UNDP Global Fund and
Health Implementation Guidance Manual

- Grant Reporting –

Contents

1. Overview

UNDP as Principal Recipient (PR) is required to submit several programmatic and financial reports to the Global Fund during and after programme implementation. While the requirements listed below have been updated in June 2024, the reporting requirements may vary according to country context, and are subject to change over time based on updated Global Fund policies and processes. When in doubt, please consult with the UNDP Global Fund Partnership and Health Systems Team (GFPHST) and/or Global Fund Portfolio Manager (FPM) to ensure an up-to-date understanding of each grant's reporting requirements.

The PR is required to request the disbursement of funds from the Global Fund through an annual forecast template, and to provide the Global Fund with periodic reports about the use of funds and activities financed by the grant. For further details on reporting requirements, please refer to the Global Fund **Operations Policy Manual** and **Guidelines for Grant Budgeting**.

The Global Fund assesses PRs based on the content, completeness and timeliness of reports submitted, so Country Offices (COs) are encouraged to be mindful of the requirements and their deadlines and to request support from their Programme Specialist in the UNDP GFPHST when needed. After the review of the UNDP GFPHST, all reports should be submitted to the Global Fund Country Team, copying the Local Fund Agent (LFA) and the Country Coordinating Mechanism (CCM).

Due dates for periodic reports are often mistakenly believed to be calculated from the programme start date; however, if the periodic reports do not correspond to UNDP's fiscal calendar, one of the reporting periods will cross the closure of UNDP's fiscal year, making it difficult for the CO to close its accounts. COs should conform their reports to UNDP's fiscal calendar. If the programme start date is not aligned with the beginning of a UNDP fiscal quarter, the first and last periods should be adjusted to be shorter/longer than the other time periods to align appropriately. Due dates for Progress Updates (PUs) and Progress Updates/Disbursement Requests (PU/DR) are included in the Performance Framework.

In addition to reporting to the Global Fund, UNDP requires corporate reporting to assess performance against certain indicators.

Resources

- **Global Fund Operations Policy Manual**
- **Global Fund Guidelines for Grant Budgeting**
- **Global Fund Operational Guidance for Grant Budgeting**

2. Reporting to the Global Fund

UNDP as Principal Recipient (PR) is required to submit a number of programmatic and financial reports to the Global Fund during and after programme implementation. While the requirements listed below are the most up to date as of June 2024, the reporting requirements may vary according to country context, and are subject to change over time based on updated Global Fund policies and processes. When in doubt, please consult with the UNDP Global Fund Partnership and Health Systems Team (GFPHST) and/or Global Fund Portfolio Manager (FPM) to ensure an up-to-date understanding of each grant's reporting requirements.

2.1 First Disbursement, Execution Period and Reporting Calendar

First annual funding decision

The first annual funding decision for a new grant or implementation period is taken immediately after the grant is signed. The Global Fund Country Team will make the first annual funding decision (AFD) based on the grant cash requirements in line with the approved signed budget. Each annual funding decision includes the total amount that may be disbursed over a specified 12-month period, also known as the 'execution period' and can include a "buffer period" up to 6 months. In some cases, such as high-risk environments, the execution period may be six months. After the first annual funding decision, the PR submits an annual cash forecast for the next execution period plus a buffer amount (usually three months, or six months in exceptional circumstances). This forms part of the Progress Update/Disbursement Request (PU/DR) annexes and part of the Annual Financial Report (AFR). The approved budget for the execution period should be used as a basis for the forecast and all adjustments clearly reflected against the baseline budget.

For High Impact and Core portfolios, disbursements are made by the Global Fund on a quarterly basis or when the PR requires cash during the execution and buffer period covered by the annual funding decision. The first disbursement of the AFD is released with the approval of the AFD. Subsequent disbursements are reviewed by the Global Fund prior to the release of funds. Based on progress made, absorption level, in-country cash and increased cash needs due to acceleration of implementation, the subsequent disbursements can be modified downward or upward, postponed or cancelled by the Global Fund.

For Focused portfolios, the first disbursement of the AFD is released with the approval of the AFD. The Global Fund disburses funds twice based on the 1st AFD: once before or during year 1 of implementation and once during quarter one of year 2. The Global Fund can disburse the annual amounts based on approved budget.

For further details, please refer to the guidance on **PU/DR** and **AFR/EFR** in this section of the Manual and to the **financial management section** of the Manual.

Table 1: Illustrative Example of Reporting Requirements for Y1 of a Programme with semesterly programmatic reporting requirements (Grant date: 1 January 2024 – 31 December 2026)

Due Date	Action	Reporting requirement
15 November	Grant signing	No reporting action required from PR, the Global Fund prepares Annual Funding Decision based on approved grant budget. The Global Fund releases first disbursement for Focused countries in the amount of Y1 grant budget automatically. For Core and High Impact countries, the Global Fund releases first disbursement based on Q1 forecast that should be shared with the Global Fund.

Due Date	Action	Reporting requirement
5 May	Pulse Checks Core/High Impact countries	Pulse Check Report as of 31 March; due 35 days after quarter-end Programmatic and Financial Reporting
14 August	Progress Update (PU) Core/High Impact countries	Programmatic, financial, grant management and health product management updates for period 1 Jan – 30 June; due 45 days after Q2 end.
4 November	Pulse Checks Core/High Impact countries	Pulse Check Report as of 30 September; due 35 days after quarter-end Programmatic and Financial Reporting
28 February	Progress Update / Disbursement Request	Programmatic, Grant Management, and Health Product Management, updates for period 1 July – 31 December. Financial Reporting including the Annual Financial Reporting (AFR) for the period 1 January – 31 December; due 60 days after period-end.
30 June	Certified Financial Reports (CFR)	The certified financial statements from the Office of Financial Management (OFM) are due 180 days after the year-end.

Pulse Checks

From October 2021, PRs from High-Impact and Core portfolios are required to submit quarterly Pulse Checks. The 2024 guidance provides some updates: The pulse checks are expected to be completed only at Q1 and Q3 of each grant implementation year. Some enhancements have been included in the form design and mode of data entry. Pulse checks are no longer available in excel sheets. The forms must be completed and submitted online through the Global Fund Partner portal. In addition, it is now required to report on Workplan tracking measures (WPTM) for C19RM grant types

The content of the pulse check tool is divided in the programmatic and the financial sections:

A-Programmatic section

The subset of the PF's indicators and C19RM WPTM selected by the Global Fund are pre-filled in the pulse check reporting form. The programmatic section includes the following:

1-Coverage elementary indicators
In this section, the numerator and the denominator of each coverage indicator are entered in separate cells according to the definition of the indicator. The PR should enter a respective value into each cell. The numerators and denominators that are common across multiple standard coverage indicators will appear only once in the form and require single data entry.

2-Coverage indicators
No data entry is required in this section. The result of each coverage indicator is automatically calculated using the data from the elementary indicator section.
The PR completes the comment box, especially for over or underperforming indicators. Comments should include
• Progress towards the semester performance targets, as applicable
• Trends over time and comparison to the same period last year, when applicable
• Analysis of results considering National level, Subnational level (ex: five most and worst performing districts); Implementing partner/Sub-recipient…
• Planned or on-going improvement actions where needed.

3-Work plan tracking measures
The PR is required to select one of the four status options for each WPTM (Not started, Started, Advanced, Completed) and to provide a performance analysis on:
• Progress made and results achieved;
• Reasons for deviation from workplan activities and milestones, as applicable;
• Catch-up plans and any other contextual information

B-Financial section

PR cash reconciliation and SR and prepayment advance balances.

