



A Beginner's Guide to the Global Fund

4th Edition
Full Version



19 December 2018

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Preface: About Aidspan

Aidspan (www.aidspan.org) is an international NGO based in Nairobi, Kenya, whose mission is to reinforce the effectiveness of the Global Fund. Aidspan performs this mission by serving as an independent watchdog of the Fund, and by providing services that can benefit all countries wishing to obtain and make effective use of Global Fund financing.

We explain, observe and critique what is happening at country level to the funds that flow from the Global Fund, linking that where needed to similar global health initiatives. All our work enhances knowledge of Global Fund processes, policies and systems, pushing for critical dialogue and positive change.

This report is one of many Aidspan guides and reports available at:

www.aidspan.org/page/guides-global-fund and www.aidspan.org/page/other-publications.

Aidspan also publishes news, analysis and commentary articles about the Global Fund in its flagship online publication, Global Fund Observer and on GFO Live. Both of these knowledge products can be viewed on the Aidspan website.

To receive the GFO Newsletter directly to your inbox, send an email to receive-gfo-newsletter@aidspan.org. The subject line and text area can be left blank. To see articles on GFO Live, go to www.aidspan.org/page/gfo-live.

Aidspan finances its work primarily through grants from governments and foundations. Aidspan does not accept funding of any kind from the Global Fund.

Aidspan and the Global Fund maintain a positive working relationship but have no formal connection. Aidspan does not allow its strategic, programmatic or editorial decision-making to be influenced by the Global Fund or by relationships with Aidspan's actual or potential funders. The Global Fund and Aidspan's funders bear no responsibility for the contents of any Aidspan publication.

Acknowledgements

This is the fourth edition of a guide originally written by David Garmaise, then Aidspan's Senior Analyst (david.garmaise@aidspan.org). Jeff Hoover, Kerstin Reisdorf helped with the second and third edition update, respectively. This fourth edition was updated by Samuel Muniu, Ann Ithibu, and Djesika Amendah.

List of Abbreviations

The following is a list of the most common abbreviations used in this guide:

ARV	Antiretroviral
CCM	Country coordinating mechanism
FBO	Faith-based organisation
GAC	Grant Approval Committee
GFO	Global Fund Observer
LFA	Local fund agent
M&E	Monitoring and evaluation
NFM	New funding model
NGO	Non-governmental organisation
PR	Principal recipient
RCM	Regional coordinating mechanism
RSSH	Resilient and Sustainable Systems for Health
SR	Sub-recipient
Sub-CCM	Sub-national country coordinating mechanism
TB	Tuberculosis
TERG	Technical Evaluation Reference Group
TRP	Technical Review Panel
UNAIDS	Joint United Nations Programme on HIV/AIDS
WHO	World Health Organization

Chapter 1: Introduction to this guide

This chapter describes the purpose of this guide, explains how to use the guide and provides explanations of some of the terms that have been frequently used.

1.1 Purpose of this guide

The purpose of this guide is to provide a broad introduction to the Global Fund for people who have little or no prior experience of the Fund. This may include, among others, new members of country coordinating mechanisms (CCMs), new principal recipients (PRs), new sub-recipients (SRs) – or new staff in existing PRs and SRs – as well as government officials, members of non-governmental organisations (NGOs), donors, and journalists who report on the Fund.

1.2 Contents of this guide

After this introductory chapter, the following chapters describe different aspects of the Global Fund.

Chapter 2: Introduction to the Global Fund provides some very general information about the Global Fund, including a brief history, an overview of its key accomplishments, a list of its core principles, and a description of the kinds of initiatives the Fund is prepared to support.

Chapter 3: Global Fund Strategy explains the Global Fund's Strategy for 2017-2022

Chapters 4 and 5 outline the structure of the Fund at the global and country level.

Chapter 4: Structure of the Global Fund – Global Level describes the Global Fund Board, and Board committees; the Global Fund Secretariat, the Technical Review Panel, the Technical Evaluation Reference Group, the Office of the Inspector General, and the Partnership Forum.

Chapter 5: Structure of the Global Fund – In-Country describes the role of Country Coordinating Mechanisms, Principal Recipients, Sub-Recipients and Local Fund Agents.

Chapter 6: Country Coordinating Mechanisms explains in detail the role of the Country Coordinating Mechanisms, a central element of funding application and grant oversight.

Chapter 7: The Fund's Partnerships describes partnerships involved in the Global Fund functioning. This chapter contains a description of the roles of development partners, civil

society and the private sector, and concludes with a listing of the Friends of the Global Fund organizations that have been established.

Chapter 8: Funds raised by the Global Fund explains how much the Global Fund has raised; describes the main mechanism that the Fund uses to raise money from donors and lists other sources of funding.

Chapter 9: The Funding Model. The Global Fund developed a new funding model (NFM) that represented a shift from its previous rounds-based system of funding to an allocation-based funding model, which was fully launched in 2014 as one of the main elements in the Global Fund's Strategy 2012-2016. The Global Fund Board approved further refinements to the allocation methodology in 2016. This chapter explains this relatively recent and important development of how the Global Fund now operates.

Chapter 10: Grant implementation gives an overview of the Grant Implementation Process. The chapter is organised according to the steps involved: assignment of the portfolio manager at the Global Fund Secretariat; assignment of the local fund agent; ongoing reporting, reviews and disbursements; and preparation of the grant performance report.

Chapter 11: Risk management briefly describes the Global Fund's approach to managing risk in its operations.

Chapter 12: Reporting on progress briefly describes the different kinds of progress reports issued by/to the Global Fund.

The orange boxes at the end of some chapters and sections contain useful links, mostly to the Global Fund website.

1.3 Terminology used in this guide

A list of some of the terms used frequently in this guide with an explanation of what each term means.

Civil society. This includes NGOs (domestic and international), faith-based organisations (FBOs), academic and educational institutions, and organisations representing people living with or affected by the diseases. It does not include the private sector or governmental entities.

Multi-sectoral partnerships. This refers to partnerships involving the various sectors that interact with the Global Fund, whether in the Fund's governance, in the application process or in the implementation of the Fund's grants. The sectors include governments, development agencies, NGOs, FBOs, academia, communities and the private sector.

Terms such as “**grant performance**” and “**grant implementation**” are short for, respectively, the performance and the implementation of programmes funded through Global Fund grants.

Chapter 2: Introduction to the Global Fund

This chapter provides general information about the Global Fund, including a brief history, an overview of its key accomplishments, and a list of its core principles. It is also described in the chapter the kinds of initiatives the Fund supports.

2.1 What is the Global Fund?

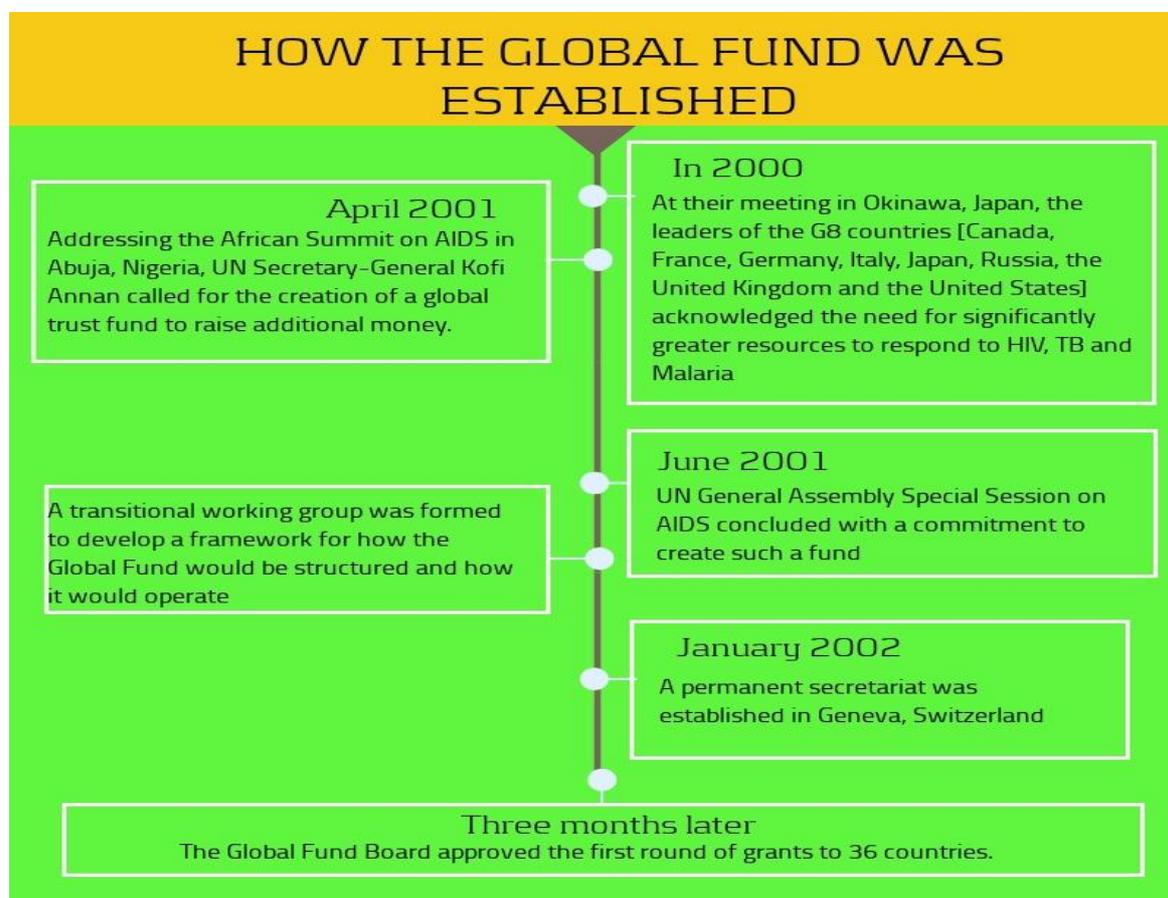
The Global Fund to Fight AIDS, Tuberculosis and Malaria is a multi-billion-dollar international financing mechanism created to substantially increase the availability of funding, to direct money to areas of greatest need, and to ensure as much efficiency and flexibility as possible (1).

Established in 2002, the Global Fund aims to end the epidemics of HIV/AIDS, Tuberculosis and Malaria. For it to meet its objectives, it works in partnership with governments, civil society, the private sector, and people affected by the three diseases. Annually, it invests nearly US\$4 billion to support programs run by local experts in more than 100 countries.

2.2 Origin of the Global Fund

The following is a summary of how the Global Fund was established:

Figure 1: Establishment of the Global Fund



2.3 Key accomplishments

Since its inception, the Global Fund and partners have achieved remarkable progress in the fight against HIV/AIDS, TB and malaria. By the end of 2017, strategic health investments supported by the Global Fund and partners cumulatively saved more than 27 million lives. In the same period, deaths attributable to HIV, TB and malaria declined by one-third each year in countries supported by the Global Fund (2).

