well with national priorities, whereas other agencies felt the alignment was poor.	High confidence

MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation

Element	Score	Narrative	Source Documents
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context.	4	Contextual (and epidemiological) analysis is a Global Fund requirement in the Concept Note process. It also features as part of the decision-making process to ensure support is targeted to the right populations, in the right places and that respective health systems are being strengthened to support those investments.	5, 13, 20, 23, 31, 32, 35, 37, 38, 42, 46, 51, 56, 69, 83, 84, 87
Element 2: Context statement has been developed jointly with partners	4	Concept Note development involves a number of direct engagements with the country drafters/Country Coordinating Mechanism during the finalisation process. Here the Global Fund looks to include gender and other target groups, and keeps its own and the SDG objectives on the agenda. However, a number of reviews have pointed to weaknesses in epidemiological and context information, particularly in relation to key populations.	
Element 3: Context analysis contains reference to gender issues, where relevant	3	Reviews indicated that this meant that programme content failed to address key population access issues. Also, programmes tended to leave out any analysis of financial constraints to sustainability in situations where scale up was recommended.	
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	0	Context analyses for Concept Notes include reference to the country situation as well as the governance and absorptive capacity of Principal Recipients.	
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	4	In Challenging Operating Environments the process of national alignment is more difficult: In Somalia, for example, there is a weak federal government and at least three sub-federal governments, which incurs duplicated transaction costs. There are a number of points during proposal writing where reflection is possible and programme design can be improved, and there are review points during grant implementation where changes in context can be considered and which enable reallocation of funds.	
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context.	3	Ensuring Health System Strengthening is part of programme design aims to contribute to improvement in governance at country level; however insufficient data on performance of health systems hampers efforts to effectively monitor the effectiveness of Global Fund investments. To address this, a programme of health facility assessments is planned for 2016 in several high-impact countries. External stakeholders have diverging views on Global Fund initiatives to strengthen health systems.	
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 5.3 Capacity analysis informs intervention design and implementation, and strategies to address any weaknesses are employed

Element	Score	Narrative	Source Documents
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	3	Global Fund grant proposals are based on a process of country dialogue and assessment of institutional and absorptive capacity. A specific Capacity Assessment Tool (CAT) is available (and beginning to be used, according to those interviewed), as well as a resource allocation to provide technical assistance for capacity development and participation of key populations and communities in country dialogues. The tool measures Principal Recipients in four functional areas: monitoring and evaluation, finance, health product management and governance. The assessment takes account of the type (new or existing Principal Recipient, national entities or international organisations), and scope of implementer responsibilities and available information. It was not determined during interviews whether Principal Recipients were involved in the capacity analysis statement, but their participation would be required in the administration of the CAT.	2, 3, 8, 13, 20, 25, 37, 41, 42, 43, 46, 51, 87, 93, 97
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	3		
Element 3: Capacity analysis statement has been developed jointly where feasible	2	The Global Fund is working to consolidate capacity and risk assessment tools into one integrated tool to ensure synergies, minimise duplication of effort and build a centralised database of risks and mitigating measures. External stakeholder perceptions of the realism of Fund's capacity assessments are very varied; it is notable that governments hold a range of views but NGOs generally feel positive about Global Fund capacity assessments.	
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	3		
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	3	However, an identified gap in the 2015 TRP Review was that: 'Suggested scale-ups often fail to account for existing challenges in the health systems of the country, which could potentially constrain the ability to scale-up rapidly. These include constraints on human resources for health, procurement and supply chain management, health management information systems, etc. In many cases, interventions to address these weaknesses are not provided as part of scale-up plans...' This may be addressed in part through the increasing	

Overall Score:	2.8	<p>Health Systems Strengthening component in grant design – embedded in each of the disease programmes. The HSS component is viewed as both a risk management strategy and a conscious enabler for the country to move towards transitioning out of beneficiary status. Country analyses show that many in-country risks are systemic and a number of elements must be addressed to ensure that programmes can be delivered. Capacity weaknesses – technical, managerial and organisational – are a particular challenge in fragile states. The Challenging Operating Environment Policy enables flexible choice of Principal Recipient in these cases.</p> <p>The Global Fund department of Communications and Training provides support to both country teams and Country Coordinating Mechanisms. During grant implementation there is support – through the country teams – for impact driven reprogramming processes, if it is found that original interventions are not yielding expected results.</p> <p>A new approach to capacity development is being rolled out in 2016. This approach has two-tiers: a global social network; and programmatic delivery. Both tiers follow a structured process (assessment, work-planning, delivery and monitoring) and apply four elements (people, process, organisation and culture/business conduct).</p>	
Overall Rating:	Satisfactory		High confidence

MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks

Element	Score	Narrative	Source Documents
Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk	3	<p>The Global Fund has moved away from compliance-based auditing to risk based auditing linked to the strategy. This confirms a generally held view by management that the gaps in risk management identified in 2014 have been filled, but that there are still improvements needed. Concept Notes must include risk analysis and mitigation. On the other hand, the QUART risk management tool is considered highly subjective and offers little added value to Country Teams who manage risk in a dynamic way on a daily basis. And the 'Thematic Review of Fragile States' and the 'Evolving the Global Fund for Greater Impact in a Changing Global Landscape' reports highlight the need to fully understand the context and be flexible when responding to risk. Country teams supporting Concept Note drafting processes consider all risk elements.</p> <p>Global Fund staff take on-the-job learning very seriously, and there was evidence that the Risk staff in particular were strengthening abilities and knowledge, and sharpening their ability to identify risks, as well as identify efficiencies to free up funds for other uses. The frequent mentioning of risk indicates that Fund staff understands risk damage potential. A good example cited was the Somalia programme which is 'a pilot in risk assurance and mitigation, as it is managed by partners based in Nairobi...and in-country work is undertaken through third party local nationals, NGOs and private sector companies'.</p> <p>Monitoring implementation quality, which identifies emerging risks, is a routine function for Grant Management, and there are additional assessments through various mechanisms which are outlined in the program and data quality strategy, including independent assessment by the Local Fund Agents and/or other professional service providers. External partners had largely positive views about Global Fund risk management processes.</p>	1, 2, 5, 7, 9, 12, 20, 26, 29, 30, 31, 35, 37, 41, 42, 43, 47, 52, 55, 56
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	3		
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	3		
Element 5: Risks are routinely monitored and reflected upon by the partnership	3		
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	2		
Overall Score:	2.83		
Overall Rating:	Satisfactory		High confidence

MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)

Element	Score	Narrative	Source Documents
Element 1: Intervention design documentation includes the requirement to analyse cross cutting issues	4	<p>There is clear evidence of <i>intent</i> for intervention designs to integrate analysis of cross-cutting issues; this being a requirement in grantee Concept Notes, and support is available to do this. The ongoing problem of poor data on key populations means that proposal context analysis can still be poor, which has often resulted in focused programmes for these groups not being included in proposals. However, there is evidence of a number of ways the Global Fund is strengthening or supporting the strengthening of analysis underpinning its interventions through guidance or through the creation of a technical assistance hub.</p> <p>Interviews showed that Country teams and technical experts understood the need to be specific in terms of activities to address the barriers in different contexts, and what the support teams could offer and what the country level needed to do. The extent that this is achieved in the Concept Note design may vary according to the quality of information available, and the capacity of the Concept Note drafting team in-country. The gaps in design indicate that this is not currently an absolute requirement.</p> <p>In programme design, most stakeholders have shifted from separate focus on gender, human rights and key populations, to a more practical approach that seeks to address the needs of population groups with the highest disease burden. Whilst good governance issues are addressed within the proposal and approval process, environmental sustainability is not yet in focus within either stage.</p> <p>There are increasing numbers of discussions about how to monitor and measure cross cutting issues within programmes. ‘The Strategic Information team indicated that ensuring appropriate data – including data disaggregated by gender and age as well as other factors – was collected at country level was a long and expensive process but that it was being addressed.</p>	1, 3, 5, 10, 25, 34, 37, 52, 59
Element 2: Guidelines are available for staff on the implementation of the relevant issue	3		
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	3		
Element 4: Intervention designs include the analysis of gender issues	2		
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	0		
Element 6: Intervention designs include the analysis of good governance issues	3		
Element 7: Plans for intervention M&E include attention to cross cutting issues	3		
Overall Score:	2.57		
Overall Rating:	Satisfactory		High confidence

MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12)

Element	Score	Narrative	Source Documents
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.	3	<p>The Concept Note development process does not require a sustainability plan or exit strategy, and the 2015 Strategic Review found little progress had been made to improve Global Fund investments' sustainability, and that sustainability and transition planning were poorly operationalised at country level. However these have been required in countries where it makes sense to have a plan now either because a country is nearing ineligibility or because the GF is the sole funder of ARVs.</p> <p>The underlying long-term goal for countries – possibly not sufficiently foregrounded in documentation – is that they 'transition' beyond the requirement for grant funding to support their disease responses; this goal is beginning to become more evident. In April 2016, the Board approved the Policy on Sustainability, Transition and Co-financing. The Willingness to Pay and the co-financing requirements set to access allocations in the last Strategy Cycle were important precursors to this policy. The 2016 policy defines sustainability as: <i>the ability of a health program or country to both maintain and scale up service coverage to a level, in line with epidemiological context, that will provide for the continuing control of a public health problem and support efforts for elimination of the three diseases, even after the removal of external funding by the Global Fund and other major external donors.</i> Sustainability and strengthening country transition preparedness is also addressed in planning and work done on: 1) Developing and supporting Health financing strategies; 2) Work on allocative efficiency and technical efficiency; 3) Investments in national health accounts; 4) inclusion of conditions in grant agreements that request the development of sustainability plans in UMIC countries; 5) Previous WTP commitments designed to increase financing of areas of the national disease response that will require additional sustainability through domestic financing; 6) Development of transition readiness assessments.</p>	1, 2, 3, 5, 7, 10, 26, 30, 31, 32, 35, 37, 38, 41, 42, 46, 51, 53, 55, 56, 83, 87, 94, 98, 111, 112
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	2	<p>There is increasingly strong evidence that the Fund is working towards building financial and programmatic sustainability to enable countries to transition entirely to domestic financing, and a number of measures are in place. The most important for countries is the requirement for (particularly middle-income) countries to commit to providing domestic financing into Global Fund programmes to trigger the last 15% of the grant. This is aimed at ensuring country ownership and is the first step to sustainable transition. In the last allocation cycle (2014-2016) USD 6 billion was raised in domestic financing which was a 41% increase from the previous cycle. The country teams guide the channelling of these funds into global-fund financed programmes.</p>	
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan.	2	<p>External stakeholders held fairly divergent opinions about this requirement. Most</p>	

Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner.	2	governments, and a significant number of NGOs, believe it is clear how the intervention funded by the Global Fund will become sustainable in future through domestic funding, and that the co-financing emphasis is realistic and appropriate for the partner country. However, the capacity of national Departments of Health is often a barrier to sustainability, particularly in Challenging Operating Environments. Initiatives to address this include capacity building support from the Global Fund and its partners and the integration of Health System Strengthening into disease specific programmes.	
Overall Score:	2.25	<p>Health Systems Strengthening would also include consideration of the legislative environment. The Global Fund has the flexibility to work with NGOs as Principal Recipients where the legislative environment is challenging – for example, where Men who have Sex with Men or sex work is illegal. Country teams do have technical experts to support different elements of interventions; however, it was not clear in the interviews the extent to which these legal requirements were addressed through Country Team support.</p> <p>Sustainability is assessed as a critical element in country-level evaluations of grants, and assessment of the sustainability of a programme, including its M&E plan, is part of the transition readiness assessment.</p> <p>Finally, in the new Strategic Plan, Objective 4 is geared to sustainability through tracking domestic financing as well as ensuring that countries achieve impact by scaling up evidence-based interventions, and the strategy will consciously look at make grant funding more tailored to the development continuum.</p>	
Overall Rating:	Satisfactory		High confidence

MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs disbursing payment, logistical arrangements etc.) positively support speed of implementation

Element	Score	Narrative	Source Documents
Element 1: Internal standards are set to track the speed of implementation	3	<p>Policies and strategies linked to the New Funding Model and focused attention to dealing with different contexts and grant sizes now enable the Global Fund to execute its commitment to faster implementation. Global Fund staff are clearly committed to speedy implementation, speed may be relative... for those working in a large organisation like the Global Fund, it is understood that change processes take time – and for a large organisation, the Global Fund is remarkably swift in implementing change processes: all the innovation projects in process have a year's delivery envelope.</p> <p>Internal key performance indicators exist on disbursement processing, particularly the turnaround times from grant agreements to signing and for disbursements. Performance and targets against these are reported to the Board regularly. These indicators are internally benchmarked. Concrete measures which have improved operating speed within the Global Fund include:</p> <ul style="list-style-type: none"> • The approach to reprogramming has been reformed, alongside the introduction of a flexible timeline so eligible countries can apply at any time during the three-year allocation period, in order to align funding with the national budgeting cycle. • An emergency fund has been set up. • The Differentiation for Impact project will speed up grant disbursement for countries who have reduced reporting requirements (this applies to smaller grants and grants in Challenging Operating Environments). • There are initiatives to align data processes and systems and general work streamlining to enable portfolio management. • greater country engagement and presence appears to be empowering Country Teams to make swifter and more flexible decisions. 	1, 2, 37, 38, 41, 42, 46, 51, 56,66, 83
Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	2		
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	2		
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	4		
Overall Score:	2.75		
Overall Rating:	Satisfactory	The Partnership Forum in 2015 noted the bureaucracy and burden that comes with Global Fund processes. However, a survey of external partners was largely divided, with NGOs predominantly positive about GF procedures not causing delays in implementation.	High confidence

KPI 6: Working in coherent partnerships directed at leveraging / ensuring relevance and catalytic use of resources
Overall KPI Rating
2.9
Overall KPI
Satisfactory
MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change

Element	Score	Narrative	Source Documents
Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change	3	The New Funding Model enables amendments to grant agreements to reflect changes in circumstances and arrangements. Country Coordinating Mechanisms can re-programme and revise allocations between eligible disease components and cross-cutting health systems strengthening to better suit the country context – these kinds of changes can be done quickly if changes are not ‘material’ – staff indicated that this would be done as quickly as possible, but exact timeframes were not mentioned. ‘Material’ changes involve significant revision to the terms and content of the agreement and require a Technical Review Panel review. Reduced grant management processes in Challenging Operating Environments still require reporting but enable programmes to have fewer indicators – programmes in Challenging Operating Environments also operate under an additional safeguard policy where the GF determines the Principal Recipient, and not the country.	6, 37, 38, 41, 42, 51, 53, 56, 69, 83, 84, 93, 96, 113
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	3	In 2015 the Secretariat began various initiatives in response to recommendations about the need for greater coherence and prioritisation, including allowing for differentiation of grant management processes according to country capacity, particularly in Challenging Operating Environments. A Differentiation for Impact initiative is underway, and the Challenging Operating Environment Policy explicitly provides space for flexible approaches in difficult environments. This COE Policy (April 2016) also provides for greater flexibility in these contexts.	
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	3	Agility can also be promoted through local pressure and civil society holding governments to account. Effective advocacy is based on local influence, and the Secretariat has recognised its role is helping to create the space for this. As part of this, Country teams are building constructive dialogues with civil society around grant management and implementation. This dialogue process was identified as having a productive place within New Funding Model processes.	
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	3	The grant approval process is designed to ensure that funds address the most pressing health systems and disease needs. Country teams discuss reprogramming of funds with Country Coordinating Mechanisms when this becomes necessary. But it was acknowledged in interviews that the agility of decision-making is not yet ideal. Acute need situations can	
Element 5: Evidence that any common institutional bottlenecks in procedures identified and	3		

action taken leading to an improvement		be addressed through the Emergency Fund, which was set up in 2014 to support the provision and continuity of essential prevention and treatment services where services cannot be funded through reprogramming existing grants.	
Overall Score:	3	Examples were provided of how innovation and cooperation with other donors could arise where situations are particularly challenging: For example, in Somalia there is a process in place to move money into the country through mobile phones. In more conventional environments, there are also attempts to promote agility, particularly through partnerships with private sector enterprise.	
Overall Rating:	Satisfactory	An e-learning module on Reprogramming takes grant recipients through the institutional procedures enabling changes during grant implementation.	
			High confidence

MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy

Element	Score	Narrative	Source Documents
Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	4	The Global Fund was established as a partnership, supporting country-owned approaches to deliver effective, evidence based programmes. It works with multilateral technical partners (WHO, UNAIDS and others in the UN system) on programmatic technical issues; and through a multi-stakeholder platform, the Country Coordination Mechanism (CCM)) at country level to make localised decisions on the use of funding. In determining a country allocation, external financing from other donors to a country are considered.	1, 2, 3, 5, 6, 7, 8, 10, 12, 17, 20, 22, 23, 26, 30, 31, 32, 33, 35, 37, 38, 42, 43, 44, 51, 52, 53, 55, 56, 67, 68, 73, 77, 86
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	4	The Global Fund's success therefore is based on its ability to choose and work with appropriate and effective partners. The Partnership Strategy describes the comparative advantages of partnership working as lesson learning, mutual accountability and the Country Coordinating Mechanism's role in providing a structured platform for various sectors to work together. This was confirmed in the interview process where staff stressed the different roles played by the Fund as a financing institution, other UN agencies as providers of services or standards, and the need for Principal Recipients to be able to implement programmes. Where the Principal Recipient is deemed to be weak in specific areas, the Global Fund allocates internal resources to support capacity development (Country Team members and the Capacity Building unit) as well as including development interventions as part of the overall programme.	
Element 3: Evidence that resources/ competencies needed for intervention area(s) are aligned to the perceived comparative advantage	4		
Element 4: Comparative advantage is reflected in the resources (people, information, knowledge, physical resources, networks) that each partner is able (and willing) to bring to the partnership	3	Global Fund partnerships which leverage comparative advantages include the Innovation Hub projects which access private sector skills, the MoU with UNICEF to support strong reproductive, maternal, new-born, child and adolescent health components of Concept Notes, the MoU with UNFPA to maximize the availability of essential medicines and commodities within sexual and reproductive health (SRH) interventions, and the Market Shaping Strategy which outlines GF and UNITAID comparative advantages. However, how these partnerships have contributed to better longer-term results and sustainability has not yet been measured.	
Overall Score:	3.75	It was clear from discussions that the Global Fund is small in relation to organisations such as the World Bank. But it has a disproportionate impact for its size and staff numbers. Also, while the Fund does not engage directly in countries, it does have a political role to play through high level government engagement, where it has direct access to Ministers of Health and Heads of State.	
Overall Rating:	Highly satisfactory	External stakeholders were generally positive about the Global Fund's New Funding Model, the rationale for support to the three diseases and its support for Health Systems Strengthening.	High confidence

MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on the use of country systems

