



PRINCIPAL RECIPIENT INFORMATION SESSION

Updates to the PU/DR Process and Performance Rating

16 February 2022

Note: This session is being recorded.

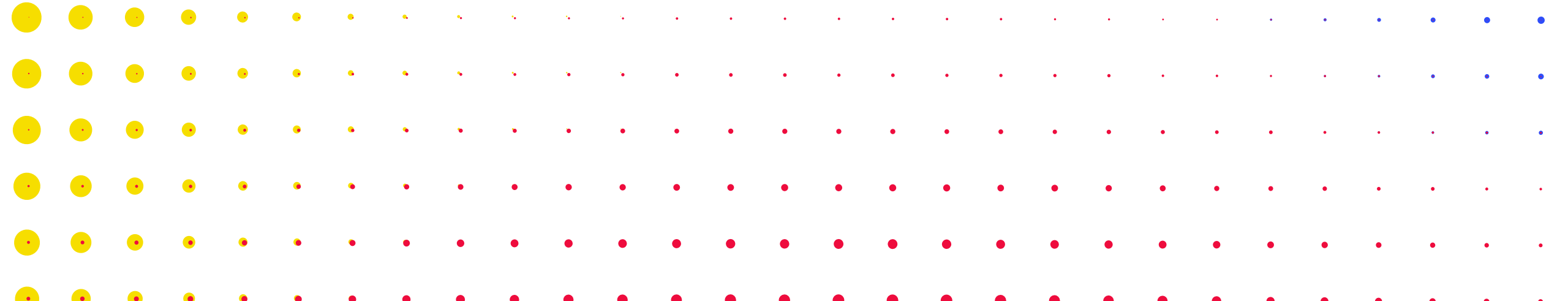
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Introduction



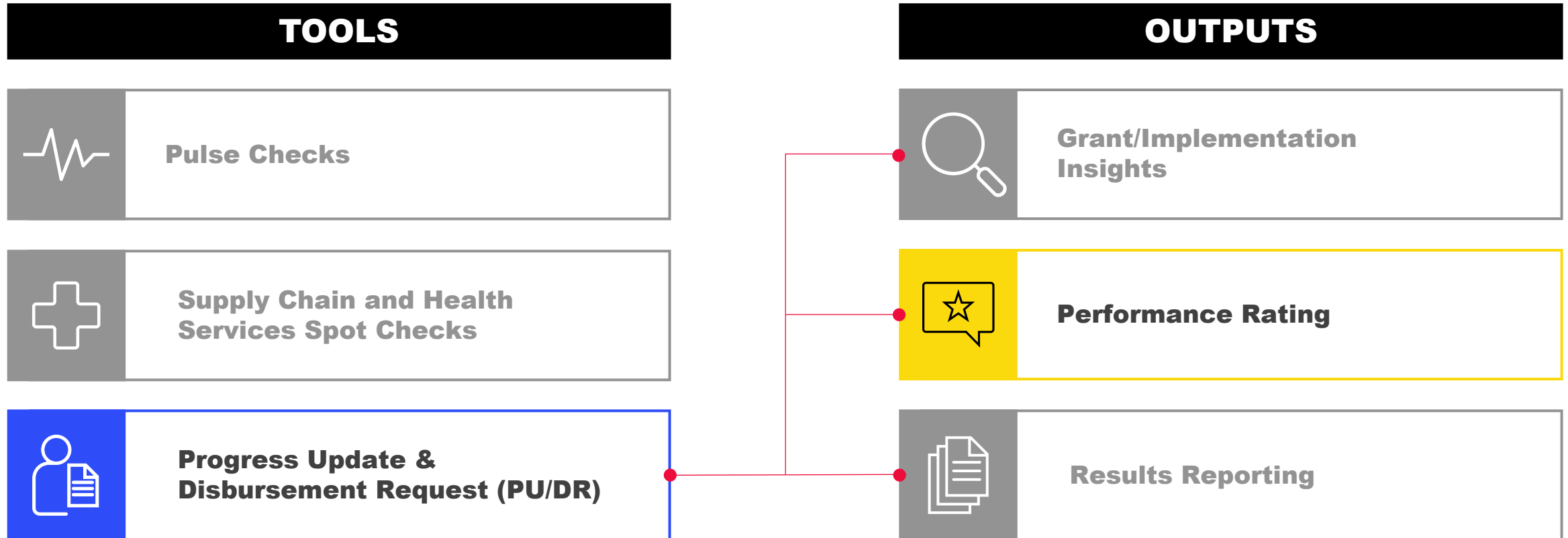
Key Messages

Operational oversight is being strengthened, with a view to improve performance and results for the people we serve.

- Implementation oversight builds on best practices and fills existing gaps to increase impact through strong planning and accountability for all actors (PRs, CCMs, LFAs and CTs).
- As a result, PR reporting processes and tools have been improved to put greater emphasis on data quality, ownership and accountability. This allows for strengthened oversight, drives performance and enables reporting to donors, which is critical to a successful next replenishment.
- PU/DRs are redesigned to be fit-for-purpose, allowing implementers and CTs to anticipate issues, course-correct and make the right decisions. Changes include improvements to the Excel form and making it available in the Partner Portal for better visibility.
- The Performance Rating methodology is revised to rate programmatic and financial grant performance separately, to be followed by the introduction of a PR rating.

Principal Recipient (PR) Reporting

Overview



PR Reporting: PU/DR and Performance Rating

What's New and What's Different?

Redesigned PU/DR Excel Form

- New sections include PR and LFA self-assessment, LFA prioritized recommendations for Global Fund attention, C19RM and tax reporting.
 - The budget variance, cash forecast and LFA verification of the disbursement request and forecast sections have been removed.
 - Commitments and obligations moved to annex.
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Performance Rating

- Performance rating replaces the grant rating.
 - It involves three separate ratings (programmatic, financial and Principal Recipient (*under development*)), which are aggregated into one overall performance rating. Programmatic and financial ratings will be launched with the PU/DR form in early February.
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Global Fund Partner Portal

- PRs and LFAs access and submit the PU/DR form through the Global Fund Partner Portal. PRs also access the Performance Letter from the Partner Portal.
- PRs will no longer receive the PU/DR and Performance Letter via email.

Timelines

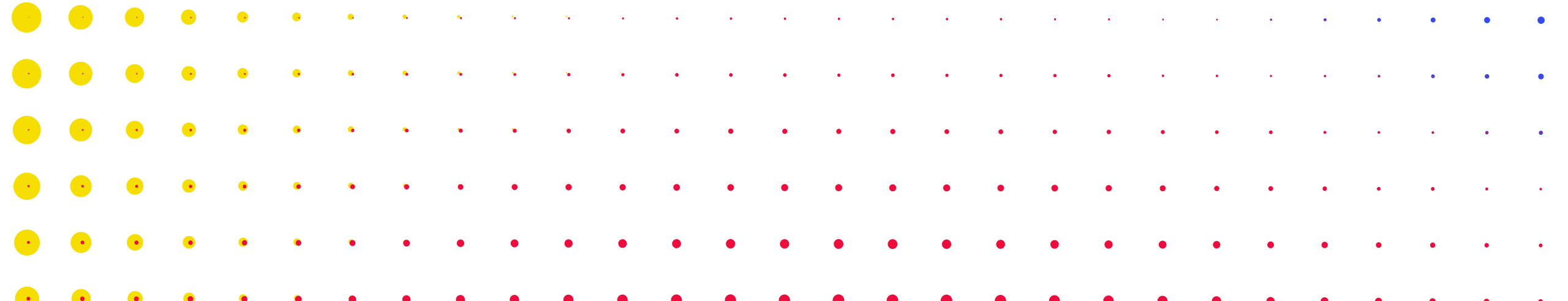
- The end-to-end timeline for the PU/DR and rating processes is 110 calendar days from the end of the reporting period.*
 - PRs have 60 days from the end of the reporting period to submit their PU/DR, and 45 days to submit their PU.
 - LFAs now have 20 days to review their PU/DRs.
 - Country Teams have 30 days to complete the data validation, rating, and Performance Letter steps.

** Exceptionally, the deadline for PUs and PU/DRs for the period ending 31 December 2021 are counted from 25 February 2022.*



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PU/DR Excel Form



Optimized PU/DR Excel – Core Changes (1/2)

1. Executive Summary

New

2. Programmatic

Minimal Changes

Impact Indicators and Disaggregation

Coverage and Disaggregation

Workplan Tracking Measures (WTPMs)

- Optimized layout and aligned formatting to improve usability.
- Aligned with Modular Framework for the 2020-2022 allocation period.

3. Finance

Significant Changes

PR and SR Cash Reconciliation

Total Grant Expenditures

C19RM Expenditures*

New

PR Forecast and Disbursement Request 🔍

Tax Report

Integrated

Financial Triggers (Focused portfolio only)

Annex – Commitments & Obligations

(incl. Accrued Severance)

- Optimized layout and reduced the number of tabs and data points.
- Embedded triangulation to facilitate cash balance verification.
- Streamlined annual financial reporting into a single process.

** Implementation progress monitoring and assurance on additional funding for C19RM.*

Optimized PU/DR Excel – Core Changes (2/2)

4. Health Products and Procurement and Supply Chain Management

Significant Changes

PQR Reporting **Updated**
Risk of Stock out and Expiry **Updated**
Redesigned worksheet, name updated **Updated**
Quantification and Forecasting **New***
Grant Procurement Planning Performance **New***
Central Stock (Stocked to Plan) **New***

*** Rollout planned by the end of 2022**

- Redesigned, optimized worksheet
- PR performance monitoring for critical tracer Health Products.
- Greater visibility of grant critical PSCM milestones for timely ordering, procurement, delivery of products, utilization of funds
- Differentiated and tailored approach

5. Risk and Grant Management

Minimal Changes

Grant Requirements and Mitigating Actions

LFA Findings and Recommendations

- No major changes for reporting on Grant Requirements and Mitigating Actions.

6. Assessment and Sign-off

Significant Changes

PR's Self-assessment and Sign-off

LFA's Assessment and Sign-off **Enhanced**

- Shift reporting culture to prospective instead of retrospective.
- Increased accountability and integrated analysis by PRs.
- Targeted LFA recommendations to increase value of review.

Optimized HP-PSCM tab

The procurement tab has been redesigned, and more sections will be added by the end of 2022.

Updated

- PQR Reporting (list of PQR eligible products)
 - Risk of Stock out and Expiry – focus on main ARVs and first and second line anti-TB medicines
 - Redesigned worksheet, name updated
-

Upcoming Changes (by the end of 2022)

- Quantification and Forecasting
- Grant Procurement Planning Performance
- Central Stock (Stocked to Plan)

Summary of Updates

- Optimized worksheet
- PR performance monitoring for critical tracer Health Products (upcoming later this year)
- Greater visibility of grant critical PSCM milestones for timely ordering, procurement, delivery of products, utilization of funds
- Differentiated and tailored approach

Concluding section now prompts integrated thinking and a forward-looking perspective.

