

HIV/AIDS Monitor: Guide to the Data

Analyzed in *The Numbers Behind The Stories*

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The data here are drawn from the Country Operational Plan and Reporting System (COPRS), an accounting and program monitoring system maintained by the Office of the U.S. Global AIDS Coordinator. The dataset includes amounts obligated to prime recipients and subgranted to subrecipients, with information on recipient type (government, nongovernmental, faith-based, private for-profit), funding year (year of appropriations), year of obligation, and program area (treatment services, blood safety, or the like) for each recipient, except that obligations to subrecipients do not include information about program area.

The dataset was originally obtained from the State Department by the Center for Public Integrity through several Freedom of Information Act requests and a lawsuit against the U.S. Government, settled out of court.¹ Noticing some errors in the dataset, the Center for Public Integrity was hesitant to release it publicly, but generously agreed to share it with the authors of this report.

After investigating the possible causes of errors (see "data limitations" below), the Center for Global Development was satisfied that the overall quality of the dataset had not been compromised. Individual errors in the data were not significant enough to influence the overall funding patterns described and analyzed in this report.

The dataset being released in conjunction with this report builds on the Center for Public Integrity data in three ways. First, the majority of prime recipients and subrecipients have been classified as either "local" or "international," based on whether their headquarters are in the host country or abroad.² These classifications were made through research by Center for Global Development staff and consultations with in-country experts.

Second, data on centrally awarded, or Track 1, funding have been added.³ The centrally awarded funding figures for 2004 and 2005 come from data previously published by the Center for Public Integrity, which had obtained them from the State Department.⁴ Using those data, the authors of this report estimated centrally awarded funding figures for 2006 based on past funding trends and the amounts allocated to each focus country for 2006.⁵

Finally, the authors used the program areas listed in COPRS to deduce classifications by PEPFAR strategic area. Users can now search for funds going to prevention, treatment, care, and other costs.

1. Data limitations

The dataset has several limitations. First, it contains data on obligations (commitments), not outlays (expenditures). So, it shows how much was available to recipients to implement programs—but not how much money was actually spent.

Second, because of time lags in the appropriations process, the data do not necessarily reflect the total amount obligated to each recipient using 2006 funds. A significant part of PEPFAR money appropriated in a given year is not obligated until the following year—sometimes even later. Because the dataset continues only through 2006, the authors lack data on funds appropriated by Congress in 2006 but obligated by PEPFAR in 2007. The data therefore underestimate total obligations made using money appropriated in 2006. Because some funds are not obligated until two or more years after the appropriation year, the dataset also misses some obligations of funds appropriated in 2004 and 2005. The amount of such delayed obligations is very small, however, compared with the amount that is obligated in the appropriation year and the year following it.⁶

Third, since information on funding by program area is available only for prime recipients, it is not always possible to know exactly how much subrecipients plan to spend in particular program areas (though educated guesses can be made from the data listed for prime recipients).⁷ It is principally for this reason that parts of the analysis are focused exclusively on funding to prime recipient organizations, without including sub-recipient organizations.

Fourth, although PEPFAR requires prime recipients to report on all of their subrecipients, several former PEPFAR officials shared their belief that some prime recipients do not always do so. Since it is unclear whether prime recipients have reported comprehensively on all subrecipients, some subrecipients may not be listed in the dataset.

Fifth, three data fields are unavailable for centrally awarded (Track 1) funds: Obligation Year, MechID, and OrgID (see annex 2 for details on each data field). To remedy this, the Center for Global Development is working to include OrgIDs for Track 1 funds in future versions of the database. For this report the authors assume that Track 1 funds were obligated in the year they were appropriated.

Sixth, the dataset is limited to obligations to the 15 focus countries. These countries collectively receive the vast majority of PEPFAR funding. But according to the U.S. Global AIDS Coordinator, more than 100 other countries benefit from the PEPFAR program, together receiving roughly 12% of PEPFAR funds.⁸

