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# Joint Agreed Management Actions (AMAs) Progress Report

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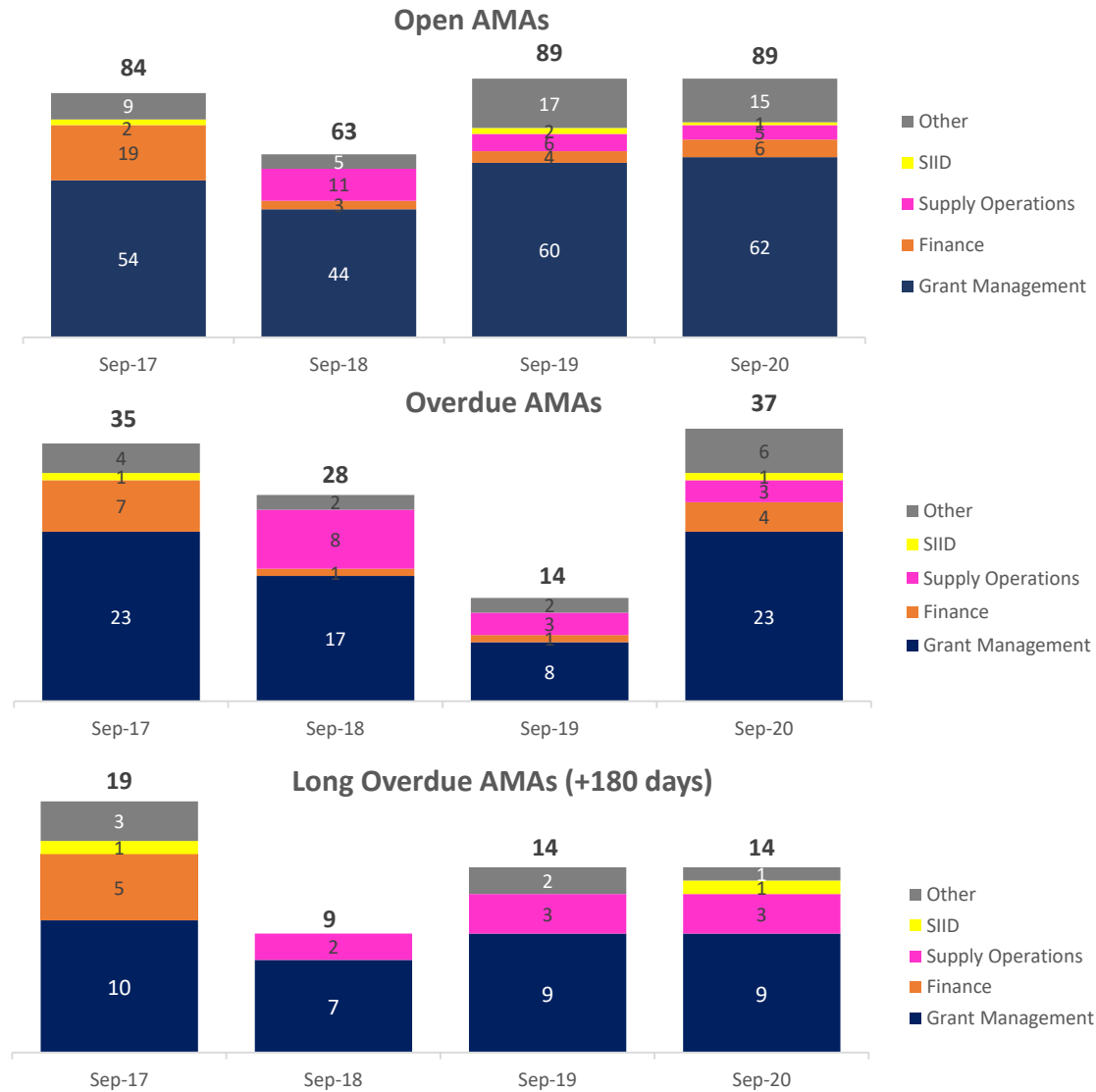
**44<sup>TH</sup> BOARD MEETING**

