



Independent observer
of the Global Fund

The Fund's First 124 "Phase 2 Renewals"

Only 23% of the Global Fund grants that have reached the end of their second year have met or exceeded the performance targets that were set by the applicants when they submitted their original proposals to the Fund. These grants were rated “A” by the Fund’s Secretariat. A further 56% of grants were rated B1 (“Grant performance has not met expectations, but has been adequate”), 20% were rated B2 (“Grant performance has been inadequate, but potential has been demonstrated”), and 2% were rated C (“Grant performance has been unacceptable”).

From its very start, the Global Fund has been guided by two principles that at times conflict with each other. The first of these principles is that each grant is “country-led” – meaning that it’s for the recipient country to decide how to run the grant. The second principle is that each grant is “results-based” – meaning that if the grant doesn’t deliver the promised results, the Fund has the right to terminate the grant part-way through.

The conflict between these two objectives arises when the Global Fund Secretariat sees that a grant is in trouble. At such a time, should the Fund intervene with suggestions (or, indeed, instructions) regarding what should be done about that grant, or should it remain silent?

Thus far, the Fund has taken a generally hands-off approach in such situations – except when the grant is approaching the end of its second year, at which point the Fund briefly gets much more involved. This is because this is when the Fund has to decide whether the grant should receive the funding to enable it to move from Phase 1 (i.e. Years 1-2) to Phase 2 (Years 3-5).

To help the Board decide whether to approve Phase 2 funding for a particular grant, the Secretariat performs a thorough evaluation of the grant. In the course of this, it compiles a detailed and fairly candid “Grant Scorecard” which is confidential until the Secretariat and the Board have agreed on whether to

approve Phase 2, but then is made publicly available at the Fund's website.

Each Grant Scorecard assesses many aspects of the grant's performance, and then combines these assessments into an "Overall Grant Rating", which can have the following values:

A: Grant performance has met or exceeded expectations

B1: Grant performance has not met expectations, but has been adequate

B2: Grant performance has been inadequate, but potential has been demonstrated

C: Grant performance has been unacceptable

Separately, the Secretariat assesses "Contextual Considerations," which relate to factors beyond the control of those involved in grant implementation but that can have an impact on the chances of success.

Finally, after taking into account the "Overall Grant Rating" and the "Contextual Considerations," the Secretariat makes one of the following recommendations:

"Go": The grant should be approved for Phase 2 (i.e. Years 3-5)

"Conditional Go": The grant should be approved for Phase 2, on condition that specified actions are taken by the PR and/or CCM within a specified time period.

"Revised Go": The grant should be approved for Phase 2, subject to specified major changes being made from the original proposal.

"No Go": The grant should not be approved for Phase 2, and should therefore be terminated.

Usually the Board agrees with the Secretariat's recommendation, but occasionally it disagrees. When that happens, the Board and Secretariat re-examine the situation and attempt again to reach agreement. If that is not possible, the final decision is made by the Board after obtaining some input from the Technical Review Panel (TRP).

With the 124 grants for which the Board has thus far made a Phase 2 decision, the Secretariat's ratings were as follows:

Rating	Number of grants	Percent
A	28	23%
B1	69	56%
B2	25	20%
C	2	2%
Total	124	100%

The final Board decisions were as follows:

Board decision	Number of grants	Percent
Go	63	51%
Conditional Go	59	48%
Revised Go	0	0%

No Go	2	2%
Total	124	100%

For each of the 124 grants, the Fund provides at www.theglobalfund.org/en/funds_raised/gsc the above-mentioned Grant Scorecards. These contain not just the Grant Rating, but also some fairly candid comments about the grant. These range from the positive (e.g. “The PR has managed the program efficiently, with the CCM playing an important oversight role. The program has collaborated with partners and responded to problems particularly well, improving its ability to disburse to sub-recipients and in procurement after initial capacity difficulties.”) to the fairly negative (e.g. “The Program had a slow start, with sluggish capacity building efforts and procurement delays... The overall management of the Program by the PR has been inadequate. The PR did not disburse funds to sub-recipients on a timely basis or in an effective manner. Late disbursements were largely due to the PR’s weak monitoring of reports submitted by the sub-recipients.”)