HIV burden have remarkably declined. Globally, HIV-related deaths have nearly halved from 1.8 million in 2005 to under one million in 2017. In countries supported by the Global Fund, new HIV infections reduced by 43 percent by the end of 2017. Access to antiretroviral (ARV) therapy has rapidly increased from 3 percent in 2005 to 21 percent in 2010 and 52 percent in 2016 in countries supported by the Global Fund. About 17.5 million people had access to ARVs while 9.4 million people had been reached with HIV intervention programs in 2017. In addition, 696 thousand mothers have been provided with medicine to prevent mother-to-child transmission.

TB burden has declined as well since the Global Fund inception though progress is slower than against HIV. Between 2000 and 2015, TB mortality rate declined by 35 percent while the actual deaths declined by 21 percent (excluding HIV-positive people) in countries supported by the Global Fund (3). Moreover, the number of TB cases dropped by 5 percent between 2005 and 2015 in countries where the Global Fund invests. Cumulatively, more than 17 million people with laboratory confirmed pulmonary TB have received treatment since 2002 through Global Fund-supported programs (3). About 5 million with TB were treated while 102 thousand people with drug-resistant TB were on treatment in 2017 (2).

To fight malaria, the Global fund invested more than US\$9.1 billion from 2002 to 2016 in malaria programs in more than 100 countries. The most effective malaria preventive tool is long-lasting insecticidal nets. Through Global Fund-supported programs more than 195 million mosquito nets were distributed in 2017.

Figure 2: Global Fund key accomplishment



Source: Authors' construct

These accomplishments were not only the fruits of the Global Fund-supported initiatives alone but also that of national governments and other donors.

2.4 Core principles

The core principles for the Global Fund as defined in its Framework document of 2001 are listed below

1. **Financing instrument.** The Global Fund operates as a financing instrument, not an implementing entity.
2. **National ownership.** The Global Fund is country-driven. This means that the Fund does not say, in effect, “We will give you a grant if you use it in the way that we instruct.” Instead, its message is, “What will you do if you receive a grant? What

results will you achieve? If we believe that you can indeed achieve those results, if we believe that the results represent good value, and if we have enough money, we'll give you the grant." Thus, it is the country applicant through the Country Coordinating Mechanism (CCM more on this later), not the Fund, that proposes what will be done, and the Fund then decides whether to finance those activities.

3. **Partnerships.** At both the global and country levels, the Global Fund is designed to work through partnerships involving different sectors, e.g. government, NGOs, private sector. In Global Fund jargon, these are referred to as "multi-sectoral partnerships." The key significance of this is that when the Fund says that it is funding activities chosen by a "country," its relationship is not just with the government of that country.
4. **Performance-based funding.** Once a grant agreement is signed, some start-up funds are provided to the entity implementing the programme. Subsequent disbursements, however, are conditional on the entity being able to demonstrate that adequate progress towards previously agreed targets has been made.
5. **Independent reviews.** Proposals are not evaluated by Global Fund staff or Board members, but instead by an independent review panel using scientific and technical standards.
6. **Balance.** The Global Fund is committed to achieving an appropriate balance of the funding it provides to different regions and diseases, and of the types of programmes that it supports, e.g. prevention, treatment, care.
7. **Transparency and accountability.** The Global Fund is committed to ensuring that its own operations, and those of its grant recipients, are transparent and that the Fund is accountable to its stakeholders – e.g. donor country governments, implementing country governments and civil society organisations – for producing results.
8. **Promote and protect human rights and gender equality.** The Global Fund is committed to advancing human rights in the context of the three epidemics and supports programs aimed at overcoming human rights and gender-related barriers to health care.

2.5 What activities does the Global Fund support?

The Global Fund provides money to finance a wide range of activities related to the prevention of the three diseases and to the care, treatment and support of people infected with, or affected by, the diseases. Other activities that can be funded include operational

research¹ to improve service delivery but does not include basic science and clinical research aimed at testing or demonstrating the safety and efficacy of drugs and vaccines.

Figure 3: Programs supported by the Global Fund

GLOBAL FUND SUPPORTED PROGRAMS			
1	 <p>Antiretroviral (ARV) therapy for people living with HIV</p>	2	 <p>HIV testing & counselling</p>
3	 <p>Prevention of mother-to-child transmission of HIV</p>	4	 <p>Basic care & support services for orphans & other vulnerable children</p>
5	 <p>Diagnosis & treatment of people with TB</p>	6	 <p>Distribution of insecticide-treated nets</p>
7	 <p>Treatment of people with malaria</p>	8	 <p>Training of health and community workers</p>
9	 <p>Provision of basic care & support for people affected by the diseases</p>		

Source: Authors' construct

The Global Fund also supports activities designed to build resilient and sustainable systems for health (referred to as “RSSH”) to strengthen the health care delivery system (referred to as “health systems strengthening”) – and to increase the ability of community actors and systems to provide essential health services, including those directly related to the three diseases (referred to as “community systems strengthening”). However, the Fund does not support large-scale capital investments such as building hospitals.

¹ In this context, operational research refers to the scientific analysis of the efficiency and effectiveness of services and programmes.

Box 1: More on Global Fund history and progress report

A more detailed **history** of the founding of the Global Fund is available at <http://www.theglobalfund.org/en/overview/>

A **document library with the history and overview of the Fund** is available **here:** <http://www.theglobalfund.org/en/publications/>

A short, practical introduction to the Global Fund, dated 2014, can be found in the Manual for Local Fund Agents at www.theglobalfund.org/en/lfa/documents.

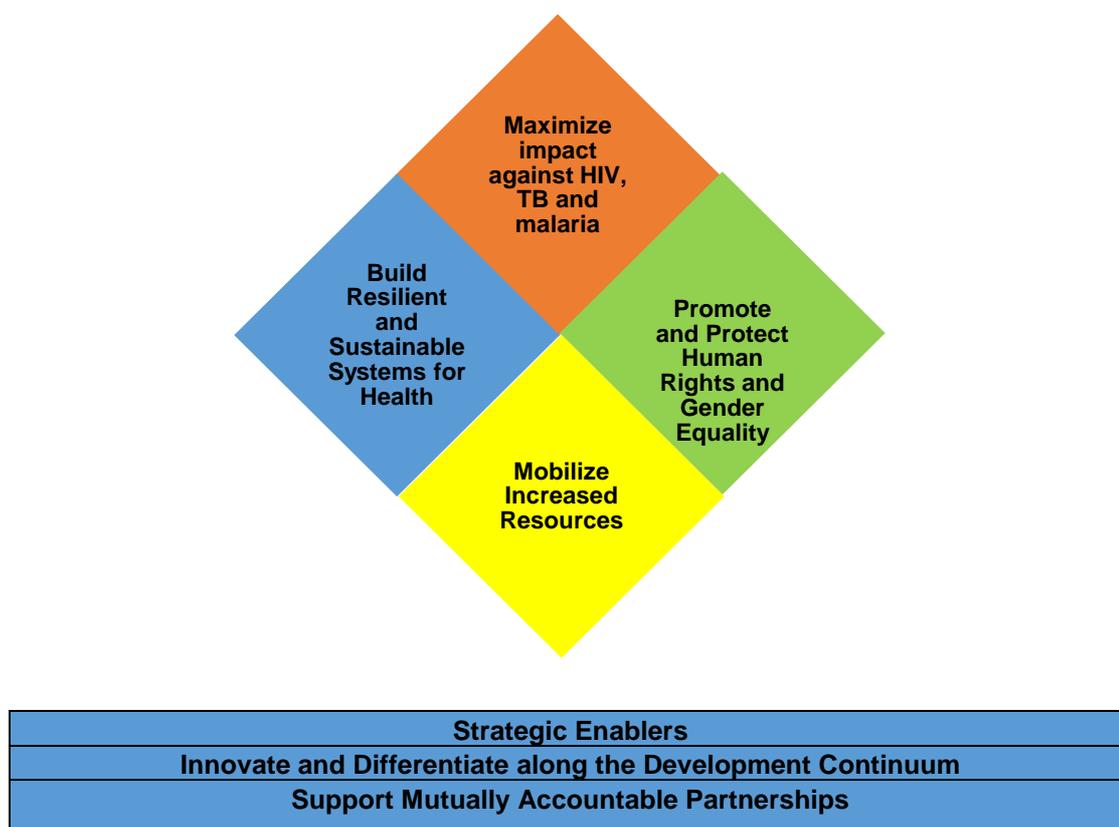
For the latest Global Fund **progress report** is viewable on the Fund's website under the 'Resource Library' tab. Other reports are also available on the same page.

Chapter 3: Global Fund Strategy

On April 2016, the Board of the Global Fund unanimously approved the organization's strategy for the period 2017 to 2022, entitled 'Investing to End Epidemics'. The Global Fund strategy came about in 2015 and the early part of 2016. More on the strategy can be found here: <http://www.theglobalfund.org/en/strategy/>

The Global Fund strategy development process took into account the findings of its Technical Evaluation Reference Group (TERG). The TERG commissioned a review measuring implementation of the Global Fund 2012-2016 Strategy. With the 2017-2022 strategy, the Global Fund fully aims to align its objectives with the United Nations' Sustainable Development Goals.

Figure 4: The four strategic objectives of the new Global Fund Strategy



Source: Graphic adapted from the Global Fund

3.1 The 4 Strategic Objectives of the 2017-2022 Global Fund Strategy

The Fund has outlined a Vision, Mission and what it calls Goals and targets for its new strategy:

VISION: “A world free of the burden of AIDS, tuberculosis and malaria with better health for all.”

MISSION: “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.”

GOALS AND TARGETS: “The Global Fund’s health impact goals and targets are explicitly linked to Partners’ Global Plans.”

