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The Global Fund To Fight AIDS, Tuberculosis and Malaria 19 October 2009

Global Grants Program

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AUDIT ▪ TAX ▪ ADVISORY

Agenda

- LFA within the Global Fund structure
- Overview of the role of the LFA
- LFA's role in Global Fund grant cycle
- The LFA team
- Services provided by the LFA in the last 12 months
- Services to be provided by the LFA in the upcoming months
- Implementation and reporting issues
- Factors that contribute to on time reporting
- Data verification

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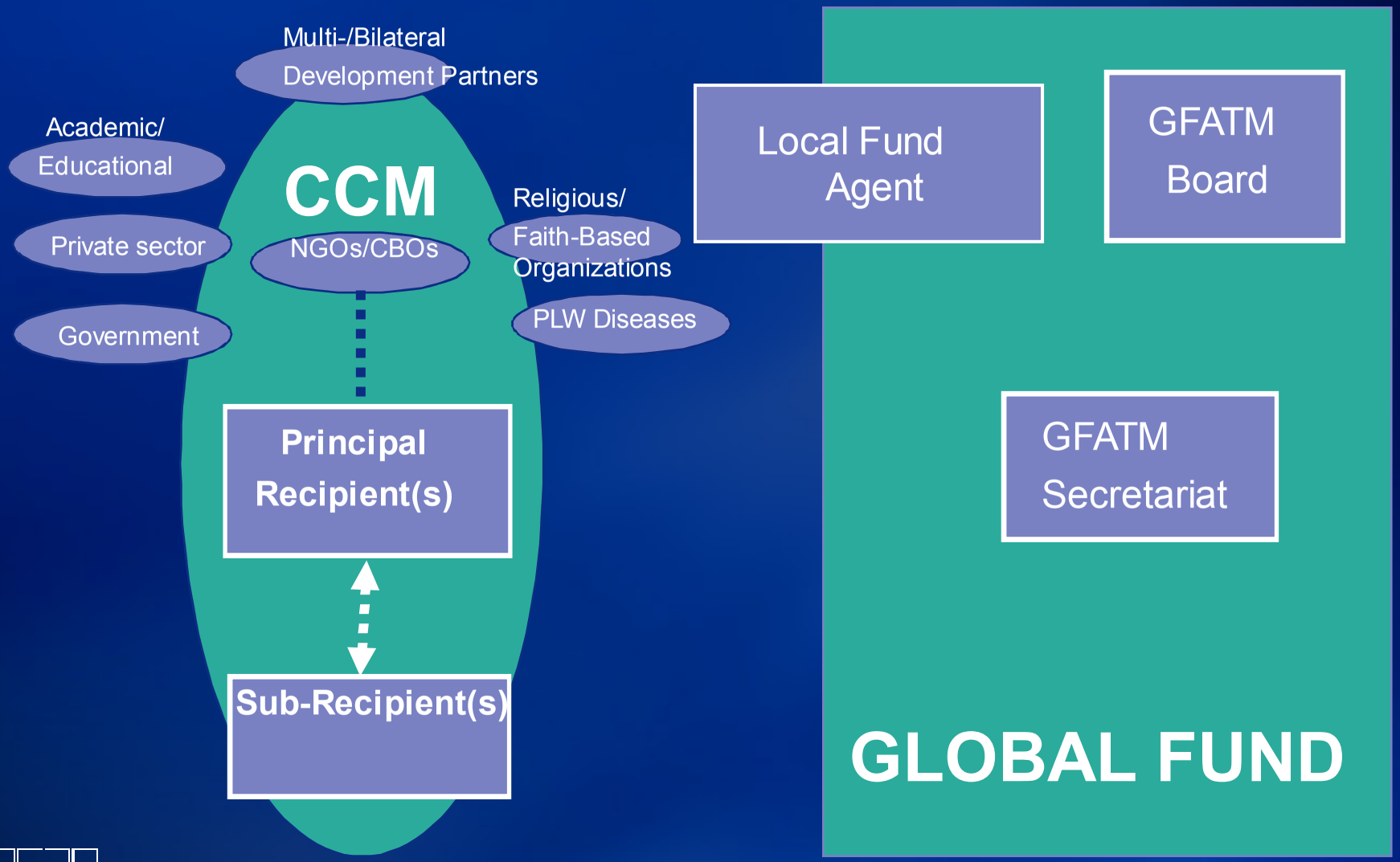
LFA within the Global Fund structure



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Overview of the Role of the LFA

Overall objective of the LFA is to provide independent, qualified advice to the Global Fund at country level.

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Overview of the Role of the LFA (continued)

- Selected and contracted by the Global Fund to provide independent verifications of programme progress and accountability
- Provide capacity/expertise to advise the Global Fund through independent assessments and verifications
- ***Does not*** provide technical assistance to Principal Recipient (PR) or develop programme implementation plans
- Strong in-country presence, local knowledge and cultural awareness

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Overview of the Role of the LFA (continued)

Essentially the “eyes and ears” of the Global Fund

but

Working in partnership with the PR and SRs

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LFA's Role in the Global Fund Grant Cycle

Work performed by the LFA are divided into the following broad categories:

A. **Work performed pre-grant signing**

- Assessing the Repeat PR's capacity to implement a further Grant;
- Reviewing proposed budgets and work-plans and;
- Otherwise assisting the Global Fund in grant negotiations.