- Integrated evaluation of the reporting period to enable a strong analysis of grant performance.
- A forward-looking assessment by module prompts PRs to self-reflect on the grant trajectory, foresee any potential bottlenecks, and identify options to address them.
- Targeted questions to LFAs prompt clear recommendations and increase the value of the PU/DR review:
 - Effectiveness of implementation arrangements.
 - Recommendations to the Global Fund to enable a step-change in grant delivery.

Integrated evaluation and forward-looking assessment

Integrated PR's and LFA's performance evaluation for the reporting period, including:

- Key challenges and factors beyond PR's control.
- Actions taken to mitigate them.

Forward looking assessment by module for PRs and LFAs to assess whether the grant is off track.

	PR responses	LFA responses
Module 1	On track	Moderately off track
Module 2	Moderately off track	Moderately off track
Module 3	Majorly off track	Majorly off track

Proposed changes to the grant that may trigger a revision process.

LFA view of the effectiveness of the Implementation Arrangements.

LFA recommendations to the Global Fund on ways that may enable a step-change in grant delivery.

Finance - PR Reconciliation_2 (1/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (1)

2A Principal Recipient cash reconciliation statement in IP currency								
Item No.	Description	For Principal Recipient use only			For LFA use only			
		Cumulative for previous financial reporting periods	Current financial reporting period	PR comment (b) data source context	Disbursements for financial reporting period	Current financial reporting period as verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information	
1.1	PR cash balance and open advances: beginning of the current financial reporting period							
2	IP Income							
	Add:							
2.1a	Regular Funds: Disbursement made directly by the GF to the PR							
2.1b	C19RM Funds: Disbursement made directly by the GF to the PR	NEW						
2.2a	Regular Funds: Disbursements made by the GF through PPM / wambo							
2.2b	C19RM Funds: Disbursements made by the GF through PPM / wambo	NEW						
2.3a	Regular Funds: Other direct disbursements made by the GF							
2.3b	C19RM Funds: Other direct disbursements made by the GF	NEW						
2.4	Interest received on bank accounts							
2.5	Revenue from income-generating activities and other income (e.g. income from disposal of assets, etc.), if applicable							
2.6	Tax refunds received (e.g. VAT/other tax returns)	NEW						
2.7	Total IP income							

This should reflect the preceding IP cash balance, where applicable, as communicated to the PR in the IL

Finance - PR Reconciliation_2 (1/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (1)

2A Principal Recipient cash reconciliation statement in IP currency								
Item No.	Description	For Principal Recipient use only			For LFA use only			
		Cumulative for previous financial reporting periods	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Cumulative for previous financial reporting periods	LFA adjustments for current financial reporting period	Current financial reporting period as verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
1.1	PR cash balance and open advances: beginning of the current financial reporting period							
2	IP Income							
	Add:							
2.1a	Regular Funds: Disbursement made directly by the GF to the PR							
2.1b	C19RM Funds: Disbursement made directly by the GF to the PR	NEW						
2.2a	Regular Funds: Disbursements made by the GF through PPM / wambo							
2.2b	C19RM Funds: Disbursements made by the GF through PPM / wambo	NEW						
2.3a	Regular Funds: Other direct disbursements made by the GF							
2.3b	C19RM Funds: Other direct disbursements made by the GF	NEW						
2.4	Interest received on bank accounts							
2.5	Revenue from income-generating activities and other income (e.g. income from disposal of assets, etc.), if applicable							
2.6	Tax refunds received (e.g. VAT/other tax returns)							
2.7	Total IP income							

Automatically populated – same information across PR, LFA and GF sections

Finance - PR Reconciliation_2 (1/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (1)

2A Principal Recipient cash reconciliation statement in IP currency								
Item No.	Description	For Principal Recipient use only			For LFA use only			
		Cumulative for previous financial reporting periods	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Cumulative for previous financial reporting periods	LFA adjustments for current financial reporting period	Current financial reporting period as verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
1.1	PR cash balance and open advances: beginning of the current financial reporting period							
2	IP Income							
	Add:							
2.1a	Regular Funds: Disbursement made directly by the GF to the PR							
2.1b	C19RM Funds: Disbursement made directly by the GF to the PR							
2.2a	Regular Funds: Disbursements made by the GF through PPM / wambo							
2.2b	C19RM Funds: Disbursements made by the GF through PPM / wambo							
2.3a	Regular Funds: Other direct disbursements made by the GF							
2.3b	C19RM Funds: Other direct disbursements made by the GF							
2.4	Interest received on bank accounts							
2.5	Revenue from income-generating activities and other income (e.g. income from disposal of assets, etc.), if applicable							
2.6	Tax refunds received (e.g. VAT/other tax returns)							
2.7	Total IP income							

The classification has been revised to include other income along with revenue from income generating activities

Finance - PR Reconciliation_2 (1/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (1)

2A Principal Recipient cash reconciliation statement in IP currency								
Item No.	Description	For Principal Recipient use only			For LFA use only			
		Cumulative for previous financial reporting periods	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Cumulative for previous financial reporting periods	LFA adjustments for current financial reporting period	Current financial reporting period as verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
1.1	PR cash balance and open advances: beginning of the current financial reporting period							
2	IP Income							
	Add:							
2.1a	Regular Funds: Disbursement made directly by the GF to the PR							
2.1b	C19RM Funds: Disbursement made directly by the GF to the PR							
2.2a	Regular Funds: Disbursements made by the GF through PPM / wambo							
2.2b	C19RM Funds: Disbursements made by the GF through PPM / wambo							
2.3a	Regular Funds: Other direct disbursements made by the GF							
2.3b	C19RM Funds: Other direct disbursements made by the GF							
2.4	Interest received on bank accounts							
2.5	Revenue from income-generating activities and other income (e.g. income from disposal of assets, etc.), if applicable							
2.6	Tax refunds received (e.g. VAT/other tax returns)							
2.7	Total IP income							

NEW

Tax refunds are now classified separately

Finance - PR Reconciliation_2 (2/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (2)

3	IP cash outflows							
	Less:	Cumulative for previous financial reporting periods	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Cumulative for previous financial reporting periods	LFA adjustments for current financial reporting period	Current financial reporting period as verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
3.1a	Regular Funds: PR expenditure (including payments and other advance payments)							
3.1b	C19RM Funds: PR expenditure (including payments and other advance payments)	NEW						
3.2a	Regular Funds: PPM / wambo payments made by the GF on behalf of the PR							
3.2b	C19RM Funds: PPM / wambo payments made by the GF on behalf of the PR	NEW						
3.3a	Regular Funds: payments to other third parties by the GF on behalf of the PR							
3.3b	C19RM Funds: payments to other third parties by the GF on behalf of the PR	NEW						
3.4a	Regular Funds: PR disbursement(s) to sub-recipients							
3.4b	C19RM Funds: PR disbursement(s) to sub-recipients	NEW						
3.5	Bank charges on disbursements and payments							
3.6	Total IP cash outflows							

Automatically populated– same information across PR, LFA and GF sections

Finance - PR Reconciliation_2 (3/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (5)

2B Schedule of open advances in IP currency		For Principal Recipient use only			For LFA use only		
NEW		SR Advances	PR Procurement Advances	PR Other Advances	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information		
		6.1	Open advances at the beginning of the current financial reporting period	\$0			
6.2	Disbursements made through PPM / wambo						
6.3	Other direct disbursements made by the GF					\$0	
6.4	Disbursements to sub-recipient(s) and other suppliers	\$0					
6.5	Less: value of goods and services delivered against open advances	\$0					
6.6	Sub-recipient(s) other income	\$0					
6.7	Sub-recipient(s) refunds	\$0					
6.8	Open advances at the end of the current financial reporting period	\$0	\$0	\$0	\$0	\$0	

Open advances are cash outflows for which no corresponding expenditure has been recognized by the Principal Recipient. 3 levels of aggregation of open advances are provided under Table B with respect to Sub-Recipients, PPM/wambo advances and other PR advances for GDF/ local procurement or staff advances for instance

Finance - PR Reconciliation_2 (3/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (5)

2B Schedule of open advances in IP currency		For Principal Recipient use only			For LFA use only			
NEW		SR Advances	PR Procurement Advances (PPM and others)	PR Other Advances (prepayments, etc.)	SR Advances	PR Procurement Advances	PR Other Advances	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
6.1	Open advances at the beginning of the current financial reporting period	\$0						
6.2	Disbursements made through PPM / wambo		\$0			\$0		
6.3	Other direct disbursements made by the GF						\$0	
6.4	Disbursements to sub-recipient(s) and other suppliers	\$0						
6.5	Less: value of goods and services delivered against open advances	\$0						
6.6	Sub-recipient(s) other income	\$0						
6.7	Sub-recipient(s) refunds	\$0						
6.8	Open advances at the end of the current financial reporting period	\$0	\$0			\$0	\$0	

Automatically populated from SR_Reconciliation_3 tab for PR.
LFAs and CTs will have option to adjust PR information in their respective sections

Finance - PR Reconciliation_2 (3/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (5)

2B Schedule of open advances in IP currency		For Principal Recipient use only			For LFA use only			
NEW		SR Advances	PR Procurement Advances (PPM and others)	PR Other Advances (prepayments, etc.)	SR Advances	PR Procurement Advances	PR Other Advances	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
		6.1	Open advances at the beginning of the current financial reporting period	\$0				
6.2	Disbursements made through PPM / wambo		\$0					
6.3	Other direct disbursements made by the GF			\$0				
6.4	Disbursements to sub-recipient(s) and other suppliers	\$0			\$0			
6.5	Less: value of goods and services delivered against open advances	\$0						
6.6	Sub-recipient(s) other income	\$0						
6.7	Sub-recipient(s) refunds	\$0						
6.8	Open advances at the end of the current financial reporting period	\$0	\$0	\$0	\$0	\$0	\$0	

This section refers to all other advances including GDF procurement, staff advances and local procurement etc. The PR should provide all disbursements made and the value of goods and services delivered.

Finance - PR Reconciliation_2 (3/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (5)

2B Schedule of open advances in IP currency		For Principal Recipient use only			For LFA use only			
NEW		SR Advances	PR Procurement Advances (PPM and others)	PR Other Advances (prepayments, etc.)	SR Advances	PR Procurement Advances	PR Other Advances	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
		6.1	Open advances at the beginning of the current financial reporting period	\$0				
6.2	Disbursements made through PPM / wambo		\$0			\$0		
6.3	Other direct disbursements made by the GF			\$0			\$0	
6.4	Disbursements to sub-recipient(s) and other suppliers	\$0			\$0			
6.5	Less: value of goods and services delivered against open advances	\$0						
6.6	Sub-recipient(s) other income	\$0						
6.7	Sub-recipient(s) refunds	\$0						
6.8	Open advances at the end of the current financial reporting period	\$0	\$0	\$0	\$0	\$0	\$0	

The LFA independently verifies and provides the corresponding figures in the editable fields.

