

Operational Procedures

Oversee Implementation and Monitor Performance

Approved on: 28 April 2022
Approved by: Executive Grant Management Committee
Process Owner: Grant Portfolio Solutions and Support Department
Associated OPN: OPN on Oversee Implementation and Monitor Performance

Metrics for Oversee Implementation and Monitor Performance

Principal Recipients (PRs)¹, Local Fund Agents (LFAs) and Country Teams (CTs) are expected to meet the following deadlines:

- PR submits Progress Update (PU) within 45 days² and PU/Disbursement Request (DR) within 60 days from last reporting period end-date.
- LFA submits findings and recommendation(s) 20 days from the receipt of the PU and PU/DR.
- CT issues the Performance Letter and Performance Rating within 95 days (PU) and 110 days (PU/DR) from last reporting period end-date.

Purpose

1. This document provides procedural guidance on how the Global Fund Secretariat oversees implementation and monitors performance. The specific grant deliverables set out in these procedures do not apply to Focused portfolios, unless explicitly stated (see also Annex 1 of the OPN on Oversee Implementation and Monitor Performance).

¹ Unless defined in this Operational Policy Note or the context otherwise requires, all capitalized terms used in this Operational Policy Note shall have the same meaning set out in the Global Fund Grant Regulations (2014).

² In this OPN, 'days' refers to calendar days, unless otherwise stated.

A. Implementation Oversight by the Country Team

Implementation Oversight by the Country Team	PLAN	TAKE ACTION	MONITOR	ASSESS
	Define Implementation Oversight Priorities	Oversee Grant Delivery	Collect Information and Review Progress	Performance Rating: Assess Grant and PR Performance
		Oversee PR Operations		Communicate Assessment and Required Actions
				Support In-Country Program Review and Evaluation

1. Define Implementation Oversight Priorities

Grant Deliverables	HI & Core	Focused	Timeline	Responsibilities
1.1 Oversight and assurance activities identified e.g. Data quality review (DQR), verifications, spot checks, in-country program reviews or evaluations	R ³	R ⁴	Annually as part of portfolio work planning of the CT and in line with LFA Budgeting timelines (as applicable)	Oversight activities: Prepared by: CT Approved by: FPM Assurance activities: as per Global Fund Guidelines and Procedures: - Budgeting Guidelines for LFA Services - Guidelines for Financial Assurance Planning for Global Fund Grants
1.2 Regular engagements with county planned	BP ⁵		As needed	Planned by: FPM, in consultation with the CT
1.3 Oversight, assurance activities and country engagements captured in existing CT workplans	BP		Annually as part of portfolio work planning of the CT	Prepared by: CT Approved by: FPM

³ R = Required

⁴ Only for LFA work planning and budgeting.

⁵ BP = Best Practice

2. Oversee Grant Delivery

Grant Deliverables	HI & Core	Focused	Timeline	Responsibilities
2.1 Oversight and assurance activities implemented and adjusted (as applicable)	R	R	Ongoing	Implemented by: CT
2.2 Required CT actions to address implementation challenges identified and delivered (as applicable), such as:	R		As applicable	Implemented by: CT
- Disbursements adjusted			As applicable	As per the Operational Procedures on Annual Funding Decisions and Disbursements
- Technical and Implementation Support facilitated (as applicable)			As applicable	
- Revision(s) completed (as applicable)			As applicable	As per the Operational Procedures on Grant Revisions
- Additional funds requested through Portfolio Optimization ⁶ (as applicable)			According to Portfolio Optimization windows ⁷	As per the Operational Procedures on Portfolio Optimization (forthcoming)
2.3 Status of grant requirements ⁸ and required actions tracked <ul style="list-style-type: none"> - Required follow-up actions determined (if not fulfilled) - New grant requirements or required actions determined (as applicable) 	R		Ongoing, but at minimum during review of PU/DR	Reviewed and tracked by: PO

⁶ If grant is positioned to accelerate implementation and where funds are available.

⁷ Depending on availability of funds.

⁸ Includes co-financing requirements.

