Guidelines for COVID-19 Funding Related Assurance Activities

*External Version*

August 2020

Purpose

The purpose of this document is to provide guidance to Global Fund Country Teams and the appropriate assurance providers on COVID-19 funding related assurance activities.

Background

The Global Fund is making funding available through the COVID-19 Response Mechanism (C19RM) and grant flexibilities to help countries fight COVID-19, mitigate the impacts on lifesaving HIV, TB and malaria programs, and prevent fragile health systems from being overwhelmed.

C19RM is designed to assist eligible countries respond to COVID-19 in three ways, which

may be combined:

1. Interventions to mitigate the impact of COVID-19 on Global Fund-supported disease programs;
2. Actions to reinforce the response to COVID-19; and
3. Initiatives to make urgent improvements in health and community systems, including laboratory networks, supply chains and engagement with vulnerable communities.

C19RM is designed to leverage as much as possible existing systems and processes by building on implementation arrangements of existing grants.

For detailed information related to COVID-19, please consult the Global Fund website: <https://www.theglobalfund.org/en/covid-19/>.

Scope of assurance activities

From the services included in this guideline a number of services are particularly important to be performed if the portfolio has funding in [funding area 2](#Covidfundingarea2) (whether through the COVID-19 Response mechanism (C19RM) or grant flexibilities)[[1]](#footnote-2). The assurance provider should liaise closely with the Global Fund Country Team on which services are required to be delivered.

Factors to consider when deciding on the type and scope of the assurance services, include:

1. **Risks**: including risk of fraud, based on nature of activities, type of products procured, implementation and procurement arrangements used; and known country/grant risks. For example:
* Procurement Capacity: there are increased levels of risk when products are procured locally using new systems not reviewed in recent years or systems where significant issues were identified in the past, non-pre-vetted or non-pre-qualified suppliers, single source or limited competitive procurements as they may increase the risk of collusion, bid rigging, vendor preference, conflicts of interest, ghost vendors, etc.
* Supply chain systems: In countries where significant amounts for equipment/supplies are channeled through supply chain systems which have not been reviewed or have not been used for grant implementation in recent years, the Country Team may have little or no insights into their capacities and potential risks. There is also an increased level of risk if significant issues were identified in the supply chain system in the past.
* Recipient/user of COVID-10 related funding: The response may be led by other units of the MOH than the PR. COVID-19 related funds are disbursed to or channeled through a country’s national COVID-19 response mechanism or program, which may not be associated with existing PRs or its Global Fund core program units, and thus, the funds are not processed and controlled through the PR’s normal Global Fund grant financial and accounting systems and controls;
* Types of activities funded and whether those activities are tied to, or separate from, pre-existing core disease-fighting activities (e.g., PPE for TB clinic staff versus virus laboratory testing);
* Mechanisms used to process and utilize the funds, including significant use of cash payments.
1. **Materiality** of the amounts allocated in relation to the overall grant allocation should be considered together with the risks.

Scoping of the services:

As with all assurance services, the scoping of the assurance should follow a risk-based approach and incorporate and leverage, where possible, assurances and information provided by the portfolio’s other assurance mechanisms, such as the internal and external auditors, and supreme audit institutions.

The Global Fund Country Team should also consider whether:

1. Activities covered by COVID-19 funding **require specific verifications** and/or are of such a nature that they could not be checked as part of ongoing verifications, e.g. activities with respect to funding area 2 of C19RM funding ([point 2 above](#Covidfundingarea2)) relating to interventions to reinforce the response to COVID-19.; and
2. Activities covered by COVID-19 funding **can be verified as part of ongoing/planned LFA verifications**.

It is assumed that in most cases, assurance activities for interventions related to [points 1 and 3 above](#Covidfundingareas) can be embedded in on-going reviews and verifications for other grant activities. An expenditure verification may, for example, include COVID-19 related funds. However, depending on the risks, the materiality of the COVID-19 resources and the agreed implementation arrangements, the Global Fund Country Team may decide to request some additional verifications for these funding areas.

Funding area 2 of C19RM funding ([point 2 above](#Covidfundingarea2)) relating to interventions to reinforce the response to COVID-19, if material, will likely require separate assurance activities. The majority of the assurance activities for this funding area will focus on the procurement, supply chain, distribution and use of health products (e.g. personal protective equipment (PPE), diagnostics, and treatment), laboratory equipment and the use of COVID-19 related funds.

