



Independent observer  
of the Global Fund

# A Beginner's Guide to the Global Fund

3<sup>rd</sup> Edition

Full Version

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## Preface

Aidspan ([www.aidspan.org](http://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.

This report is one of many Aidspan guides and reports available at [www.aidspan.org/page/guides-global-fund](http://www.aidspan.org/page/guides-global-fund) and [www.aidspan.org/page/other-publications](http://www.aidspan.org/page/other-publications). Reports recently published by Aidspan include:

- *Donors to the Global Fund: Who Gives How Much?*
- *Quantifying the Global Fund's Contribution to Saving Lives: Methodological and Policy Issues*
- *The Global Fund: What Next for Aid Effectiveness and Health Systems Strengthening?*
- *The Global Fund and Community Systems Strengthening: The Wrong Organisation for the Right Job? Or the Right Organisation Doing the Job Wrongly?*
- *The Aidspan Guide to Applications Under the Global Fund's Transitional Funding Mechanism*

Aidspan also publishes news, analysis and commentary articles about the Global Fund in its Global Fund Observer (GFO) newsletter and on GFO Live. To receive GFO Newsletter, send an email to [receive-gfo-newsletter@aidspan.org](mailto: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](http://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

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## List of Abbreviations

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

ACT	Artemisinin combination therapy
ARV	Antiretroviral
CCM	Country coordinating mechanism
FAQ	Frequently asked questions
FBO	Faith-based organisation
GFO	Global Fund Observer
GNI	Gross national income
HSS	Health systems strengthening
LFA	Local fund agent
LLIN	Long-lasting insecticide treated (bed)nets
M&E	Monitoring and evaluation
MARPs	Most-at-risk populations
NFM	New funding model
NGO	Non-governmental organisation
Non-CCM	Non-country coordinating mechanism
PR	Principal recipient
RCM	Regional coordinating mechanism
RO	Regional organisation
SR	Sub-recipient
SSF	Single stream of funding
Sub-CCM	Sub-national country coordinating mechanism
TB	Tuberculosis
TFM	Transitional Funding Mechanism
SSF	Single stream of funding
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

Following this introductory chapter, there are 10 chapters describing 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.

Chapters 3 and 4 outline the structure of the Fund at the global and country level. **Chapter 3: 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 4: Structure of the Global Fund – In-Country** describes the role of country coordinating mechanisms, principal recipients, sub-recipients and local fund agents.

**Chapter 5: Partnerships** explains the kinds of partnerships the Global Fund is built on and which it nourishes. 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.

Chapters 6 and 7 are about money raised, committed and spent by the Global Fund. **Chapter 6: 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 donor governments and lists other sources of funding. **Chapter 7: Funds Committed and Spent by the Global Fund** provides information on funds committed and spent to date.

**Chapter 8: The Global Fund’s Application Process** describes the process of applying for grants from the Global Fund. It includes sections on which countries are eligible and what types of entities can apply. The chapter also contains a brief description of the new funding model being introduced in 2013.

**Chapter 9: Country Coordinating Mechanisms (CCMs)** describes the centrepiece of the Global Fund structure at country level. The chapter includes sections on the responsibilities of CCMs, how they function, and what guidance and support the Global Fund provides.

**Chapter 10: The Grant Implementation Process** gives an overview of the 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; signing of the grant agreement; ongoing reporting, reviews and disbursements; preparation of the grant performance report; and performance reviews and grant renewals.

**Chapter 11: Reporting on Progress** briefly describes the different kinds of progress reports issued by 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

The following is 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 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 government, development agencies, NGOs, FBOs, academia 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. The chapter also describes 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.

The Global Fund represents an innovative approach to international health financing. It operates as a partnership among governments, civil society, the private sector (including businesses and foundations) and affected communities.

### 2.2 Origin of the Global Fund

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

- At their summit meeting in Okinawa, Japan, in 2000, the leaders of the G8 countries<sup>1</sup> acknowledged the need for significantly greater resources to respond to AIDS, tuberculosis and malaria. At that point, very few people in developing countries had access to treatment for HIV, TB or malaria.
- Addressing the African Summit on AIDS in April 2001 in Abuja, Nigeria, UN Secretary-General Kofi Annan called for the creation of a global trust fund to raise additional money.
- In June 2001, a UN General Assembly Special Session on AIDS concluded with a commitment to create such a fund.
- A transitional working group was formed to develop a framework for how the Global Fund would be structured and how it would operate.
- A permanent secretariat was established in Geneva, Switzerland, in January 2002.
- Just three months later, the Global Fund Board approved the first round of grants to 36 countries.

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<sup>1</sup> G8 refers to the Group of 8 leading developed economies: Canada, France, Germany, Italy, Japan, Russia, the United Kingdom and the United States.

## 2.3 Key accomplishments

By mid-August 2012 the Global Fund had disbursed a cumulative total of \$17.1 billion, through 1,050 grants in 150 countries and territories.<sup>2</sup> By December 2012, Fund-supported programmes had resulted in an estimated:

- 4.2 million people receiving antiretroviral (ARV) treatment for HIV;
- 9.7 million people receiving effective TB treatment; and
- 310 million insecticide-treated bed nets (ITNs) being distributed to protect families from malaria.

The Global Fund further estimates that by December 2012, as a result of its financing:

- 250 million people had been reached with HIV counselling and testing;
- 4.2 billion condoms had been distributed;
- 1.7 million women had received treatment for prevention of mother-to-child transmission of HIV; and
- 30 million services had been provided to most-at-risk populations.

As indicated above, these accomplishments are attributable to programmes that the Global Fund supported. This does not mean that the Global Fund alone can take credit for this; many of these programmes were also supported by national governments and other donors.

## 2.4 Core principles

The following is a brief description of the core principles that define the underlying philosophy of the Global Fund:

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 applicant, not the Fund, who 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,

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<sup>2</sup> Source: Global Fund Observer [article](#). Other numbers in this section are from a Global Fund [new release](#).

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. **Additionality.** A key principle of the Global Fund is that its funding is additional to existing money being already spent or committed in a country.
5. **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.
6. **Independent reviews.** Proposals are not evaluated by Global Fund staff or Board members, but instead by an independent review panel.
7. **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.
8. **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.
9. **Gender equality.** The Global Fund is committed to the promotion of gender equality, with respect both to the programmes it funds and to the structure and operations of the Fund itself.

## 2.5 What activities will 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. This includes operational research<sup>3</sup> 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.

Examples of programme areas financed by the Global Fund:

- Antiretroviral (ARV) therapy for people living with HIV
- HIV testing and counselling
- Prevention of mother-to-child transmission of HIV

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<sup>3</sup> In this context, operational research refers to the scientific analysis of the efficiency and effectiveness of services and programmes.

- Basic care and support services for orphans and other vulnerable children
- Diagnosis and treatment of people with TB, including multidrug-resistant TB
- Distribution of insecticide-treated nets
- Treatment of people with malaria
- Provision of basic care and support for people affected by the diseases
- Training of health and community workers

The Global Fund also supports activities designed 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.