11-12 NOVEMBER 2020

GF/B44/05

# Total Open AMAs

## Open and Overdue AMAs overview



Overdue AMAs					
	<30 days	31-90 days	91 -180 days	>180 days	Total
Grant Management	4	2	8	9	23
Supply Operations				3	3
Finance	3		1		4
Others including SIID		1	4	2	7
TOTAL	7	3	13	14	37

Progress since Board May 2020				
Long Overdue AMAs ( >180 days)				
	April'20	Completed	New	Sept'20
Grant Management	4	-1	+6	9
Supply Operations	2		+1	3
Finance	1	-1		0
Others including SIID	0		+2	2
TOTAL	7	-2	9	14

# Overview of progress on long-overdue AMAs

- **Spike in overdue and long-overdue AMAs:** 37 AMAs were overdue as of 8th October 2020. Despite a decreasing trend over the last three years, 42 AMAs became overdue in December 2019. 33 have since been closed, but nine became long-overdue (180+ days).
- **COVID-19's impact on AMAs:** Due to COVID disruptions to operations, and prioritization of critical activities such as grant making, business continuity planning and C19RM funding, implementing some AMAs has not been prioritized. This has contributed to total open AMAs not registering a decrease this year (89 open AMAs both in September 2019 and September 2020).
- Given the COVID-19 context, the increase in long-overdue AMAs is reasonable. However, delays in key initiatives to address risks can impact organizational results, risk profile, and risk targets going forward. Of the 14 long-overdue AMAs:
  - **Three** relate to in-country service quality and supervision, where efforts have been deprioritized during the pandemic; similar trends are noted in 20 open "Program Quality" AMAs. A further **two** relate to supply chain, in addition to another 12 open (but not yet long-overdue) AMAs. These delays are indicative of slower-than-expected progress in implementing various related initiatives, including reaching Board-approved organizational risk targets for 2023.
  - **Two** long-overdue AMAs relate to aggregation of quantification and forecasting across countries, and to revising and implementing terms of engagement with Stop-TB. These delays can enhance organizational risks related to effective and timely sourcing of health commodities.
  - **One** AMA on organizational policy on harassment, bullying and abuse of power within the Global Fund and partners has been delayed, which could increase related ethical and reputational risks.
- The Secretariat should carefully monitor and prioritize its efforts to ensure AMA actions are addressed in a timely manner.

# Long Overdue AMAs (>180 days)

Grant Management					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-18-013</b> Audit of Global Fund Grants in the Republic of the Union of <b>Myanmar</b>	AMA 4: The Global Fund Secretariat will work with the Myanmar Health Sector Coordinating Committee, Ministry of Health and Sports, WHO and Principal Recipients to finalize the 'Enterprise Architecture Blueprint for Health Information System Interoperability'.	31/12/2018	Mark Edington, Head Grant Management Division	<ul style="list-style-type: none"> <li>Blueprint commenced work on 1 March 2020.</li> <li>COVID-19 pandemic is expected to impact all the blueprint activities.</li> <li>Five virtual workshops were conducted in July and August 2020 to formulate the National Digital Health Architecture with key partners.</li> </ul> <p><b>Final steps for implementation:</b></p> <ul style="list-style-type: none"> <li>HIS Working Group Meeting with the Blueprint Consultant and respective National Programs in September 2020.</li> <li>First draft of Blueprint expected mid-October 2020, followed by review and consultations.</li> <li>Finalized Blueprint v.3 document expected end November 2020, followed by MOHS final review and endorsement.</li> </ul> <p>CT proposes to allow the country to finalize this document by year-end 2020 to provide benefit for the next implementation period.</p>	<p>This AMA reinforced the recognized need for the creation of an enterprise architecture Blueprint for Health Information System Interoperability. The Global Fund and partners have invested heavily in HMIS systems and interoperability between different systems is key for their effectiveness and sustainability.</p> <p>The blueprint was initially scheduled to be finalized by WHO by end 2017, without Global Fund investment.</p> <p>However, subsequent to delays, the Global Fund grants included a consultant to support the development. However, there have been delays in implementation due to:</p> <ul style="list-style-type: none"> <li>Initial challenges in recruitment due to limited technical staff available for this type of work.</li> <li>Once the technical staff were identified, there have been additional COVID-19 complications, postponing work for the majority of Q2 2020.</li> </ul> <p>Despite this, work has continued to progress on this AMA as the country adapts to the impact of COVID-19.</p>