COVID-19 response investments include, but are not limited to:

1. COVID-19 response planning, preparation and surveillance (Technical Assistance, in-country planning missions, meetings, M&E investments)
2. Protection of front-line health workers including those working for Global Fund programs (PPE, hospital infection control products, set up of isolations and quarantine wards).
3. Diagnosis of infection (lab equipment and lab consumables, lab staff, specimen transportation).
4. Treatment (ancillary treatment, equipment, hospital beds, systems for home-based care).

Assurance activities

The below listed assurance activities are relevant for all of the [three C19RM funding areas](#Covidfundingareas), and in particular for countries receiving significant resources for [funding area 2](#Covidfundingarea2).

**Summary**

|  |  |
| --- | --- |
| Assurance activities | Applicable situations |
| 1. Review of quantification (forecast

and supply planning) 1. Procurement review
2. Verifying that quality assured

products and services are procured | All goods/services/treatments, whether procured through wambo.org, AOM, UN, or through local procurementGoods/services/treatments procured locally, i.e. NOT through wambo.org, AOM or UN |
| 1. Supply chain management review
2. Service delivery review
3. Finance verifications
 | All goods/services/treatments, whether procured through wambo.org, AOM, UN, or through local procurement |

1. Review of Quantification and Procurement

The need for and scope of procurement reviews should be tailored to the procurement mechanisms used by the country.

From mid-July 2020 PRs with approved funding for PPEs have been strongly encouraged to procure PPE products through wambo.org. However, [under certain conditions](https://www.theglobalfund.org/en/covid-19/health-product-supply/personal-protective-equipment-procurement/) they may procure PPEs locally.

A number of defined diagnostic tests can be ordered centrally through the [Global Fund’s Accelerated Order Mechanism (AOM)](https://www.theglobalfund.org/media/9694/covid19_acceleratedordermechanism_qa_en.pdf?u=637278308530000000). Certain tests can be procured through WHO/UNICEF or some countries can choose to procure other, non-WHO Consortium allocated COVID-19 diagnostic tests using Global Fund funding[[2]](#footnote-3). Please note that the list of SARS-CoV-2 Diagnostic Test Kits and Equipment Eligible for Procurement referenced in the below footnote was first published and applicable since early May 2020. Procurement undertaken before early May 2020 does not have the requirement to be complaint with this list.

Note: Since in the first period of the emergency (mostly March and April 2020) there was limited possibility to place orders via one of the international mechanisms, local procurement or through the WHO portal/UNICEF were the preferred and approved options.

Review of quantification:

Before large-scale orders of PPEs, diagnostics, lab equipment and supplies are placed, the assurance provider may be requested to review the quantification with the aim to avoid an over- or undersupply of the respective products. To the extent possible, this should include reviewing how the quantification was validated and coordinated among national authorities and partners supplying the same commodities before orders are placed.

This review may be requested irrespective of the whether the products are procured locally or ordered centrally through wambo.org and related means.

Procurement review:

The following assurance activities are required for local procurements (i.e. NOT through wambo.org, AOM or partner agreements (e.g. UNICEF)) of large volumes of products and treatments (e.g. Dexamethasone):

1. Using the [LFA Procurement Review Tool](https://www.theglobalfund.org/media/3240/lfa_procurementreview_tool_en.xlsx?u=637278309820000000) (tailored to specific country situation), verify that the procurement is following an open, competitive and transparent process; or review documented justification where procurement flexibilities were applied by the PR due to the emergency situation;
2. Any exemptions from competitive procurement process are in line with the applicable procurement guidelines, well justified, documented and approved by the relevant authority (as applicable);
3. Verify that the procurement is value for money by checking references prices in resource tools, including wambo.org; and review documented justification where they are higher. The LFA should flag the % paid on top of the international reference price with an explanation of what the premium included and evaluate the reasonableness and justification for paying the premium in the context of the COVID-19 emergency. For instance, it may be considered reasonable to pay a premium for faster delivery in the emergency or in cases where there are regulatory barriers for importation.

The above verification steps may also be applied to significant procurement of services, for instance related to additional storage space or distribution services.

1. Quality assurance

The focus of assurance should be on whether quality assured products are ordered and procured. Quality standards for different COVID-19 related products can be found in the [WHO Covid-19 Disease Commodity Package](https://www.who.int/publications/i/item/disease-commodity-package---novel-coronavirus-%28ncov%29). Please note that due to the emergency situation, national standards are likely to have been used where WHO-mentioned standard products may not have been available on the local market.