3. Oversee PR Operations

Grant Deliverables	HI & Core	Focused	Timeline	Responsibilities
<p>3.1 Inputs to PR implementation workplan</p> <p>See Annex 1 on Recommended Elements for a PR Annual Implementation Workplan</p>	BP		Prior to start of next execution period	<p>Prepared by: PR</p> <p>Reviewed by: PO, with inputs from CT and support from LFA (as applicable)</p>
<p>3.2 Oversight and assurance activities implemented and adjusted (as applicable)</p>	R	R	According to timelines in existing CT workplan	<p>Prepared by: LFA or other assurance provider</p> <p>Reviewed by:</p> <ul style="list-style-type: none"> - PO or FPM (Focused) - Other Country Team members (as applicable)
<p>3.3 Required capacity strengthening measures identified and agreed with PR and/or CCM, (as applicable), such as:</p>	R		Following the outcome of assessments from assurance activities	Facilitated by: FPM, with inputs from CT, CCM and partners (as applicable)
<p>- Decision to outsource PR responsibilities through, for example:</p> <ul style="list-style-type: none"> - Fiduciary/Fiscal/Payment Agent - Procurement Agent - Use of Pooled Procurement Mechanism (PPM) 			As applicable	<p>As per Global Fund Guidelines on Financial Risk Management</p> <p>As per the OPN and Procedures on Pooled Procurement Mechanism</p>
<p>- Decision to change PR/SR</p>			As applicable	<p><u>Change of PR:</u></p> <ul style="list-style-type: none"> - Approved as per the OPN and Operational Procedures on Grant Revisions <p><u>Change of SR:</u></p> <ul style="list-style-type: none"> - Approved by PR
<p>- Additional Safeguard Policy invoked or revoked (as applicable)</p>			As applicable, based on portfolio risk assessment	Refer to OPN on Additional Safeguard Policy
<p>3.4 Recoveries managed</p>	R	R	Following the review of the PU/DR, Audit Report, spot check, an investigation by the Office of the Inspector General, or other source or process (as applicable)	Refer to the Guidelines for Grant Budgeting and the OPN on Recovery of Grant Funds

4. Collect Information and Review Progress

Grant Deliverables	HI & Core	Focused	Timeline	Responsibilities
4.1 PR reports submitted and reviewed:				
- PU/DR ⁹ Submitted to the Global Fund through Partner Portal	R	R ¹⁰	PR submission: <u>Mid-year PU:</u> Within 45 days from the end of the last 6-month reporting period <u>Annual PU/DR:</u> Within 60 days from the end of the last 12-month reporting period LFA submission: Within 20 days from receipt of PU/DR Data validated by: <u>Mid-year PU:</u> Within 80 days from the end of the last 6-month reporting period <u>Annual PU/DR:</u> Within 95 days from the end of the last 12-month reporting period	Prepared by: PR - PU (High Impact & Core only) - PU/DR (All portfolios) Verified by: LFA Data quality verified by: Grants Ops Reviewed and validated by: - PO or FPM (Focused): reviews overall progress - PHME Specialist: reviews and validates programmatic data and rating and recommends required actions - Finance/PST Specialist: reviews and validates financial data and rating and recommends required actions - HPM Specialist (High Impact & Core only): reviews procurement and supply chain information and recommends required actions Approved by: FPM
- Pulse Check ¹¹ Submitted to the Global Fund through Partner Portal	R		PR submission: 35 days the end of the last reporting period Data quality verification: Immediately after PR submission CT Review:	Prepared by: PR (High Impact & Core only) Data quality verified by: Grant Ops Completeness reviewed by: PO or FPM

⁹ Refer to [PU/DR Form Instructions](#) for more information.

¹⁰ Not required to submit a PU.

¹¹ Refer to the [Guide for PRs on Completing and Submitting Pulse Checks](#) for more information.

