



Investing in our future

# The Global Fund

To Fight AIDS, Tuberculosis and Malaria

Twenty-Third Board Meeting  
Geneva, Switzerland, 11-12 May 2011

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GF/B23/13  
Attachment 3

## CRWG Online Survey results

### PURPOSE:

This document is a report on the online survey commissioned by the CRWG to collect stakeholder inputs. It describes methodology, results analysis and conclusions.



# **Board Survey on the Global Fund Reform Agenda**

*By the Global Fund Board Comprehensive Reform Working Group*

## **FINAL REPORT**

**MARCH 2011**

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## 1. INTRODUCTION

During its twenty-second meeting in December 2010, the Global Fund Board established the Comprehensive Reform Working Group (CRWG - list of members in Annex 1). The main task of the CRWG is to develop and define the priorities of the Global Fund's comprehensive reform agenda.

To ensure that its work is informed by experience and lessons learned, and that it takes into account a broad range of perspectives, the CRWG has carried out a number of consultations. These aim to engage the full range of Global Fund stakeholders in the definition of reform areas and priorities, and include face-to-face stakeholder meetings, video- and teleconferences, and online consultations.

This report summarizes the results of an online survey conducted by the CRWG to solicit viewpoints and further ideas related to reform goals and priorities. A preliminary analysis of survey results was presented to the CRWG at its meeting in Addis Ababa, Ethiopia on 4 March 2011. This final report provides a full review of survey design and methodology, and an analysis of all responses received up to the survey closing date.

## 2. METHODOLOGY

A questionnaire was developed by the CRWG and administered using a publically accessible online survey tool.<sup>1</sup> The survey was carried out over a period of three to four weeks between 18 February and 15 March 2011. The questionnaire was initially available in English (Annex 2) and was subsequently translated into French and Spanish.

The profile of participants initially invited to complete the survey is summarized in the table below (table 1). Participants were also encouraged to share the survey invitation with their respective colleagues to further expand the range of stakeholders consulted. Deadlines were staggered based on invitation date, and the final closing date was 15th March 2011.

Board Members and Alternates (n=73)	East Asia and Pacific (n=31)
Technical Review Panel (n=45)	Eastern Europe Central Asia (n=43)
Partnership Forum participants (n=35)	West and Central Africa (n=51)
East Africa and India Ocean (n=28)	South and West Asia (n=19)
Middle East and North Africa (n=27)	Institutional partners (n= 46)
Southern Africa (n=22)	Global Fund Secretariat (n=112)
Latin America & Caribbean (n= 54)	

<sup>1</sup> [www.surveymonkey.com](http://www.surveymonkey.com)

The most important survey questions revolved around nine goals of Global Fund reform defined by the CRWG: (i) enhanced fiduciary control and risk management; (ii) improved resource allocation and increased value for money; (iii) improved proposal development and review processes; (iv) improved grant management / reduced transaction cost; (v) improved Global Fund internal management; (vi) improved partnership and in-country structures; (vii) improved governance; (viii) enhanced resource mobilization; and (ix) increased sustainability and efficiency.

The questionnaire was brief and consisted of the following seven questions:

**Question 1:** Choose your location

**Question 2:** Choose your sector

**Question 3:** The following nine goals are proposed as priorities for reform of the Global Fund: [list of the nine goals]. Do you consider that all major reform goals are covered? Are there any areas missing?

**Question 4:** What do you think are the highest priority reform goals for the Global Fund?

**Question 5:** What underlying problems make these goals important?

**Question 6:** In your opinion, what are the highest priority-specific solutions to address the goals of the reform process? Please suggest solutions to address either the goals listed above or additional goals you identify.

**Question 7:** Please add any additional comments not covered in the above questions.

Responses to questions 1 and 2 were directly analyzed by the online survey tool.

Question 4 required respondents to rank each of the nine reform goals on a 9-point Likert scale ranging from “least important” (score of 1), “important” (score of 5) to “most important” (score of 9). The mean value of the rank scores given by the respondents was calculated for each goal.

The remaining four questions (questions 3, 5, 6 and 7) were open-ended and invited respondents to give their own opinion and suggestions. Responses were coded based on the main recurring themes indicated for reform goal priorities, gaps and proposed solutions. Recurring themes were derived after careful analysis of all the coded responses, and were synthesized into common gaps, problems, solutions and priority areas as presented in this report.

It should be noted that responses received in French and Spanish were translated to English by a professional translation service before analysis.

## LIMITATIONS

No attempt was made to randomize the sample of participants invited to complete the questionnaire. In turn selection bias is likely in this survey, and results should be interpreted with this limitation in mind, particularly for questions 1, 2 and 4 which are analyzed quantitatively. As for qualitative questions, the analysis does not provide frequency distributions of the responses to the open-ended questions.