Pulse Checks are available for completion by the PR by the end of the first week in the following quarter. Submission deadlines are extended into the following month to allow PRs 35 days from the end of the reporting quarter to complete the Pulse Check.

Detailed user guidance on Pulse Checks is available in English, French and Spanish on the Global Fund's webpage **How We Oversee Grants.**

Resources

- **Global Fund Implementation Oversight - Principal Recipient Reporting**
- **Global Fund Guidelines: Completing and Submitting Pulse Checks Guide for Principal Recipients**
- **Global Fund Information Sessions on Pulse Checks**

2.2 Progress Updates/Disbursement Request (PU/DR)

Note: at the time of revision of this chapter, Global Fund organized an information session on changes to the Progress Update and Financial Closure Report (on 2 July 2024). The content of reporting is remaining largely the same, but the format of submission is changing from Excel to an online tool. Therefore, please refer to the Global Fund website for the presentation (download in [English](#) | [Français](#)) and session recording ([English](#) | [Français](#)) for further information.

During the lifetime of a grant, the Global Fund periodically disburses funds to the Principal Recipient (PR) based on demonstrated programme performance and financial needs for the following period of implementation. A progress update/disbursement request (PU/DR) is both a progress report on the latest completed period of programme implementation and a request for funds for the following execution and buffer period. Its purpose is to provide an update on the programmatic and financial progress of a Global Fund-supported grant, as well as an update on fulfilment of conditions, management actions and other requirements. The PU/DR completed by the PR and verified by the Local Fund Agent, as required, forms the basis for the Global Fund's annual funding decision by linking historical and expected programme performance with the level of financing to be provided to the PR. The PRs and LFAs download and submit the PU/DR form through the Global Fund Partner Portal.

The PU/DR contains three sections—one each for the PR, Local Fund Agent (LFA) and Global Fund Country Team. Based on the reporting period and schedule agreed during the grant-making process, the PR prepares and submits either the PU or the PU/DR with their relevant sections completed.

Differentiated approach to reporting

In order to "maximize impact against HIV, TB and malaria by tailoring investments and processes to specific characteristics of a country portfolio," the Global Fund has adopted a differentiated approach across its portfolio from its 2017-2019 allocation period onwards. The approach not only differentiates processes (including access to funding and reporting) across predefined categories of countries, it also accordingly aligns Global Fund human resources dedicated to grant management.

All Global Fund recipient countries have been divided into three categories, based on a combination of three criteria: (1) size of current funding allocation, (2) disease burden, and (3) impact/criticality for the achievement of the Global Fund's objectives.

The three portfolio categories are:

- **Focused countries** (smaller portfolios, lower disease burden, lower 'mission risk' - i.e. less critical to the Global Fund's 'mission'): all countries with a current total country allocation under US$75 million, plus most regional grants.
- **Core countries** (larger portfolios, higher disease burden, higher risk): countries with a current allocation between $75 million and $400 million.
- **High-impact countries** (very large portfolios, 'mission critical' disease burden): includes countries with a current allocation of $400 million or more + 1 malaria regional grant managed by UNOPS.

Reporting requirements are different for each of the portfolio categories:

- **Focused countries** are required to submit an annual PU/DR covering programmatic, finance, health product management, and grant management. The LFA reviews the PU/DR but doesn't verify programmatic results, and completes high-level analytical review of expenditures versus budget.
- **Core and high-impact countries** must submit two progress updates per year: one mid-year PU (expenditure reporting optional for core countries; scope of LFA review to be determined by the Country Team) and one yearly full PU/DR subject to full LFA review.

Unless decided otherwise by the Global Fund Country Team, the following is a list of the forms that need to be submitted as part of the annual PU/DR or the semi-annual PU:

	Progress Update and Disbursement Request (PU/DR)	Progress Update (PU)
Timing	**Annual** The Principal Recipient submits to the Global Fund within 60 days after the end of the reporting cycle. The Local Fund Agent submits to the Global Fund 20 working days after the full submission of the Principal Recipient. The GF Country Teams have 30 days to complete the data validation, rating, and issue the Performance Letter.	**Semi-annual** The Principal Recipient submits within 45 days after the end of the reporting cycle. If applicable, the Local Fund Agent submits to the Global Fund 20 working days after the full submission by the Principal Recipient. The GF Country Teams have 30 days to complete the data validation, rating, and issue the Performance Letter.
Scope	**Programmatic Section:** - Progress against Impact and Outcome Indicators - Disaggregation of Impact and Outcome Results - Progress against Coverage Indicators - Disaggregation of Coverage indicators results - Work Plan Tracking Measures, if included in the PF **Finance Section**	**Programmatic Section:** - Progress against Impact and Outcome Indicators - Disaggregation of Impact and Outcome indicators results - Progress against Coverage Indicators - Disaggregation of Coverage indicators results - Work Plan Tracking Measures, if included in the PF **Health Products-PSCM (Procurement and Supply Chain Management) Section**

- Principal Recipient Cash Reconciliation Statement in grant currency
- Principal Recipient reconciliation of funds provided to Sub-recipients (SRs) for the Current Implementation Period

- Annual Financial Reporting (AFR) for total grant
- AFR for C19RM only
- Financial commitments and obligations
- Tax Report, that is now integrated into the PU/DR
- Financial Triggers (Focused countries only)

Health Products-PSCM (Procurement and Supply Chain Management) Section

- Update on completeness of Price and Quality Reporting (PQR)
- Stock status analysis – risks of stock-outs and/or expiries
- Reporting on key metrics for tracer products – quantification and forecasting, procurement planning, and inventory management
- Analysis and update on implementation of health product management activities.

Other Components

- Grant Management
- Evaluation of Grant Performance
- Enhanced/Annual Financial Report
- Annual Cash Forecast
- Annual Funding Request and Recommendation

- Update on completeness of Price and Quality Reporting (PQR)
- Stock status analysis – risks of stock-outs and/or expiries
- Reporting on key metrics for tracer products – quantification and forecasting, procurement planning, and inventory management.
- Analysis and update on implementation of health product management activities.

Other

- Grant Management
- Evaluation of Grant Performance

Finance Section

- Annual Financial Reporting (AFR) for total grant
- AFR for C19RM only
- Financial commitments and obligations

In July 2024, the Global Fund has updated the guidelines for the reporting through the Progress Update and Disbursement Request (PU/DR). Now, the forms must be completed and submitted online through the Global Fund Partner portal. The updated guidelines include detailed instructions on how to access and complete the forms.

The Grant Agreement stipulates that the PRs must submit PUDRs no later than 60 days after the close of the agreed periods, while PUs must be submitted 45 days after the close period.

Since February 2022, PRs no longer receive the excel template of the PU/DR via email, as this is accessed and submitted through the Global Fund Partner Portal. The Performance Letter is also accessed through the portal and the PR receives a notification, once the letter is ready.

The PU/DR provides the following:

- Progress report on the latest completed period of programme implementation;
- Request for funds for the next/following execution and buffer period;
- Update on the programmatic and financial progress of a Global Fund-supported grant;
- Update on the implementation of health product management activities together with the stock status analysis, reporting on key metrics, and progress in completing the Price and Quality Reporting (PQR);
    - *Please refer to the [Health Product Management](#) Section of the Manual for detailed information on what should be reported in PQR.*
- Update on fulfilment of conditions, management actions and other requirements;
- The basis for the Global Fund's annual funding decision by linking historical and expected programme performance with the level of financing to be provided to the PR.