B. **Work performed during programme implementation**

- Verification of implementation: independently oversee programme performance and the accountable use of funds.

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LFA's Role in the Global Fund Grant Cycle (continued)

C. **Work performed with respect to the phase 2 review**

- Review the reasonableness of the proposed Phase 2 budget
- Provide an independent assessment and rating of performance during Phase 1
- Provide a Phase 2 recommendation (Go, Conditional Go, Revised Go Request, No Go)

D. Work performed during grant closure

- Review of the Close-Out Plan and budget
- Review of financial and programmatic reports relating to the grant closure

All of these functions are performed at the request of the Global Fund

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The LFA Team

KPMG Fiji Team

- Site visit to Sub Recipient (Staff - first point of contact)
- Site visit to Principal Recipient (Manager- second point of contact)
- Review of deliverables (Partner - final review of deliverables)

KPMG San Francisco – Central Coordinating Team

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Services provided in the last 12 months (December 2008 – October 2009)

- Before Grant signature
  - Incremental Repeat PR Assessment for Malaria - Rolling Continuation Channel
- After grant signature
  - Round 2 Phase II HIV AIDS and Tuberculosis and Round 5 Malaria Phase I – PUDR for each grant for the reporting period January to June 2008
  - Round 7 Phase I HIV AIDS and Tuberculosis – PUDR for each grant for the reporting periods July to December 2008 and January to June 2009
  - Malaria Bridge Financing - PU/DR for the reporting period July to December 2008
  - RCC Malaria: first disbursement recommendation

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Services to be provided by KPMG to the Global Fund in the upcoming months

- **Data verification**
  - Round 7 HIV – January to June 2009
  - Round 7 TB – January to June 2009
  - Malaria Bridge Financing – July to December 2008

- **Grant closure**

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Implementation and Reporting Issues

- **Overall the programmatic progress in Year 1 of the Round 7 HIV and TB grants is behind schedule.**

- **The factors that contributed to the slow performance included:**
  - Delays in grant start date, the first disbursement was made in September 2008;
  - Delays in recruitment of personnel at national level
  - Difficulties with the new Performance Framework

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Implementation and Reporting Issues (continued)

- **Malaria Bridge Financing – significant delays in submitting the Progress Update for the period July to December 2008.**

- **Factors contributing to the delay included:**
  - Delays in PR receiving the programmatic reporting from the SR
  - Diversion of human resources to the grant preparation and negotiation of the RCC Malaria grant

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Implementation and Reporting Issues (continued)

- Overall there has been improvement in the quality and timeliness of reports and documentation submitted by the SRs compared to Round 2 grants.
- However, there is still room for improvement.
- A few SRs continue to delay the PR's reporting process due to delays in submitting reports to the PR, particularly the financial reports and supporting documentation.
- Quality of documentation sent by the SRs could be further improved to enhance the authentification of the documents.

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Factors that contribute to on time reporting:

- There should be joint ownership by SR and PR to provide timely reports to the Global Fund
- Delays in receiving SR reports, especially good quality reports leads to delays in PR reports to the LFA for verification
- The reporting deadline for PU/DR to the Global Fund is 45 days from end of each six months reporting period

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On-Site Data Verification (OSDV)

What is OSDV?

- Verification of reported programmatic data on selected sites and indicators
- Is required for every grant for at least once a year

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On-Site Data Verification (continued)

Selection of indicators

- concentrate on the most important indicators based on the review of the M&E Plan and the Progress Updates
- The selection criteria include programmatic and financial focus of the grant proposal
- Typically, between one and three indicators are selected for each grant.

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On-Site Data Verification (continued)

Selection of sites

- Concentrates on the most important countries (both programmatically and financially)
- Within each country, Service Delivery Points are selected randomly.
- Done in conjunction with M&E specialist with Global Fund approval

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On-Site Data Verification (continued)

Feedback on 2008 OSDV

- Lack of accuracy of reported results

  - eg: Malaria – # of positive malaria cases reported (SDA – 24, Provincial – 19, National - 22)

- Lack of accurate and complete records and supporting documents

  - eg HIV- # of people counselled and tested attending VCC centres (SDA – 5,068, National – Nil)

  - Results given over the phone.

  - lack of documentation

  - results not reported to the PR eg: TB - # of new smear positive TB cases detected under DOTS

  - retention of documents, not filed properly

- Personnel responsible for the compilation and reporting of results not available during on-site visits

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On-Site Data Verification (continued)

2009 OSDV

- Scheduled for second half of November 2009
- LFA will be accompanied by the PR
- Selection of sites and indicators: currently in progress
- LFA expectations:

  - accurate and complete programmatic records and supporting documents

  - Availability of key personnel in country

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