

# Operational Procedures

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## Make, Approve and Sign Grants

**Approved on:** 13 March 2023  
**Approved by:** Executive Grant Management Committee  
**Process Owner:** Grant Portfolio Solutions and Support Department  
**Associated OPN:** OPN on Make, Approve and Sign Grants

### Process Metrics for Make, Approve and Sign Grants

Principal Recipients and Country Teams are expected to meet the following metrics:

- Grants are submitted to the Grant Approvals Committee within six months from the relevant Funding Request submission to the Technical Review Panel.
- The Grant Confirmation is signed by the Global Fund at least one month before the Implementation Period start date.

## Purpose and Overview

These Operational Procedures provide guidance on procedural steps during grant-making and apply to grants financed during the 2023-2025 allocation period (Grant Cycle 7) and onwards<sup>1</sup>. The requirements for specific grant deliverables set out in these procedures do not apply to Focused portfolios, unless explicitly stated (see also Annex 2 of the Operational Policy Note on [Make, Approve and Sign Grants](#)).

Whereas the Operational Policy Note on [Make, Approve and Sign Grants](#) includes a dedicated section for multicountry grants, the specific considerations for multicountry grants within this Operational Procedures are contained within each grant-making phase, as relevant.

A list of acronyms can be found in Annex 1 of this document.

An overview of these Operational Procedures' content is given in the table below. Press "Ctrl + click" on the links to go to the relevant phase or sub-process.

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<sup>1</sup> Refer to the Operational Procedures on Make, Approve and Sign Grants for grants financed during the 2020-2022 allocation period.



Plan	Negotiate		Approve	Sign
Agree on Deliverables & Timelines	Request for GAC Steer or Decision	Identify Residual Risks and Mitigating Actions	Submit for GAC Recommendation	Sign Grant Confirmation
Complete Capacity Assessment (If applicable)	Finalize Grant Documents	Agree on Audit Arrangements	Request Global Fund Board Approval	 <b>Get Ready</b>
Confirm Resourcing	Address TRP	Ensure Implementation Readiness		Process First Annual Funding Decision (AFD) and Disbursement
Complete Grant Entity Data	Agree on Co-financing Commitments	Apply for Advance Payment (if applicable)		 <b>Implementation</b>
Continue Country Dialogue				Confirm Implementation Readiness
Annex 1: Acronyms				

Figure 2: Dynamic Table of Content

## A. Plan

During the funding request stage, the CCM, PRs and CT jointly plan the funding request and grant-making stages in an integrated manner. At the start of grant-making, the CCM (including Civil Society), PRs, CT, and LFA update the plan and timelines to complete grant-making deliverables based on the TRP recommended funding request.

### A.1. Agree on Deliverables & Timelines

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Updated integrated funding request and grant-making project plan<sup>2</sup></b> capturing: <ul style="list-style-type: none"> <li>key milestones and deadlines (GAC steer, GAC recommendation, Board approval, grant signing). This includes timelines for:</li> <li>all grant-making deliverables.</li> </ul>		BP	After final submission of the funding request to the TRP	Prepared by: PR in consultation with and agreed jointly by: CT, LFA, CCM.  Approved by: FPM (and DFM, if applicable)

<sup>2</sup> Strongly recommended.

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<ul style="list-style-type: none"> <li>• activities required to ensure implementation readiness.</li> <li>• inputs required from in-country stakeholders, LFA, and other Global Fund Secretariat teams (including specialists to drive the inclusion of priorities for step change).</li> </ul>				

\* R = Required; BP = Best Practice

## A.2. Complete Capacity Assessment (If applicable)

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Completed capacity assessment</b>	If applicable		Initiated at funding request stage as soon as CT is informed of the nominated PR; completed prior to the receipt of TRP recommendations. In exceptional cases, where a capacity assessment requires more time, this must be completed as soon as possible during grant-making.	See OP on Risk Management (forthcoming) and <a href="#">OP on Design and Review Funding Requests</a>