The following quality assurance activities are required for locally procured (i.e. NOT through wambo.org, AOM or partner agreements (e.g. UNICEF)) products and treatments (e.g. Dexamethasone):

1. Review whether the diagnostic products procured with Global Fund COVID-19 related resources comply with the [Interim Quality Assurance Requirements for the Procurement of COVID-19 Diagnostic Products](https://www.theglobalfund.org/media/9628/covid19_interimqualityassurancerequirementsdiagnosticproducts_guidance_en.pdf?u=637278308810000000) (approved 8 May 2020). For PPE and prevention health products, such as alcohol or sanitizers, ensure the procurement followed national guidance, international references if any (e.g., WHO) and ensure that the products are as a minimum registered in country or approved by the NMRA/MOH for procurement under pandemic scheme (or provided a waiver for registration). For essential medicines, such as Dexamethasone, ensure that they comply with the quality standards of the National Regulatory Authorities.
2. Verify that the products procured (as reflected on the invoice e.g. INN, batch number, manufacturer) are the products received – through physical inspection and availability of a valid Certificate of Analysis (CoA), where applicable.
3. Supply chain management review

The review and verification should determine if existing systems/processes and controls, such as storage facilities and distribution channels, are adequate and meet internationally recognized standards for storage and distribution practices[[3]](#footnote-4). This should include sample checks of the supply chain from central level to the beneficiary. The frequency of these verifications should be based on access to sites/travel restrictions and risks, including the outcome of the review of controls, processes and systems. The specific ToR for the required services should follow the below and build on relevant elements of the [ToR Supply Chain Management Review](https://www.theglobalfund.org/media/3250/lfa_supplychainmanagementreview_tor_en.docx?u=637319005857500000).

Management of storage and supply chain:

1. Review controls for receiving of goods, stock placement and location, inventory control and records management, order processing, inventory counts, order release and dispatch, good house-keeping, equipment management, etc.
2. Verify at the central warehouse and selected service delivery points that goods are received, stored, and managed in accordance with Good Storage Practices as applicable for the concerned health products, i.e. in storage facilities that meet international standards and are safe, secure and reliable (e.g. existence of adequate inventory management and storage facilities as well as temperature-control and monitoring systems to assure efficacy of products/drugs received by end users/final beneficiaries).
3. In cases where the goods procured with Global Fund COVID-19 related resources are stored as part of the country’s central pool of COVID-19 products, review how this is managed and confirm the storage and distribution according to the Covid-19 response plan of the PR’s or the agency managing the response.
4. Review if there are adequate systems and controls in place to minimize the risk of stock-outs, over-stocks and expiry.

Distribution:

1. Review whether the health products are distributed in accordance with Good Distribution Practices as applicable for the concerned health products.
2. On a sample basis, track several withdrawals from storage and verify the delivery to and receipt of the goods by the end user/beneficiaries. This verification should include interviews on a sample basis with final beneficiaries to check whether they receive the goods according to plan (quantity, type of products, frequency of receipt), whether they had to pay for them, they use them, and whether the products are of acceptable quality, etc..
3. Check whether products are withheld at various levels between the central level and the end user/beneficiaries, thus reducing the quantity of goods reaching the end user/beneficiaries.
4. To the extent possible, perform a reconciliation of quantities ordered, quantities received at central location, dispatched to different locations, including to the site reviewed.
5. Service Delivery

The review and verification should determine if the procured goods and equipment are adequately used, maintained and administered. The specific ToR for the required services should follow the below and build on relevant elements of the [ToR for Laboratory Services and Related Supply Chain Review](https://www.theglobalfund.org/media/3230/lfa_laboratoryservicessupplychain_review_en.docx?u=637319005377730000).

1. Verify that Covid-19 laboratory services and equipment are available and being used effectively. This includes checking whether the equipment was delivered in line with the contract, installed by a qualified engineer at a laboratory with adequate conditions and that the necessary biosafety level is maintained.
2. Check the transportation of samples; adherence to biosafety measures and availability of all items for testing (e.g. sufficient number of machines and reagents for testing, labs should have water, electricity, sample collection swabs/media and PPE amongst others)
3. Verify that the equipment undergoes routine maintenance (including calibration) and that there is evidence of this (contract at central or peripheral level and existence of an up-to-date log book for each equipment[[4]](#footnote-5)).
4. Verify that COVID-19 related medicines are administered and used in accordance with the latest WHO treatment guidelines and check how case management health equipment is used (ventilators, beds, bedside monitors, oxygen, etc.)
5. Ensure PPE are adequately used by the populations they were intended to protect. Conduct spot checks on receipt and use at service delivery points.
6. Verify whether provisions are made that appropriate waste management procedures (collection, storage, transportation, treatment, disposal) for used, expired or damaged health products (e.g. PPE, cartridges etc.) are in place, including adherence to occupational health and safety standards for waste handlers.
7. Finance verifications