Finance - PR Reconciliation_2 (4/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (6)

2C Principal Recipient financial commitments obligations		Previous financial reporting period	Current financial reporting period	Financial	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
7.1a	PR total financial commitments		\$0		\$0	\$0	
7.1b	SR(s) total financial commitments		\$0		\$0	\$0	
7.2a	PR financial obligations		\$0		\$0	\$0	
7.2b	SR(s) financial obligations		\$0		\$0	\$0	
7.2c	Accrued severance		\$0		\$0	\$0	
7.4	Total financial commitments & financial obligations		\$0		\$0	\$0	
7.5	Uncommitted cash balances (5.1 - 7.4)		\$4'930'961			\$4'930'961	

Commitments for the prior period need to be provided as well as this is an element of triangulation to be used further.

Finance - PR Reconciliation_2 (4/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (6)

2C Principal Recipient financial commitments obligations		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
7.1a	PR total financial commitments		\$0			\$0	\$0	
7.1b	SR(s) total financial commitments		\$0			\$0	\$0	
7.2a	PR financial obligations		\$0			\$0	\$0	
7.2b	SR(s) financial obligations		\$0			\$0	\$0	
7.2c	Accrued severance NEW		\$0			\$0	\$0	
7.4	Total financial commitments & financial obligations		\$0			\$0	\$0	
7.5	Uncommitted cash balances (5.1 - 7.4)						\$4'930'961	

Refer to section 7.1.3 of the Budgeting Guidelines. Accrued severance entitlements should be shown separate from financial obligations.

Finance - PR Reconciliation_2 (4/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (6)

2C Principal Recipient financial commitments obligations		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
7.1a	PR total financial commitments		\$0			\$0	\$0	
7.1b	SR(s) total financial commitments		\$0			\$0	\$0	
7.2a	PR financial obligations		\$0			\$0	\$0	
7.2b	SR(s) financial obligations		\$0			\$0	\$0	
7.2c	Accrued severance		\$0			\$0	\$0	
7.4	Total financial commitments & financial obligations		\$0			\$0	\$0	
7.5	Uncommitted cash balances (5.1 - 7.4)						\$4'930'961	

For information purposes only. Provides a snapshot of available cash balances at PR level.

Finance - PR Reconciliation_2 (4/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (6)

2C Principal Recipient financial commitments obligations		Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
7.1a	PR total financial commitments				\$0	\$0	
7.1b	SR(s) total financial commitments				\$0	\$0	
7.2a	PR financial obligations					\$0	
7.2b	SR(s) financial obligations					\$0	
7.2c	Accrued severance					\$0	
7.4	Total financial commitments & financial obligations				\$0	\$0	
7.5	Uncommitted cash balances (5.1 - 7.4)					\$4'930'961	

Reporting of financial commitments, financial obligations and accrued severance entitlements in the prescribed format is mandatory only for the Final PU.

For Y1 and Y2 PUDRs, PRs can provide the information according to how their financial information system produces the information.

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)


NEW		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D		Triangulation of financial figures						
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period						\$0	
8.3	Total IP income						\$4'930'961	
8.4	Total expenditure per PR expenditure report						\$0	
8.5	Net change in total financial commitments from previous year						\$0	
8.6	Open advances at the end of the current financial reporting period		\$0				\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

The objective of triangulation is to ensure completeness and accuracy of financial information presented in the progress report. It involves the reconciliation of the closing cash balance in the Section 2: Principal Recipient cash reconciliation with Section 4: Principal Recipient Expenditure Report, taking into consideration financial commitments and open advances.

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)


		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D Triangulation of financial figures								
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period		\$0				\$0	
8.3	Total IP income		\$4'930'961				\$4'930'961	
8.4	Total expenditure per PR expenditure report		\$0				\$0	
8.5	Net change in total financial commitments from previous year		\$0				\$0	
8.6	Open advances at the end of the current financial reporting period		\$0				\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

Links to the PR cash balance at the start of the financial reporting period in item 1.1

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)

		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D Triangulation of financial figures								
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period		\$0				\$0	
8.3	Total IP income						\$4'930'961	
8.4	Total expenditure per PR expenditure report		\$0				\$0	
8.5	Net change in total financial commitments from previous year		\$0				\$0	
8.6	Open advances at the end of the current financial reporting period		\$0				\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

Links to the sum of item 6.1 – open advances at the level of the SRs, PPM/wambo and other PR advances

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)

NEW		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D Triangulation of financial figures								
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period		\$0				\$0	
8.3	Total IP income		\$4'930'961				\$4'930'961	
8.4	Total expenditure per PR expenditure report						\$0	
8.5	Net change in total financial commitments from previous year		\$0				\$0	
8.6	Open advances at the end of the current financial reporting period		\$0				\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

Links to item 2.7 – total of disbursements and other income for the current financial reporting period

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)

NEW		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D Triangulation of financial figures								
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period		\$0				\$0	
8.3	Total IP income		\$4'930'961				\$4'930'961	
8.4	Total expenditure per PR expenditure report						\$0	
8.5	Net change in total financial commitments from previous year		\$0				\$0	
8.6	Open advances at the end of the current financial reporting period		\$0				\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

Links to the total expenditure for the current financial reporting period as per Section 4: Principal Recipient Expenditure Report

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)


NEW		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D Triangulation of financial figures								
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period		\$0				\$0	
8.3	Total IP income		\$4'930'961				\$4'930'961	
8.4	Total expenditure per PR expenditure report		\$0				\$0	
8.5	Net change in total financial commitments from previous year						\$0	
8.6	Open advances at the end of the current financial reporting period		\$0				\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

Links to the difference between the current financial reporting period and the previous reporting period for items 7.1a and 7.1b

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)


		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D Triangulation of financial figures								
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period		\$0				\$0	
8.3	Total IP income		\$4'930'961				\$4'930'961	
8.4	Total expenditure per PR expenditure report		\$0				\$0	
8.5	Net change in total financial commitments from previous year						\$0	
8.6	Open advances at the end of the current financial reporting period		\$0				\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

Links to the sum of item 6.8 – open advances at the level of the SRs, PPM/wambo and other PR advances

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)

		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D Triangulation of financial figures								
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period		\$0				\$0	
8.3	Total IP income		\$4'930'961				\$4'930'961	
8.4	Total expenditure per PR expenditure report		\$0				\$0	
8.5	Net change in total financial commitments from previous year		\$0				\$0	
8.6	Open advances at the end of the current financial reporting period						\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

Links to item 4.3

Finance - PR Reconciliation_2 (5/5)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

A. Principal Recipient cash reconciliation statement in IP Currency (7)

NEW		Previous financial reporting period	Current financial reporting period	PR comments on (a) cash outflows (b) data sources, and (c) any other contextual information	Previous financial reporting period	LFA adjustments for current financial reporting period	As verified by LFA	LFA comments on (a) verified cash outflows (b) data sources, and (c) any other contextual information
2D Triangulation of financial figures								
8.1	PR cash balance: beginning of the current financial reporting period		\$0				\$0	
8.2	Open advances: beginning of the current financial reporting period		\$0				\$0	
8.3	Total IP income		\$4'930'961				\$4'930'961	
8.4	Total expenditure per PR expenditure report		\$0				\$0	
8.5	Net change in total financial commitments from previous year		\$0				\$0	
8.6	Open advances at the end of the current financial reporting period		\$0				\$0	
8.7	Total reconciling adjustments		\$0				\$0	
8.8	Total expected PR closing cash balance		\$4'930'961				\$4'930'961	
8.9	Total cash balance in-country		\$4'930'961				\$4'930'961	
8.10	Triangulation variance to be reconciled or reimbursed by PR		\$0				\$0	

Links to item 5.1

Finance - Forecast and Disbursement_6 (1/2)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

Consolidation and simplification of reporting requirements (1)

Section 6: Forecast and Disbursement Request		Disbursement Request Execution Period		Start Date:	01-Jan-22	End Date:				
		Disbursement Request Buffer Period		Start Date:	n/a	End Date:				
		IP Currency:		USD						
Total forecasted net cash expenditures by the Principal Recipient for the coming financial reporting period (immediately following the current financial reporting period covered by the Progress Update)										
For Principal Recipient use only										
Implementation Quarter	Execution Period									
	01/Jan/2022-31/Mar/2022		01/Apr/2022-30/Jun/2022		01/Jul/2022-30/Sep/2022		01/Oct/2022-31/Dec/2022		Execution Period	
Source of Funding	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds
Approved Budget	\$839'938	\$0	\$231'324	\$0	\$529'903	\$0	\$271'166	\$0	\$1'872'332	\$0
Principal Recipient Forecast									\$0	\$0
Cash balance at the end of current financial reporting period covered by Progress Update	\$1'430'748	\$3'500'213								
Cash in transit for the current financial reporting period (Disbursements to PR)										
Cash in transit for the current financial reporting period (Third party disbursements)										
Cash in transit after the current financial reporting period (Disbursements to PR)										
Cash in transit after the current financial reporting period (Third-party disbursements)										
Disbursement Request	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

PR Forecast represents the cash forecast (by quarter) of the Principal Recipient analyzed into HTM activities and C19RM activities where applicable.

The total amount by quarter for each component should tie to the underlying detailed forecasts to be shared by the PR in the format most suitable to CTs.

This detailed forecast should be shared with the Global Fund at the time of submission of the progress report, if not already shared as part of reprogramming or cash releases requests.

Forecasts should be provided separately for activities to be financed from the allocation and those to be financed from C19RM, where applicable.

Finance - Forecast and Disbursement_6 (1/2)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

Consolidation and simplification of reporting requirements (1)

Section 6: Forecast and Disbursement Request		Disbursement Request Execution Period		Start Date:	01-Jan-22	End Date:	31-Dec-22			
		Disbursement Request Buffer Period		Start Date:	n/a	End Date:	n/a			
		IP Currency:		USD						
Total forecasted net cash expenditures by the Principal Recipient for the coming financial reporting period (immediately following the current financial reporting period covered by the Progress Update)										
For Principal Recipient use only										
	Execution Period								Execution Period Total	
Implementation Quarter	01/Jan/2022-31/Mar/2022		01/Apr/2022-30/Jun/2022		01/Jul/2022-30/Sep/2022		01/Oct/2022-31/Dec/2022			
Source of Funding	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds
Approved Budget	\$839'938	\$0	\$231'324	\$0	\$529'903	\$0	\$271'166	\$0	\$1'872'332	\$0
Principal Recipient Forecast									\$0	\$0
Cash balance at the end of current financial reporting period covered by Progress Update	\$1'430'748	\$3'500'213								
Cash in transit for the current financial reporting period (Disbursements to PR)										
Cash in transit for the current financial reporting period (Third party disbursements)										
Cash in transit after the current financial reporting period (Disbursements to PR)										
Cash in transit after the current financial reporting period (Third-party disbursements)										
Disbursement Request	\$0									

Cash in transit for the current financial reporting period (Disbursements to PR)” and “Cash in transit for the current financial reporting period (Third party disbursements)”: These are the disbursements made by the Global Fund to the Principal Recipient or to a third party on the behalf of the Principal Recipient) during the current reporting period but received by the Principal Recipient after the reporting period end date. For example, a disbursement made to the Principal Recipient on 28 June 2021 in the course of the progress update semester period ending 30 June 2021 but received by the Principal Recipient on 15 July 2021. As this constitutes cash resources at the disposal of the Principal Recipient, this amount is automatically deducted from the total forecast amount for the disbursement request period. The date on the Disbursement Notification Letter transmitted by the Global Fund is during the current reporting period.