			Following data quality verification Data validation: Following CT review	Data validated by: Finance ¹²
- Audit Report ¹³	R	R	PR submission: Within 6 months from the end of the audit period Review and validation: Immediately after PR submission	Submitted by: PR (All portfolios) Reviewed and validated by: Finance/PST Specialist (Focused)

5. Performance Rating: Assess Grant and PR Performance

Grant Deliverables	HI & Core	Focused	Timeline	Responsibilities
5.1 Grant performance (programmatic and financial ratings) See Annex 2 on Performance Rating Methodology	R	R	Immediately after PU/DR review and data validation	Programmatic and Financial Ratings validated by: - PHME Specialist - Finance Specialist (see PU/DR review section above) If no management adjustment applied to Performance Rating: Validated and released by: FPM If management adjustment applied: Requested by: FPM Approved by: Regional Manager/Department Head ¹⁴
5.2 PR performance qualitative assessment ¹⁵	R	R	Immediately after PU/DR review	Assessed by: - PO - FPM With inputs from: - LFA review - PHME Specialist - Finance/PST Specialist - HPM Specialist

¹² Validation of financial data is handled centrally.

¹³ Refer to the [Guidelines for Annual Audit of Global Fund Grants](#) for more information.

¹⁴ For High Impact Departments.

¹⁵ PR performance using a PR Rating for High Impact and Core portfolios is in development.

6. Communicate Assessment and Required Actions

Grant Deliverables	HI & Core	Focused	Timeline	Responsibilities
<p>6.1 Assessment and required actions communicated through Performance Letter, which includes:</p> <ul style="list-style-type: none"> - Performance Rating - Performance Evaluation (short narrative) - Status of grant requirements and required actions - Annual Funding Decision (if available) <p><i>The Performance Letter is system-generated and can be edited prior to sending to the PR and LFA via GOS.</i></p>	R	R	<p><u>PU</u>: Within 95 days from the end of the last 6-month reporting period</p> <p><u>PU/DR</u>: Within 110 days from the 12-month reporting period</p>	<p>Prepared by: PO or FPM/FPA (Focused).</p> <p>Reviewed and signed by: FPM</p>

7. Support In-Country Program Review and Evaluation

Grant Deliverables	HI & Core	Focused	Timeline	Responsibilities
<p>High Impact and Core, and strongly recommended for Focused with Tailored for National Strategic Plans (NSP) funding applications only:</p> <p>7.1 Support in-country program review</p>	R		Every 3 years following the national planning ¹⁶	<p>Planned by:</p> <ul style="list-style-type: none"> - Ministry of Health or - National disease control programs <p>Conducted by: Joint national and international team of experts</p> <p>Reports reviewed by:</p> <ul style="list-style-type: none"> - FPM, PHME Specialist, with inputs from the CT - MECA (review includes providing learning synthesis of key themes and recommendations) - Relevant technical teams: TAP, CRG
<p>High Impact and Core only:</p> <p>7.2 Support periodic performance review</p>	R		<p><u>National level:</u> annual basis</p> <p><u>Sub-national level:</u> semi-annual basis</p>	<p>Planned and conducted by: Respective disease programs at national and sub-national levels</p> <p>Reports reviewed by:</p> <ul style="list-style-type: none"> - FPM and PHME Specialist, with inputs from the CT
<p>Recommended for Focused portfolios (as applicable)¹⁷:</p> <p>7.3 Commission enhanced portfolio review</p>		BP	As determined by the CT	<p>Planned by: CT, in consultation with MECA and other technical teams</p> <p>Conducted by: External provider or jointly with partners</p> <p>Reports reviewed by:</p> <ul style="list-style-type: none"> - FPM, PHME Specialist with inputs from CT - Inputs from MECA and relevant technical teams as needed

¹⁶ Normally occurs at the mid or end-term of NSPs or national health sector strategy.

¹⁷ In cases when the quality of a program review is deemed inadequate or when no review has occurred. Refer to Annex 4 of the OPN for more details.

High Impact and Core only (as applicable) ¹⁸ : 7.4 Support program evaluation	BP		As determined by the CT	Planned and Conducted by: - Ministry of Health and/or - Other in-country partners Supported by: MECA, in consultation with CT and relevant technical teams as needed Reports reviewed by: - FPM - PHME Specialist - Inputs from CT, MECA and relevant technical teams as needed
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Global Portfolio Oversight by Business Risk Owners and Senior Management

1. Business Risk Owners		
Grant Deliverables	Timeline	Responsibilities
As per the OPN and Procedures (forthcoming) on Risk Management.		