The PU/DR should be carefully prepared and cross-checked, as errors can delay disbursements. The following errors have been cited as reasons for delaying disbursements:

- The disbursement request was not signed;
- The disbursement request was not dated;
- The cash reconciliation was not completed correctly;
- The progress update and disbursement request periods under the 'General Information' of the report were not correct;
- The signature was not the same as the one on the specimen document, or no specimen document was provided;
- The indicators and/or targets reported on in the 'Programme Progress' section of the report were not those agreed for that period in most recently approved Performance Framework; and
- Prices of medical products were not reported on in the Global Fund's PQR database.

Resources

- **[Global Fund Guidelines: Progress Update and Disbursement Request – Form Instructions](#)**

2.2.1 Programmatic Sections of the Progress Update

The PU/DR (refers to both PU/PUDR) is received via the Global Fud Partner Portal. The Programmatic reporting section of the PU/DR includes Tab 1A: Impact/Outcome Indicators; 1B: Impact/Outcome Disaggregation; 1C: Coverage Indicators; 1D: Coverage Indicators Disaggregation, and 1E: Workplan Tracking Measures (WPTMs).

For the reporting period in question, the PU/DR is pre-filled with all the required impact, outcome, coverage indicator targets and WPTMs that need to be reported upon. It is recommended as a first step to double-check that all pre-filled information on the indicators and corresponding targets match the most recently agreed Performance Framework. Please note Performance Framework revisions may take up to three months to process, therefore the pre-filled information may reflect previously agreed indicator/target. However, certain time sensitive Performance Framework revisions can be completed after approval of the revision request based on a notification email issued to the PR which can later be formalized through an Implementation Letter.

It is important to note that for some grants, the reporting of indicator disaggregation (at impact, outcome and coverage level) may not be required. If required, disaggregation reporting is only required for the PU/DR and not the PU. Required disaggregation to be completed should automatically be prepopulated in the PU/DR received. You may also refer to the Modular Framework Handbook for greater detail on indicator disaggregation if the grant is required to report upon disaggregation. As of GC7, the Global Fund has included equity and gender indicators in the Performance Framework that may be either standard or custom indicators under impact, outcome, or coverage). If they are custom indicators, disaggregation for these indicators are not required.

For Challenging Operating Environment (COE) countries, particularly those in acute crises, the Global Fund CT may grant flexibilities in reporting requirements such as reporting due date extensions, deactivation of certain indicators, and post PUDR-performance rating adjustments. The PR should reach out to their respective GF CT to better understand their available flexibilities under reporting.

Impact/outcome indicators

If an indicator result is unavailable or delayed, it is important to note this, as well as the reasons for the delay and revised timelines, in the comment field for the indicator in question. The indicator result will then become outstanding, and the indicator will reappear in the next reporting period and continue to appear until reported upon. If an indicator result is delayed due to a postponement of a planned survey from one year to the next, it is important to coordinated with the Global Fund CT in changing the Performance Framework target to correspond to the new year in which the result will become available for reporting.

As survey results may not become available within the typical three-year lifetime of a grant, the Global Fund may include in the PF reporting timeframes beyond the grant end date. These results are usually reported in the grant closure period in the last PU. If the results are only available past the grant closure period, and the related interventions are supported by the new grant, these indicators are included in the new grant and the last available results are used to set the baselines in the new PFs.

In the PR comments field, the following information should be summarized: (a) results achieved, (b) data sources, (c) analysis of trends over time, and (d) any other relevant contextual information. Particularly it is encouraged to seek inputs from technical partners while drafting the performance analyses and explain any deviations from targets and / or prior results.

Please note: Although the PR may only have to report on a subset of impact and or outcome indicators in a given reporting period, it is recommended to keep track of the implementation of the surveys necessary for future reporting (e.g. malaria indicator survey (MIS) or Integrated Biological and Behavior Survey).

Coverage indicators

The results reported normally reflect activities carried out in the period just completed and should be reported against the indicators and targets from the most recent approved Performance Framework. In some cases, however, it may not be possible to receive information before the 45-day or 60-day window for reporting to the Global Fund elapses. If such delay is unavoidable, the Principal Recipient (PR) should still submit the report for that period, include all available data at the time of report submission, specify the reporting completeness percentage and provide the updated results to the LFA during the verification process. If the time-lag in data collection for any of the indicators goes beyond the reporting deadline, and already known at grant negotiations, it is advisable to stipulate this information in the indicator comments field in the Performance Framework.

In the PR comments field, the following information should be summarized: (a) results achieved, (b) data sources, and (c) any other contextual information, the PR should explain specific reasons for under- or over-achievement of targets. An analysis of disaggregated results by geographic areas will enable to identify areas with the lowest performance which will help in the planning of targeted actions. Examples of common reasons for underachievement include: delays in disbursement or procurement, Sub-recipients (SRs) not contracted in the time originally planned or sub-optimal functionality, challenges in robust and reliable data collection, or other implementation challenges. This explanation is very important in the PU/DR. The PR should report all specific shortcomings/obstacles that may have impacted the achievement of the target and mitigating circumstances beyond its control. The PR should also summarise all remedial actions completed or in progress (or planned) to address under-performance; to the extent possible, the timelines and responsible person/entities should be specified. Any progress made on the respective measures should be similarly reported in the current and future PU/DRs.

Note: The GFP-HST M&E team provides support to all countries in the development and quality assurance of programmatic sections of Progress Updates, as specified in the sub-section Additional support for PU/DR preparation below.

Workplan tracking measure (WPTM):

For some interventions it is difficult to measure results in quantitative terms (e.g. the removing legal barriers and community systems strengthening). For these, qualitative/process measures are used to assess their effectiveness. These are known as WPTMs and are defined during grant negotiations along with established criteria for completion and timelines.

At reporting it is important to select the progress status as it relates to the established criteria for completion from O-Not Started, no progress against planned milestone or target; 1-Started, less than 50% of the milestone or target completed; 2-Advancing, 50% or more completion of planned milestone or target; and 3-Completed, 100% achievement of planned milestone or target.

Similar to coverage indicators, it is important to summarise in the comment field (a) progress made and results achieved; (b) reasons for deviation from workplan activities and milestones, as applicable, and contextual information if applicable; and (c) for the remedial actions for WTPM with limited progress.

Finally, it is important to note that completion of the WPTMs will not impact the grant ranting unless the entire grant is composed of WPTMs or if a disease specific grant contains substantial investments in RSSH and/or Community Rights Gender (CRG) - related modules. In these specific grants, if the overall WPTM rating is below 60%, the Rating can be downgraded by one rating grade.

Additional support for PU/DR preparation

The GFPHST M&E team provides support to all countries in the development and quality assurance of programmatic sections of Progress Updates during each reporting cycle.

In January 2023, the UNDP Global Fund Partnership and Health Systems Team (GFPHST) developed and disseminated further guidance to support PMUs in preparing and quality assuring programmatic sections of the PU/DR. This guidance is available in **English, French, Russian and Spanish.**

In February 2024, GFPHST hosted a webinar for to provide UNDP Country Office (CO) Project Management Units (PMUs) an overview of existing guidance for programmatic sections of S2 2023 or annual 2023 PU/PUDR submissions and examples of good practices and lessons learned from prior reporting cycles. The session recording and resources can be accessed **here**.