### ***Want to know more?***

A more detailed **history** of the founding of the Global Fund is available in the six UN languages at [www.theglobalfund.org/en/about/whoweare/history](http://www.theglobalfund.org/en/about/whoweare/history).

A **generic brochure**, “The Global Fund: Who We Are, What We Do,” is available in English, French, Spanish, Russian, Chinese, German and Japanese at [www.theglobalfund.org/en/library/publications](http://www.theglobalfund.org/en/library/publications).

A short, practical introduction to the Global Fund, dated July 2011, can be found in the Manual for Local Fund Agents at [www.theglobalfund.org/en/lfa/documents](http://www.theglobalfund.org/en/lfa/documents).

For the latest Global Fund **progress report** see “Strategic Investments for Impact, Global Fund Results Report 2012,” available in English only, at [www.theglobalfund.org/en/library/publications/progressreports](http://www.theglobalfund.org/en/library/publications/progressreports). Other reports are available on the same page.

The Global Fund also issues an **annual report**, also in English only, available at [www.theglobalfund.org/en/library/publications/annualreports](http://www.theglobalfund.org/en/library/publications/annualreports).

## Chapter 3: 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.*

### 3.1 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); civil society organisations (CSOs); the private sector (including businesses and foundations); and affected communities, i.e. people living with the diseases.

The Board is made up of 20 voting members and eight non-voting members. The 20 voting members represent three “blocs”: donor governments (eight representatives); implementing country governments (seven representatives); and civil society and the private sector (five representatives).

In the implementing country bloc, there is one representative from the countries that make up each of the six regions of the World Health Organization (WHO) – Africa, the Americas, South-East Asia, Europe, Eastern Mediterranean, and Western Pacific – plus one additional representative from Africa.

For the donor country bloc, the Board decides which countries are represented on each of the eight seats. The distribution can therefore vary a little over time according to how much money different donors contribute to the Fund. Customarily, several donor countries share one seat.

The civil society and private sector bloc consists of one representative from each of the following constituencies: (a) CSOs from implementing countries; (b) CSOs from donor countries; (c) the private sector; (d) private foundations; and (e) communities living with HIV, tuberculosis or malaria.

The eight non-voting members include the Board Chair and Vice-Chair; one representative from each of the following organisations: World Health Organisation, UNAIDS and the World Bank (which serves as the Fund’s trustee); one representative from the main partner organisations: Stop TB Partnership, Roll Back Malaria and UNITAID (an international facility for the purchase of medicines to treat the three priority diseases); the Executive Director of the Global Fund; and one Swiss citizen who is resident in Switzerland and is authorised to act on behalf of the Global Fund.

The Board tries to make decisions by consensus. When this 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 group comprising the eight donor seats and the two private sector seats; and (b) the group comprising the seven developing country seats, the two CSO seats, and the representative of communities living with the disease.

Board members are appointed for a two-year term. Except for the Chair and Vice-Chair, Board members serve as representatives of their constituencies<sup>4</sup> 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 ensure that the positions alternate, such that if the current Chair was nominated by the donor/private sector group, then the current Vice-Chair will have been nominated by the group of implementing countries/CSOs/communities. For their replacements, the reverse applies: The next Chair will be nominated by the group of implementing countries/CSOs/communities, and the next Vice-Chair will be nominated by donor/private sector group. Despite the way the nomination process works, the Chair and Vice-Chair serve in their personal capacities 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.

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<sup>4</sup> 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 donor country CSOs consists of NGOs and FBOs working on AIDS, tuberculosis and malaria in developed countries.

## Board Committees

The Global Fund Board has established three standing committees:

- Audit and Ethics Committee,
- Finance and Operational Performance Committee,
- Strategy, Investment and Impact Committee

The Audit and Ethics Committee provides oversight of the internal and external audit and investigation functions of the Global Fund; and the adherence by the Global Fund and its grant programmes to appropriate standards of ethical behaviour.

The Finance and Operational Performance Committee oversees the financial management of Global Fund resources; and ensures optimal performance in the operations and corporate management of the Secretariat.

The Strategy, Investment and Impact Committee provides oversight of the strategic direction of the Global Fund and 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.

## Strategic Planning

The Global Fund's strategic plan 2012–2016 was approved by the Board in 2011.

### ***Want to know more?***

More information on the **functioning** of the Board can be found at [www.theglobalfund.org/en/board](http://www.theglobalfund.org/en/board). The Global Fund has produced a Governance Handbook for Board members, available at [www.theglobalfund.org/en/library/documents](http://www.theglobalfund.org/en/library/documents).

The Global Fund's **strategic plan** is contained in a document entitled "Investing for Impact – the Global Fund Strategy 2012–2016." It is available in English only at [www.theglobalfund.org/en/library/documents](http://www.theglobalfund.org/en/library/documents).

## 3.2 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 proposal applications process; managing grants; raising money from the public and private sectors; providing financial, legal and administrative support; and informing the Board and the public on the Global Fund's activities.

The Secretariat is composed of three divisions:

- External Relations and Resource Mobilisation
- Strategy, Investment and Impact
- Grant Management

These divisions are supported by several “corporate” departments, including Communications, Human Resources, Risk Management and Financial Services.

In the Grant Management Division, the task of managing grants is split among six departments, three of which are responsible for grants from 20 so-called high-impact countries that are characterised by large volumes of funding, a multiplicity of grants, complex operations or other challenges.

For each country managed by the high-impact departments, there is a country team consisting of a fund portfolio manager (FPM) and one or two programme officers, supported by technical and functional teams from procurement, monitoring, finance and legal departments. The FPMs are empowered to make final decisions on behalf of the country teams.

### ***Want to know more?***

More information on the Secretariat, in the six UN languages, can be found at [www.theglobalfund.org/en/about/secretariat](http://www.theglobalfund.org/en/about/secretariat).

## 3.3 Technical Review Panel

The Technical Review Panel (TRP) reviews eligible grant proposals for technical merit. Based on this review, it recommends to the Board which proposals should be funded. To date, the Board has always accepted the recommendations of the TRP.

The TRP is an independent group of international experts on HIV, TB and malaria, and on health and development. It consists of a maximum of 40 experts, none of whom is a member of the Global Fund Board or an employee of the Fund.

### ***Want to know more?***

You can find more information on the TRP in various languages at [www.theglobalfund.org/en/trp](http://www.theglobalfund.org/en/trp). The information includes (a) the **terms of reference** of the TRP (in English, French, Spanish and Russian); (b) a list of the **members** of the TRP as of the latest round of funding, with biographies for some of them, in English only; and (c) **reports** of the TRP (and the Secretariat) on each round of funding, in various languages.

Background on the principles the TRP bases its decisions on can be found in an “Information Note on Value for Money,” available at [www.theglobalfund.org/en/application/infonotes](http://www.theglobalfund.org/en/application/infonotes).