The core objectives of the Global Fund 2017-2022 Strategy are to:

- **Maximize impact against HIV, TB and malaria:** The focus of Global Fund is scaling up investments where there is greatest need and targets to achieve the greatest impact. Thus, the Global Fund resources are directed to countries with highest disease burden, least capacity to support health programs, and disproportionately affected key and vulnerable populations by the three diseases (4). With an evolved allocation model and additional processes to enhance grant implementation, investments aim to achieve greater impact. Furthermore, the differentiated approaches based on country context, including improved effectiveness in challenging operating environments and supporting sustainable responses—programmatic and financial—as well as successful transitions from Global Fund financing, also aim to achieve greater impact.
- **Build Resilient and Sustainable Systems for Health:** The Global Fund seeks to contribute to building resilient and sustainable systems for health to ensure patients have access to effective, efficient and equitable services through strong health and community systems. RSSH is essential for continued progress against the three diseases and ensuring countries can address their varied health challenges in an integrated manner. To achieve this, Global Fund intends to strengthen community responses and systems; support integrated programming in reproductive, maternal, new-born, child and adolescent health; improve the procurement and supply chain of countries; contribute to increased supply, retention and quality of human resources for health; promote availability and use of quality data at different levels in a country; support countries to strengthen and implement plans; and support countries to strengthen their financial management and oversight.
- **Promote and Protect Human Rights and Gender Equality:** Promoting and protecting human rights as well as gender equality is essential for addressing the barriers, stigma and discrimination that undermine the response to the three diseases. The Fund seeks to invest in scaling-up programs to support women and girls and reducing health inequities, including gender- and age-related disparities. It also invests in addressing barriers to equitable access to services, integrating human rights principles throughout the grant cycle and in policies and policy-making processes, and supporting the meaningful participation of key and vulnerable populations in all Global Fund processes.
- **Mobilize Increased Resources:** Increased financing for the Global Fund will be critical for the response to the three diseases and achieving targets set in the global technical strategies against HIV, tuberculosis and malaria. The Fund will seek to attract additional

resources from current and new public and private sources, and work with countries to increase domestic resource mobilization and efficient utilization of available resources. It also recognizes the importance of stimulating greater innovation and scale-up of cost-effective health technologies and implementation models.

Chapter 4: Structure of the Global Fund – Global Level

This chapter explains how the Global Fund is structured at the global level. It describes the Global Fund Board (and Board committees), the Global Fund Secretariat, the Technical Review Panel, the Technical Evaluation Reference Group, the Office of the Inspector General, and the Partnership Forum.

4.1 Global Fund Board

The Board is responsible for the overall governance of the organisation, including approval of grants. The Board includes representatives of donor country governments; the governments of countries receiving grants (also known as “implementing” country governments); non-governmental organizations; the private sector; private foundations; and affected communities, i.e. people living with or affected by the diseases.

Figure 5: Functions of the Global Fund Board



Source: Authors' construct

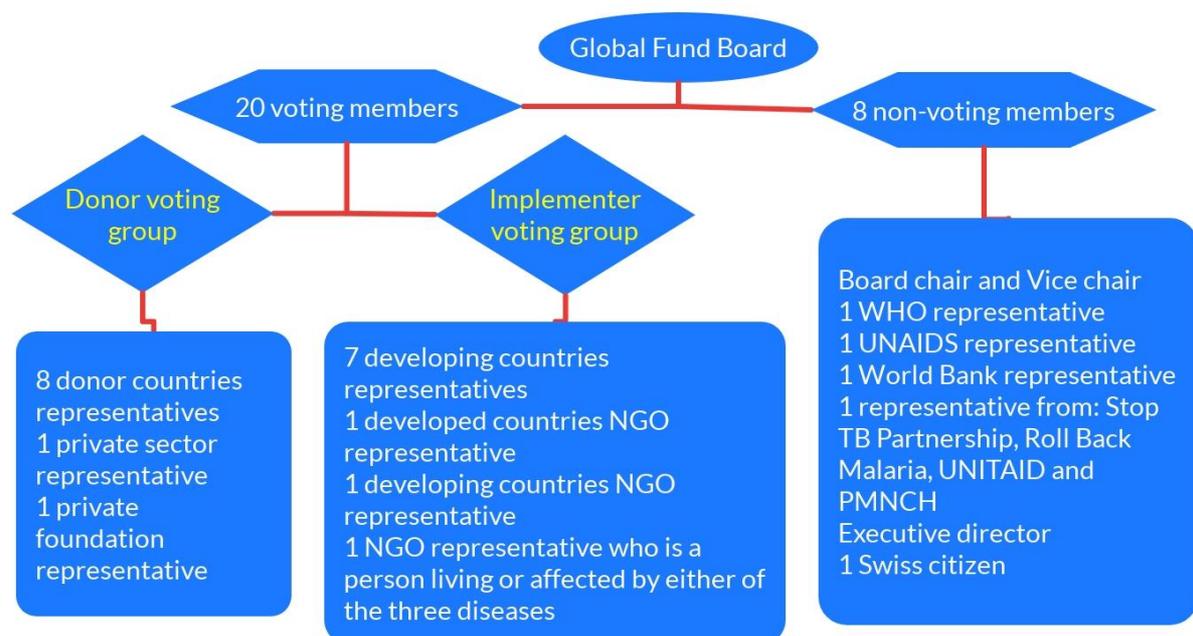
The Board is made up of 20 voting and eight non-voting members. The 20 voting members are comprised of the implementer voting group and the donor voting group. The implementer voting group is composed of representatives from the six World Health Organization (WHO) six regions – Africa, the Americas, South-East Asia, Europe, Eastern Mediterranean, and

Western Pacific. Each region has one representative except Africa that has two, owing the burden of the disease there. The three other implementers representatives come from the developed countries NGOs, developing countries NGOs, and the communities living with or affected by HIV, tuberculosis or malaria.

The donor voting group is composed of eight representatives of donor countries, one from the private sector and one from private foundations. Note that some seats are shared by several donors, for example Canada, Switzerland and Australia share one seat, thus a vote.

The eight non-voting members are the Board Chair and Vice-Chair; one representative from each of the following organisations: World Health Organisation, Joint United Nations Programme on HIV/AIDS (UNAIDS) and the World Bank; one representative from the main partner organisations: Stop TB Partnership, Roll Back Malaria, UNITAID (an international facility for the purchase of medicines to treat the three priority diseases), and the Partnership for Maternal, Newborn and Child Health (PMNCH); the Executive Director of the Global Fund; and one Swiss citizen who is resident in Switzerland and is authorized to act on behalf of the Global Fund.

Figure 6: Composition of the Global Fund Board



Source: Authors' construct

The Board tries to make decisions by consensus. When consensus is not possible, decisions are made by voting. In order to pass, motions require a two-thirds majority of those present for both (a) the donor voting group; and (b) the implementer voting group.

Board members are appointed for a two-year term. Except for the Chair and Vice-Chair, Board members serve as representatives of their constituencies² and not as individuals.

The Chair and a Vice-Chair are selected by voting Board members but do not have to be on the Board at the time of their selection. The nominations process ensures that the positions alternate, such that if the current Chair was nominated by the donor voting group, then the current Vice-Chair will have been nominated by the implementer voting group. For their replacements, the reverse applies: The next Chair will be nominated by the implementer voting group, and the next Vice-Chair will be nominated by donor voting group. Despite the way the nomination process works, the Chair and Vice-Chair serve in their personal capacities as neutral, non-voting members, and do not represent any constituency.

The Global Fund Board meets at least twice per year.

Board Delegations

Each Board member (apart from the Chair and Vice-Chair) is permitted to come to the Board meetings with a delegation of up to 10 people, including his or her alternate, and a communications focal point for the delegation (see next paragraph). The Board member, the alternate and the communications focal point person are referred to as the “three office holders.” Each constituency can determine how the three office holders and the up to seven other members of the delegation are selected.

The communications focal point person is responsible for coordinating information sharing within his or her delegation, and with the broader constituency represented by the delegation.

In Global Fund parlance, Board delegations are sometimes referred to as “Board constituencies,” which can create some confusion given that the delegations themselves represent broader constituencies.

Board Committees

The Global Fund Board has established the following three standing committees:

- Audit and Finance Committee,
- Ethics and Governance Committee,
- Strategy Committee

The Audit and Finance Committee (5):

- (i) *“provides oversight of the financial management of the Global Fund’s resources;*

² For example, the constituency of the member representing the implementing countries of South-East Asia consists of the governments of the countries that make up that region. The constituency of the member representing developed country NGOs consists of NGOs working on HIV, tuberculosis and malaria in developed countries.

- (ii) *provides oversight of the internal and external audit, as well as investigation, functions of the Global Fund;*
- (iii) *Ensure optimal performance in the corporate and financial operations of the Global Fund.”*

The Ethics and Governance Committee ensures (6):

- (i) *“adherence by the Global Fund and its stakeholders to appropriate standards of ethical behavior, as described in related Global Fund policies, codes and requirements; and*
- (ii) *Implementation of the procedures and operations related to the Global Fund’s governance structure and its core governance functions.”*

The Strategy Committee (7):

- (i) *“provides oversight of the strategic direction of the Global Fund; and*
- (ii) *ensures the optimal impact and performance of its investments in health.”*

Much of the policy development work of the Board is done at the committee level; the committees then present recommendations to the full Board. A Coordinating Group, comprised of the Chairs and Vice-Chairs of the Board and its standing committees, serves as a collaborative body to coordinate important business of the Board.

Box 2: Want to know more on functioning of the Global Fund Board?

More information on the **functioning** of the Board can be found at www.theglobalfund.org/en/board.

A more detailed summary of the structure of the Board can be viewed by clicking on ‘Related resources’ on the same page as the above.

4.2 Global Fund Secretariat

The Global Fund's Secretariat, located in Geneva, Switzerland, is responsible for the day-to-day operations of the Global Fund. The responsibilities of the Secretariat include managing the funding applications process; managing grants; raising money from public and private donors; providing financial, legal and administrative support; and informing the Board and the public on the Global Fund's activities.

The Secretariat is composed of several divisions and departments responsible for applications for grants, managing grants, engaging with multi-sectoral partners, mobilizing resources, developing strategy and policy, financial management and oversight, legal affairs, risk management and other support functions such as human resources, corporate purchasing and information technology.

In the Grant Management Division, the task of managing grants is split among six departments (8):

1. *“High Impact Africa I (Democratic Republic of Congo, Cote d’Ivoire, Ghana, Nigeria, South Africa, Sudan)*
2. *High Impact Africa II (Ethiopia, Kenya, Mozambique, Tanzania and Zanzibar, Uganda, Zambia, Zimbabwe)*
3. *High Impact Asia (Bangladesh, Cambodia, China, India, Indonesia, Myanmar, Pakistan, Philippines, Thailand, Vietnam)*
4. *Africa & the Middle East*
5. *Asia, Europe & Latin America and the Caribbean*
6. *Grant Management Support (Operation Policy Hub, Data and Systems Hub, Health Product Management Hub, and coordination of work related to Local Fund Agents and Country Coordinating Mechanisms).”*

Grants are managed in the Secretariat by a Country Team, composed of operations-focused staff (fund portfolio managers (FPM) and program officers) and other functional, technical experts (legal, finance, health products management and M&E), that take shared responsibility for managing grants throughout their entire cycle.

4.3 Technical Review Panel

The Technical Review Panel (TRP) reviews eligible funding requests, or applications, for technical merit. Based on this review, it recommends to the Board which applications should be funded. TRP serves as an advisory body to the Global Fund Board and plays a vital role in the Fund strategy development and implementation.

