

Implementation Status of Stocktaking Recommendations

November 27, 2024

1. In September 2023, the Secretariat, on behalf of the Pandemic Fund Governing Board, commissioned an independent Stocktaking Review of the Pandemic Fund's first year of operations. The Executive Summary is attached. The Review was carried out by the Boston Consulting Group (BCG), based on extensive consultations with the Pandemic Fund's Board, Technical Advisory Panel (TAP), Secretariat, Implementing Entities, grant beneficiaries as well as those that had not received grants, and a variety of other stakeholders. It resulted in a series of recommendations that covered proposed enhancements to future calls for proposals (submission template, application process, feedback to applicants) as well as improvements in governance, structures and procedures. The recommendations were organized into three categories: quick wins, near-term changes, and longer-term changes.
2. The Secretariat acknowledges the valuable recommendations from the Stocktaking Review. Most of the recommended actions identified as quick wins and near-term changes have been implemented and significant progress has been made in implementing the longer-term changes.
3. On the recommended quick wins, covering enhancements to the application template and process for the submission and review of proposals submitted through calls for proposals, and the process through which feedback is provided to unsuccessful applicants, nine of the 10 recommended actions have been implemented (see Annex 1, Table 1). The one remaining item, relating to the development of an online portfolio management and results reporting platform to track the results of projects financed by the Pandemic Fund is being finalized.
4. On the recommended near-term changes, covering further enhancements to the application template and scoring of proposals, four of the five recommended actions have been implemented (see Annex 1, Table 2). The one remaining item concerns refinement of the definition and quantification of co-investment and co-financing. A TAP working group is developing a policy paper and proposed guidance for applicants to address is.
5. Significant progress has been made on the recommended changes to be carried out over the longer term; these were recommendations requiring substantial changes and inputs from multiple parties. Two of the longer-term recommendations, on

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exploring ways to encourage and clarify decision making and filling gaps in TAP expertise, have been addressed. Progress has been made towards addressing the remaining longer-term recommendations. Examples include capacitating Co-investor constituencies; implementing the Conflicts of Interest (COI) Framework through the work of the Board's COI Committee; improving the decision-making process during Board meetings by providing clear decision language; enhancing Board procedures, for example, on the adoption of Minutes and the approval of Statements and Press Releases; and the establishment of Board and the TAP committees and working groups to address issues that require focused discussion to inform decision-making. Completed and ongoing work in these areas is detailed in Annex 1, Table 3.

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Table 1: Quick wins

Topic Area	Quick win	Factors to consider	Update from Secretariat	Status November 2024
Application Template	1. Clarify role and expectations of Implementing Entities (IE) in a FIF	<ul style="list-style-type: none"> Reiterate IEs as financial intermediaries (by definition) to avoid confusion and clearly delineate roles and responsibilities for IEs including in collaboration model in country, proposal development, and project implementation. 	<ul style="list-style-type: none"> Definition of IE as per the Governance Framework and Operations Manual has been updated in the 2nd CfP Guidance Note. A note in the Application Form has been made that IEs should provide support on proposal development and translation when requested. 	Completed
Application template	2. Provide financial guidelines on min/max grant amounts (e.g., by country, by status) and set guardrails on portion of funding used for administration of the grant (i.e., IE fees)	<ul style="list-style-type: none"> Set max grant amount or ranges, with higher cap for multi- country/regional. Clarify definition of IE administrative fee (e.g., vs. fee for technical assistance) and cap max percent of funding that can go to administrative fees. 	<ul style="list-style-type: none"> 2nd CfP has included maximum grant amount allowed for single (US\$25 M), multi and Regional Entity projects (US\$ 40M). Definition of IE administrative fee has been clarified in the 2nd CfP Guidance Note and a max cap has been set at 7% (except in special contexts, where it could be up to 10%). 	Completed