## **3.4 Technical Evaluation Reference Group**

The Technical Evaluation Reference Group (TERG) is an advisory body which provides independent assessment and advice to the Global Fund Board on issues related to monitoring and evaluation. For example, the TERG coordinated the Five-Year Evaluation of the Global Fund that concluded in mid-2009.

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 Board.

The Board sometimes directs the TERG to examine specific aspects of the programmes financed by the Fund. In addition, the TERG advises the Global Fund Secretariat on evaluation approaches and practices, reporting procedures and other technical and managerial aspects of monitoring and evaluation.

### ***Want to know more?***

You can find more information on the TERG (in English only) at [www.theglobalfund.org/en/terg](http://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.

### 3.5 Office of the Inspector General

The Office of the Inspector General (OIG) operates independently of the Global Fund Secretariat, reporting directly to the Board. Its role is to provide the Global Fund with independent and objective oversight to ensure that the Secretariat and grant recipients comply with Global Fund policies and procedures. More specifically, the OIG seeks to prevent and detect fraud, waste, abuse, malfeasance and mismanagement. As of the end of 2012, the OIG had undertaken audits or investigations in more than 40 of the 145 countries where the Global Fund has grants. Its budget and number of staff were both increased in early 2011, partly in response to high-profile press accounts of corruption in a handful of countries.

The OIG has the authority to carry out and report on any action it considers necessary to fulfil its responsibilities with regard to oversight functions.

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](mailto: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). They 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](http://www.integrity-helpline.com/theglobalfund.jsp). The instructions and the form are in multiple languages. Instructions on how to contact the OIG by telephone (at no charge from many countries) are available at [www.theglobalfund.org/en/oig/contact](http://www.theglobalfund.org/en/oig/contact).

The OIG says that all communications will be 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.

#### ***Want to know more?***

You can find more information on the OIG at [www.theglobalfund.org/en/oig](http://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.

### 3.6 Partnership Forum

The Partnership Forum is a formal part of the structure of the Global Fund. The Forum meets every two to three years, bringing together a broad range of global stakeholders to discuss Global Fund performance and to make recommendations on the Fund's strategy and effectiveness. Participants represent grant recipients, civil society, donor and recipient governments, Board members, development agencies, technical and research agencies, foundations and private businesses.

The Global Fund's first Partnership Forum was held in Bangkok, Thailand, in 2004; the second in Durban, South Africa, in July 2006; the third in Dakar, Senegal, in December 2008, and the fourth in Sao Paulo, Brazil, in June 2011.

#### ***Want to know more?***

Additional information on the Partnership Forum in various languages can be found at [www.theglobalfund.org/en/partnershipforum](http://www.theglobalfund.org/en/partnershipforum).

## Chapter 4: 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, there are certain structures that operate at country level and that form part of what is known as “the Global Fund in-country architecture.”

### 4.1 Country coordinating mechanisms

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 proposals to the Global Fund. They are also responsible for nominating one or more organisations to serve as principal recipients (PRs) for each grant (see more on PRs in the next section). Finally, once a grant agreement is signed, the CCM is responsible for overseeing the PR’s progress in implementing the grant.

CCMs consist of representatives from both the public and private sectors, including governments, multilateral or bilateral development agencies, CSOs, academic institutions, private businesses and people living with the diseases.

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

Although the vast majority of proposals submitted to the Global Fund come from CCMs and sub-CCMs, other entities may also apply. See *Chapter 8: The Global Fund’s Applications Process* for more information on these other entities.

#### ***Want to know more?***

CCMs are discussed in more detail in this guide in *Chapter 9: Country Coordinating Mechanisms*.

### 4.2 Principal recipients and sub-recipients

Principal recipients (PRs) are responsible for implementing programmes contained in proposals that have been approved by the Global Fund Board. PRs can be governmental, non-governmental or private sector entities. PRs are usually national entities, often ministries of finance or health. However, there are instances where international entities, such as UN

agencies and international NGOs, serve as PRs – particularly in countries that have experienced severe internal conflict.

Once a proposal is approved, the Global Fund signs grant agreements with each PR nominated in the proposal (there can be more than one). The Fund first arranges for an evaluation of the nominated PRs by a local fund agent (LFA) to ensure that they have the necessary skills and capacity (see more on LFAs in the next section).

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.

***Want to know more?***

Grant implementation is discussed in more detail in this guide in *Chapter 10: Grant Implementation Process*.

### **4.3 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. Up to now, LFAs have usually been 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.

***Want to know more?***

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](http://www.theglobalfund.org/en/lfa).

## Chapter 5: Partnerships

*Partnerships with other organisations are essential to the way the Global Fund operates. This chapter explains the kinds of partnerships the Fund nourishes. 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 4: Structure of the Global Fund – In-Country*).

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.

### 5.1 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, the World Bank and the United Nations Development Programme (UNDP). 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 agencies<sup>5</sup> to avoid duplication and overlap in funding, and to ensure coherence in approaches among the various funders.

With respect to commodity purchases, the Global Fund works with global supply mechanisms such as UNITAID, the Global TB Drug Facility, the United Nations Children’s Fund (UNICEF) and private sector companies.

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<sup>5</sup> 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.

## 5.2 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 governments from wealthier countries to provide increased funding to the Fund. Civil society has also been an effective voice on the Global Fund Board, where each of its representatives (there are usually three of a total of 20 voting Board members) holds equal voting rights to those from donor and implementing governments. In addition, government delegations occasionally include civil society representatives.

Civil society also sits on CCMs, representing NGOs, faith-based organisations (FBOs) and vulnerable and marginalised 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.<sup>6</sup>

The restructuring that took place at the Global Fund in 2012 somewhat strained the relationship between the Fund and its civil society supporters. These changes included the abolishment of the civil society team in the Secretariat, the cancellation of Round 11, and the adoption of new eligibility criteria that disadvantaged middle income countries. In September 2012, the Secretariat published an information note on this topic that can be accessed from the civil society section on the Global Fund website at [www.theglobalfund.org/en/about/partnership/civilsociety](http://www.theglobalfund.org/en/about/partnership/civilsociety).

## 5.3 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 Program.** Through the Global Fund's Corporate Champions Program, companies can make significant financial commitments.
- **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, to communications, to strategy and policy development.

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<sup>6</sup> Aidspan is a prime example of a civil society organisation playing a watchdog role.

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

## 5.4 Friends of the Global Fund

So far, eight NGOs dedicated to raising awareness of the Global Fund and advocating for increased support have been launched:

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

### ***Want to know more?***

More information (mostly in English) on the Global Fund's many partnerships is available at [www.theglobalfund.org/en/about/partnership](http://www.theglobalfund.org/en/about/partnership). There are separate pages for "Friends of the Fund," "Civil Society," "Private Sector" and "Development Partners."

