

The Ethics and Integrity Framework of the Global Fund to Fight AIDS, Tuberculosis and Malaria

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01 Purpose

1. The strength of the Global Fund is contained in its values, of which ethics and integrity are integral. A strong ethics and integrity program engenders stakeholder trust in the Global Fund, and moreover safeguards resources dedicated to health through the creation of an integrated compliance and anti-corruption program, supported by communication, monitoring and oversight. To reach and maintain high standards of ethical conduct, the Global Fund's core ethical values must be fully integrated into its culture and activities, including its grant programs, and complied with by all entrusted with Global Fund resources and/or responsibilities.
2. This Ethics and Integrity Framework sets out obligations that must be complied with by (i) Board and Committee Members, Board Alternates and Board delegation members (together, "Governance Officials"); (ii) Global Fund employees; and (iii) members of Global Fund advisory bodies (groups (i), (ii) and (iii) together, "Global Fund Officials"). However, these obligations apply also to all those involved in activities financed by the Global Fund, particularly in the implementation of grant programs.

02 Core Ethical Values of the Global Fund

3. The Global Fund is guided by the following core ethical values, which all individuals involved in Global Fund activities are expected to respect:
 - a. Integrity. Integrity applies to the Global Fund's decision-making processes and the activities it finances, from grant programs to decisions reached by the Global Fund's Board and Committees. Working with integrity involves demonstrating transparency, impartiality, fairness, consistency and truthfulness. In order to demonstrate integrity, all individuals entrusted with Global Fund resources must act without bias.
 - b. Duty of Care. The Duty of Care represents the obligation to (i) operate in the best interests of the Global Fund; (ii) act as proper and diligent stewards of Global Fund resources; and (iii) demonstrate the highest standards of professionalism in meeting responsibilities.
 - c. Accountability. All Global Fund Officials are accountable to the organization. The Global Fund as an organization is accountable to its stakeholders, most important to people living, affected or at higher risk of HIV/AIDS, tuberculosis and malaria. Accountability also applies to those involved in the implementation of grant programs, who must act as

fiduciaries of Global Fund resources. Accountability entails responsibility for one’s activities and decisions. It also includes the duty to immediately inform the Global Fund of possible ethical misconduct in Global Fund operations.

- d. **Dignity and Respect**. The Global Fund upholds the dignity of beneficiaries of its funding and must use its best efforts to ensure such funding does not contribute to discriminatory treatment or violation of human rights. Dignity and respect also applies to behavior within the Global Fund. In their interactions with each other, all Global Fund Officials have a responsibility to maintain an enabling environment guided by mutual respect, with an open flow of viewpoints and information.

03 Specific Responsibilities of Key Individuals and Organizations

- 4. In addition to Global Fund Officials, all individuals and organizations involved in Global Fund-financed activities are obligated to reflect the Global Fund’s core ethical values. Consequently, the Global Fund establishes specific codes for key individuals and organizations to guide them in achieving the highest standards of ethical conduct. These codes include:

Policy:	Applicable to:
The Code of Ethical Conduct for Governance Officials	Governance Officials
The Staff Code of Ethical Conduct	Global Fund employees
Code of Ethical Conduct for TRP Members	Technical Review Panel Members
The Code of Ethical Conduct for Recipients of Global Fund Resources	Global Fund grant recipients
The Code of Ethical Conduct for Suppliers	Providers of goods and services to the Global Fund and/or its grant programs
The Code of Ethical Conduct for Country Coordinating Mechanisms	Country Coordinating Mechanisms

04 Implementation of the Ethics and Integrity Framework

- 5. The Global Fund’s Board has ultimate ownership over the Ethics and Integrity Framework. This ownership arises from the greater responsibility of the Board and its Committees to embody the highest standards of ethical conduct, given their responsibilities to act as ambassadors for the Global Fund and set an example for the rest of the organization.