The TRP is an independent group of international experts on HIV, TB and malaria, and on health and development as well as other areas of relevance commissioned by the Secretariat. None of TRP members seats on the Global Fund Board or is an employee of the Fund.

Box 3: Want to know more on Technical Review Panel?

You can find more information on the TRP at: www.theglobalfund.org/en/trp.

4.4 Technical Evaluation Reference Group

The Technical Evaluation Reference Group (TERG) is an advisory body which provides independent assessment and evaluation of the Global Fund business model, investments and impact. For example, the TERG coordinated the Strategic Review 2015, which factored into the process to develop the Global Fund’s 2017 – 2022 Strategy.

The TERG facilitates organizational learning by assessing and reporting on the monitoring and evaluation work conducted by the Secretariat and grant recipients. It also provides recommendations and advice to the Secretariat and the Board through its Strategy Committee.

Members of the TERG may be practitioners, or may come from research institutions, academics, donor and recipient countries, and CSOs. Members of the TERG are appointed by the Strategy Committee.

Box 4: Want to know more on Technical Evaluation Reference Group

You can find more information on the TERG (in English only) at www.theglobalfund.org/en/terg. The information includes the Terms of Reference of the TERG; a list of the members of the TERG; reports on each of the meetings of the TERG; and reports on various studies undertaken by the TERG. This web page also contains a list of all evaluations, including the five-year evaluation, mentioned above.

4.5 Office of the Inspector General

The Office of the Inspector General (OIG) operates independently of the Global Fund Secretariat, reporting directly to the Board through its Audit and Finance Committee. The OIG provides the Global Fund with independent and objective assurance over the design and effectiveness of controls or processes in place to manage the key risks impacting the Global Fund's programs and operations, including the quality of such controls and processes. More specifically, the OIG conducts the following activities: audit, in-country review, assurance validation, inspection, investigation, counter-fraud and consulting or other advisory services.

The OIG has the authority to access all books, records, sites and personnel of activities or operations financed by Global Fund resources and reports on its work in accordance with the Board's Policy for Disclosure of Reports Issued by the Inspector General.

The OIG welcomes input from whistle-blowers. Persons wishing to communicate with the OIG regarding possible fraud or abuse can do so via email:

(inspector.general@theglobalfund.org), telephone (+41 22 341-5258 or 5259), fax (+41 22 341-5257), or regular mail (Inspector General, the Global Fund to Fight AIDS, Tuberculosis and Malaria, P.O. Box 561, 1214 Vernier – Geneva, Switzerland).

Whistle-blowers can also contact the OIG using a web-based form. For instructions on how to use the form, see www.integrity-helpline.com/theglobalfund.jsp. The instructions and the form are in multiple languages. Instructions on how to contact the OIG is available at:

<http://www.theglobalfund.org/en/oig/>

The OIG asserts that all communications are treated with the greatest confidence, and that people wishing to contact the OIG can conceal their identity. They should nevertheless provide a means for the OIG to contact them if it needs to obtain further information. The OIG says that people should feel free to communicate in their own language.

Box 5: Want to know more on Office of the Inspector General?

You can find more information on the OIG at www.theglobalfund.org/en/oig. The information on this page and related pages includes the mission statement and scope of work of the OIG, its charter and terms of reference, and several documents describing whistle-blowing policies and procedures.

You can also learn more on **I Speak Out Now!** The Global Fund's e-learning resource on fraud and corruption at: <http://www.ispeakoutnow.org/home-page/>

4.6 Partnership Forum

The Partnership Forum is part of the Global Fund governance structure (9). It is an ongoing process coordinated by the Strategy Committee that brings together a broad range of global stakeholders to discuss Global Fund performance and to make recommendations on the Fund's policies, strategy and effectiveness. Participants include grant recipients, civil society, donor and recipient governments, Board members, development agencies, technical and research agencies, foundations and private businesses.

During the process to develop the 2017 – 2022 Strategy, three Partnership Forums were held in Addis Ababa, Ethiopia in May 2015 (10), Bangkok, Thailand in June 2015 (11) and Buenos Aires, Argentina in August 2015 (12).

Box 6: Want to know more on Partnership Forum?

Additional information on the Partnership Forum in various languages can be found at www.theglobalfund.org/en/partnershipforum.

You can also access the e-platform of the Partnership Forum here: <http://theglobalfund-eforum.org/consultation>

Chapter 5: Structure of the Global Fund – In-Country

This chapter explains how the Global Fund is structured at the country level. It describes the role of country coordinating mechanisms, principal recipients, sub-recipients and local fund agents.

The Global Fund does not maintain country offices and, therefore, has no formal presence in individual countries. Nevertheless, certain structures operate at country level and form part of what is known as “the Global Fund in-country architecture.”

5.1 Country coordinating mechanisms – CCMs

The Global Fund is designed to work through multi-sectoral institutions in implementing countries, known as “country coordinating mechanisms (CCMs).” CCMs are responsible for

- Developing and submitting funding applications to the Global Fund.
- Nominating one or more organisations to serve as principal recipients (PRs) for each grant (see more on PRs in the next section).
- Overseeing the PR’s progress in implementing the grant, once a grant agreement is signed.

CCMs consist of representatives of government, multilateral or bilateral development agencies, CSOs, academic institutions, private businesses and people living with or affected by the HIV/AIDS, tuberculosis or malaria.

The Global Fund Board has adopted the CCM evolution policy aiming to align CCMs with the new Global Fund strategy, in May 2018. The implementation of the CCM evolution will be done by phase, the first one covering 16 countries for the years 2018-19.

The CCM evolution covers

- CCM functioning: including adoption of code of conduct that will address conflict of interest.
- Linkages: Improving collaboration and coordination between the CCM and the other forums; this may include anchoring the CCM into national structures.
- Oversight: Professionalizing the oversight function over the grant and better integrating it with portfolio management.
- Engagement: Improving CCM leadership, communication between CCM members and their constituency members.

In large countries with federal systems of government, the CCM may be supplemented by one or more sub-national country coordinating mechanisms (sub-CCMs).

In some exceptional cases, some countries receive the Global Fund grants without having a CCM (13). Those cases are

1. countries without legitimate Governments;
2. countries in conflict or facing natural disasters;

3. Countries that suppress or have not established partnerships with civil society

Box 7: More on Country Coordinating Mechanisms

Want to know more?

CCMs are discussed in **more detail** in this guide in the next chapter, *Chapter 6: Country Coordinating Mechanisms*.

5.2 Principal recipients and sub-recipients

Principal recipients (PRs) are responsible for implementing grant programmes that have been approved by the Global Fund Board for funding. PRs can be state, non-state or private sector entities and must undergo an evaluation by the Local Fund Agent (LFA) to ensure they have the necessary capacity and skills to implement the program prior to the start of the grant. PRs are usually national entities, often ministries of finance or health. However, in some countries with severe internal conflicts or documented mismanagement of previous grants, international entities, such as UN agencies and international NGOs, serve as PRs.

Once a grant is approved for funding, the Global Fund signs grant agreements with each PR selected by the CCM (there can be more than one). During the implementation of a grant, the PR usually works with several sub-recipients (SRs). Each SR is responsible for implementing a portion of the grant and reports directly to the PR. SRs are usually local or national entities, and can be from the governmental, civil society or private sectors. SRs can also be locally-based offices of international NGOs. In practice, most of the implementation work is done at the SR level, with the PRs acting in a managerial capacity.

The Global Fund has introduced what it calls a Principal Recipient Management Dashboard which is a visual tool designed for Principal Recipients to manage the performance of their grants. It comprises an Excel-based data-entry application and a dashboard-display application that uses SAP Crystal Dashboard Design 2011 software. It is an optional but highly recommended tool for Principal Recipients to use in monitoring the implementation of their grants.

Box 8: Want to know more on Principal Recipient Management Dashboard

More on the dashboard can be found here:

https://www.theglobalfund.org/media/5620/pr_dashboard_guide_en.pdf?u=636679306580000000

Grant implementation is discussed in **more detail** in *Chapter 11: Grant Implementation*

5.3 Local fund agents

As indicated above, the Global Fund does not have a country-level presence outside of its offices in Geneva, Switzerland. Instead, it hires LFAs to fulfil a verification role within each country on behalf of the Fund. Specifically, the job of the LFA is to evaluate the financial and programme management capacity of the nominated PR(s), and to verify and report on grant performance. LFAs are selected through a competitive bidding process. Often, LFAs are large accounting or management consultancy companies.

The Global Fund normally has one LFA in each country where it has approved a grant. In a few instances, the LFA may be based in a nearby country.

The Local Fund Agent works closely with the Country Team at the Secretariat to evaluate and monitor activities before, during and after the implementation of a grant. Typically, these activities would include:

- Assessing the capacity of the nominated Principal Recipient, including any previous track record, the effectiveness of internal controls and systems,
- reviewing proposed grant budget, work-plan and related documents,
- reviewing the progress of the grant and the appropriate use of funds, including visiting sites to verify results and data quality.

The LFA also advises the Global Fund on activities related to the closing of a grant and any possible risks.

Box 9: Want to know more on the Local Fund Agent?

The role of LFAs is further described in this guide in *Chapter 10: Grant Implementation Process*.
More information on LFAs in various languages is available at www.theglobalfund.org/en/lfa.

Chapter 6: Country Coordinating Mechanisms

This chapter describes country coordinating mechanisms (CCMs), the centerpiece of the Global Fund structure at country level. It includes sections on the responsibilities of CCMs, how they function, what guidance the Global Fund has provided, and what funding the Fund makes available to CCMs.

As mentioned in *Chapter 5: Structure of the Global Fund In-Country*, most funding applications to the Global Fund are submitted by CCMs, established specifically for this purpose and to carry out certain other responsibilities, as described below. There have been a few instances of existing bodies being used as CCMs or being converted to CCMs, but the vast majority of CCMs were created as new organisations.

CCMs are a cornerstone of the Global Fund's philosophy of working through multi-sectoral partnerships. CCMs comprise representatives from public and private sectors, including governments, multilateral or bilateral development agencies, NGOs, FBOs, academic institutions, private businesses and people living with or affected by the three diseases. When the CCM functioning is optimal, these sectors collaborate closely to develop funding applications and to carry out the other responsibilities of the CCM.

The CCM's core functions are:

- Coordinating the development and submission of national applications;
- Nominating the Principal Recipient;
- Overseeing implementation of the approved grant
- Endorsing program revision request if any;
- Ensuring linkages and consistency between Global Fund grants and other national health and development programmes.

CCMs are expected to play a strong leadership role in discharging its functions. CCMs are independent entities required by the Global Fund when possible. As such, the Global Fund has developed guidelines on how CCMs should be structured and how they should function. Some of this guidance is in the form of requirements – i.e. conditions that a CCM has to meet before the Global Fund accept to review its funding application as well as those periodically checked throughout the grant cycle. Other guidance is in the form of recommendations. These guidelines and requirements also apply to sub-CCMs and regional coordinating mechanisms (RCMs).