2. Global Fund Senior Management				
Grant Deliverables	HI & Core	Focused	Timeline	Responsibilities
GMD Management: Supervision and strategic guidance to CTs and regular monitoring of regional and global portfolio	R	R	As applicable	Guidance and decision by (as applicable): - Regional Manager - Department Head - Division Head
PPC: Undertake CPR, PPC Executive Session, PPC thematic session, and/or EPR	As per selection criteria		Determined by the PPC	As per the PPC ToRs, Guidance Notes for CPRs ¹⁹ (forthcoming), and PPC Secretariat TORs (forthcoming), which provide details on the selection criteria and the process for preparation.

¹⁸ In cases when the quality of a program review is deemed inadequate or when no review has occurred. Refer to Annex 4 of the OPN for more details.

¹⁹ Guidance Notes are updated annually.

C. Monitoring the Process

1. The PR Reporting timelines²⁰ are monitored by the Grant Portfolio Solutions and Support (GPS) Department and Finance. In-country program reviews and evaluations are monitored by the Monitoring and Evaluation and Country Analysis Team (MECA) through the country M&E Profiles and using workplan tracking measures in the performance frameworks.

Item	Monitoring	Responsible
PU/DR	Time between reporting period end date and PR submission of PU/DR	GPS
	Time between the LFA receipt of the PU/DR and the LFA submission ²¹	
	Time between reporting period end date and validation of programmatic and financial data by PHME Specialist and Finance Specialist ²²	
	Time between reporting period end date and validation of the Performance Rating and the issuance of Performance Letter by CT ²³	
	Number of technical adjustments made to the programmatic rating by PHME Specialists ²⁴	
	Number of HPM adjustments made to PR Rating ²⁵	
	Number of management adjustments made by the FPM	
	Number of requests to edit validated data by FPM	
Pulse Checks (forthcoming)	Time between reporting period end date and PR submission	
Annual Audit Reports	Time between the audit period end date and the submission of audit report	Finance
In-country program reviews and evaluations	The planning and implementation status ²⁶ for High Impact and Core portfolios	MECA

²⁰ As per the OPN.

²¹ For the reporting period cohorts ending on 31 December 2021 and beyond.

²² Planned for Release 2, for the reporting period cohorts ending on 31 December 2021 and beyond.

²³ Planned for Release 2, for the reporting period cohorts ending on 31 December 2021 and beyond.

²⁴ New, planned for Release 3, for the reporting period cohorts ending on 31 December 2021 and beyond.

²⁵ Following the deployment of the PR rating.

²⁶ As per the OPN.

Annex 1. Recommended Elements for a PR Annual Implementation Workplan

What is the difference between a workplan and a detailed budget?

A *workplan* breaks down agreed activities, with clear timelines, milestones, when cash is required and the planned completion/delivery. A workplan clearly articulates who is responsible for undertaking each activity by when, the sequence and relationships between activities (interdependencies) and considers the availability of human resources and ongoing projects.

A *detailed budget* estimates the costs of these activities with a breakdown by module, intervention, activity, cost input and unit cost, with the funding amounts required for each period, and serves as the baseline for the annual funding and disbursement process. The budget is broken down into quarters, which is the estimated period of

1. The implementation workplan is based on the objectives defined in the Grant Agreement and final grant documents (including but not limited to the Performance Framework, Summary Budget and Health Product Management Template (as applicable)) and covers grant delivery, as well as PR operations. As best practice, the following are recommended elements of an annual implementation workplan:
 - i. All activities²⁷ that will enable meeting the grant objectives, including how they will be delivered, resources required, and how results will be monitored and evaluated.
 - ii. PR, SR and other roles, responsibilities and accountabilities assigned for each individual activity.
 - iii. The chronological flow of individual activities, including interdependencies and critical path activities, with built-in buffers to mitigate unforeseen delays.
 - iv. The timeframe for activities, with clear milestones and deadlines (including grant Requirements and critical management actions).
 - v. Implementation risks or bottlenecks with appropriate mitigating actions