# Long Overdue AMAs (>180 days)

Grant Management					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-18-005</b> Follow-up Audit of Global Fund Grants to the Federal Republic of <b>Nigeria</b>	AMA 1: The Secretariat will submit to the relevant Board committee revised guidance on CCM roles and responsibilities for countries under Additional Safeguard Policy. Based on the approved guidance, the Secretariat will set specific expectations for the Nigeria CCM.	31/12/2018	Mark Edington, Head Grant Management Division	<ul style="list-style-type: none"> <li>The way forward with ASP in Nigeria was presented in November 2019 at the Country Portfolio Review (CPR) meeting.</li> </ul> <p><b>Final steps for implementation:</b></p> <ul style="list-style-type: none"> <li>The plan and next steps related to this AMA will be reviewed again as part of the embedded risk management processes.</li> </ul>	<p>There were two actions to be performed to close this AMA, with the following status:</p> <ul style="list-style-type: none"> <li>▪ <b>Revised CCM guidance for ASP countries:</b> the new CCM guidance has been developed and published.</li> <li>▪ <b>Communicating specific expectations for CCM Nigeria:</b> this has not been done. The Secretariat should prioritize communicating the expectations for CCM Nigeria.</li> </ul>
<b>GF-OIG-17-006</b> Audit of Global Fund Grants to the Republic of <b>Mozambique</b>	AMA 1: The Secretariat and partners will conduct a national sample based follow-up study to track and determine the status of lost-to-follow-up cases of people on anti-retroviral treatment in selected sites.	31/12/2018	Mark Edington, Head Grant Management Division	<ul style="list-style-type: none"> <li>The activity agreed with OIG (study on LTFU) is expected to be <b>implemented in 2020 despite COVID-19 restrictions</b>.</li> <li>The study protocol was agreed with partners and received ethics approval.</li> </ul> <p><b>Final step for implementation:</b></p> <ul style="list-style-type: none"> <li>The Ministry of Health has provided authorization for data collection which is expected to <b>start in October 2020</b>, following NFM3 grant making.</li> </ul>	<p>Lost-to-follow-up cases continue to be a persistent issue in Mozambique, with limited improvements in retention. This AMA is long overdue, and was affected by Partners withdrawing the allocated funding for the activity. The Secretariat has made progress with agreeing the study protocol, and now awaits Ministry of Health approval.</p> <p>The Secretariat needs to prioritize and address the root causes behind low treatment retention, in addition to other issues on detection and VL suppression among PLHIV, to achieve progress on HIV in Mozambique.</p>

# Long Overdue AMAs (>180 days)

Grant Management					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-18-023</b> Audit of Global Fund Grants to the Republic of <b>Chad</b>	AMA 4: The Secretariat will request the PRs and the Ministry of Health to develop a plan to ensure adequate supervision coverage and frequency for the Malaria, HIV and TB programs	31/12/2019	Mark Edington, Head Grant Management Division	<ul style="list-style-type: none"> <li>Final version of ToRs and budget approved.</li> <li>Updated TCD-H-MOH &amp; TCD-T-MOH PU templates shared with PR (UGP/MSP) for first reporting period (Q2 2019), with integrated supervision guidelines/plans.</li> </ul> <p><b>Final steps for implementation:</b></p> <ul style="list-style-type: none"> <li>Validation workshop of documentation held week of 05 October 2020.</li> <li>Final recommendation being integrated into strategic plan in October 2020. Once completed, AMA will be fully implemented.</li> </ul>	The AMA focuses on integrating supervision activities in Chad, in order to improve the quality of services in health facilities. The supervision plan needs to establish the frequency, approach and coverage for the three diseases in Chad. A draft has been developed, and the validation workshops have been conducted. The workshop recommendations are currently being integrated into the draft supervision plan. Upon completion, the plan will be submitted for OIG review, and if it adequately establishes the frequency, approach and coverage of supervision, the AMA will be closed.