Element	Score	Narrative	Source Documents
Element 1: Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	3	There is strong evidence of a strategic and institutional commitment for the Global Fund to work with, support and integrate its work with country systems. The Fund sets a target in its Strategic Plan for the amount of Global Fund monies reported on National Disease Strategy budgets. It is on track in terms of the percentage of investments in countries where Global Fund support is reported on National Disease Strategy budgets, at 94% against a target of 92%.	1, 3, 4, 6, 8, 20, 31, 32, 37, 38, 43, 51, 52, 55, 56, 58, 89
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	3	The Global Fund's grantmaking is supported by the assessment of Principal Recipients in terms of their ability to absorb and manage funds. The further emphasis on ensuring that Principal Recipients improve their financial and governance systems through capacity building, and providing learning opportunities for Country Coordinating Mechanism members, also indicates practical commitment to strengthening country systems.	
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	3	However, while countries may count the Global Fund grant into their budgeting, few countries propose that their grants are aligned with and managed <i>through</i> national health systems, preferring to manage the grants through vertical budgets and structures, with dedicated Project Management Unit (PMUs) and controls and measurements that are largely independent of country systems. Certainly, these parallel structures allow accountability gaps and possible capacity gaps that national systems might not have, which places implementation at risk. Most external stakeholders asked feel positively about the Global Fund's use of country systems as a channel for funds.	
Element 4: Reasons for non-use of country systems clearly and transparently communicated	3		
Element 5: Internal structures and incentives supportive of greater use of country systems	3	Where country systems are not used, the Global Fund provides clear reasons. Particular situations might be where certain groups are viewed as outside of the law, and alternative Principal Recipients are found so that groups like MSM and sex workers can benefit from programmes. In Challenging Operating Environments there may be no appropriate Principal Recipients in the country, and – as is the case in Somalia – external Principal Recipients who are familiar with the situation are identified to provide services from a neighbouring country. Alternative Principal Recipients also need to demonstrate their ability to absorb funds and implement.	
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	4		
Overall Score:	3.17		
Overall Rating:	Highly satisfactory		High confidence

MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation

Element	Score	Narrative	Source Documents
Element 1: Strategies or designs clearly recognise the importance of synergies and leverage	4	<p>The Sustainability, Transition and Co-financing Policy covers the primary mechanism to leverage national funding, with 15% (for the 2014-2016 allocation and 15% and more for future allocations) of grant funding available pending increasing national financial commitments. This approach also addresses sustainability and requires that all countries gradually absorb key programme components such as human resourcing. Under the Indicator Framework for the new Strategic Plan 2017-2022, KPI 11 tracks domestic financing allocations to the three diseases.</p> <p>The Concept Note development process is designed to avoid duplication or fragmentation by ensuring coherent programmes. The recent moves to join up HIV and TB Concept Notes where countries have a joint high burden also seeks to help the integration and optimisation of country health services. A further Secretariat level intervention aimed at avoiding fragmentation and duplication is pooled procurement, which is being aligned with country procurement systems. This intervention also tries to assist countries to streamline and improve their procurement systems.</p> <p>The Global Fund regards itself as a catalyst for further funding into national responses to the three epidemics. While most will have to be national funding, the private sector Project RED initiative aims to raise funds through branded products, building international awareness of the goals to eradicate the epidemics. The pooled procurement initiatives, which cover drugs and other commodities including vehicles, can bring prices of goods down by up to 75%. A supply chain department has been set up within the Secretariat, which has supply chain enhancements. The department looks to help boost country-level systems. Support to Country Coordinating Mechanisms is also encouraging countries to 'build a global health lens', and understand the real costs of effective national public health provision through the establishment of National Health Accounts. External partners surveyed in the main were positive about the Global Fund's prioritising working in synergy with other organisations, as well as the alignment of financing with other development partners to ensure health initiatives are coherent and not fragmented.</p>	1, 2,3, 5, 31, 32, 35, 38, 43, 56, 94, 98
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	3		
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change.	3		
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	2		
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	2		
Overall Score:	2.8		
Overall Rating:	Satisfactory		High confidence

MI 6.5 Key business practices (planning, design, implementation, monitoring and reporting) coordinated with other relevant partners (donors, UN agencies, etc.) as appropriate.

Element	Score	Narrative	Source Documents
Element 1: Evidence that the organisation has participated in joint planning exercises, such as UNDAF	0	<p>It does not appear that the Global Fund aligns its grant making with cycles other than with national country level planning cycles – where this is possible. As the Fund generally does not collect primary data it does not contribute to instruments such as UNDAF.</p> <p>There are some attempts at collaboration with other donors in the joint planning and delivery of programmes: some of these are USAID, UNAIDS, UNICEF, the World Bank, other development Banks, DfID, SIDA, and WHO – most of the examples cited were cooperation in Challenging Operating Environments.</p> <p>The Global Fund coordinates its Monitoring and Evaluation (M&E) with in-country partners, particularly in the development and alignment of indicators, in harmonising M&E, and in timing country reviews with country and partner schedules.</p> <p>Evaluation activities tend to be of country programmes, and no evidence was found of evaluations that were joined up with other external donors or partners. The Global Fund prefers where possible to use existing sources of information and seldom collects primary data – this means that it is reliant on national evidence sources, which are not always fully reliable.</p> <p>The Country Co-ordinating Mechanism is the main forum for country-level co-ordination and for sharing business practice information. However, external partners surveyed generally felt that Country Coordinating Mechanisms were not very good at sharing information.</p>	
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	1		
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	2		
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN etc)	2		
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	2		
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	0		
Overall Score:	1.17		
Overall Rating:	Unsatisfactory		High confidence

MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis

Element	Score	Narrative	Source Documents
Element 1 : Clear corporate statement on transparency of information	4	<p>Global Fund communication and sharing information was identified as weaknesses in the five-year evaluation conducted in 2009. However, in 2015 the Global Fund scored highly on the transparency index, and in 2016, the Fund was ranked fifth in the International Aid Transparency Index rankings, behind UNDP and UNICEF of other multilateral organisations. This follows a concerted effort in recent years to improve transparency.</p> <p>All Global Fund audits are published. Audits of grants are required and these were made publicly available. All grant making allocations are publicly available and under the New Funding Model the criteria for allocations are clear. The Office of the Inspector General was satisfied that internal processes and information gathering were sound.</p> <p>The internal communication function was clearly well aligned with Global Fund strategy, with good understanding of challenges faced at international and country levels, and ideas about the different groups requiring different kinds of information from the Fund. The published material seen was concise and very accessible. This includes publications covering what is funded, all audits and reports produced, as well as management of the complaints procedure for Human Rights violations within Global Fund-funded programmes through the office of the OIG).</p> <p>There is also extensive engagement with partners by the Global Fund communications staff 'to ensure alignment between their communication and our strategies'. There is also a clear recognition within the Fund that its success rests on the ability of partners or implementers at country level</p>	2, 20, 32, 43
Element 2: The organisation has signed up to the International Aid Transparency Initiative	4	<p>The new Human Resources model has also brought transparency within the organisation in terms of structure and processes, and staff are encouraged to 'state their aspirations', which can then be supported by a learning plan.</p>	
Element 3: Information is available on analysis, budgeting, management in line with the guidance provided by the International Aid Transparency Initiative	4	<p>Country teams are responsible for engaging and dealing with queries from countries and passing this on to relevant departments. The process of concept note to proposal runs to time (8-10 months). Interviews indicated that country teams do their best to deal with ongoing queries during implementation, but it is not known whether this turnaround is sufficiently 'good' in the view of Principal Recipients at country level. No evidence is available which outlines the process for collating/sharing lessons learned.</p>	
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	3		

Element 5: Evidence that information shared is accurate and of good quality.	2	<p>Also, stakeholders engaged in consultation for the new strategy recommended that the Global Fund formalise access, coordination, and information sharing at all levels of implementation. They also recommended that the Global Fund support an enhanced flow of information between communities and members of the Country Coordination Mechanism to increase accountability through awareness.</p> <p>External partners' views are broadly equally divided about Country Coordinating Mechanisms reliability at sharing information.</p>	High confidence
Overall Score:	3.4		
Overall Rating:	Highly satisfactory		

MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented

Element	Score	Narrative	Source Documents
Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	NE	<p>The Key Populations Action Plan 2014-2017 outlines the involvement of key populations in country dialogues and Concept Note development. The 'Building Resilient and Sustainable Systems for Health: the role of the Global Fund' report states that since inception, the Global Fund has placed communities at the heart of its governance structure and in its approach to implementation. The governing body holds seats for both civil society groups and for people living with and affected by the three diseases.</p> <p>These stated aims by themselves do not indicate accountability to beneficiaries, and there is no specific procedure to engage beneficiaries. The Fund itself is accountable to donors from whom it receives funds, and it relies on Country Coordinating Mechanisms and other Principal Recipients to feed back to beneficiaries. Civil society plays an important role in the Partnership Forum, which is an accountability tool, but the extent of civil society feeling ownership can wax and wane. However, the Executive Director has made a personal commitment to building this ownership, and currently 'The role of CS in the GF is real and clear; in finance, in implementation, in governance of the Fund and in holding the GF accountable'.</p> <p>Civil society in-country can find it difficult to separate out Global Fund and</p>	2, 5, 19, 25, 31, 34, 37, 43, 56
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	NE		
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	3		
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	3		

Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	2	Government, targeting the Global Fund as the face of the frustration. However, the GF aims to ensure that its grants do 'save lives', and that implementation processes are efficient and effective. Country teams are receiving training around including beneficiary populations in planning and programming in the Concept Note development process. The vast majority of survey respondents viewed positively the Global Fund's inclusion of key populations in planning and dialogue processes.	High confidence
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	2	The changed requirements for developing Concept Notes under the New Funding Model also demonstrate commitment to taking account of ultimate beneficiaries' needs. The focus on building country level data identification and collection systems and supporting the country level capacity development means that the data gathered at country level will become more reliable. This in turn will enable Global Fund publications and communications to provide beneficiaries and all other interested partners and stakeholders with information on achievements.	
Overall Score:	2.5	Through contact with Heads of State and influential people in-country, the Global Fund works to help shape the way that Civil Society advocates for progress on; (i) replenishment in line with current needs, (ii) domestic financing for health	
Overall Rating:	Satisfactory	(sustainability). Civil society in countries recognises the Global Fund as a global response and that within this the country has responsibility for how its own citizens live.	

MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments

Element	Score	Narrative	Source Documents
Element 1: Evidence of participation in joint performance reviews e.g. joint assessments	4	<p>There is some evidence of a commitment to joint assessments, but documentation reviewed finds limited evidence of actual participation with national and other partners in mutual assessments of progress in implementing agreed commitments. Programme performance information is gathered and collected at country level, usually through a combination of programme monitoring, commissioned evaluations, and the Local Fund Agent. Country teams advise on processes, but Global Fund participation is limited to commissioning reviews or evaluations. External stakeholders appear to have a very positive view of Global Fund efforts to conduct mutual assessments in country with national/regional partners.</p> <p>The Country Dialogue process which leads up to the country proposal must consider all relevant stakeholders and populations. The guiding framework for discussions are the National Strategic Plans or targets and the SDGs.</p> <p>The Country and Regional teams engage with Principal Recipients in terms of required assessments and monitoring. The Secretariat has initiatives to support the gathering of better disaggregated data in countries to enable better impact measurement.</p> <p>Grant Management looks at whether there is appropriate alignment between functions: this includes determining whether the LFA is supported, ensuring OIG recommendations are being addressed, any conflicts between operational policies, and whether country teams are enabling countries to access efficiencies like pooled procurement. Additional needs identified involved advocacy, programme management and data.</p>	1, 2, 37, 39, 43, 56
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	4		
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	4		
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	4		
Element 5: Surveys or other methods applied to assess partner perception of progress	2		
Overall Score:	3.6		
Overall Rating:	Highly satisfactory		High confidence

MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy

Element	Score	Narrative	Source Documents
Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	0	<p>The Global Fund does not explicitly describe itself as a knowledge producer, but it does generate knowledge to inform the global partnership through its institutional remit, and disseminates information. Where the Global Fund does contribute to knowledge production is through its ongoing reviews of the disease burden throughout the world, and through its support to improving country level data. For example</p> <ul style="list-style-type: none"> • 25 countries now have nationally adequate estimates for at least two key population groups following Global Fund intervention; • 17 high impact countries have been supported to map mortality data sources and analyse mortality and cause-of-death data; • 10 countries are developing their national plans for mapping and analysis of mortality data from various sources, and • Six countries are drafting concept papers for funding to undertake mortality data mapping and analysis. <p>The communication function of the Global Fund is well run with a broad understanding of issues and constant engagement with different departments to enable preparation of materials which appear suitable for the range of audiences. External partners believe the Global Fund provides high quality inputs and information into policy dialogues.</p> <p>Internally there is a focus on building management and leadership capabilities to enhance country team operations. Talent management and leadership development includes a stretch learning programme for key successors.</p>	1, 10, 69, 86
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	3		
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level.	3		
Element 4: Evidence that knowledge products generated are timely/ seen as timely by partners	4		
Element 5: Evidence that knowledge products are perceived as high quality by partners	3		
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners.	3		
Overall Score:	2.67		
Overall Rating:	Satisfactory		High confidence

Performance Area: Performance Management

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

KPI 7: Strong and transparent results focus, explicitly geared to function

Overall KPI Rating	2.92	Overall KPI	Satisfactory
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MI 7.1: Leadership ensures application of an organisation-wide RBM approach

Element	Score	Narrative	Source Documents
Element 1: Corporate commitment to a result culture is made clear in strategic planning documents	4	<p>Following previous weaknesses identified in the 2014 Governance Review and the Governance Plan for Impact, Global Fund Leadership is committed to and engaged in ensuring the application of an organisation-wide RBM approach. The Strategic Framework contains a detailed and comprehensive performance management framework.</p> <p>All staff are oriented to a RBM approach and it appears to be part of Global Fund internal culture at management level. The 2015 Strategic Review noted deficiencies in the current results and performance frameworks and also in how they are used which would hamper the Board's ability to monitor performance and hold senior management to account. 2015/16 saw interventions focused on ensuring that the Global Fund had sufficient reliable evidence to understand programme results. This work also involved bringing different sets of information together – for example the Accelerated Integrated Management project brings financial and programme information together – in order to build an accurate picture of the cost of results achieved. Another initiative will ensure that information is measured against strategic plan indicators. However, these projects are all in process, and their full impact is some way from being realised.</p> <p>The Grant Management Support function engages with all divisions to develop a joined-up view of results required. Also, the Human Resources strategy, the focus on talent management, skills mapping and redeployment according to skills and needs, and a rewards and recognition process show that organisational</p>	1, 2, 3, 4, 6, 8, 26, 39, 42, 43, 44, 52, 53, 55, 56, 61, 78,79
Element 2: Clear requirements/ incentives in place for the use of an RBM approach in planning and programming	3		
Element 3: Guidance for setting results targets and develop indicators is clear and accessible to all staff	3		
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	3	processes aim to demonstrate results. There is an increasing focus on data quality, collection processes, and support to country-level data gathering to enable tracking of grants implementation. The 2015 staff survey showed a high level of burn-out, from which it could be inferred that at times insufficient resources are allocated to projects and processes. However, this is countered by high levels of staff enthusiasm for the Global Fund's mission. The survey shows that respondents feel overwhelmingly positive about the Global Fund prioritising a results-based approach.	
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic

Element	Score	Narrative	Source Documents
Element 1: Organisation-wide plans and strategies include results frameworks	3	The Global Fund has consistently ensured that corporate strategies are developed with an RBM focus. This approach has evolved into a measurement tool for the Global Fund as an entity.	1, 2, 3, 6, 8, 26, 35, 37, 39, 41, 43, 44, 46, 56
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	3	A number of documents have raised concerns about the lack of a theory of change underpinning the Fund's Strategy, the relevance, appropriateness and volume of KPIs and the appropriateness of the approach in fragile states or crisis situations. However, the New Funding Model requirements as well as the current and new Strategy documents showed improved linkages between country level and corporate level results.	
Element 3: An annual report on performance is discussed with the governing bodies	3	2016 saw internal analysis and revisions of work processes building general understanding of local contexts and the kinds of interventions needed to achieve results. The focus on improving data and data collection also indicates that there is a focus on recording and demonstrating results. Managers all mentioned the need to track and report results so that the impact of grants could be understood.	
Element 4: Corporate strategies are updated regularly	3	OIG reviews and strategic reviews are discussed with the Board and management reports back on actions taken. Annual consultative processes update Corporate Strategies and Policies.	
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	3	The reports of results to the Board included clear points about strong and weaker performance areas, deviations against planned results, as well as how the organisation had performed over time.	
Overall Score:	3.0		
Overall Rating:	Satisfactory		High confidence

MI 7.3: Results targets based on a sound evidence base and logic

Element	Score	Narrative	Source Documents
Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	2	Global Fund results targets and indicators are intended to be formulated and based on a sound evidence base and logic and the practice of this has improved over time. Together with partners the Indicator Framework has been revised down from 40 to 15 indicators, and efforts are made to ensure that these are aligned with national frameworks and harmonised with partners to ensure relevance. This alignment would ensure that there was a more sharply defined causal pathway between country level and corporate indicators. SDGs are used as the higher order objectives framework. The primary weakness here is whether there is the data to measure progress towards country level outcomes. To the extent that there is data that can validate the links, these exist at both country and corporate level. The focus around RBM indicates awareness of the need to trace causal links and to set realistic targets. Baselines are a requirement for proposals under the NFM, even if the baseline study is part of the proposal. The proposals process for countries is firmly results based and these have to be explained and quantified and costed at the country dialogue stage. Results reporting triggers release of grant tranches. External stakeholders agree that the Global Fund requires targets and indicators in grant applications to be aligned with those of national systems, and that these need to be formulated and based on sound evidence and logic.	1, 2, 5, 6, 8, 37, 38, 41, 42, 53, 56, 57, 105
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	3		
Element 3: Development of baselines are mandatory for new Interventions	3		
Element 4: Results targets are regularly reviewed and adjusted when needed	3		
Overall Score:	2.75		
Overall Rating:	Satisfactory		High confidence