In addition, it was not possible to identify non-responders in terms of constituency or region represented, nor was it possible to identify who did not respond to specific questions. Furthermore, the overall response rate cannot be calculated as the questionnaire was shared with individuals beyond the initial invitees within a region or Board delegation. For example, the questionnaire was sent to 54 country delegations and individuals within the Latin America and Caribbean region (Table 1), whereas 105 responses were received (Table 2).

A final limitation relates to language. All results were analyzed in English, although raw data was collected in English, French and Spanish. This may have affected interpretation of results, a large proportion of which were received in Spanish in particular, as detailed below.

## 3. RESULTS

A total of 278 responses were received by the closing date of 15th March 2011. Of the 278 responses, 171 questionnaires were completed in English (61.5 percent), 93 in Spanish (33.5 percent) and 14 in French (5 percent). Two questionnaires<sup>2</sup> were received by e-mail rather than through the online survey tool.

### 3.1 Distribution of respondents and non-responders

The respondents were identified by constituency represented, region represented or region of origin, or sector (Questions 1 and 2). The highest percentage of responses came from the Latin America and Caribbean region, followed by Canada, Germany, Switzerland, and the “Point Seven” countries (Table 2). All other constituencies and region had a response rate of less than 10 percent.

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<sup>2</sup> Received from the Italy-Spain delegation and Norway

**Table 2: Profile of respondents (n=278)**

<i>Constituency or Region Represented</i>	<i>Percentage (number)</i>
Latin America and Caribbean	37.8 (105)
Canada, Germany, Switzerland	13.3 (37)
Point Seven <sup>3</sup>	10.4 (29)
Eastern and Southern Africa	7.9 (22)
West and Central Africa	7.6 (21)
USA	6.1 (17)
Eastern Europe and Central Asia	5.8 (16)
South East Asia	3.6 (10)
France	1.8 (5)
Italy, Spain	1.8 (5)
European Commission (Belgium, Finland, Portugal)	1.4 (4)
United Kingdom, Australia	0 (0)
Japan	0 (0)
Other	1.8 (5)

Table 3 includes the respondents grouped by sector. The highest proportion of respondents comes from the communities and developing country NGOs, followed by the Global Fund Secretariat and Partners. All other respondents had a response rate of less than 10 percent.

**Table 3: Sector of respondents (n=264)**

<i>Sector Represented</i>	<i>Percentage (number)</i>
Communities (NGOs representative of the Communities Living with the Diseases)	16 (42)
Developing Country NGOs	16 (42)
Global Fund Secretariat	12 (32)
Partners	10 (27)
Technical Review Panel	8 (20)
Donor Governments	6 (17)
Developed Country NGOs	7 (18)
Recipient Governments	7 (18)
Private Sector	5 (12)
Foundations	3 (7)
Academia	3 (9)
Other <sup>4</sup>	8 (20)

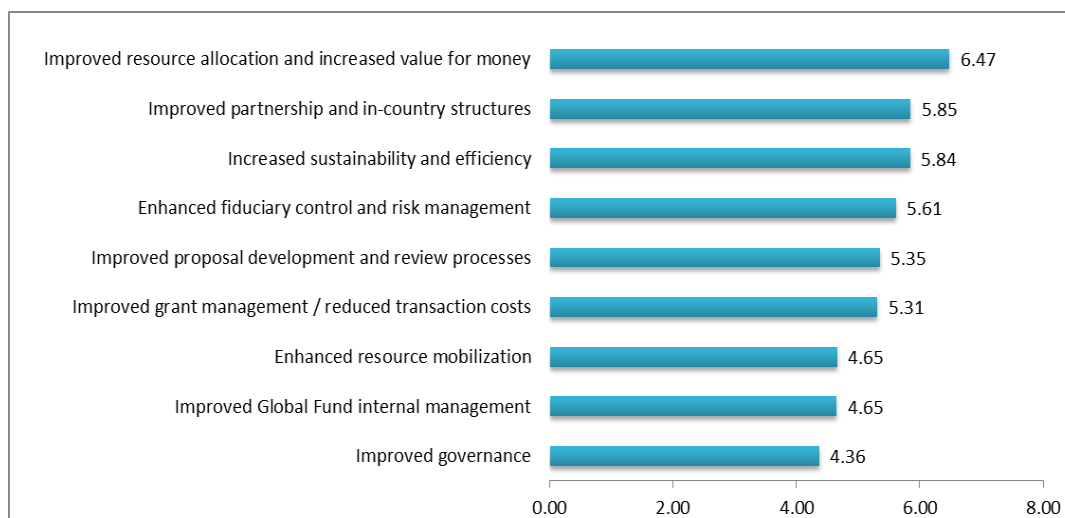
<sup>3</sup> Norway, Denmark, Netherlands, Sweden, Ireland, Luxembourg

<sup>4</sup> "Others": Faith-based organizations; CCM members, Chairs and Co-Chairs; consultants; TERG members; Principal and Sub-Recipients; multilateral organizations; technical agencies; Local Fund Agents; and civil society.

