

Procedure for the Engagement and Approval of the Local Fund Agent Experts

February 2017

Fundamentals

- A. The key¹ LFA experts for each country or geographical region (when covering multiple countries in one or more regions), must:
 - i. meet the minimum requirements as described in Annex A;
 - ii. be accountable for the LFA deliverables and recommendations specific to their functional area; and
 - iii. be approved by the Global Fund.
- B. It is expected that the key LFA experts work closely together so that the LFA is able to provide the Global Fund with holistic and comprehensive findings and recommendations. This includes the ability to link financial information to programmatic achievements.
- C. The LFA Team Leader is ultimately responsible and, therefore, accountable for the quality and content of all LFA reports/documents submitted to the Global Fund. The LFA Team Leader is responsible for the allocation of tasks within the LFA team, involvement of the appropriate expertise and managing the LFA team.
- D. LFAs may engage non-key LFA expert staff (e.g. support staff, junior experts), with relevant expertise to assist the approved key LFA experts on specific activities that are required in providing the LFA services in a given country. The LFA and Country Team (CT)/Fund Portfolio Manager (FPM) should discuss the role of any non-key LFA experts as part of their agreement on the LFA team structure.
- E. The Global Fund does not require LFAs to submit the CVs of non-key LFA experts for approval, unless this is specifically requested by the CT/FPM, on a case-by-case basis.
- F. Depending on the risk profile of the grant, PRs/SRs, and country, LFAs may propose or be requested by the CT/FPM to access additional specialist expertise, including non-health procurement, legal, complex financial management (including forensic audit), disease control program strategies, quantitative analysis, engineering (e.g. rehabilitation and renovation), as well as other specialist skills. The LFA should provide to the FPM/CT and the LFA Coordination Team the information listed under point one (1) below based on which the FPM makes the decision on the approval of the additional expert in consultation with other experts in the Global Fund, as deemed necessary.
- G. As part of the LFA performance management system, the FPM (in consultation with the CT) will provide regular performance feedback to the LFA. As part of this feedback, the FPM may request certain changes in the LFA team.
- H. LFAs are expected to implement their own robust performance management systems to proactively strengthen their teams, including the proposal of new key LFA experts (e.g. in response to poor performance/quality) or additional key LFA experts (e.g. particularly in response to expanding workloads).

¹ The key LFA experts are: Team Leader, Finance Professional, Pharmaceutical and Supply Management (PSM) Expert for Health Products, and Programmatic/ Monitoring and Evaluation (M&E) Expert.

- I. The Global Fund reserves the right to request the removal of an LFA expert from the LFA team due to poor performance or other concerns (e.g. conflict of interest).
- J. If an LFA decides not to engage further with a previously approved key LFA expert, the LFA should notify the relevant FPM and the LFA Coordination Team of their decision and succession plan prior to such change.

1. Proposing new key LFA experts for the Global Fund's Approval

When proposing new key LFA experts, the LFA should consider candidates who meet the Global Fund minimum requirements and qualifications (see Annex A), and submit the following information to the LFA Coordination Team, and the FPM in copy:

- completed checklist #1 as per Annex E;
- up-to-date CV of the key LFA expert;
- declaration of the absence of conflict of interest;
- Proposed new team structure with appropriate justification of the requested change (in cases when the approval of the submitted request results in a change to the LFA team structure)

2. Proposing new key LFA experts for several countries in a geographical region and/or more geographical regions

When an LFA plans to use a key LFA expert in more than one country and/or in one or more geographical regions, in addition to the information listed under point one (1) above, the LFA should also submit a plan on how the expert's time will be allocated to cover all listed countries to comply with the expectations of the Global Fund country teams and to ensure timely delivery of quality information to the Global Fund.