The deadline to submit the PU/DR for review by the UNDP Global Fund Partnership and Health Systems Team (GFPHST) is **5 working days before** the Global Fund deadline.

Following the submission of the PU/DR, the report is reviewed and verified by the Local Fund Agent. Based on the LFA-verified report, Global Fund issues a Management Letter (ML), which provides feedback and recommendations for the PR on the implementation of the programme. The Country Team should normally issue the Performance Letter and Performance Rating within 95 days (PU) and 110 days (PUDR) from last reporting period end-date.

The PR should respond in writing to the Global Fund addressing the issues raised in the ML, by the deadline specified in the ML or no later than two weeks following receipt of the ML.

> **Practice Pointer**
>
> It is strongly recommended that Country Offices (COs) share the draft reply to the Global Fund's Management Letter with Sub-recipients (where applicable) for feedback as well as with the UNDP GFPHST Programme Advisors to obtain feedback and comments in advance of sending the final response to the Global Fund.

Grant Management

In Grant Management (Tab 9), all Grant Requirements contained in the Grant Agreement/Grant Confirmation or management actions in any subsequent implementation letters that are due for reporting during the period covered by the Progress Update should be listed. The PR must provide a status update on all listed CP and special conditions SCs. In addition, all management actions assigned to the PR by the Global Fund that are outstanding should be listed with a reference to the date of the respective Performance Letter and action number. Comments on progress toward fulfilment should be provided for each management action.

Principal Recipient's Self-Assessment

In PR's Overall Self Evaluation of grant performance (Tab 10), the PR should include self-evaluation of grant performance to date, undertaken by taking into account programmatic achievements, financial performance and programme issues in various functional areas (M&E, finance, health product management, and programme management, including management of SRs); a description of external contextual factors that have had or may have an impact on programme performance; a description of any planned changes to the programme. More comprehensive guidance on this can be found in the **PU/DR guidelines** (p.59 of the English version dated 17 February 2022).

If during programme implementation the PR observes that a target set or an indicator agreed to in the PF is no longer applicable/achievable, due to a changing epidemiological landscape or reasons beyond the control of the PR, this should be brought to the attention of the FPM and a request to amend the PF through an Implementation Letter should be considered. For more information, please refer to the **Monitoring and Evaluation section**.

Resources

- **Global Fund Guidelines: Progress Update and Disbursement Request**
- **PU/DR Guidance from the UNDP GFPHST in English**
- **PU/DR Guidance from the UNDP GFPHST in French**
- **PU/DR Guidance from the UNDP GFPHST in Spanish**
- **PU/DR Guidance from the UNDP GFPHST in Russian**
- **Recording and resources from Webinar on S22023 and Annual Reporting – Programmatic sections**

2.2.2 Health Product Procurement and Supply Chain Management (PSCM) Section of the Progress Update

Reporting requirements are different for each of the portfolio categories:

- **Focused countries** are required to submit an annual PU/DR.
- **Core and high-impact countries** must submit two progress updates per year: one mid-year PU and one yearly full PU/DR.

All portfolios that include the procurement and supply chain management of health products are required to complete the PSCM Section of the Progress Update.

There are six sub-sections in this worksheet. Three sub-sections are mandatory for all portfolio categories, and three additional sub-sections are mandatory for core- and high-impact portfolios. The additional sub-sections became mandatory at the start of 2024. For more details, please see the **resources** from the Global Fund Information Session on PU/DRs: Health Product Procurement & Supply Chain Management.

1. Up-date on completeness of entries in PQR compared to the confirmed orders for health products associated with the 10 required Product Categories.

   Please refer to the [Health Product Management section](#) of this manual for detailed information on what should be reported in PQR.

2. Analysis of stock status to determine the risks of stock outs and/or expiries *in the upcoming reporting period*.

   There are six product categories against which the PR must report – anti-malarial medicines, anti-tuberculosis medicines (main first, and second line formulations), antiretroviral medicines (for core/main ARV products used to treat 70% of the people on treatment), In-Vitro Diagnostic Products (core/main products only), Condoms (male & female), Lab supplies (e.g., CD4, Viral Load, Cartridges…), and Other.

   The category 'Other' includes other products that are procured which either represent a significant expenditure for the grant and/or are critical for achieving the program goals and objectives as determined by the Global Fund (e.g., needles and syringes, methadone in programs for opioid substitution therapy; insecticides for IRS, etc.). The product description is specified in the comment section.

   If any risks are identified, the PR must provide additional contextual information on specific items at risk of stock-out and/or expiry and briefly outline the mitigation measures in place or to be implemented in the 'PR comments' column. Any scale-up or programme acceleration planned in the future period must be considered when estimating these risks.

   The specific products within each product category should be agreed through dialogue between the Global Fund and the PR.

   Stock status monitoring is an ongoing activity which is essential for the proper inventory management across the supply chain. For this analysis, the PR is required to use the most up-to-date stock status data. Stock status data generally includes the following information:

- **Stock on Hand** (SoH) report: This is the aggregate quantity of usable stock available at the central level (at a minimum) covering all funding sources.
- **Average Monthly Consumption** (AMC): This is the average quantity of a health product consumed per month calculated based on the analysis of the reported total consumption in the past (normally calculated for a period of six to twelve months) appropriately adjusted to reflect future demand levels.
- Quantity on Order (and expected delivery dates) / **Pipeline** data: This is the aggregate quantity of stock with confirmed purchase orders issued to suppliers(s) by one or more funding sources.
- **Months of Stock** (MoS): This is the stock on hand, with useable shelf-life, plus the quantity on order which is expressed in the estimated number of months of service coverage based on the AMC.
- **Expiry date**: Expiry date for each batch of a product in stock is shown.

These different sets of data are usually collated into a single stock status report.

3. Additional information

The PR is required to comment on any additional issue(s) or information that could impact program implementation, in the coming reporting period and highlight any mitigation measure already in place or to be implemented. This could include data triangulation across key performance indicators and consumption data, any challenges impacting on proper management of health products, (e.g., any programmatic delays, regimen changes, human resources) or any delays in health products management activities that could impact on program performance.

The following sub-sections are applicable to core- and high-impact portfolios. Tracer product categories and targets are grant-specific and are agreed with the Global Fund Country Team **before** the start of the annual reporting cycle.

4. Quantification and Forecasting

Timely quantification and preparation of a comprehensive forecast enables timely initiation of the procurement process, order placement and arrival of required products into the country.

This metric measures two dimensions, timeliness and comprehensiveness, of the country's (or grant's) quantification and forecasting cycle.

A target date for completion of the forecasting exercise is set for each product category.

Timeliness looks at whether the forecasting exercise was completed according to the agreed timelines, and comprehensive looks at which product categories were covered during the reporting period.

The PR is required to submit evidence to support the data reported. This may include quantification reports that also reflect a completion date.

5. Grant Procurement Planning Performance

Timely and effective procurement of health products requires proper planning. PRs are required to develop a procurement plan with details of health products, quantities, budgeted reference prices,

order placement dates and procurement channels. The grant procurement/supply plan is ideally derived from a national plan that is the result of the national quantification and forecast exercise.

This metric compares whether orders for selected product categories are placed in accordance with the approved grant procurement plans and taking into consideration relevant lead times.