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Application template	3. Establish process to limit double funding risk / duplication of proposed work	<ul style="list-style-type: none"> Limit one single country and one multi-country/regional applications; tag countries with both single country and multi-country/regional applications. 	<ul style="list-style-type: none"> 2nd CfP has established limits on single-country applications (1 max per country). However, no limits were established on the number of multi-country applications a country could take part in. The Secretariat contacted countries with more than one single-country proposal, instructing them to choose one. 	Completed
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Topic Area	Quick win	Factors to consider	Update from Secretariat	Status November 2024
Application process	4. Rethink Expression of Interest (EOI) process and purpose – Quick win only if removed outright	<ul style="list-style-type: none"> Addressing the EOI could be a quick win if the decision is made to remove it outright; keeping it could require TAP input 	<ul style="list-style-type: none"> EOI was dropped from the 2nd CfP process 	Completed
Application process	5. Consider adjusting the application timeline to provide more time for collaboration and engagement across stakeholders	<ul style="list-style-type: none"> Extend timelines to increase opportunities for countries and regions to drive the application process and stakeholder engagement, and to enable effective coordination between countries, IEs, CSOs and other relevant stakeholders 	<ul style="list-style-type: none"> Application timeline for 2nd CfP was significantly lengthened, with Guidance Note announced in December, portal opening on March 5th and deadline to submit on May 17th. 	Completed

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Application process	6. Allow longer review period to increase process sustainability	<ul style="list-style-type: none"> • Provide more time for the TAP to review proposals. • Allow more time for Board Members to review and evaluate documents from the TAP and allocation scenarios. 	<ul style="list-style-type: none"> • 2nd CfP has significantly increased the review period for the TAP as well as for the Board. 	Completed
Application process	7. Enable additional clarifications and corrections through more direct communication between TAP and applicants through the Portal.	Consider level of effort required to maintain anonymity.	<ul style="list-style-type: none"> • During the screening process for the 2nd CfP, the Secretariat coordinated with the applicants to address errors. <p>The Application Portal was redesigned for TAP members to anonymously request additional information and clarifications from applicants.</p>	Completed
Topic Area	Quick win	Factors to consider	Update from Secretariat	Status
				November 2024
Closing of CfPs	8. Provide feedback in a more expeditious manner and make detailed information about proposals available online	<ul style="list-style-type: none"> • Consider need for process transparency and requirements for uniform and objective feedback across proposals. 	<ul style="list-style-type: none"> • 2nd CfP TAP Review process was adjusted to capture reviewer feedback to applicants. • This feedback was provided to all eligible but not selected proposals on 11-XX-2024. 	Completed

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Closing of CfPs	9. Quickly clarify path forward for recommended but unfunded proposals	<ul style="list-style-type: none"> • Provide opportunity to revise proposals before resubmission. 	<ul style="list-style-type: none"> • Feedback has been shared with all applicants of the 1st CfP and they have been encouraged to re-submit their proposals, taking into account the feedback and information provided in the Guidance Note. • A similar process to be followed for the 2nd CfP and the Guidance Note will be revised based on the Board decision concerning the 3rd CfP. 	Completed
Closing of 1st CfP	10. Implement monitoring and evaluation to ensure accountability and transparency on how funds are being spent	<ul style="list-style-type: none"> • Consider accepting existing IE reporting formats to limit redundancy and effort. • Set up system to track where funding is spent, by whom, and how. 	<ul style="list-style-type: none"> • IEs were requested to share their reporting templates and metrics, and these have all been mapped and taken into consideration in the development of the activity reporting template; some flexibility has been integrated into the selection of indicators to make it easier to report. • Annual Progress Reports were submitted in July 2024 by all projects. • An online portfolio management and results reporting platform to track results and funding is being finalized. 	In progress

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Table 2: Near-term changes

Topic Area	Near-term change	Factors to consider	Update from Secretariat	Status
				November 2024
Template	1. Streamline template to simplify submission and reduce levels of effort and explore options to allow other languages	<ul style="list-style-type: none"> Eliminate redundancies/duplications and shorten application form. Simplify use of tables and enable more flexibility in submission. Consider cost and effort required to enable submission in other languages. 	<ul style="list-style-type: none"> 2nd CFP's Application form was significantly revised to remove duplication and redundancies, especially within tables. There is now only one Excel to submit and no need to re-type the same figures within the application. Within the portal, applicants select the "type" of application and then the form populates with the questions relevant to that type. This may be further expanded in future Calls for Proposals. Submission in other languages can be explored for future rounds but is difficult in practice due to the need to provide English versions of the application to the TAP. It was noted during the 2nd CFP that English translations of supporting documentation should also be included, to facilitate reviewer's assessment alignment with national and/or regional plans. 	Completed