6.1 Global Fund guidance on CCMs

Requirements

The Global Fund requirement from the CCMs are closely related to their functions (14):

1. Coordinate the development of all funding applications through transparent and documented process that ensure the input of a broad range of stakeholders from

within and outside of the CCM has been appropriately solicited, reviewed and incorporated in the funding request.

2. Nominate one or more PRs through transparent and documented processes based on clearly defined and objective criteria that included procedures for managing and addressing any potential conflicts of interest.
3. Submit and follow an oversight plan for all financing approved by the Global Fund and describe how the CCM will engage with all program stakeholders in oversight of grant implementation.
4. Include in its membership people that are both living with and representing people living with HIV, and of people affected by and representing people affected by tuberculosis and malaria as well as people from and representing populations that are disproportionately affected by HIV, tuberculosis or malaria.
5. Require CCM members representing the non-government sectors to be selected or elected by their own sectors based on a documented, transparent process developed within each sector.
6. Publish policy for managing and addressing conflicts of interest establishing disclosure, reporting and recusal requirements that are applicable throughout the entire cycle of grants, and present evidence of its application when submitting funding applications.

6.2 How CCMs function

Most CCMs have between 15 and 30 members. The Global Fund recommends that CCMs hold regular meetings, several times a year. Additional meetings may be called when the need arises, such as when a proposal is being prepared. Each CCM has a Chair and a Vice-Chair, selected by the members of the CCM.

The CCM should function as a committee, with full and equal participation by all sectors, and with decisions being taken either by consensus or by voting (or a combination of the two), in accordance with agreed upon procedures. However, this is not always the case in practice: governments (and sometimes development partners) dominate many CCM.

Most CCMs have a secretariat – sometimes just one person, but usually more – to handle administrative functions such as organizing meetings, preparing minutes and distributing documents. Most CCMs develop terms of reference describing their structure and operations.

In some ways, the CCM can be compared to the board of directors of a corporation, establishing policy and monitoring progress towards meeting targets, but not getting involved in day-to-day operations.

6.3 Minimum Standards, standards and Recommendations

The Global Fund also provides in the CCM Guidelines minimum standards and recommendations to guide CCMs on their composition and fulfilment of responsibilities, in

addition to further definition of CCM requirements. For example, these standards, recommendations and definitions require that:

- Certain sectors be represented on CCMs. Members should be drawn from government, civil societies, private sector and bilateral and multilateral donors
- At least 40% of the CCM membership come from the non-government sectors.
- The Chair and Vice-Chair of the CCM come from different sectors; and are from domestic entities (i.e. not a UN or donor agency or international NGO);
- CCMs have a gender balance and gender expertise among its membership;
- information related to the Global Fund –decisions taken by the CCM, which applications have been approved for funding – be widely disseminated to all interested parties in the country for instance by a website.

Table 1: Sectors that the Global Fund Recommends Be Represented on CCMs

Government	Include but not limited to: representatives of Ministries of Health, Finance and Planning, Women’s and Social Affairs, International Cooperation and Interior
Civil society	Academic and educational institutions
	Watchdog organisations
	Women and girls
	Children and young people
	NGOs and community-based organisations
	People living with or affected by the diseases
	Faith-based organisations (FBOs)
	Key affected population ³
Private sector	Large for-profit companies
	Representatives of small and medium enterprises
	Business associations
	Exposed industries representatives
	Private practitioners and for-profit clinics
	Charitable foundations
Private sector	In-country representatives of multilateral and bilateral development organisations

Dual-track financing

The Global Fund recognizes that civil society and the private sector play a role throughout the cycle of a grant (i.e., application, grant-making, implementation, monitoring and evaluation). The Global Fund recommends that for each funding request, the CCM nominate both a PR from the government sector and a PR from a non-government sector (or more than

³ In the context of HIV, TB and malaria key populations are individuals experiencing high epidemiological impact to at least one of the diseases combined with limited access to services and/or frequently faces human rights violations

one from each sector). This is known in Global Fund parlance as “dual-track financing” and is consistent with the Fund’s principles of partnership and multi-sector involvement. Dual-track financing can also improve the response and performance of a program.

6.4 Funding support for CCMs

The Global Fund provides some funding for CCMs to cover their operating and administrative costs. CCMs are funded with up to US\$300,000. The funding covers a three-year period. In order for a CCM to be funded with amounts exceeding US\$300,000, it has to demonstrate that 20% of the excess funds are funded from other sources other than the Global Fund (15).

Three types of documents are required as part of funding application: a costed work plan, performance framework and support documentation.

- The costed work plan contains planned expenditure classified by categories following CCM functional areas.
- The performance framework contains activities and performance targets.
- The supporting documentation include but not limited to a list of all CCM members, proof that all CCM members endorse the funding application and terms of reference and recruitment procedures of the CCM secretariat (15).

Box 10: More on Dual-track financing and Country Coordinating Mechanism (CCMs)

The Global Fund’s guidance concerning the requirements that all country coordinating mechanisms have to meet is available at https://www.theglobalfund.org/media/7421/ccm_countrycoordinatingmechanism_policy_en.pdf?u=636679306540000000

The Global Fund has more information on dual-track financing here: https://www.theglobalfund.org/media/5648/core_sustainabilityandtransition_guidancenote_en.pdf

Chapter 7: The Global Fund's Partnerships with Development partners, UN agencies, Non-Governmental Organization and Civil Society Organizations

Partnerships with other organizations are essential to the Global Fund operations. This chapter explains the kinds of partnerships the Fund maintains. It contains a description of the roles of development partners, civil society and the private sector; and concludes with a listing of the Friends of the Global Fund organisations that have been established.

The Global Fund itself is a partnership among governments, civil society, the private sector and affected communities. In addition, to ensure that it remains as lean an organisation as possible, the Fund relies on a wide range of partners to carry out key activities necessary for its functioning and success. For example, at country level, it is dependent on CCMs, PRs and SRs (see *Chapter 5: Structure of the Global Fund – In-Country*).

The Global Fund partnerships include many stakeholders. As a financing institution, the Fund's often lacks technical expertise and rely on local and international partners to provide it. Each grant it provides is implemented by a Principal Recipient, which can be any type of organization, from government ministry to community-based organization to private sector entity.

These partnerships take many forms, from formal relationships to ad-hoc consultations. The Global Fund Secretariat plays a facilitating and coordinating role, but in some cases – especially in relations between external partners and CCMs – the Secretariat is not actively involved.

7.1 Development partners

When technical expertise is required – by the Secretariat, CCMs, PRs or other implementers – the Global Fund often relies on international organisations such as the World Health Organisation (WHO), UNAIDS and the Stop TB Partnership. To formalise these partnerships, the Global Fund has signed memoranda of understanding with most of these organisations. Many bilateral development agencies, i.e. donor government agencies, are also a source of technical expertise.

The Global Fund collaborates with bilateral and multilateral development agencies⁴ to avoid duplication and overlap in funding, and to ensure coherence in approaches among the various funders.

⁴ Bilateral development agencies are national agencies through which national governments provide resources to carry out development projects in countries in need. Examples include the US Agency for International Development (USAID), the Australian Agency for International Development (AusAID), the Swedish International Development Agency (SIDA) and the UK Department for International Development (DfID). Multilateral development agencies are for example the World Bank and regional development banks, such as the African Development Bank; inter-governmental bodies, such as the European Commission; and UN agencies, such as UNDP and UNICEF.

With respect to market dynamics and health product procurement by grant recipients, the Global Fund works with global mechanisms such as UNITAID and the Global TB Drug Facility.

7.2 Civil society

Civil society has played a fundamental role in the design and development of the Global Fund since its inception. Civil society organisations have advocated strongly for increased funding from wealthier countries governments. It has also been an effective voice on the Global Fund Board, where each of its three representatives (developing countries NGO, developed countries NGO and communities out of a total of 20 voting Board members) holds voting rights equal to those from constituencies like donor and implementing governments, private sector and private foundations. In addition, government delegations occasionally include civil society representatives.

The Fund believes that the engagement of civil society organizations is essential to an effective consultative process, including key and vulnerable populations disproportionately affected by the three diseases. Civil society participates in CCMs, representing NGOs, faith-based organisations (FBOs) and vulnerable and marginalized groups affected by the three diseases. Civil society organisations may serve as PRs and SRs, implementing programmes funded through Global Fund grants. This has proven to be a particularly effective way of targeting hard-to-reach populations.

Finally, civil society plays an important watchdog role, monitoring the activities of the Global Fund and its grant recipients, and advocating for improvements in the way the Fund operates.⁵

More information can be accessed from the civil society section on the Global Fund website at: <https://www.theglobalfund.org/en/civil-society/>

7.3 Private sector

Through partnerships with corporations, the Global Fund has received financial and technical support as well as in-kind donations. The following are some examples:

- **(PRODUCT) RED™.** RED is a brand created to raise awareness and money for the Global Fund. A portion of the profits from each RED product sold goes directly to the Global Fund.
- **Corporate Champions Programme.** Through the Global Fund's Corporate Champions Programme, companies can make significant financial commitments.

⁵ Aidspan is a prime example of a civil society organisation playing a watchdog role.

- **Pro bono services.** Companies have used their business expertise to provide pro bono support for core functions of the Global Fund Secretariat and CCMs, ranging from fundraising, through communications, to strategy and policy development.

In addition, some private sector companies have acted as PRs or SRs.

7.4 Friends of the Global Fund

Some of the NGOs dedicated to raising awareness of the Global Fund and advocating for increased support are:

- Friends of the Global Fight (US)
<http://theglobalfight.org>
- Global Fund Advocates Network
<http://www.globalfundadvocatesnetwork.org/>
- Friends of the Global Fund, Japan
www.jcie.or.jp/fgfj/e
- Amis du Fonds Mondial Europe (Friends Europe)
www.afmeurope.org
- Friends of the Global Fund, Africa (Friends Africa)
<http://friends-africa.org>
- Pacific Friends of the Global Fund
www.pacificfriendsglobalfund.org
- Friends of the Global Fund, Middle East and North Africa (Friends MENA)
- Friends of the Global Fund, South and West Asia (Friends Asia)

Box 11: Want to know more on Global Fund's partnerships

More information (mostly in English) on the Global Fund's many partnerships is available at <https://www.theglobalfund.org/en/documents-by-type/implementers/>. There are separate pages for different categories of partners.

An updated list of partners can be seen here:

<https://www.theglobalfund.org/en/private-ngo-partners/partners/>

Chapter 8: Money Raised by the Global Fund

This chapter indicates how much money the Global Fund has raised; describes the main mechanism that the Fund uses to raise money from donor governments; and lists other sources of funding. All amounts in this chapter are in US dollars.