# Long Overdue AMAs (>180 days)

Grant Management					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-18-023</b> Audit of Global Fund Grants to the Republic of <b>Chad</b>	AMA 1: The Secretariat will conduct a holistic review of the effectiveness of the measures under the Additional Safeguards Policy (ASP) and implement changes to the arrangements where needed, based on the findings of this review.	31/12/2019	Mark Edington, Head Grant Management Division	<b>Final steps for implementation:</b> <ul style="list-style-type: none"> <li>CT is drafting memo to the PPC for agreement to retain Chad under ASP and identify any necessary changes to implementation plan under ASP. In final review stage. Scheduled for PPC submission end-October 2020.</li> <li>The ASP memo fulfils the final means of verification. Once completed, AMA will be fully implemented.</li> </ul>	<p>Chad is currently managed under ASP to minimize risks and achieve program objectives.</p> <p>ASP measures (Fiscal Agent, limited cash policy, procurement agent, capacity building) have helped to reduce portfolio risks, but have not sufficiently mitigated the financial and programmatic risks.</p> <p>The decision to invoke/revoke the ASP for a particular portfolio is taken by the Executive Director based on recommendation from GMD, in consultation with the Portfolio Performance Committee (PPC). The AMA will be closed once the PPC has been presented with the proposed way forward for Chad ASP and has made a final decision.</p>
<b>GF-OIG-18-016</b> Audit of Global Fund Grants to the Republic of <b>Niger</b>	AMA 2: The Principal Recipients, the Government of Niger with support from partners will conduct a root cause analysis of bottlenecks to the implementation of quality supervisions across the three diseases. Based on this analysis, the Secretariat will engage stakeholders to review and revise the supervision processes and tools and work with the Ministry of Health to develop revised supervision and operational plans.	31/12/2019	Mark Edington, Head Grant Management Division	<ul style="list-style-type: none"> <li>The final report (based on root cause analysis conducted by LFA with MoH participation) with prioritized recommendations is to be produced, however this is delayed due to the COVID-19 impact.</li> <li>The COVID-19 emergency and the submission of Funding Request has further delayed progress.</li> </ul> <b>Final steps for implementation:</b> <ul style="list-style-type: none"> <li>CT will shortly resume the discussions with relevant national actors after grant making completion (HIV, Malaria)</li> <li>Estimated AMA closure end-December 2020.</li> </ul>	<p>The AMA focuses on establishing a revised national supervision mechanism based on analysis of root cause and bottlenecks of the current process used to oversee the quality of program services.</p> <p>The CT was able to finalize the root cause analysis through an LFA review, and the results were presented to the MoH and the in-country partners. However, the final report was delayed due to the COVID crisis.</p> <p>The report recommendation will require agreement among the in-country partners and the MoH.</p>