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Template	2. Further refine definition and how to quantify co-investment and co-financing	<ul style="list-style-type: none"> Clarify definition and what can be included (e.g., in-kind contributions, existing vs. new). 	<ul style="list-style-type: none"> A TAP Working Group has been set-up to work on this topic and continues to make progress. The Working Group will produce a policy paper and guidance for applicants for better interpretation and explanation of co-investment and co-financing aspects for future Calls for Proposals. 	In progress
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Topic Area	Near-term change	Factors to consider	Update from Secretariat	Status
				November 2024
Template	3. Clarify terminology, define what constitutes supporting evidence, and refine scoring to enable more granularity	<ul style="list-style-type: none"> Clarify definitions and what constitutes evidence for One Health, gender, biosafety/biosecurity implications, CSO engagement. Refine scoring guidelines for these concepts. Consider if additional expertise is required on TAP to assess these cross-cutting topics. 	<ul style="list-style-type: none"> For the 2nd CfP, the Scoring and Weighting Methodology has been updated and definitions refined in the Guidance Note and Application Template. A roster of experts has been established to expand the expertise of the TAP across One Health, gender and health financing. 	Completed

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Scoring	4. Improve consistency in TAP scoring and feedback by normalizing application of scoring guidance and considering 3 reviewers per proposal	<ul style="list-style-type: none"> Consider potential benefits and drawbacks of different grading schemes and additional cost of adding third reviewer. Leverage TAP review to refine scoring guidance to increase objectivity. Explore ways to calibrate scoring across reviewers (e.g., total number of points allotted to reviewers). 	<ul style="list-style-type: none"> For the 2nd CfP, the Scoring and Weighting Methodology has been updated. Three TAP members reviewed proposals during the 2nd CfP proposal review process. For the 2nd CfP scoring, TAP members were given a scoring template which aligned with questions of the proposal. Totals scores were calculated based on the Scoring and Weighting Methodology. 	Completed
Application process	5. Rethink EOI process and purpose – Near-term change only if EOI included in second call for proposals	<ul style="list-style-type: none"> If the decision is made to keep the EOI, consider making it mandatory and having the TAP review submissions and provide feedback to applicants 	<ul style="list-style-type: none"> 2nd CfP does not include an EOI 	Completed

Table 3: Longer-term changes

Topic area	Longer-term change	Factors to consider	Update from Secretariat	Status
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<p>Future Calls for Proposals (CfP)</p>	<p>1. Find ways to manage applicant expectations to reduce submission of proposals with low likelihood of success</p>	<ul style="list-style-type: none"> • Increase envelope size and/or limit eligibility for full application submissions (e.g., through eligibility criteria, EOI shortlisting), potentially varying for different rounds of proposals. • Improve communication on priorities and chances of success for proposals. 	<ul style="list-style-type: none"> • The envelope of the 2nd CfP was increased to US\$ 500M and countries that received single-country grants under the 1st CfP were not eligible to request single-country grants. • The Strategy Committee will present a report on Allocation Modalities for subsequent Calls for Proposals to the Board at the 14th Board meeting in December 2024. 	<p>In progress</p>
<p>Future Calls for Proposals</p>	<p>2. Support for vulnerable/low-resource settings</p>	<ul style="list-style-type: none"> • How to define low-resource/vulnerable settings to target grant funding. • Ways to provide additional technical support during proposal development. 	<ul style="list-style-type: none"> • The Mid-term Strategic Plan includes a section (3.2) on key requirements for resource allocation that will introduce more flexibility in the application process and requirements for low-resource countries. The Strategy Committee will present to the Board a report on Allocation Modalities that takes into consideration these low-resource countries. • The TAP has created a Working Group to support the establishment of a dynamic definition for high risk/high need countries. This will require collaboration with the Governing Board and may also influence allocation modalities. • In terms of ways to provide technical support during proposal development, 	<p>In progress</p>
<p>Topic area</p>	<p>Longer-term</p>	<p>Factors to consider</p>	<p>Update from Secretariat</p>	<p>Status</p>