Finance reviews and verifications are aimed at ensuring that COVID-19 related resources are adequately budgeted and used. **As much as possible these verifications should be undertaken as part of ongoing budget and/or expenditure reviews and/or risk-based spot checks and follow the existing LFA guidelines and templates**[[5]](#footnote-6). This may include, for example, the verification during the PU/PUDR that COVID-19 related expenditures are compliant with the budget, procurement processes and timelines determined for COVID grant flexibilities. As required, based on considerations of materiality and risks, including new risks to existing financial systems, the Global Fund Country Team may request additional reviews. The specific ToR for the required services should build on relevant elements of the available [Finance Guidelines and ToR](https://www.theglobalfund.org/en/lfa/guidelines-tools/ongoing-grant-management/).

Timing of COVID-19 related assurance activities

Preference for ex ante versus post factum verifications: as much as possible, the Global Fund Country Teams should plan and time key COVID-19 related assurance activities with their LFAs to have real-time as opposed to post-factum verifications. This is particularly relevant for significant interventions to ensure that the Global Fund obtains insights into potential bottlenecks/delays/risks as the PR plans and starts to implement such interventions. The aim of having early alerts to issues is to allow the Global Fund Country Team to take timely rectifying actions. These verifications could include a review of the PR’s or the agency managing the Covid-19 response distribution plans before they are being implemented and physical verifications (as much as the COVID-19 situation in the country allows) of distributions of PPEs/diagnostics, laboratory equipment or other products to health facilities.

Methods of assurance

Preferably, the assurance activities should be based on physical verifications on a sample basis, such as site visits to health facilities to verify the storage and management of PPEs and diagnostics, usage of the laboratory equipment; interviews with health care providers to check their satisfaction with the supply of such products and availability of products; etc. Prior to the start of the verification, the Global Fund Country Team and the LFA should agree on the geographic areas to be covered and the sampling methodology (how many sites and locations; sample size of health care providers to be interviewed; period of time being reviewed; etc).

Due to certain travel restrictions in some countries, physical verifications may not always be possible. In such cases, the LFAs should agree with their Global Fund Country Teams alternative verification methods, for example, telephone interviews with health care providers.

Assurance service delivery

It is assumed that LFAs will be the primary provider of the assurance services. At the same time, there may be circumstances where the Global Fund Country Teams decide that other potential providers are better positioned to provide some specific assurance services. For example, some portfolios may channel the funds through the PR, or request direct distributions, to a special national COVID-designated program implementer, which may pool various donor and government funds and reporting. Although the Global Fund still legally retains access rights to assure appropriate use of funds, the circumstances should be specifically assessed to determine the best and most cost-effective method of obtaining assurance over the funds, if at high risk and material, such as relying on the national auditor, external auditors, donor auditors or inspections or other measures.

All assurance tasks related to the procurement and management of health products should be led by a PSM Expert who is accountable for the technical content of the reports. S/he can be supported, as needed, by other assurance team members in the planning and during the verification, especially if the PSM Expert cannot travel to the country. All finance related assurance activities should be led by a Finance Professional. It is key that the various assurance team experts (i.e. PSM, Lab, Finance and Programmatic/M&E experts) consult each other to ensure appropriate linkages and analysis. The LoE of the services, including for report writing, depends on the scope of the assurance tasks and the number and location of service delivery sites included in the review, and should be agreed in writing between the Global Fund Country Team and the assurance provider prior to the start of the service.

Output/Deliverables

Please find the reporting format in Annex A and here:

 

Differentiated reporting requirements:

1. Focused portfolios: the assurance provider submits the executive summary only, unless otherwise agreed with the Global Fund Country Team. In cases where the Global Fund has follow-up questions and/or requests additional details, for example in instances of critical findings, the assurance provider should be ready to submit the required data and analysis.
2. Core and High Impact portfolios: the assurance provider submits full report, including the executive summary.