### 3.2 Prioritizing reform goals for the Global Fund

Figure 1 shows the respondents' ratings on the importance of the nine reform goals. The respondents' scores were all situated between "important" to "most important". The most important goal was "improved resource allocation and increased value for money"

**Figure 1: Highest priority reform goals for the Global Fund (n=124)**



Respondents identified issues that they believed were underlying problems for each of the reform goals. These problems are listed for each goal, starting from the highest-ranking goal to the lowest.

#### I. Improved resource allocation and increased value for money

- Lack of resources to cover the financial gap and ensure efficiency in country programs
- Proposal format does not provide the information needed to assess value for money and clarify financial accountability
- Need to increase value for money
- Inefficiencies in use of grant funds and misappropriation of funds
- Inefficiency in allocation and use of resources within and between countries
- Effectiveness of implemented methodologies and the limited availability of resources

#### II. Improved partnership and in-country structures

##### *In-country structures*

- Lack of impartiality at country level (i.e., LFA)
- Weak CCM capacity
- CCM and LFA functions need rethinking and improving



- Complexity of the CCM model
- Capacity and functionality of PRs and SRs are sometimes weak
- Need for civil society presence in CCMs
- Financing mechanisms better adapted to national cycles and new architecture and the NSA not adequate, while RCC should be maintained
- Improve CCM decision-making

### ***Partnership***

- Competition with other agencies on the ground
- Issues with procurement and drug supply
- In-country partner capacity is underutilised
- Failures/deficiencies of partnership and in-country structures.
- Global Fund is not leveraging technical cooperation (all partners) effectively enough
- Understanding of country ownership as well as accountability of partners needs to be clarified
- No Global Fund regional presence
- Enhance technical partnership with non-UN partners at country level
- Involvement of civil society is often based on goodwill of local government and the Ministry of Health

### ***Communication***

- Weak Global Fund communication and coordination with country programs
- Lack of coordination between PRs/SRs and implementers at country level
- Minimal or limited relations with the LFA

### ***Best practices***

- Need for an analytical approach in applying best practice of partners and key role of partners in ensuring the delivery of treatment, commodities and services
- Share successful experiences for an improved and increased investment in the response to the epidemics

## **III. Increased sustainability and efficiency**

- Lack of adequate M&E has resulted in poor evidence-based practices
- Need to focus more on results than activities at country level
- Lack of information on impact and sustainability of Global Fund funding at country level
- Emphasize monitoring of both performance and finance aspects
- Lack of country mechanisms to ensure sustainability and efficiency
- Better use of the funding
- Strengthen countries' capacity to sustain programs

- Strengthen financial management capacity and accountability at country level
- Consider both national and regional contexts when applying best practices

#### IV. Enhanced fiduciary control and risk management

- There is a need to review the OIG's *modus operandi*: methods, processes, tools, etc.
- There is a need to release OIG audit findings
- Global Fund effectiveness and efficiency not yet proven (compared with traditional/previous mechanisms)
- More focus on cost and fiduciary control
- Lack of efficient and rigorous financial management system to combat corruption
- No optimal balance between effective and proper use of Global Fund financing
- Lack of meaningful dialogue with country/regional partners
- Poor risk management and analysis
- Improve oversight of funds to ensure they reach target populations
- Better financial control to ensure efficiency, cost-effectiveness and sustainability
- Global Fund vulnerability to fraud
- Lack of oversight by in-country structures (CCMs, PRs, LFAs)
- Weak grant oversight and risk management system
- Inefficiencies in use of grant funds and misappropriation of funds
- Strengthen accountability and financial management capacity at country level
- Overly complex and inefficient investment management
- Grants are vulnerable to corruption and misdirection of funding
- The most affected communities have difficulty accessing funds
- The roles of the OIG and TERG are unclear for work on M&E
- High rate of cascading corruption, necessary to consider accountability as a priority

#### V. Improved proposal development and review processes

##### *Proposals*

- Limited country capacity is often translated in weak technical proposals
- Lack of country accountability
- Shorten the period between proposal submission and disbursement
- Simplify application forms
- Countries should develop more country specific proposals
- Complexity of application process
- Poor alignment with in-country processes
- Lack of human capacity to oversee grant implementation
- Grant processing times are often too long

