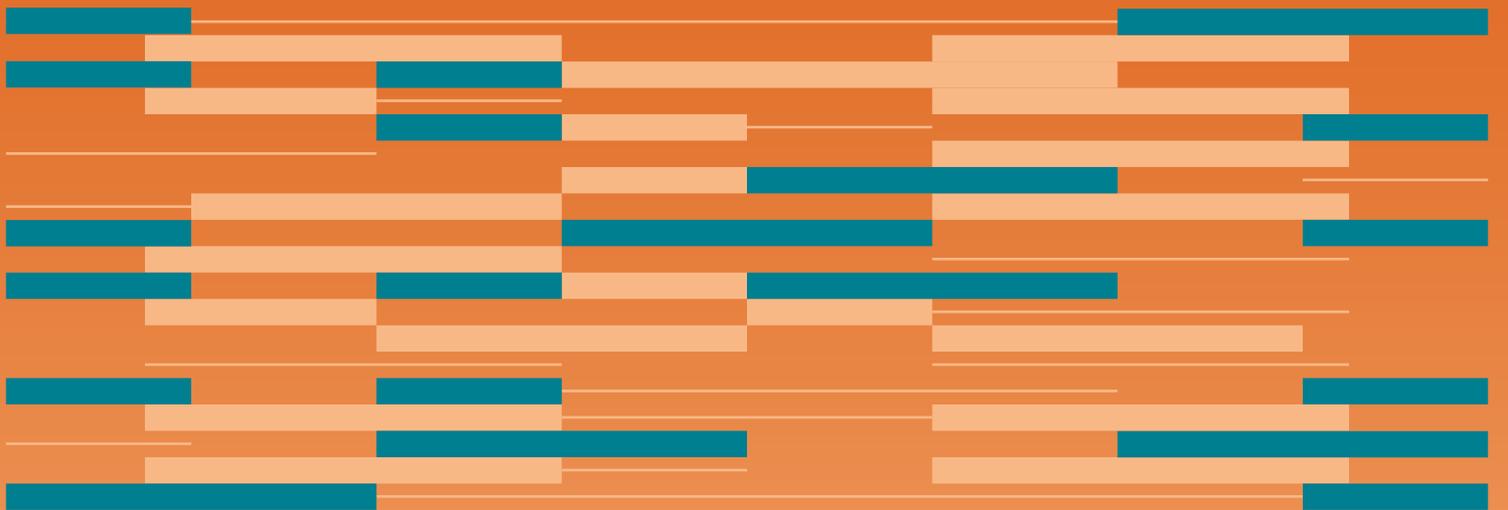


COUNTRY COORDINATING MECHANISMS
PRINCIPAL RECIPIENT AND SUB-RECIPIENT SELECTION PROCESSES



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Principal recipient (PR) and sub-recipient selection processes have undergone considerable transformation since the Global Fund's inception in 2002. Case studies were conducted in **Ethiopia, Kenya, Romania, Sri Lanka** and **Tanzania** to investigate the methods used by the Country Coordinating Mechanisms (CCMs) to select PRs and sub-recipients. The aim was to examine the impact of these different approaches on grant management.

Principal Recipient Selection

PR selection mechanisms fell into three broad categories: i) direct nomination by CCMs: (**Ethiopia, Kenya, Sri Lanka** and **Romania**); ii) restricted or open calls for expressions of interest, generally followed by evaluation based on predetermined criteria (restricted – **Romania**; open – **Kenya, Sri Lanka** and **Tanzania**); iii) evaluation of expressions of interest based on set criteria, but without clear definition of the process used for soliciting and evaluating proposals (**Ethiopia** and **Tanzania**).