3. Proposing already approved key LFA experts in other countries/regions

If an LFA plans to use a key LFA expert who was previously approved by the Global Fund for a specific country/list of countries in a new country/region, the LFA should submit to the Global Fund for approval:

- completed checklist #2 as per Annex E;
- an up-to-date CV for the key LFA expert;
- a revised declaration of the absence of conflict of interest for the key LFA expert to include all locations covered.
- Proposed new team structure with appropriate justification of the requested change (in cases when the approval of the submitted request results in a change to the LFA team structure)

4. Proposing key LFA experts for one-off assignments

One-off assignments are instances when an approved key LFA expert from one country/region performs a service in another country/region on a one-off basis. This could occur in instances when an assigned key LFA expert is unable to perform a certain deliverable and the LFA proposes an alternative expert from another country/region to perform the service. Equally in times of peak workload an additional expert from another country may be required to work on a particular deliverable. Such one-off assignments are limited to the key LFA expert working on one well-defined deliverable only.

If an LFA plans to use a key LFA expert who was previously approved by the Global Fund for a specific country/list of countries in another country/region on a one-off basis, the LFA should submit to the Global Fund Country Team for approval:

- an up-to-date CV for the key LFA expert;
- a declaration of the absence of conflict of interest for the key LFA expert to include all locations covered.
- Proposed new team structure with appropriate justification of the requested change (in cases when the approval of the submitted request results in a change to the LFA team structure)

The expert is not added to the country's LFA team structure for the one-off assignment. Instead, upon service completion and at the time of completing the relevant information, such as actual LoE for the service in the LFA Portal, the LFA adds a comment with the name of the key LFA expert who performed the service in the comment box of the service.

The above applies if the proposed expert has previously been approved for another country for the role s/he will perform in the new country on a one-off basis. If this condition is not met, the LFA applies the procedure for the approval of new LFA key experts as per point (1) above.

5. Proposing a new role for an existing LFA team member

If an LFA plans to change the role of an existing LFA team member, including application for a higher position, the LFA should submit to the Global Fund for approval:

- completed checklist #3 as per Annex E;
- an up-to-date CV with all relevant information for the new role.
- Proposed new team structure

6. Proposing key LFA experts in case of an LFA tender

As part of its technical proposal in an LFA tender, the LFA must provide the information listed under point one (1) above for each of the proposed key LFA experts.

If an LFA is awarded the contract as a result of a tender, no additional approval of key LFA experts proposed by the LFA in the tender documentation is required.

Should a key LFA expert proposed in the tender become unavailable, the LFA must immediately inform the Global Fund and propose an equally qualified and experienced candidate. The LFA should provide the information listed under point one (1) above for proposed key LFA expert.

ANNEX A: Minimum Requirements for Key LFA Experts

These Minimum Requirements should be used as Guidelines. Other factors, such as the country context, prior experience of working on the Global Fund programs and other relevant information will also be considered in the process of approval of the key LFA experts.

Role	Professional Experience	Qualifications	Language Competencies
Team Leader (TL)	<p>10 years of management experience, preferably in the health, social or financial sector, with</p> <ul style="list-style-type: none"> (i) strong project management and team management skills, ability to prioritize tasks and meet multiple deadlines in complex environment; (ii) an in-depth knowledge of issues relating to project management in developing countries; (iii) strong interpersonal skills, diplomacy and tact to effectively communicate with senior-level officials, multiple stakeholders and professionals from diverse cultural and professional backgrounds; and (iv) strong professional oral communication, writing and analytical skills, including the development of reports, oral presentations, and technical/persuasive documents. 	<p>A Graduate Degree, or a degree followed by membership in an industry-recognised professional body (e.g. ACCA, CPA etc), in:</p> <ul style="list-style-type: none"> • Public Health; • Finance/Accounting; • Public Administration; • Business Administration; • Social Science; or • other relevant discipline. 	<p>Must have good written and spoken English and, preferably, a good working knowledge of the official language(s) spoken in the country or countries in which the individual has been assigned to work.</p>
Finance Professional (FP)	<p>A minimum of 5 years of relevant experience working in a financial role, preferably with at least 2 years of post-qualification experience related to:</p> <ul style="list-style-type: none"> (i) financial accounting, with the ability to review and analyse accounting transactions; (ii) reviewing and negotiating budgets; (iii) financial management systems, with the ability to review and assess internal controls and financial processes and procedures and provide recommendations for improvement; 	<p>It is preferable to have an internationally recognised professional finance or accounting qualification – e.g. Institute of Certified Management Accountants (ICMA), Certified Public Accountant (CPA), Chartered Management Accountant (CMA), Chartered Accountant Certification, Chartered Financial Analyst or Fédération des Experts-Comptables Européens etc.</p>	<p>Must have good written and spoken English and, preferably, a good working knowledge of the official language(s) spoken in the country or countries in which the individual has been assigned to work.</p>