## ***Review process***

- TRP core criteria need to be refined; e.g. clarifying the relative scores and weighting given to the three pillar criteria (including the 26 criteria under each of these pillars)
- Inconsistency in how review criteria are applied in different Rounds
- Budget review teams often lack reliable country-specific knowledge and information on local costs, etc.
- TRP clarification process is too lengthy
- Secretariat's review of workplans and budgets is duplicated by the LFA, resulting in further delays
- Considerable overlap between areas covered by grant negotiation and TRP clarification process, resulting in unnecessary delays in the start of implementation
- Phase II negotiations are too lengthy, and consume up to 1 year of the grant implementation plan
- Delays in second and subsequent disbursements

## **VI. Improved grant management/reduced transaction costs**

- Lack of human capacity to oversee grant implementation
- Limited country capacity is often translated in weak technical proposals
- Grant application: lack of resources within Secretariat to verify country needs
- Weak Global Fund communication and coordination with country programs
- Global Fund forms (proposals, LFA, etc.) are too lengthy, redundant and not effective or practical
- Use of resources outside country needs on the three diseases: improve evidence-based programming and spending
- Lack of in-country cooperation and intersectoral approach with participation of the government and civil society
- Lack of technical assistance at country level
- Inefficiency and ineffectiveness of Secretariat in the grant agreement process
- Simplify grant management processes and reduce transaction costs for countries
- Processes for smaller grants should differ from the larger ones
- Make countries more responsible for program sustainability
- Shift focus from proposals to grant implementation
- Programmes continue to be vertical
- Burden of bureaucracy
- Lack of training for project managers
- Lack of vision and country's political problems

## **VII. Enhanced resource mobilization**

- Strengthen resource mobilization efforts
- Donor base needs to be broadened, including contributions from middle income recipient countries

## **VIII. Improved Global Fund internal management**

- Change management of key Global Fund positions
- Need to strengthen Global Fund staff competencies
- Hiring staff from private sector instead of consultants to increase internal technical skills
- Are Global Fund implementation structures and procedures adequate?
- Balance between new initiatives and core business areas
- Insufficient and slow roll out of the new architecture
- None of the agenda items will happen without change within the Secretariat
- Global Fund Secretariat is overstretched and does not have the optimal balance in terms of resources and competences - especially on the technical competencies
- Better interaction between some FPMs and the country CCM, PRs and SRs suboptimal.

## **IX. Improved governance**

- Highly complicated organization
- Poor governance has led to suboptimal program administration
- Demands of the Board distract from the day-to-day business
- Global Fund effectiveness and efficiency not yet proven (compared with traditional or previous mechanisms)
- Restrict the Global Fund mandate to the initial goals
- Improve communication regarding the Secretariat, OIG, PRs, SRs, etc.

In addition to the underlying problems listed above for each reform goal, some respondents also provided general concerns, including:

- The Global Fund is seen as a “cash machine”
- Need to have a multivariable analysis of reform areas as they are all interlinked
- There is a fixation on the appropriateness of the Global Fund's core business with little willingness to change and seek new methods of investment
- Strengthen cost-sharing and additionality
- Eligibility, prioritization and cost-sharing policies and principles not clear and the notion of additionality not clearly addressed.
- Global Fund eligibility criteria should be based on disease burden rather than gross national income (GNI)

### **3.3 Highest priority-specific solutions to address the goals of the reform process**

The respondents were invited to suggest solutions to address issues with either the nine reform goals listed, or the additional goals that had been suggested. A synthesis of the suggestions is provided below:

#### **I. Enhanced fiduciary control and risk management**

- Discuss OIG reports with countries before release in the public domain
- Develop a system for following up donor investments (not only through grant results)
- Strengthen the auditing function to ensure timely detection of fraud including penalties and sanctions
- Enhance the gap analysis process and make recipients accountable for co-funding commitments
- Strengthen financial management capacity of implementers
- Global Fund insisting on Governments paying back when there is obvious misuse and abuse of funds
- Enhance financial control over appropriate use of funds
- More transparency and accountability at country level

#### **II. Improved resource allocation and increased value for money**

- Consider migration from round-based applications to NSAs to reduce the frequency of applications and improve harmonization with country strategies
- Show good value for money rather than just pushing for money to be spent in order to demonstrate a good "burn-rate"
- Consider leaving the 'one size fits all' model and prioritize countries that are considered as higher risk
- Review reasons for low success rate of proposals in countries with greater needs
- Resource allocation should be based on feasibility studies and not only on deficit analyses
- Consider country context (i.e. social and cultural context) in resource allocation

#### **III. Improved proposal development and review processes**

- Simplify Global Fund forms, making them more concise
- Have more detailed negotiations prior to Board approval of funding
- Increase the involvement of the target population in the proposal development and implementation processes
- Ensure TRP independence and no conflicts of interest
- Increase the time allowed for the TRP proposal review process