Copies of a Global Fund publication entitled "An Evolving Partnership: The Global Fund and Civil Society in the Fight Against AIDS, Tuberculosis and Malaria," are available in English, French, Spanish, Russian and Chinese at [www.theglobalfund.org/en/partnershipforum/2008/backgrounddocuments](http://www.theglobalfund.org/en/partnershipforum/2008/backgrounddocuments).

## Chapter 6: Money Raised by the Global Fund

*This chapter shows 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 been steadily increasing since it was created. It has been a challenge for its fundraising efforts to keep up with the demand, especially since the global economic downturn that began in late 2008.

### 6.1 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 corporate sector and public and private foundations (see separate section below).

Table 6.1 shows how much money had been contributed to the Global Fund as of December 2012. “Contributed” means that the money has been sent to the Fund.

**Table 6.1: Amounts Contributed to Date (rounded)**

Source	Amount (\$ billion)
Donor countries	23.9
Other	1.3
TOTAL	25.2

Table 6.2 shows how much money had been pledged to the Global Fund as of December 2012. Pledges include not only those amounts already paid, but also money for future years promised in writing. Many of the pledges extend to the year 2013; a handful extend even further to 2016 and beyond.

**Table 6.2: Amounts Pledged to Date**

Source	Amount (\$ billion)
Donor countries	28.9
Other	1.7
TOTAL	30.6

The amounts in Table 6.2 include the amounts in Table 6.1.

### ***Want to know more?***

More information on the amounts of money raised by the Global Fund is available at [www.theglobalfund.org/en/about/donors](http://www.theglobalfund.org/en/about/donors). On the right-hand side, there is a link to an Excel file, which provides the latest information on amounts paid and amounts pledged, by donor and by year.

## **6.2 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 organises 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.

The first replenishment period covered the years 2006 and 2007; since then replenishment periods have been for three years, with the second replenishment covering 2008–2010 and the third 2011–2013. The fourth replenishment period will cover 2014–2016.

In addition, the Global Fund organises a “mid-term review” session 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.

Due to the set-up of the Global Fund, which operates based on demand from developing countries, it faces a persistent funding gap between the amount of money it says it needs to meet demand and the amount donors have provided and pledged. Several times in recent rounds of funding, the Fund has had to delay formal approval of some proposals until sufficient new money came in. In Round 9, the Fund took the unprecedented step of approving only 90% of the total budgets of all approved proposals, thus requiring each successful applicant to reduce their proposed budgets.

For the period 2011–2013, the Global Fund presented donors with three different scenarios ranging from \$13 billion to \$20 billion for the three years combined. The amount ultimately pledged was \$11.7 billion, which was below the minimum amount that the Fund was asking for.

### ***Want to know more?***

More information on the replenishment process and meetings can be found at [www.theglobalfund.org/en/donors/replenishments](http://www.theglobalfund.org/en/donors/replenishments).

### 6.3 Other sources of funding

As shown in Table 6.1 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 public and private foundations;
- special corporate product promotions;
- donations from corporations;
- the Debt2Health initiative and other innovative financing mechanisms such as UNITAID; and
- donations from individuals.

Of the \$1.7 billion pledged through December 2012 from other sources, the biggest single contributor by far was the Bill & Melinda Gates Foundation with \$1.4 billion. UNITAID, a notable example of an innovative financing initiative that is supported primarily by taxes on airline ticket sales in several countries, has provided \$39 million.

The corporate (PRODUCT) RED campaign had raised more than \$200 million for the Global Fund by the end of 2011. Many of the world's best known companies are participating in RED (e.g. American Express, Apple, GAP and Motorola). A portion of the profits from each RED product sold goes directly to the Global Fund.

In terms of direct corporate support, the most generous private-sector company to date has been Chevron, which contributed \$38 million through 2012; an additional \$17 million has been pledged.

As of December 2011, the Debt2Health initiative had generated contributions of \$117 million. Debt2Health is designed to use debt swaps to free up domestic resources. Under this initiative, wealthy countries that have lent money to developing countries forgo repayment of a portion of their loans on the condition that the borrowing country invests an agreed-upon "counterpart amount" in health through Global Fund-approved programmes. The counterpart amount generally equals the payments the country was making to service the debt.

#### ***Want to know more?***

More information on contributions from different sources is available (in English only) at [www.theglobalfund.org/en/about/donors](http://www.theglobalfund.org/en/about/donors). On that page there also is a link to the latest Excel file of all pledges and contributions in a box called "Related Documents" on the right-hand side.

Information specifically on the Debt2Health initiative (in English only) is available at [www.theglobalfund.org/en/innovativefinancing](http://www.theglobalfund.org/en/innovativefinancing).

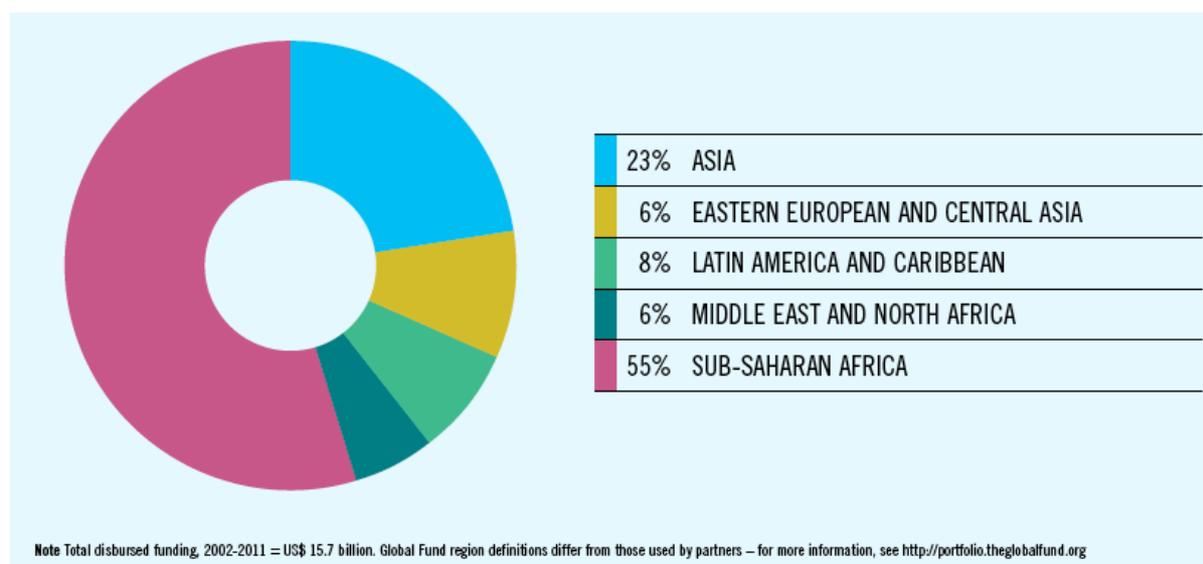
## Chapter 7: Funds Committed and Spent by the Global Fund

*This chapter provides information on funds committed and spent to date by the Global Fund. All amounts in this chapter are in US dollars.*

The Global Fund awards grants on the basis of proposals submitted to the Secretariat that are approved for funding. When the Fund approves a proposal, it commits to spend a certain amount of money for the first two or three years of the programme. The Global Fund and its country level partner (the principal recipient) then sign a grant agreement formalising this commitment. Once the Fund makes a disbursement to the PR, the latter can start spending the money on the programmes approved for implementation.