The demands on the Global Fund have steadily increased since it was created. It has been a challenge for its fundraising efforts to keep up with the demand.

8.1 Amount of money raised

The Global Fund raises most of its funds from governments of donor countries, most of which represent the richer economies of Europe, North America and Asia. Other sources of funding include donations from the implementing countries governments, corporate sector and public and private foundations (see separate section below).

Table 2 shows the amount of money pledged and contributed to the Global Fund as of 31 December 2017. “Contributed” means that the money has been sent to the Fund.

Table 2: Amount pledged and contributed as of 31 December 2017

Source	Amount pledged (\$ billion)	Amount contributed (\$ billion)
Donor countries	50.5	41.1
Other	2.8	2.6
TOTAL	53.3	43.7

The amounts in the ‘pledged’ table include the amounts in the ‘contributed’ table.

Box 12: More on money raised by the Global Fund

More information on the amounts of money raised by the Global Fund is available at <http://www.theglobalfund.org/en/government/>

8.2 Voluntary replenishment mechanism for donor countries

In 2005, the Global Fund introduced what it calls its “voluntary replenishment mechanism” in an effort to raise increasing amounts of money and to make the funding sustainable and predictable. Under this process, the Fund organizes periodic meetings with major donor countries. At these meetings, the Fund provides a progress report on its performance, and the donor countries are encouraged to announce their pledges for the coming years.

In addition, the Global Fund organises a preparatory meeting in the middle of each replenishment period. At this meeting, donor countries have an opportunity to discuss key issues related to the Global Fund’s progress.

The first replenishment period covered the years 2006 and 2007; since then replenishment periods have been for three years, with the successive replenishment covering the years 2008–2010, 2011–2013, 2014–2016 and 2017-2020.

The fifth replenishment meeting occurred in September 2016 in Montreal, Canada. The event saw pledges by donors totaling around 12 billion USD. More on this latest replenishment can be seen here: <https://www.theglobalfund.org/en/replenishment/>

Table 3: 5th Replenishment top 10 donors for 2017 - 2019

No	Government Donors	In donor currency (millions)	USD equivalent ⁶ (millions)
1	United States of America	USD 4,300.00	4,300.00
2	United Kingdom	GBP 1,100.00	1,710.82
3	France	EUR 1,080.00	1,347.45
4	Germany	EUR 800.00	998.11
5	Japan	USD 800.00	800.00
6	Canada	CAD 804.00	720.96
7	European Commission	EUR 475.00	592.63
8	Sweden	SEK 2,500.00	347.00
9	Norway	NOK 2,000.00	304.33
10	Australia	AUD 220.00	197.09

⁶ The U.S. dollar equivalent value of pledges made in non-U.S. dollar currencies are calculated at an exchange rate based on a five-year moving average, computed on 15 September 2016 from spot rates listed on Thomson Reuters.

Box 13: Want to know more on replenishment process

More information on the replenishment process and meetings go to <http://www.theglobalfund.org/en/replenishment/>
Plus an updated list of pledges and contributions can be found at <https://www.theglobalfund.org/en/financials/>

8.3 Other sources of funding

As shown in the tables above, funding from sources other than donor countries constitutes a rather modest share of total contributions paid to date. The Global Fund hopes that contributions from other sources will grow in magnitude and share in the coming years. These other sources of funding include:

- donations from implementing governments
- donations from public and private foundations;
- special corporate product promotions;
- donations from corporations;
- the Debt2Health initiative and other innovative financing mechanisms; and
- donations from individuals.

8.4 Funds Committed and Spent by the Global Fund

The Global Fund awards grants on the basis of applications submitted to the Secretariat that are approved for funding. When the Global Fund Board approves funding requested by an applicant, the Global Fund enters into a multi-year grant agreement with its country level partner (the principal(s) recipient(s)). Grant funding provided under these agreements are committed in separate tranches annually based on the performance of the grant and satisfaction of relevant conditions. Once the Global Fund makes a disbursement to the PR, the latter can start spending the money on the programmes approved for implementation. Sometimes, the PR may spend its own monies with the Global Fund approval when the grant agreement is signed but disbursement has not hit the account of the implementer.

Table 4: Fund signed, committed and dispersed by Global Fund

Component	Signed (US\$ millions)	Committed (US\$ millions)	Disbursed (US\$ millions)
HIV/AIDS	22,690	20,164	19,200
Tuberculosis	7,616	6,775	6,231
Malaria	14,051	12,162	11,156
TB/HIV	3,157	2,040	1,552
Other	945	843	796
Total	48,459	41,985	38,938

Source: Global Fund website, grant overview

Box 14: More on Global Fund grants by region and country

Information on Global Fund grants by region and country may be found here:
<http://www.theglobalfund.org/en/portfolio/>

Chapter 9: The Funding Model

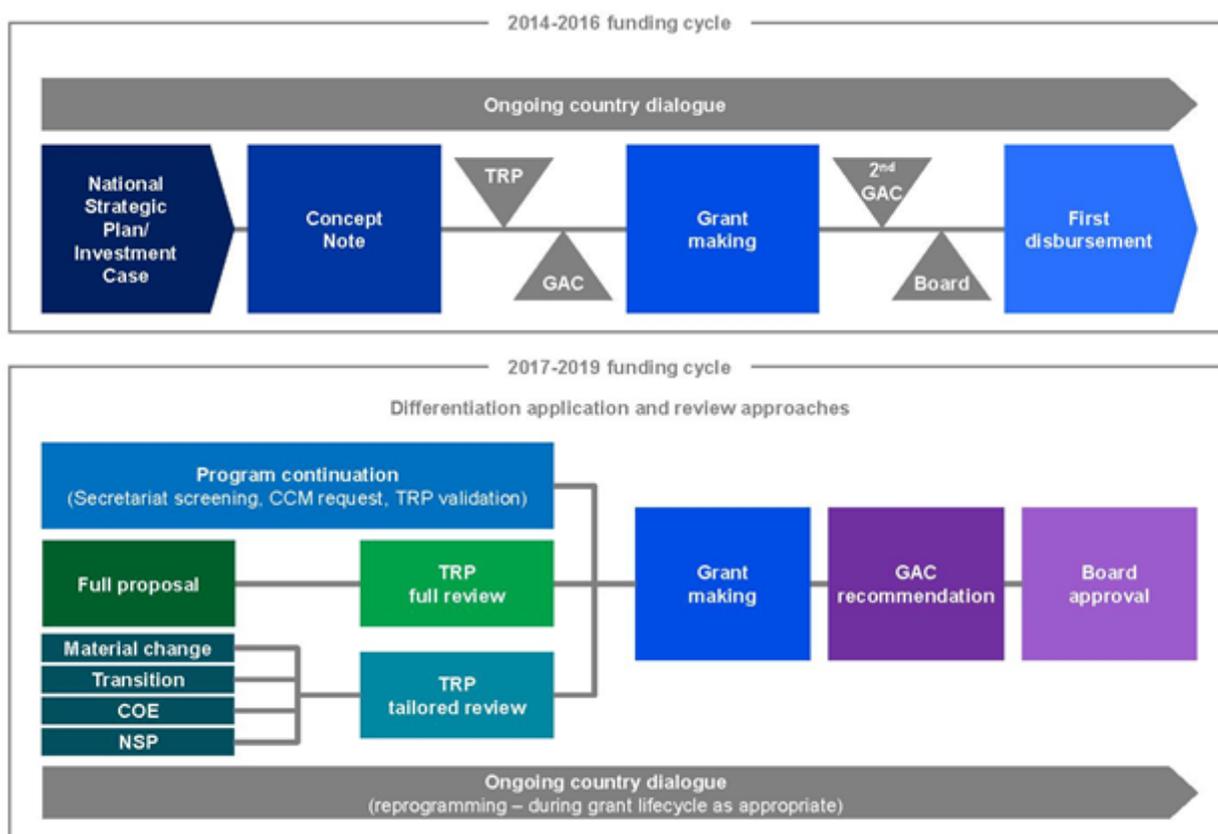
In 2012, the Fund introduced a *new funding model* characterized by an allocation-based model of distribution of resources across eligible country disease components. This updated approach was commonly referred to as the “new funding model” during its initial three-year allocation period covering calendar years 2014 - 2016.

During the first ten years of the Global Fund’s existence, most proposals were submitted under the rounds-based channel. Under this mechanism, the Global Fund periodically issued a call for proposals, and each call constituted a round of funding. Since the first round in 2002, generally there was one new round of funding a year.

In 2011, the Global Fund issued a call for proposals for Round 11, but then canceled the call as the institution would lack money to fund most of the proposals likely to be recommended by the TRP. Round 11 was replaced with a more limited Transitional Funding Mechanism (TFM), designed to finance what the Global Fund called “essential services” in countries that would experience a gap in services due to the cancellation of Round 11.

In this new funding model, funding applications are developed through a multi-stakeholder country dialogue, before being submitted for independent technical review by the TRP. Once reviewed and recommended by the TRP, technically sound and strategically focused applications would move into a stage of finalizing grant negotiations and implementation arrangements, known as “grant-making”, prior to being submitted to the Board for approval.

Figure 7: Round-based and New Funding Model



Source: Graphic adapted from the Global Fund TRP technical Review Panel, GAC: Grant Agreement Committee, CCM country coordinating mechanism

The new model has two parts: (1) the funding allocation system and (2) the applications process.

9.1 Funding allocation system

As noted above, a consequence of the allocation-based funding model is that countries receive funding allocations, which means that the Fund informs countries up-front on the amount of funding that they can receive for each disease in which they are eligible. Countries are responsible for deciding, through an inclusive decision-making process, how to prioritize their funding across eligible diseases and cross-cutting investments to build resilient and sustainable systems for health.

The length of each allocation period is three years, aligned with the Global Fund’s replenishment cycle. At the beginning of each allocation period, the Global Fund determine how much funding is available for that period.

Following the replenishment conference, the Board approves the amount of funds available for allocation and separates this into a larger portion that is available for country allocations and a smaller portion that is used for catalytic investments. Catalytic investments are made in several priority areas approved by the Board through the following operational modalities:

- i) matching funds that may subsequently add to country allocations based on pre-identified epidemiological contexts;
- ii) multi-country approaches that may be implemented independently or in conjunction with the country allocations of participating countries to achieve aims that stretch beyond a single country;
- iii) strategic initiatives that further enable the achievement of the aims of the Global Fund's strategy, which due to their nature or cycle cannot be achieved through country allocations alone.

Of the USD 11.1 billion of funds available for allocation for the 2017 – 2019 allocation period, USD 10.3 billion was approved for country allocations and USD 800 million for catalytic investments by the Global Fund Board.