Role	Professional Experience	Qualifications	Language Competencies
	(iv) review of financial statements (including income and expenditure statements, balance sheets and cash reconciliation statements); and (v) review and interpretation of audit reports.	<ul style="list-style-type: none"> In the absence of a professionally recognised qualification a Graduate Degree/second level degree in Finance/Accounting with appropriate experience would be considered along with other factors; 	
Procurement and Supply Management (PSM) Expert for Health Products	A minimum of 7 years relevant experience in managing or advising on the procurement, supply and use of health products, particularly in developing countries with: <ul style="list-style-type: none"> (i) experience/expertise in assessing policies, systems and structures in the public and/or private health sector relevant for managing effective and efficient access to pharmaceuticals and other health products, particularly for AIDS, TB and malaria; (ii) experience/expertise in the procurement of health products including regulations and tendering process; (iii) experience/expertise in supply chain/logistics management systems; (iv) experience in quantification and forecasting of health product needs in public health programs; (v) a good understanding of AIDS, TB, malaria market dynamics and existing global supply challenges as well as international health products procurement and supply management practices, applicable national and international laws and recognised standards; and (vi) good writing and analytical skills. 	<p>Required A Graduate Degree (MSc. equivalent) in:</p> <ul style="list-style-type: none"> Public Health; Pharmacy; Medicine; or other related discipline. <p>Desirable</p> <ul style="list-style-type: none"> Professional training in procurement and supply management (PSM) of health products, logistics and/or public health. 	Must have good written and spoken English and, preferably, a good working knowledge of the official language(s) spoken in the country or countries in which the individual has been assigned to work.
Programmatic/Monitoring and	A minimum of 7 years relevant experience in the health sector, notably in monitoring and evaluating health programs in developing countries, and with the following expertise:	A Graduate Degree (MSc. equivalent) in: <ul style="list-style-type: none"> Public Health; 	Must have good written and spoken English and, preferably, a good working

Role	Professional Experience	Qualifications	Language Competencies
Evaluation (M&E) Expert	(i) ability to interpret performance results of health programs and analyse the implications of such results in the country context; (ii) strong understanding of public health monitoring and evaluation systems; (iii) a thorough knowledge of epidemiology and programmatic interventions related to at least one of the three diseases (HIV, TB, or malaria); (iv) understanding of the dimensions of health service quality and familiarity with reviewing and interpreting national service delivery guidelines; (v) strong interpersonal skills, diplomacy and tact to effectively communicate with senior level officials, multiple stakeholders and professionals from diverse cultural and professional backgrounds; and (vi) strong professional oral communication and writing skills, including the development of reports, oral presentations, and technical/persuasive documents.	<ul style="list-style-type: none"> • Medicine; • Epidemiology; or • other relevant discipline. 	knowledge of the official language(s) spoken in the country or countries in which the individual has been assigned to work.

Annex B

Requirements for Additional LFA Experts

Depending on the particular needs in-country or specific activities of a program, LFAs may be requested to access additional specialist expertise from time to time. As an example, the requirements for Non-Health Procurement Experts are outlined in the table below.