\* R = Required; BP = Best Practice

### A.3. Confirm Resourcing

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Defined PR human resources requirement for grant-making</b>	R		At funding request stage; during planning for grant-making	Prepared by: PR Reviewed by: FPM (and DFM, if applicable), with inputs from other CT members
<b>For continuing PRs:</b> Approved reinvestment of savings under current IP to finance additional PR human resources if needed	If applicable		At funding request stage; during planning for grant-making	see <a href="#">OPN on Grant Revision</a>
<b>For new PRs:</b> Approved advance payment to support grant-making if needed	If applicable		At funding request stage; during planning for grant-making	See Section on Advance Payment

\* R = Required; BP = Best Practice

#### A.4. Complete Grant Entity Data

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
Grant Entity Data completed, validated, and selected.		R	<p>Initiated at funding request stage. Due as soon as possible after TRP submission:</p> <ul style="list-style-type: none"> <li>• PR, CCM and LFA organization information</li> <li>• PR and/or third-party banking information</li> <li>• PR and LFA contacts with grant deliverables access rights (editor or submitter) for the Global Fund Partner Portal</li> </ul> <p>Due prior to Pre-GAC review and submission to GAC:</p> <ul style="list-style-type: none"> <li>• PR, and CCM authorized signatories</li> <li>• PR and LFA organization representative information for notices</li> </ul>	<p>See <a href="#">OPN</a> and <a href="#">OP on Grant Entity Data</a></p> <p><a href="#">GED is processed through the Global Fund Partner Portal</a></p>

\* R = Required; BP = Best Practice

## A.5. Continue Country Dialogue

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<p><b>Two meetings held</b> by the CCM for the PR to brief and receive feedback, including from community and civil society representatives, on (i) key elements of the grant, (ii) insights on the funding priorities of civil society and communities submitted as inputs to grant-making<sup>3</sup>, and (iii) plans for CBO/CLO involvement in grant implementation.</p>	R	BP	During grant-making	<p>Convened by: CCM            Attended by:</p> <ul style="list-style-type: none"> <li>• CCM (including Community and civil society representatives)</li> <li>• PR (or Lead Implementer, if applicable)</li> </ul> <p>CCM shares meeting minutes with the CT</p>
<p><b>One meeting held</b> by the CT to brief and receive feedback from community and civil society representatives.</p>	BP		During grant-making, ideally during the CT grant-making mission.	<p>Convened by: CT            Attended by:</p> <ul style="list-style-type: none"> <li>• CT</li> <li>• Community and civil society representatives</li> </ul>

\* R = Required; BP = Best Practice

<sup>3</sup> As described in the Funding Request annex Funding Priorities of Civil Society and Communities Affected by the Three Diseases.

## B. Negotiate

The negotiate phase starts when the funding request has been recommended by the TRP to proceed to grant-making.

### B.1. Request for GAC Steer or Decision

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
GAC steer	If Applicable		Throughout the funding request and grant-making stages.	Initiated by: CT or GAC Secretariat Guidance provided by: GAC

\* R = Required; BP = Best Practice

### B.2. Finalize Grant Documents

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
Proactive engagement throughout the grant-making process to ensure relevant Global Fund strategy elements are captured into quality grant design for impact <sup>4</sup>	If Applicable		Throughout grant-making	Prepared by: <ul style="list-style-type: none"> <li>• SIID</li> <li>• PMRD</li> <li>• Ethics</li> </ul>
Performance Framework Resources: <a href="#">Modular Framework Handbook</a> <i>Guidance for Developing and Reviewing Performance Frameworks</i>	R	R <sup>5</sup>	Initiated at funding request stage; pre-requisite for Pre-GAC review and submission to GAC (attachment to the Grant Confirmation).	Prepared by: PR and submitted via the Partner Portal Reviewed by: <ul style="list-style-type: none"> <li>• LFA, if required</li> <li>• PHME Specialist (in consultation with other teams if necessary) verifies that the Performance Framework: <ul style="list-style-type: none"> <li>○ has appropriate indicators with required disaggregation categories<sup>6</sup>;</li> </ul> </li> </ul>

<sup>4</sup> The level of engagement provided by one or more technical teams is dependent on the institutional priority (e.g., priorities for step change, pandemic preparedness, program essentials, gender equality, community engagement, PSEAH, etc), portfolio differentiation, and the resource distribution of the responsible technical teams.