MI 7.4: Monitoring systems generate high quality and useful performance data

Element	Score	Narrative	Source Documents
Element 1: The corporate monitoring system is adequately resourced	3	<p>Ensuring that monitoring systems generate quality performance data appears a priority for the Global Fund. The current Strategic Framework document states that the ‘credibility of the Global Fund’s performance-based funding model depends on the availability of quality data, which is generated when countries have well-established and functioning M&E systems.’ Addressing this has been resourced in a number of ways. Externally US\$17 million was allocated for the Special Initiative on Country Data Systems. At the Secretariat, there are projects focused on consolidation and streamlining of monitoring and the approach and designs are based on process analysis and internal cross team consultations.</p> <p>Country level data weakness means it is difficult to validate results targets. Across a range of documents, the Global Fund stresses the need to generating improved data about vulnerable groups. Despite this gap, external partners surveyed believe the Global Fund is committed to generating improved data about vulnerable groups in countries. The organisation does manage to report against its targets – although the highest-level indicators (such as lives saved) are modelled on available data. A panel of partners and experts is producing recommendations for improvements to the Global Fund’s methods for measuring impact.</p> <p>The Strategic Review judged the model used by the Global Fund to assess impact (the Lives Saved Tool) as satisfactory but made recommendations on improving monitoring systems and data.</p> <p>TERG has a \$10million catalyst fund it can invest to improve country data. The Global Fund has developed the Routine Quality Data Assessment Tool, and currently has six providers looking at data quality in countries.</p>	1, 2, 3, 5, 6, 8, 10, 13, 20, 25, 31, 32, 37, 39, 41, 42, 43, 46, 51, 52, 56, 57, 58
Element 2: Monitoring systems generate data at output and outcome level of the results chain	2		
Element 3: Reporting structures are clear	4		
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	3		
Element 5: A system for ensuring data quality exists	2		
Element 6: Data adequately captures key corporate results	3		
Overall Score:	2.83		
Overall Rating:	Satisfactory		High confidence

MI 7.5: Performance data transparently applied in planning and decision-making

Element	Score	Narrative	Source Documents
Element 1: Planning documents are clearly based on performance data	3	There is evidence in management reports that corporate level performance data is collected, reviewed and reported to the Board. In relation to grants, documentation provides examples of the intended use of data, but there is little evidence <i>recorded</i> of use for decision making. For example, the 'Evolving the Global Fund for Greater Impact in a Changing Global Landscape, Report of the Development Continuum Working Group', states that to enable strategic decisions the Global Fund is seeking to improve the quality and availability of data from site, to district, to national, to global level.	1, 2, 5, 8, 32, 39, 42, 51
Element 2: Proposed adjustments to interventions are clearly informed by performance data	3	However, the New Funding Model is in its first iteration, and performance data is a big focus. Interviews found extensive evidence of work being done to ensure that the quality and quantity of data gathered can describe programme performance. Learning has already been applied, most notably in transforming the Global Fund's internal financial system.	
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	3	As part of their engagement Country teams must determine countries capacity to collect data for analysis. A challenge here is ensuring continuity of funding for data collection at country level, and this must be managed at Concept Note stage. Global Fund management stressed the intention improve processes until there is a clear translation of situation analysis into programme elements. This will depend on Country team support of drafting processes and the success of internal data quality improvement processes. Where absolutely necessary, the Fund collects data: 'In Somalia the Global Fund is funding key surveys to replace collection of routine data because of instability.'	
Element 4: Performance data support dialogue in partnerships at global, regional and country level	3	External partners surveyed all believe the Global Fund requires robust performance data when preparing and approving grant applications.	
Overall Score:	3		
Overall Rating:	Satisfactory		Medium confidence

KPI 8: Evidence based planning and programming applied

Overall KPI Rating

2.72

Overall KPI

Satisfactory

MI 8.1: A corporate independent evaluation function exists

Element	Score	Narrative	Source Documents
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (<i>operational independence</i>)	4	The Technical Evaluation Reference Group (TERG) is an independent evaluation advisory group comprised of a group of experts in monitoring and evaluation. The TERG reports to the Board's Strategy, Investment and Impact Committee (SIIC). A 2015 peer- and self-assessment of the TERG found that it maintained independence but should improve communications. TERG terms of reference were revised to specify its independence.	2, 6, 16, 18, 39, 51, 52, 55, 56, 106, 107, 108, 109
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (<i>Structural independence</i>)	4	TERG and the Office of Inspector General (OIG) both have their own independent workplans within which they determine their evaluation and review programmes. TERG evaluations can cover the Secretariat as well as any country programmes.	
Element 3: The evaluation office has full discretion in deciding the evaluation programme	4	TERG and OIG functions have their own budgets which they manage independently. These budgets come out of the operational costs of the Global Fund.	
Element 4: A separate budget line (approved by the Governing Body) ensures <i>budgetary independence</i>	4	Donors are also initiators of evaluations. Countries submit requests for mid- or end-term evaluations where methodology and approach are approved by the Secretariat.	
Element 5: The central evaluation programme fully funded by core funds	4	No evidence was identified in terms of interference with evaluators.	
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	4		
Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated. (<i>Behavioural independence</i>)	NE		

Overall Score:	4.0		
Overall Rating:	Highly satisfactory		High confidence

MI 8.2: Consistent, independent evaluation of results (coverage)

Element	Score	Narrative	Source Documents
Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	3	The TERG works to a Board sub-committee and its work is covered by a Terms of Reference which is described as a Global Fund founding document in the Governance Handbook. The TERG oversees independent evaluations on behalf of the Board and its Committees. It oversees the evaluation functions performed by the Secretariat and advises the Global Fund Secretariat on evaluation approaches and practices, independence, reporting procedures and other technical and managerial aspects of monitoring and evaluation at all levels.	2, 18, 39, 41, 56, 57, 59, 109
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 decentralized evaluations	4	Each year the TERG undertakes five or six independent strategic reviews of partner agreements. These are scheduled in an annual workplan which is publically available. Based on evaluations, the TERG makes recommendations to the Global Fund Secretariat and the Board regarding improvements that could be made to programmes. Evaluations undertaken cover all aspects of Global Fund engagements (for example: efficacy of agreements with partners, sustainability of programmes, decision making within programmes, and five-year impact reviews) and all key priorities appear to be covered.	
Element 3: A prioritized and funded evaluation plan covering the organisation's planning and budgeting cycle is available	4	The Global Fund provides a Monitoring and Evaluation Toolkit to guide all programme evaluations undertaken by external evaluators. This toolkit is based on, and has been jointly developed by the Global Fund together with other UN agencies.	
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisations' Interventions, reflecting key priorities	3	It is a condition of grant agreements that they include a costed M&E plan with around 7-10% of the grant budget allocated to this.	
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	3	Country teams can undertake mini reviews of different aspects of country programmes. For example, because the Local Fund Agent cannot go in-country,	

Overall Score:	3.4	the Somalia team does mini audits of Principal Recipient systems and M&E to look at supervision and data flow.	
Overall Rating:	Highly satisfactory	The majority of external partners surveyed felt the Global Fund is clear about the requirement for grant funded activity in the country to be evaluated. Just less than half of those surveyed did not know if the Fund participated in joint evaluations at country/regional level, but most of the rest of those surveyed felt the Fund was 'good' at joint evaluations.	High confidence

MI 8.3: Systems applied to ensure the quality of evaluations

Element	Score	Narrative	Source Documents
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	3	<p>The quality of the two assessments for Main Objectives 1 and 2 – which are the basis for the 2015 Strategic Review – reflect a robust and thorough approach to data gathering, data quality analysis, data analysis and interpretation. The Reviews show good research methodologies, findings are presented clearly against key questions, provide considered recommendations for efficient use of monitoring data, and suggestions on how to optimise and improve modelling frameworks.</p> <p>The five Rapid Assessments of Healthcare Waste Components of Global Fund projects have very brief methodology outlines, but show thorough conclusions and recommendations.</p> <p>The Global Fund provides guidance to Principal Recipients in its M&E toolkit which outlines quality requirements. However, completed evaluations are not formally quality assured.</p>	8, 18, 39, 52, 55
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	2		
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	2		
Element 4: The methodology presented includes the methodological limitations and concerns	2		
Element 5: A process exists to ensure the quality of all evaluations, including decentralized evaluations	2		
Overall Score:	2.2		
Overall Rating:	Satisfactory		Medium confidence

MI 8.4: Mandatory demonstration of the evidence base to design new interventions

Element	Score	Narrative	Source Documents
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	4	<p>Concept Notes and proposals are required to provide evidence in the form of a situational analysis and findings from previous evaluations. However, at times the link from situation analysis /country evaluation is weak, with Concept notes ‘often fail[ing] to analyse failures to achieve high coverage and effectiveness in the past as a foundation for developing more effective approaches before scaling up.’</p> <p>There does not appear to be a formal feedback loop process. However, a learning culture was evident in the approach and understanding of those interviewed. It was made clear that the Country teams built up a body of knowledge and understanding of their focus countries with a view to improving programme implementation and impact, and also to inform the next round of grant making in the New Funding Model.</p> <p>External partners surveyed were all of the opinion that the Global Fund requires grant applications to include a statement of the evidence base.</p> <p>No evidence was found to inform questions around incentives for applying lesson learning, or publicising the numbers of lessons which have informed new operations designs.</p>	1, 5, 8, 10, 29, 40, 41, 42, 87
Element 2: Clear feedback loops exist to feed lessons into new interventions design	2		
Element 3: There is evidence that lessons from past interventions have informed new interventions.	2		
Element 4: Incentives exist to apply lessons learnt to new interventions	NE		
Element 5: The number/share of new operation designs that draw on lessons from evaluative approaches made public	NE		
Overall Score:	2.67		High confidence
Overall Rating:	Satisfactory		

MI 8.5: Poorly performing interventions proactively identified, tracked and addressed

Element	Score	Narrative	Source Documents
Element 1: A system exists to identify poorly performing interventions	2	Thus far, the Global Fund Secretariat has identified where the Fund is performing poorly. There is no overall system to identify, track and address poor performance of interventions.	1, 3, 5, 8, 9, 13, 27, 30, 32, 42, 51, 56
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	3	The Fund's ability to track and address poorly performing interventions is only as good as the direct connections between country teams and Principal Recipients and the quality and coverage of the data gathered on the intervention. This is therefore a work in progress.	
Element 3: A process for addressing the poor performance exists, with evidence of its use	3	A strategy to pre-empt poor performance includes capacity assessment of the Principal Recipient and the Country Coordinating Mechanism during proposal drafting, and the Country teams recommend relevant capacity building programme content based on implementer capabilities. This focus on building the capacity of partners, particularly departments of Health, is necessary as there is often no other Principal Recipient option. Country teams include specialists who can engage at country level to fix identified gaps.	
Element 4: The process clearly delineates the responsibility to take action	4	The Local Fund Agent (LFA) undertakes regular reviews of programme implementation, financial management and reporting. The LFA also provides a measure of capacity enhancement support.	
Overall Score:	3.0	There is no written process to cover information sharing regarding solutions found to address poor performance in country programmes. However, the focused attention of the Country teams and their harnessing appropriate skills from different Secretariat departments means that poor performance as well as working solutions becomes generally understood.	Medium confidence
Overall Rating:	Satisfactory	External partners' perceptions were that the Global Fund is good at consistently identifying poor performance and either providing Technical Assistance to address the problems or changing funding patterns.	

MI 8.6: Clear accountability system ensures responses and follow

Element	Score	Narrative	Source Documents
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	2	In documents there are individual examples of how evaluations result in follow-up actions. The Emergency Fund and the classification of a Challenging Operating Environment arose from evaluation recommendations.	13, 27, 29, 52, 53
Element 2: Management responses include an action plan and /or agreement clearly stating responsibilities and accountabilities	3	Interviews showed that responding to evaluation recommendations is a part of day-to-day business practice. The Secretariat is required to produce a management response for external audits, evaluations and reviews of performance. There is a response procedure where management initiates action and reports back to TERG. Generally, actions are completed by relevant Secretariat departments.	
Element 3: Timeline for implementing key recommendations is proposed	3	There was no information on a formal system in relation to evaluations of grants. However, the Global Fund is looking to closer monitoring of grants. Managers explained that reviews could result in reprogramming, which is a direct response to evaluation recommendations. In terms of response timelines, TRP	
Element 4: A system exists to regularly track status of implementation	3	recommendations are generally implemented before grant signing, and for interventions Country teams identify core risks mentioned in LFA reviews, and decide on mitigating actions. These actions will in future be tracked in the new Accelerated Integrated Management system.	
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	0	However, it is clear that the Secretariat is aware of the status of country grant implementation through the country team work and there was evidence of a lot of work around improving results management.	
Overall Score:	2.2	Country evaluations and reviews are often followed by updating of national strategic plans, with recommendations factored into the updated plans. Country teams work with national programs to develop action plans with timelines for implementation.	Medium confidence
Overall Rating:	Satisfactory	External stakeholders were positive about the Global Fund's systematic follow up of evaluation recommendations.	

MI 8.7: Uptake of lessons learned and best practices from evaluations

Element	Score	Narrative	Source Documents
Element 1: A complete and current repository of evaluations and their recommendations is available for use	2	<p>The TERG workplan states its intention to facilitate organizational learning through its independent evaluations, and that Secretariat implementation of recommendations can be tracked. There is no written process covering systematic uptake of lessons learned. However, interviews showed that there was a continuous process of learning, reflection and application of lessons learned i.e. informal rather than formal systems. The extent to which lessons are disseminated internally means that implementing partners will benefit via Country team engagement.</p> <p>The lessons learned in the implementation of the New Funding Model are actively being incorporated into business processes. Learnings come from reviews and evaluations and from the process of implementation, and the Secretariat's reflection on the value of established processes. The learnings 'transformed financial systems', and there is a conscious effort to align programmes with the strategy more precisely. There is also a clear process to improve data and ensure disaggregation by age, sex and location to enable better analysis. The emergency fund set up has enabled swift responses to emergencies. In Challenging Operating Environments there are ongoing discussions about how to manage risk and be realistic about who to work with, in particular targeting partners who have experience working in emergencies, or with highly mobile populations.</p> <p>Independent evaluations and reviews are public. The Partnership Strategy includes processes and recommendations about information that needs to be shared with partners. This includes information from LFA reviews and any evaluations. Over two thirds of survey respondents felt that the Global Fund learns lessons from previous experience rather than repeating the same mistakes.</p>	13, 18, 32, 35, 37, 51
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	2		
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	2		
Element 4: A system is available and used to track the uptake of lessons learned	0		
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	0		
Element 6: Evidence is available that lessons learned and good practices are being applied	3		
Element 7: A corporate policy for Disclosure of information exists and is also applied to evaluations	2		
Overall Score:	1.57		
Overall Rating:	Unsatisfactory		Medium confidence

Performance Area: Results Management

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

KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/country level, and contribution to normative and cross-cutting goals

Overall KPI Score	n/a	Overall KPI Rating	Satisfactory
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MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Organisations either achieve at least a majority of stated output and outcome objectives (more than 50% if stated) or the most important of stated output and outcome objectives are achieved</i></p>	<p>Results measuring is supported by: audits and evaluations increasingly aligned with key elements of the Global Fund strategy; an OIG budget of \$60mil for reviews and evaluations; projects addressing data quality at Secretariat and country level; and programme data received through grant reporting verified by LFAs. Programme data enables donors to understand issues at country levels. The focus on cross-cutting issues, particularly gender and human rights, means increased attention in proposal processes, but these must still be reflected as concrete programme interventions.</p> <p>Quantified results available from management information include:</p> <ul style="list-style-type: none"> • Global Fund supported programs saved 17 million lives by 2014, and on track for 22 million by end 2016. • Deaths from AIDS, TB and malaria reduced by more than one-third since 2002 in GF supported countries. • 9.2 million people on Anti-retroviral through Global Fund supported programmes (more than 40% of those infected worldwide). • 15.1 million people tested for TB since 2002, with over 11.7 million successfully treated. • Over 659 million mosquito nets distributed through Global Fund supported programs and 582 million malaria cases successfully treated. <p>There are some delivery targets in danger of not being met, with clear management explanations. Grants in Challenging Operating Environments were not performing well, but the Policy for Challenging Operating Environments will enable easier reporting requirements.</p>	<p>5, 35, 51, 52, 57, 69, 74, 75, 89, 91, 93</p>
		High confidence

MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions have resulted in positive changes experienced by target group members (at the individual, household or community level). These benefits may include the avoidance or reduction of negative effects of a sudden onset or protracted emergency</i></p>	<p>If the target population is to be interpreted as whole populations, then positive results are indicated. Results for the first phase of the New Funding Model are not yet fully quantified, but figures for 2015 and 2016 reported in mid-2016 showed improved results. Some examples are:</p> <ul style="list-style-type: none"> • 7.5% increase in people put on ARVs • HIV counselling and testing rose by 7.7% • 8.3% increase in women reached with PMTCT services • 40% of the 357 000 TB cases detected and treated were in high impact Asia countries • People treated for Multi Drug Resistant-TB rose by 15.3% • 9.9% increase in mosquito net distribution • 3.9% increase in malaria case treatment <p>However, the Fund has reported that domestic financing now accounts for over half of funding for HIV, more than three-quarters for TB and around a quarter for malaria. Seven countries have taken over HIV disease programme costs, three have taken over TB programme costs, and four countries are committed to increased resourcing for key populations. Results by target group (including key populations) in the evidence reviewed are not consistently or systematically reported on. Limited references include capacity built in 200 MSM-focused community based organisations in the HIV prevention programme in India, and 38,000 Ethiopian Health Extension Workers trained as part of support to ensure delivery of a basic package of 17 health extension interventions.</p> <p>The interview process yielded anecdotal evidence of positive benefits. In particular, a number of cases were cited where country partners had indicated that Global Fund grants were critical to the survival of the country's health system. This is validated in some way through the study which was able to correlate improved outcomes for the three diseases in countries which received Global Fund grants.</p> <p>Addressing barriers to access are key to ensuring that key populations' health needs are met. The Secretariat is ensuring focus on this issue through staff training on gender and results-based-management, country team focus on disease burden profiles in high burden countries, and targeted re-programme at review points.</p> <p>The review of Health Systems Strengthening found that this element of grants had had limited impact. However, case studies (such as Afghanistan), and teams who engage at country level show that some changes are starting in management of health systems in supported countries, but it is acknowledged that this is a slow and complex process. This reflects the need for political and societal buy-in before this aim can be realised. It has been mentioned that the Strategic Review judged the model used by the Global Fund to assess impact (the Lives Saved Tool) as satisfactory but made recommendations on</p>	<p>5, 6, 31, 32, 51, 86, 89, 90, 91</p>

	improving monitoring systems and data. A recurrent theme across the interviews and in the documentation was the question of data quality from country level: This is known to be very variable in terms of quality and quantity and is the focus of a number of interventions.	
		High confidence

MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programs (policy and capacity impacts), or needed system reforms

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions have made a substantial contribution to either re-orienting or sustaining effective national policies and programmes in a given sector or area of development disaster preparedness, emergency response or rehabilitation</i></p>	<p>Mixed evidence is available on the contribution of the Global Fund to capacity impacts and systems reforms/strengthening. Areas include supporting the integrated delivery of interventions with other health services, democratising health responses and supporting provincial disease planning. Improvements noted include:</p> <ul style="list-style-type: none"> • A near tripling of the percentage of countries (from 35 to 90%) applying for cross-cutting support for building resilient health systems, suggesting that there is a growing need for, and attention toward, this type of investment. • A contribution by one-third of the expenditures in the Global Fund portfolio to building countries' health systems. • Frequent leverage for greater health systems impact. (Examples are provided from Afghanistan, Zimbabwe and Ethiopia, among others.) <p>There was some evidence of interventions having contributed to changes at country policy and health system delivery levels. Over one-third of expenditures contribute to countries' health systems, and, while many interventions are funded under disease-specific grants, the effects are often leveraged for greater health systems impact.</p> <p>There has also been a noticeable increase in the level of in-country co-financing into Global Fund supported programmes, indicating a change in countries' willingness to pay. The establishment of National Health Accounts and disease-focused sub-accounts are enabling national Ministries to get a better idea of the cost of dealing with each epidemic.</p> <p>Other areas of focus were the integrated delivery of interventions with other health services, democratising health responses and supporting provincial disease planning. However, by the end of 2015, few countries were able to facilitate cross-disease programme discussions on health system-</p>	31, 32, 43, 56, 86, 89