- Grouping together evaluation functions (TERG, TRP, etc.) into a more independent entity
- Better guidance from the Global Fund on proposal development
- Ensure TRP members are familiar with regions and countries, with regards to epidemiological, political and social contexts

#### **IV. Improved grant management / reduced transaction costs**

- Provide needs-based technical assistance to countries
- Empower FPMs and increase coverage of countries with the Country Team Approach (CTA)
- Review Global Fund financing and sustainability at the country level (in-country independent reviews)
- Roll out the new grant architecture
- Focus on grant performance and results
- Conduct periodic program review and evaluate Global Fund financing in national goals
- Improve demand-based funding principles
- Simplify the grant cycle processes
- Shift focus from proposals to grant implementation
- At country level, the Global Fund should play a complementary role
- Balance grant monitoring toward more attention to strategic results
- Develop a mechanism to remove recurrent costs from grants and to finance them through a simplified process
- Better technical evaluation of proposals
- Greater involvement of FPMs
- Improve communication between Global Fund and implementers
- Speed up the grant processes.

#### **V. Improved Global Fund internal management**

- Roll out CTA within the Global Fund with the participation of all clusters
- Support an exceptional, one-off increase in Secretariat staffing levels to enable the above reforms to take shape
- Enhance the Secretariat staff capacity
- Answer issues on inexperience and high turnover of FPMs and inadequate management support and supervision
- Secretariat to adopt a much more “can do, let's do” attitude, rather than a “yes, but...” mentality
- Improve internal management of the Secretariat and the efficiency of existing staff, and do not increase staffing levels or add more bureaucracy
- Donor interests should not influence the Global Fund
- Return to the Global Fund's founding principles

#### **VI. Improved partnership and in-country structures**

- Strengthen CCM oversight capacity

- Support CCM oversight and responsibility either from in-country partners or from the Global Fund
- Strengthen the capacity of Global Fund structures (LFAs, CCMs, PRs/SRs, etc.)
- Strengthen LFA financial control capacities
- Assess and assist recipients in delivering results
- Strengthen communication with technical partners
- Improve communication between the Global Fund and CCMs
- Improve in-country cooperation to increase country presence
- Enhance governments' engagement in technical capacity building
- Partner agencies acting as PRs should strengthen local capacity and local grant ownership
- Improve technical partnerships
- Reinforce the Global Fund model to better engage partners (CCM, LFAs, PRs, technical partners, etc.) in the field
- Create country level 'peer support' mechanisms modelled on the New Partnership for Africa's Development (NEPAD) principles
- Strengthen interaction with in-country partners
- Better engage with the private sector at country level
- Improving the quality of existing programs should be a priority
- Funds and programs should be less tied to governments
- Have independent consultants as LFAs (rather than firms) with transparent bidding processes by the CCM in each country to ensure impartial monitoring and auditing processes
- Improve CCM knowledge in the three diseases
- Strengthening and empowering the CCMs (for ownership of the proposals and capacity to monitor proposals that are being implemented).

## **VII. Improved governance**

- Board members should play an active role in resource mobilization
- Engage country programs in policy processes
- Board to streamline priorities for improving Secretariat workload management
- Balance between new initiatives and core business areas
- Maintain a focus on core business
- Increase expectations of Global Fund leadership (i.e. in the Board, the Office of the Executive Director and CCMs) in terms of their role in advocacy

## **VIII. Enhanced resource mobilization**

- Develop a robust and innovative resource mobilisation strategy to ensure the sustainability of the Global Fund
- Strengthen the principle of additionality and capitalize upon countries' commitments

## IX. Increased sustainability and efficiency

- Review all Global Fund Structures to harmonize and align them to ensure efficiency and effectiveness in the delivery of its mandate
- Require countries to demonstrate financial control capacity
- Develop a results tracking system
- Ensure that services reach target populations
- Review the country ownership model to check if it is appropriate
- Strengthen country commitments to program sustainability
- Ensure that interventions are targeted, effective and sustainable

### 3.4 Gaps in the reform goals and proposed solutions

Of the 107 responses received for this question, 62 percent indicated that all of the major reform goals are covered. Among respondents who answered that the reform goals are partially covered, some identified missing areas and proposed solutions for each proposed goal. Table 4 displays these answers grouped by reform goal. Some respondents did not propose solutions for a particular gap, while others proposed solutions but did not specify the gap that their solution was meant to address.