<sup>5</sup> Focused Portfolio Management Models follow differentiated instructions (see Guidelines for Developing and Reviewing Performance Frameworks). For the Aligned model: 1–2-line Performance Framework to be submitted by the CT only to import in GOS objectives and annual disbursement amounts, but not as part of the signed Grant Confirmation.

<sup>6</sup> The core set of indicators and required disaggregation categories are provided in the [Modular Framework Handbook](#). Guidelines for indicator selection and prioritization are available here.

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				<ul style="list-style-type: none"> <li>○ is aligned with the TRP-recommended funding request;</li> <li>○ includes indicators that measure progress on the priorities for step change; and</li> <li>○ the negotiated targets are aligned to the funding available for the National Strategic Plan<sup>7</sup>.</li> </ul> Quality Assurance <sup>8</sup> by: PMD Approved by: FPM (and DFM, if applicable), after reviewing overall completeness and quality.
<b>Detailed and Summary Budget</b> <b>Resources:</b> <a href="#">Instructions for Completing the Detailed Budget Template Guidelines for Grant Budgeting</a>	R	R <sup>9</sup>	Initiated at funding request; finalization pre-requisite for Pre-GAC review and submission to GAC.	Prepared by: PR and submitted via the Partner Portal Reviewed by: <ul style="list-style-type: none"> <li>• LFA, if required</li> <li>• For HI &amp; Core portfolios, Finance Specialist (in consultation with other teams if necessary) verifies that the Detailed and Summary Budgets are aligned with the Performance Framework, and the HPMT. Verification is</li> </ul>

<sup>7</sup> In cases where NSP is outdated any other target that is agreed among the in-country stakeholders could be used.

<sup>8</sup> Quality assurance of the Performance Frameworks: all Performance Frameworks must undergo an in-depth review at grant-making using the Performance Framework Quality assurance approach and checklist.

<sup>9</sup> Focused Portfolio Management Models follow differentiated instructions (see [Guidelines for Grant Budgeting](#)). For Aligned models: 1–2-line Budget files to be submitted by the CT only to import in GOS objectives and annual disbursement amounts, but not as part of the signed Grant Confirmation.



Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				<p>based on a high-level analysis of the Summary Budget, and on a reconciliation of the total amount in the HPMT.</p> <ul style="list-style-type: none"> <li>• For Focused portfolios, PST Specialist reviews based on the LFA review and on the list of budget triggers completed by the PR/LFA.</li> </ul> <p>Approved by: FPM (and DFM, if applicable), after reviewing overall completeness, alignment, and quality.</p>

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Health Product Management Template</b> <u>Resources:</u> <a href="#">Instructions on the HPMT</a>	R	Not Required	Initiated at funding request, finalization pre-requisite for Pre-GAC review and submission to GAC.	Prepared by: PR and submitted via the Partner Portal. Reviewed by: <ul style="list-style-type: none"> <li>• LFA, if required</li> <li>• HPM Specialist (in consultation with other teams if necessary) verifies that:               <ul style="list-style-type: none"> <li>○ the HPM arrangements are appropriate to the context and the PR capacity; and</li> <li>○ the HPMT and its associated budget are aligned with the performance Framework and the Detailed Budget.</li> </ul> </li> </ul> Approved by: FPM (and DFM, if applicable), after reviewing overall completeness, alignment, and quality.
<b>List of Program Assets to be transferred from the current to the next IP</b>	R	R <sup>10</sup>	For IP reconciliation and grant consolidation cases: submitted by the PR at the same time as the Detailed and Summary Budget. For change of PR cases: submitted by the outgoing PR no later than 3 months prior to current IP end date.	The List of Program Assets is used as input to the review of the Budget and HPMT during grant-making. The verification, finalization and transfer of the program assets is undertaken as part of the IP reconciliation and closure process to

<sup>10</sup> Light and Legacy: required.