As of December 2012, the Global Fund had committed to spend \$25.7 billion. By mid-August 2012, it had spent \$17.1 billion. The following pie chart, provided by the Global Fund, shows the regional breakdown of all funds disbursed during the period 2002–2011.

**Funds disbursed 2002–2011, by region**



### ***Want to know more?***

Financial data on the Global Fund's grant portfolio is available at <http://portfolio.theglobalfund.org/en/DataDownloads/Index>. Information on Global Fund grants by region and country, including funding commitments to date, may also be found under the "Grant Portfolio" tab from the Fund's homepage at [www.theglobalfund.org](http://www.theglobalfund.org).

## Chapter 8: The Global Fund's Application Process

*This chapter describes the process for applying for grants from the Global Fund. It includes sections on which countries are eligible, and what types of entities can apply. It also provides a brief description of the new funding model being introduced by the Global Fund. The chapter concludes with brief notes concerning (a) applications targeting most-at-risk populations and (b) the Affordable Medicines Facility for malaria, a separate funding mechanism.*

### 8.1 Which countries are eligible for Global Fund grants?

The Global Fund uses the World Bank income classification as a first step for determining whether and to what extent a country is eligible to apply for Global Fund assistance. High-income countries such as the US and Western European nations are not eligible. At the other end of the scale, low-income countries, such as most countries in sub-Saharan Africa, are eligible to apply with no or few restrictions. Countries classified in the middle two groupings – upper-middle income countries such as Mexico and Russia and lower-middle income countries such as Nigeria and Thailand – are eligible to apply but face certain restrictions.

For upper-middle-income countries, recent policy changes have resulted in even more restrictions than had previously existed. The Global Fund adopted these additional restrictions in an attempt to reverse a trend that saw more and more funding going to middle-income countries compared to low-income countries. One of the reasons for the trend was that several countries, including some countries with very large populations, have “graduated” from low-income status to middle-income status.

The Global Fund requires that governments of applicant countries contribute a certain proportion of their national disease programme budget to be eligible for Global Fund money. The higher the applicant's income category, the greater the proportion that must come from government.

### 8.2 What types of entities can apply?

The following entities can submit applications to the Global Fund:

#### Within individual countries

- Country coordinating mechanisms (CCMs)
- Sub-national country coordinating mechanisms (sub-CCMs)
- Non-country coordinating mechanisms (non-CCMs)

### Across multiple countries (regional)

- Regional coordinating mechanisms (RCMs)
- Regional organisations (ROs)

### **CCMs**

The vast majority of proposals to the Global Fund emanate from CCMs. CCMs are described in *Chapter 9: Country Coordinating Mechanisms*.

### **Sub-CCMs**

Countries can choose to establish sub-CCMs when it is difficult or impossible for the CCM to adequately cover the entire country. This can happen under two scenarios: (1) a large, federated state; and (2) a country in conflict. Examples of the former include Russia and South Africa; applications have been submitted by sub-CCMs in both countries. An example of the latter was Sudan before the south of the country became independent; back then, applications were accepted from both Sudan (the CCM) and South Sudan (a sub-CCM). Now, each country has its own CCM.

Generally speaking, under this scenario sub-CCMs must have the blessing of the CCM, and their proposals must be endorsed by the CCM. Sub-CCMs have to meet the same basic requirements as CCMs; see *Chapter 9: Country Coordinating Mechanisms*.

### **Non-CCMs**

The Global Fund accepts applications from other organisations, which it classifies as “non-CCMs.” However, the Fund discourages such applications. It prefers to see applications from CCMs and, in limited circumstances, from sub-CCMs, RCMs and ROs.

One reason the Global Fund discourages proposals from non-CCMs is that it wants them to be developed through multi-sectoral partnerships. Another reason is that the Fund does not want to be swamped with multiple applications from one country, each with objectives pointing in different directions.

Non-CCM proposals can be submitted by organisations from any sector; in practice, most such proposals have emanated from NGOs and FBOs.

One instance where the Global Fund will accept a proposal from a non-CCM is if there is no CCM in the country. In the early rounds of funding, there were some countries without CCMs; today, however, nearly every country that is eligible for (and interested in) Global Fund support has a CCM.

For countries where there is a CCM, the Global Fund says that proposals from non-CCMs are eligible only if they originate from one of the following:

- countries or areas without legitimate governments (such as governments not recognised by the UN);
- countries or areas in conflict, facing natural disasters, or in complex emergency situations; or
- countries that suppress civil society and CSOs – or have not established partnerships with them. This could include a country in which the CCM has failed or refused to include a submission from a civil society organisation in the CCM’s consolidated country proposal; or a country whose CCM has failed or refused to address the needs of a specific population group).

The following are examples of non-CCM proposals that have been accepted:

- in Round 10, two non-CCM proposals from Somalia (country in conflict);
- in Round 7, a non-CCM proposal covering the West Bank and Gaza (area without a government recognised by the UN);
- in Round 5, a proposal from a group of NGOs in Russia which targeted injecting drug users (CCM refused to address the needs of this group).

## **RCMs**

A group of countries with existing functional CCMs may form a regional coordinating mechanism to submit a coordinated regional proposal to address common problems, including cross-border issues.

Proposals from RCMs are required to demonstrate they will be able to achieve outcomes that would not be possible with only national approaches. The proposals must also show how the planned activities complement the national plans of each country involved; and how the activities will be coordinated with the activities of the respective CCMs. Finally, proposals from RCMs must be endorsed by the CCM in each country included in the proposal.

Examples of applications from RCMs include:

- a proposal dealing with malaria control in the cross-border regions of the Andes (submitted by an RCM representing Colombia, Ecuador, Peru and Venezuela); and
- a proposal addressing HIV along the Abidjan-Lagos corridor of migration (submitted by an RCM representing Côte d’Ivoire, Ghana, Togo, Benin and Nigeria).

RCMs may also be established by countries classified by the UN as “small island development states.” Under this scenario, the countries are not required to form their own CCMs before they form an RCM. Applications to the Global Fund have been submitted by an RCM representing island states of the Western Pacific, and an RCM representing nine Eastern Caribbean nations.

RCMs have to meet the same basic requirements as CCMs; see *Chapter 9: Country Coordinating Mechanisms*.

## ROs

Regional Organisations – including intergovernmental organisations, international NGOs and international FBOs that work across countries on a regional basis – may submit a proposal to address cross-border or regional issues. ROs have to be able to demonstrate that in their existing operations, they embody the principles of multi-sectoralism and partnership – both core values of the Global Fund.