6. The Board has delegated to the Audit and Ethics Committee (AEC) the responsibility to oversee the Framework's implementation. In this regard, the AEC has the following specific responsibilities:
 - a. Oversee the Secretariat's activities in embedding the Global Fund's core ethical values into its operations;
 - b. Oversee compliance and anti-corruption systems for ensuring ethical behavior by key individuals and organizations involved in Global Fund activities, including Global Fund Officials, grant implementers and suppliers;
 - c. Oversee the effectiveness of the Global Fund's ethics and integrity-related policies and codes (such as those listed in paragraph (4), above);
 - d. Approve modifications to the Code of Ethical Conduct for (i) Governance Officials; (ii) Recipients of Global Fund Resources; (iii) Suppliers; and (iv) Country Coordinating Mechanisms (CCMs);
 - e. Address potential conflicts of interest in accordance with the process described in applicable policies; and
 - f. Address actual and perceived ethical misconduct by Governance Officials and members of advisory bodies to the extent described in the relevant Codes, and identify and apply appropriate remedial actions.
7. The Executive Director, with the support of Secretariat senior management, has the responsibility to implement the Ethics and Integrity Framework within the Global Fund's operations. In this regard, the Executive Director is responsible for ensuring that the Global Fund's operations and organizational practice reflect the highest level of ethical conduct, based on reference to applicable policies and procedures, including this Framework. In addition to Secretariat activities, the Executive Director is responsible for ensuring the Global Fund's best efforts to minimize unethical conduct in the use of grant funds (e.g. corruption and fraud). Finally, the responsibilities of the Executive Director and his/her designated Secretariat staff include undertaking remedial action when unethical conduct is observed (e.g. grant suspension or termination; or disciplinary action towards staff members).
8. The Inspector General has responsibility to provide independent and objective assurance over the design and effectiveness of controls or processes in place to ensure ethical behavior in the Global Fund's operations and the activities it finances. As part of this responsibility, the Inspector General may undertake periodic reviews or audits of the effectiveness of the Global Fund's Ethics and Integrity Framework, and issues recommendations on the basis of these reviews.
9. The Ethics Officer is appointed based on the recommendation of the AEC, and is responsible for providing assurance on the extent to which the Global Fund has fully and effectively implemented its ethics and integrity-related policies, codes and requirements.
10. The Ethics Officer's responsibilities are described within the specific Terms of Reference, which may be modified from time to time. Generally, the Ethics Officer's responsibilities include, but are not limited to, the following:

- a. Provide an annual assurance opinion to the Board, through the AEC, on (i) the quality of the Global Fund’s ethics and integrity systems, including anti-corruption controls, based on an assessment of key risk areas; and (ii) the extent to which the Global Fund has complied with ethics and integrity-related policies, codes and requirements;
- b. Monitor the effectiveness of existing systems and procedures for integrating ethics and integrity into Global Fund operations, and propose modifications as appropriate to the AEC;
- c. Support the development and implementation of tools for embedding ethics and integrity into operations specific to the Global Fund’s operating model, including communications strategies and trainings programs for Global Fund Governance Officials, staff and external stakeholders (e.g. grant implementers);
- d. Monitor the effectiveness of compliance systems for establishing consequence management for violations of ethical and integrity-related policies and codes, and propose modifications as appropriate to the AEC;
- e. Undertake preliminary investigations of perceived ethical misconduct and refer such cases to the OIG as appropriate;
- f. Provide regular advice and support to the Executive Director and staff on ethics and integrity-related issues, including identification and management of conflicts of interest and ethical misconduct involving Global Fund staff;
- g. Provide regular advice and support to the Board through the AEC on ethics and integrity-related issues both at and in-between meetings, including on identification and management of conflicts of interest and addressing ethical misconduct, including misconduct by Governance Officials; and
- h. Provide advice and support for external stakeholders on ethics and integrity-related issues, including addressing ethical misconduct.

05 Reporting Unethical Behavior

11. An important part of living the Global Fund’s values is possessing the conscience to protect the organization and its grant programs when aware of improper conduct. Consequently, anyone aware of possible abuses or improper activities must immediately inform the Global Fund through the appropriate channel.
12. The Global Fund is committed to protecting those who identify and report, in good faith, violations of the organization’s policies or other acts of fraud, corruption, or dishonesty from retaliation or reprisal, including through the procedures set forth in the Whistle-blowing Policies and Procedures approved by the Global Fund Board.
13. The Inspector General and Ethics Officer will develop a procedure to ensure the timely and appropriate referral of ethics matters to the Ethics Officer, and to ensure communication and appropriate collaboration in addressing ethics-related matters as they may arise.

06 Addressing Unethical Behavior

14. In order to achieve the proper implementation of this Ethics and Integrity Framework, the Board instructs the AEC and Executive Director to take strong and immediate action to address proven ethical misconduct, within their respective scope of authority.

07 Communication and Training

15. The success of this Ethics and Integrity Framework relies upon its translation into practice. A key element in this regard is communication and training. Therefore, all key individuals and organizations involved in Global Fund programs, including Governance Officials, staff, grant implementers, CCMs and suppliers, should receive information and training on ethical expectations, as embodied in their respective Codes of Ethical Conduct.
16. The Ethics Officer will collaborate with Global Fund senior management and the Coordinating Group to implement communication and training programs. As part of its oversight responsibility, the AEC shall, on behalf of the Board, review the effectiveness of such programs.