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				be completed within 6 months from IP end date of the previous IP (see <a href="#">Operational Procedures on IP Reconciliation and Grant Closure</a> )
<b>New or Updated Implementation Arrangements Map</b> Resources: <a href="#">Instructions on Implementation Arrangement Mapping</a>	R	R <sup>11</sup>	Initiated at funding request, finalization pre-requisite for Pre-GAC review and submission to GAC. The Implementation Arrangements Map is updated as the grant design is being completed and Sub-recipients (SRs) are selected.	Prepared by: PR and submitted via the Partner Portal Reviewed by: <ul style="list-style-type: none"> <li>• LFA, if required.</li> <li>• Finance or PST Specialist (Focused) reviews clarity and accuracy of fund flows.</li> <li>• PHME Specialist (in consultation with other teams if necessary) reviews clarity and accuracy of information flows.</li> <li>• HPM Specialist (in consultation with other teams if necessary) reviews clarity and completeness of health products flows.</li> </ul> Approved by: FPM (and DFM, if applicable), after reviewing overall completeness, alignment, and quality.

<sup>11</sup> Light and Legacy: required. Targeted: required for the input-based components

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<p><b>Updated Programmatic Gap Table(s)</b> (if applicable) Not required for multicountry grants financed under Catalytic Investments – Multicountry Modality</p>	R	R <sup>12</sup>	Initiated at funding request; finalization pre-requisite for Pre-GAC review and submission to GAC.	<p>Prepared by: PR and submitted via the Partner Portal Reviewed by:</p> <ul style="list-style-type: none"> <li>• LFA, if required.</li> <li>• PHME Specialist verifies that the programmatic gap table(s) is (are) updated to capture targets covered by the grant.</li> </ul> <p>Approved by: FPM (and DFM, if applicable), after reviewing overall completeness, alignment, and quality.</p>
<p><b>Updated Funding Landscape Table</b> (if applicable) Not required for multicountry grants financed under Catalytic Investments – Multicountry Modality</p>	R		Initiated at funding request; finalization pre-requisite for Pre-GAC review and submission to GAC.	<p>Prepared by: PR and submitted via the Partner Portal Reviewed by:</p> <ul style="list-style-type: none"> <li>• LFA, if required.</li> <li>• Finance or PST Specialist (Focused) verifies that the funding landscape table is updated to capture financing available through the grant.</li> </ul> <p>Approved by: FPM (and DFM, if applicable), after reviewing overall completeness, alignment, and quality.</p>
<p><b>Updated Monitoring and Evaluation Plan</b> (if applicable)</p>	R		Initiated during grant negotiation phase; finalization prior to grant signing.	<p>Prepared by: PR and submitted via the Partner Portal Reviewed by:</p>

<sup>12</sup> Targeted, Light, and Legacy: required. Aligned: required only for areas in which the Global Fund is investing

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				<ul style="list-style-type: none"> <li>PHME Specialist (in consultation with other teams if necessary) checks that grant indicators and targets are captured in the M&amp;E plan for monitoring and reporting purposes.</li> <li>LFA, if required</li> </ul> Approved by: FPM (and DFM, if applicable), after reviewing overall completeness and quality.
<b>Captured reinvestments of efficiencies in the UQD Register</b> <ul style="list-style-type: none"> <li>in the UQD Register module in GOS</li> </ul> <u>Resources:</u> <i>PAAR and UQD User Guidance</i>	R		Finalization pre-requisite for Pre-GAC review and submission to GAC.	See <a href="#">OP on Design and Review Funding Requests</a>
<b>Draft Grant Confirmation finalized prior to sharing with PR &amp; CCM</b> <ul style="list-style-type: none"> <li>including Integrated Grant Description</li> </ul> Grant Confirmation to be submitted to GAC must contain grant purchase order number and recommended funding amount	R		Prior to Pre-GAC review and submission to GAC.	Prepared by: Legal Counsel, based on inputs from other CT members (programmatic description, grant requirements) and ensures that the Grant Confirmation is accurate, clear, legally enforceable, and consistent with Board and Secretariat policies. Reviewed by: <ul style="list-style-type: none"> <li>FPM (and DFM, if applicable), Finance or PST Specialist (Focused), PHME, HPM Specialist</li> </ul> review accuracy of