# Long Overdue AMAs (>180 days)

Grant Management					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-18-016</b> Audit of Global Fund Grants to the Republic of <b>Niger</b>	AMA 1: The Principal Recipients and the Government of Niger, in coordination with key technical and financial partners will develop and implement an overarching guidance that describes the supply chain network (Warehouses and Transport) at all levels (From the central to the health facility level). This must include: i) Clear definition of roles and responsibilities of key actors involved in the national supply chain mechanism at all levels, especially for storage, distribution, ordering, and logistic data management; ii) Clear definition of the process for data collection and reporting; iii) Clear definition of the supply chain's supervision process.	31/12/2019	Mark Edington, Head Grant Management Division	<p>Items 1 and 4 of Means of Verification (MoV) completed. Final two MoV items:</p> <ul style="list-style-type: none"> <li>MoV 2: Development of full National Strategy for Central Medical Store (ONPPC). MoH aligning planned strategy with warehouse assessment. CT expected this item to be completed December 2020.</li> <li>MoV 3: COVID-19 delayed training on the new LMIS and the dissemination of tools. Regional and district training completed. Health Facility training in final step in training cascade is 83% completed (60 of 72 health districts).</li> </ul> <p><b>Final steps for implementation:</b></p> <ul style="list-style-type: none"> <li>Remaining 12 health districts for Health Facility training completed through September 2020.</li> <li>First reports of the new LMIS expected (central level) by December 2020.</li> </ul>	<p>The AMA aims to mitigate the challenges related to the weak oversight of the supply chain and limited use of data.</p> <p>The OIG has validated the significant progress made on the AMA deliverables. A national overarching guidance has been developed, and the supervision process has been clearly defined. A new LMIS system has been developed, and related training has been conducted in the majority of districts for the actors involved in supply chain data management.</p> <p>Due to the COVID crisis in a challenging operating environment, CTs plans to complete the remaining trainings, and obtain the first LMIS report, by December 2020.</p>
<b>GF-OIG-18-013</b> Audit of Global Fund Grants in the Republic of the Union of <b>Myanmar</b>	AMA 1: The Global Fund Secretariat will work with the Principal Recipients, the MOHS and relevant partners to conduct a comprehensive supply chain assessment to identify key areas of fragmentation and define areas for potential integration.	31/12/2019	Mark Edington, Head Grant Management Division	<p><b>Final steps for implementation:</b></p> <p>Supply chain assessment completed; however the outcomes potentially conflict with USAID/GHC-PSM revision of national SCM strategy &amp; SC operational plan. New set of means of verification agreed between CT and OIG. Outstanding 2 MoVs:</p> <p>MoV 1: Operational plan, minor revisions required.</p> <p>MoV 3: Distribution system assessment. Delays due to COVID-19 in-country restrictions. Expected completion end 2020.</p>	<p>The AMA aims to mitigate the challenges related to the fragmentation of the supply chain in Myanmar.</p> <p>The OIG has reviewed the progress made on assessing warehousing and LMIS fragmentation, and the options for integration of these two components. In addition, significant progress has been made on completing the roadmap to address supply chain integration in a phased manner. However, the roadmap and the distribution assessment need to be completed before the AMA can be validated and closed.</p>



# Long Overdue AMAs (>180 days)

Grant Management					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-17-026</b> Global Fund in-Country Assurance	AMA 3: The Secretariat will develop the functionality to allow for monitoring the budgets and actuals by country and by type of assurance activity for various assurance providers, whose work is financed from OPEX, Strategic Initiatives as well as external audits.	31/12/2019	Mark Edington, Head Grant Management Division	<p>Status as of 28/08/2020:</p> <ul style="list-style-type: none"> <li>▪ LFA Portal Design/ Implementation: Completed</li> <li>▪ External Audit Module Design/ Implementation: Completed</li> <li>▪ IRM Module Update: Design Completed, Implementation Pending</li> </ul> <p><b>Steps to progress implementation:</b></p> <ul style="list-style-type: none"> <li>▪ 05/10/2020: Risk provided consolidated response from all Secretariat stakeholders with deliverables to implement each step. Secretariat are awaiting OIG review and confirmation that the AMA is now fully implemented.</li> <li>▪ 27/10/2020: OIG Audit re-confirmed list of final steps required for AMA implementation</li> </ul>	<p>The AMA aims to mitigate the challenges related to the monitoring of in-country assurance activities across various assurance providers, financed through OPEX, Strategic Initiatives and external audits.</p> <p>The Secretariat is developing functionality across three modules of GOS (LFA Portal, External Audit Module, IRM Module) to provide an overall aggregated view over in-country assurance.</p> <p>Significant progress has been made in terms of all three modules. For two of these modules, we found the design and implementation of functionalities to be satisfactory. On the third module we have identified implementation gaps relating to data accuracy, data completeness and defining the timelines on ensuring correct data in the module. These gaps are currently being reviewed by the Secretariat.</p>