Direct nomination of PRs by CCMs was typical for early grants, but that is being replaced by calls for expression of interest. Restricted calls have the advantage of taking less time and resources – particularly for the evaluation part of the process – and of increasing the chances that most applicants would have the relevant expertise. Open calls, however, are perceived as being more transparent,

inclusive and fair. There is also a perception that they result in CCMs and applicants emerging with a better understanding of each others' roles and capacities and that they are more likely to identify the organizations best suited to implementing the grants. Even in instances where the pool of possible candidates is small, study participants felt that open calls shed light on possibilities previously unrealized and lent greater credibility to the successful candidate.

The early tendency to nominate PRs from the public sector was attributed to the fact that many CCMs are government-led. Perceptions that greater capacity existed in the public sector and the fact that government agencies often have mandates consistent with objectives supported by the Global Fund were other factors that led to the nomination of PRs from the public sector. As countries applied for additional grants, established PRs were often reconfirmed to manage new grants. While this practice has obvious advantages in terms of consolidating capacity, some study participants felt that opportunities for a wider, multisectoral response had been missed.

But PRs have not always been chosen exclusively from the public sector. In **Sri Lanka**, for instance, PRs are systematically selected from both the public and the nongovernmental sectors for each grant. The Global Fund's recently adopted "dual-track" financing policy

of encouraging PRs from both the government and the nongovernmental sectors appears to be prompting the development of new proposals involving a wider selection of PRs.

Sub-recipient Selection

Procedures for selecting sub-recipients have also matured since the early days, when the pressure on fledgling CCMs to meet proposal deadlines resulted in appointing organizations based on subjective assessments of their track record. In recent funding rounds, CCMs have used the following approaches:

- Calls for expression of interest/sub-proposals prior to country proposal submission (**Kenya, Romania, Sri Lanka, Tanzania** and **Ethiopia**).
- Restricted calls for sub-proposals following approval of the country proposal (**Ethiopia**).

Regardless of the process, wherever the proposal solicitation and evaluation steps were agreed upon, well defined and stringently applied, there was general satisfaction that the results were fair and credible. Dissatisfaction was expressed, however, by those who were not selected. Such organizations were rarely, if ever, informed as to the reasons for their rejection. This resulted in missed opportunities for feedback, capacity building and the maintenance of contact with organizations that possibly could contribute in the future. The timing of sub-recipient selection also emerged as being critical. Selecting sub-recipients prior

to and as part of the process of proposal development fostered greater ownership and commitment to the delivery of results – sub-recipients were more likely to see themselves as partners than as agents contracted to deliver services. Furthermore, the technical expertise of potential sub-recipients was seen to improve the quality and feasibility of proposals, allowing for a more accurate reflection of institutional and capacity gaps within proposals. With the increased predictability of Global Fund processes, sub-recipient selection prior to proposal submission is likely to become the norm.

Study Design and Methodology

This is one in a series of eight reports which examine different aspects of the work of CCMs.

Case studies were conducted to identify the processes used by CCMs to select PRs and sub-recipients and to examine the implications of the different methods for grant implementation. Consultants conducted CCM case studies for **Ethiopia, Kenya, Romania, Sri Lanka** and **Tanzania** during September and October 2007. In each country, documents relevant to selecting PRs and sub-recipients (including CCM meeting minutes) were reviewed.

The consultants interviewed CCM members and other stakeholders, including grant implementers and Local Fund Agents (LFAs). A total of ten to 12 days (five to seven in country) was dedicated to each investigation. Key themes covered included governance and the transparency of selection processes and the nature of applicant participation. Respondents were asked for their views on proposal development and selection procedures as well as the outcomes. All interviews were conducted in English, with the exception of a single interview in **Sri Lanka** which required the help of a Sinhalese interpreter. Each consultant produced a report. These individual reports were synthesized further into this account. As part of the Global Fund's philosophy

of supporting country ownership, CCMs were tasked with several responsibilities, including that of selecting agencies known as PRs to manage and implement Global Fund grants.