Finance - Forecast and Disbursement_6 (1/2)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

Consolidation and simplification of reporting requirements (1)

Section 6: Forecast and Disbursement Request		Disbursement Request Execution Period				Start Date:	01-Jan-22	End Date:	31-Dec-22	
		Disbursement Request Buffer Period				Start Date:	n/a	End Date:	n/a	
		IP Currency:				USD				
Total forecasted net cash expenditures by the Principal Recipient for the coming financial reporting period (immediately following the current financial reporting period covered by the Progress Update)										
For Principal Recipient use only										
Execution Period										
Implementation Quarter	01/Jan/2022-31/Mar/2022		01/Apr/2022-30/Jun/2022		01/Jul/2022-30/Sep/2022		01/Oct/2022-31/Dec/2022		Execution Period Total	
Source of Funding	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds
Approved Budget	\$839'938	\$0	\$231'324	\$0	\$529'903	\$0	\$271'166	\$0	\$1'872'332	\$0
Principal Recipient Forecast									\$0	\$0
Cash balance at the end of current financial reporting period covered by Progress Update	\$1'430'748	\$3'500'213								
Cash in transit for the current financial reporting period (Disbursements to PR)										
Cash in transit for the current financial reporting period (Third party disbursements)										
Cash in transit after the current financial reporting period (Disbursements to PR)										
Cash in transit after the current financial reporting period (Third-party disbursements)										
Disbursement Request	\$0									

Cash in transit after the current financial reporting period (Disbursements to PR)” and “Cash in transit after the current financial reporting period (Third-party disbursements)”: In certain instances, the Global Fund may release disbursements to the Principal Recipient (or to a third party on behalf of the Principal Recipient) after the reporting period end-date, but prior to the **due date** for progress update submission. When such disbursements are made to and received by the Principal Recipient after the current progress update reporting period end, this is entered here (if readily available for reporting purposes). For example, the Global Fund released the disbursement for the buffer period or other disbursement to the Principal Recipient on 21 July 2021, the disbursement is received by the Principal Recipient on 31 July 2021 (after the progress update reporting period end date of 30 June 2021). The amount received will be captured here as it has been received within the progress update submission date of 31 August 2021.

Finance - Forecast and Disbursement_6 (2/2)

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

Consolidation and simplification of reporting requirements (2)

Implementation Quarter	Execution Period								Execution Period Total	
	01/Jan/2022-31/Mar/2022		01/Apr/2022-30/Jun/2022		01/Jul/2022-30/Sep/2022		01/Oct/2022-31/Dec/2022		Regular Funds	C19RM Funds
Source of Funding	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds	Regular Funds	C19RM Funds
Forecasted disbursement to PR									\$0	\$0
PPM/Wambo.org forecasted disbursement									\$0	\$0
Forecasted direct disbursement by entity NEW	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Ministry of Health									\$0	\$0
TB Civil Society									\$0	\$0
0									\$0	\$0
United Nations Development Programme									\$0	\$0
Disbursement Request	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

The second table in Section 6: Forecast and Disbursement Request aims at providing the details of the recipient entities to which disbursements by the Global Fund are to be made.

It is now possible for the PR to designate direct payments to third parties also.

Note: LFA review of forecasts and disbursements is no longer mandatory. This is to allow for flexibility to consider reviews done as part of reprogramming and cash releases to avoid duplication of LFA efforts and ensure the relevance of the LFA reviews at the time of finalization of the progress report.

Finance - Tax_Reporting_7

Aligning tax reporting and PUDR validation

Legend of Colors	[prepopulated, non-editable field]
	[inputs from PR]
	[inputs from LFA]

Progress Report with Disbursement Request													
Section 7: Taxes paid and recovered, including sub-recipient taxes													
Principal Recipient													
Specify Fiscal Year	2021 NEW												
PR Grant Tax Exemption Status	SR Grant Tax Exemption Status	Overall Tax Exemption Status	PR Taxes Paid	PR Taxes Recovered	PR Taxes Unrecoverable	SR Taxes Paid	SR Taxes Recovered	SR Taxes Unrecoverable	Total Taxes Paid	Total Taxes Recovered	Total Taxes Unrecoverable	PR Tax Information Comments	Tax Exemption Status Comments
		Partial			\$0.00			\$0.00	\$0.00	\$0.00	\$0.00		
For LFA Use Only													
To be completed only at the explicit request of the Country Team													
PR Grant Tax Exemption Status	SR Grant Tax Exemption Status	Overall Tax Exemption Status	PR Taxes Paid	PR Taxes Recovered	PR Taxes Unrecoverable	SR Taxes Paid	SR Taxes Recovered	SR Taxes Unrecoverable	Total Taxes Paid	Total Taxes Recovered	Total Taxes Unrecoverable	LFA Tax Information Comments	LFA Tax Exemption Status Comments
		Partial			\$0.00			\$0.00	\$0.00	\$0.00	\$0.00		

Tax reporting period is now to be aligned with PUDR reporting period.

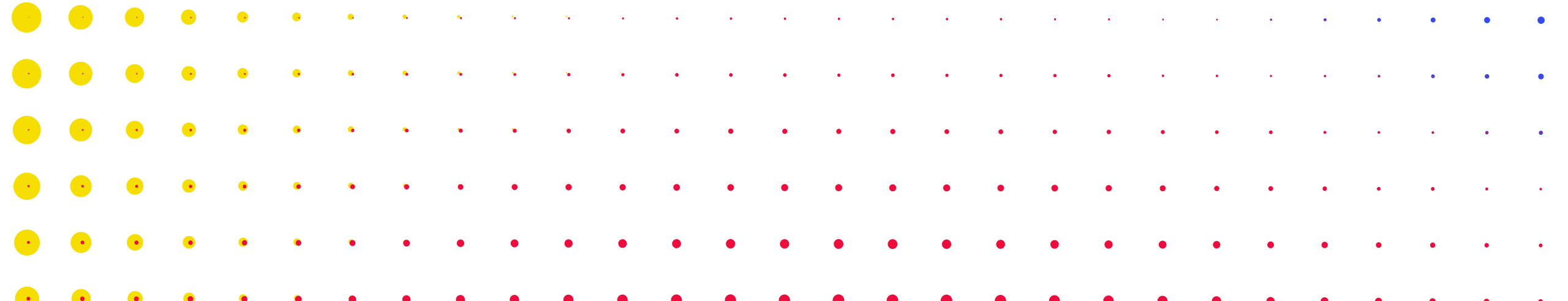
LFA review of the Tax Report is now mandatory.

Taxes which are unrecovered should be designated as ineligible unless expressly waived by the Recoveries Committee.



3

PU/DR Process through the Partner Portal

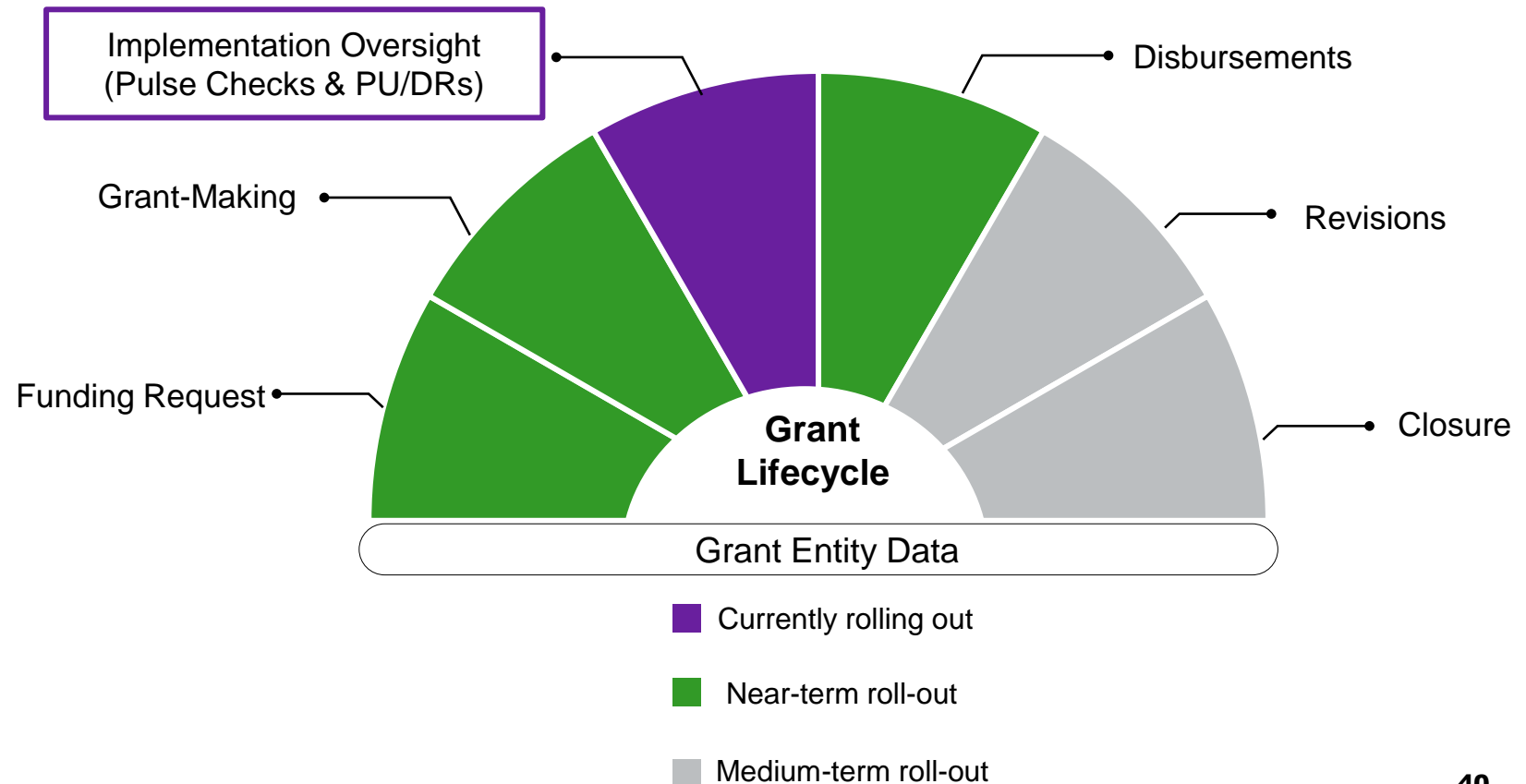


Starting with Pulse Checks and PU/DRs, Principal Recipients will gradually manage more grant deliverables through the Partner Portal.