The Grant Ratings and the Board decisions for the 124 grants were as follows:

The 124 grants for which Phase 2 decisions have been made

Country	Round	Disease Component	Grant number	Grant Rating	Board decision re Phase 2
Argentina	1	HIV/AIDS	ARG-102-G01-H	A	Conditional Go
Armenia	2	HIV/AIDS	ARM-202-G01-H	A	Go
Bangladesh	2	HIV/AIDS	BAN-202-G01-H	A	Go
Benin	1	Malaria	BEN-102-G01-M	B1	Conditional Go
Benin	2	TB	BEN-202-G02-T	B1	Go
Benin	2	HIV/AIDS	BEN-202-G03-H	B1	Go
Bulgaria	2	HIV/AIDS	BUL-202-G01-H	A	Go
Burkina Faso	2	HIV/AIDS	BUR-202-G02-H	A	Go
Burundi	2	Malaria	BRN-202-G02-M	B1	Conditional Go
Burundi	1	HIV/AIDS	BRN-102-G01-H	B1	Go
Chad	2	TB	TCD-202-G01-T	B1	Conditional Go
Chile	1	HIV/AIDS	CHL-102-G01-H	B1	Go
Cambodia	1	HIV/AIDS	CAM-102-G01-H	B1	Conditional Go

Cambodia	2	HIV/AIDS	CAM-202-G02-H	B1	Conditional Go
Cambodia	2	Malaria	CAM-202-G03-M	B1	Go
Cambodia	2	TB	CAM-202-G04-T	B1	Conditional Go
Central African Republic	2	HIV/AIDS	CAF-202-G01-H	B1	Go
China	1	TB	CHN-102-G01-T	A	Go
China	1	Malaria	CHN-102-G02-M	A	Go
Columbia	2	HIV/AIDS	COL-202-G01-H	B1	Conditional Go
Costa Rica	2	HIV/AIDS	COR-202-G01-H	B2	Conditional Go
Cote d'Ivoire	3	TB	CIV-304-G03-T	A	Go
Cote d'Ivoire	2	HIV/AIDS	CIV-202-G01-H	B1	Conditional Go
Croatia	2	HIV/AIDS	HRV-202-G01-H	B1	Go
Cuba	1	HIV/AIDS	CUB-202-G01-H	A	Conditional Go
Democratic Rep. of Congo	2	TB	ZAR-202-G01-T	B1	Conditional Go
El Salvador	2	HIV/AIDS	SLV-202-G01-H	B1	Conditional Go
El Salvador	2	TB	SLV-202-G02-T	A	Go
Estonia	2	HIV/AIDS	EST-202-G01-H	B1	Go
Eritrea	2	Malaria	ERT-202-G01-M	B1	Conditional Go
Ethiopia	2	HIV/AIDS	ETH-202-G03-H	B1	Conditional Go
Ethiopia	2	Malaria	ETH-202-G02-M	B2	Conditional Go
Ethiopia	1	TB	ETH-102-G01-T	B2	Conditional Go
Georgia	3	Malaria	GEO-304-G02-M	B1	Go
Georgia	2	HIV/AIDS	GEO-202-G01-H	B1	Go

Ghana	1	HIV/AIDS	GHN-102-G01-H	B1	Conditional Go
Ghana	1	TB	GHN-102-G02-T	B1	Conditional Go
Ghana	2	Malaria	GHN-202-G03-M	A	Go
Guinea	2	HIV/AIDS	GIN-202-G01-H	B2	Conditional Go
Haiti	1	HIV/AIDS	HTI-102-G01-H	A	Go
Haiti	1	HIV/AIDS	HTI-102-G02-H	B1	Go
Honduras	1	HIV/AIDS	HND-102-G01-H	B2	Conditional Go
Honduras	1	TB	HND-102-G02-T	B2	Conditional Go
Honduras	1	Malaria	HND-102-G03-M	B2	Conditional Go
India	2	TB	IDA-202-G03-T	B1	Conditional Go
India	2	HIV/AIDS	IDA-202-G02-H	B1	Conditional Go
India	1	TB	IDA-102-G01-T	A	Go
Indonesia	1	TB	IND-102-G01-T	B1	Go
Indonesia	1	Malaria	IND-102-G02-M	B1	Conditional Go
Indonesia	1	HIV/AIDS	IND-102-G03-H	B2	Conditional Go
Jamaica	3	HIV/AIDS	JAM-304-G01-H	A	Conditional Go
Jordan	2	HIV/AIDS	JOR-202-G01-H	A	Go
Kazakhstan	2	HIV/AIDS	KAZ-202-G01-H	B1	Go
Kenya	2	TB	KEN-202-G04-T	B2	Conditional Go
Kenya	2	Malaria	KEN-202-G05-M	B2	Conditional Go
Kyrgyzstan	2	TB	KGZ-202-G02-T	B1	Go
Kyrgyzstan	2	HIV/AIDS	KGZ-202-G01-H	B1	Go