The PR is required to submit evidence to support the data reported. Usually, this evidence would include the signed price quotations / cost estimates or the purchase orders; however, as per UNDP policy and internal UNDP regulations, procurement documents **may not** be shared by UNDP with the Global Fund. Similar to the PQR approach, the PR should summarise all confirmed orders that were placed during the reporting period and this file should be signed by PMU's Procurement and Supply Management (PSM) Specialist or the Programme Manager before it is shared with the Global Fund. The PR **may** submit e-mail communication on agreed changes to the HPMT and/or the up-dated HPMT as evidence.

6. Central Stock (Stocked According to Plan - SATP)

Effective inventory management is a key process in health products supply chain management. PRs are required to maintain optimum health product stock levels as per the national guidelines for supply chain management and logistics.

This metric measures PR's effective management of inventory at the central level by looking at proportion of products maintained within minimum and maximum stock levels.

The PR is required to submit evidence to support the data reported. This may include the same information submitted as part of the stock status analysis (e.g., SoH, AMC, and MoS).

Resources

- **Resources from the Global Fund Information Session on PU/DRs: Health Product Procurement & Supply Chain Management**

2.2.3 Financial Sections of the Progress Update

The financial section of the Progress Update/Disbursement Request (PU/DR) consists of six sub-sections/tabs:

1. **Principal Recipient financial information**

   - Principal Recipient (PR) Cash Reconciliation, provides information on:
   - PR's cash position based on:
     - Grant Income – All income received under the grant
     - Grant Cash Outflows – Expenditure on cash basis. PR expenditure for purposes of the Cash Reconciliation should include only payments (cash outflow including prepayments) regardless of when goods or services are received/ delivered.
     - Reconciling Adjustments;
   - Total cash balances – at the beginning and at the end of reporting period. Cash balances should include amounts held by the PR (or on behalf of the PR), including any grant funds held with fiduciary agents.
   - Principal Recipient and Sub-recipients' Commitments and Other Obligations.
   - Reconciliation of open advances held by Sub-Recipients and by vendors due to prepayments.
   - Triangulation of closing cash balance against AFR expenditures.
   - Principal Recipient Bank Statement Balance (UNDP provides the Global Fund CPFR report in place of the bank statement) and Cash in Transit.
   - Principal Recipient Ineligible Transactions, obtained from:
     - PR review and verifications of Sub-recipient (SR) reports;
     - Global Fund Performance Letters; and
     - PR and SR Audits.

2. **Sub-recipient cash reconciliation** The SR cash reconciliation statement provides the reconciliation of funds provided to SRs at a given progress update period end date. SR open advances are defined as disbursements made to SRs and other SR income less SR expenditures validated and recorded by the PR in its records as fully liquidated amounts (i.e. recognized officially as SR expenditure by the PR in its own records).

3. **Annual Financial Reporting** Annual Financial Reporting (AFR) covers in-country expenditures and variance analysis against the approved activity plan and funding for the PR and SR, reported for the current grant cycle year and cumulatively from the beginning of the implementation period. The financial information reported should include the approved budgets, expenditures and variance analysis by: (a) cost grouping (Focused portfolio countries) or cost inputs (Core and High Impact portfolio countries), (b) modules and interventions, and (c) implementers (PRs and SRs). For detailed guidance please refer to the **Information Note on Budget and Expenditure Variance Analysis** developed by the UNDP Global Fund Partnership and Health Systems Team (GFPHST). For AFR preparation, PRs should use the Modified Cash Basis of accounting (limited to the following):

   - Expenses are recorded and included when obligations are settled (includes expenses as per General Ledger (GL) /CPFR Annual depreciation expenses should be excluded since equipment acquired during the year should be fully reported to the Global Fund as expenditures in the year of acquisition;
   - Full cost of equipment is included in the year of acquisition; and

- SR advances and prepayments are not included in the AFR. The following exchange gain/losses are included in the AFR:
- Realized exchange gain/loss –due to difference in UN Operational Rates of Exchange (UNORE) between the dates of the voucher and date of payment.
- The realized gains/losses exchange gains/losses are reported in the AFR as follows:
    - Cost Grouping – 11.0 Indirect and Overhead Costs;
    - Module – Intervention: Programme Management – Grant Management; and
    - Implementing Entity – UNDP.

Please note that Unrealized exchange gain/loss – translation of USD cash balances into Euro grant currency should not be included as part of AFR expenditures.

4. **Annual Cash Forecast** The Annual Cash Forecast provides the annual cash expenditure forecast for the period immediately following the period covered by the PU (as well as for an extra cash "buffer" period of up to six months). The forecast information reported should include activities in the approved budgets required for the payment of goods and services for the next 12 months including the buffer period. The forecast should include new activities to be implemented (new contracts/procurement for goods and services), open existing contracts (commitment and payables) from which payments will be made during the period covered by the forecast. The UNDP GFPHST has developed a **Cash Forecasting tool** to support the annual cash forecasting exercise.

5. **Funding Request** The Funding Request provides the disbursement amount requested by the PR based on the cash balance, the forecasted expenditure for the period immediately following the period covered by the progress update (as well as for an extra cash "buffer" period of up to six months) and cash "in transit" (if any). For more information and detailed guidance on PU/DR, please refer to

- the **Global Fund's guidance on Principal Recipient Reporting**
- **Global Fund PUDR Webinar Questions and Answers Feb 2022**
- Annotated Core PUDR Guidelines Comprehensive guidance on financial reporting is also available in the **financial management section** of the Manual.
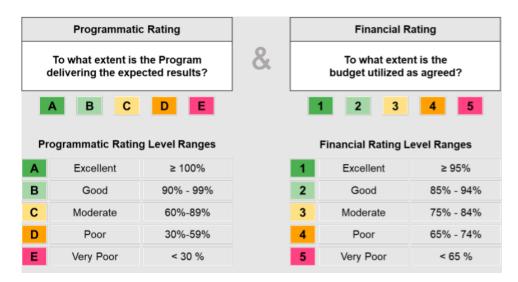
Resources

- **Information Note on Budget and Expenditure Variance Analysis**
- **Cash Forecasting tool**
- **Global Fund guidance on Principal Recipient Reporting**
- **Global Fund PUDR Webinar Questions and Answers Feb 2022**

2.2.4 Performance-based Funding and Disbursement Decision

Under the performance-based funding principle, additional funds are made available to Principal Recipients (PRs) based on results achieved in a defined time frame. The principle of performance-based funding links grant performance (overall grant rating) to funds disbursed (indicative disbursement range). Like the Indicator Rating, the disbursement range is indicative. Final disbursement amounts could be outside the indicative range due to a number of factors identified by the GF Country Team.

Programmatic Rating			Financial Rating		
To what extent is the Program delivering the expected results?		&	To what extent is the budget utilized as agreed?		

Programmatic Rating Level Ranges			Financial Rating Level Ranges		
A	Excellent	≥ 100%	1	Excellent	≥ 95%
B	Good	90% - 99%	2	Good	85% - 94%
C	Moderate	60%-89%	3	Moderate	75% - 84%
D	Poor	30%-59%	4	Poor	65% - 74%
E	Very Poor	< 30 %	5	Very Poor	< 65 %

A differentiated approach is applied in using these measures for determining an indicator rating and in making performance-based annual funding decisions:

1. When grants do not include any coverage/output indicators, a scoring methodology is applied to measure progress against WPTMs to arrive at an indicator rating;
2. When grants include both coverage/output indicators as well as the WPTMs, only the coverage/output indicators are used to calculate the indicator rating. In these instances, WPTMs may be used at the discretion of the Country Team in determining the overall grant rating and adjusting the annual funding decision amount.