The full report should address each of the points listed under the final scope of the review/list of tasks based on the above and as agreed between the Global Fund Country Team and the assurance provider and be supplemented with other relevant information, as appropriate. The report should include without limitation:

1. A description and analysis of issues/risks identified. The assurance provider should comment on the context and potential root causes of the issues identified, providing background information as necessary and prioritise the list of issues according to their significance.
2. Recommendations for addressing issues identified. Recommendations should be:
* Concise but with all the relevant information included
* Specific and contextualised
* Time-bound
* Prioritized based on the level of risk
* Identifying the main entity responsible for implementation
1. The main findings from the review/verification should be discussed with the PR/implementer during a de-brief meeting. Relevant observations from the de-brief should be included in the final report to the Global Fund County Team.

Information Sharing

As per the normal practice and the provisions in the [*LFA Communication Protocol*](https://www.theglobalfund.org/media/3216/lfa_communications_protocol_en.pdf?u=637319005496200000), the LFA reports related to these services are confidential and for internal Global Fund use only. However, there may be occasions when the Global Fund may choose to disseminate some aggregate, not country specific, data with external parties.

Management of COVID-19 related assurance activities in the LFA work plans

Two new services are created in the LFA Portal to record LFA verifications with respect to COVID-19 funding, namely:

1. COVID-19 Funding related verifications: PPE, diagnostics, other health products
2. COVID-19 Funding related other verifications

LFA assurance activities which relate to COVID-19 funding must be recorded under either of the above two services. All services related to the procurement and management of COVID-19 health products should be recorded under service 1 above. All other services, for instance, specific finance verifications related to COVID-19 should be recorded under service 2.

In cases where COVID-19 funding related verifications are embedded in ongoing verifications for other grant activities, for example in a PUDR expenditure review, this should be recorded under the service of which it is part, e.g. the PUDR.

**Only LFA assurance activities directly related to COVID-19 funding should be recorded under the above two services. This is to ensure that spending for COVID-19 related assurance activities can be accurately tracked.**

**ANNEX A – Reporting Template**

Once the Executive Summary and the full report, where applicable, are finalized and agreed with the Country Team, the assurance provider is requested to **replicate the agreed and approved version of the Executive Summary in MS Forms**.

1. Open the executive summary survey with this [link](https://forms.office.com/Pages/ResponsePage.aspx?id=CQmSd4KH-06q8USsEU18A_hrY_Cdk-BPs4V7uSEvy4tURVIzNFJGNlJLRkFSSkJXQTM4RVA5RVpDTyQlQCN0PWcu)
2. Complete all questions until the “Final Submission” section
3. Click “Submit”
4. Assurance provider will see a confirmation page informing them about their submission been received by the Global Fund. They will not receive an email notification of the submission.

**Executive Summary**

1. **Assurance Provider** *(Name of organization that completed this assurance activity)*
2. **Country**
3. **Principal Recipient(s)** *(Name of the PR(s) covered by this assurance activity)*
4. **Grant(s)** *(Name of the Grant covered by this assurance activity (separate with a comma)*
5. **Period under Review** *(Indicate, with dates, the time period under review (From dd/mm/yyyy, To dd/mm/yyyy)*
6. **Please indicate which of the below COVID-19 related products/services were procured and how (only for material amounts).**

|  |  |  |  |
| --- | --- | --- | --- |
| COVID-19 related products/services | Not procured/Not material | Procured locally | Procured through pooled mechanisms, e.g. wambo.org, [AOM](https://www.theglobalfund.org/en/covid-19/health-product-supply/diagnostics-procurement/) or partner agreements (e.g. UNICEF) |
| PPEs | [ ]  | [ ]  | [ ]  |
| Diagnostics | [ ]  | [ ]  | [ ]  |
| Lab equipment/supplies | [ ]  | [ ]  | [ ]  |
| Medicines | [ ]  | [ ]  | [ ]  |
| Services (e.g. storage space or distribution services)Please specify: | [ ]  | [ ]  | [ ]  |
| Others *(please specify)*: | [ ]  | [ ]  | [ ]  |

**Key findings**

1. **Review of quantification**
2. Was a Review of Quantification requested?

Yes [ ]  No [ ]

1. If yes, select for the below products/services (only for material amounts) the level of issues identified.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| COVID-19 related products/services | N/A | No Issues | Minor Issues | Major Issues |
| PPEs | [ ]  | [ ]  | [ ]  | [ ]  |
| Diagnostics | [ ]   | [ ]   | [ ]   | [ ]   |
| Lab equipment/supplies | [ ]  | [ ]  | [ ]  | [ ]  |
| Medicines | [ ]  | [ ]  | [ ]  | [ ]  |
| Services (e.g. storage space or distribution services)Please specify: | [ ]  | [ ]  | [ ]  | [ ]  |
| Others, please specify: | [ ]  | [ ]  | [ ]  | [ ]  |

1. Please indicate in which of the below areas **major issues** were identified.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Areas of review | PPEs | Diagnostics | Lab equipment/supplies | Medicines | Services | Others, (*please specify)* |
| Quantification risks over- or undersupply of goods | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Validation of quantification and coordination among national authorities/partners supplying the same commodities | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other *(please specify):*  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

1. Key Recommendations *(for each of the identified key findings enter relevant key recommendations)*
2. **Procurement Review**
3. Was a Procurement Review requested?