Role	Professional Experience	Qualifications	Language Competencies
Procurement (Non- Health) Expert	<p>A minimum of 5 years relevant experience of procurement in developing countries, and with the following expertise:</p> <ul style="list-style-type: none"> (i) procurement at a senior level for large projects in either the public or private sector involving procurement of goods and services; (ii) procurement and contract management using World Bank / multilateral funding agency or internationally recognised guidelines; (iii) review of purchasing/procurements systems to establish that best practices are followed resulting in delivery of best prices; (iv) assessing the source of supplies, price trends and quality of materials and equipment; (v) procurement planning and preparing bidding documents/request for proposals; and (vi) good computer skills are essential as are good writing and presentation skills. 	<p>Professional qualification and/or training in purchasing and logistics.</p> <p>Professional membership such as CIPS or other recognised professional body.</p> <p>A University Degree in:</p> <ul style="list-style-type: none"> • Finance/Accounting; • Business Administration; or • related discipline with significant experience in 	<p>Must have good written and spoken English and, preferably, a good working knowledge of the official language(s) spoken in the country or countries in which the individual has been assigned to work.</p>

		procurement audit.	
Supply Chain Expert	<p>A minimum of 12 years of experience of leading practice Supply Chain principles and their contextual appropriateness; including:</p> <p>(i) experience of supply chain systems, stakeholders and networks in developing countries, especially Africa. This should include senior operational Supply Chain experience – for example with a private sector 3PL and 4PL organization, a functional role within an international industrial corporation, or within a leading consulting organization.</p> <p>(ii) Proven project and program management expertise gained in implementing change and leading Supply Chain techniques in similar situations.</p> <p>(iii) Proven success working in complex multi-stakeholder environments, requiring decision making abilities with limited information available and under tight deadlines.</p> <p>(iv) Strong experience of implementing and managing contracts for large technical assistance providers, Public Private Partnership (PPP)-type arrangements, outsourcing or 3PL/4PLs.</p> <p>Desirable</p> <ul style="list-style-type: none"> • Several years of experience of both the public and private sectors. • Several years of operational Supply Chain experience gained with in a manufacturing organization. • Knowledge and experience of the Pharmaceutical Sector and understanding of pharmaceutical Supply Chains in developing countries. • Knowledge and experience of public health with relationships with some Global Fund high impact countries. • Membership of a recognized professional supply chain organization. 	<p>Required A Graduate Degree (MSc. equivalent) directly related to Supply Chain Management</p> <p>Desirable</p> <ul style="list-style-type: none"> • Formal training in Supply Chain Management or membership of a recognized professional supply chain organization, e.g., CILT • Project Management Certification (PMI Accreditation preferred or Price2 with relevant experience) 	<p>Must have good written and spoken English and, preferably, a good working knowledge of the official language(s) spoken in the country or countries in which the individual has been assigned to work.</p>
Laboratory Expert	<p>A minimum of 10 years of professional experience working in laboratory services and the management of diagnostic products, including:</p> <p>(i) Experience with international agencies on strengthening laboratory services and/or diagnostic product/equipment matters</p>	<p>Required Advanced University Degree in medical biology or pharmacy</p>	<p>Must have good written and spoken English and, preferably,</p>

	<ul style="list-style-type: none"> (ii) Experience with and strong understanding of the diagnostic platforms used for the management of HIV/AIDS, TB and malaria programmes in limited resource settings (iii) Proven expertise in working with and understanding Quality Assurance (QA) systems, the selection of laboratory diagnostics and the implementation of diagnostic programs especially in resource limited settings. (iv) Working knowledge of procurement and supply chain good practices for diagnostic products. (v) Good understanding of the WHO prequalification program and the work of the Global Harmonization Task Force (GHTF) (vi) Experience in preparing policy documents and technical guidelines. 		<p>a good working knowledge of the official language(s) spoken in the country or countries in which the individual has been assigned to work.</p>
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**Annex C
Proforma CV**