The progress on workplan tracking measures i.e. milestones and targets for input and process indicators is categorized and scored as follows:

Implementation progress during the reporting period	Category	Score
No progress against planned milestone or target	Not started	0
Less than 50% completion of the milestone or target	Started	1
50% or more completion of planned milestone or target	Advancing	2
100% achievement of planned milestone or target	Completed	3

- At each reporting period, depending on the progress in implementation of various activities, the respective score is allotted by the Global Fund to each measure.
- Based on reported progress, the sum of all scores during the reporting period is compared against the maximum score for that period to obtain the default WPTM rating.

	% achievement during the reporting period (total score/maximum score)	Default WPTM rating
A	Excellent	≥ 100%
B	Good	90% - 99%
C	Moderate	60%-89%
D	Poor	30%-59%
E	Very Poor	< 30 %

2.2.5 Local Fund Agent review of the Progress Update/Disbursement Request

The Local Fund Agent (LFA) reviews the Principal Recipient (PR)'s Progress Update to validate the reported results and inform the Global Fund about a grant's programmatic and financial performance, as well as about any key issues and risks the programme faces. The LFA is also required to provide periodic recommendations on appropriate amounts to be disbursed to a PR for the coming period, and any other appropriate actions. The LFA's review may involve site visits to the PR and Sub-recipients (SRs) to verify accuracy of the financial information presented through the Progress Update/Disbursement Request (PU/DR), and to clarify any questions. PRs have noted that there may be misalignments in understanding on particular issues between the LFA visit to the PR and the LFA's report to the Global Fund. While the LFA report to the Global Fund is not shared with the PR, the PR should ensure that a debrief is scheduled with the LFA immediately following their visit to ensure a common understanding of and action plan to address LFA-identified issues during the PU/DR review.

Practice Pointer

1. Country Offices (COs) are advised to submit through the Global Fund Partner Portal the final PR-signed PU or PU/DR by the or 60-day deadline respectively. Increasingly, delays in disbursement requests are occurring; therefore, the CO is encouraged to develop a PU/DR tracking sheet to document the process and easily identify any delays.
2. During the LFA review, PR should make sure that all supporting documents for reported date are available for review. In additional, all key staff covering finance, programme/monitoring and evaluation (M&E), and procurement and supply management (PSM) as well as the Programme Manager should be available to clarify issues to the LFA.

2.3 Tax Status Reporting

The Global Fund requires a mandatory tax exemption in countries where it supports programmes, so that expenditures within grants are made free of any country taxes or tariffs. All grant agreements include a mandatory tax exemption provision. If taxes are levied or paid, host countries are required to refund such tax amounts. In this regard, the Global Fund requires annual tax reporting by Principal Recipients (PRs) and has included the reporting template within the PUDR. CO should ensure that the tax report is finalised together within the prescribed deadline of the PUDR. The template captures total grant expenditure, total taxes paid, and total taxes recovered by PR and SR. Additional information, including additional recoveries expected, is also required.

For more information on annual financial reporting, please refer to the **financial management section** of the Manual.

3. PR and Coordinating Mechanism (CM) Communication and Governance

PR-Coordinating Mechanism Communication Modalities

The **Coordinating Mechanism**, which includes Country Coordinating Mechanisms (CCMs) and Regional Coordinating Mechanisms (RCMs) or Regional Organizations (ROs), develops and submits grant proposals to the Global Fund based on priority needs at the national level. After grant approval, they oversee progress during implementation. The CCM – or, for a regional grant, a regional coordinating mechanism – is responsible for overseeing the performance of the grants and making strategic decisions at key opportunities during grant implementation, including endorsing requests for reprogramming or changing implementation arrangements. It is important for the Principal Recipient (PR) to maintain regular communication with the CCM at every stage of the grant cycle to ensure progress is actively monitored and any bottlenecks or challenges are addressed in a timely manner.

Examples of PR-CCM best practice communication modalities include (but are not limited to):

- PR regularly attends CCM meetings and provides updates on grant implementation progress and implementation issues;
- PR shares with the CCM progress updates and/or disbursement requests submitted to the Global Fund including the Global Fund feedback and decision;
- PR proactively shares with the CCM any Performance Letters or Notification Letters shared by the Global Fund, in case the CCM was not copied;
- PR involves the CCM in any reprogramming and extension requests that they may submit to the Global Fund and provides evidence of CCM's endorsement of the requests; and
- At the time of grant closure, PR involves the CCM in the preparation of the closeout plan and budget that should be endorsed by the CCM prior to submission to the Global Fund for approval.

The RO's main communicating line should be the COs, who can then reach out to the UNDP Global Fund Partnership and Health Systems Team (GFPHST) for guidance.

Governance Arrangements All Coordinating Mechanisms should have a governance manual or a "constitution" that details the roles and responsibilities of each member and explains how the CCM, RCM, or RO will conduct oversight and conflict mitigation. In certain instances, the organization which submits the funding proposal (i.e. the Regional Organization) may also serve as a Sub-recipient (SR), thereby introducing potential conflicts of interest and potential for lack of clarity over accountability and reporting lines (UNDP-SR; UNDP-RO). A governance manual should be developed by the RO – and reviewed by UNDP for inputs --and should detail the respective roles and responsibilities of all parties. The manual should also include an agreed-upon Conflict of Interest policy for each CCM member (or equivalent for a regional organization). In practice, where there is confusion over the roles of the RO who serves a dual capacity as an SR, or lack of compliance with the policy, Country Offices are requested to contact their Programme Advisor, Global Fund Partnership and Health Systems Team (GFPHST), for guidance.

4. UNDP Corporate Reporting

4.1 Results-oriented Annual Reporting (ROAR)

With the introduction of the Strategic Plan 2014-2017 Integrated Results and Resources Framework (IRRF), the Results-oriented Annual Reporting (ROAR) will build on Country Programme Document (CPD) and IRRF monitoring, by using the data collected throughout the year by relevant units, for the purposes of performance assessment and lessons learning. The scope of annual reporting through the ROAR has therefore moved from a data collection exercise to a reflective and analytical one. The ROAR should be seen as a 'complement' to CPD and IRRF monitoring: For more information, please refer to the purposes of the ROAR, and how it complements these other sources of evidence, in the Technical Note on the streamlined IRRF.

Only a strong evidence base will allow UNDP to capture measurable progress, analyse it, draw lessons and make decisions that help us improve our performance as a development partner. We also need to focus more on capturing and communicating the value-added of the organization, along with a frank and meaningful picture of the challenges faced across the diverse and complex settings in which we work.

Capturing results in the ROAR?

In the ROAR, Country Offices (COs) are asked to note whether there is objective evidence to verify any change stated. Objective evidence means qualitative information or quantitative data, based on observed and/or recorded facts which are independent from UNDP, i.e. sources which are not internal UNDP documents, or if so, that have been verified as fact by external sources.

We can use many different types of external evidence to corroborate our results.

For example: data reported in national statistical systems, donor assessments, partner reports, UNDP project reports jointly produced and/or objectively verified or quality assured by stakeholders, and media reports. This could include qualitative evidence (e.g. perception surveys) as long as these have been produced by non-UNDP entities or verified by them.