Yes [ ]  No [ ]

1. If yes, select for the below products/services (only for material amounts) the level of issues identified.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| COVID-19 related products/services | N/A | No Issues | Minor Issues | Major Issues |
| PPEs | [ ]  | [ ]  | [ ]  | [ ]  |
| Diagnostics | [ ]   | [ ]   | [ ]   | [ ]   |
| Lab equipment/supplies | [ ]  | [ ]  | [ ]  | [ ]  |
| Medicines | [ ]  | [ ]  | [ ]  | [ ]  |
| Services (e.g. storage space or distribution services)Please specify: | [ ]  | [ ]  | [ ]  | [ ]  |
| Others, please specify: | [ ]  | [ ]  | [ ]  | [ ]  |

1. Please indicate in which of the below areas **major issues** were identified.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Areas of review | PPEs | Diagnostics | Lab equipment/supplies | Medicines | Services | Others, (*please specify)* |
| Technical capacity and controls of the procuring entity to minimize the risk of fraud and corruption. | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Procurement planning, including how planning impacted timely supply of goods. | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Procurement process, tendering procedures and contract award, including compliance to formal written procurement procedures/guidelines | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Exemptions from competitive procurement process, including justification, documentation, compliance with the applicable procurement guidelines, approval by relevant authority, as required | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Value for money of the procurement | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other *(please specify):* | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

1. Key Recommendations *(for each of the identified key findings enter relevant key recommendations)*
2. **Quality assurance of products**
3. Was a review of quality assurance of products requested?

Yes [ ]  No [ ]

1. If yes, select for the below products/services (only for material amounts) the level of issues identified.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| COVID-19 related products/services | N/A | No Issue | Minor Issue | Major Issue |
| PPEs | [ ]  | [ ]  | [ ]  | [ ]  |
| Diagnostics | [ ]   | [ ]   | [ ]   | [ ]   |
| Lab equipment/supplies | [ ]  | [ ]  | [ ]  | [ ]  |
| Medicines | [ ]  | [ ]  | [ ]  | [ ]  |
| Services (e.g. storage space or distribution services)Please specify: | [ ]  | [ ]  | [ ]  | [ ]  |
| Others, please specify: | [ ]  | [ ]  | [ ]  | [ ]  |

1. Please indicate in which of the below areas **major issues** were identified.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Areas of review | PPEs | Diagnostics | Lab equipment/supplies | Medicines | Services | Others, (*please specify)* |
| Compliance of diagnostics procured with Global Fund COVID-19 related resources with the [Interim Quality Assurance Requirements for the Procurement of COVID-19 Diagnostic Products](https://www.theglobalfund.org/media/9628/covid19_interimqualityassurancerequirementsdiagnosticproducts_guidance_en.pdf?u=637278308810000000) (approved 8 May 2020) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Compliance of procurement of PPEs and prevention health products (e.g. alcohol or sanitizers) with national guidance, international references if any (e.g., WHO). | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Registration of the products in country or approval by the NMRA/MOH for procurement under pandemic scheme (unless a waiver for registration is provided). | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Compliance of essential medicines procured, e.g. Dexamethasone, with the quality standards of the National Regulatory Authorities. | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| The products procured are the products received. | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other *(please specify):* | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

1. Key Recommendations *(for each of the identified key findings enter relevant key recommendations)*
2. **Management of storage and supply chain review**
3. Was a review of management of storage and supply chain requested?