Name:		[Photo]	
Title:			
Nationality:			
Home office:			
Professional qualifications:			
Language skills:			
Language:	Reading:	Speaking:	Writing:
Relevant work experience, including the duration and responsibilities:			
References:			
<i>Name:</i>		<i>Name:</i>	
<i>Position:</i>		<i>Position:</i>	
<i>Organization:</i>		<i>Organization:</i>	
<i>E-mail:</i>		<i>E-mail:</i>	
<i>Address:</i>		<i>Address:</i>	
<i>Telephone:</i>		<i>Telephone:</i>	
<i>Relationship:</i>		<i>Relationship:</i>	
Certification: I declare that the information provided in this CV is accurate and hereby authorize the Global Fund to undertake whatever inquiries the Global Fund may consider reasonable and necessary in the course of the assessment process, in relation to the information in this curriculum vita relating to my suitability for the position for which I have been nominated			
Signed		Date:	

Annex D

Proforma Declaration of the Absence of Conflict of Interest

Local Fund Agent Conflict of Interest Declaration Relating to Expert Assignment

On behalf of the Contractor listed below, I hereby declare that:

- The Contractor has read and understood the *Local Fund Agent Conflict of Interest Procedures* and the Conflict of Interest rules set forth in the Framework Contract between the Contractor and the Global Fund to Fight AIDS, Tuberculosis and Malaria including the definition of “conflict of interest” contained therein, namely:

A situation in which the Contractor, any of its affiliates, or any of its sub-contractors, if any, has interests (financial, organizational, personal, reputational, or otherwise) that would or may appear to make it difficult for the entity to fulfil its obligations in providing Local Fund Agent Services to the Global Fund in an objective, independent, and professional manner, or a situation in which it is reasonable to foresee that such an interest would arise.

- For the arrangement described in **Box 1** below, the information checked in **Box 2** below is true and correct:

Box 1

Name(s) of Expert(s):	
Role(s) of Expert(s):	
Country/ Countries:	

Box 2 (please check one, as appropriate)

<input type="checkbox"/>	No Conflict of Interest exists on the part of the Contractor or any affiliate or sub-contractor of the Contractor for the arrangement described in Box 1.
<input type="checkbox"/>	A Conflict of Interest exists on the part of the Contractor, an affiliate, and/ or a sub-contractor of the Contractor for the arrangement described in Box 1 and The Contractor has declared and disclosed that Conflict of Interest to the Global Fund pursuant to the procedures set forth in the Local Fund Agent Conflict of Interest Procedures available on the Global Fund’s website.

CONTRACTOR: _____
 Signed: _____
 Name: _____
 Title: _____
 Date: _____

Annex E

LFA Expert Approval Submission Checklists

This annex contains three (3) checklists which are designed to ensure that expert approval requests submitted by the LFA to the Global Fund are complete and contain the relevant information. Only requests that contain checklists appropriately completed will be considered for review and approval by the Global Fund. The checklists are designed in a way that they can be copied and pasted into the email that will be submitted to the LFA Coordination Team.

Checklist #1: Proposing new key LFA experts for one or several countries/regions

This checklist should be used when proposing new key LFA experts to work in more than one country/regions. The same checklist can be used as part of the LFA technical proposal during the tendering process.