The methods for selecting PRs¹ and sub-recipients² were left to CCMs to define. Over the years, these processes have undergone considerable transformation. Early accounts of informal, "behind the scenes" and often nepotistic selection procedures led to tighter Global Fund requirements. The updated guidelines for CCMs³ stipulate that:

"CCMs are required to put in place and maintain a transparent, documented process to nominate the PRs and oversee program implementation."⁴

The 2006 CCM Requirement Clarifications paper states:

"An open and fair PR nomination process will help ensure that the best possible PR is selected and that (it) has credibility with all concerned partners."

The guidelines further state that CCMs must develop tools and procedures for overseeing proposal implementation, and that these should include criteria for the nomination of PRs.⁵

Principal Recipients

¹ PRs are country-based agencies or organizations that are financially and legally responsible for program results.

² Sub-recipients are program implementing agencies that are contracted by PRs and deliver services under their leadership.

³ *Revised Guidelines on the Purpose, Structure and Composition of Country Coordinating Mechanisms and Requirements for Grant Eligibility*, 2005. These were later elaborated in the Clarifications on CCM Requirements, 2006.

⁴ *CCM Revised Guidelines*, Global Fund, item 15.

⁵ *CCM Revised Guidelines*, Global Fund, item 17.

The *Fiduciary Arrangements for Grant Recipients*⁶ specify Global Fund requirements for PRs. These are defined in four areas: financial management and systems, institutional and programmatic arrangements, procurement and supply management systems and monitoring and evaluation (M&E) arrangements. The Global Fund's *Guidelines for Performance-Based Funding* provide additional insights into the program management capacities that PRs are expected to have.

Initially, CCMs were free to nominate one or more PRs. However, in 2007 the Global Fund Board decided to actively promote dual-track financing – i.e., to employ two PRs for each grant, one from government and another from a nongovernmental sector.⁷ The rationale behind this decision was to accelerate the participation of civil society organizations and the private sector in grant implementation, which, in turn, is expected to increase absorptive capacity, assist scale-up and improve grant performance. Accordingly, the guidelines for Round 8 proposals recommended the inclusion of both government and nongovernmental PRs. It should be noted, however, that the events covered in the case studies largely predate this policy change.

Sub-recipients

CCMs are expected to formulate criteria for sub-recipient selection, although they do not necessarily have to be directly involved in the process.

There are no Global Fund guidelines regarding whether or not sub-recipients should be chosen before or after the proposal submission process. However, Global Fund guidelines issued at the opening of each call for proposals state that information on sub-recipient involvement is a key factor in appraising the feasibility of proposals. Wherever such information is not included, CCMs are expected to clarify the reasons and indicate how selection will proceed once the proposal is approved. Furthermore, the proposal guidelines indicate that these processes should not only be open and transparent, but also documented.

In summary, while the Global Fund's guidance on the selection of grant management and implementing partners has become slightly more prescriptive with time, the details are left to the discretion of CCMs.



⁶ Global Fund: *Fiduciary Arrangements for Grant Recipients* July 1, 2003.

⁷ Global Fund: Fifteenth Board Meeting, Geneva 25-27 April 2007: Decision Point GF/B15/DP14.



Documentation of Selection Processes

With the exception of the CCM in **Sri Lanka**, all other CCMs in this study had documented the PR and sub-recipient selection processes to varying degrees. Wherever such documentation had been issued prior to the Global Fund's revised guidelines, there had usually been some effort to bring it in line with the updated requirements.

In **Romania**, governance records, including details of eligibility criteria for PRs and sub-recipients, the selection process, reporting templates and M&E guidelines were readily available to CCM members through the CCM's website. Those interviewed in **Ethiopia** and **Kenya** also had ready access to comprehensive governance tools, including selection criteria. In **Tanzania**, however, the tools had been developed but appeared not to be widely known or implemented.

In most cases, the procedures and documentation were developed by a sub-committee or working group and then forwarded to the CCM for approval. The fact that not all CCM members were directly involved, and that CCM members often rotate, was reported to have contributed to an uneven awareness of procedures between CCM members in **Tanzania** and **Sri Lanka**, respectively.

