

**GLOBAL FUND QUALITY ASSURANCE POLICY
FOR DIAGNOSTICS PRODUCTS**

(Issued on 14 December 2010, most recently amended on 4 May 2017¹)

BASIC PRINCIPLES

1. Diagnostic Products procured with Global Fund financing/resources may only be procured in accordance with this Policy.
2. Global Fund Recipients shall implement a Quality Assurance System for the procurement, supply management and intended use of all Diagnostic Products procured with Grant Funds in accordance with the guidelines specified in this Policy and on its website², so as to ensure the quality of diagnostic results.

DEFINITIONS

3. Capitalized terms and acronyms used in this Policy shall have the meaning given to them below, unless the context requires otherwise.

Diagnostic Products: all durable and non-durable in vitro diagnostics (IVDs), imaging equipment and microscopes used in Global Fund-financed programs for diagnosis, screening, surveillance or monitoring purposes.

External Quality Assessment (EQA): a program that assesses the performance of laboratories and/or testing sites by demonstrating the reliability and accuracy of testing results. EQA may include proficiency testing (otherwise known as an EQA scheme), or on-site visits to assess the laboratory practices and procedures, or a combination of the above³.

Expert Review Panel (ERP): a panel of technical experts independent of the Global Fund which, in accordance with its terms of reference and under the oversight of WHO, analyzes the potential risks and benefits of Diagnostic Products and advises the Global Fund on use of Grant Funds for procurement of Diagnostic Products for a time-limited period.

Glucose-6-phosphate dehydrogenase (G6PD) Test: an In Vitro Diagnostic Medical Device intended by the manufacturer for the detection of Glucose-6-phosphate dehydrogenase (G6PD) enzyme activity.

Grant Funds: grant financing or any other financing provided by the Global Fund.

HIV Immunoassays: a serological technique that relies on the interaction between antigen and antibody for detection of HIV-1/2 antibodies and/or HIV-1 p24 antigen, i.e. rapid diagnostic tests

¹ As approved by the Board under decision point GF/B36/DP12 and set forth in Annex 1 to GF/B36/06.

² <http://www.theglobalfund.org/en/sourcing/qa/diagnostics/>

³ Adapted from: ISO 17043. Conformity assessment – General requirements for proficiency testing.

(RDTs), agglutination assays, enzyme immunoassays (EIA) (including microtiter plate EIA, comb format EIA,), line immunoassays, and Western blotting.

HIV Self-Testing: the process in which an individual who wants to know his or her HIV status collects a specimen, performs a test and interprets the result themselves often in a private setting.⁴

HIV Virological Technology: a testing method that directly detects the presence of HIV nucleic acids, HIV particle components and/or the activity of the virus' components. These assays include quantitative (required for viral load measurements) and qualitative methods (for EID).

International Organization for Standardization (ISO): the non-governmental organization, including national standards institutes of 163 countries, which sets standards, including generic standards (e.g. ISO 9000 series) or product-specific requirements for implementing a quality management system (e.g. ISO 13485 for medical devices).

In Vitro Diagnostic Product (IVD) medical device: a medical device, whether used alone or in combination with other devices, intended by the Manufacturer for *in vitro* examination of specimens derived from the human body solely or principally to provide information for diagnostic, monitoring or compatibility purposes including, reagents, calibrators, control materials, specimen receptacles, software, and related instruments, apparatus and other articles⁵.

Lot: a defined quantity of products, manufactured in a single process or series of processes and therefore expected to be homogeneous.

Lot Testing: quality control testing of a lot or batch of a Diagnostic Product after manufacture and release from the manufacturing site.

Malaria Rapid Diagnostic Test: immunochromatographic lateral flow devices for the detection of malaria parasite antigen, and designed to provides a result timely enough to inform immediate treatment (e.g. within 60 minutes).

Manufacturer: any natural or legal person with responsibility for design and/or manufacture of Diagnostic Products with the intention of making it available for use, under the Manufacturer's name; whether or not such a Diagnostic Product is designed and/or manufactured by the Manufacturer itself or on its behalf by another person(s).

Recipient: any legal entity that receives Grant Funds.

⁴ <http://who.int/hiv/pub/guidelines/hiv-testing-services/en/>

⁵ Global Harmonization Task Force Document SG1/NO45:2008.

Regulatory Authorities of the Founding Members of the Global Harmonization Task Force (GHTF): the regulatory authorities of the United States, the European Union, Japan, Canada and Australia.

Quality Assurance: refers to all measures taken from manufacturing processes, to selection and the use of a Diagnostic Product, including Quality Monitoring, to ensure that the Diagnostic Products are of the quality required for the Manufacturer's intended use.

Quality Management System: a management system to direct and control an organization with regard to quality⁶ (for quality system essentials for: facilities and safety, organization, personnel, equipment, purchasing and inventory, process control (QC), information management, document and records, customer service, external quality assessment).