As is the case with RCMs, proposals from ROs:

- must demonstrate added value beyond what could be achieved through applications submitted by individual countries;
- must demonstrate involvement of authorities in each of the countries involved; and
- must be endorsed by the CCMs in each of the countries involved.

Because such criteria are relatively difficult to meet, only a minority of RCM and RO proposals have been approved for funding. In the latest full round for which funding decisions have been made (Round 10), only five of 14 submitted RO proposals were approved. None of the three submitted RCM proposals were approved.

### ***Want to know more?***

At the end of 2012, a document describing the new eligibility policy was located on the Transitional Funding Mechanism (TFM) pages which can be found by going to the Fund's website at [www.theglobalfund.org](http://www.theglobalfund.org), selecting the "Navigate to" button in the top left corner, "Transitional Funding Mechanism", and then "Country Eligibility Criteria" in the left-hand menu. As the TFM was closed in March 2012, it is likely that this document will be relocated in 2013. The document may also be available at [www.theglobalfund.org/en/application/applying/ecfp](http://www.theglobalfund.org/en/application/applying/ecfp).

The Global Fund's guidance concerning the requirements that all coordinating mechanisms have to meet is contained in two documents: (1) "Guidelines and Requirements for Country Coordinating Mechanisms"; and (2) "Guidance Note: CCM Requirements." Both documents are available in all six UN languages at [www.theglobalfund.org/en/ccm/guidelines](http://www.theglobalfund.org/en/ccm/guidelines).

## **8.3 New funding model**

*Editor's Note: The new funding model is not yet fully designed. The information in this section was current as of the date this guide was written (15 January 2013).*

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 had to cancel the call because it realised it would not have enough 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 2012, the Fund decided to introduce a new funding model to replace the rounds-based system. Many elements of the new model have already been designed; however, some elements are still under discussion. The new model is being implemented gradually during 2013, and is expected to be fully implemented by the beginning of 2014.

Because the design of the new funding model is not yet complete, we provide only a general overview in this section.

Essentially, there are two parts to the new model: (1) the funding allocation system and (2) the applications process.

### **Funding allocation system**

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

Available funding will first be allocated by disease and then to “country bands.” The Global Fund has decided that all eligible countries will be grouped into four bands based on income level and disease burden, as depicted in Table 8.1.

Within each band, the allocated resources will be split into two streams of funding: (1) an indicative stream and (2) an incentive stream. It is not clear yet precisely which activities and programmes will be covered by each stream, nor how the split will be made. However, the Global Fund has said that the incentive stream is designed “to reward ambitious, high-quality expressions of full demand ... and to invest in well-performing programs with a potential for increased, quantifiable impact.”<sup>7</sup>

**Table 8.1: The four country bands**

		Measured by composite disease burden	
		Higher burden	Lower burden
Measured by	Lower	<b>BAND 1</b>	<b>BAND 2</b>

<sup>7</sup> Global Fund Board Document GF/BM28/02, available at [www.theglobalfund.org/en/board/meetings/twentyeighth](http://www.theglobalfund.org/en/board/meetings/twentyeighth).

<b>GNI per capita</b>	income	Lower income High burden	Lower income Low burden
	Higher income	<b>BAND 3</b> Higher income High burden	<b>BAND 4</b> Higher income Low burden

The last step in the allocations process is to tell each country approximately how much money it can apply for. Precisely how this will work is not known yet.

### Applications process

Under the rounds-based system, the applications process was pretty simple. A call for proposals was issued; proposals were submitted; they were reviewed by a panel of experts (Technical Review Panel, or TRP), which recommended which proposals should be funded; and the Board made final decisions on funding. Proposals either succeeded or they failed. Countries whose proposals didn't make it had to wait until the next round of funding to re-apply.

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

- Proposals can be submitted at any time.
- The Global Fund will provide guidance to applicants before proposals are developed.
- Rather than submit finished proposals, applicants will submit concept notes.
- The Global Fund will work with applicants to refine the concept notes.
- As before, the TRP will review each concept note, though it may be involved more than once during the applications process.
- As before, the Global Fund Board will make final decisions on funding.

The Global Fund anticipates that this system will produce better quality proposals than under the rounds-based system, and that much of the work involved in negotiating a grant agreement will actually be done during the applications process itself.

Table 8.2 shows, for each of the 10 rounds of funding and the TFM, the number of proposals submitted and the number recommended for funding by the TRP. Because the Global Fund Board has always gone along with the TRP's recommendations, in this table "recommended for funding" is equivalent to "approved."

**Table 8.2 – Recommendation Rates for Rounds 1–10 and the TFM**

Round	Eligible proposals	
	Number submitted	Number (and %) recommended for funding by TRP
1	204	58 (28%)
2	229	98 (43%)
3	180	71 (39%)
4	173	69 (40%)
5	202	63 (31%)
6	196	85 (43%)
7	150	73 (49%)
8	174	94 (54%)
9	159	85 (53%)
10	150	79 (53%)
<b>Sub-Total</b>	<b>1,817</b>	<b>775 (43%)</b>
<b>TFM</b>	<b>61</b>	<b>56 (92%)</b>

In the table, the TFM is show separately, below the sub-total, because the TFM was not really comparable to the other rounds of funding with respect to the success rates of proposals. As explained above, under the TFM, proposals were limited to the continuation of certain existing services. Note, also, that 11 of the 56 TFM proposals showing as being recommended for funding were recommended conditional on certain changes being made to the proposals.

***Want to know more?***

A section of the Global Fund website is devoted to the new funding model. It can be found at [www.theglobalfund.org/en/activities/fundingmodel](http://www.theglobalfund.org/en/activities/fundingmodel).

#### **8.4 Most-at-risk populations (MARPs)**

For Round 10, the Global Fund created a small, separate stream of funding for HIV proposals that focus on most-at-risk populations (MARPs). This category included people that not only are at high risk of HIV infection, but also have higher HIV prevalence than the general population – e.g. men who have sex with men, transgender people, sex workers, and people who inject drugs.

The Global Fund says that MARPS-based proposals will continue to be accepted under the new funding model.

## 8.5 Affordable Medicines Facility for Malaria

In 2009, the Global Fund agreed to host the Affordable Medicines Facility for malaria (AMFm), a separate financing mechanism created to improve access to effective artemisinin-based combination therapies (ACTs) through subsidies and price negotiations with drug manufacturers. A two-year pilot was launched in eight countries. Funds to pay for the subsidies did not come from the Global Fund's general revenues; rather, they came from donations from certain donors specifically for the AMFm.

Although an external evaluation showed that the AMFm had achieved considerable success, a number of factors led the Global Fund Board to decide not to continue the AMFm as a separate mechanism, but rather to integrate the facility into its core business, following a transition period in 2013.

### ***Want to know more?***

Detailed information about the AMFm may be found at [www.theglobalfund.org/en/amfm](http://www.theglobalfund.org/en/amfm).