Processes Used for Principal Recipient Selection

Complete accounts of PR selection methods used for all grants were not available. However, PR selection

processes appeared to fall into the following broad categories:

Direct nomination by Country Coordinating Mechanism (Ethiopia, Kenya, Sri Lanka and Romania)

This method was typically used in early grant rounds, when CCM structures were nascent, far from fully functional and under the kind of pressure to submit proposals that was not conducive to fully consultative and participatory selection processes. Direct nomination was also used in instances where government ministries or agencies were selected due to their pre-existing mandate to coordinate the response, and, in particular, to channel external funds.

Open/restricted call for expressions of interest, followed by evaluation based on agreed-upon criteria (Open: Kenya, Sri Lanka and Tanzania. Restricted: Romania)

CCMs that adopted this approach began by developing a set of criteria, drafted either by the entire CCM or by a sub-committee assigned for this purpose. Beyond the Global Fund criteria for assessing PR capacities, CCM specifications were typically of the following nature:

- Experience in coordinating and managing programs to address the three diseases;
- Track record in grant management;
- Adequate human resources, information systems and physical infrastructure;
- Effective M&E reporting systems;

- Effective organizational leadership and management systems;
- Strong governance and internal control systems and transparent decision-making;
- Strong financial and accounting systems;
- Legal status to be able to enter into agreement with the Global Fund;
- Familiarity with Global Fund fiduciary arrangements for grant recipients and other related Global Fund policies;
- Able to identify capacity gaps that may require Global Fund support;
- Experience with managing multiple sub-grantees;
- Geographical coverage.

Once criteria were agreed upon, calls for expressions of interest were generally announced through the national newspapers, on the CCM and/or PR websites, through sector networks or at meetings. In instances of restricted calls – for example to certain sectors or organizations – the main justification for this approach was the shortage of time available.

The selection criteria were either published or made available upon application. Expressions of interest generally involved completing an application form or questionnaire. CCMs established selection sub-committees of various sorts; on occasion, those interviewed stated that members of these committees included non-CCM members (**Kenya** and **Sri Lanka**), although details were not provided. In theory, applications were evaluated against the stated criteria,

Principal Recipient Selection – An Example from Romania

The CCM decided on the minimum eligibility criteria for prospective PRs (including the management and financial capacities specified in Global Fund guidelines) and devised the application procedure.

With the submission deadline approaching, the invitation to apply for the position of PR was circulated only to CCM constituencies. Three organizations applied.

All the applicants were invited to a CCM meeting, during which each made a presentation and clarified outstanding issues. The CCM decided the nomination by secret ballot. The entire process – from the discussion on the criteria to the announcement of the results – was documented in the minutes taken by the CCM. Those interviewed stated that the process was transparent and free of any conflict of interest.

often using a point system such that those with the highest rankings were selected. In other cases, CCMs voted or reached a consensus working from a shortlist of eligible candidates.

In Round 4 and Round 6, PR candidates were invited to participate in workshops in **Sri Lanka** and **Tanzania**, respectively. In the instance of **Tanzania**, it was not clear how participation in these workshops influenced the selecti-

on process. In **Sri Lanka**, the results of a questionnaire-based assessment of a PR candidate's capacities were said to be ultimately more important than the workshops in selecting candidates.

Criteria-based evaluation without clear definition of solicitation/evaluation processes (Ethiopia, Tanzania)

The CCM developed specific criteria for selecting PRs. However, the processes for soliciting and/or evaluating applications were unclear to the majority of respondents in the case studies.

The selection processes resulted in the following PRs being appointed:

Ethiopia: Federal Ministry of Health and the HIV/AIDS Prevention and Control Office;

Kenya: Ministry of Finance, Kenya Network of Women with AIDS and Sanaa Art Promotions;

Romania: Ministry of Health and Family and Romanian Angel Appeal Foundation;

Sri Lanka: Ministry of Healthcare, Nutrition and Uva Wellness Development and Lanka Jatika Sarvodaya Shramadana Sangamaya;

Tanzania: Ministry of Health, Ministry of Finance, African Medical and Research Foundation, Pact Tanzania and Population Services International.