Benefits to direct engagement through the Partner Portal:

- Immediate access to correct forms to save time and eliminate human error (e.g., PU/DR, latest signed budget at the start of a revision).
- For certain deliverables, information can be entered directly into online forms, which lowers the administrative burden, the risk of resubmission from template errors and allows for automated data quality checks.
- Targeted communications to individuals with portfolio, grant and process level rights.

Grant lifecycle processes and deliverables considered for handling through the Partner Portal:



Receiving and Submitting PU/DRs through the Partner Portal (beginning in Q1 2022)

- Editor and Submitter rights are assigned in GED per grant.
- At a minimum, each grant is required to have one Submitter. We recommend having two Submitters per grant.
- **Note: all PRs use the Excel form for the PU/DR.** Online forms, similar to those used by some PRs for Pulse Checks, will be piloted at a later date.

KEY

 Steps completed through the Global Fund Partner Portal.

 Steps completed offline.

Steps for Principal Recipients



01 Receive automatic PU/DR notification from the Partner Portal

ROLE

Editor

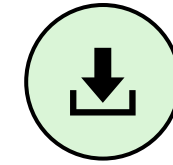
Submitter



02 Access the Global Fund Partner Portal

Editor

Submitter



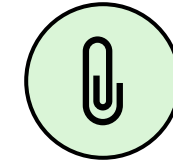
03 Download Excel form

Editor

Submitter



04 Complete Excel form



05 Attach Excel form

Editor

Submitter

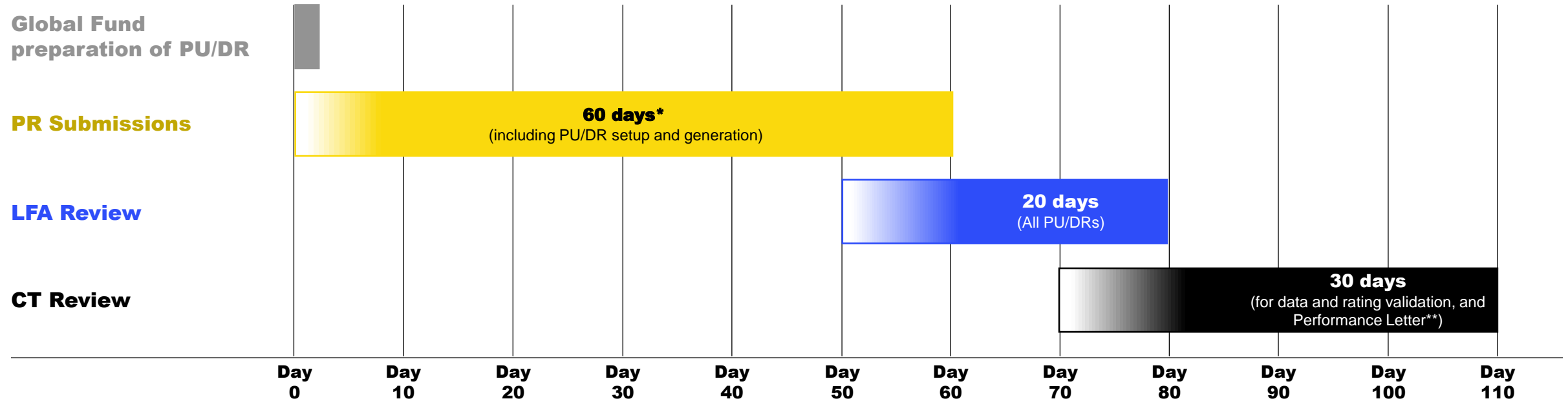


06 Submit PU/DR to Global Fund

Submitter

Updated PU/DR Submission Timelines

The end-to-end timeline of 110 days for completion, validation and feedback ensures mutual accountability and faster access to information for decision-making.



* PUs have a PR submission timeline of 45 days.

** Performance Letter may not include AFD decision at this time.



Note: For the period ending 31 December 2021, the PU/DR is to be launched and shared with PRs in February 2022. Timelines for all steps are shifted accordingly.



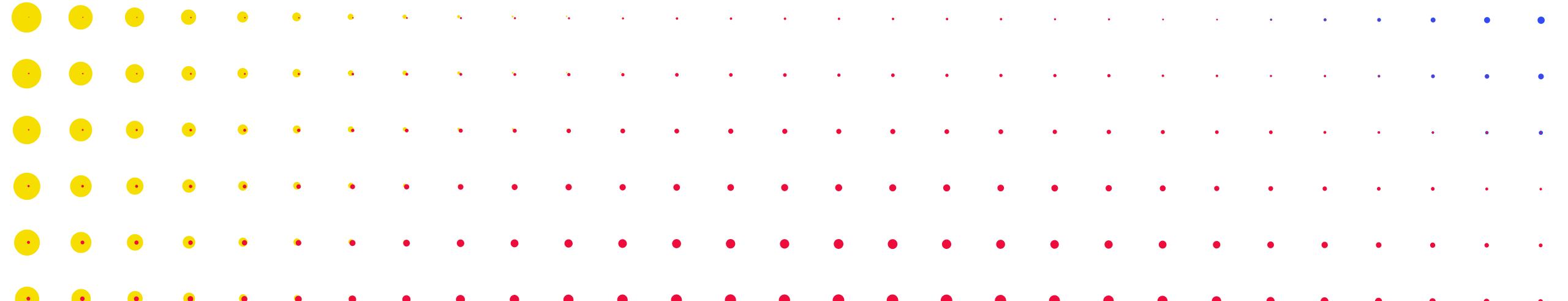
System Demonstration

(Step-by-step instructions are available in the annex.)








4

Performance Rating



The new Performance Rating is designed to maximize implementation performance assessment by driving clearer accountability.

The current **Grant Rating**:

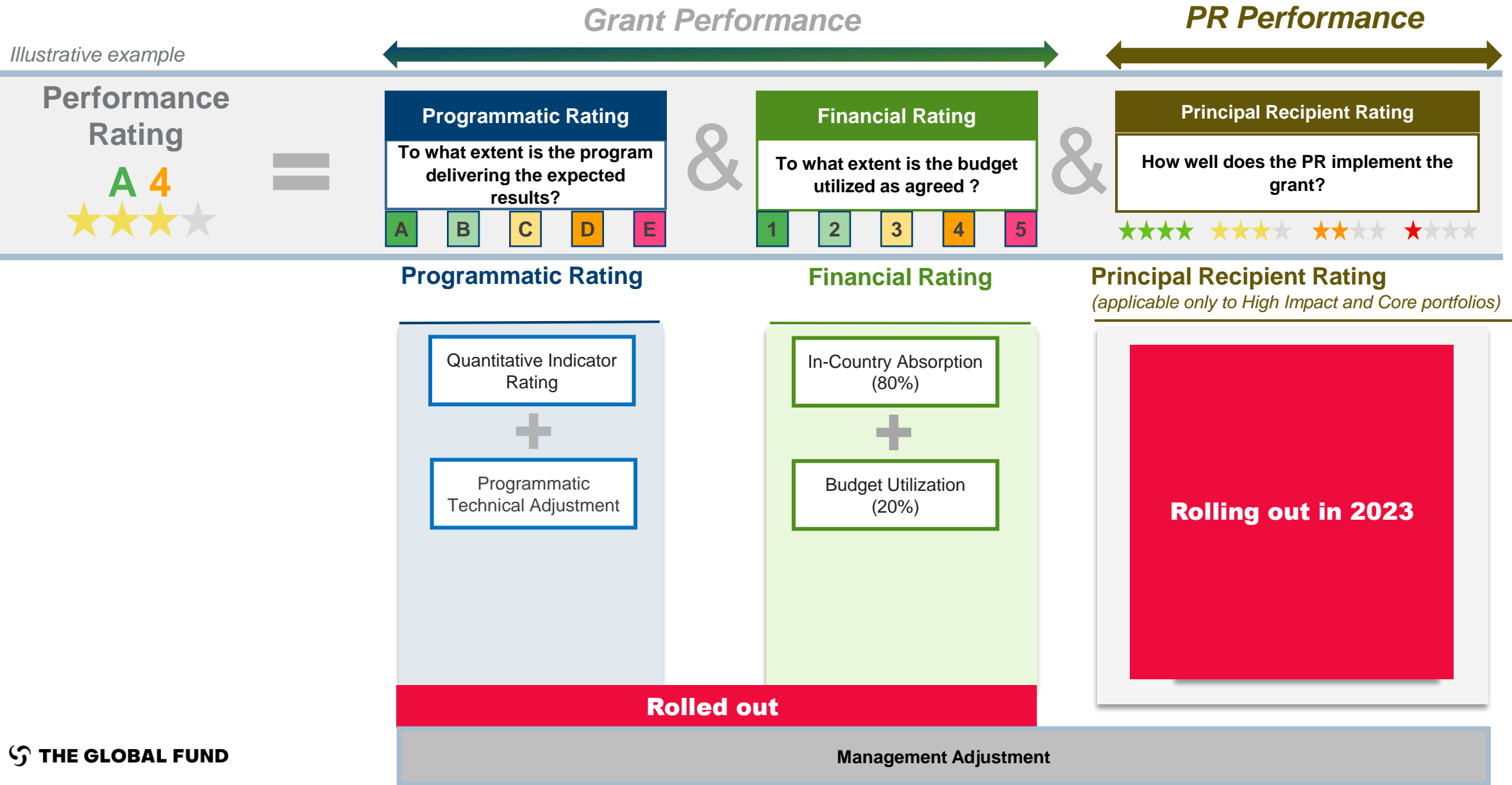
-  Does not allow for accountability
-  Does not distinguish between Grant performance and PR performance
-  Is not transparent enough to drive performance and improvements
-  Mainly covers the national program performance rather than grant specific performance
-  Relies on management adjustment to factors

The new **Performance Rating**:



Moving Away from a Single Rating to 3 Distinct Ratings

Programmatic, Financial and Principal Recipient



Key Changes Driven by the New Performance Rating

1

Moving away from a single rating to 3 separate ratings

- Programmatic Rating
- Financial Rating
- Principal Recipient Rating

2

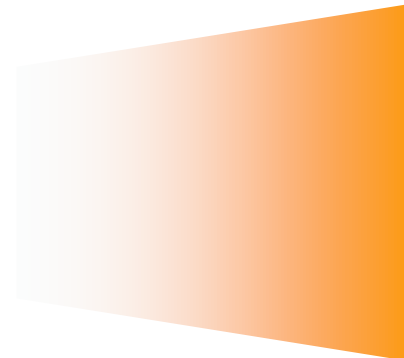
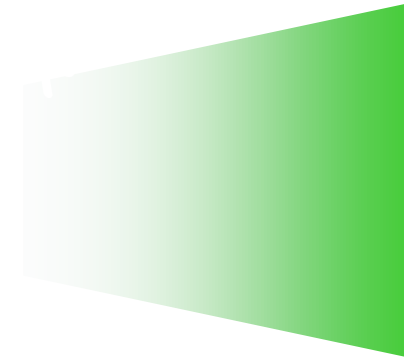
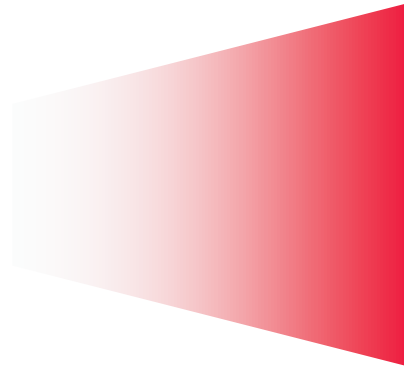
Portfolio Differentiation

Focused portfolios continue to be rated once a year

3

Adjustments

- Change on Management Adjustment
- Introduction of Programmatic Technical Adjustment



Performance Rating **A 4** *Illustrative example*

★★★★☆

Programmatic Rating To what extent is the program delivering the expected results?	&	Financial Rating To what extent is the budget utilized as agreed?	&	PR Rating How well does the PR implement the grant?
A B C D E		1 2 3 4 5		★★★★☆ ★★★☆☆ ★★☆☆☆ ★☆☆☆☆

Under Development

Portfolio Categorization	Annual Performance Rating		TBD: Interim Performance Rating	
	Prog.	Financial	Prog.	Financial
High Impact	A	4	A	4
Core				
Focused	A	4		

Management Adjustment - Exceptional

- Only for force majeure cases (war, pandemic, natural hazards, etc.).
- Managed by Country Teams
- Programmatic and Finance ratings can no longer be up/downgraded due to Management adj. It can only be changed into "No rating".

Programmatic Technical Adjustment – if needed

- For example, to reflect the actual grant/program performance due to the linkages and/or correlation across indicators.

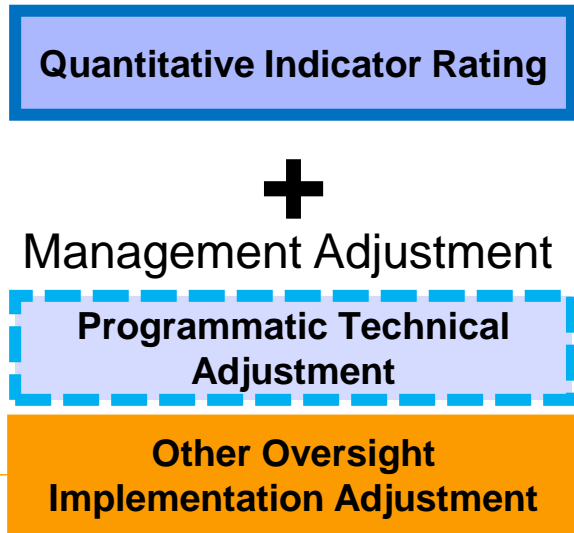
Revised

New

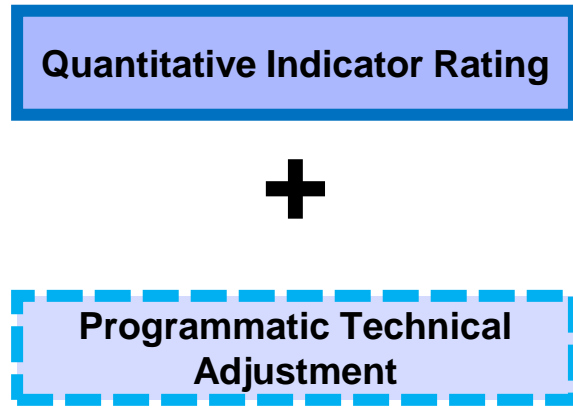
For the majority of the portfolio, the future Programmatic Rating will be the same as the current Grant Rating

A minority of grants used Management Adjustments

Current Grant Rating



Future Programmatic Rating



Rating Levels

A1	>100%	A	>=100%
A2	90% - 100%	B	90% - 99%
B1	60% - 89%	C	60% - 89%
B2	30% - 59%	D	30% - 59%
C	< 30%	E	< 30%

In the future performance rating approach, other adjustments will be quantitatively reflected in Financial or PR Rating

Benefits



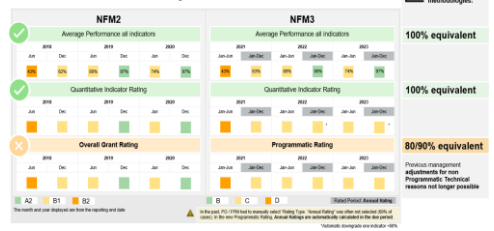
Consistency and comparability ensured over time between current and future approach.



Usage of adjustments according to well defined guidelines

The Quantitative Indicator Rating is fully comparable

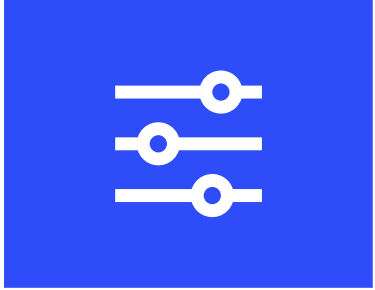
The Programmatic Rating is 80/90% equivalent to Overall Grant Rating due to Adjustments, which do not longer allow upgrades / downgrades for Finance, Procurement or PR management issues.



Programmatic Technical Adjustment Guidelines

- When it should be considered:**
- Adjustment to overachievement of one indicator when correlated with another indicator (e.g. in reaching people in need of services, i.e. below 50%).
 - In case of multiple PIs, underperformance of one indicator for one PI is resulting in over-performance of another related indicator for another PI, when the actual performance of the latter is below 60% of the expected target.
 - In case of disaster grants with substantial investments in MS&I and/or C&I related activities, that include both coverage indicators and Work Plan Tracking Measures (WPTMs), if the overall WPTM rating is below 60%, the Quantitative Indicator Rating can be downgraded by one rating point.
- And when it should not:**
- Due to delays in implementation of activities including MS&I activities in case of underachievement/overachievement of physical activities (management adjustment). This is considered and can be managed by the PI and approved by Regional Manager / Department head.
 - Delay in meeting conditions/management actions and requirements, most likely will be covered under other ratings and adjustments.
 - Underperformance due to underachievement beyond the scope of PIs, most likely will be covered under other ratings and adjustments.
 - Inefficient level of funding to meet the targets. This needs to be resolved during grant making in the situation the grant is being implemented for the results and grant review (stage of targets and budget).
 - Targets achieved before time, grant received in subsequent year of activity, that spend is planned to the next year.
 - Targets are overachieved, achieved in the last year, except the performance of 100%.
 - COVID related delays/adjustments, maintain consistency and reflect the reality by maintaining the programme rating.
 - Due to issues with financial performance (e.g. under allocation against budget). In the new rating methodology which is linked to the financial rating.
 - Non-FPM systems and/or persistent gaps in Supply Chain management, stock outs, etc. will be reflected in the rating.
 - Due to non-FPM systems.
 - FPM system results cannot be validated by LFA (e.g. when no supporting documents were provided). Do not adjust the programmatic rating. In such cases the result for the respective indicator should be consistent with the overall rating.
 - Downgraded Programme Data Quality issues. It will be reflected in the PR rating.
 - Downgrading of EI grants (equivalent to the new Programme rating).
 - Disaster development grant activities achievement but not covered provided for the actual rating adjustment.
 - Improvement from past reporting periods but still showing underperformance.
 - Description does not match with the adjustment made to the rating.

NEW Programmatic Technical Adjustment Guidelines



When it should be considered:

In some specific scenarios, the **Quantitative Indicator Rating** may not reflect the **actual grant/program performance due to the linkages and correlation across indicators**. For example:

1. Achievement or overachievement of one **indicator when correlated with another indicator** indicates gap in reaching people in need of services i.e., below 60%.
2. In case of **multiple PRs**, underperformance of one indicator for one PR is resulting in over-performance of another related indicator for another PR, when the actual performance of the latter is below 60% of the expected target.
3. In case of disease **grants with substantial investments in RSSH and/or CRG related modules**, that include both coverage indicators and Work Plan Tracking Measures (WPTMs), if the **overall WPTM rating is below 60%**, the Quantitative Indicator Rating can be downgraded by one rating point.

Several measures have been put in place to ensure the compliant usage of the technical adjustment (trainings for internal & external stakeholders, controls such as second line notification and compliance reporting).

Financial performance is measured by 2 quantitative metrics and does not require any technical adjustment.

Illustrative example

Performance Rating



=

Programmatic Rating

To what extent is the program delivering the expected results?



&

Financial Rating

To what extent is the budget utilized as agreed ?



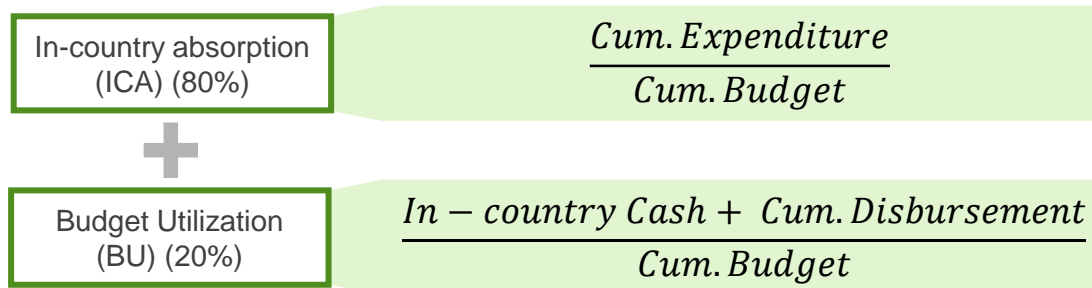
&

PR Rating

How well does the PR implement the grant?



Financial Rating Metrics (apply to all grants) :



Maintain the link between programmatic and financial performance at grant level while reflecting PR influence/control over its achievement of grant objectives

Demonstrates GF's efficiency in making funds available

Rating Level Ranges

1	Excellent >=95%
2	Good 85% - 94%
3	Moderate 75% - 84%
4	Poor 65% - 74%
5	Very Poor < 65%

Results-Based Financing Grants

→ Results-based financing grants will be handled in the same way as all other grants

New Performance Rating Functionality

The new report summarizes the performance in all ratings and is attached to the Performance Rating Letter.