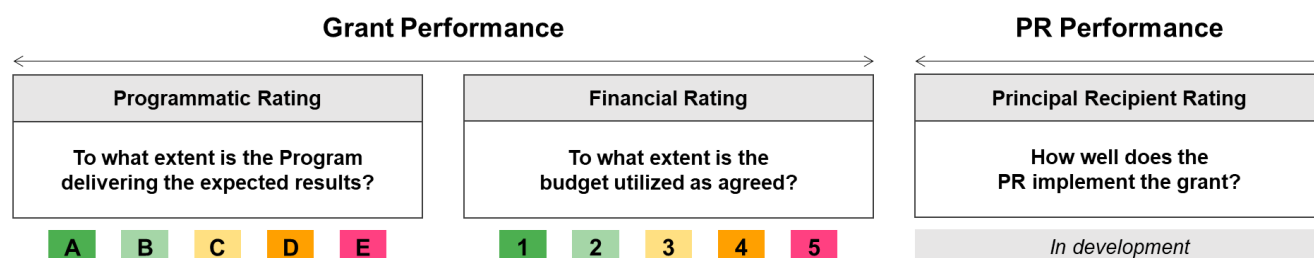
²⁷ Including, but not limited to, supervision and training plans, the procurement plan for health and non-health products, deployment plan (as applicable).

2. While there is no prescribed template for an implementation workplan, an illustrative example is provided below.

Activity	Sub-Activity	Description	Priority Level	Implementer	Entity Responsible	Person Accountable	Resources Required	Interdependencies	Start Date	End Date	Milestones	Activity On Track?	Actions / Recommendations	Comments
1. Case detection & diagnosis	1.1 Refresher training on Xpert MTB	Refresher training on Xpert MTB/RIF testing for 36 laboratory staff from 18 GeneXpert sites - stationery and fuel	1	PR	NLTP/TB	Peter Burgess	Approved funding	Activity 1.6	01-Jan-22	30-Jun-22	50% staff trained by 31-Mar-22	Y		
	1.2 Calibration of GeneXpert machines	Conduct the annual calibration of GeneXpert machines nationwide (12 provinces)	1	SR	Biovendor (Service Provider)	Clément Bourgoine	Approved funding	Activity 2.4	01-Jul-22	31-Dec-22	Complete calibration in 6 provinces per quarter	N		

Annex 2. Performance Rating Methodology

1. The Global Fund Performance Rating applies to all grants. It is determined twice per year for High Impact and Core Portfolios, and annually for Focused portfolios based on progress reported and validated through PU/DRs. It captures grant and PR performance by assigning a:
 - i. **Programmatic Rating:** to measure to what extent the program is delivering the expected results;
 - ii. **Financial Rating:** to measure to what extent is the budget utilized as agreed; and
 - iii. **Principal Recipient Rating** (for High Impact and Core portfolios only): to demonstrate how well the PR is implementing the grant (*currently in development*).
2. The Performance Rating is one of the parameters taken into consideration when defining the amount for the Annual Funding Decision²⁸.
3. The Performance Rating which is composed of the following:



4. **Management Adjustment.** A management adjustment can be applied to the Performance Rating on an exceptional basis to account for force majeure (e.g., war, pandemic, natural hazards, etc.). The PR rating may be adjusted upwards or downwards; however, the programmatic and/or financial ratings may only be adjusted to “no rating”.

Programmatic Rating²⁹

5. A quantitative indicator rating is calculated using the data from the indicators reported in the PU/DR³⁰. Depending on the type of indicator and target setting in the Performance Framework, the results are aggregated over the reporting periods. The quantitative indicator rating is calculated as follows:

²⁸ Refer to the OPN and Procedures on Annual Funding Decisions and Disbursements for more information.

²⁹ The Quantitative Indicator Rating calculation has been maintained from the previous Grant Rating Methodology to ensure comparability over time.

³⁰ If the grant's quantitative indicator rating will be based on Work-Plan Tracking Measures, please refer to the section below on how to convert the Country Team's evaluation of progress against the workplan into a quantitative indicator rating.

- “Non-cumulative” targets: These reflect period specific targets/results, irrespective of the targets/results in the previous periods. In such cases, the relevant periodic targets/results will be added up to calculate the quantitative indicator rating.
- “Non-cumulative (other) targets: This is applied to indicators that refer to people currently receiving services irrespective of the targets/results in previous periods. Therefore, the targets/results in the last reporting period will be used to calculate the quantitative indicator rating.
- “Cumulative annually” targets: These targets are already cumulated over the year or the reporting period*. In such cases, the targets in the last reporting period will be used to calculate the quantitative indicator rating.