With evidence in hand, the CO should interpret the information and develop a qualitative analysis of the progress being made, the role that UNDP contributions are playing or failing to play, and the ongoing suitability and relevance of UNDP's engagement.

In reporting on outcome progress, the CO should draw on the data and evidence that they have been collecting throughout the year when monitoring programme progress, scanning for development changes in areas directly related to UNDP's work, and managing the overall programme.

4.2 Integrated Results and Resources Framework (IRRF) reporting

As part of its **Integrated Results and Resources Framework** (IRRF) reporting, UNDP has developed an annual report card for development performance that provides an overview of development results. The report card assesses progress against two markers: expenditure to budget ratio (the percentage of money spent against the planned budget in a given year) and output performance (results achieved in a given year as a percentage of that year's milestones).

All output indicators in the IRRF rely on data reported by UNDP Country Offices (COs) through UNDP's new online corporate planning and monitoring system. A reporting exercise is undertaken during the end of the relevant year, through which COs are requested to report results achieved for all relevant IRRF indicators to which their respective programmes were linked. Data provided by country offices is quality assured at regional and headquarters level. Incomplete or inconsistent data is verified directly with COs where possible.

Country Offices are required to report on all IRRF indicators that are relevant for their programme, except for those indicators that depend on international or centrally collated data sources. **Relevant IRRF indicators for Global Fund projects may include IRRF indicators 3.3.1a, 3.3.1b, 3.3.2.a, 3.3.2.b as set out below**:

3.31a and b:

Output 3.3. National institutions, systems, laws and policies strengthened for equitable, accountable and effective delivery of HIV and related services.	3.3.1	Number of people who have access to HIV and related services, disaggregated by sex and type of service. a) Behavioural change communication i. Number of **males** reached ii. Number of **females** reached Number of countries for which a 2017 target has been set under this indicator: b) ARV treatment i. Number of **males** reached ii. Number of **females** reached
	3.3.2	a) Percentage of UNDP-managed Global Fund to Fight AIDS, TB and Malaria grants that are rated as exceeding or meeting expectations. **Number of countries with UNDP-managed Global Fund grants varies each year** b) Difference between percentage of UNDP-managed Global Fund grants rated as exceeding or meeting expectations,

		and percentage of other Global Fund grants rated as exceeding or meeting expectations. **Number of countries with UNDP-managed Global Fund grants varies each year**

However, IRRF reporting on most of these is harmonized with GF monitoring so that COs are not required to undertake any dedicated IRRF reporting for 3.3.1.b, 3.3.2.a or 3.3.2.b, which is obtained through the information COs already provided for GF requirements.

Therefore, it is **only for the components of indicator 3.3.1.a (males/females/total people reached with behavioural change communication) that countries are asked to undertake dedicated IRRF reporting through the corporate system**, and this should the cumulative number of people reached with behavioural change communication including through GF and non-GF projects.

For more information, please refer to the **IRRF methodological notes** . In the corporate reporting system, please click on your country, then on the Programme tab, then on the SP Results tab, to update your information on IRRF results.

Resources

- **Integrated Results and Resources Framework (IRRF)**
- **Strategic Plan Integrated Results and Resources Framework (IRRF): Indicator Methodological Guidance**

5. Communicating Results

Overview

Communicating results is fundamental to the work of UNDP. It demonstrates the transparency and effectiveness of the organization, builds influence and trust, attracts new donors and demonstrates accountability to existing ones.

This section explains why and how to communicate and provides guidance and resources on identifying good communications material, key communications products, branding and crisis communications.

Note: GFPHST can support your Global Fund communications strategy development, work-planning, messaging and content production, including for products not listed below.

Why Communicate?

With challenges for fundraising and a demand for greater return on investment from donors, it is essential that programmes communicate their results and impact. Effective communications can:

- Position UNDP as the world's leading development agency by demonstrating its impact, value for money and comparative advantages
- Position UNDP as a thought leader and influencer
- Strengthen partnerships and donor relationships

How Should We Communicate Results?

- **Ensure communications are strategic**: What is the aim of communicating results? Communications has a strategic function and should provide insightful information to your intended audience to support programme goals. For example, this could be demonstrating value for money to donors, showing partners and practitioners how the organization provides solutions to solve common problems, or showing to people outside of the health sector the impact of our work on broader sustainable development objectives.
- **Put it in context**: What is the challenge and how does your solution contribute to our shared vision of a more equitable, healthier and sustainable future? Think about the wider context in your country, region or globally and how your programme relates and contributes to it.
- **Impact, Impact, Impact**: Communicating results needs to go further than showing commodities, facilities and operations or statistics of people reached and treated. Results communications should explain and illustrate the significance of the intervention for people's health, health systems and countries.
- **Describe it in human terms**: Readers or viewers outside of the health sector may be unfamiliar with the terminology or technical details of your programme and will respond better to information that they can relate to in real life. Can you explain the issue in terms of its effect on people's daily lives, livelihoods and experiences? Can you describe abstract statistics in more relatable terms? How did your programme tangibly improve people's lives?
- **Know your audience**: Who needs to see these results and why? Do they prefer a specific online platform, publication or media outlet? What writing style and visuals will they find interesting and inspire them to share your results with others? Be specific about your target audience. Get to know their interests, preferences and media consumption habits and use

this knowledge to help you determine the main message, platform, format and timing of your communications.

- **Choose when to speak**: When will interest in the topic be highest? Is it possible to plan results communications to tie in with relevant launches, key dates, events, programme milestones or topics that are already in the media?
- **Be creative**: How can results be communicated in an engaging way? Why should someone read, watch or download this communications product? What story angles or formats could help draw a reader or viewer in and retain the information provided? The communications products will be competing with millions of others for attention. How can it stand out? What makes it memorable, useful or inspiring?

Identifying Communications Material

Sometimes, communications professionals work alongside programme colleagues. Where this is the case, it is important for communications people to have regular contact with programme colleagues to fully understand the programmes and to find out what is worth communicating. Programme staff are not necessarily aware of what makes a good story or communications product. Likewise, communications colleagues are often in the dark about what a programme is achieving or what creative solutions are being employed. That is why close communication is necessary to bridge the gap.

Good communications material can include (but is not limited to):

- Positive results, especially significant programme milestones that affect your target audience: Novel approaches, technologies or events, such as the launch of a new service or facility
- A human-interest profile of an inspiring person
- Events or announcements that involve a high-profile UNDP leader
- Programme elements that are linked to broader communications themes at UNDP
- Timely reactions to topics already in the media

Key Products

- **Blogs:** blogs enable UNDP personnel to showcase their knowledge, expertise and thought leadership to inspire thinking, action or behaviour change
- **Stories:** human-interest stories use narrative and personal experiences to create awareness and understanding of our issues and programmes and inspire readers to support our mission
- **Social media (including video):** social media helps us connect with followers and amplifies our key messages, blogs, stories, knowledge products, campaigns and learning opportunities
- **Knowledge products:** Short knowledge products offer insights and analysis that advance learning or understanding about an issue or practice among specialist audiences

Effective Storytelling

- ***Why is storytelling important?*** Storytelling is the art of conveying a message or information through a narrative or a series of events. It is an essential tool for communication because it allows people to connect emotionally with the information being conveyed, making it more memorable. For UNDP, storytelling helps create awareness and understanding of the complex issues the organization is addressing and inspires individuals, organizations and governments to support and act on our mission.