9.2 Applications process

Under the allocation-based funding model, the application process is intended to be more flexible in timing and to involve greater dialogue between the Global Fund and applicants concerning their applications. Some of the features of the new process are as follows:

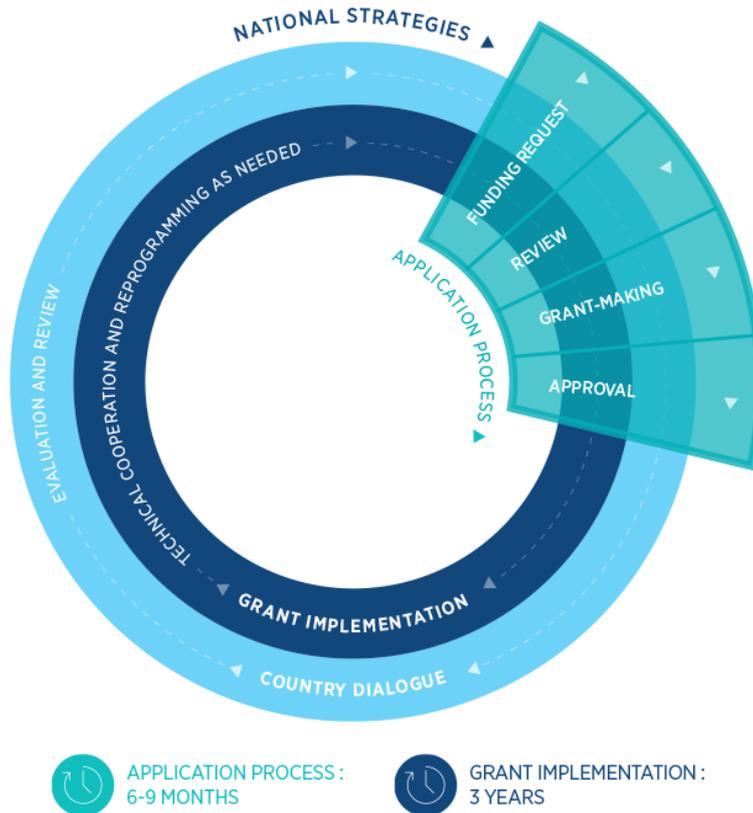
- Applications can be submitted at any time during an allocation period provided that the Board's approval of funding occurs prior to the end of the allocation period.
- The funding from two different allocations may not overlap.
- The allocation amount is for a standard period over which the funds are to be utilized.⁷
- The Global Fund provides guidance to applicants before applications are developed, including the form in which a country disease component's funding request may be submitted and reviewed. Country applications are classified into three types:
 - i. Program continuation applications
 - ii. Tailored review applications
 - iii. Full review applications
- The Global Fund works with applicants to refine the funding application.
- The TRP reviews all funding applications in accordance with application formats that are differentiated across the portfolio.

⁷ For the 2014 – 2016 allocation period, as part of the transition from the rounds-based system to the allocation-based funding model, the total allocation covered a typical four-year period commencing on 1 January 2014. From the 2017 – 2019 allocation period, this standard period over which an allocation is to be utilized reverts to three years as set when the Global Fund initially adopted the change from the rounds-based system to the allocation-based funding model.

- Based on the TRP’s review and recommendation, the Global Fund Board makes final decisions on funding.

The application process is a multistep process as summarized in the figure below.

Figure 8: Application process and grant implementation



Source: Global Fund

Country dialogue

The process begins with a country dialogue which occurs prior to development of funding application. A country dialogue is organized by Country Coordinating Mechanism (CCM) and brings together representatives of all sectors including people living with or affected by the three diseases to have an open conversation that informs funding request development. The funding request also takes into account the national strategic plans for each of the three diseases.

Funding request

The CCM develops a funding request detailing how the allocated funds will be used subject to Global Fund approval. The Global Fund encourages countries to include in their funding requests priority programs that cannot yet be fully funded due to limited funds but that can be financed later in case the Global Fund gets additional resources.

The CCM submits the funding request it has developed to the Global Fund who evaluates its completeness. For the 2017 – 2019 allocation period, countries submitted their funding request to the Global Fund during defined submission windows. The specific submission dates for the funding requests for the 2017 – 2019 allocation period are summarized in the table below.

Table 5: Funding requests submission dates and the TRP review dates

Window	Submission Date	Technical Review Panel review
Window 1	20 March 2017	23 April - 2 May 2017
Window 2	23 May 2017	19 - 28 June 2017
Window 3	28 August 2017	29 September - 6 October 2017
Window 4	07 February 2018	19 - 27 March 2018
Window 5	30 April 2018	3 - 11 June 2018
Window 6	06 August 2018	9 - 17 September 2018

Source: Global Fund website, applying for funding

Review

The Technical Review Panel (TRP) is tasked with assessing the quality of funding application review submitted funding requests for technical merit and strategic focus. After the review, TRP may ask for changes in the funding request or recommend for grant-making or implementation. Interventions that cannot be fully funded due to Global Fund limited resources but are considered by the TRP as strategically focused and of technically sound are listed in the register of unfunded quality demand.

Grant-making

Once approved for grant-making, it takes about five to eight months to translate a funding request into a grant agreement. During grant-making, the Country Team assess the capacity of the nominated grant implementers, review and agree on implementation plans and negotiate key grant documents. Tools completed during the process include:

- i. Implementation arrangements map
- ii. Performance framework
- iii. Capacity assessment tool
- iv. Health products, quantities and related costs
- v. Detailed budget
- vi. Principal Recipient information

i. Implementation arrangement map

This is a visual illustration of a grant from receipt of funds to activities at implementation level. It describes the entities receiving grant funds, the role of each entity in implementation, program beneficiaries, and the flow of funds, commodities and data. Implementation

arrangement mapping can be initiated during funding request preparation, continued in grant-making and may require to be updated after the end of grant-making.

ii. Performance framework

This is the document detailing grant performance. It contains key indicators for measuring performance, targets and timeline for reporting. At the grant-making stage the Country Team shares with the nominated implementers the Performance Framework templates with pre-populated indicators and baselines from the TRP reviewed funding request. The shared template is used during indicators and target negotiation in grant making process. The Performance Framework template is divided into sections: overview, impact indicators, outcome indicators; coverage indicators, disaggregation and work plan tracking measures.

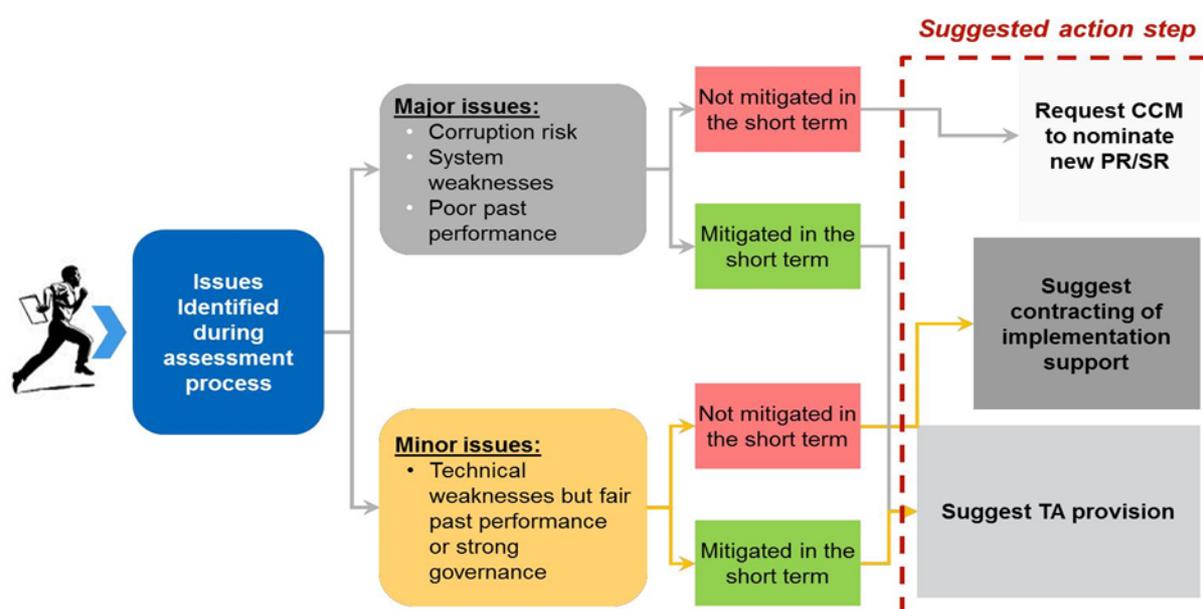
iii. Capacity assessment

All new PRs and existing ones nominated to implement new activities are assessed to determine if their existing systems and capacities fulfil the Fund's minimum requirements to successfully implement a programme and manage grant funds. The PR assessment is also used to identify critical capacity gaps that need to be addressed in the short or long term to enhance the efficiency and effectiveness of grant implementation. This evaluation takes place as soon as a new PR has been identified and completed at the early stages of grant making. Using the Simplified Capacity Assessment Tool (CAT) the following functional areas are assessed: governance and programme management (including SR management); financial management and systems; procurement and supply management; and monitoring and evaluation (M&E) arrangements.

The LFA with the support from the Country Team assess the capacity of nominated PR. The FPM notifies the nominated PR on when the capacity assessment will be conducted. Based on response from a set of questions the LFA rates the capacity of the nominated PR. In case key capacity gaps or system issues are identified, the LFA can suggest ways to address such capacity issues. Upon completing its analysis, the LFA submits the findings to the country team who reviews the work and make final decision on the capacity of the nominated PR to implement a program. The Country Team provides a summary of the PR rating to a functional area as:

- No issues – there is adequate capacity and systems and thus no risks to successful grant implementation
- Minor issues – there are capacity gaps which pose minor risk to grant implementation but can be addressed in less than six months or prior to grant signing
- Moderate issues – the capacity gaps identified pose moderate risks and would take six to twelve months to address for successful grant implementation.
- Major issues – the capacity gaps identified are significant and would take longer time to address and technical assistance is necessary
- Not applicable – if the functional area is not relevant to PR's proposed activities

Figure 9: Capacity assessment



Source: Global Fund

If the PR can only improve its capacity after the signing of the grant agreement, the agreement will reflect the fact that the PR is obligated to complete the necessary steps. The capacity-building initiatives will be included as conditions in the grant agreement.