6. **Programmatic Rating Ranges.** The grant is assigned a value from A to E for programmatic performance.

A	Excellent	≥ 100%
B	Good	90% - 99%
C	Moderate	60%-89%
D	Poor	30%-59%
E	Very Poor	< 30 %

7. **Automatic Downgrading.** If an indicator is rated less than 60%, the Quantitative Indicator Rating is downgraded by one rating level, unless the Quantitative Indicator Rating is C, D or E, in which case no further downgrading is applied.
8. **Indicator Performance Cap Rule.** If an indicator’s performance is above 120%, the indicator’s performance used in the calculation of the “Average Performance All Indicators” is capped at 120%.
9. **Programmatic Technical Adjustment.** In some specific scenarios, the quantitative indicator rating may not reflect the actual grant/program performance due to the linkages and correlation across indicators. In such cases, the CT can adjust the quantitative rating to reach the final indicator rating. Appropriate and documented justification must be included for any changes to the quantitative indicator rating.
10. Cases in which a CT may consider a technical adjustment include, but are not limited to:
- The achievement or overachievement of one indicator, when correlated with another indicator, indicates a gap in reaching people in need of services i.e., below 60%.
 - When there are multiple PRs and the underperformance of one indicator for one PR is resulting in the over-performance of another related indicator for another PR, when the actual performance of the latter is below 60% of the expected target.
 - When disease grants with substantial investments in resilient and sustainable systems for health (RSSH) and/or community, rights and gender (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.

11. The programmatic technical adjustment must not be used in cases due to:

- Delays in implementation of activities including M&E activities: In cases of extreme/unforeseen environmental or political crisis, the “management adjustment” (see below) may be possible.
- Delays in meeting grant requirements or required actions (which most likely will be covered under other ratings and/or adjustments).
- Underperformance due to activities or contexts beyond the control of the PR (which most likely will be covered under other ratings and/or adjustments).
- Insufficient level of funding to meet the targets³¹.
- Targets achieved before time³².
- Targets have overachieved³³.
- COVID-related adaptations to the program/mitigation actions.
- COVID-related delays/disruptions: these are to be reflected by maintaining the programmatic rating.
- Issues with financial performance, e.g., under-absorption against agreed budget: these are to be reflected in the financial rating.
- Weak PSM systems and/or persistent gaps in supply chain management, stock-outs, etc.: these are to be reflected in PR rating (currently under development).
- Data quality issues:
 - PR-reported results cannot be verified by the LFA (e.g., no supporting documents provided): the programmatic rating must be maintained. In such cases the result for the respective indicator will be considered zero.
 - Documented programmatic data quality issues: to be reflected in PR rating (currently under development).
- If programmatic rating is D, or E: do not downgrade.
- Poor or good performance of indicators not in the Performance Framework.
- Achieving global targets but not the grant targets.
- Improvement from past reporting periods, but still showing underperformance.

Financial Rating

12. The financial rating uses two quantitative metrics and does not require any technical adjustment. These are:

³¹ This is addressed during grant making or if the situation has changed during implementation, through a grant revision to change the targets and/or budget.

³² Addressed through a grant revision if targets have been achieved early on in grant implementation or reported as planned for the respective reporting period.

³³ Addressed through the performance cap of 120%.

13. **Budget utilization (BU)** demonstrates the Global Fund's efficiency in making funds available to the grant. It is calculated by dividing the sum of in-country cash balance and cumulative disbursement by the cumulative disbursement:

$$BU = \frac{\text{In-country Cash Balance} + \text{Cumulative Disbursement}}{\text{Cumulative Budget}}$$

14. **In-country absorption (ICA)** maintains the link between programmatic and financial performance at grant level, while reflecting PR influence and/or control over its achievement of grant objectives. It is calculated by dividing the cumulative expenditure by the cumulative budget:

$$ICA = \frac{\text{Cumulative Expenditure}}{\text{Cumulative Budget}}$$

15. It can be calculated as soon as the Finance/PST Specialist has validated the expenditures.

16. **Financial Rating Ranges.** The grant is assigned a value from 1 to 5 for financial performance.