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				<p>content pertinent to their areas of responsibilities.</p> <ul style="list-style-type: none"> <li>• PR confirms that the draft Grant Confirmation reflects agreement.</li> </ul> <p>Approved by: FPM after reviewing overall completeness, alignment and quality and following finalization by Legal Counsel</p>
<p><b>Grant-making Final Review Form</b>  <u>Resources:</u>  <i>Grant-making Final Review Form Instructions</i></p>	R	R <sup>13</sup>	Pre-requisite for Pre-GAC review and submission to GAC.	<p>Prepared by:</p> <ul style="list-style-type: none"> <li>• PO or FPM/FPA (Focused) capture the outcome of grant-making in the review form.</li> <li>• HF Specialist provides inputs to the CT that can be used to support the section on Co-financing, Sustainability and Transition. (See <a href="#">OPN on Co-financing</a>)</li> <li>• Finance Specialist or FPM/PO (Focused) prepare section on Reinvestment of Efficiencies Identified During Grant-making.</li> </ul> <p>Reviewed by:</p> <ul style="list-style-type: none"> <li>• Finance or PST Specialist (Focused), PHME, HPM Specialist and Legal Counsel</li> </ul>

<sup>13</sup> Aligned: required to complete a tailored Grant-making Final Review Form

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				ensure that the review form accurately reflects the outcome of grant-making in their respective areas of responsibilities. Approved by: FPM (and DFM, if applicable) reviews inputs and finalizes based on the above
<b>Grant Signing Calculator (including Grant Exception and Escalation Form) approved</b>		R	After Detailed Budget is submitted and approved Pre-requisite for Pre-GAC review and submission to GAC.	Prepared by: Finance or PST Specialist (Focused) Approved by: GFM confirms completeness and accuracy of financial information
<b>Grant purchase order created</b>		R	After Grant Signing Calculator is approved Pre-requisite for Pre-GAC review and submission to GAC.	Prepared by: Finance or PST Specialist (Focused)

\* R = Required; BP = Best Practice

### B.3. Address TRP Issues

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<p><b>TRP Issues due at grant-making addressed</b></p> <p><u>Resources:</u>  <i>TRP Review Form</i>  <i>Applicant Response Form</i></p>	R		<p>Initiated immediately after receiving TRP recommendation. Pre-requisite for Pre-GAC review and submission to GAC.</p>	<p>See <a href="#">OP on Design and Review Funding Requests</a></p>

\* R = Required; BP = Best Practice

### B.4. Agree on Co-financing Commitments

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<p><b>Co-financing commitments agreed, finalized, and captured in the Grant-making Final Review Form</b></p> <p><u>Resources:</u>  <a href="#">OPN on Co-financing</a></p>	R		<p>Initiated during the funding request stage; Pre-requisite for Pre-GAC review and submission to GAC.</p>	<p>See <a href="#">OPN on Co-financing</a></p>

\* R = Required; BP = Best Practice

### B.5. Identify Residual Risks and Mitigating Actions

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<p><b>Residual risks and mitigating actions defined and captured in the Integrated Risk Management module, including rating of all risks</b></p> <p><b>Key residual risks and mitigating actions captured in Annex 4 of the Grant-making Final Review Form</b></p> <p><u>Resources:</u>  <i>Risk OP (forthcoming)</i></p>	R	Not Required	<p>Completion pre-requisite for finalization of Grant-making Final Review Form, Pre-GAC review, and submission to GAC.</p>	<p>Prepared by: PO or FPM/FPA (Focused)</p> <p>Reviewed by:</p> <ul style="list-style-type: none"> <li>Finance Specialist validates that finance-related residual risks and mitigating actions have been identified and prioritized.</li> <li>PST Specialist (Focused) validates only major finance-related residual risks and mitigation actions.</li> </ul>



Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				<ul style="list-style-type: none"> <li>• PHME Specialist (in consultation with other teams if necessary) validates that M&amp;E and programmatic related residual risks and mitigating actions have been identified and prioritized.</li> <li>• HPM Specialist (in consultation with other teams if necessary) validates that sourcing operations (including in-country supply chain) related residual risks and mitigating actions have been identified and prioritized.</li> <li>• FPM (and DFM, if applicable) validates that governance and health-financing related residual risks and mitigating actions have been identified and prioritized.</li> </ul> <p>Approved by: FPM (and DFM, if applicable) validates overall prioritization of residual risks and mitigating actions based on the above.</p>

\* R = Required; BP = Best Practice

## B.6. Agree on Audit Arrangements

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Scope and approach of Audit for the Grant Defined and Agreed</b> <b>Resources:</b> <a href="#">Guidelines for Annual Audit of Global Fund Grants</a>	R		Completion prior to grant signing	Prepared by: Finance or PST Specialist (Focused) Reviewed and Approved by: GFM, based on the above