	<p>related barriers to improving services and to agree the interventions and funding to go towards this.</p> <p>The 2015 Strategic Review reported weak evidence of systemic change in procurement and supply-chain management. But intensive efforts in this area in 2016 to support procurement and logistics through centralised pooled procurement or private sector support were beginning to work. However, staff acknowledged that often getting commodities and services to ultimate beneficiaries – i.e. the last mile – continues to be a challenge in many locations</p> <p>The Review of Health System Strengthening finds evidence from just two (out of nine) case studies that Global Fund grant application processes can be catalytic to health system reform. Management reporting on results for 2015 also found that the Health Systems Strengthening KPI was one of four at risk of not being met for the year, with almost 90% of availability & readiness scores falling below 50%. This indicates that the majority of sites surveyed did not have all the recommended components in place to deliver a quality service.</p>	
		Medium Confidence

MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women

Rating	Narrative	Source Documents
<p>Unsatisfactory</p> <p><i>Interventions either lack gender equality objectives or achieve less than half of their stated gender equality objectives. (Note: where a programme or activity is clearly gender-focused (maternal health programming for example) achievement of more than half its stated objectives warrants a satisfactory</i></p>	<p>Country Coordinating Mechanisms now have guidelines for expertise on gender and for striving toward equal representation of men and women in Global Fund-related decision making. In 2015, 39.2% of Country Coordinating Mechanism members in implementing countries were women, an increase from 33.9% in 2010. Through partnerships with civil society groups, the Global Fund is supporting the participation of women in strategy and grant-making processes. The Global Fund partnered with the International Women's Health Coalition to lead a gender consultation at the 59th Commission on the Status of Women to inform the new Global Fund strategy.</p> <p>There was broad evidence of staff understanding and focus on barriers to access for women and girls. However, the results of these processes will only become visible within a couple of years when the data improvement processes have been completed. Other benefits relevant for country-level results recorded in a rapid review of work on gender include:</p> <ul style="list-style-type: none"> • Gender assessments of national responses to HIV in over 40 countries. • As of 2015, 5-60% of Global Fund spending was directed to women and girls. • Revision of data systems, indicators and grant-making tools to better capture and use sex-disaggregated data. • Building partnerships to pursue the 'gender agenda' at country level. 	<p>5, 36, 56, 104</p> <p>High confidence</p>

MI 9.5: Interventions assessed as having helped improve environmental sustainability/helped tackle the effects of climate change

Rating	Narrative	Source Documents
<p>Unsatisfactory</p> <p><i>Interventions do not include planned activities or project design criteria intended to promote environmental sustainability and help tackle the effects of climate change. There is, however, no direct indication that project or program results are not environmentally sustainable</i></p>	<p>There were occasional mentions of environmental sustainability and climate change issues as they affect health systems and system delivery, and there was a study around medical waste management in some countries. However, the issues are not at front of mind or high in programme priorities. It is beginning to be thought about, and it was acknowledged that these issues needed further attention. However, there was no evidence of Global Fund interventions contributing to improved environmental sustainability.</p>	<p>60</p>
		<p>Little to no confidence</p>

MI 9.6: Interventions assessed as having helped improve good governance

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions include some planned activities and project design criteria to promote or ensure 'good governance'. These activities are implemented successfully and the results have promoted or ensured 'good governance'</i></p>	<p>Governance practices are in place at the level of the Secretariat. The OIG has good systems for review in place, and was confident about the extent of good governance implementation. Senior staff were well versed in implementation of good governance practices. The TERG was also clear about good governance practice.</p> <p>The Thematic Review of Fragile States found evidence that the Global Fund had found innovative ways of overcoming the challenges of operating in Challenging Operating Environments. The Review found that grants in fragile states were performing less well than in other recipient countries, particularly in terms of Malaria grants. Internal management of partners in these difficult contexts is flagged in documentation as a key factor here.</p> <p>At country level it appears that achieving good governance in terms of international good practice is an ongoing process. The increase in co-financing indicates that more attention to focused policy may be taking place in-country governance structures. There is ongoing support to country governments, Country Coordinating Mechanisms and Principal Recipients. Country team requests for support in relation to governance in proposal and grant management processes indicate that this issue is foregrounded in engagements.</p> <p>No specific evaluation evidence was provided to show in depth evaluation of governance practices at country levels.</p>	<p>51</p>
		<p>Medium confidence</p>

KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the multilateral organisation works towards results in areas within its mandate

Overall KPI Score	n/a	Overall KPI Rating	Satisfactory
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MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions are designed to take into account the needs of the target group as identified through a situation or problem analysis (including needs assessment for relief operations) and the resulting activities are designed to meet the needs of the target group</i></p>	<p>Target groups for the Global Fund can be understood to include people living with and/or affected by HIV, TB and malaria, and within this, a focus on key populations. The 2015 Case for Support points out that the Fund's allocation model, implemented in 2014, is delivering on the Board's strategic focus by investing resources in countries with the highest disease burden and lowest economic capacity. The current allocation delivers more than 90% of investments to low- and lower-middle-income countries, and more than 95% to high-burden countries. The Allocation Methodology 2017-2019 provides for refinement and increasing resources to high-need contexts and with greater scope for differentiation. The 2015 Strategic Review reviewed 16 case study countries and found that despite a strong focus on key populations, these generally are not translated into effective programmatic interventions. However, there is weak key population analysis and needs of adolescent girls and young women were not well covered in case study countries.</p> <p>The Strategic Review also considered prioritisation in programme design and budgeting, and found mixed results from Global Fund interventions responding to the needs of targeted groups. It found that for example that in the DRC, health equity was promoted on paper but there was often silence on gender issues and discrimination against those living with HIV or other diseases. In Haiti, national programmes were found to promote and respect human rights and to be gender sensitive but that whilst assessments of health services suggest a lack of gender-specific services, there was little evidence of a link to the Fund supporting national programme improvements in this area. This was also the case in Nigeria and Rwanda.</p> <p>The Global Fund has identified a need to enable simplified applications and reporting, particularly for countries with little capacity, smaller grants and in Challenging Operating Environments. The capabilities for producing quality applications and reporting are generally not in place and the Country teams support these processes. This support process is therefore in place but has not yet been evaluated.</p>	56, 74, 95
		Medium confidence

MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions have contributed substantially to the achievement of specific national development goals or have contributed to meeting humanitarian relief objectives agreed to with the national government and/or the humanitarian community</i></p>	<p>There is evidence of the Global Fund contributing to national development goals and objectives. Data collected over time indicates that funds have contributed to international targets. With the NFM only in its first iteration, the full picture of the Fund's impact is yet to be realised. Also, data from countries tends to be patchy and reliability is sometimes in question. However, focused interventions are addressing the data gaps and country partners' capacity of to identify and collect data against agreed indicators. Various reports show clear contributions: In Swaziland Global Fund works to prioritise interventions for adolescents aligns with Swaziland's strategic priority to address HIV among young people; countries such as Sudan and Burkina Faso have used the proposal process to develop comprehensive responses to all diseases and health system issues.</p> <p>The introduction of co-financing which makes 15% (for the 2014-2016 allocation and 15% and more for future allocations) of a grant contingent on the country financing into Global Fund programmes or programme areas is aimed at embedding effective and appropriate spending in countries. The Strategic Review found that stakeholders felt very positive about the NFM requirement to align Concept Notes to National Strategic Plans but raised the concern that many Global Fund dependent countries revised and re-oriented their own national strategies to be in line with Global Fund needs.</p>	<p>31, 32, 56</p> <p>High confidence</p>

MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>The organisation has improved the effectiveness of its partnership relationship with partners over time and improvements are noted in evaluations</i></p>	<p>The 'Approach to Assessing Progress in Impact Against HIV, Tuberculosis and Malaria 2000/4-2014' found a link between lives saved and the level of financial expenditure of the Global Fund at the aggregate level, which could be ascertained with a high degree of reliability. This affirms the original rationale for establishing the Global Fund.</p>	31, 51, 56, 58
	<p>The 'Building Resilient and Sustainable Systems for Health' report describes positive actions that the Global Fund has taken to address coherence: under the New Funding Model, the Global Fund required integrated TB-HIV Concept Notes from the 38 countries with the highest co-morbidity of TB and HIV. In Kenya, for example, this resulted in a 43% increase in the number of clients screened for tuberculosis during antenatal visits.</p> <p>The Global Fund recommends that HSS is embedded in the disease-specific Concept Note. There has also been a special initiative on Value for Money and WHO good practice: 'This involves setting up National Health Accounts – 78 have been set up so far. The Global Fund, the WHO and other partners pool resources to institutionalise the NHA and finance capacity building and implementation costs in recipient countries.</p> <p>The Thematic Review on Fragile States found that the Global Fund's limited experience of global or in-country Humanitarian Cluster coordination mechanisms presented challenges for some of its interventions, citing examples in the DRC and Goma.</p>	High confidence

KPI 11: Results delivered efficiently

Overall KPI Score	n/a	Overall KPI Rating	Satisfactory
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MI 11.1: Interventions assessed as resource/cost efficient

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Results delivered when compared to the cost of activities and inputs are appropriate even when the program design process did not directly consider alternative program delivery methods and their associated costs</i></p>	<p>The 2015 Impact Report indicates that operating expenditure is decreasing through use of the New Funding Model, disciplined cost control, efforts to save money and adherence to a prudent budgeting framework. Operating expenses are kept below the budget of US\$300 million. This reflects a high degree of efficiency compared with other international organizations. The Impact report points to significant corporate efficiency measures, and the 2015 Strategic Review finds an increased focus on Value for Money. However, there is no institutional definition of Value for Money, and no evidence of independent assessments of Value for Money undertaken or planned in grant designs and/or approved budgets.</p> <p>There are significant improvements in Procurement mechanisms and Supply Chains. Management reports that nearly \$600m was saved over two years by pooling procurement, with spend penetration of up to \$1.5 billion. Major effort is dedicated to building an online platform, to provide increased transparency and improved reliability and lower prices for quality-assured medicines and health products. Direct savings have also been achieved in supply areas which will increase affordability and ensure more people can access treatment each year.</p> <p>There are also initiatives at Secretariat level which seek to build efficiencies and leverage cost efficiencies where possible: pooled procurement with the largest international drug producers; the development of the direct purchasing platform Wambo which makes good pricing available to countries; Innovation Hub projects which identify private sector skills to address gaps in Global Fund programmes (a good example is that Coca-Cola is supporting logistics systems improvement).</p> <p>The Secretariat has a good understanding of the cost of doing business in Challenging Operating Environments and the fact that this will not change quickly. 'Distribution costs are much higher and can't be avoided. Travel costs very high. Actual implementation is often through NGOs and they are often territorially defined. There is poor infrastructure, and we have to use armoured vehicles and pay local guides.' However, even in Challenging Operating Environments there is a process to identify 'pain points and opportunities for differentiation and simplification'.</p> <p>Corporate KPIs 1-3, which measure timelines, are reported as on track to meet 2016 targets. KPI 15 on the efficiency of grant management operations is found to have met its target for 2015, operating expenditure of 2.3% against a target of below 2.75%. KPI 7, on access to funding, is below expectations in 2015, with 54%</p>	<p>5, 31, 56, 69, 72, 74, 81, 89, 102</p>

	of grants met the 10-month 'submission to first disbursement' target, and the 2015 target is unlikely to be met. In terms of procurement, management identify significant gains in 2016. These include increased on time and in-full delivery of core health products that were purchased through pooled procurement – rising from 36% to over 82%. This approaches the same performance level as the private sector in emerging markets.	High confidence
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MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)

Rating		Source Documents
<p>Satisfactory</p> <p><i>More than half of intended objectives of interventions are achieved on time, and this level is appropriate to the context faced during implementation, particularly for humanitarian interventions.</i></p>	<p>KPIs 1-3 are assessed as 'on track' to meet 2016 targets.</p> <p>KPI 15 on the efficiency of grant management operations is found to have met its target for 2015, achieving a 2.3% OPEX rate (operating expenses as a percentage of grants under management), against a target of below 2.75%.</p> <p>KPI 7, on access to funding, is below expectations in 2015, with 54% of grants having met the 10-month submission to first disbursement target, and the 2015 target is unlikely to be met.</p> <p>In terms of procurement, management report some significant gains in 2016, including increased on-time and in-full delivery of core health products purchased through pooled procurement from 36% to over 82%. This approaches the same performance level as the private sector in emerging markets.</p> <p>Final grant agreement is achieved through a multi-step iterative engagement which involves careful consideration of contextual issues, and Country team input into programme design where gender and key population issues as well as HSS are put forward, with careful consideration about what is funded to ensure that impact will be achieved. The responsible Country teams have also 'taken up the challenge of how to deliver in Challenging Operating Environments and we are looking at a range of innovative processes'. In Challenging Operating Environments, much of the implementation is delivered by private sector actors and quality is not known as these activities tend to be unregulated. This means it is difficult to measure quality and timeliness of delivery in these situations.</p>	Medium confidence

KPI 12: Sustainability of results

Overall KPI Score

n/a

Overall KPI Rating

Satisfactory

MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations, to recover, resilience eventually, to longer-term developmental results

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Evaluations assess as likely that the intervention will result in continued benefits for the target group after completion. For humanitarian relief operations, the strategic and operational measures to link relief to rehabilitation, reconstruction</i></p>	<p>The Strategic Review finds that whilst sustainability is a high priority for senior management and the Board, and a number of actions taken in this regard, the implementation of sustainability planning at country level is patchy. The Sustainability, Transition and Co-financing Policy was approved in April 2016 and is being operationalised. For example, by being overly focused on financial analysis and setting benchmarks low, the co-financing policy has struggled to stimulate sustainability planning.</p>	<p>5, 20, 29, 56, 94</p>
	<p>Examples of sustainability and impact are present within available reports; however, these are not yet systematic: In 2015, the Honduras congress adopted a new law on HIV, based on a human rights approach and establishing clear sanctions for discriminatory acts and behaviours against people living with HIV. In Ethiopia, the Global Fund supports the implementation of an integrated health management information system through capacity building for district hospital management teams and health information officers: 93% of hospitals and 80% of health facilities in Ethiopia are implementing the new system.</p> <p>The transitioning process taking countries out of beneficiary status is well developed and there are now criteria which enable country teams to support the process. The aim is to create strong, stable health systems that can fund programmes for management and prevention of all three diseases. The first countries to transition were China and Mexico: 'the process was not systematic or well done, but we now have a policy'. Part of the rationale for increasing focus on Health Systems Strengthening is to enable a country to transition. The HSS review provides examples of improved HS management but this is not evidence in itself of sustainability.</p> <p>The Strategic Review emphasised the need to pay greater attention to the difference between fiscal and programmatic sustainability, including countries' ability to address key populations, human rights and health system challenges.</p> <p>The extent of likely sustainability is not really known at this stage given the NFM's lack of full scale evaluations. However, the Global Fund is consciously working to put sustainability building blocks in place within the framework of the New Funding Model.</p>	
		High confidence

MI 12.2: Interventions/activities assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government.

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions may have contributed to strengthening institutional and/or community capacity but with limited success</i></p>	<p>Counterpart Financing Policy (since April 2016 the Sustainability, Transition and Co-financing policy) has led to increased domestic investments and to examples of Health System Strengthening: for example, in Indonesia this has taken place through the strengthening of the National Laboratory. Implementation of the co-financing policy has led to additional government commitments of US\$5.7 billion to health over a three-year period, an increase from the previous four-year period. Domestic financing accounts for more than half of funding for HIV, more than three-quarters for TB and around a quarter for malaria. Seven countries have taken over HIV disease programme costs (Honduras, Mongolia, Moldova, Dominican Republic, Sri Lanka, Georgia El Salvador), and three have taken over TB programme costs (Mongolia, Tajikistan, Georgia). Four countries are committed to increased resourcing for key populations (Azerbaijan, Philippines, Kazakhstan, Belarus and Moldova).</p> <p>Under the New Fund Model, well-coordinated in-country processes for coordination and harmonisation, identification and provision of technical assistance, evaluations/ assessments and different funding models, have led to effective investments in health systems.</p> <p>However, many countries do not have the internal structural capacities to discuss longer term sustainability for dealing with diseases. For example, Rwanda is now in a position to do this but other countries do not understand how to. Another example is how Nigeria Country team is moving their attention down a level to state rather than central federal level to improve impact.</p> <p>The HSS Review found that opportunities exist to further improve the operational implementation of the Global Fund Health Systems Strengthening guidance at the country level, strengthen coordination with other Development Partners and build in-country counterparts' capacity in cross-cutting areas, in order to further improve programmatic quality and strategic focus for building resilient and sustainable systems for health.</p>	<p>31, 32, 56, 69, 74, 88</p> <p>High confidence</p>

MI 12.3. Interventions/activities assessed as having strengthened the enabling environment for development

Rating	Narrative	Source Documents
<p>Unsatisfactory</p> <p><i>Interventions have not made a notable contribution to changes in the enabling environment for development</i></p>	<p>The Global Fund is now 14 years old. It faces a major challenge in terms of demonstrating significant impact on enabling the development environment because as a financing institution it relies hugely on its partners to deliver lasting impact. However, the Global Fund has been looking for ways to encourage country partners to fully engage. The New Funding Model was in the main a response to country complaints about the extent, complexity and time consuming nature of the rounds-based funding model and the internal restructuring aligned to country needs, grant sizes and disease burdens was also aimed at enabling country partners to get better at grant absorption and delivery. How successful these initiatives will only be realised when impact is measured in 2/3 years' time.</p> <p>The 2015 Strategic Review finds that in Moldova, human rights protection was boosted when NGOs were able to use specific examples of rights violations from Global Fund-supported legal aid to argue for changes in HIV legislation. In the Ukraine, there have been several improvements in the legal/regulatory environment around HIV, greater involvement of KPs and civil society in planning processes, as well as legislation to protect women. Honduras has a new human-rights based law to deal with discriminatory acts and behaviours against people living with HIV, and the country has increased its commitment and leadership in activities targeting men who have sex with men and transgender people. Other interventions the Global Fund hopes will build sustainable and robust health systems include:</p> <ul style="list-style-type: none"> • Encouraging co-financing and supporting Health Systems Strengthening as key enablers. • Driving the inclusion of gender equality in country programmes. • Discussing the different country infrastructures how to get commodities to ultimate users, and also bringing in innovative solutions via private sector partners (e.g. Coca-Cola for logistics, SAP for human resources management systems). • Supporting delivery of programmes and services to populations that are criminalised in some countries (e.g. to sex workers, men who have sex with men, transgender and people who use drugs, for instance), • Contributing to the ongoing survival of civil society organisations who hold governments to account. <p>Ultimately sustainability requires political will and engagement of government leadership and institutions as well as civil society. The search for sustainability is ongoing - currently through ten country studies on sustainability strategies.</p> <p>The GF has not yet made a notable contribution at whole country levels, but it has included elements in its approach which are pushing boundaries and which provide the opportunities for more systemic change – as well as examples which can be implemented beyond the health environment: target group dialogues, including gender and governance issues in programming, challenging situations where beneficiaries are criminalised, and defining requirements for good management of a public service health system. There is also the potential merit of the Country Coordinating Mechanism structure in bringing together sector stakeholders to consider necessary changes to a particular environment.</p>	<p>5, 56</p> <p>Medium confidence</p>