Lao PDR	2	TB	LAO-202-G03-T	A	Go
Lao PDR	1	HIV/AIDS	LAO-102-G01-H	B2	Conditional Go
Lao PDR	1	Malaria	LAO-102-G02-M	B2	Conditional Go
Lesotho	2	TB	LSO-202-G02-T	B2	Conditional Go
Lesotho	2	HIV/AIDS	LSO-202-G01-H	B2	Conditional Go
Lutheran World Feder'n	1	HIV/AIDS	WRL-102-G01-H	B1	Go
Madagascar	1	Malaria	MDG-102-G01-M	B1	Go
Madagascar	2	HIV/AIDS	MDG-202-G02-H	A	Go
Madagascar	2	HIV/AIDS	MDG-202-G03-H	B1	Go
Malawi	1	HIV/AIDS	MLW-102-G01-H	B1	Conditional Go
Mauritania	2	Malaria	MRT-202-G02-M	B1	Go
Mauritania	2	TB	MRT-202-G01-T	B1	Go
Moldova	1	HIV and TB	MOL-102-G01-C	A	Go
Mali	1	Malaria	MAL-102-G01-M	B2	Conditional Go
Mongolia	1	TB	MON-102-G01-T	A	Go
Mongolia	2	HIV/AIDS	MON-202-G02-H	A	Go
Morocco	1	HIV/AIDS	MOR-102-G01-H	A	Go
Multi-Country Africa	2	Malaria	MAF-202-G01-M	A	Go
Multi-Country W. Pacific	2	HIV/AIDS	MWP-202-G01-H	B2	Conditional Go
Multi-Country W. Pacific	2	Malaria	MWP-202-G02-M	B1	Go
Multi-Country W. Pacific	2	TB	MWP-202-G03-T	B1	Go
Nicaragua	2	Malaria	NIC-202-G01-M	B1	Go

Nicaragua	2	TB	NIC-202-G02-T	B1	Go
Nicaragua	2	HIV/AIDS	NIC-202-G03-H	B1	Go
Peru	2	HIV/AIDS	PER-202-G01-H	B1	Conditional Go
Peru	2	TB	PER-202-G02-T	B1	Conditional Go
Pakistan	2	HIV/AIDS	PKS-202-G01-H	B2	Conditional Go
Pakistan	2	TB	PKS-202-G03-T	B2	Conditional Go
Panama	1	TB	PAN-102-G01-T	A	Go
Philippines	2	Malaria	PHL-202-G01-M	B1	Go
Philippines	2	TB	PHL-202-G02-T	A	Go
Romania	2	TB	ROM-202-G02-T	B1	Conditional Go
Romania	2	HIV/AIDS	ROM-202-G01-H	B1	Go
Rwanda	1	HIV and TB	RWN-102-G01-C	A	Go
Senegal	1	HIV/AIDS	SNG-102-G01-H	C	Conditional Go
Senegal	1	Malaria	SNG-102-G02-M	C	No Go
Serbia	1	HIV/AIDS	SER-102-G01-H	B1	Conditional Go
Sierra Leone	2	TB	SLE-202-G01-T	B1	Conditional Go
Somalia	2	Malaria	SOM-202-G01-M	B1	Go
South Africa	1	HIV and TB	SAF-102-G02-C	B2	No Go
Sri Lanka	1	TB	SRL-102-G03-T	B1	Conditional Go
Sri Lanka	1	Malaria	SRL-102-G01-M	B1	Conditional Go
Sri Lanka	1	Malaria	SRL-102-G02-M	B1	Conditional Go
Swaziland	2	Malaria	SWZ-202-G02-M	B2	Conditional Go

Swaziland	2	HIV/AIDS	SWZ-202-G01-H	B1	Conditional Go
Tajikistan	1	HIV/AIDS	TAJ-102-G01-H	A	Go
Tanzania	1	Malaria	TNZ-102-G01-M	B2	Conditional Go
Tanzania/Zanzibar	2	HIV/AIDS	ZAN-202-G02-H	B1	Go
Thailand	1	HIV/AIDS	THA-102-G01-H	B1	Conditional Go
Thailand	2	HIV/AIDS	THA-202-G03-H	B1	Go
Thailand	2	Malaria	THA-202-G05-M	B1	Conditional Go
Thailand	1	TB	THA-102-G02-T	B2	Conditional Go
Timor Leste (East Timor)	2	Malaria	TMP-202-G01-M	B1	Conditional Go
Togo	2	HIV/AIDS	TGO-202-G01-H	B2	Conditional Go
Ukraine	1	HIV/AIDS	UKR-102-G04-H	B1	Conditional Go
Uganda	1	HIV/AIDS	UGD-102-G01-H	B2	Conditional Go
Vietnam	1	TB	VTN-102-G02-T	B1	Go
Vietnam	1	HIV/AIDS	VTN-102-G01-H	B1	Go
Yemen	2	Malaria	YEM-202-G01-M	B2	Conditional Go
Zambia	1	HIV/AIDS	ZAM-102-G01-H	B1	Go
Zambia	1	Malaria	ZAM-102-G02-M	B1	Go
Zambia	1	TB	ZAM-102-G03-T	B1	Go
Zambia	1	HIV/AIDS	ZAM-102-G04-H	A	Go
Zambia	1	Malaria	ZAM-102-G05-M	B1	Go
Zambia	1	TB	ZAM-102-G06-T	A	Go
Zambia	1	HIV/AIDS	ZAM-102-G08-H	B1	Go

Zanzibar	1	Malaria	ZAN-102-G01-M	B1	Go
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