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

17. In some cases, BU is above 100% which can result into Financial Ratings above 100%. There is no cap for the financial rating.

18. **Weighting of Financial Rating (BU/ICA).** The weighting in the composition of the financial rating is 20% of the BU metric and 80% of the ICA metric.

PR Rating³⁴

³⁴ Under development.

19. The PR rating will provide insight in the PR performance that can trigger in-depth capacity assessment, technical support and improvement plans, among others. The metrics for the PR rating are currently being developed. During its development, a qualitative assessment of PR Performance will be made by the CT and communicated to the PR in the Performance Letter.

Scoring Methodology for Work-Plan Tracking Measures

20. There are some program areas (modules) and interventions that constitute essential investments in Global Fund grants but cannot be measured using available coverage indicators during the execution period being assessed and will therefore not result in a standard indicator rating³⁵. Moreover, these areas require additional qualitative measures to assess their effectiveness.

21. To address this, the Global Fund has developed a specific M&E framework for modules that do not have a service delivery component and will request the PR to report on progress through the PU/DR on the agreed upon work-plan tracking measures (WPTM).

22. A differentiated approach will be applied in using these measures for determining an indicator rating:

- i. When grants do not include any coverage indicators, a scoring methodology will be applied to measure progress against WPTMs to arrive at an indicator rating.
- ii. When grants include both coverage indicators as well as the WPTMs, only the coverage indicators will be used to calculate the indicator rating. In these instances, the overall WPTM rating can be additionally used to make programmatic technical adjustment to quantitative indicator rating³⁶

23. The following scoring methodology will be applied to derive scores and equivalent quantitative indicator rating.

1. The progress on work-plan tracking measures (i.e., milestones and targets for input and process indicators) will be categorized and their achievement scored as follows:

Implementation progress during the reporting period	Category	Score
No progress against planned milestone or target	Not started	0
Less than 50% completion of the milestone or target	Started	1
50% or more completion of planned milestone or target	Advancing	2

³⁵ Examples of such modules/interventions include removing legal barriers to access or changes in policy and governance under RSSH.

³⁶ Refer to the section on the Programmatic Technical Adjustment in Annex 3.

100% achievement of planned milestone or target	Completed	3
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2. At each reporting period, depending on the progress in implementation of various activities, the respective score will be allotted to each measure.
3. Based on reported progress, the sum of all scores during the reporting period will be compared against the maximum score for that period to obtain the default WPTM rating.

% achievement during the reporting period (total score/maximum score)		Default WPTM rating
A	Excellent	≥ 100%
B	Good	90% - 99%
C	Moderate	60%-89%
D	Poor	30%-59%
E	Very Poor	< 30 %

Acronyms

- **FPM:** Fund Portfolio Manager (including Senior FPM, Disease and State Fund Managers³⁷)
- **PO:** Program Officer for High Impact & Core Portfolios (including Senior PO)
- **FPA:** Fund Portfolio Assistant for High Impact & Core portfolios (including Senior FPA) or Fund Portfolio Analyst for Focused portfolios
- **PHME Specialist:** Public Health and Monitoring & Evaluation Specialist
- **HPM Specialist:** Health Product Management Specialist
- **PST Specialist:** Specialist in the Portfolio Services Team of Program Finance for Focused portfolios
- **LFA:** Local Fund Agent
- **TRP:** Technical Review Panel
- **GAC:** Grant Approval Committee
- **RM:** Regional Manager
- **DH:** Department Head for relevant High Impact Department
- **CT:** Country Team (comprises: FPM, PO, FPA, Finance/PST Specialist, PHME Specialist, HPM Specialists, Legal Counsel)
- **PR:** Principal Recipient
- **CCM:** Country Coordinating Mechanism
- **TAP:** Technical Advice and Partnerships Department
- **GFM:** Grant Finance Manager
- **MECA:** Monitoring Evaluation & Country Analysis Team
- **AFD:** Annual Funding Decision
- **ADMf:** Annual Decision-Making Form
- **IRM:** Integrated Risk Management (module in GOS)
- **IP:** Implementation Period
- **SR:** Sub-recipient

³⁷ Disease Fund Manager and State Fund Manager review as the FPM, but they do not have approval authorities. The overall accountability for a portfolio remains with the FPM.