- *What is a compelling human-interest story?* This is a story with human beings at the centre of the narrative. It gives a personal perspective which the reader or viewer can relate to and describes a personal experience that illustrates the challenges faced, the actions taken and the impact of programmes on the ground. Meetings, workshops, conferences, launches, reports and statistics, do not, by themselves, make a compelling story. While statistics provide *information*, human-interest stories provide *insight* into how the programme works and what has been achieved.
- *What technical information is required?* It is important to provide the context, the factual background, and cover the basic questions of Who, What, Where, When, Why, and How. Try to answer these questions without using jargon. Who is at the centre of the story, what is their role, what is the project, what was the impact, why is it important, where is it taking place, who is benefitting, who are the partners, how was it implemented?
- *What is the story?* If it is not clear how the results can be developed into a story, try the issue/action/impact format. What is the issue the programme is responding to, what are the actions being taken to address it and what difference is it making to people's lives? A human element that demonstrates a person's experience of the issue, action or impact can make a story more compelling.

Storytelling Guidelines

- Use plain, non-technical language
- Confirm the basic facts of the story
- Describe the physical setting
- Describe the people involved, including their emotions where appropriate
- Get the name, age (if appropriate) and other relevant facts of the person being interviewed
- Include quotes from partners, implementers and programme users
- Include numbers (of people assisted, of facilities effected, of products procured, etc.)
- Give credit – name your partners and the Global Fund
- Take pictures (of people in action, of the clinic, of the local environment, of the person being interviewed, if appropriate)
- Ensure you have all necessary internal approvals before publishing

UNDP Editorial Style Manual UNDP Editorial Style Manual

UNAIDS Terminology Guidelines (English, Français, Español, Русский)

Photography and Video

Photographs and video can help engage viewers and illustrate complex topics in a simple and effective way. Confidentiality is particularly important when working with images. The guide to using UNDP's model release form below can help when dealing with issues of consent and is particularly important if you are photographing children and members of key populations. Confidentiality extends to everything featured in the image; care must also be taken not to show names on medicine bottles or medical reports. Medicine and product brands should also not be promoted.

The UNDP Asset Library is also available for your use and includes a selection of UNDP photographs from projects worldwide. You may search for photos by thematic area (such as health), region, country, or keywords. For example, if you're looking for images for "Day for the Eradication of Poverty," search for "poverty" or "SDG1." Click on the photo thumbnail to see the image, description, required credits, and other related photos.

UNDP Asset Library

UNDP Photography Guidelines

UNDP Video Guidelines

UNDP Model Release Guidelines

Social Media

Social media is an important component of UNDP's strategy and ecosystem for external communications. We use social platforms to support our key messages and campaigns and to promote local, regional and global stories, which are not always covered by mainstream media.

Social media is a good way to directly reach and interact with target audiences online. On social, we have an opportunity to share our messages in a humanistic tone of voice and make UNDP more relatable as an organization.

Information on UNDP Channels, how to get started and some basic dos and don'ts are all included in the UNDP social media guide below.

UNDP Social Media Guidelines

Branding

While UNDP encourages creativity in publication design, basic graphic standards help maintain a consistent corporate identity. The UNDP Brand Manual, incorporating logo use, can be found on the UNDP Brand Portal.

When communicating jointly, the Global Fund Identity Guide for Partners contains practical information about the organization's identity, placing of logos (including when UNDP logo appears in a publication with logos of partners or government institutions etc.), language and trademark to help partners in their campaigns, events and various forms of communications.

The use of the Global Fund name and logo is subject to the terms set forth in the Agreement to License Trademarks (and the 2016 amendment) between the Global Fund and UNDP, which incorporate the Global Fund Identity Guide for Partners and must conform to certain specifications, explained under the **Logos and Other Markings** section of this Manual.

Please be aware when using other brands that those organizations may have their own guidelines. See below for a link to the Global Fund identity guide for partners. Always check with the communication focal points for organizations when using their branding and gain necessary approvals.

UNDP Brand Portal

Global Fund Identity Guide for Partners

Crisis Communications

Crises strike both inside and outside the organization. Whether conflict, disaster, or scandal, we must be prepared to immediately reach out to our internal and external constituencies. Crisis communications strategies must have a clear focal point who will manage the internal sharing of information amongst relevant colleagues. Senior management and your relevant communications focal points must be kept informed.

It is important to think about how you are going to respond to a crisis before that crisis happens. That means that it is important to identify areas of risk in your work, or issues that are potentially combustible. If you have a clear crisis plan in place, it will be much easier to respond swiftly and effectively when crisis occurs.

The following is a list of actions to consider for crisis communication related to reputational risks in a Country Office.

Note: The recommendations below do not address media and communications in countries experiencing conflict, insecurity and disasters, which are guided by UNDP's *__SOP for Crisis Response and Recovery__*.

Before a crisis

- Review your crisis communication plan, which should include:
    - An overview of the programme and plan objectives
    - A designated crisis team, including trained spokespeople
    - Defined lines of authority for review, clearance, publishing and media response
    - Internal and external audience analysis
    - Risk assessment and crisis scenarios
    - Potential tough questions and concerns
    - Potential response strategies and key communications channels
    - Product templates (press release, statements, FAQ, factsheets etc)
    - Draft messages
    - Processes for updating the plan
    - Evaluation plan
- Continuously monitor media and social media for reporting related to your risk areas and mentions of UNDP in your country
- Assess the risks of negative media coverage or social media commentary and determine a response strategy. Not all negative coverage is a crisis. But be prepared to respond to media requests, allegations of serious wrongdoing, damaging misinformation or if negative coverage begins to snowball.

Immediate response

- Alert Country Office senior management, GFPHST, Regional Bureau communications and other relevant stakeholders
- Respond to the journalist with a holding line ("Thank you for your inquiry…"). Confirm their deadline
- Gather the facts and see which facts you can share to express UNDP's position
- Draft a response statement
    - Stick to the facts

- Include details on any forthcoming investigation and how UNDP is responding to the crisis, as relevant
- Keep it concise and jargon-free
- Response does not necessarily need to address all questions asked. Rather than answering each question, send one statement
- Review and clear
- Alert stakeholders
- Meet the journalist's deadline. "No comment" is not an option because it makes it look like you are withholding information

Medium/longer term response

- Check published story for factual accuracy. Only factual errors can be corrected
- Monitor social media and pick up by other media outlets. If a story is picked up or you start receiving multiple requests from media, consider publishing a full statement on your website
- Draft Q&A and 'if-asked' language
- Consider internal communications to UNDP personnel
- Consider positive communications products to counter negative narrative (e.g. web stories, factsheets, social media content)
- Consider review of policies/procedures

UNDP Crisis Communications Checklist

UNDP Crisis Communications Strategy

Resources

- **UNDP Editorial Style Manual**
- **UNDP Photography Guidelines UNDP Photography Guidelines**
- **UNDP Video Guidelines**
- **UNDP Model Release Guidelines**
- **UNDP Asset Library**
- **UNDP Social Media Guidelines**
- **UNDP Brand Portal**
- **Global Fund Identity Guide for Partners**
- **UNDP Crisis Communications Checklist**
- **UNDP Crisis Communications Strategy**
- **UNAIDS Terminology Guidelines (English)**
- **UNAIDS Terminology Guidelines (Français)**
- **UNAIDS Terminology Guidelines (Español)**
- **UNAIDS Terminology Guidelines (Русский)**