## Chapter 9: Country Coordinating Mechanisms

*This chapter describes country coordinating mechanisms (CCMs), the centrepiece 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 4: Structure of the Global Fund In-Country*, most proposals 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 both the public and private sectors – including governments, multilateral or bilateral development agencies, NGOs, FBOs, academic institutions, private businesses and people living with the diseases. If the CCM is operating as it should, these sectors collaborate closely to develop proposals and to carry out the other responsibilities of the CCM.

CCMs are independent entities; they are not formally part of the Global Fund. Nevertheless, the Global Fund has developed guidance 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 will accept to review its proposals. Other guidance is in the form of recommendations.

Notes:

- The Global Fund guidance on CCMs applies equally to sub-CCMs and RCMs. (Sub-CCMs and RCMs are described in *Chapter 8: The Global Fund's Application Processes*.)
- In 2011, the Global Fund issued new guidance (*Guidance Note: CCM Requirements*), in which it sets certain standards for aspects such as transparency, inclusion of most-at-risk populations and management of conflicts of interest.

### 9.1 Responsibilities of CCMs

The CCM is responsible for:

- preparing and submitting proposals to the Global Fund;
- nominating the PRs that will be responsible for implementing the programme(s) for which the CCM is seeking funding; and

- overseeing the implementation of programmes financed by Global Fund grants, a responsibility that includes monitoring the performance of the PR(s).

Often, the CCM is also involved in selecting the SRs that will participate in the implementation of the programme for which the CCM is seeking funding. However, this responsibility is sometimes shared with, or assigned to, PRs.

The roles of the PRs and SRs are discussed further in *Chapter 10: Grant Implementation Process*.

## 9.2 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). However, this is not always the case in practice: On many CCMs, governments (and sometimes development partners) dominate the CCM.

Most CCMs have a secretariat – sometimes just one person, but usually more – to handle administrative functions such as organising 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.

## 9.3 Global Fund guidance on CCMs

### Requirements

As mentioned above, the Global Fund has established certain requirements for CCMs. The following requirements concern the structure and operations of the CCM:

- There must be representation on the CCM from organisations representing “people living with and/or affected by the [three] diseases.”<sup>8</sup>

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<sup>8</sup> In practice, this has usually been interpreted to mean people living with HIV and/or those who have had active tuberculosis or are currently living with latent (“inactive”) TB. Given the highly infectious nature of TB, it is not advisable for someone living with active TB to be on a CCM. Nor is it practical to have a person living with malaria sitting on the CCM, since malaria is not a chronic disease.

- CCM members representing the non-government sectors must be selected or elected by their own sectors based on a documented, transparent process developed within each sector.
- When the Chair or Vice-Chairs of the CCM are from the same entity as a PR, the CCM must have a written plan in place to manage this inherent conflict of interest.

With respect to proposal development, CCMs are required to maintain a transparent, documented process:

- to solicit submissions from organisations in the country that could be integrated into the CCM's proposal;
- to review the submissions they receive;
- to nominate the PRs for each proposal the CCM submits to the Global Fund; and
- to ensure the input of a broad range of stakeholders from within and outside of the CCM in the proposal development process.

Finally, with respect to oversight, CCMs are required to maintain a transparent, documented process:

- to oversee grant implementation; and
- to ensure the input of a broad range of stakeholders from within and outside of the CCM in the grant oversight process.

## **Recommendations**

The Global Fund recommends that certain sectors be represented on CCMs. The sectors are listed in Table 9.1. The Global Fund further recommends that at least 40% of the CCM membership come from the non-government sectors.

In addition, the Global Fund recommends:

- that CCMs elect a Chair and Vice-Chair from different sectors;
- that the CCM Chair and Vice-Chair be from domestic entities (i.e. not a UN or donor agency or international NGO);
- that CCMs have a gender balance and gender expertise among its membership; and
- that information related to the Global Fund – such as calls for proposals, decisions taken by the CCM, which proposals have been approved for funding – be disseminated widely to all interested parties in the country.

**Table 9.1: Sectors that the Global Fund Recommends Be Represented on CCMs**

<b>Government</b>	National government	
	In-country representatives of multilateral and bilateral development organisations	
<b>Non-Government</b>	Civil society	Academic and educational institutions
		NGOs and community-based organisations
		People living with the diseases
		Faith-based organisations (FBOs)
		Key affected populations <sup>9</sup>
Private sector		

### Dual-track financing

Since Round 8, the Global Fund recommends that for each proposal, the CCM nominate both a PR from the government sector and a PR from a non-government sector (or more than one from each sector). This is known in Global Fund parlance as “dual-track financing.” When a CCM does not nominate PRs from both sectors in its proposal, the Fund requires an explanation.

Dual-track financing is an approach that the Global Fund favours because (a) it is consistent with the Fund’s principles of partnership and multi-sector involvement; (b) it can increase a country’s absorption capacity; (c) it can accelerate the implementation of programmes; and (d) it can improve the performance of grants.

## 9.4 Funding support for CCMs

The Global Fund provides some funding for CCMs to cover their operating and administrative costs. There are two types of funding available, “basic” and “expanded.” Basic funding provides CCMs with up to \$50,000 per year. Expanded funding can be awarded for a two-year period and may exceed the \$50,000 a year ceiling.

Both basic and expanded funding require the submission of a budget and some expenditure reporting. The requirements for expanded funding are stricter; they include the submission of a workplan that contains performance targets.

<sup>9</sup> The Global Fund uses the UNAIDS definition of “key affected populations,” as follows: women and girls, youth, men who have sex with men, injecting and other drug users, sex workers, people living in poverty, prisoners, migrants and migrant labourers, people in conflict and post-conflict situations, refugees and displaced persons.

**Want to know more?**

The Global Fund's guidance concerning the requirements that all coordinating mechanisms have to meet is contained in two documents: (1) Guidelines and Requirements for Country Coordinating Mechanisms; and (2) Guidance Note: CCM Requirements. Both documents are available in all six UN languages at [www.theglobalfund.org/en/ccm/guidelines](http://www.theglobalfund.org/en/ccm/guidelines).

The Global Fund has an information note on dual-track financing, available in four languages at [www.theglobalfund.org/en/application/infonotes](http://www.theglobalfund.org/en/application/infonotes).

Detailed information about the funding available for CCMs can be found at [www.theglobalfund.org/en/ccm/support/funding](http://www.theglobalfund.org/en/ccm/support/funding).

## Chapter 10: The Grant Implementation Process

*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; signing of the grant agreement; ongoing reporting, reviews and disbursements; preparation of the grant performance report; and performance reviews and grant renewals.*

This chapter has been kept fairly general for three reasons. First, the Global Fund is in the process of transitioning to a single-stream-of-funding (SSF) for all grants. Under the SSF, there will be just one grant agreement with per PR per disease in each country. Previously, a PR could have several grant agreements for a given disease. The policies and procedures for the two systems are not the same. The Global Fund had expected to have pretty well completed the transition by now, but the cancellation of Round 11 and other factors have slowed the process down.