Feedback and Emerging Issues

Processes were perceived to be fair wherever criteria were developed in an open and transparent manner, agreed to by all CCM members and consistently applied. Respondents stated the importance of having the entire process documented and accessible to all stakeholders. In instances where documentation had yet to be made available, such as in **Sri Lanka**, concerns were expressed in relation to transparency and bias.

It was evident that where there was confidence in the selection process, the PR was deemed qualified for the job, which, in turn, gave the PR greater credibility. It was also pointed out that a PR elected through a robust and fair process was likely to have a stronger commitment to delivering results than a directly appointed organization.

Rigorous processes were felt to contribute to stakeholders emerging with a better understanding of the respective roles and comparative advantages of the government and nongovernmental sectors, as well as a more effective division of labor.

With regard to civil society participation, the criteria developed by the CCMs in this study, as well as the minimum requirements for PRs specified by the Global Fund, tended to place larger, established NGOs at a considerable advantage. Some respondents stated that it was important to consider how emerging organizations might be drawn into the process.

Processes Used for Sub-recipient Selection

Procedures used to select sub-recipients were more varied. In the early rounds, the pressure on fledgling CCMs to meet proposal submission deadlines often resulted in appointing organizations based on subjective assessments of their track record. The general consensus among stakeholders interviewed was that such practices lacked transparency and were unsatisfactory. The approaches used in more recent rounds can be broadly grouped as follows:

Call for expressions of interest/ sub-proposals prior to proposal submission (Kenya, Romania, Sri Lanka, Tanzania and Ethiopia)

Organizations that responded to a public call for expressions of interest were invited to submit a sub-proposal for incorporation into the country proposal. In most cases, applicants were also required to submit an organizational profile.

The priority areas for sub-proposals were either specified in the application guidelines or announced at proposal development workshops. Such workshops typically involved an introduction to the Global Fund and the CCM, a presentation of the goals, objectives, and framework of the country proposal and guidance on developing sub-proposals. Proposals were screened and evaluated by a CCM sub-committee. Organizations whose proposals fulfilled the criteria and met the required standards for organizational capacity (where this

was assessed) were nominated as sub-recipients.

Restricted call for sub-proposals following approval of proposals (Ethiopia)

This approach was used for the tuberculosis (TB) and malaria components of **Ethiopia's** Round 7 proposal. (Proposals were also solicited during the proposal development phase, see above.) Organizations pre-selected by the PR were invited to submit proposals, which were then evaluated by an independent technical review panel set up by the CCM. A similar procedure was followed to solicit sub-recipient proposals for the HIV component; these were reviewed by the regional offices of the PR (the HIV/AIDS Prevention and Control Office), with no input from the CCM.

Feedback and Emerging Issues

Since more organizations theoretically qualify, selection processes for sub-recipients appeared to be more contentious than those for PRs. Lack of clear documentation was particularly problematic, contributing to suspicions and uncertainty. The following quote from an interview in **Sri Lanka** was illustrative: "I'm not sure how they selected the sub-recipients. People respond to the newspaper adverts, but after that, I'm not sure what the procedure is."

In **Romania**, some CCM members expressed regret that the Global Fund did not provide greater guidance and rules from the outset. It was not clear if such statements related to a lack of confiden-

ce or to a sense of foreboding that the processes set by the CCM would be interfered with or not be handled well. Either way, as shown in the example at left, **Romania** had better documentation of the selection processes than most.

In instances where the proposal solicitation and evaluation processes were agreed upon, well defined and stringently applied, there was general satisfaction that the process was fair and competitive. Such perceptions helped avert dissatisfaction among candidates that were not selected. However, it was noted that informing such organizations of the reasons for their rejection would make the process even more transparent and have additional benefits. Such a mechanism could help with building capacity and encourage future cooperation and/or participation.