If the Country Team decides that the proposed PR has the minimum capacities and systems or could acquire them in time to implement the grant, grant agreement negotiations can proceed. If, on the other hand, the Country Team decides that a nominated PR does not have adequate capacity to carry out the programme, and will not likely acquire it even after some capacity building, then the PR will be rejected and the CCM will be asked to nominate another PR. The FPM submits to the GAC the final capacity assessment decision.

iv. Health products

In programs where the grant funds are used to purchase health products, the PRs are required to make a detailed list of such products including the cost to be incurred during procurement and supply management. This information is captured in the List of Health Products (LOHP) template. Details captured include the estimated quantities, cost and procurement and supply management costs.

v. Detailed budget

The detailed budget uses a modular approach and costing dimensions. It follows the list of modules contained in the funding request. The approach makes it easier to track budget versus expenditure. The budget should be aligned to strategic direction, reflect a realistic rate of utilization of funds, ensure prioritization of interventions, identifies quantities and unit prices and ensure complementarity with other sources of funding.

vi. Principal recipient information

The basic PR information required by the Global Fund include the name, type and address, focal point, fiscal year and authorized signatories of the organization. This is captured in the signatory information template. The Global Fund also request the PR's bank account details for verification purposes such as the name and contact information of the bank manager. This is captured in the PR bank information template.

Approval

At the end of grant-making process, the disbursement ready grants are submitted to the Grants Approval Committee (GAC) which reviews the final grants. Once the GAC is through with its review, it recommends the grant to the Board of the Global Fund for approval after which grant disbursement is made.

Grant agreement

Grant agreement is the legal instrument that is signed by representatives of Global Fund and the country's recipients. The Grant agreement defines Global Fund's terms and conditions for funding programs implemented in a country and is made of the following: the

- i) framework agreement which is signed between the Global Fund and a country outlining how funding is provided and regulated.
- ii) grant regulations which detail the terms and condition of utilizing resources allocated by the Global Fund
- iii) and grant confirmation which is program specific and is issued following the Global Fund Board approval for funding

The grant confirmation specifies the program activities and implementation arrangements, the summary budget and the performance framework. It has the following elements:

- Program conditions and contractual provisions
- Program title
- Grant name
- Grant agreement number
- Implementation duration
- Local Fund Agent, Principal Recipient and the Global Fund representatives and their addresses

Once a grant confirmation is signed by both parties and the Chief Financial Officer (CFO) approves the purchase order (PO), the Country Team process the first annual funding for disbursement and implementation of the program can commence.

Box 15: Want to know more on Global Fund funding model?

The Global Fund website provides more information on the funding model at <https://www.theglobalfund.org/en/funding-model/>

Chapter 10: Grant Implementation

This chapter provides an overview of the grant implementation process. The chapter is organised according to the steps involved: assignment of the portfolio manager at the Global Fund Secretariat; assignment of the local fund agent; assessment of the nominated principal recipient; ongoing reporting, reviews and disbursements; preparation of the grant performance report; and performance reviews and grant renewals.

After a grant is signed the implementation process begins. The Global Fund Secretariat monitors grant implementation on an ongoing basis. A Country Team exists for each Global Fund portfolio and monitors grant programmatic activities. Information obtained during the monitoring process is used to determine grant performance, make annual funding decisions and for grant risk management.

10.1 Country Team

The Fund Portfolio Manager (FPM) is the main contact person at the Global Fund Secretariat for PRs implementing grants. The FPM together with program officers and technical specialists in the Secretariat form a Country Team. The FPM coordinates a Country Team and is responsible for a portfolio consisting of one or more countries. It is the responsibility of each Country Team member to offer grant management oversight in their respective areas of expertise. With the support of the Country Team, the FPM manages all the stages of grant cycle.

10.2 Assignment of a local fund agent

As explained in *Chapter 5: Structure of the Global Fund In-Country*, the job of the local fund agent (LFA) is to fulfill a verification role within the country on behalf of the Global Fund. This role includes evaluating the financial management and administrative capacity of nominated PRs and monitoring the PRs' expenditures and progress in programme implementation.

There is usually only one LFA per country. Since almost every eligible country has already received grants from the Global Fund, the LFAs are already in place. When a new grant agreement is signed, an LFA is assigned to that country.

10.3 First Annual Funding Decision

Disbursement of the first annual funding occurs immediately after the signing the grant agreement and once the CFO approves the purchasing order. It is processed by the Country Team and should be completed within 30 days of the purchasing order approval. It is based on approved budget, not performance-based and consider issues identified during grant making.

10.4 Standard Annual Funding Decision

Annual funding is based on performance and financial needs. Program performance is reported through the Progress Update/Disbursement Request.

10.5 Ongoing reporting, reviews and disbursements

Within a set time after the end of each reporting period, the PR is required to provide the Global Fund Secretariat with a Progress Update and Disbursement Request, best known by its abbreviation, “PU/DR”. This PU/DR is reviewed by the LFA and then submitted to the Secretariat, generally every six months.

As the name suggests, this document consists of a progress report on the implementation of a grant, and a request for funds for the next reporting period. The progress report includes information on the programme being implemented (including results against targets) and information on expenditures. It also includes information on progress in implementing conditions precedent, if there were any.

After reviewing the PU/DR, the Global Fund Secretariat assigns a performance rating to the grant from the following scale:

- A1 Exceeds expectations
- A2 Meets expectations
- B1 Adequate
- B2 Inadequate, but potential demonstrated
- C Unacceptable

The rate conditions the cumulative budget amount available to the PR for the next disbursement

Table 6: Performance and indicator ratings and cumulative budget amount

Performance rating	Indicator rating	Cumulative budget amount (including current funding request)
A1 >100%	Exceeding expectations	Between 90-100% of cumulative budget through the next reporting period
A2 90-100%	Meet expectations	
B1 60-89%	Adequate	Between 60-89% of cumulative budget through the next reporting period
B2 30-59%	Inadequate but potential demonstrated	Between 30-59% of cumulative budget through the next reporting period
C <30%	Unacceptable	To be discussed individually

In addition to submitting PU/DRs, PRs are required to submit annual financial reports and to regularly report certain information about health products procured using Global Fund money. The Global Fund also requires that the PR's annual financial statements be audited by an external auditor. PRs must submit audit plans at the grant negotiation stage.

10.6 Grant performance report

The Grant Performance Report (GPR) is prepared by the Global Fund Secretariat when the grant agreement is signed, and is updated with every PU/DR received throughout the life of the grant. The GPR is intended to provide the Secretariat, PRs and all other Global Fund stakeholders with a thorough and transparent summary of a grant implementation throughout its lifetime. The report includes information about the initial PR assessments, the grant agreement, the programmes implemented, indicators and targets, results achieved to date, and grant performance ratings. GPRs are publicly available on the Global Fund website.

Whereas the PU/DR captures a certain moment in the life of the grant, the GPR shows its development over time.

Box 16: Want to know more on grant performance report

Because there have been a number of changes to grant implementation in the recent years, no single document provides an up-to-date description of the process.

The Global Fund's grant database can be found on the website at www.theglobalfund.org, by clicking on the "Grant Portfolio" tab, and then selecting from the list of countries. This information (and more) is also offered via Aidspace's database available at <http://data.aidspace.org/>

Chapter 11: Risk Management

The Global Fund's operations involve multiple partnerships, challenging humanitarian and development contexts. Risk is therefore a part of the Global Fund's activity. The success of the Global Fund is dependent on objective-based risk management that identifies and mitigates risks to acceptable levels.

The Global Fund identifies, monitors and manages significant manages risks while pursuing its objectives, as set out in the Global Fund's strategy. The Risk Management Department established in 2012 and headed by Chief Risk Office coordinates the Global Fund risk management activities.

The risk management framework

Risk management happens throughout the grant lifecycle from country dialogue to the end and consists of the following stages:

- a. Risk identification and prioritization
- b. Risk mitigation
- c. Assurance and monitoring
- d. Reporting

Figure 10: Risk assurance and planning process



Source: Global Fund

Risk identification and prioritization

The Country Teams identify, prioritize and monitor grant-specific risks in High Impact and Core portfolios. There are four major categories of risks:

- Programmatic and monitoring and evaluation (M&E) risks;
- Financial and fiduciary risks;
- Supply chain and health products management risks; and
- Governance, oversight and management risks

In order to manage risks, the Country Teams assess the capacity of the proposed PR to implement programs. Capacity assessment is conducted on all new PRs and in some cases of existing PRs. Such cases include inexperienced PRs in specific activities or managing a disease component or undertaking activities which have not been previously assessed.

Country Team capacity assessment of High Impact and Core portfolios involve rating the likelihood and severity of 21 pre-defined risks within the four major categories of risks. Risk assessment outcome is submitted to GAC for consideration during grant approval. Since risk assessment is an on-going process, the Country Team updates the risk assessment as soon as new information becomes available throughout grant lifecycle. The identified risks are documented in the Key Risk and Assurance Matrix (KRM). For the Focused portfolios risk rating is on the Finance and Fiduciary category. The FPM rates the six risks within this category.

Risk mitigation

Risks are identified for the purposes of managing them to an acceptable level. This requires mitigation actions which should be specific, measurable, attainable, relevant and time-bound. The risk levels and the time required to manage risk to acceptable levels are key determinant of the type of mitigating actions to be undertaken.

Assurance and monitoring

Assurance is the framework used to gauge the extent to which mitigation actions have been put in place to manage the identified risks. Assurance planning is important for the Global Fund stakeholders' confidence in the investments put in place using GF resources. It involves linking assurance activities and providers to Key Portfolio Risks. For High Impact and Core countries, assurance planning occurs annually and documented in the Key Risk and Assurance Matrix prior to the annual LFA budgeting exercise. Monitoring assurance activities is an on-going activity throughout the grant lifecycle in order to determine the effectiveness of the mitigation actions.

Reporting

Risk data is aggregated and reported via the Grant Operating System (GOS). They are also integrated in the Organizational Risk Register. Based on the reported risk data, the Risk Department conducts risk analyses that informs the Chief Risk Officer's assurance opinion presented to the Global Fund Committees and Board.

Chapter 12: Reporting on Progress

This chapter briefly describes the different kinds of progress reports issued by the Global Fund.

The Global Fund periodically issues reports on its work. There are several types of reports:

- **Annual financial reports.** These usually include a report on activities undertaken in a year, financial review, and financial statements.
- **Results report.** These include a report on impact of investments and the achievements in a year; progress in building resilient and sustainable systems for health and breaking human rights barriers; and finances
- **Country impact reports.** These deal with country specific achievements as a result of Global Fund investments on HIV, tuberculosis and malaria.
- **Regional impact reports.** These reports tend to deal with both achievements and challenges. In 2017, the Global Fund website contained reports on Africa, Caribbean and Pacific Group of States; and Francophone countries.
- **Focus on reports.** These are short reports on topics related to the Global Fund response to HIV, tuberculosis and malaria.

Box 17: Want to know more on financial, OIG progress and other reports?

The archived annual financial reports are available by going to the Fund's website at:

<https://www.theglobalfund.org/en/archive/annual-financial-reports/>

The OIG progress reports are available at:

<https://www.theglobalfund.org/en/oig/board-documents/>

Many types of reports are available at

<http://www.theglobalfund.org/en/publications/>

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