Proposing a new key LFA expert for the Global Fund's approval					
First Name:					
Last Name:					
Key LFA expert's email address:					
LFA Role: <i>The key LFA expert's role within the LFA country team</i>					
Country coverage for the key LFA expert:					
City/country key LFA expert will be based in (in-country/fly-in):					
Proposed daily rate: <i>All rates are in USD</i>					
The candidate will be active for:	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;"></td> <td style="width: 50%; border: none;"></td> </tr> <tr> <td style="text-align: center; border: none;"><i>current year</i></td> <td style="text-align: center; border: none;"><i>next year</i></td> </tr> </table>			<i>current year</i>	<i>next year</i>
<i>current year</i>	<i>next year</i>				
A plan on how the expert's time will be allocated to cover all countries where he/she will be involved in LFA work to comply with the expectations of the Global Fund country teams and to ensure timely delivery of quality information to the Global Fund:	<p style="text-align: center; color: #808080;"><i>This section only needs to be completed for the approval of new key LFA expert(s) to work in <u>several</u> countries/regions</i></p>				
Attachments to this email:	<ul style="list-style-type: none"> <input type="checkbox"/> Up-to-date CV <i>(note: the CV must list each position, indicating the company/organization, duration by month and date, and responsibilities in a bullet point format)</i> <input type="checkbox"/> Declaration of the absence of conflict of interest <input type="checkbox"/> Proposed new team structure with appropriate justification of the requested change (in cases when the approval of the submitted request results in a change to the LFA team structure) <p style="color: #800000;"><i>If additional attachments, please specify:</i></p>				

Checklist #2: Proposing **already approved** key LFA experts for **other countries/regions**, including temporary/one-off assignments

This checklist should be used when an LFA plans to use a key LFA expert who was previously approved by the Global Fund for a specific country/list of countries in a new country/region. This checklist should also be used for the approval of temporary assignments of already approved key LFA experts.

Proposing an already approved key LFA expert in other countries/regions	
First Name:	
Last Name:	
Key LFA expert's email address:	
City/country key LFA expert is based in:	
Proposed new country(ies) coverage for the key LFA expert:	
Any changes to the LFA expert's current country coverage?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please indicate which countr(ies) the LFA key expert will no longer cover.
Explanation of the role of the expert in the new country LFA team:	
Information pertaining to the relevance of the expert's qualification and experience specific to the grant/country context:	
A plan on how the expert's time will be allocated to cover all countries where he/she will be involved in LFA work to comply with the expectations of the Global Fund country teams and to ensure timely delivery of quality information to the Global Fund:	
Proposed daily rate: <i>All rates are in USD</i>	
The candidate will be active for:	
	<i>current year</i>
Attachments to this email:	<input type="checkbox"/> Up-to-date CV <i>(note: the CV must list each position, indicating the company/organization, duration by month and date, and responsibilities in a bullet point format)</i> <input type="checkbox"/> Revised declaration of the absence of conflict of interest to cover all locations covered by the LFA expert <input type="checkbox"/> Proposed new team structure with appropriate justification of the requested change (in cases when the approval of the submitted request results in a change to the LFA team structure) <i>Not applicable for temporary assignments</i>
	<i>If additional attachments, please specify:</i>

Checklist #3: Proposing a **new role** for an **existing** LFA team member

This checklist should be used when an LFA plans to change the role of an existing LFA team member, including application for a higher level position (e.g. junior PSM expert proposed to become PSM expert; Finance Professional proposed to become Team Leader).

Proposing a new role for an existing LFA team member			
First Name:			
Last Name:			
Key LFA expert's email address:			
LFA Role: <i>The LFA expert's proposed new role within the LFA country team</i>			
Rationale for the proposed change in the role and information pertaining to the relevance of the expert's qualification and experience to the new role			
A plan on the re-allocation of roles between LFA team members at the country/regional level due to the change in the role of the LFA expert:			
Proposed daily rate: <i>All rates are in USD</i>			
The candidate will be active for:	<table border="1"> <tr> <td><i>current year</i></td> <td><i>next year</i></td> </tr> </table>	<i>current year</i>	<i>next year</i>
<i>current year</i>	<i>next year</i>		
Attachments to this email:	<input type="checkbox"/> Up-to-date CV with all relevant information for the new role <i>(note: the CV must list each position, indicating the company/organization, duration by month and date, and responsibilities in a bullet point format)</i> <input type="checkbox"/> Proposed new team structure <i>If additional attachments, please specify:</i>		