# Long Overdue AMAs (>180 days)

Supply Operations					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-14-007</b> Audit of the quantification and forecasting arrangements for antiretroviral medicines supported by the Global Fund in six African high-impact countries	AMA 4: In conjunction with the Sourcing Department and in line with the Procurement for Impact project, a platform to automatically aggregate data for the global health product forecast for the three diseases will be implemented. Manual aggregation will be completed by 30 September 2014 (initial).	30/09/2015	Rahul Singhal, Acting Head Supply Operations	<ul style="list-style-type: none"> <li><b>2020 forecasting:</b> Current forecasting system has been used to get forecast for 2020</li> <li><b>Steps to progress implementation:</b></li> <li><b>Design new structure for the way forward and use for PPM (31 December 2020)</b></li> <li>1-2 quarters delay due to shift in priorities in H1 2020 due to impact of COVID measures on grants;</li> <li>Proof of concept of information inputs, process and analytics to improve the management of health product demand and health product budgets to identify unutilized funds for grants ending Dec 2020 (Finance/GMD collaboration);</li> <li>Reconfirmed by interim head SO as ongoing 2020/1 key priority;</li> <li>Funding HPMT (new LOHP) aggregation tool;</li> <li>Requested funding for 2021 Opex for S&amp;OP tool to manage process/analytics for managing health product demand per supply chain industry norms;</li> <li>Forecast accuracy being established as PR performance metric.</li> <li><b>Share design/structure with GMD</b></li> <li>GMD to roll and OIG to check periodically as audits performed.</li> </ul>	<p>This AMA is very long over due. It focuses on creating a platform for consolidating drugs procurements of the Global Fund, to improve timeliness and efficiencies.</p> <p>The Secretariat has engaged a consultancy firm to identify the key enablers in GMD and Finance departments, and develop the platform for the automatic aggregation of data for health product forecasting. The Secretariat expects the new structure to be complete within 2020, with potential first procurement forecasting using this platform in 2021.</p> <p>For 2020, the Secretariat has used the current manual mechanism (which is prone to human error) to consolidate the forecast.</p>
<b>GF-OIG-18-010</b> Proactive Investigation of Procurements of Non-Compliant HIV Rapid Diagnostic Testing Kits	AMA 1: The Secretariat will clarify the Secretariat's Quality Assurance mandate, including the necessary activities, roles and responsibilities.	30/06/2019	Rahul Singhal, Acting Head Supply Operations	<ul style="list-style-type: none"> <li>The consultants have been recruited and the review of QA framework undergone since 1st week of August. Findings planned to be shared with MEC in November 2020.</li> </ul>	<p>This AMA remains long overdue and has made little progress to date. Meaningful progress has been hampered by the departure of the Head of Supply Operations and we understand that this will be prioritized by the interim and new Head in the future.</p>

# Long Overdue AMAs (>180 days)

Supply Operations					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-18-018</b> Follow-up Audit on <b>Procurement Processes</b>	AMA 2: The Secretariat will ensure that: · the Sourcing department work with Stop TB to revise and implement the Memorandum of Understanding; · together with the Stop TB Partnership, an analysis is carried out to identify future opportunities for collaboration, synergies and information sharing between GDF and the Sourcing Department and submitted to MEC.	31/12/2019	Rahul Singhal, Acting Head Supply Operations	A Global Fund senior leadership engagement is being scheduled to define an adequate way forward.	This AMA aims to address the performance challenges in the current TB procurement arrangement of the Global Fund through GDF. The AMA requires the Secretariat to jointly work with the Stop TB Partnership to perform an analysis for identifying future opportunities for collaboration, synergies and information sharing between GDF and the Sourcing Department, and submit it to MEC. The Secretariat needs to collaborate with GDF closely to obtain the requisite data and information to perform the analysis.