Yes [ ]  No [ ]

1. If yes, select for the below products/services (only for material amounts) the level of issues identified.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| COVID-19 related products/services | N/A | No Issues | Minor Issues | Major Issues |
| PPEs | [ ]  | [ ]  | [ ]  | [ ]  |
| Diagnostics | [ ]   | [ ]   | [ ]   | [ ]   |
| Lab equipment/supplies | [ ]  | [ ]  | [ ]  | [ ]  |
| Medicines | [ ]  | [ ]  | [ ]  | [ ]  |
| Services (e.g. storage space or distribution services)Please specify: | [ ]  | [ ]  | [ ]  | [ ]  |
| Others, please specify: | [ ]  | [ ]  | [ ]  | [ ]  |

1. Please indicate in which of the below areas **major issues** were identified.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Areas of review | PPEs | Diagnostics | Lab equipment/supplies | Medicines | Services | Others, (*please specify)* |
| Controls to minimize the risk of loss, diversion or damage in the storage facilities | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Receipt, storage and management of goods in accordance with Good Storage Practices, as applicable for the concerned health products | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| *For goods which were procured with Global Fund COVID-19 related resources and which are stored as part of the country’s central pool of COVID-19 products:* Management of storage and distribution in accordance to the Covid-19 response plan of the PR’s or the agency managing the response. | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Systems and controls to minimize the risk of stock-outs, over-stocks and expiry. | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other *(please specify):* | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

1. Key Recommendations *(for each of the identified key findings enter relevant key recommendations)*
2. **Distribution**
3. Was a review of distribution requested?

Yes [ ]  No [ ]

1. If yes, select for the below products/services (only for material amounts) the level of issues identified.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| COVID-19 related products/services | N/A | No Issues | Minor Issues | Major Issues |
| PPEs | [ ]  | [ ]  | [ ]  | [ ]  |
| Diagnostics | [ ]   | [ ]   | [ ]   | [ ]   |
| Lab equipment/supplies | [ ]  | [ ]  | [ ]  | [ ]  |
| Medicines | [ ]  | [ ]  | [ ]  | [ ]  |
| Services (e.g. storage space or distribution services)Please specify: | [ ]  | [ ]  | [ ]  | [ ]  |
| Others, please specify: | [ ]  | [ ]  | [ ]  | [ ]  |

1. Please indicate in which of the below areas **major issues** were identified.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Areas of review | PPEs | Diagnostics | Lab equipment/supplies | Medicines | Services | Others, (*please specify)* |
| Distribution of the products in accordance with Good Distribution Practices, as applicable for the concerned health products. | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Delivery and receipt of the goods by the end user/beneficiaries (including compliance with distribution plan; quantity and type of products, frequency of receipt).  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Payment for the products by the end user/beneficiaries. | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Reconciliations of quantities ordered, received at central location, dispatched to different locations | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other *(please specify):* | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

1. Key Recommendations *(for each of the identified key findings enter relevant key recommendations)*
2. **Service Delivery**
3. Was a review of service delivery requested?

Yes [ ]  No [ ]

1. If yes, select for the below products/services (only for material amounts) the level of issues identified.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| COVID-19 related products/services | N/A | No Issues | Minor Issues | Major Issues |
| PPEs | [ ]  | [ ]  | [ ]  | [ ]  |
| Diagnostics | [ ]   | [ ]   | [ ]   | [ ]   |
| Lab equipment/supplies | [ ]  | [ ]  | [ ]  | [ ]  |
| Medicines | [ ]  | [ ]  | [ ]  | [ ]  |
| Services (e.g. storage space or distribution services)Please specify: | [ ]  | [ ]  | [ ]  | [ ]  |
| Others, please specify: | [ ]  | [ ]  | [ ]  | [ ]  |

1. Please indicate in which of the below areas **major issues** were identified.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Areas of review | PPEs | Diagnostics | Lab equipment/supplies | Medicines | Services | Others, (*please specify)* |
| Availability and effective use of Covid-19 laboratory services and equipment | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Transportation of samples | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Adherence to biosafety measures | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Availability of all required items for testing | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Routine maintenance of equipment (including calibration). | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Administration and use of COVID-19 related medicines and case management health equipment in accordance with the latest guidelines (e.g. WHO treatment guidelines). | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Correct use of the PPEs by the end users/beneficiaries | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Waste management | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other *(please specify):* | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

1. Key Recommendations *(for each of the identified key findings enter relevant key recommendations)*
2. **Finance**
3. Was a finance-related review requested?