Annex 2: List of documents analysed for the Global Fund

2a) Bibliography

Full name of document
GF (2016), <i>2017-2022 Strategic Key Performance Indicator Framework (Electronic Report to the Board)</i>
GF (2015), <i>34th Board Meeting 2015 Strategic Review</i>
GF (2015), <i>34th Board Meeting Strategic Framework for Board Decision</i>
GF (2016), <i>Allocation Methodology 2017-2019</i>
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GF (2013), <i>Whistle-Blowing Policy and Procedures</i>

2b) List of documents numbered as source material for Document Review

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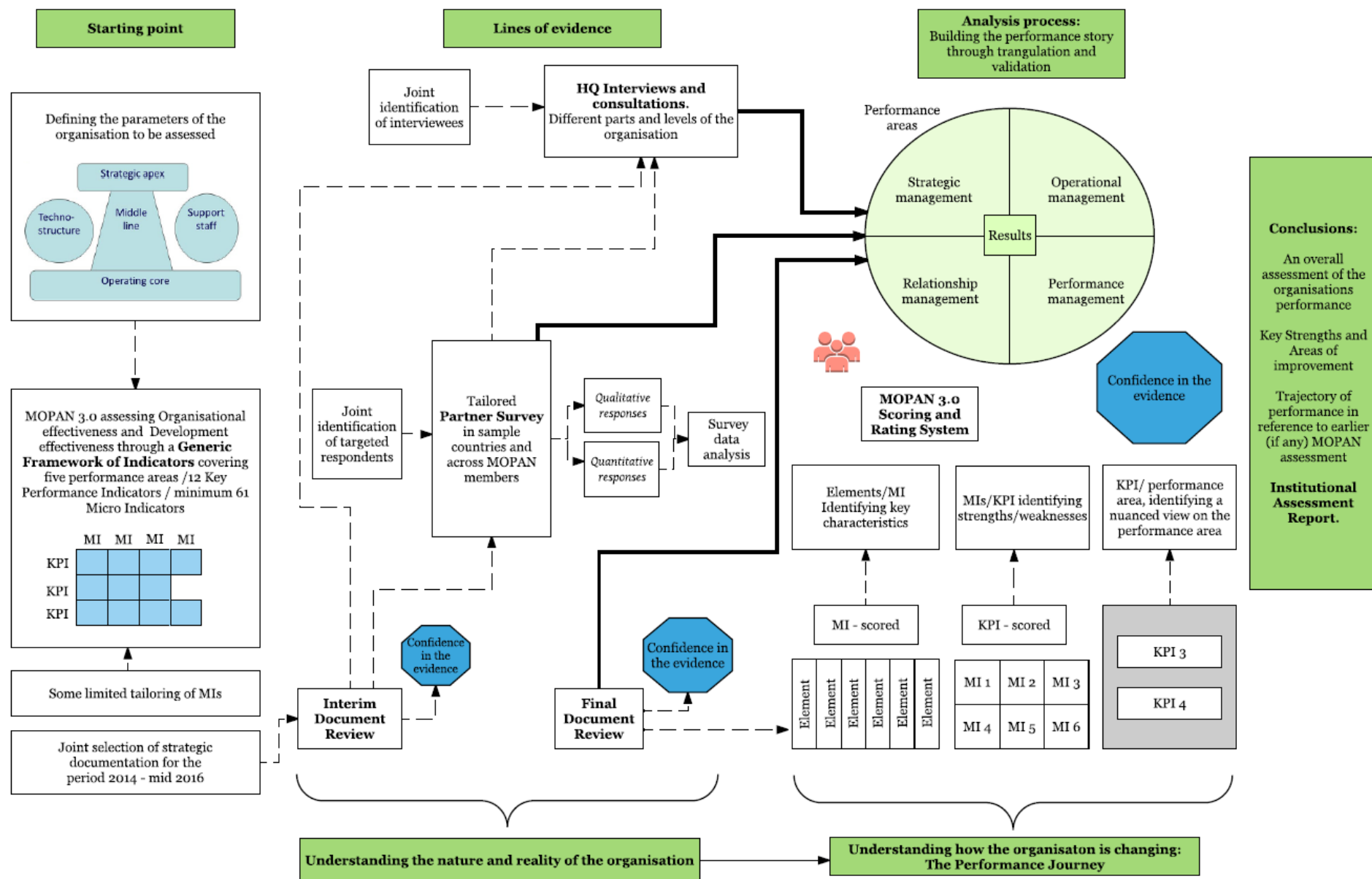
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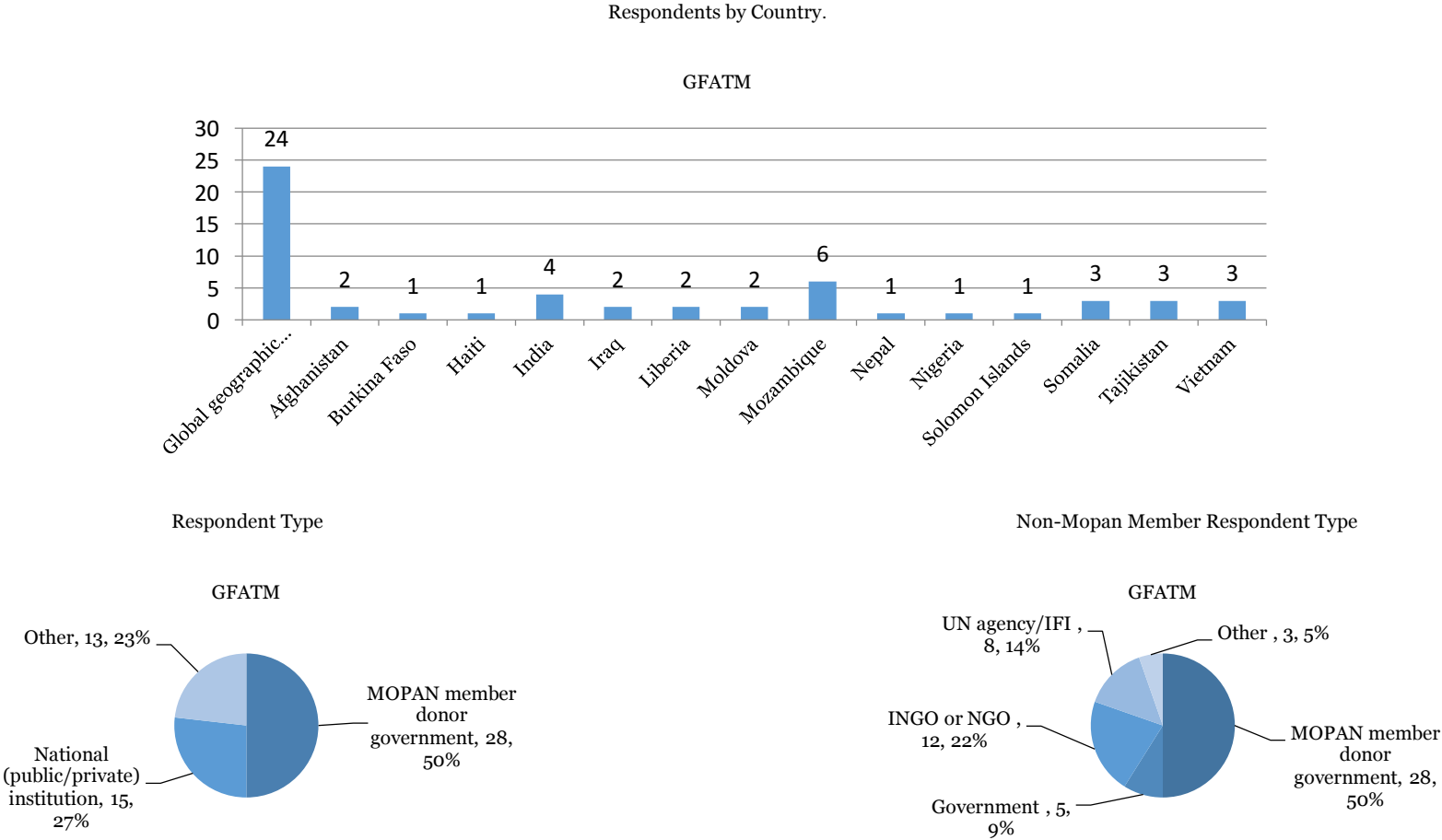
Annex 3: Process map of the MOPAN 3.0 assessment of the Global Fund



Annex 4: Results of the MOPAN survey of partners of the Global Fund

An Evidence Stream for the MOPAN 3.0 assessment of GF, 2016

Total number of responses for the GF Survey: 56

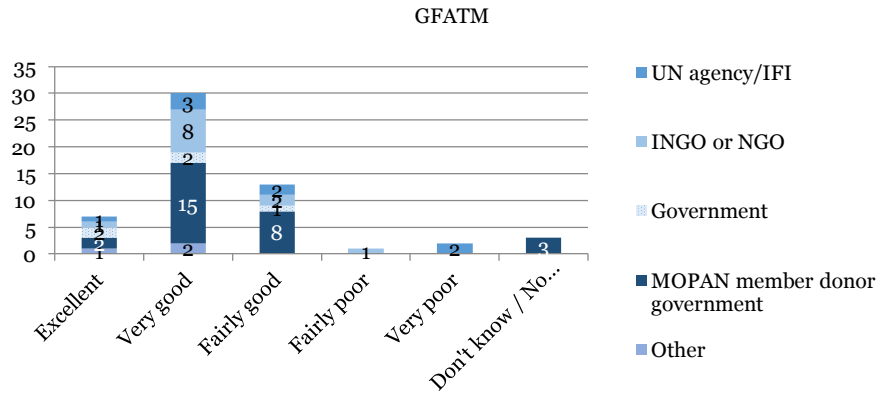


Respondents who identified their geographical focus as "global" were not asked the questions which were only relevant to respondents with a specific country focus. This will be highlighted for the individual questions below.

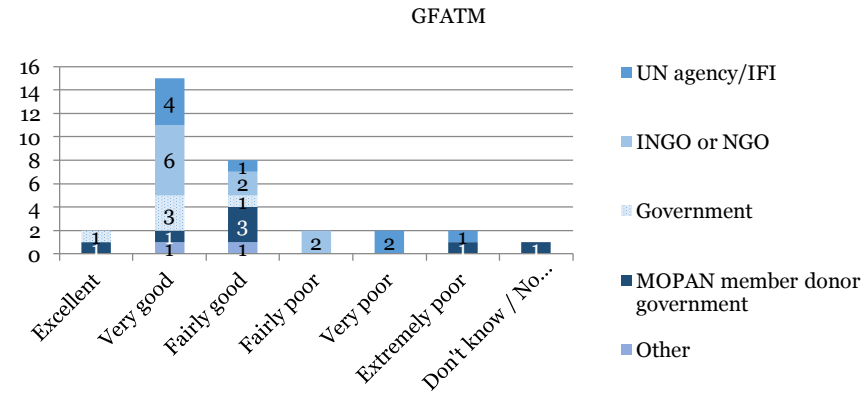
Allocation of financial resources

How well do you think GF performs in relation to the statements below?

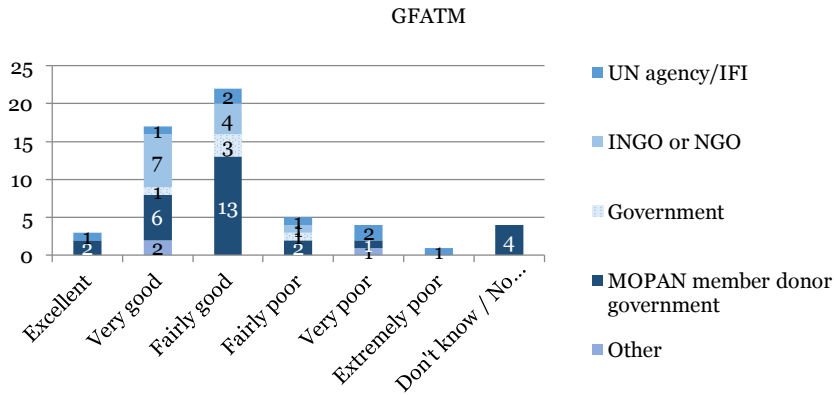
It communicates openly the criteria for allocating financial resources (transparency).



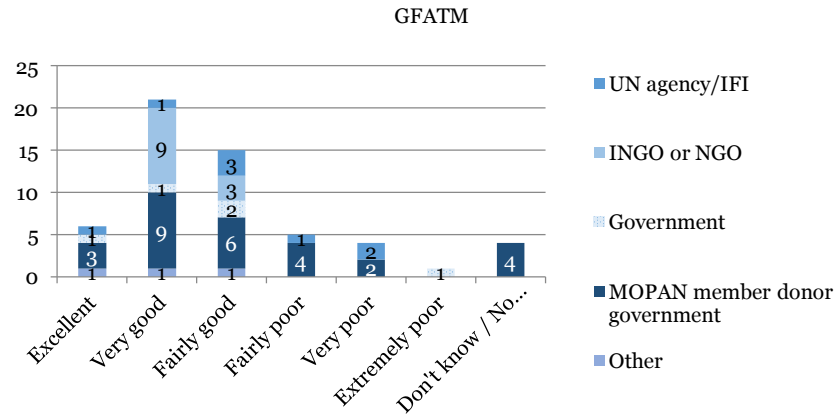
Its current funding model allows for allocations to be aligned with epidemiological need in the country.



Its current funding model pays sufficient attention to whether countries have enough absorptive capacity to manage the funding provided.

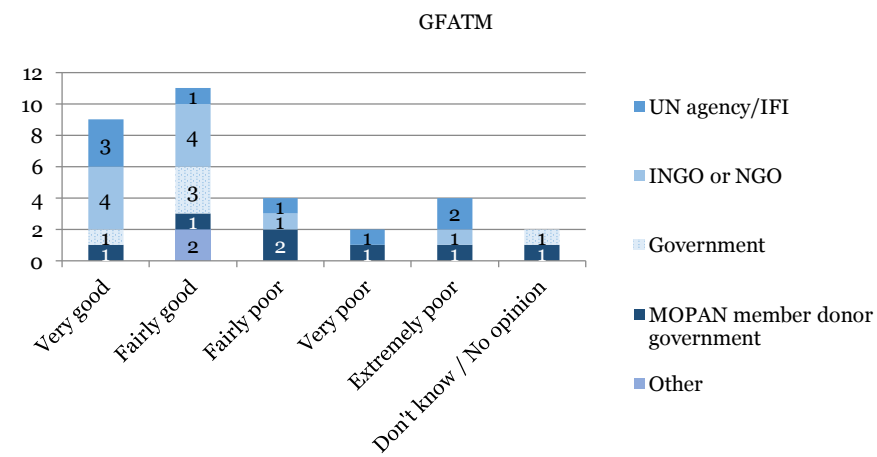


It provides reliable information on how much and when financial allocations and disbursement will happen (predictability).



Respondents who identified their geographical focus as "global" were not asked to answer the top right sided question above, since it is only relevant to respondents with a specific country focus.

The Country Co-ordinating Mechanism is sufficiently empowered to be able direct funding allocations according to needs in the country.

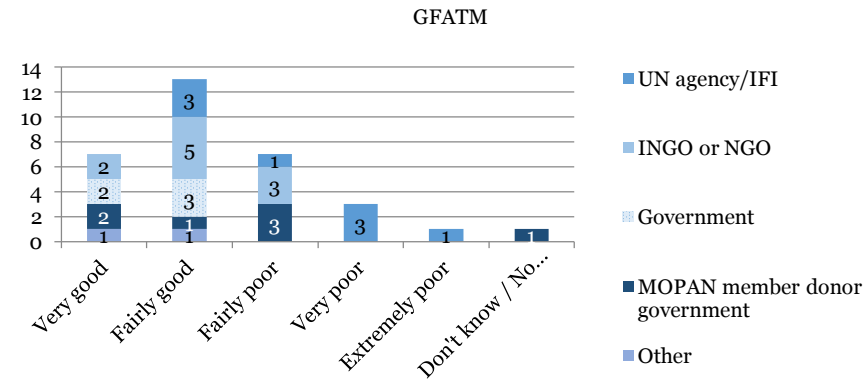


Respondents who identified their geographical focus as "global" were not asked to answer above question since it is only relevant to respondents with a specific country focus.

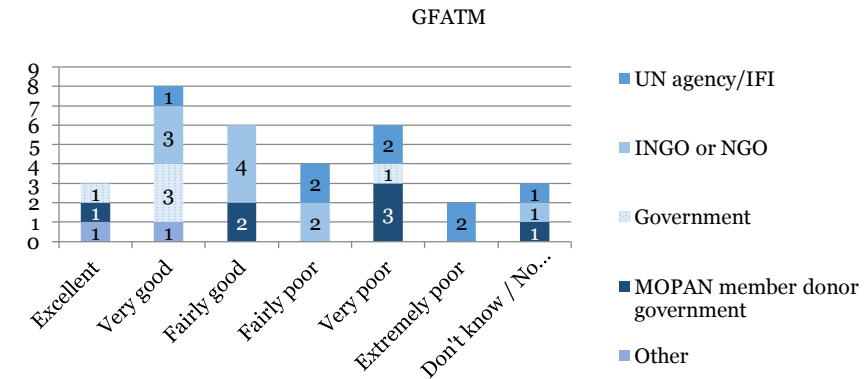
The funding model

How well do you think GF performs in relation to the areas below?

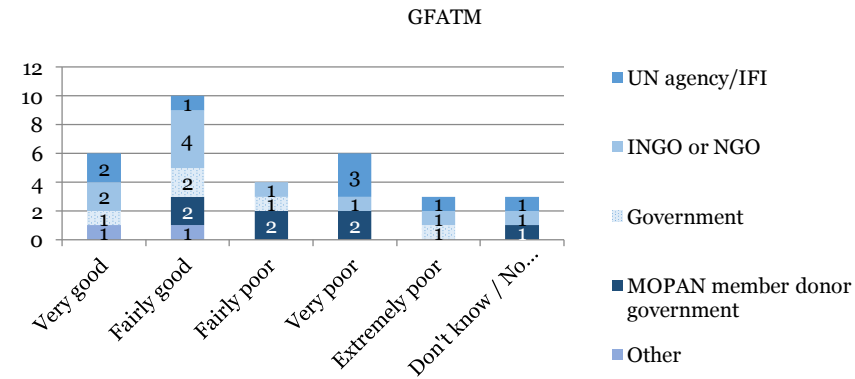
Its current funding model places enough emphasis on building resilient health systems in the context of the country.