The new Performance Rating Tool features three pages:

1 Performance overview with the historic performance of the IP

2 Programmatic Rating Performance

3 Financial Rating Performance

Current Grant Rating Tool:

TheGlobalFund

Grant Rating Tool for Grant: MDG-H-SECNLS

Rated Period: Period Start 01 Jan 2020 Period End 31 Dec 2020

Active Indicators Used in Rating Calculation

Active Indicator Name	Country	Target Value	Result Value	Percentage
1 TCS-1(M): Percentage of people living with HIV currently receiving antiretroviral therapy	Madagascar	N: 6,220 D: 31,000 P: 20.1%	N: 5,885 D: 31,000 P: 19.0%	95%
2 PMTCT-2.1: Percentage of HIV-positive pregnant women who received ART during pregnancy	Madagascar	N: 214 D: 495 P: 44.0%	N: 535 D: 495 P: 107.1%	120%
3 TB/HIV-6(M): Percentage of HIV-positive new and relapse TB patients on ART during TB treatment	Madagascar	N: 0 D: 0 P: 0%	N: 308 D: 308 P: 99.0%	84%
4 HTS-1: Number of people who were tested for HIV and received their results during the reporting period	Madagascar	N: 917,168 D: 0 P: 0%	N: 613,405 D: 459,594 P: 0%	67%
5 PMTCT-1: Percentage of pregnant women who know their HIV status	Madagascar	N: 550,422 D: 1,215,714 P: 45.3%	N: 352,941 D: 1,215,714 P: 29.0%	64%

Individual indicators should have a maximum score of 100%, when calculating the mean.
** If an indicator is rated less than 60% then Final Quantitative Rating is downgraded by one rating level unless indicator rating is B1, B2 or C1.

Performance Rating	All Indicator OR Top Indicator Score
>100%	A1
90% - 100%	B1
60% - 90%	B2
30% - 60%	C1
<30%	C2

AVG Performance All Indicators: 86%
ALL Indicators Rating: B1
Quantitative Indicator Rating: B1



TheGlobalFund

Performance Rating Tool

Grant: RWA-T-MOH Country: Rwanda Rated Period End Date: 31 Dec 2020

Principal Recipient: Ministry of Health of the Republic of Rwanda
Implementation Period: 01 Jan 2018 to 30 Jun 2021

Annual Performance Rating

Programmatic Rating	Financial Rating
C	4
Moderate	Poor

Management Adjustment: Not applied

Performance Rating Evolution

Performance Rating	Annual Rating Year 1	Annual Rating Year 2	Annual Rating Year 3
Rated Period	01 Jul 2018 30 Jun 2019	01 Jul 2019 30 Jun 2020	01 Jul 2020 30 Jun 2021
Programmatic Rating	C	C	
Rated Period	01 Jul 2018 30 Jun 2019	01 Jul 2018 30 Jun 2020	01 Jul 2018 30 Jun 2021
Financial Rating	4	4	

TheGlobalFund

Performance Rating Tool

Grant: MDG-H-SECNLS Country: Madagascar Rated Period: 01 Jan 2020 to 31 Dec 2020

Principal Recipient: Secrétariat Exécutif du Comité National de Lutte Contre le VIH/SIDA de la République de Madagascar
Implementation Period: 01 Jan 2018 to 31 Dec 2020

Programmatic Rating

Average Performance All Indicators:	86%	A	Excellent	>=100%
All Indicators Rating:	C	B	Good	90%-99%
Quantitative Indicator Rating:	C	C	Moderate	60%-89%
Programmatic Technical Adjustment	Applied	D	Poor	30%-59%
Management Adjustment	Not applied	E	Very Poor	<30%
Programmatic Rating	D			

Active Indicators used in the Programmatic Rating calculation

Active Indicator Name	Country	Target Value	Result Value	Achievement
1 TCS-1(M): Percentage of living with HIV currently receiving antiretroviral therapy	Madagascar	N: 6,220 D: 31,000 P: 20.1%	N: 5,885 D: 31,000 P: 19.0%	95%
2 PMTCT-2.1: Percentage of HIV-positive pregnant women who received ART during pregnancy	Madagascar	N: 214 D: 495 P: 44.0%	N: 535 D: 495 P: 110.1%	120%
3 TB/HIV-6(M): Percentage of HIV-positive new and relapse TB patients on ART during TB treatment	Madagascar	N: 0 D: 0 P: 0%	N: 308 D: 308 P: 99.0%	84%
4 HTS-1: Number of people who were tested for HIV and received their results during the reporting period	Madagascar	N: 917,168 D: 0 P: 0%	N: 613,405 D: 459,594 P: 0%	67%
5 PMTCT-1: Percentage of pregnant women who know their HIT status	Madagascar	N: 550,422 D: 1,215,714 P: 45.3%	N: 352,941 D: 1,215,714 P: 29.0%	64%

Individual indicators should have a maximum score of 100%, when calculating the mean.
** If an indicator is rated less than 60% then Final Quantitative Rating is downgraded by one rating unless indicator rating is C, D or E.

Work Plan Tracking Measures (displayed for information, not considered for Programmatic Rating)

Key Activity	Target Value	Result Value	Result Score	Achievement
1 Procurement of essential antimalarial drugs and commodities	Completed	Completed	3	100%
2 Conducting a Mid-term Review of the National Malaria Strategic Plan (NMSP)	Completed	Completed	3	100%

Average WPTM Performance: 100%

TheGlobalFund

Performance Rating Tool

Grant: MDG-H-SECNLS Country: Madagascar Rated Period: 01 Jan 2018 to 31 Dec 2020

Principal Recipient: Secrétariat Exécutif du Comité National de Lutte Contre le VIH/SIDA de la République de Madagascar
Implementation Period: 01 Jan 2018 to 31 Dec 2020

Financial Rating

Management Adjustment	Not applied	1	Excellent	>=95%
Financial Rating	4	2	Good	85%-94%
		3	Moderate	75%-84%
		4	Poor	65%-74%
		5	Very Poor	<65%

Metrics used in the Financial Rating calculation

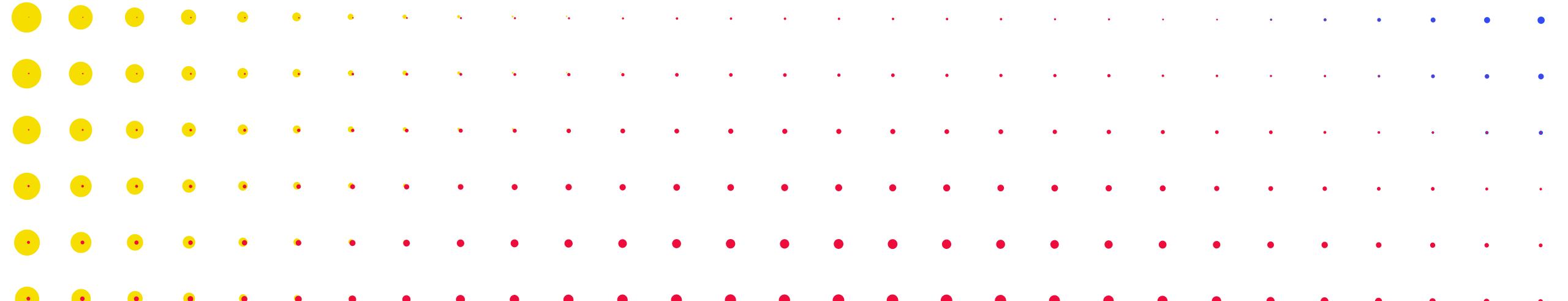
Metric Name	Values	Percentage
1 In-Country Absorption (%)	Cumulative Expenditure: \$6.73M Cumulative Budget: \$10.91M	62%
2 Budget Utilization (%)	Cumulative Disbursement: \$7.61M In-Country Cash Balance (Beginning of the Implementation Period): \$0.41M	74%

All amounts are calculated at IP currency



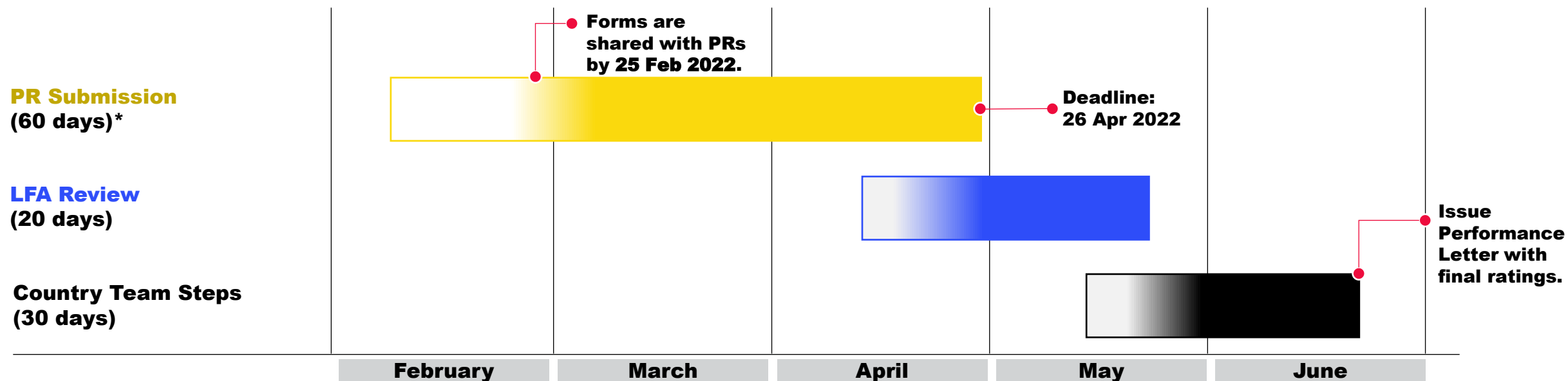
5

Next Steps and Resources



REMINDER

Timelines for 31 December 2021 Cohort



* PUs have a PR submission timeline of 45 days.



Note: The Performance Letter is shared with PRs through the Partner Portal.

Resources and Support Channels for PR Reporting

The Global Fund Website

- [Principal Recipient Reporting and Checks](#)

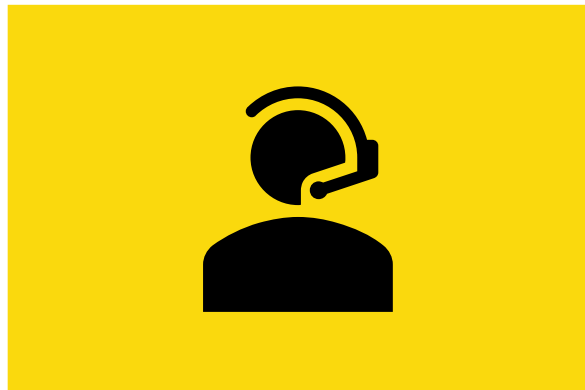
Resource	Availability
PU/DR Example	Available here .
Information Sessions: Introduction to PU/DRs and Performance Rating.	External (EN, FR, ES) 16 & 17 February 2022
PU/DR Instructions with detailed guidance for PRs and LFAs to complete the form.	15 February 2022 (English - Translations to FR and ES to follow)
Partner Portal Interactive Guide with detailed guidance on using the Portal.	