Proposal development workshops were welcomed. Under ideal circumstances, these provided opportunities for potential implementing agencies to learn about the Global Fund, the way it functions and the overall aims and objectives of the activities for which funding was sought. Workshops helped build capacity, particularly for NGOs that lacked experience in proposal development. Workshops were also seen as an opportunity for CCMs to manage expectations regarding the results of proposal evaluations and the roles and obligations of the organizations that would eventually be selected.

A number of persons interviewed stated the need to ensure that sub-recipient selection criteria be broad enough to

enable all potentially effective NGOs to participate, making sure, for example, that NGOs doing valuable work with vulnerable populations would not be excluded for reasons such as size, reach and/or relatively limited experience. In the instance of **Romania**, however, government members complained that the greater numbers of NGO representatives on the CCM had led to a disproportionate amount of funds pledged to NGOs as sub-recipients – suggesting that in this case the composition of the CCM can be perceived as influencing the type of organizations selected.

Where calls for proposals were restricted, respondents noted that this saved time by ensuring that proposals were limited to organizations with known capacity and proven experience. However, it was also noted that many potentially eligible and effective stakeholders were denied the opportunity to participate.

While the Global Fund does not specify whether it should be the CCM or the PR who should select sub-recipients, these studies indicate that the process is generally led by the CCM. However, the PR, which is invariably a member of the CCM, usually had at least some input into the selection criteria and the evaluation of applicants. The importance of the PR's involvement was highlighted by a case in **Sri Lanka**, where problems arose when sub-recipients for the Round 1 grant were assigned by the then government-dominated CCM, with apparently little consultation with the PR. This eventually led to the resignation of the PR.

The only recorded case of sub-recipients being selected by the PR with neither input nor oversight from the CCM was for HIV/AIDS work in **Ethiopia**. Respondents there implicitly acknowledged that this could give rise to problems, but expressed confidence that the process had been conducted fairly and transparently.

Sub-recipient selection was often an integral part of the proposal development process, such that in most countries studied these organizations had been identified, if not formally nominated, prior to submitting the country proposal. A number of advantages were noted:

- i) Selecting organizations from those involved in proposal development was more likely to result in a greater sense of ownership and commitment to delivering results.
- ii) Proposals benefited from the technical expertise of the potential sub-recipients.
- iii) Prior identification of sub-recipients allowed time to identify gaps such as capacity needs and to build in ways to address these within the proposal.

Disadvantages included the time and resource requirements involved in inviting and then reviewing proposals from all potential sub-recipients. However, given that the Global Fund grant cycle is increasingly predictable, it should be possible to organize calls for proposals and briefings well in advance of submission deadlines. A further disadvantage was aired in relation to the possibilities that agencies might need to be “deselected”, and as a result disappointed, should their proposals not be accepted. However, this could

be offset by clarifying all eventualities from the outset.

In **Ethiopia**, a number of sub-recipients were selected following proposal approval by the Global Fund Board, rather than during the proposal development process, as is more frequently the case. No particular advantages were put forward for this practice, other than that this allowed more time for NGOs to prepare their submissions. Elsewhere, others stated the potential advantages of having more time to make a thorough assessment of potential sub-recipients, and that having confirmation of the exact specifications of the approved grant would enable potential sub-recipients to tailor their proposals to better meet the specified needs.