Yes [ ]  No [ ]

1. If yes, select for the below products/services (only for material amounts) the level of issues identified.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| COVID-19 related products/services | N/A | No Issues | Minor Issues | Major Issues |
| PPEs | [ ]  | [ ]  | [ ]  | [ ]  |
| Diagnostics | [ ]   | [ ]   | [ ]   | [ ]   |
| Lab equipment/supplies | [ ]  | [ ]  | [ ]  | [ ]  |
| Medicines | [ ]  | [ ]  | [ ]  | [ ]  |
| Services (e.g. storage space or distribution services)Please specify: | [ ]  | [ ]  | [ ]  | [ ]  |
| Others, please specify: | [ ]  | [ ]  | [ ]  | [ ]  |

1. Please indicate in which of the below areas **major issues** were identified.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Areas of review | PPEs | Diagnostics | Lab equipment/supplies | Medicines | Services | Others, (*please specify)* |
| Controls and oversight over COVID-19 related funding to minimize the risk of fraud | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Compliance of COVID-related expenditures with the budget, procurement processes and timelines determined for COVID grant flexibilities | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other *(please specify):* | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

1. Key Recommendations *(for each of the identified key findings enter relevant key recommendations)*
2. **Any Other Key Findings and Recommendations**
3. Please indicate any other pertinent key findings, including from review areas which are nt covered by the above.

**Detailed Report – Findings and Recommendations**

**Objective of the verification**

**Methodology**

*Provide a brief overview on the following:*

* *Assessment team composition;*
* *Sampling methodology and arrangements; and*
* *Preparation and means for data collection e.g. recruitment and training, if any, of data collectors; meetings with PR and disease program managers; data collection (interviewees); means of review (physical verification/phone interviews/desk review of documents etc); LoE*
* *Overview on how data was analyzed*
* *Provide a broad description of the study/assessment population – the number of planned sites and the number actually conducted (response rate)*

**Limitations**

*Focus on the methodological issues that may influence the interpretation of the results. For example, issues around sampling, response rate, respondent bias, difficulties in conducting the spot check and other identified limitations.*

**Findings**

For each of the verifications indicated in the Executive Summery [above](#ExecutiveSummary), provide the following:

1. A description and analysis of issues/risks identified.
* Comment on the context and potential root causes of the issues identified, providing background information as necessary.
* Prioritise the list of issues according to their significance.
* Both quantitative and qualitative results should be presented to highlight the main findings.
* Use tables and charts, where appropriate, in addition to text to illustrate pertinent information.
1. Recommendations for addressing issues identified. The recommendations should be:
* Concise but with all the relevant information included
* Specific and contextualised
* Realistically achievable in the implementation context
* Time-bound
* Prioritized based on the level of risk
* Identifying the main entity responsible for implementation
1. The main findings from the review/verification should be discussed with the PR/implementer during a de-brief meeting. Relevant observations from the de-brief should be included in the report.

**Summary – major issues and recommendations**

*Definition of major issues*: There are important gaps in capacities/processes/systems/controls that pose major risks to a successful implementation of the reviewed/assessed activity and to safeguarding assets procured with Global Fund COVID-19 related funding.

*Definition of minor issues*: Required capacity/processes/systems/controls are generally in place. The identified gaps pose minor risks that can be managed and/or strengthening measures can be implemented within a short timeframe.

|  |  |  |  |
| --- | --- | --- | --- |
| **Identified Major Issues** | **LFA Recommendations** | **Suggested Timeframe for Implementation** | **Proposed entity responsible for implementation** |
| 1. |  |  |  |
| 2. |  |  |  |
| 3. |  |  |  |
|  |  |  |  |

**Annex**

**Individuals interviewed/consulted (add more rows as needed)**

|  |  |  |  |
| --- | --- | --- | --- |
| Name | Title | Workplace | Contact Details |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Documents reviewed**

|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |

1. For further information, please refer to the Global fund website: <https://www.theglobalfund.org/en/covid-19/> [↑](#footnote-ref-2)
2. List of SARS-CoV-2 Diagnostic Test Kits and Equipment Eligible for Procurement: COVID-19 - published and applicable since early May 2020: <https://www.theglobalfund.org/media/9629/covid19_diagnosticproducts_list_en.pdf?u=637308404880000000> [↑](#footnote-ref-3)
3. The listed verifications steps are based on the LFA ToR [*Supply Chain Management Review*](https://www.theglobalfund.org/media/3250/lfa_supplychainmanagementreview_tor_en.docx?u=637278311050000000) [↑](#footnote-ref-4)
4. For further information on verification steps, please refer to LFA ToR [*Joint Programmatic / Monitoring and Evaluation (M&E) and Procurement and Supply Management (PSM) Laboratory Services and Related Supply Chain Review*](https://www.theglobalfund.org/media/3230/lfa_laboratoryservicessupplychain_review_en.docx?u=637278310540000000) [↑](#footnote-ref-5)
5. Please refer to the LFA guidelines and ToR available on the [Global Fund LFA website](https://www.theglobalfund.org/en/lfa/guidelines-tools/). [↑](#footnote-ref-6)