Questions on the PU/DR or Pulse Checks?

Please contact Country.Support@theglobalfund.org.

IT and OE Support available in English, French and Spanish.

*Applicable to High Impact and Core portfolios only.



Thank you!

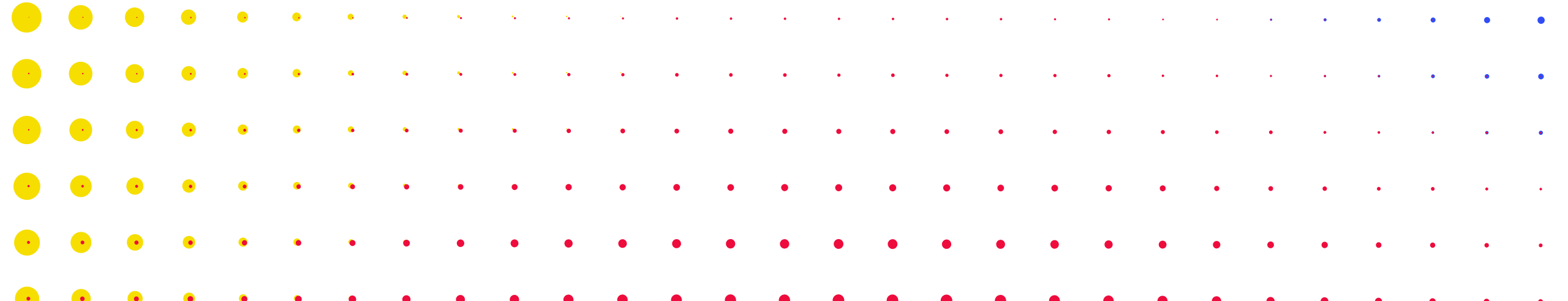


The Global Fund to Fight
AIDS, Tuberculosis and Malaria

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theglobalfund.org



ANNEX





Steps for accessing and submitting the PU/DR in the Partner Portal

Selecting the PU/DR in the Partner Portal

1. Select the PU/DR tab

The screenshot shows the 'THE GLOBAL FUND' Partner Portal. At the top, there are language options (English, Français, Español), a user profile for 'Dalitso Kuphanga', and a navigation menu with 'Home', 'PU/DR', 'Pulse', 'Check', and 'Report Issue'. The 'PU/DR' tab is circled in red. Below the navigation is a filter section with dropdowns for 'Country', 'Grant', 'Reporting Period', and 'Status', along with a 'Clear Filters' button. The main content is divided into two sections: 'Complete and submit to the Global Fund' and 'Submitted to the Global Fund'. Each section contains a grid of request cards. The first card in the 'Complete and submit' section, 'TGO-H-PMT', is circled in red. Each card displays IP Dates, Reporting Period Start/End Dates, PU/DR Due Date, and Last Modified information.

Request ID	IP Dates	Reporting Period Start Date	Reporting Period End Date	PU/DR Due Date	Last Modified
TGO-H-PMT	01-Jan-21 - 31-Dec-23	01-Jul-21	31-Dec-21	01-Mar-22	Dalitso Kuphanga 09-Feb-22 11:16 AM
BFA-T-PADS	01-Jan-21 - 31-Dec-23	01-Jul-21	31-Dec-21	01-Mar-22	Dalitso Kuphanga 09-Feb-22 09:01 AM
ERI-T-MOH	01-Jan-21 - 31-Dec-23	01-Jul-21	31-Dec-21	01-Mar-22	Dalitso Kuphanga 09-Feb-22 07:57 AM
ALB-C-MOH	01-Jan-20 - 31-Dec-22	01-Jan-21	01-Dec-21	30-Jan-22	
SDN-M-MOH	01-Jul-21 - 31-Dec-23	01-Jul-21	31-Dec-21	01-Mar-22	Dalitso Kuphanga 27-Jan-22 10:08 AM
COD-M-MOH	01-Jan-21 - 31-Dec-23	01-Jul-21	01-Dec-21	30-Jan-22	Mampianina RANDRIAMBAHOAKA 12-Jan-22 03:11 PM
TZA-T-MOFP	01-Jan-21 - 31-Dec-23	01-Jul-21	01-Dec-21	30-Jan-22	

2. Select the PU/DR you wish to work on

Downloading the PU/DR form from the Partner Portal

English | Français | Español Online Dalitso Kuphanga

THE GLOBAL FUND Home **PU/DR** Pulse Check Report Issue

/ PU/DR / TGO-H-PMT period ending 31-Dec-21 / Documents TGO-H-PMT

Current Programmatic Reporting Period	Current Financial Reporting Period	Cumulative Financial Reporting Period	Disbursement Request Execution Period	Implementation Period Currency
01-Jul-21 31-Dec-21	01-Jul-21 31-Dec-21	01-Jan-21 31-Dec-21	01-Jan-22 31-Dec-22	EUR

DocumentsSubmission

Documents

Download PU/DR Form

Password to download PU/DR
tzWsjsUy

Download

Attach Documents

Attach mandatory and supporting documents here

Attach Documents

Review Previously Attached Documents

If the documents are ready for submission, please navigate to the "Submission" tab (Submitters only)

View Documents

1. Select the "Documents" tab

2. Copy the password

Copy & paste password

3. Click "Download"

4. Paste the password

Password Required

To access the file, enter the password that was given to you with this content delivery:

Go!

5. Click "Go"

Attaching the completed PU/DR and other documents

1. Select the "Documents" tab

Documents

Download PU/DR Form

Password to download PU/DR
tzWsjSuy

Download

Attach Documents

Attach mandatory and supporting documents here

Attach Documents

Review Previously Attached Documents

If the documents are ready for submission, please navigate to the "Submission" tab (Submit only)

View Documents

5. Click "View Documents" to see attached documents (as needed)

2. Click "Attach Documents"

3. Click "Choose files" and select the file you wish to attach

Attachments

Attach Documents

Choose files No file chosen

Signed-Progress-Report

Management-Issues-and-Actions

Annex

Progress-Report

Choose files No file chosen

4. Select file type

The PU/DR and Signed PU/DR are mandatory documents for submission.

To display new document, please click on 'Refresh'

DOWNLOAD	FILE NAME	ORIGINAL FILE NAME	FILE TYPE	FILE EXTEN...	LANGUAGE	VERSION	CREATED D...	CREATED BY	ROLE	
<input type="checkbox"/>	Download	TGO_H_PMT_R...	TGO_H_PMT_Reporting Period_31 Dec. 2021_GenerateProgressRe- port_2.xlsx	Progress-Report	xlsx	English	6	2022-02-09 11:1...	Dalitso Kuphanga	PR
<input type="checkbox"/>	Download	TGO_H_PMT_R...	TGO_H_PMT_Reporting Period_31 Dec. 2021_GenerateProgressRe- port_2.xlsx	Progress-Report	xlsx	English	5	2022-02-09 11:1...	Dalitso Kuphanga	PR
<input type="checkbox"/>	Download	TGO_H_PMT_R...	TGO_H_PMT_Reporting Period_31 Dec. 2021_GenerateProgressRe- port_2.xlsx	Progress-Report	xlsx	English	4	2022-02-09 09:2...	Dalitso Kuphanga	PR
<input type="checkbox"/>	Download	TGO_H_PMT_R...	PUDR.PNG	Annex	png	English	2	2022-01-27 06:1...	Dalitso Kuphanga	PR
<input type="checkbox"/>	Download	TGO_H_PMT_R...	CI.PNG	Annex	png	English	1	2022-01-27 06:1...	Dalitso Kuphanga	PR
<input type="checkbox"/>	Download	TGO_H_PMT_R...	Int.png	Signed- Progress-Report	png	English	1	2022-01-27 06:1...	Dalitso Kuphanga	PR

Submitting the completed PU/DR

English | Français | Español Online Dalitso Kuphanga

THE GLOBAL FUND Home PUDR Pulse Check Report Issue

/ PUDR / TGO-H-PMT period ending 31-Dec-21 / Submission TGO-H-PMT

Current Programmatic Reporting Period	Current Financial Reporting Period	Cumulative Financial Reporting Period	Disbursement Request Execution Period	Implementation Period Currency
01-Jul-21 31-Dec-21	01-Jul-21 31-Dec-21	01-Jan-21 31-Dec-21	01-Jan-22 31-Dec-22	EUR

Documents Submission

Submission

Mandatory Documents

The following documents are mandatory. If missing or not correct, please submit the mandatory files.

Status	Document Type	Document Name	Attached Date	Attached By
Uploaded	PU/DR	TGO_H_PMT_Reporting Period_31 Dec. 2021_GenerateProgressReport_2.xlsx	09-Feb-22 11:16 AM	Dalitso Kuphanga
Uploaded	Signed PU/DR	Int.png	27-Jan-22 06:17 PM	Dalitso Kuphanga

View attached documents

If the documents are ready for submission, please click Submit to send the PU/DR to the Global Fund. You will no longer be able to edit the PU/DR after submission.

Submit to the Global Fund

1. Select "Submission" tab

To display new document, please click on 'Refresh'

Refresh

DOWNLOAD	FILE NAME	ORIGINAL FILE NAME	FILE TYPE	FILE ...	LANG...	VERS...	CREA...	CREA...	ROLE
Download	TGO_H_PMT_R...	TGO_H_PMT_Reporting Period_31 Dec. 2021_GenerateProgressReport_2.xlsx	Progress-Report	xlsx	English	6	2022-02-0...	Dalitso Kuphanga	PR
Download	TGO_H_PMT_R...	TGO_H_PMT_Reporting Period_31 Dec. 2021_GenerateProgressReport_2.xlsx	Progress-Report	xlsx	English	5	2022-02-0...	Dalitso Kuphanga	PR
Download	TGO_H_PMT_R...	TGO_H_PMT_Reporting Period_31 Dec. 2021_GenerateProgressReport_2.xlsx	Progress-Report	xlsx	English	4	2022-02-0...	Dalitso Kuphanga	PR
Download	TGO_H_PMT_R...	PUDR.PNG	Annex	png	English	2	2022-01-2...	Dalitso Kuphanga	PR
Download	TGO_H_PMT_R...	CI.PNG	Annex	png	English	1	2022-01-2...	Dalitso Kuphanga	PR

2. Click "View Documents" to see attached documents (as needed)

3. Click "Submit to the Global Fund"

Confirmation

Are you sure you want to proceed with the submission of the PU/DR to the Global Fund ?

Submit to the Global Fund Cancel

4. Click "Submit to the Global Fund" to confirm submission