Repeated Nominations of Principal Recipients and Sub-recipients

In **Ethiopia, Kenya, Sri Lanka** and **Tanzania**, government ministries were nominated as PRs for successive rounds of funding. Such nominations were based on institutional mandates with regard to health interventions or the ability to accept and channel external funds. In most cases, however, those interviewed felt that the choice was substantiated by assessments made by the Global Fund and the CCM of satisfactory past performance. In **Sri Lanka**, a single NGO was appointed as one of the two PRs (the other being the Ministry of Health) for all but one of the approved proposals; here too, re-nomination was made on the basis of satisfactory past performance and fulfilment of the eligibility

Sub-recipient Selection – An Example from Kenya

A call for expressions of interest was placed in national newspapers, on the CCM website and announced via civil society organization networks. Interested organizations were invited to submit an organizational capacity profile and a project proposal (based on specified priority areas). The CCM provided a capacity assessment questionnaire; a project proposal template and work plan and budget formats as well as guidelines for their completion.

The CCM set up an independent review panel to assess the expressions of interest based on previously agreed-upon criteria. The process was as follows:

1. Applications were screened for admissibility (compliance with application guidelines);
2. Organizational capacity was assessed;
3. Project proposals, work plans and budgets were evaluated;
4. Comparative advantages of organizations were assessed in terms of specific issues and vulnerable groups.

Of the 412 organizations that expressed interest, 34 submitted proposals which qualified for inclusion in the country proposal. These organizations were nominated as sub-recipients.

criteria. Exceptions included **Kenya**, where some CCM members raised issues with the repeat selection of the Ministry of Finance as PR. According to some, the Ministry of Finance had yet to show interest in being a PR, as it had not taken part in the proposal development process.

Those interviewed cited a number of advantages in nominating the same PR for successive grants. These advantages included continuity, minimal disruption in implementation and consolidation of capacity. Reference was also made to the Paris Declaration on Aid Effectiveness,⁸ in which investing and strengthening systems is favored over strategies which lead to multiple parallel approaches. The general con-

sensus was that prior nomination as a PR should not disqualify an organization from being selected in subsequent rounds. Similarly, few objections were raised in response to the same sub-recipients being selected for subsequent rounds. Selecting “known quantities” was felt to reduce some of the risks of grant implementation, while at the same time enabling the organizations concerned to consolidate and improve upon capacities.

On the other hand, there were concerns that repeated nominations of the same entities risked eroding stakeholders’ confidence in the fairness of the selection process and reduced the scope for other organizations to get involved and benefit from the experience.

⁸The Paris Declaration, endorsed on 2 March 2005, is an international agreement in which over 100 ministries, heads of agencies and senior officials, committed to actions and indicators to increase efforts in harmonization and alignment and managing aid for results. The Global Fund co-signed this declaration.

In the interest of supporting country ownership, the Global Fund left the task of selecting PRs and sub-recipients to CCMs. While some CCM members would have preferred that the Global Fund provide more guidance and rules from the outset, all CCMs proceeded to experiment with different approaches. Selection processes generally moved from being behind-the-scenes subjective processes of direct appointment to formal calls for applicants with explicit criteria for ranking candidates.

Various factors contributed to making procedures increasingly fair and more capable of identifying worthy candidates. Factors included allegations of nepotism; selecting PRs or sub-recipients that were unable to fulfil responsibilities, to the extent that such errors of judgment prompted resignations and threats of grant closures; requirements to widen the circle or number of recipients as more funds became available; and greater demands for documentation and information on the part of the Global Fund. Furthermore, as CCMs secured finances and became more efficient, and familiarity with and predictability of Global Fund processes increased, CCMs were able to entertain more elaborate selection procedures.

While most CCMs had documented selection procedures to some extent, the level of detail varied. Some CCMs had used websites to share information, thereby making information widely accessible to stakeholders beyond

CCM members, but elsewhere, the documentation was neither readily accessible nor widely known. In the latter instance, and particularly among stakeholders outside the CCM circle, it was apparent that deficits in clarity and accessibility of information fueled perceptions of compromised integrity and unhelpful expectations. In that regard, it was not surprising that liberal references were made to conflict of interest among CCM members and the governance of their work when discussing selection procedures. PRs are, after all, members of CCMs, and CCM members are increasingly becoming sub-recipients. Furthermore, CCM members have a strong influence on selection processes and outcomes. Independent mechanisms for decision-making are increasingly difficult to achieve and all the more important if the integrity of the process and the persons involved are to be protected.