\* R = Required; BP = Best Practice

## B.7. Ensure Implementation Readiness

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Selection and contracting of PR human resources</b>				
<b>Approved ToRs for PR human resources</b>	R	BP <sup>14</sup>	Development & completion as early as possible during grant-making	Approved by: PR Completion reported by: PR and validated by CT
<b>Selected and contracted PR human resources</b>	R	BP <sup>14</sup>	Selection as early as possible during grant-making; Contracting after Global Fund Board approval of the grant <sup>15</sup> Completion prior to IP start date	Approved by: PR Reviewed by: LFA, if required Completion reported by: PR and validated by CT
<b>Selection and contracting of SRs</b>				
<b>Approved ToRs of SRs, and Request for Proposals if required</b>	R	BP <sup>14</sup>	Development & completion as early as possible during grant-making	Approved by: PR Completion reported by: PR and validated by CT

<sup>14</sup> Light and Legacy: best practice. Targeted: best practice for input-based components

<sup>15</sup> Alternatively, the PR can assess if contracts could be signed earlier with adequate conditionality pending Global Fund Board approval of the grant and where this is consistent with local laws and the PR's own internal procedures.

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Selected and contracted SRs</b>	R	BP <sup>14</sup>	Selection as early as possible during grant-making; Contracting after Global Fund Board approval of the grant <sup>16</sup> ; Completion prior to IP start date	Approved by: PR Reviewed by: LFA, if required Completion reported by: PR and validated by CT PR will capture selected SRs with full legal names in the Implementation Arrangements Map and in the Detailed and Summary Budget prior to signing the grant confirmation.
<b>Selection and contracting of Suppliers of health products and critical services for year one</b>				
<b>For procurement using PR processes:</b>  <b>Selected and contracted Suppliers</b>	R	BP <sup>14</sup>	Selection as early as possible during grant-making; Contracting after Global Fund Board approval of the grant <sup>16</sup> ; Completion prior to IP start date	Approved by: PR Reviewed by; LFA, if required Completion reported by: PR and validated by CT
<b>For procurement using PPM:</b>  <b>Approved PPM purchase requisition</b>	R	BP <sup>14</sup>	Requisition initiated immediately after grant signing Approved prior to IP start date	See <a href="#">OPN on Pooled Procurement Mechanism</a> and <a href="#">OP on Pooled Procurement Mechanism</a> If requisition needed to be initiated prior to grant-signing, the Advance Procurement mechanism process in OPN on PPM is followed.

<sup>16</sup> Alternatively, the PR can assess if contracts could be signed earlier with adequate conditionality pending Global Fund Board approval of the grant and where this is consistent with local laws and the PR's own internal procedures.

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Agreed implementation work plan for year one</b>				
<b>Agreed implementation work plan<sup>17</sup> for year one of the IP</b>	R	Not Required	Development during grant-making; Completion prior to IP start date	Prepared by: PR Reviewed by: • CT members • LFA, if required Approved by: FPM (and DFM, if applicable) based on the above
<b>Others</b>				
<b>Completion of administrative matters such as tax exemption, insurance, registration in the country</b>	BP		Development during grant-making; Completion prior to IP start date	Prepared by: PR

\* R = Required; BP = Best Practice

<sup>17</sup> The Global Fund does not prescribe a standard template for the implementation workplan.

**B.8. Apply for Advance Payment (if applicable)**

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<p><b>Application for PR capacity building and start-up activities, maximum of US\$500,000</b></p> <p><u>Resources:</u>  <a href="#">OPN on Make, Approve and Sign Grants</a>  <i>Advance Payment Templates</i></p>	If applicable		<p>Initiated immediately after receiving the TRP recommendation of the funding request. Request submitted so that all steps (including disbursement) are completed no later than the Pre-GAC submission date<sup>18</sup></p>	<p>Review by:</p> <ul style="list-style-type: none"> <li>• LFA if required</li> <li>• FPM (and DFM, if applicable), with other CT members, ensure that advance payment requests are justified and consistent with Global Fund requirements.</li> </ul> <p>Approved by: Global Fund approval authority as defined in the <a href="#">OPN on Make, Approve and Sign Grants</a>.</p> <p>Advanced Payment/Procurement Agreement issued to PR per the Global Fund Delegations of Signature Authority. PR captures approved activities and amount for advance payment in the Summary and Detailed Budget and HPMT (if applicable) and CT documents these in the <i>Grant-Making Final Review Form</i>. See Finalize Grant Documents section for Review and Approval of these documents.</p>

<sup>18</sup> Approval and completion of advanced payments after Pre-GAC submission cannot be guaranteed.