# Long Overdue AMAs (>180 days)

OED's Office					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-19-007</b> Audit of Global Fund <b>Human Resources Management Processes</b>	AMA 3: The Secretariat will develop a framework related to harassment, including sexual harassment, bullying and abuse of power in the context of Global Fund programs; this framework will cover the wider stakeholder environment of the Global Fund (including CCMs, implementers, suppliers and others) and define and clarify the roles and responsibilities across different functions within the Global Fund including GMD department, Ethics Officer and OIG.	31/12/2019	Marijke Wijnroks, Chief of Staff	<ul style="list-style-type: none"> <li>• Case review panel in place and ToR agreed.</li> <li>• Framework document in progress.</li> <li>• Completion requires updates to the Code of Conduct for Recipients under Ethics audit AMA 4, which is currently delayed to at least 30 June 2021 as Recipients Code Requires implementation planning and impact assessment before final sign-off, and will be heavily dependent on engagement of CTs and Implementers for data collection. Both are significantly impacted by C19.</li> </ul>	After the finalization of the TORs, the framework is currently under development. Once finalized, the framework will be used to update the Code of Conduct for grant recipients, which has also registered delays due to COVID.

# Long Overdue AMAs (>180 days)

SIID					
Project Name	Agreed Management Action	Due Date	Owner	Secretariat Update	OIG Comments
<b>GF-OIG-19-011</b> Managing Investments in Resilient and Sustainable Systems for Health	AMA 4:The Secretariat will: <ul style="list-style-type: none"> <li>• refine and clarify expected outcomes of all the RSSH sub objectives.</li> <li>• update the indicators and measurement approach for improved monitoring and evaluation of RSSH sub-objectives and the related grant activities.</li> </ul>	31/12/2019	Osamu Kunii, Head Strategy Investment & Impact Division	Further to agreement with OIG and due to changes in the SC agenda due to COVID priorities, we are preparing a communication to the Chair and Vice-Chair of the Strategy Committee (SC) with the revised RSSH outcomes.	This AMA aims to address the challenges of measuring outcome/impact of RSSH. The Secretariat has enhanced the measuring approach and indicators for RSSH investments. These have been included in the revised investment guidance, modular framework and grant performance framework. However the Secretariat is yet to submit the revised expected outcomes of RSSH investments to the Strategy Committee before the AMA can be closed"

# AMAs Selected for Board Consideration

## Rationale and selection principles

OIG engagements are risk-based in nature. Thus, issues highlighted in OIG reports and the related AMAs are, by definition, significant, presenting important risks to the organization. Within a pool of important AMAs, some may be more appropriate or relevant to elevate for Board consideration and discussion than others.

The following section presents AMAs that, while not overdue, merit Board attention, based on subjective criteria influenced by various factors and specific circumstances. **This section also includes themes that have multiple AMAs with similar content in different countries, which are not material individually but which are collectively significant and merit Board attention.**

The following basic principles are considered in highlighting specific AMAs for the Board's attention:

- **Risk** – does the AMA pertain to an issue that may cause the Global Fund to operate outside its current risk appetite (either because of an individual AMA or in aggregate relating to a common theme)? Could the issue potentially prevent the GF from reaching its target risk appetite, if unaddressed?
- **Materiality** – does the AMA address a significant issue related to intervention/program/process that involves significant allocation of financial budgets or other resources?
- **Impact** – if the issue addressed by the AMA materializes, does it involve a potentially significant impact (e.g. program failure, material financial loss, significant reputational damage)?
- **Pervasive or cross-cutting nature** – does the AMA address a significant cross-cutting problem or initiative that impacts several important processes, programs or activities (e.g. supply-chain transformation, or transition management, risk oversight)?
- **Linkage to strategic priorities or initiatives** – is the AMA tracking progress on a significant strategic priority at the program level or a strategic initiative at the corporate level?

# AMAs Selected for Board Consideration

## ORR # 1. Program Quality\*

20 open AMAs from different country audits relate to Quality of Services. While they are individually country-specific and not prioritized, the subject as a whole is recurring and prioritized.