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change				November 2024
			<p>this is something the Board will need to discuss because it would require changes to the operating model of the Pandemic Fund.</p>	
<p>Future Calls for Proposals</p>	<p>3. Track results and impact of funded projects</p>	<ul style="list-style-type: none"> Develop comprehensive M&E framework to track project results and impact against result framework and PF's principles. Ensure reporting requirements are consistent with other funders to limit redundancy and effort. 	<ul style="list-style-type: none"> M&E Guidelines have been developed along with a standardized menu of indicators in line with PF Results Framework. IEs and Project Teams were consulted on the Guidelines and Indicators to limit redundancy and effort. Training sessions are planned with IEs and Project Teams to support them in transferring their project-level Results Framework to the Reporting Template Analysis undertaken to map project-level Results Frameworks from the 1st CfP to the PF RF. For the 2nd CfP, a standardized project-level Results Framework template has been provided to ensure more alignment with the PF Results Framework 	<p>In progress</p>
<p>Governance, structures and procedures</p>	<p>4. Clarify expectations on roles and responsibilities of IEs with potential for differentiation, and continue to optimize participation from a</p>	<ul style="list-style-type: none"> Identify ways to strengthen and incentivize collaboration and coordination among IEs (e.g., limiting number of applications with the same lead IEs 	<ul style="list-style-type: none"> The Strategic Plan outlines potential opportunity areas for adding new IEs to enhance collective knowledge and skills to better deliver on the Fund's goals including: engaging regional entities, particularly from historically underrepresented regions, that have deeper local knowledge and relationships 	<p>In progress</p>

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	diverse group of IEs			
Topic area	Longer-term change	Factors to consider	Update from Secretariat	Status November 2024
		<ul style="list-style-type: none"> Continue to explore ways to onboard and increase engagement of a diverse group of IEs Identify additional opportunities to matchmake applicants and IEs 	<p>with communities, civil society, and governments, as well as potentially more efficient cost structures; attracting additional IEs with environmental and animal health expertise to increase operationalization of the One Health approach; mobilizing political will through regional and sub-regional entities that have such mandates or political affiliations.</p> <ul style="list-style-type: none"> This topic was discussed during the 2nd Board Retreat in April 2024. The recommendations included: examining incentive structures to improve coordination at both global and country levels among IEs; establishing a standing IE platform within the Pandemic Fund for regular coordination and presenting IE-wide views to the Board. 	In progress

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Governance, structures and procedures	5. Further clarify roles and responsibilities of the Pandemic Fund’s governing/administrative bodies	<ul style="list-style-type: none"> • Write ToRs for Co-Investor Board members to clarify roles and responsibilities • Clarify expectations around how the TAP should support decision-making (e.g., materials, analysis, or insights required, areas where the TAP should make specific recommendations) 	<ul style="list-style-type: none"> • During the 2nd Board Retreat in April 2024, the Board discussed the governance, structures, and procedures of the Pandemic Fund including ways to clarify roles and responsibilities such as: gathering perspectives from Co-Investors, IEs, and TAP; establishing a repository of questions; engaging with Co-Investors before meetings; inviting TAP members and IEs to provide inputs (see also item 6 below). 	In progress
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Topic area	Longer-term change	Factors to consider	Update from Secretariat	Status
				November 2024
		<ul style="list-style-type: none"> • Clarify the Secretariat’s role in supporting executive functions and ensure that the structure, size, and resources of the Secretariat are fit-for-purpose 	<ul style="list-style-type: none"> • The Strategic Plan includes a section (6) on good governance and stakeholder engagement. It reinforces the governance framework and offers “considerations” such as placing limits on the amount of time allotted for interventions in meetings, promoting a gender parity policy for Pandemic Fund governing and administrative bodies, creating opportunities for stakeholders outside of the Board to provide input in support of key strategic decisions, and instituting processes to strengthen engagement with co-investors and civil society organizations. Further detail is 	In progress