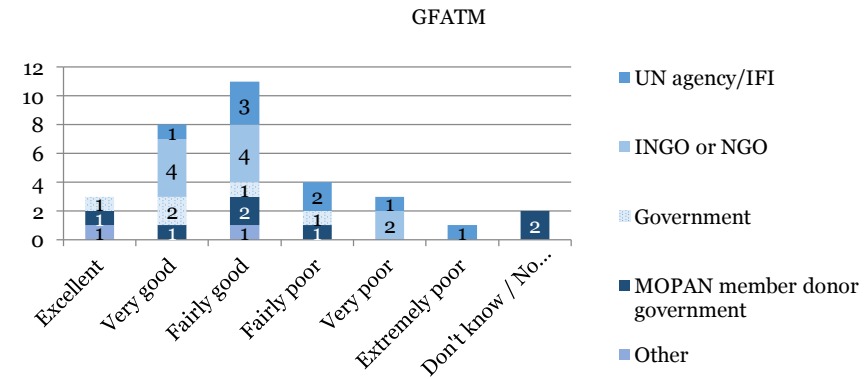
Its current funding model prioritises alignment with the national planning cycle in the country, rather than being driven by the process of applying for new/further grants



Its current funding model provides the flexibility to quickly amend grant agreements to reflect changes in circumstances and arrangements in the country.

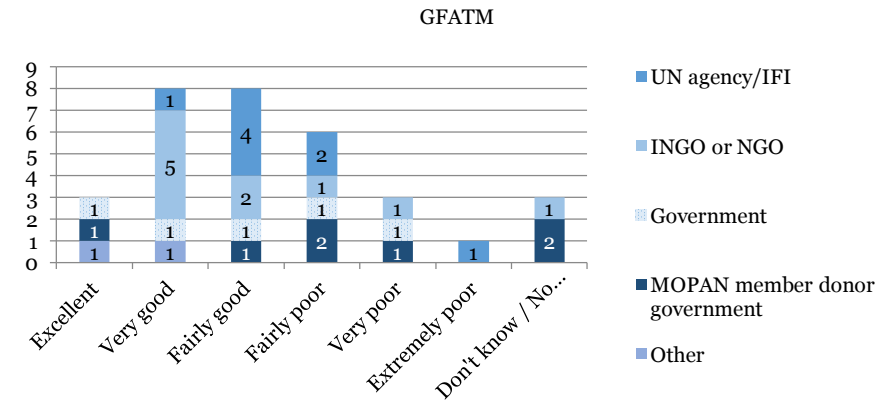


Its current financing model is based on a clear understanding of why GF resources are best placed to address the three diseases and help build resilient health systems in the country (comparative advantage).

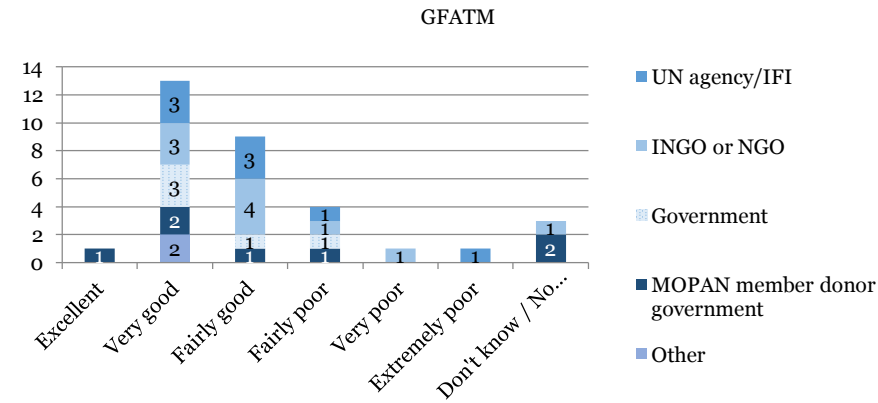


Respondents who identified their geographical focus as "global" were not asked to answer the four questions above, since they are only relevant to respondents with a specific country focus.

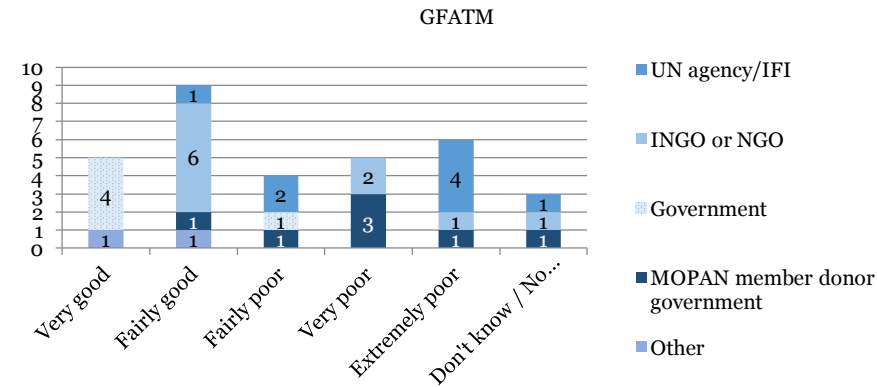
Its grant agreements in the country are based on realistic capacity assessments of national / regional actors, including government, civil society and other actors, to implement and scale up responses.



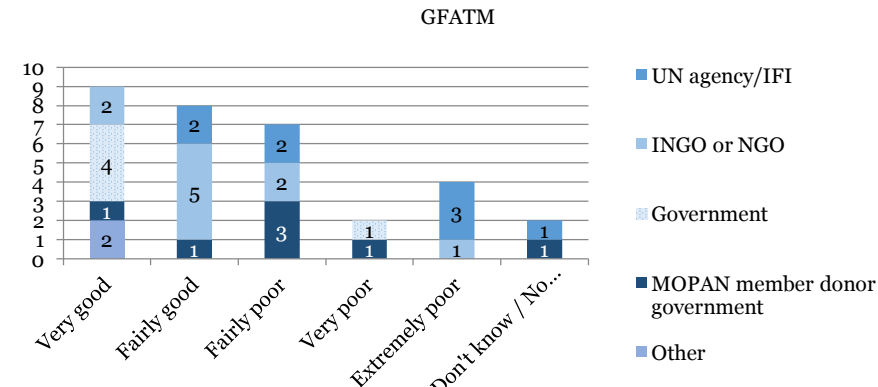
Its grant management procedures pay sufficient attention to risk in the country.



It is clear how the interventions its grants fund in the country will become sustainable in the future e.g. through domestic



Its emphasis on co counterpart financing to address the three diseases is realistic and appropriate in the country.

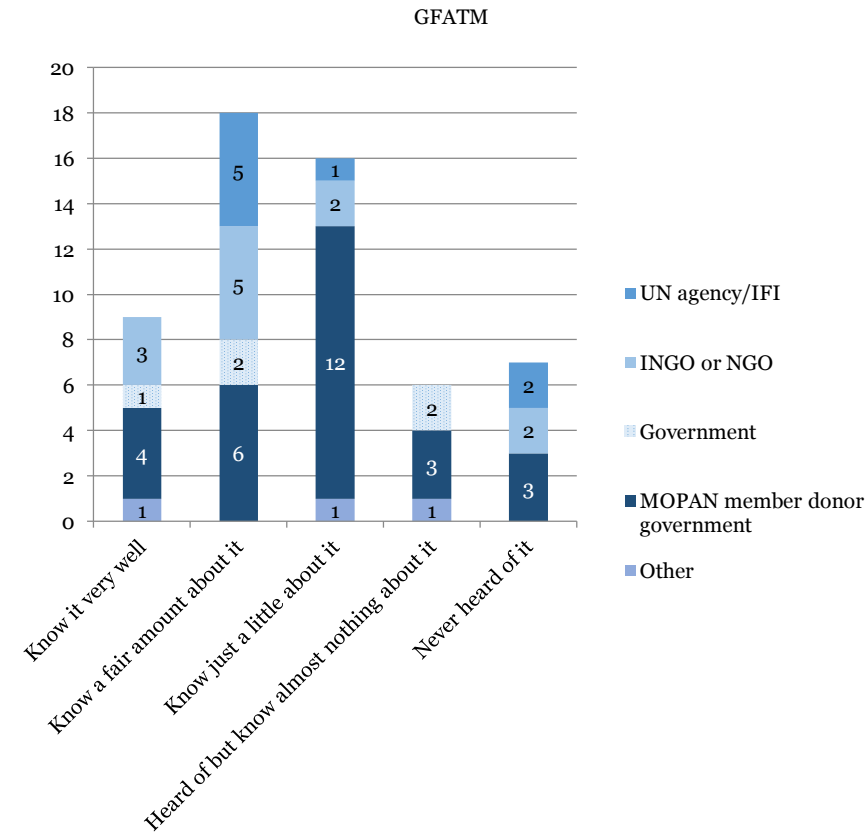


Respondents who identified their geographical focus as "global" were not asked to answer the four questions above, since they are only relevant to respondents with a specific country focus.

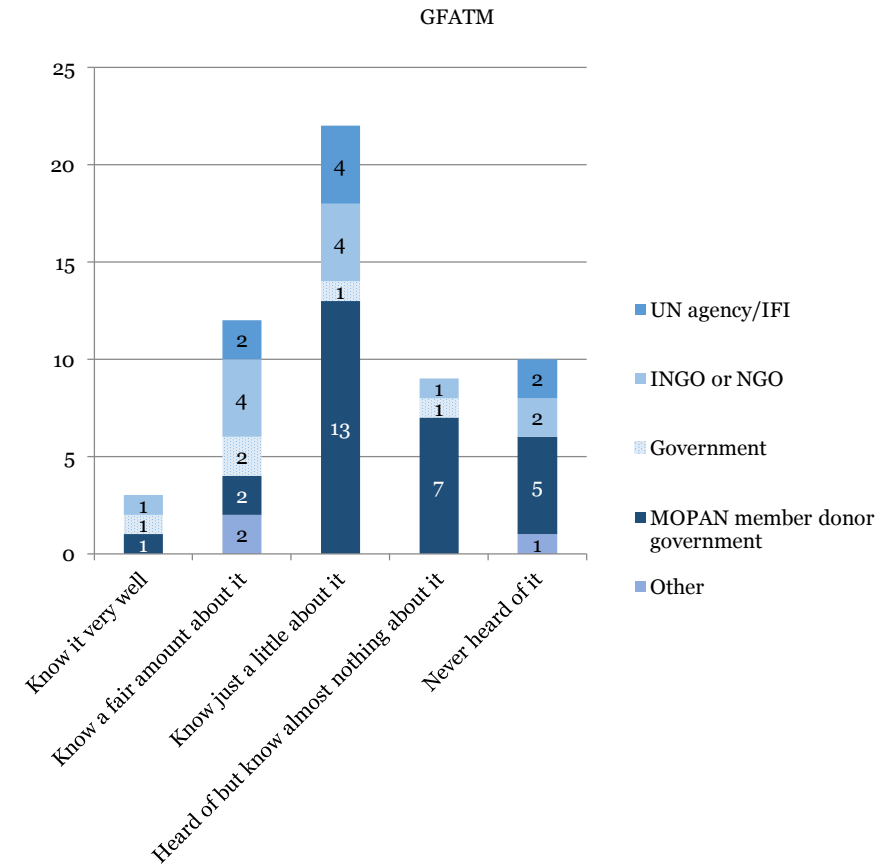
Grant funded activity (Cross cutting issues) Part 1

How familiar are you with each of the following?

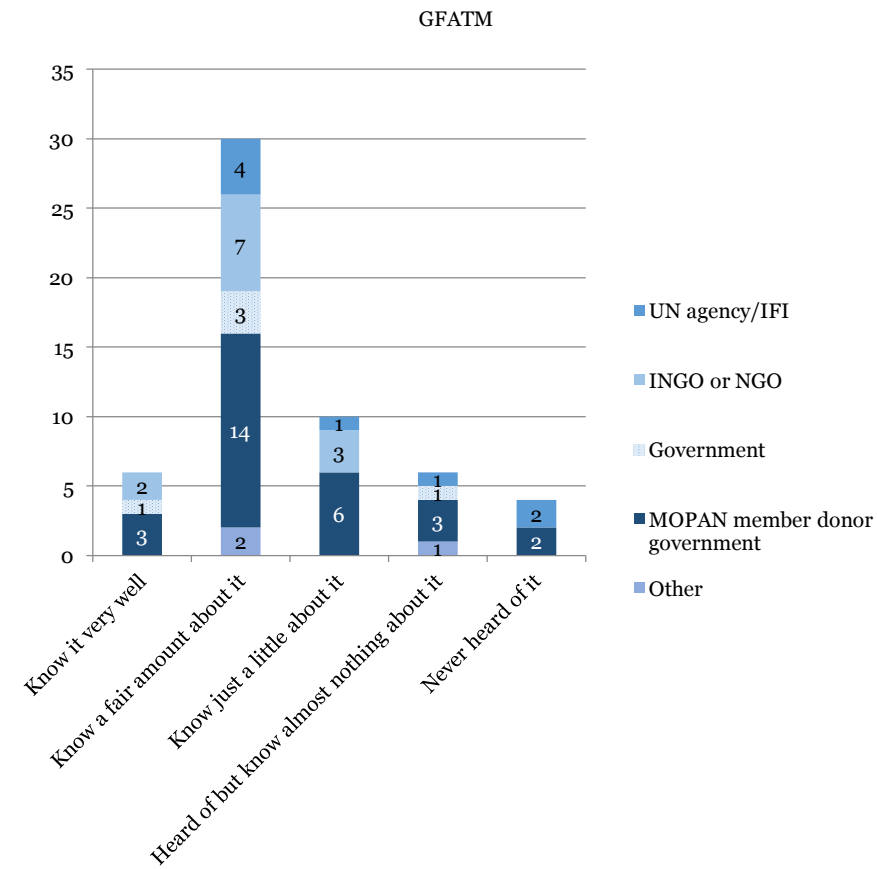
The Global Fund's Gender Equality Strategy and Action Plan 2014-2016



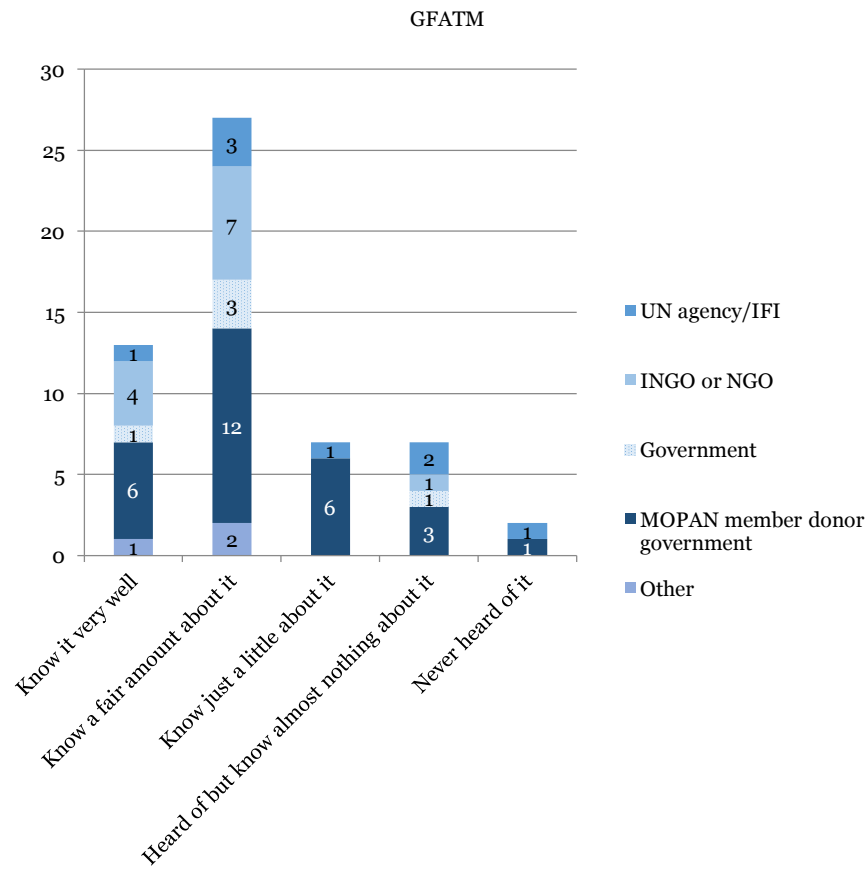
The Global Fund's approach to environmental sustainability e.g. within procurement.

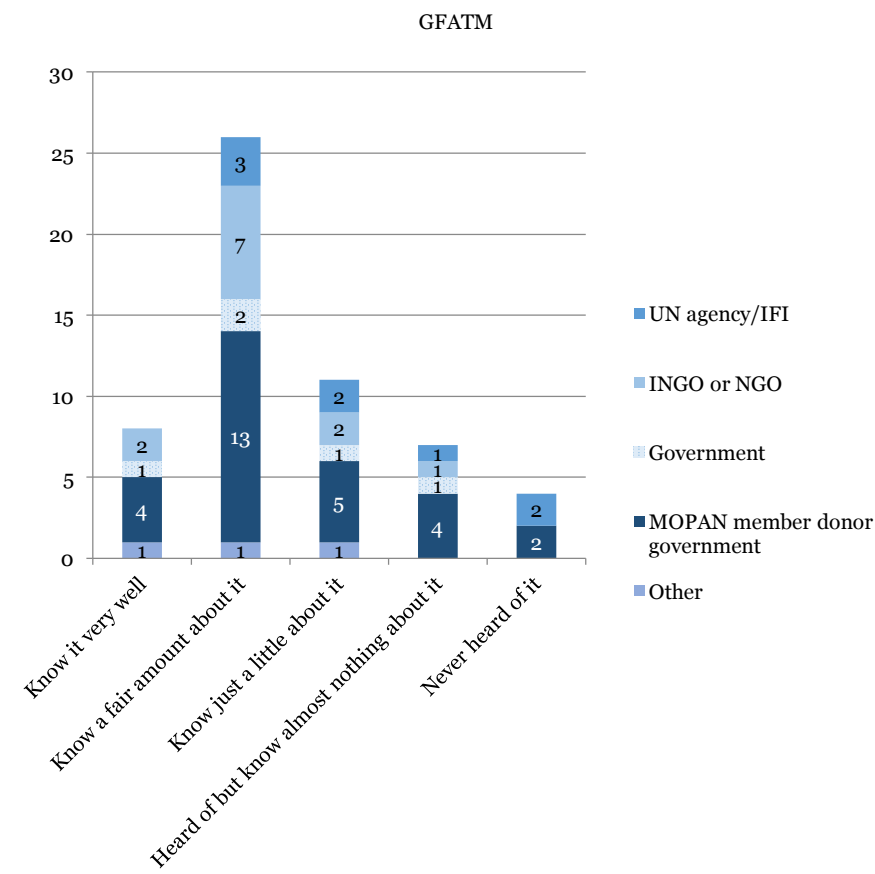


The Global Fund’s approach to the promotion of good governance (specifically reduced inequality, inclusive societies and building effective, accountable and inclusive institutions at all levels).