Quality Monitoring: all activities undertaken to ensure that the Diagnostic Products continue to conform with the Manufacturer's established quality specifications during the storage, distribution and use of such product, including but not limited to Lot Testing, reporting of deficient Diagnostic Product and surveillance, as part of a Quality Assurance system.

Total Cost of Ownership (TCO): the total amount of all direct and indirect monetary costs related to the procurement, storage and distribution of a Diagnostic Product by a Recipient, including the price of the product itself, any reagents and other consumables, transportation, customs clearance, insurance, in-country distribution and storage, Quality Assurance and Quality Monitoring, training, and validation of new diagnostic algorithms, and, as applicable, operating costs including cost of installing, servicing, commissioning and maintaining equipment.

WHO: the World Health Organization.

INTERPRETATION

4. In this Policy, unless the context otherwise requires:
 - (i.) headings do not affect the interpretation of this Policy;
 - (ii.) the singular shall include the plural and vice versa;
 - (iii.) any phrase introduced by the terms "including", "include", "in particular", "such as", or any other similar expression shall be illustrative only and shall not limit the sense of the words preceding those terms; and
 - (iv.) reference to an undated ISO standard designates the latest version of that standard.

⁶ Adapted from: ISO 9001 Quality management systems – requirements.

APPLICABLE LAWS AND REGULATIONS

5. Each Recipient shall ensure that the procurement of Diagnostic Products with Grant Funds is undertaken in compliance with all applicable laws and regulations.

CLINICAL STANDARDS

6. Grant Funds may only be used to procure Diagnostic Products that are consistent with WHO guidance or comply with applicable national guidelines, and provided that funding requests submitted by Recipients include the following:
 - (i.) A description of the Diagnostic Products to be procured with Grant Funds. Upon request by the Global Fund, applicants shall provide a copy of, or refer to, the relevant WHO guidance or national guidelines supporting the use of the Diagnostic Products to be procured; and
 - (ii.) A technical justification, satisfactory to the Global Fund, for the procurement of Diagnostic Products that are consistent with WHO guidance but may not be consistent with national guidelines and vice versa. The Global Fund may, in its sole discretion, refer the technical justification provided, to the relevant WHO disease program for review and advice.

If, a Recipient proposes to use Grant Funds to procure Diagnostic Products other than the ones already approved by the Global Fund, it shall provide the Global Fund with a brief description of the Diagnostic Products and, if applicable, the technical justification described in paragraph 6 (ii) above, for approval by the Global Fund.

QUALITY STANDARDS

7. Grant Funds may only be used to procure Diagnostic Products that meet, at minimum, the following standards:⁷
 - (i.) IVDs and imaging equipment shall be manufactured at a site compliant with the requirements of ISO 13485 or an equivalent Quality Management System recognized by one of the Regulatory Authorities of the Founding Members of GHTF; and
 - (ii.) any Diagnostic Product for which Section 7 (i) above does not apply, such as microscopes, shall be manufactured at a site compliant with all applicable requirements of the ISO 9000 series or an equivalent Quality Management System recognized by one of the Regulatory Authorities of the Founding Members of GHTF.

⁷ Recipients may request the inclusion of higher standards or requirements for the purchase of IVDs. However, any request must be accompanied by a justification/rationale as to why these should be included and is subject to the approval of the Global Fund.

8. In addition to the requirements outlined in Section 7 above, In-Vitro Diagnostic Products with respect to HIV, tuberculosis and malaria and to hepatitis B, hepatitis C and syphilis co-infections, as well as IVDs providing information that is critical for patient treatment of these diseases, such as testing for G6PD deficiency, must meet any one of the following standards:
- (i.) prequalification by the WHO Prequalification of In Vitro Diagnostics Programme; or
 - (ii.) for tuberculosis: recommendation by relevant WHO programme; or
 - (iii.) authorization for use by one of the Regulatory Authorities of the Founding Members of GHTF when stringently assessed (high risk classification)⁸ ; or
 - (iv.) acceptability for procurement using Grant Funds, as determined by the Global Fund⁹, based on the advice of the WHO Expert Review Panel.

At its discretion, for Diagnostic Products for which there is a public health need and which are not yet compliant with Section 8(i), (ii) and (iii), the Global Fund may request advice from the WHO Expert Review Panel to determine the acceptability for procurement of such Diagnostic Products for use by Recipients, for a time-limited period as recommended by the ERP, pending full assessment by one of the processes listed in Section 8(i), (ii) and (iii).

Manufacturers of Diagnostic Products referred to in this Section 8 are encouraged to submit their applications for full product review to the WHO Prequalification of In Vitro Diagnostics Programme or for stringently regulated products types (those to which the option described under Section 8(iii) is applicable) to one of the Regulatory Authorities of the Founding Members of GHTF.