Even in instances where policies and procedures were fully documented, there were always some questions as to how closely they were followed – perhaps, not surprisingly, suspicions were voiced most strongly from constituencies which were underrepresented as PRs and sub-recipients. There have also been instances where suggestions of selection bias were made by CCM members themselves.

The early tendency to nominate PRs from governmental sectors changed with time. The assurance of continued Global Fund financing and the realiza-

tion that other sectors needed to be involved became influential factors. It was, nevertheless, widely agreed that civil society organizations stood at a particular disadvantage in terms of being selected as PRs and sub-recipients. Reasons for this disadvantage included legal restrictions on being able to receive external finances, deficits in capacity and access to information, coupled with language barriers.

Averting grievances and building credibility depends on patent transparency, independence and objectivity at every stage of the PR and sub-recipient selection process. Some CCM members and other stakeholders hoped the Global Fund would increase demands in terms of specifying requirements for selection procedures; others stated the wish that the Global Fund would share lessons learned between CCMs to accelerate CCMs' efforts to develop better procedures. Either way, the increasing predictability of Global Fund processes and availability of resources should enable CCMs to further improve selection processes and adopt the necessary safeguards.



A number of recommendations for CCMs on how to improve selection processes for Principal Recipients and sub-recipients emerged from this study, as outlined below:

- Design selection procedures to take the diversity of potential implementation partners and the strengths they bring to the response into account.
- Make capacity building available for organizations interested in, and potentially useful to, the response. In particular, training should be provided for needs assessment, proposal development and documentation.
- Ensure that all selection processes are identified, documented and widely available to potential candidates well in advance of the call for proposals – using multiple channels including the Internet (where possible), and all relevant languages. Information should include timelines and evaluation criteria.
- Incorporate procedures to ensure transparency at each stage of the process.
- Use objective tools such as checklists or evaluation grids to rate applications.
- Allow for dialogue with applicants to clarify requirements; provide assistance prior to and as part of proposal development; and provide feedback on the outcome.
- Publish the results of assessments.
- Establish systems for complaints to be aired and investigated.
- Identify and share lessons learned concerning PR and sub-recipient selection processes around the world, particularly with regard to conflict of interest, governance and broadening participation.

There are many individuals responsible for making this report possible, most of whom we can only thank collectively: the interview respondents. We thank all of you for taking the time out of your very busy day to talk with the consultants who conducted these studies. You have provided us with invaluable information on how to improve the functioning of CCMs and the Global Fund is grateful for your input.

The CCM Team would also like to thank the contractors and consultants who worked on this project and drafted the country-specific studies:

Contractors

TSF Eastern Africa
IPPF, East Asia and Oceania
EPOS Health Consultants

Consultants

Richard Matikanya
Gondo Hesbon Olum
Dorothy Southern
Sally Wellesley
Oxana Obovskaya

A special word of thanks goes to Fawzia Rasheed for drafting the theme report.

Many Global Fund Secretariat staff provided input to this report, sometimes to a challenging timeline, and they deserve recognition for their significant contributions.

Country Programs

Fund Portfolio Managers from all the regional units were generous with their time in providing input to the case study methodology, arranging communications and connections between stakeholders, and reviewing many draft reports.

Communications Unit

Jon Lidén, Cheryl Toksoz and Beatrice Bernescut for their professionalism and patience.

And last but not least, the very significant contributions from the Global Fund CCM Team itself deserve enormous recognition. Bonnet Mkhweli, Marion Gleixner, Caroline McArthur, Diane Crawford and Monica Takyi-Appiah who organized and coordinated the myriad elements of the report from start to finish.

On behalf of the CCM Team, thank you everyone for your contributions to this collection of lessons learned. I hope that the lessons will be reviewed, discussed and used wherever possible and appropriate.

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ISBN 92-9224-129-X

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