The Global Fund’s strategy for addressing Human Rights for HIV, Tuberculosis, Malaria.

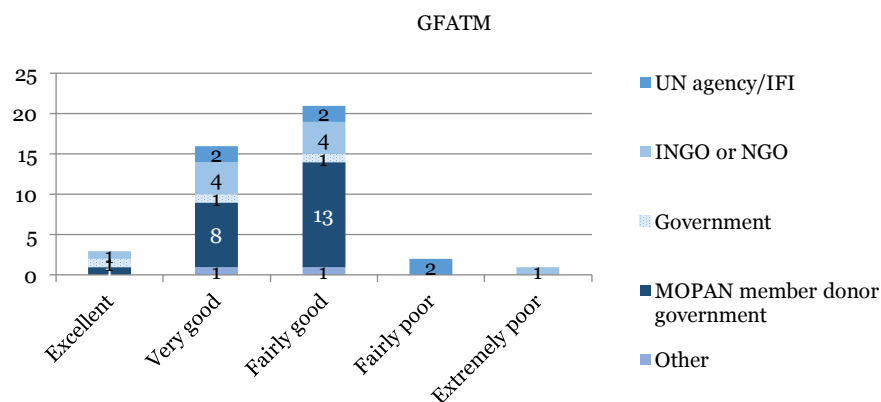




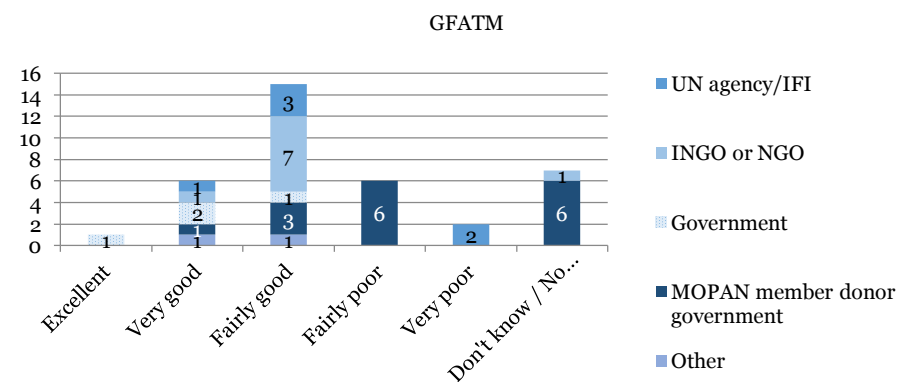
Grant funded activity (Cross cutting issues) Part 2

How well do you think GF performs in relation to the priorities/areas stated below?

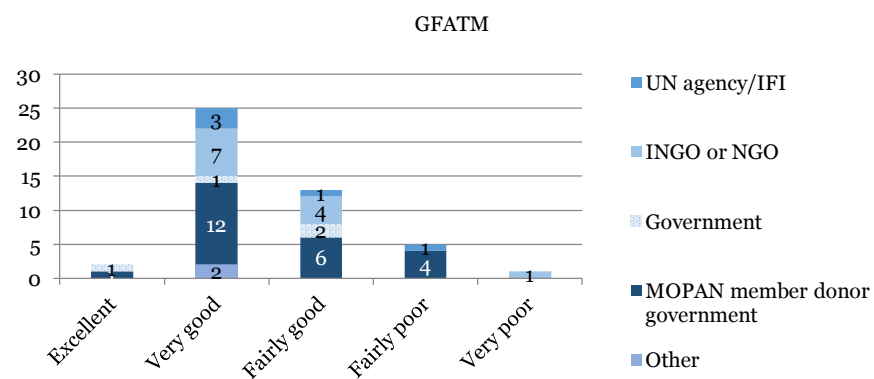
It promotes gender equality, in all areas of its work.



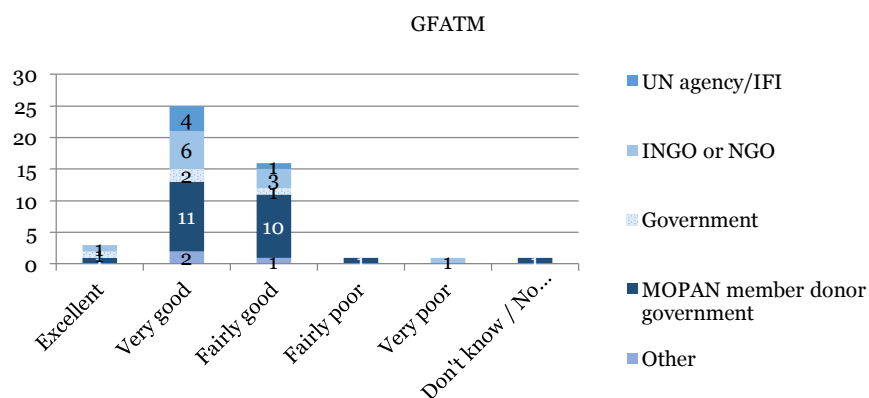
It promotes environmental sustainability in all relevant areas of its work.



It promotes the principles of good governance in all relevant areas of its work (specifically reduced inequality, inclusive societies and building effective, accountable and inclusive institutions at all levels).

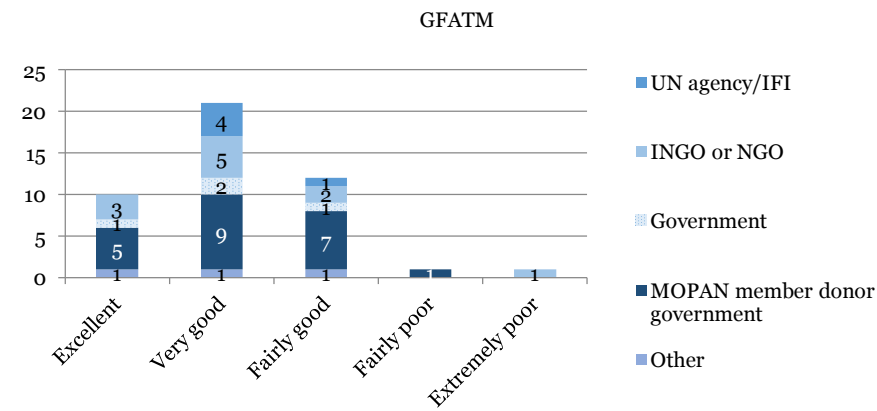


It promotes the realisation of Human Rights in all of its work.



Respondents who identified in 'Interventions (Cross cutting issues), part 1 that they know almost nothing or have never heard about the priority/area, have not been asked to answer the four questions above, since it is only relevant to respondents with at least a little knowledge about it.

It prioritises the targeting and inclusion of Key Populations (defined as groups facing 1. increased epidemiological risk, vulnerability and/or burden with respect to at least one of the three diseases; 2) reduced access to relevant services and 3) frequent human rights violations, systematic disenfranchisement, social and economic marginalization and/or criminalization).

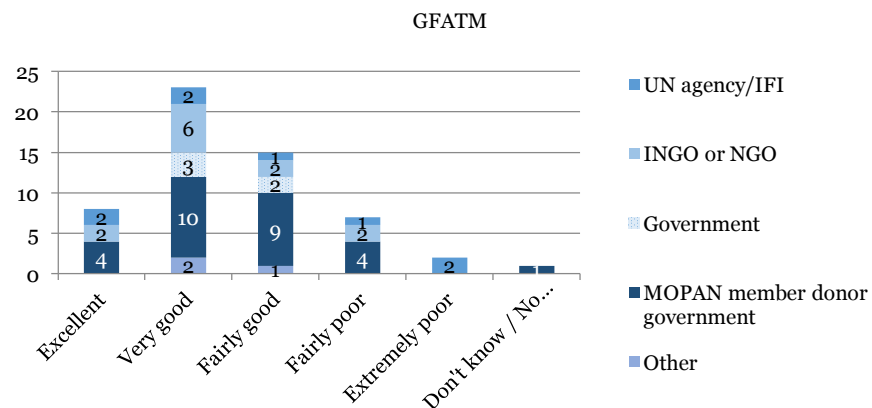


Respondents who identified in 'Interventions (Cross cutting issues), part 1 that they know almost nothing or have never heard about the priority/area, have not been asked to answer the question above, since it is only relevant to respondents with at least a little knowledge about it.

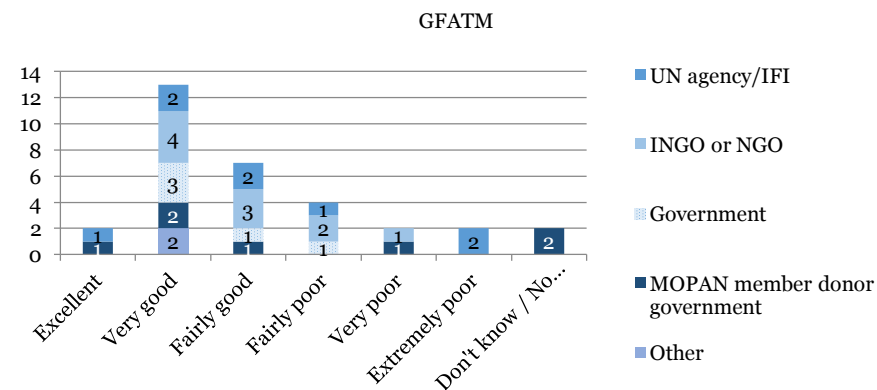
Managing relationships

How well do you think GFATM performs in relation to each of these areas?

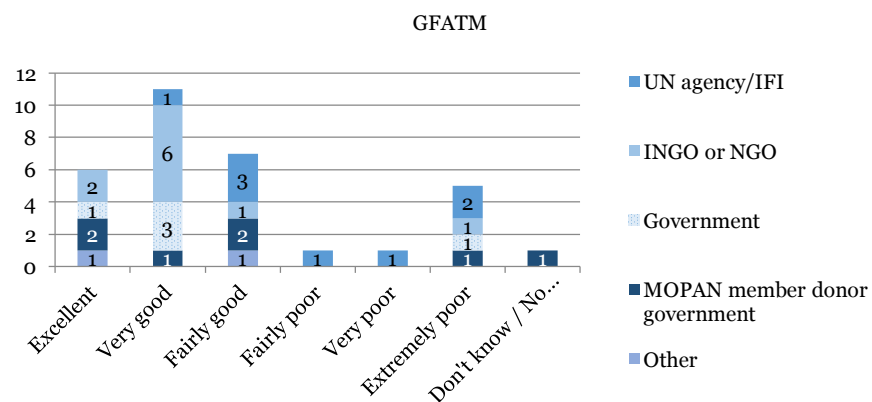
It prioritises working in synergy/ partnerships as part of its business practice.



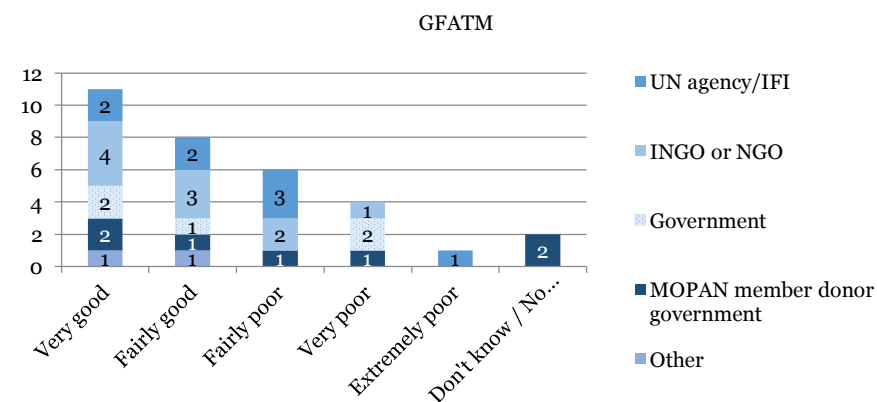
It aligns its financing with other development or humanitarian partners to make sure that financial co-operation for health in the country is coherent and not fragmented.



It channels its grant resources through country systems (both financial and non-financial) in the country as the default option.

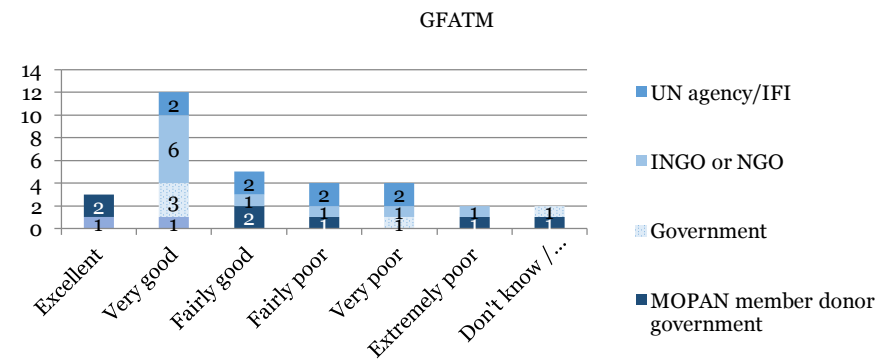


It takes action to build capacity in country systems in the country where it has judged that these are not yet up to a required standard.

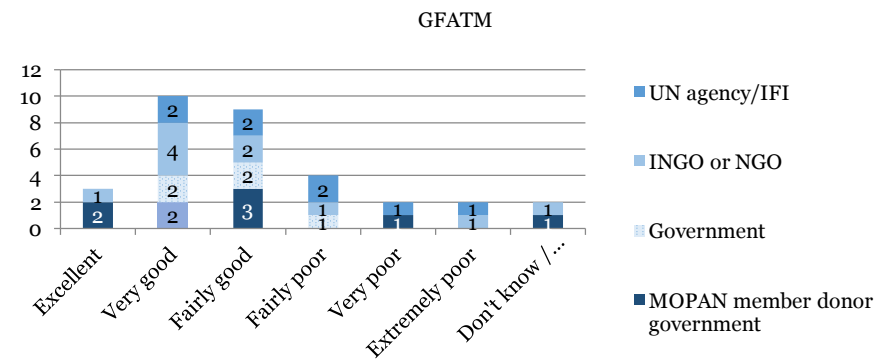


Respondents who identified their geographical focus as "global" were not asked to answer the last three questions above, since it is only relevant to respondents with a specific country focus.

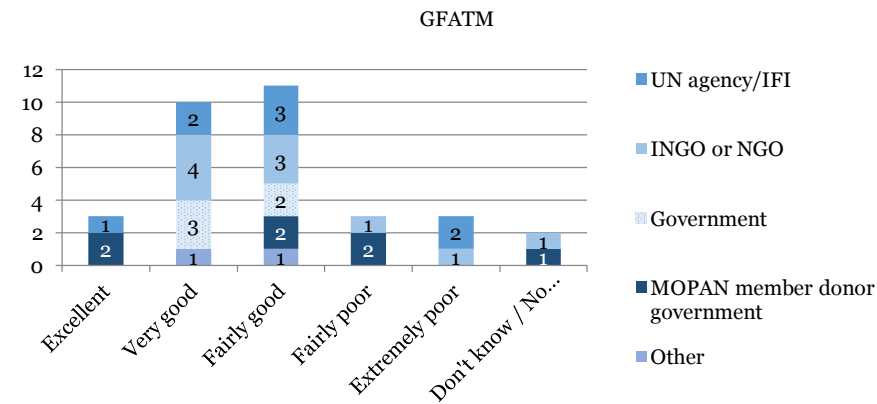
It provides high-quality inputs to policy dialogue on the three diseases and health systems strengthening in the country.



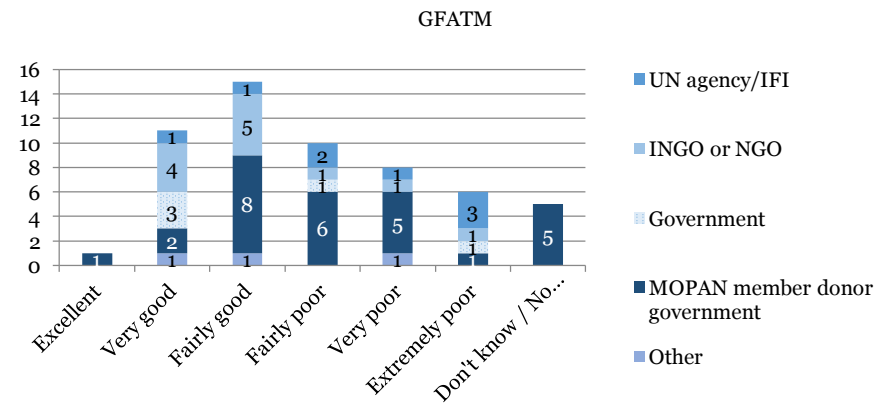
Its views are well respected in policy dialogue forums on the three diseases and health systems strengthening in the country.



It conducts mutual assessments of progress in the country with national/regional partners.

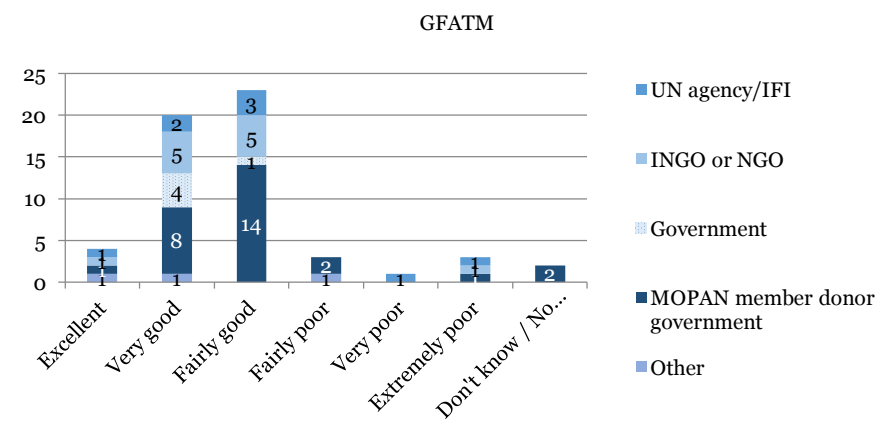


Its bureaucratic procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) do not cause delays in implementation for national or other partners.