**Table 4: Summary of Responses related to Gaps and Proposed Solutions**

1) Enhanced fiduciary control and risk management	
Gaps	Proposed solutions
OIG reporting process	OIG report in the Executive Director for better control of flow of information to the public
	Stronger fraud prevention
Increase transparency and accountability	Reporting system with public access
	Transparency and accountability at both country and Global Fund levels
Fiduciary control is needed, but not sufficient	--
2) Improved resource allocation and increased value for money	
Gaps	Proposed solutions
Need for additional information on the Global Fund's impact on market dynamics	Improve the Global Funds impact on price, quality, availability and timeliness of relevant health products
Stronger human rights focus	Incorporate stronger human rights and ethical principles into Global Fund processes
A large amount of funding is approved for a large number of activities, but more focus is needed on the output of these activities (rather than the outcome results for the targeted group)	Ensure Global Fund financing reaches the proper recipients and fund improve situation of the targeted groups



--	Access to fund by most affected populations
Stronger in-country M&E of delivered activities	Ensure that money spent is linked with impact and effectiveness
Informed demand in relation to resource allocation	--
--	Focus not only on value for money but also on quality of implementation and prioritization
	Introducing funding caps for countries
Civil society involvement	Improve access of civil society organizations to Global Fund resources
Participatory approach in governance	Extend the participation of affected populations in governance
<b>3) Improved proposal development and review processes</b>	
<b>Gaps</b>	<b>Proposed solutions</b>
Revision of the TRP review process	Creation of two independent groups, which review the same proposals
M&E	Ensure effectiveness, efficiency and in-country M&E capacity
Timing	Issue with timing when writing the report (additional to routine work)
	Reduce time between country requests and the Global Fund's response
<b>4) Improved grant management / reduced transaction costs</b>	
<b>Gaps</b>	<b>Proposed solutions</b>
Need for increasing Secretariat staff knowledge	Orientation and training of Global Fund staff on country contexts
Increase transparency and accountability	Reinforce work with OIG with proper methodology, tools, etc.
Global Fund proposals: lack of ownership, over ambitious (unrealistic) indicators and developed by external consultants	Reinforce country proposal ownership
	Suggest "future life saved" instead of "life saved"
--	Strengthen performance-based funding
	Improve technical support from partners throughout the grant cycle
	Strengthen implementer capacities
<b>5) Improved Global Fund internal management</b>	
Need for a mindset change among Global Fund staff and senior leadership	Culture change environment
Matching resources to the workload	Prioritize programs within Global Fund that abide by the principle of "promising less and delivering more"

Management issues	Less micromanagement and more focus on strengthening sustainable structures
<b>6) Improved partnership and in-country structures</b>	
<b>Gaps</b>	<b>Proposed solutions</b>
Better understanding of partnership with PRs and CCMs	More information/clarification on in-country partnerships.
	Explore different models of existing partnerships
Enhancing efficient/effective national responses to diseases not adequately reflected	Build an effective response to diseases at national level
	Improve/revise Global Fund performance-based funding model
	Improve in-country management capacity, i.e. LFA, CCMs
	More transparency among national structures
	More focus on programmatic quality (i.e. the value of the programs)
Expanding and diversifying recipients at country level	Development of a new model for in-country recipients
	Mapping of existing in-country structures to identify strategies with operational plans
	Rethink the CCM model
	Expanding the work with youth organizations and have them represented on CCMs
	Increase involvement of civil society in country proposals
Improve communication between the Global Fund and partners in order to ensure shared responsibility	Identify and address implementation issues and grant bottlenecks at early stages (suggest to create special committees)
Better use of the Global Fund's advocacy power	Use the role and weight of Global Fund to foster change of national laws that criminalize and marginalize those most at risk
<b>7) Improved governance</b>	
<b>Gaps</b>	<b>Proposed solutions</b>
No mention on the recruitment, selections process, appointment and term of office of the Executive Director CEO	More transparency in regard of recruitment processes
--	Restructure the Board to make it more effective
--	Strengthen local governance capacity

Better alignment with in-country processes	Financial data in line with national plan and programs Global Fund M&E should be aligned with national M&E plan
<b>8) Enhance resource mobilization</b>	
<b>Gaps</b>	<b>Proposed solutions</b>
–	–
<b>9) Increased sustainability and efficiency</b>	
<b>Gaps</b>	<b>Proposed solutions</b>
Disagreement with some groupings	"Sustainability" and "efficiency" should not be grouped together as they can be contradictory
Issue with the use of Global Fund funding in an efficiency manner	Countries should demonstrate commitment to sustaining programs at early stages and after the Global Fund financing has expired (i.e. counterpart financing)
	Ensure that countries have financial mechanisms in place to manage Global Fund financing
Countries commitment to sustain programs	Need commitment from governments to sustain programs
	Commitments from governments should be monitored

In addition to the responses above, two respondents also emphasized the need for the quality of delivered services and enhancement of local sustainability as a strong priority.

One respondent requested clarification on the meaning of “resource allocation”, whether the meaning is to improve mechanisms for allocating the funds or improve efficiencies in fund distribution. If it is the latter, then the respondent observed that the goal overlaps with the reform goal on "increased sustainability and efficiency".