9. Upon the request of the Global Fund, the WHO Expert Review Panel will advise the Global Fund on the potential risks and benefits associated with the use of a Diagnostic Product not meeting the criteria as per Section 8. Such determination of the Global Fund may not be disputed, challenged or appealed.

⁸ This option is not applicable to RDTs for HIV-Self-Testing

⁹ Notwithstanding a determination made by the Global Fund that a relevant product is acceptable or not-acceptable for procurement by a Recipient using Grant Funds, the Global Fund shall not be responsible or liable for any loss or damage arising out of or in connection with the manufacture, distribution, use or non-use of such product. The Global Fund may revoke or amend such determination in its sole discretion at any time.

QUALITY OF USE

10. A quality system defines a systematic approach to ensuring quality testing through use of standard operating procedures, management of documents and records, implementation of quality control and external quality assessment, including proficiency testing and on-site supervisory visits. The quality system extends to appropriate physical infrastructure, procedures for purchasing and inventory, equipment maintenance, customer service, human resource management and review, and continual process improvement¹⁰.
11. Each Recipient shall comply with WHO guidance for good purchasing, storage, inventory management and distribution practices applicable to Diagnostic Products, as indicated by the Global Fund on its website from time to time.
12. Each Recipient shall ensure that Diagnostic Products are only used by appropriately trained and suitably qualified persons in settings for which the Diagnostic Products are intended. Recipients shall also implement appropriate information management and record-keeping, use best efforts to support and participate in External Quality Assessment (EQA) programs, and ensure good facility management, safe and efficient operations with appropriate process controls, and calibration and maintenance of relevant equipment, as specified in relevant WHO guidance.
13. Recipients shall arrange for the monitoring of the quality of Diagnostic Products procured with grant funds in line with relevant WHO guidelines on Post-Market Surveillance of In Vitro Diagnostics. The cost of conducting quality control activities may be budgeted for in Global Fund grants. Recipients must submit the results of quality control testing to the Global Fund.
14. Recipients shall use best efforts to develop and maintain a mechanism to report defects relating to Diagnostic Products to the appropriate regulatory authorities and to the Global Fund and facilitate appropriate communications with Manufacturers, procurement agents, distributors and end users.
15. The costs to the Recipient of conducting any relevant quality assurance and capacity building measures related to the procurement, supply management and use of Diagnostic Products with Grant Funds, as far as they are not covered from other funding sources, may be included in the relevant Global Fund grant budget, which is subject to approval by the Global Fund.

GENERAL PROVISIONS

16. In addition to the requirements set out in this Policy, each Recipient must also comply with the following:

¹⁰ Adapted from: ISO 15189 Medical laboratories – Particular requirements for quality and competence. CLSI GP26-A4 Application of a Quality Management System Model for Laboratory Services; Approved Guideline-Third Edition

- i. All other Global Fund procurement policies and principles that may be applicable to Diagnostic Products, as published on the Global Fund website; and
- ii. The standard terms and conditions of Global Fund Grant Agreements, including the requirement for a competitive process to be undertaken to obtain the lowest possible price for relevant Diagnostic Products, taking into account Total Cost of Ownership (TCO), and ensuring that the Manufacturer and manufacturing site of the Diagnostic Product are disclosed in all applicable tender and procurement-related documentation.

IMPLEMENTATION

17. The QA Policy shall apply with effect for all Diagnostic Products as defined in section 7 and 8 on 4 May 2017, except for the requirements defined in section 8 for Malaria RDTs, which shall commence and apply in full force and effect on 31 December 2017.
18. If a Recipient has directly or indirectly through a procurement agent entered into a legally binding contract with a Manufacturer to procure Diagnostic Products with Grant Funds which do not comply with this Policy on or before the effective date of this Policy as per Section 17 above, the Recipient must promptly notify the Global Fund and provide reasonable details about the terms of that contract and procurement. The Global Fund may, after consultation with the Recipient, decide not to authorize the use of Grant Funds for the procurement of the Diagnostic Products that are non-compliant with this Policy. The Recipient shall manage its relevant contractual relationship with suppliers as it deems suitable.
19. The Global Fund's Standing Committee responsible for overseeing quality assurance of health products (the "Committee") will oversee implementation of this Policy. In order to align with any new, or modifications to existing, (i) recommendations or guidance issued by the WHO or other collaborating agencies, and/or (ii) relevant Global Fund policies, the Committee may approve the extension of requirements described in Sections 7 and 8 of this Policy to Diagnostic Products not otherwise referred to in Sections 7 and 8, respectively.
20. Upon approval of the extension of requirements referenced in Section 19 of this Policy or other modification to this Policy, Recipients shall be notified accordingly of the effective date of such change.