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			required for the Board to take action on these considerations.	
Governance, structures and procedures	6. Make it easier for all board members to provide inputs to Board deliberations and decisions through support for preparation and active facilitation of board meetings	<ul style="list-style-type: none"> Consider specific barriers to board member participation (e.g., language, preparation, and financial burden) and identify support mechanisms to overcome them (e.g., provide financial support to add resources, facilitate convenings before meetings) Facilitate and support interaction and representation of constituencies for co-investors and CSOs 	<ul style="list-style-type: none"> Section 6.2 (Co-investor engagement) of the Strategic Plan states the “... Fund is committed to improving its processes to bolster co-investor participation and representation as key partners and decision-makers and to strengthen leadership roles for low- and middle-income countries in the Pandemic Fund.” To capacitate Co-investor Board members and build Co-investor constituencies, the Secretariat has engaged dedicated consultants that have been on-boarded, and many of whom joined the 14th Board meeting. Specifically, seven in-country consultants have been hired (Bangladesh, DRC, Egypt, Pakistan, 	In progress

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			Philippines, Rwanda, and Senegal) to provide additional support to the Co-investor constituencies to better prepare for and participate in Pandemic Fund governance. A consultant for the Kyrgyz Republic constituency has been identified and a Guyana constituency consultant is currently being	

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			recruited.	
Governance, structure and procedures	7. Explore ways to encourage and clarify decision making, e.g., improve decision-making format and consider setting up Board Committees.	<ul style="list-style-type: none"> Consider additional procedures to strengthen meeting hygiene (e.g., strengthening chairing of meetings, defining who speaks when, how many times, and for how long, reviewing decisions made at the end of meeting, sharing content 2 weeks before meeting, leveraging in-person meetings for decision) Consider changes to decision-making format (e.g., voting system vs. consensus-based decisions) Explore other ways to optimize meeting tie and clarify decisions. 	<ul style="list-style-type: none"> Several updates have been made to improve meeting structure and decision-making, including providing clear decision language and recapping these at the end of meetings and sharing meeting minutes within two weeks of Board meetings The Board and the TAP have created sub-committees and working groups to address issues that require focused discussion to inform decision-making. This includes the Strategy Committee, the Resource Mobilization Committee, and the TAP Working Groups on Co-financing and Co-investment, and definition of high risk/high need. 	Complete - ongoing as needed

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<p>Governance, structures and procedures</p>	<p>8. Refine processes around both actual and perceived COI situations, accelerate implementation of Conflicts of Interest (COI) Framework</p>	<ul style="list-style-type: none"> • Accelerate implementation of COI framework and leverage COI committee to identify issues and resolutions • Explore opportunity to remove name of country / countries in funding allocation discussions • Consider ways to further clarify and bring divisibility of some of the roles (e.g., branding and communication of the PF linked to the World Bank, role of WHO as part of Secretariat, TAP Chair, and IE). 	<ul style="list-style-type: none"> • COI Committee meets regularly and has a standing update on the agenda of Board meeting. • During the 2nd Board Retreat on April 4, 2024, members discussed COI at length and proposed organizing learning sessions to establish understanding of COI framework. • During the 14th Board meeting in October 17-18, 2024, the COI committee shared a video discussing different scenarios to expand understanding of potential or perceived COIs. 	<p style="text-align: center;">In progress</p>
<p>Governance, structures and procedures</p>	<p>9. Fill TAP expertise gaps, potentially considering access to external network of independent experts</p>	<ul style="list-style-type: none"> • Consider allocating resources to get access to external network of experts, e.g., for financial expertise, management expertise, country/region-specific expertise and/or cross cutting expertise (e.g., One Health, gender, CSO engagement) • Consider potential for expert providing cross-cutting assessment and review • Backfill missing member on TAP with experts already reviewed by Board 	<ul style="list-style-type: none"> • Outi Kuivasniemi and Tian Johnson have been on-boarded to the TAP. 	<p style="text-align: center;">In progress</p>