Owner	Agreed Management Action	Prioritization rationale
Mark Edington	<p>These AMAs include requirements to:</p> <ol style="list-style-type: none"><li>1. develop/implement acceleration plans;</li><li>2. expand coverage of services through community outreach, private sector, or scale-up of case management;</li><li>3. hire/train staff for improving quality of services;</li><li>4. improve availability and use of machines and tools;</li><li>5. research into root causes behind lack of progress or resurgence in diseases;</li><li>6. enhance follow-up for lost patients;</li><li>7. provide targeted and accessible services to key or vulnerable populations.</li></ol>	<p>Program quality and quality of services are a consistent theme in OIG AMAs. Closing of individual AMAs is often matched by new AMAs coming out of new reports, which means that the theme carries on from period to period. The magnitude of the underlying risk is therefore greater than the individual, currently open, AMAs. We are highlighting the overall theme as critical for programmatic success. While issues, priorities and solutions are often country-specific, commonalities are also observed across the portfolio in the nature of challenges. These themes were also reflected in the OIG 2019 annual audit opinion.</p>

\* AMAs are grouped according to categories used in the Organizational Risk Register (ORR).

# AMAs Selected for Board Consideration

## ORR # 4. In-Country Supply Chain

12 open AMAs from different country audits relate to in-country supply chain. While they are individually country-specific and not prioritized, the subject as a whole is recurring and prioritized.

Owner	Agreed Management Action	Prioritization rationale
Rahul Singhal Acting Head	<p>The individual AMAs focus on:</p> <ol style="list-style-type: none"><li>1. improving and integrating monitoring and reporting systems;</li><li>2. introducing and embedding software solutions;</li><li>3. improving staffing and training;</li><li>4. enhancing supervision of health products, clarifying responsibilities and accountabilities;</li><li>5. improving warehousing and traceability;</li><li>6. improving last mile distribution;</li><li>7. strengthening quantification and forecasting.</li></ol>	<p>In-country supply chain is a consistent theme in OIG AMAs. Closing of individual AMAs is often matched by new AMAs coming out of new reports, which means that the theme carries on from period to period. The Secretariat has prioritized key portfolios for supply chain diagnostics and strategic planning for addressing the underlying issues. For these countries, OIG reports review the ongoing supply chain work, and OIG findings complement and inform these ongoing efforts.</p> <p>The magnitude of the underlying risk is therefore greater than the individual, currently open, AMAs. We are therefore highlighting the overall theme as critical for grant performance. While issues, priorities and solutions are often country-specific, commonalities are also observed across the portfolio in the nature of challenges. These themes were also reflected in the OIG 2019 annual audit opinion.</p>



# AMAs Selected for Board Consideration

## ORR # 14 Internal Operations (Business Continuity Planning)

GF-OIG-20-002 Audit of Global Health Campus Management Processes (due 31/12/2020)

Owner	Agreed Management Action	Prioritization rationale
Adda Faye	<p>AMA2: The Secretariat will expand the scope of the Global Fund Disaster Recovery Plan and BCP to include Global Fund administration and IT matters, conduct related disaster recovery tests, ensure that all physical security, facility and IT risks and inter-dependencies are coordinated and covered.</p> <p>The changes of the scope in BCP should be communicated to sub-tenants (BCP to cover only the Global Fund and not the GHC).</p>	<p>This AMA relates to business continuity planning at the Secretariat. An individual IT disaster recovery plan was developed in 2016, but it did not cover a comprehensive view in the case of physical workplace unavailability (e.g. recovery time objectives, and roles and responsibilities to execute the plan, were not defined). BCP work could not be completed in 2019 due to lack of responses from the various business units in prioritizing critical business functions, defining acceptable downtimes, and developing crisis management plans/processes.</p> <p>In 2020, with COVID-19, BCP planning has been prioritized and performed rapidly, with dedicated teams executing risk-based prioritization of processes, scenario planning, defining roles and responsibilities, managing inter-dependencies and approving flexibilities, both for in-country and Secretariat operations. This work is now being implemented for all critical operations, and monitored for effectiveness and lesson learning, with oversight and steering from Board and executive management. The effectiveness of the process will be covered and reported in an ongoing audit. The work also needs to seamlessly integrate into long-term BCP planning for the Global Fund, beyond COVID-19.</p>