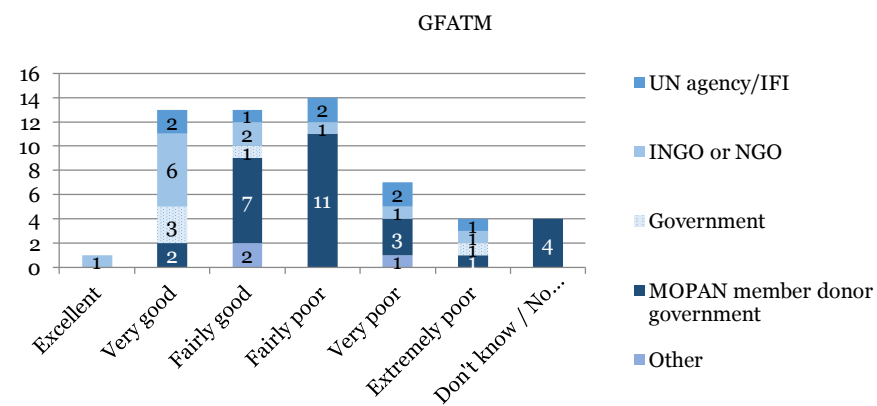


Respondents who identified their geographical focus as "global" were not asked to answer the first three questions above, since it is only relevant to respondents with a specific country focus.

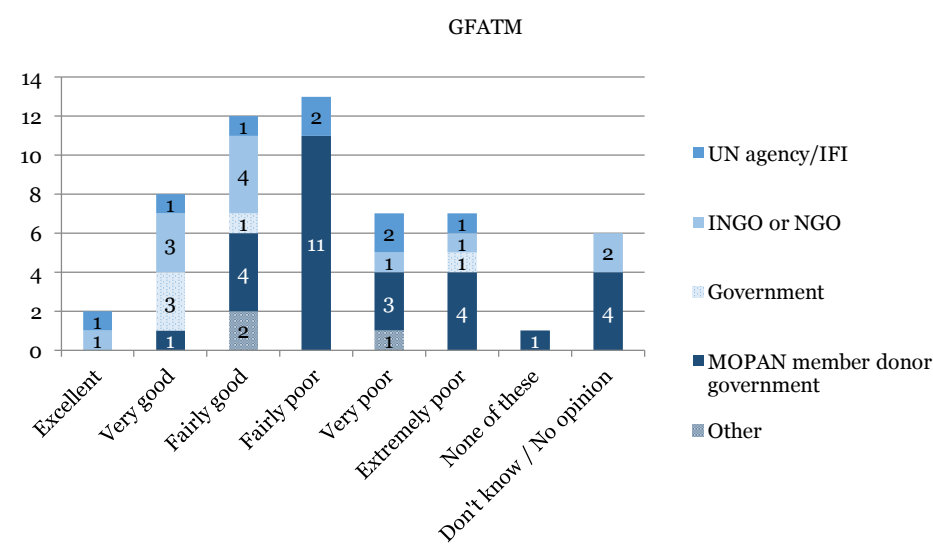
It sufficiently includes key populations in planning and dialogue processes.



The Country Co-ordinating Mechanism functions effectively as a forum for sharing information on key business practices (planning, design, monitoring and evaluation).



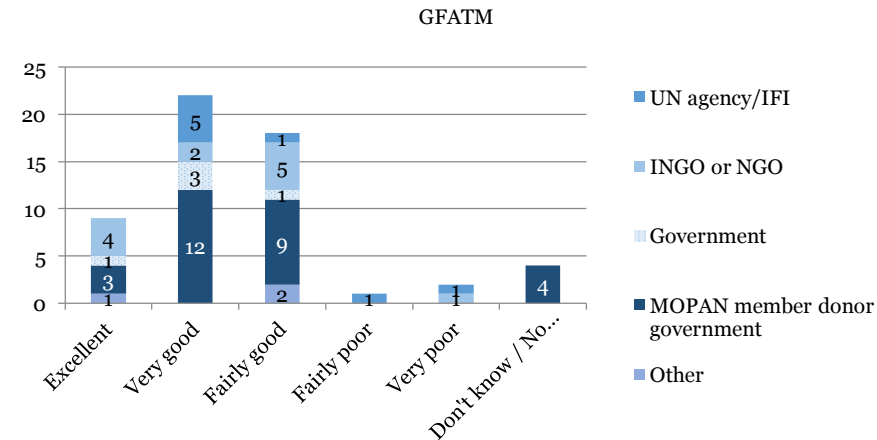
The Country Co-ordinating Mechanism shares key information (analysis, budgeting, management, results) with external partners on an ongoing basis.



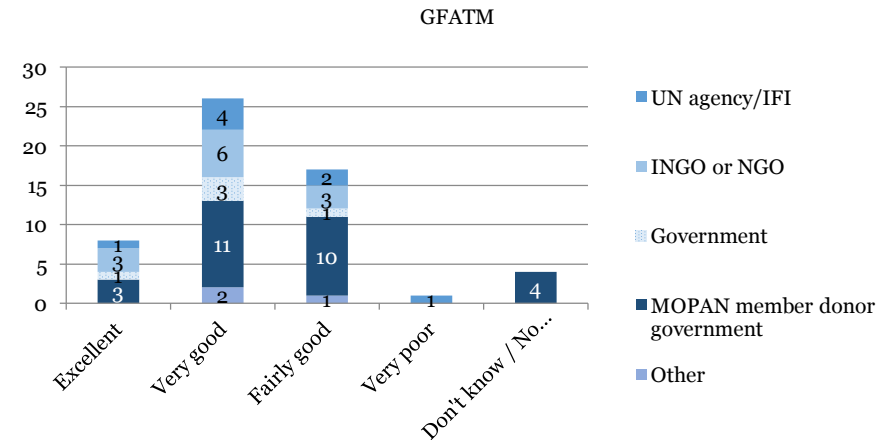
Performance management, part 1

How well do you think GF performs in relation to the areas below?

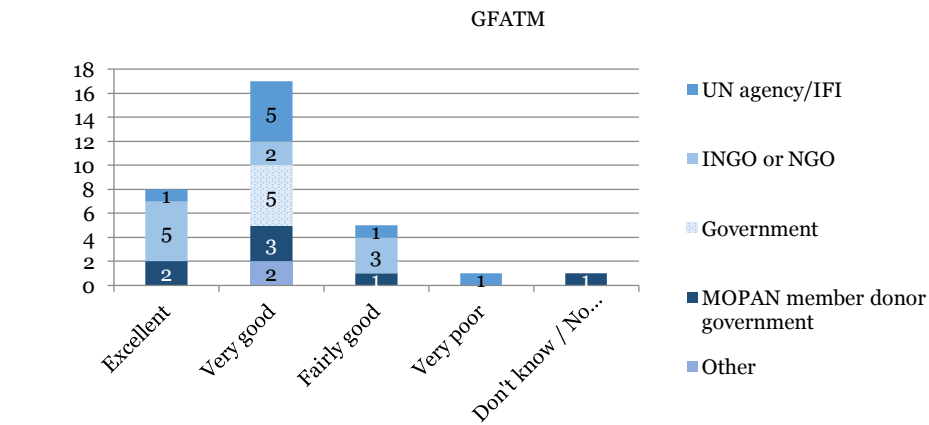
It prioritises a results-based approach – for example when engaging in policy dialogue, or preparing grant applications.



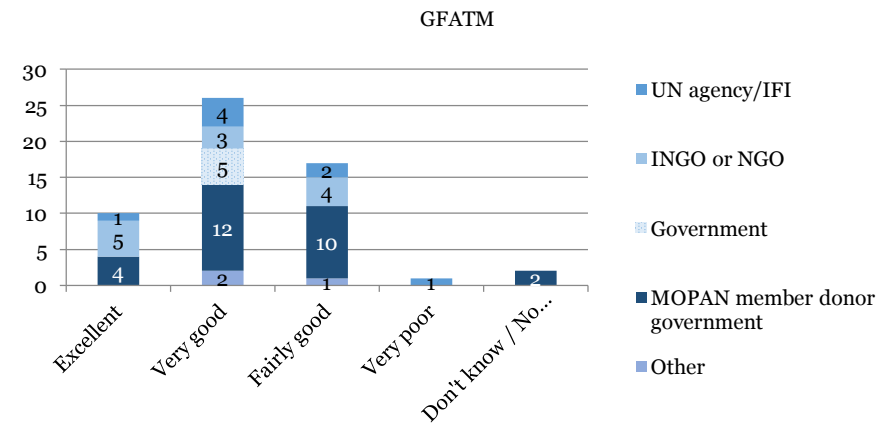
It insists on the use of robust performance data when preparing and approving grant applications.



It requires targets and indicators in grant applications to be aligned with those of national systems in the country.

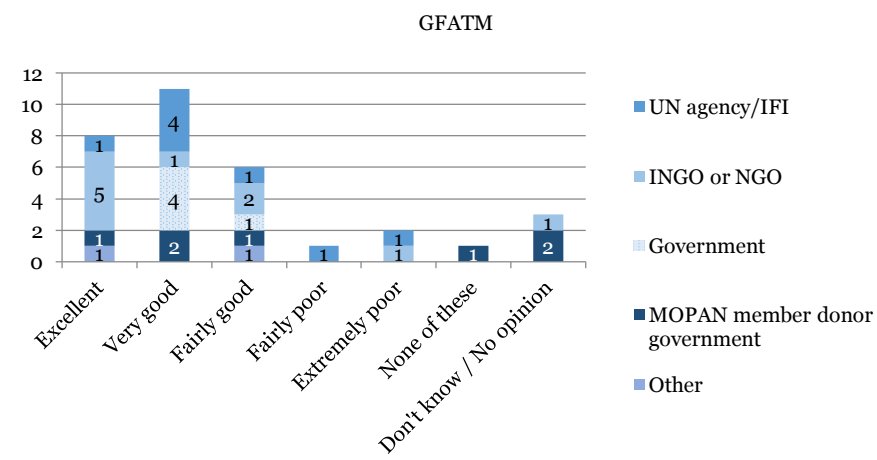


It requires targets and indicators within grant applications to be formulated and based on a sound evidence base and logic.



Respondents who identified their geographical focus as "global" were not asked to answer the lower left sided question above, since it is only relevant to respondents with a specific country focus.

It is committed to generating improved data about vulnerable groups in the country.

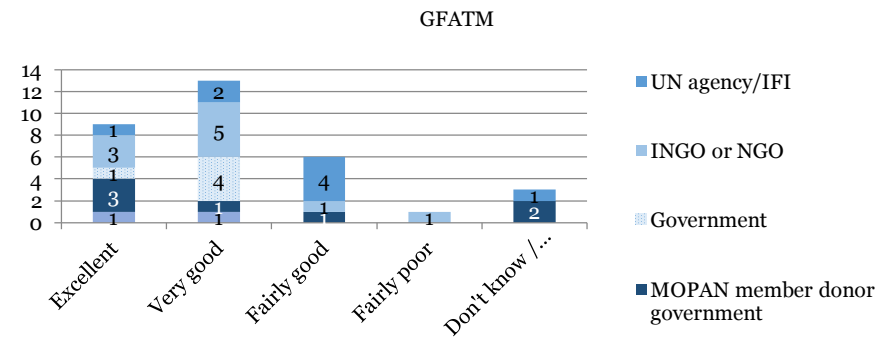


Respondents who identified their geographical focus as "global" were not asked to answer the question above, since it is only relevant to respondents with a specific country focus.

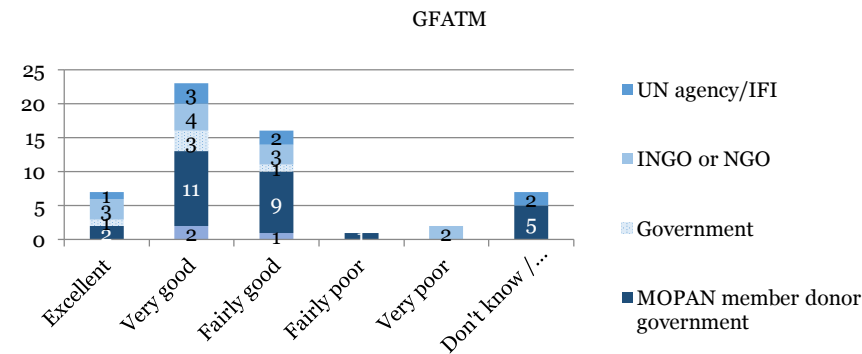
Performance management, part 2

How well do you think GFATM performs in relation to the areas below?

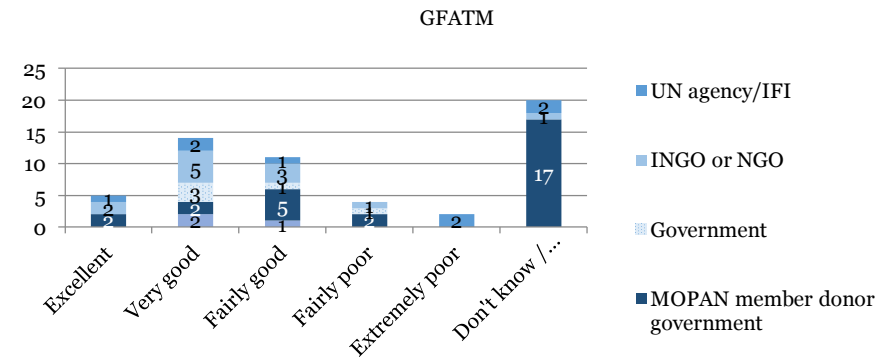
It has a clear statement on the requirements for grant-funded activity in the country to be evaluated.



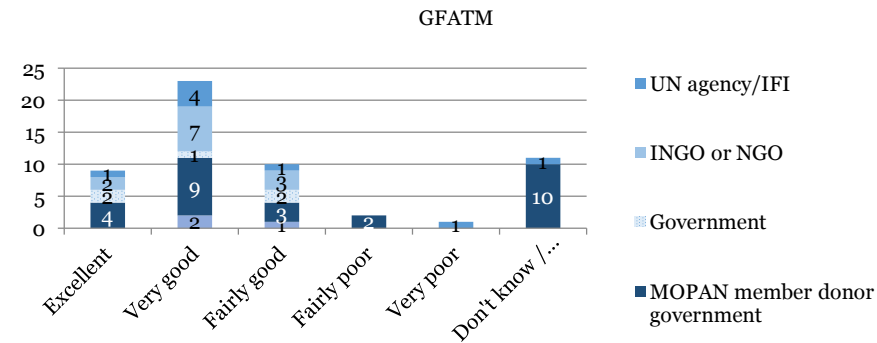
It follows through to ensure evaluations are carried out.



It participates in joint evaluations at the country/regional level.

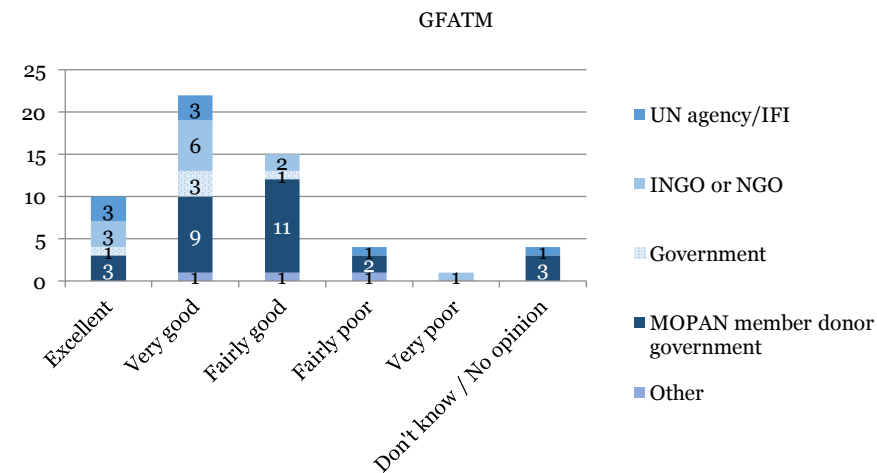


All grant applications are required to include a statement of the evidence base (what has been learned from past interventions).

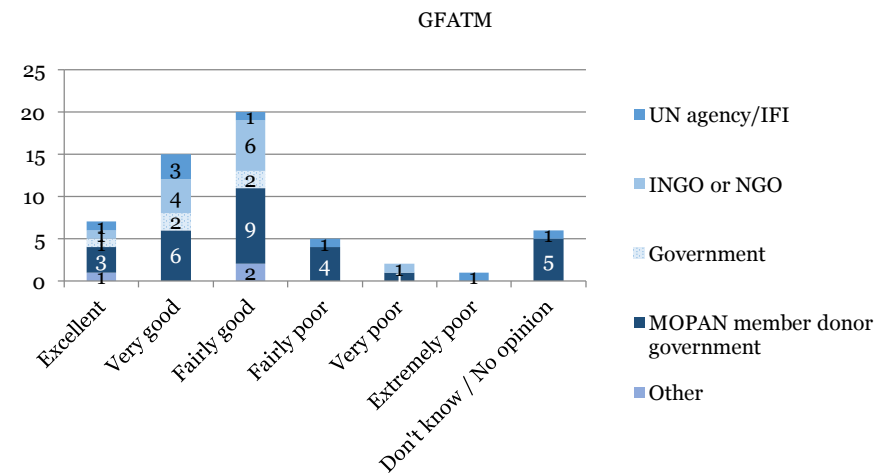


Respondents who identified their geographical focus as "global" were not asked to answer the top left sided question above, since it is only relevant to respondents with a specific country focus.

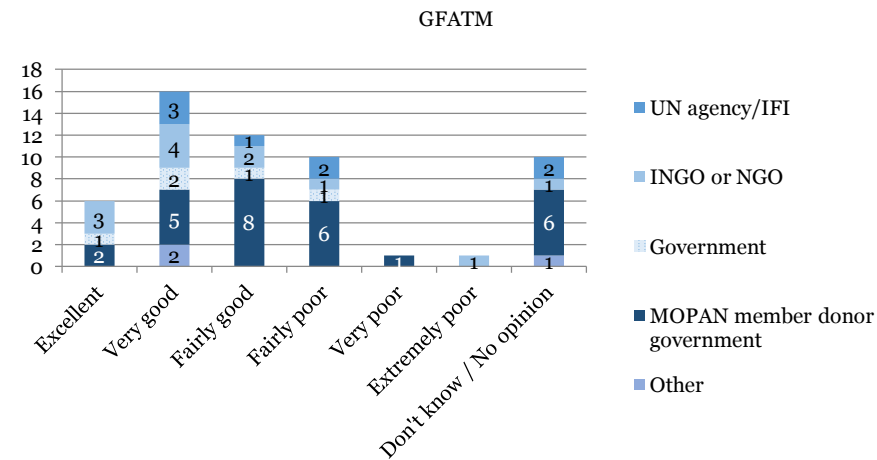
It consistently identifies which grant-funded activities are under-performing.



It addresses any areas of intervention under-performance, for example, through technical support or changing funding patterns if appropriate.



It follows up any evaluation recommendations systematically.



It learns lessons from previous experience, rather than repeating the same mistakes.