One respondent suggested that Global Fund's resource mobilization, allocation and oversight roles should be more strongly and more consistently grounded in human rights and ethical principles.

One respondent proposed consolidating and prioritizing reform areas, reducing their number so as to make them clearer and more memorable.

One respondent reminded the Global Fund that “Without radical thought there is a danger of merely tinkering around the edges of issues instead of engaging in real, substantial reform. I would like to see a review of the Global Fund's model and principles as a cornerstone of the reform agenda.”

### 3.5 Other comments and suggestions

Respondents were invited to provide additional comments at the end of the questionnaire. Responses were then clustered into themes and are listed below:

#### ***General strategic issues:***

- Revisit basic Global Fund concepts (e.g. performance-based funding, country ownership, etc.)
- Global Fund needs to continue to be innovative
- Fund more sector support rather than Global Fund-specific disease oriented priorities, with emphasis on strengthening countries' own M&E systems
- Analyze need for regional presence to support countries
- Develop new eligibility, prioritization and cost-sharing models
- Principles of effectiveness and efficiency should be applied to the use of funds
- Need for an in-depth analysis of ethics in the use of international resources in countries that do not respect human rights

#### ***Governance:***

- Enhance the role of non-voting board members
- Increase transparency for donors

#### ***Country processes:***

- Celebrate best practices and award countries that have recorded significant performance improvement in their programs
- Strengthen countries own capacity to sustain programs
- Strengthen M&E at country level, and work on harmonization and alignment (such as the use of joint annual reviews)
- Develop model to estimate and enforce additionality
- Consider the positive aspects of international organisations acting as PRs
- Better understanding of country specifics and context when designing interventions
- Medium-term impact evaluation activities should be planned
- Consider high staff turnover and population mobility at country level
- Better control over the Global Fund-supported programs implemented by governments
- Quality of proposals should not be the responsibility of the Secretariat (responsibility of the countries and development actor partners)

#### ***Risk management:***

- Strengthen relationships with journalists, with a particular focus on those in implementing countries. Move from a defensive mode (referring to our website and founding principles as evidence of our openness and good intentions when cases of fraud are reported) to a more aggressive promotion of our transparency
- Clarify power balance between the Secretariat, OIG and countries
- Strengthen the role of the OIG

### ***Communication and dialogue:***

- Develop a vibrant communication system to reach the most vulnerable in society with messages on how Global Fund grants have changed lives
- Ensure equitable funding between countries through dialogue (not proposals) and transparency
- Review the Global Fund website effectiveness as a tool to reach out to journalists

### ***Reform process:***

- Ensure reforms include partners beyond the donors
- Address the Global Fund reforms quickly
- Require stronger project management and discipline to implement the reforms
- Survey ranking system is unclear

## **4. CONCLUSIONS AND CONSIDERATIONS FOR THE COMPREHENSIVE REFORM WORKING GROUP**

The Board CRWG survey provided some insights on how a broad range of Global Fund stakeholders prioritize the proposed reform goals, and what they perceive as underlying problems, potential solutions and potential gaps in the reform agenda. The distribution of responses from different constituencies is uneven and caution must be taken in generalizing the findings. Nevertheless, the survey results do provide useful information for the CRWG. Key findings are summarized below.

- *Improved resource allocation and increased value for money* - respondents suggested that the Global Fund should provide more detailed information on value for money principles and should request a stronger evidence base for proposed interventions. Another recurrent issue brought up by respondents was ensuring that funds and services reach those most in need. There is also the need to move from grant applications to NSAs for a better alignment and harmonization with country needs.
- *Improved partnership and in-country structures* - respondents suggested a focus on strengthening the capacity of Global Fund structures such as CCMs, LFAs and PRs/SRs, and improving civil society presence on CCMs, improving communication between stakeholders, and more substantive work with technical partners in the field. Many respondents also identified the need to strengthen the technical capacity of government implementers, such as ministries of health. Some respondents suggested rethinking the CCM- based governance model.
- *Increased sustainability and efficiency* - respondents suggested there is a need to focus more on results than activities at country level and to emphasize monitoring of both performance and financial aspects. Many respondents suggested strengthening financial management capacity, accountability at the country level, clearly addressing additionality, and requiring countries at early stages of grant application to demonstrate commitment to sustaining programs.