Second, the Global Fund is in the process of introducing a new funding model (NFM). While the NFM affects mostly the front-end (i.e. the applications process), it will also have some impact on grant implementation. Exactly what impact it will have is not clear yet.

*Editor's Note: The new funding model is not yet fully designed. The information in this section is current as of the date this guide was written (15 January 2013).*

Third, in 2013 the Global Fund is planning to introduce some changes to grant implementation as part of its “Better Grants” project. The details are not yet known.

### 10.1 Assignment of a fund portfolio manager

Once a grant agreement is signed, and perhaps even before, the Global Fund Secretariat assigns a fund portfolio manager (FPM) to the file. From this point on, the FPM will be the main contact person for PRs implementing grants emanating from the proposal. With the restructuring of the Global Fund Secretariat in 2012, the number of FPMs was increased significantly in order to lower the ratio of grants per FPM and to allow FPMs to spend more time in the country whose grants they are overseeing.

### 10.2 Assignment of a local fund agent

As explained in *Chapter 4: Structure of the Global Fund In-Country*, the job of the local fund agent (LFA) is to fulfil a verification role within the country on behalf of the Global Fund. This 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, the LFA for that country is assigned to the file.

### **10.3 PR assessment**

The LFA is responsible for conducting an assessment of each PR nominated by the applicant in its proposal and for recommending whether the Global Fund should approve the nomination. The main objective of the PR assessment is to determine if the proposed PR's existing systems and capacities correspond with the Fund's minimum requirements to successfully implement a programme and manage grant funds.

The LFA reviews the PR's draft workplan and budget, and also analyses the five functional areas where the Global Fund has defined minimum capacity requirements: programme management; financial management; sub-recipient management; pharmaceutical and health product management; and monitoring and evaluation (M&E) arrangements.

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 programme implementation.

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 precedent" in the grant agreement (see next section).

If the Secretariat 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 Secretariat 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. (Under the new funding model, these decisions will likely be made during the review of the concept note and the dialogue between the Global Funds Secretariat and the applicant.)

### **10.4 Grant agreement**

Under the new funding model, by the time the proposal is approved for funding, negotiations can begin on the grant agreement (i.e. the legal contract) that the PR will sign with the Global Fund. It is important to understand that although original proposals are submitted by CCMs, grant agreements are signed with PRs, not CCMs.

Among other things, the grant agreement includes the following:

- a description of the programme that will be implemented;
- a summary of the budget;
- a list of the key performance indicators and targets; and
- special terms and conditions.

The special terms and conditions can include special arrangements that have been put in place for the implementation of the grant, or conditions that the PR has to fulfil either before any funding is disbursed to the PR, or during implementation.

In Global Fund parlance, these conditions are called “conditions precedent,” or “CPs.” Typically, these conditions are capacity-building measures that the PR must undertake, e.g. training of staff. In some cases, they may include administrative measures that the PR must implement (such as an IT-based accounting system). They are called “conditions precedent” because the PR must fulfil the conditions in order to receive initial or ongoing disbursements from the Global Fund for the implementation of the grant.

## **10.5 First disbursement**

Once the grant agreement is signed, the Global Fund provides the PR with the first instalment of money. The first disbursement usually consists of enough funding for the first reporting period plus, as a buffer, one additional quarter. The reporting periods are determined during the negotiations for the grant agreement. In the past, reporting periods have usually been every three or six months. The Global Fund is considering allowing reporting periods to be as long as one year.

## **10.6 Ongoing reporting, reviews and disbursements**

Within a set time after the end of each reporting period, the PR is required to provide the FPM 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.

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 FPM 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 Secretariat then decides whether to allow the requested disbursement of funds; a partial disbursement; or deny the request. An outright denial of the disbursement is rare; it would only happen if a grant were in serious trouble.

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.

## 10.7 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 being 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.

## 10.8 Performance reviews and grant renewals

Under the Global Fund's performance-based approach, grants are reviewed periodically to assess progress. Under the old system, where grants were for a five-year duration, a review was conducted at the end of the second year. Under the SSF, reviews are conducted approximately every three years. (Under the SSF, grants do not have a set end date.) Whether funding will be provided for the next implementation period, and just how much funding might be provided, depend on the outcome of the reviews.

The Global Fund's system of performance evaluation is primarily based on an assessment of results against targets for an agreed set of indicators. It also takes into account how well the grant is managed. Typically, the indicators include output indicators (e.g. number of people receiving services), impact indicators (e.g. decreased morbidity and mortality) and outcome

indicators (e.g. changed behaviour). Outcome and impact data are becoming increasingly more important in performance reviews.

Prior to the end of each implementation period, the applicant (the entity that submitted the original proposal) submits a request for continued funding. If the request is approved, the grant is “renewed” for another implementation period.

The process for submitting and reviewing requests for continued funding have changed significantly in the last couple of years, and further changes are expected. Consequently, we have not included a summary of the process here.

After reviewing a request for continued funding, the Global Fund Secretariat can recommend that the request be approved unconditionally, or with some conditions. The Secretariat can also recommend that the request be re-submitted; when this happens, it is usually because the Secretariat believes that the grant is not having enough impact. Finally, the Secretariat can recommend that the request be denied; when this happens, it is usually due to very poor performance of the grant. The Board makes the final decision on all recommendations from the Secretariat.

If the request for continued funding is not approved, the grant will be terminated. However, in situations in which Global Fund resources have been used to start people on lifelong treatment, or other treatment that is designed to extend beyond the termination of the grant, Global Fund resources can be provided to continue treatment for a period of up to two years if the grant recipient has been unable to secure the necessary resources from other sources.

#### ***Want to know more?***

Because there have been a number of changes to grant implementation in the last couple of years, and because more changes are expected, there is no one document that 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](http://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 grants database “Grant Details, Analysis and Evaluation,” available at [www.aidspace.org/grants](http://www.aidspace.org/grants).

## Chapter 11: 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 reports.** These usually include a report on the results achieved during the year; a discussion of future challenges; and financial statements.
- **Global progress reports.** These are often issued in conjunction with a special event, such as a replenishment meeting. .
- **Regional reports.** These reports tend to deal with both achievements and challenges. In 2012, the Global Fund website contained reports on Eastern Europe and Central Asia; Sub-Saharan Africa; Asia; Latin America and the Caribbean; and the Middle-East and Northern Africa.

### ***Want to know more?***

The annual reports are available by going to the Fund's website at [www.theglobalfund.org/en/library/publications/annualreports](http://www.theglobalfund.org/en/library/publications/annualreports).

The global progress reports are available at [www.theglobalfund.org/en/library/publications/progressreports](http://www.theglobalfund.org/en/library/publications/progressreports).

The regional reports are available at [www.theglobalfund.org/en/library/publications/regionaloverviews](http://www.theglobalfund.org/en/library/publications/regionaloverviews).