2. Data errors

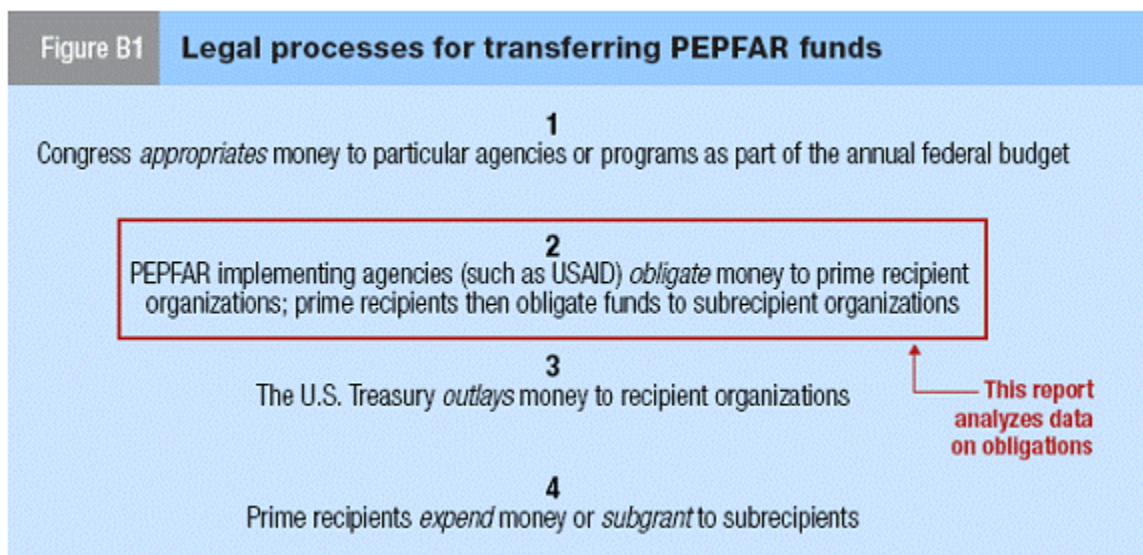
The data contain some easily detected errors. For example, some recipients have been classified under the wrong organization type. In one instance the UN Development Programme in Vietnam was classified as a nongovernmental organization rather than a multilateral agency. Such misclassifications, probably reflecting simple human error, seem to have occurred only in a small number of cases.

Another problem, originally pointed out by the Center for Public Integrity, is that subrecipients occasionally are listed as having been subgranted more money under an individual grant than was obligated to their respective prime recipients. For example, in 2005 in Nigeria, the dataset shows that John Snow International, a prime recipient, was obligated \$490,000 under a particular grant, while its subrecipients are listed as receiving \$1,515,682 under the same grant. Such errors seem to have occurred in only a small number of cases, representing roughly 3% of the grants in the dataset.⁹ They may arise partly from simple human error—and other explanations are possible. Prime recipients may be covering the immediate costs of subgranting by "borrowing" funds from other grants. Or prime recipients may be subgranting before they are obligated the full value of a particular grant, in the expectation that they will receive the remainder in future years.

Whatever the cause of each error identified, the authors of this report deem the dataset's overall quality and reliability high enough to allow for useful, in-depth analysis of funds obligated to the focus countries. The authors have not attempted to correct any possible dataset errors. Instead they have denoted the places where errors might exist by adding a column to the dataset in Microsoft Excel. The authors encourage people familiar with grants identified as having "possibly erroneous" figures to contact them with information that might clarify the figures. The dataset will be updated to reflect any new information.

3. Using the data

To understand the data one must have a basic knowledge of key steps in the PEPFAR budget process (figure B1). To begin that process PEPFAR submits an annual budget request to Congress for the next fiscal year. After Congress approves a funding amount, the Office of the U.S. Global AIDS Coordinator finalizes its annual budget for country-managed funds as well as centrally managed funds. (Country-managed funding is money distributed from U.S. Government in-country field offices to prime recipient organizations to operate programs in PEPFAR countries. Centrally managed, or Track 1, funding is money granted to prime recipient organizations directly from the Office of the U.S. Global AIDS Coordinator in Washington.)



After a PEPFAR fiscal year budget is finalized, the money must be obligated to PEPFAR recipients. This may or may not occur in the year a grant is approved. An "obligation" is defined as money available to a recipient organization either for withdrawal in advance of project expenditures (in a grant or cooperative agreement) or as reimbursement for expenditures within 30 days of submitting an invoice (in a contract). PEPFAR obligations are technically legal commitments to pay now or in the future. But because the funds are made available for use by prime recipients as soon as they are needed, the obligations are in practice less like commitments than like disbursements from other funding agencies.

This database provides information on PEPFAR obligations for funding approved in fiscal years 2004, 2005, and 2006 and obligated in fiscal years 2004, 2005 or 2006.

The database has several fields that allow users to analyze the data along several dimensions. The table below defines and describes each data field.