- *Enhanced fiduciary control and risk management* - the major concern expressed by many respondents was the possibility of fraud and misappropriation of funds provided by the Global Fund. A considerable proportion of respondents emphasized the need for an efficient and rigorous financial management system to combat corruption, but also to strengthen the financial management capacity of implementers. The OIG *modus operandi* and the need to strengthen relationships with the Global Fund were also issues raised a number of times.
- *Improved proposal development and review processes* - countries lacking the technical capacity to develop high quality proposals and implement grants was one of the problems expressed by many respondents. Overlaps and delays between lengthy TRP clarification processes and grant negotiations were also raised a number of times. Common solutions included the development of less complex and more concise Global Fund application forms, rethinking the TRP structure and review process, and better guidance provided by the Global Fund on aspects of value for money and financial accountability, as well as on targeting key populations in proposal development and implementation.
- *Improved grant management/reduced transaction costs* - there was a strong demand expressed by many respondents to simplify Global Fund forms and grant management processes. Many have indicated the lack of human capacity to verify country needs in grant applications, and to oversee grant implementation. A number of respondents also identified the need to shift the focus from proposals to grant implementation. Finally, many respondents highlighted the need to improve the M&E system, focusing on ensuring that support provided is directly linked to impact and program effectiveness through building in-country M&E capacity.
- *Enhanced resource mobilization* - respondents indicated the need to develop a robust and innovative resource mobilisation strategy to ensure the sustainability of the Global Fund, including considering middle-income recipient countries as new donors.
- *Improved Global Fund internal management* - many respondents indicated the need to increase Secretariat staff capacity and competencies (particularly in terms of public health expertise), and to improve the efficiency of existing staff. Also, respondents suggested having a better balance between new initiatives and core business areas stated in the Global Fund mandate.
- *Improved governance* - many respondents stated that complicated organizational structures and poor governance have led to suboptimal program administration. There is a strong demand for the Board to streamline priorities for improving Secretariat workload management, and for it to play a more active role in resource mobilization.

Recurrent cross-cutting themes were on the need to strengthen transparency and accountability, both at the Secretariat and country levels as well as the need to strengthen eligibility, prioritization and cost-sharing principles. Finally, many respondents observed that the reform areas are interlinked, hence there is a need to reduce or prioritize reform areas that have been put forward by the CRWG.

## Annex 1 Members of the Comprehensive Reform Working Group

- Leadership

Tedros Ghebreyesus	Eastern and Southern Africa
Ernest Loevinsohn	Private Foundations

- Membership: Secretariat

Michel Kazatchkine	The Global Fund Secretariat
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- Membership: Implementer Block

Nataliya Nizova	Eastern Europe and Central Asia
Jorge Saavedra	Latin America and Caribbean
Allan Ragi	Developing Country NGOs

- Membership: Donor Block

Patrice Debré	France
John Monahan	USA
Anders Nordstrom	“Point Seven” countries

- Membership: Partners

Hiroki Nakatani	WHO
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## Annex 2 The Board Survey Questionnaire

### Global Fund Board working group survey on reforms

#### Q1. Choose your location:

- Belgium, Finland, Portugal
- Canada, Germany, Switzerland
- Eastern and Southern Africa
- Eastern Europe and Central Asia
- Eastern Mediterranean Region
- France
- Italy, Spain
- Japan
- Latin America and Caribbean
- Norway, Denmark, Netherlands, Sweden, Ireland, Luxemburg
- South-eastern Asia
- United Kingdom, Australia
- United States
- Western and Central Africa
- Western Pacific Region
- Other (please specify)

#### Q2. Choose your sector:

- Academia
- Communities (NGOs representative of the Communities Living with the Diseases)
- Developed Country NGO
- Developing Country NGO
- Donor Government
- Foundations
- Global Fund Secretariat
- Partners
- Private Sector
- Recipient Government
- Technical Review Panel
- Other (please specify)

#### Q3. The following nine goals are proposed as priorities for reform of the Global Fund:

- 1) Enhanced fiduciary control and risk management
- 2) Improved resource allocation and increased value for money
- 3) Improved proposal development and review processes
- 4) Improved grant management / reduced transaction costs
- 5) Improved Global Fund internal management
- 6) Improved partnership and in-country structures

- 7) Improved governance
- 8) Enhanced resource mobilization
- 9) Increased sustainability and efficiency

Please refer to the word document attached to your survey invitation email for additional detail on each of the nine areas.

Do you consider that all major reform goals are covered? Are there any areas missing?

**4. What do you think are the highest priority reform goals for the Global Fund?**

	Least important				Important				Most important
1) Enhanced fiduciary control and risk management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2) Improved resource allocation and increased value for money	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3) Improved proposal development and review processes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4) Improved grant management / reduced transaction costs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5) Improved Global Fund internal management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6) Improved partnership and in-country structures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7) Improved governance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8) Enhanced resource mobilization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9) Increased sustainability and efficiency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**5. What underlying problems make these goals important?**

**6. In your opinion, what are the highest priority-specific solutions to address the goals of the reform process? Please suggest solutions to address either the goals listed above or additional goals you identify.**

**7. Please add any additional comments not covered in the above questions.**