Data field	Description
Funding Year	USG fiscal year when funding was approved by the U.S. Congress. The U.S. Government fiscal year runs from October 1 to September 30.
Obligation year¹⁰	Year when funding was actually obligated. Usually the same as the funding year, because most funding is obligated in the year when it is authorized by the U.S. Congress. But sometimes funding from a funding year is not obligated to partners until later fiscal years.
Funding source	PEPFAR funding is obligated by either the field teams (<i>country funds</i>) or the Washington-based PEPFAR team (<i>central funds</i>). <i>Central Funds</i> are synonymous with <i>Track 1 Funds</i> . PEPFAR differentiates between these two sources in most or all of its documentation.
Country name	Country receiving a PEPFAR funding obligation.
MechID¹¹	Unique ID given to a particular grant mechanism in the PEPFAR COPRS database. The MechID denotes a single grant to a prime partner and any subgrants associated with it.
OrgID¹²	Unique ID given to a particular Prime or Sub Partner.
Prime partner name	Name of the Prime Partner for associated with the grant mechanism.
Recipient name	Name of the obligation recipient. If the Prime Partner is the final recipient, the Prime Partner Name and Recipient Name will be the same for a particular obligation. If the obligation is to a Sub Partner, the Recipient Name will be the name of the Sub Partner.
Partner origin	Origin of the final obligation recipient (Domestic or International). CGD has researched the origin of partners that were obligated funds in 2005 as well as some that were obligated funds in 2004 and 2006.

Partner type	Category of the partner receiving the obligation (such as NGO, university, FBO, or private contractor).
PrimeOrSub	Method by which said partner receives the obligation (Prime=directly from a USG agency or Sub=via subgrant from a Prime Partner that received the funding from a USG agency).
Obligated amount	Amount of funding obligated to the recipient organization.
Net obligation	Amount of funding obligated to the recipient organization for a particular funding year net of subgrants for that year. These values have no relation to a program area.
Strategic area¹³	The PEPFAR Strategic Area (Prevention, Care, Treatment or Other) under which our obligation falls.
Program area	Program area that the obligation targets (one of 15 PEPFAR program areas).
MechID with errors?	This field denotes possible errors that CGD has identified in the data, such as grant mechanisms where the amount obligated to subpartners exceeds the amount obligated to the prime partners under this mechanism. Annex 1 on data and methods elaborates on these possible errors.

The issues discussed in this report are just a few of those that can be explored using the data, which can be cut in many other ways to clarify how PEPFAR money is allocated in its focus countries. Given the multiplicity of fields, investigators can sort the data by any combination of country, funding year, obligation year, recipient organization, organization type, program area, or individual grants. One can also sort by geographic location (international versus domestic organizations) and by individual recipient. For example, one could filter the data to see how much money was obligated to FBOs in Uganda in 2005 or to locally based NGOs in Haiti in 2006. One can see how much money has been obligated to John Snow International for antiretroviral treatment, or compare the amount of funds obligated to Zambia in 2006 for treatment with the amount obligated for prevention. We hope that examining the data in these and other ways will prove useful to various audiences including researchers, donors, funding recipients, and advocacy groups.

¹ See Bengtsson and Morera (2006).

² Almost all organizations that received funds in fiscal 2004 through 2006 were classified by geographic origin. For a few countries, however, classifications were made only for recipients and subrecipients receiving funds appropriated in 2005 (the year of most of the data examined for this report).

³ Centrally managed (Track 1) funding is granted directly from the Office of the U.S. Global AIDS Coordinator in Washington to organizations to implement programs in a country. These funds are different than country-managed funding, which is granted to recipient organizations through the field offices of PEPFAR-implementing agencies in the host country. The great majority of PEPFAR funds are country-managed.

⁵ This dataset can be downloaded from Bengtsson and Morera (2006).

⁵ The authors estimated the total amount obligated to each focus country for 2006 by taking the average ratio between obligations and allocations for 2004 and 2005, then multiplying this ratio by the 2006 allocation figures for each country. Using this estimated obligation amount for 2006 they calculated the percentage increase in total obligations to each country between 2005 and 2006. Finally, they applied the percentage increase for each country to calculate the total estimated amount obligated to each individual Track 1 funding recipient for 2006.

⁶ The percentage of money appropriated in 2004 and 2005 and obligated in 2007 or later would be very small because almost all funding appropriated in one year is obligated by the conclusion of the subsequent year. For example, data obtained by the HIV/AIDS Monitor from PEPFAR shows that 99% of 2004 funds were obligated by the end of 2005.

⁷ This limitation applies to scenarios in which a prime recipient has been funded for multiple program areas. For example, Catholic Relief Services received funding in 2005 for programs that would provide palliative care and support for orphans and vulnerable children in Ethiopia. We cannot disaggregate the funding provided by Catholic Relief Services to its subrecipients by these two program areas.

⁸ Dybul (2007).

⁹ In a dataset containing information about more than 2,600 grants over three years, the authors found just 76 errors of this type.

¹⁰ Not available for Track 1 grants. This report assumes that the obligations to Track 1 partners are made in the year when funds are appropriated.

¹¹ Not available for Track 1 grants.

¹² Track 1 funds in the database are not tagged with an OrgID. CGD is working to include OrgIDs for Track 1 grants in the future.

¹³ Program area and strategic area are available only for grants to prime partners. The database does not have this information on subpartners.