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Application for early procurement of health products, equivalent to planned procurement for year one</b> <u>Resources:</u> <a href="#">OPN on Make, Approve and Sign Grants Advance Payment Templates</a>	If applicable		Initiated immediately after receiving the TRP recommendation of the funding request. Request submitted so that all steps (including disbursement) are completed no later than the Pre-GAC submission date <sup>19</sup>	(See above)
<b>Request for PR financing of certain activities subject to reimbursement</b> <u>Resources:</u> (see above)	If applicable		Request permitted after TRP recommendation	Reviewed by: <ul style="list-style-type: none"> <li>• LFA if required</li> <li>• FPM (and DFM, if applicable) with other CT members ensures that requests are justified and consistent with Global Fund requirements</li> </ul> Approved by: Global Fund approval authority as defined in the <i>OPN on Make, Approve and Sign Grants</i> . PR Financing Agreement issued to PR per the Global Fund Delegations of Signature Authority. PR captures approved activities and amount(s) for reimbursement in the Summary and Detailed Budget and HPMT (if applicable). CT documents these in the <i>Grant-Making Final Review Form</i> .

<sup>19</sup> Approval and completion of advanced payments after Pre-GAC submission cannot be guaranteed.

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				See Finalize Grant Documents section for Review and Approval of these documents.

\* R = Required; BP = Best Practice

## C. Approve

This phase of grant-making starts when the grant is submitted as disbursement-ready for GAC recommendation.

### C.1. Submit for GAC Recommendation

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Pre-GAC review of grant-making requirements and pre-identification, resolution or highlight of options for GAC consideration.</b>	R		Prior to GAC meeting	Reviewed by: Pre-GAC conducts due diligence ahead of each GAC meeting to ensure that investment decisions presented to the GAC are consistent and in line with the Global Fund policy framework. Pre-GAC members are responsible for briefing their GAC representative of any pending issues requiring GAC attention
<b>Submission of disbursement-ready grant for GAC recommendation<sup>20</sup></b>	R		Immediately after all requirements for disbursement readiness are completed, within the due date for submission for the scheduled GAC meeting, and within 6 months of the Funding Request submission to the TRP	Submitted by: FPM <sup>21</sup> who (i) submits on behalf of the CT, the disbursement-ready grants, and (ii) confirms that all CT members, Risk Specialist <sup>22</sup> and other relevant teams have reviewed and endorsed grant documents according to their responsibilities. No-objection review (within 48 hours) by:

<sup>20</sup> For the grant-making documents/information included in the GAC submission, refer to Annex 2 of the [OPN on Make, Approve and Sign Grants](#).

<sup>21</sup> For portfolios with DFMs the submission is done by the DFM and approved by the Senior FPM.

<sup>22</sup> Risk Specialist only reviews Core and High Impact portfolios.



Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				<ul style="list-style-type: none"> <li>• Risk Specialist reviews the relevant Risk Tracker in IRM and the Residual Risk Annex in the Grant-making Final Review Form for Core and High Impact portfolios to ensure that: <ul style="list-style-type: none"> <li>○ all key risks related to grant objectives have been identified and appropriately prioritized,</li> <li>○ mitigation measures are adequate to manage the risk at an acceptable level, and</li> <li>○ appropriate assurance mechanisms are identified to the extent possible.</li> </ul> </li> </ul> <p>Reviewed and approved by:</p> <ul style="list-style-type: none"> <li>• Approving authorities defined in the OPN reviews outcome of grant-making and confirms that the grant is disbursement-ready.</li> <li>• GFM reviews financial data related to the grant and provides a pre-approval of the first annual funding decision (provided the first annual</li> </ul>

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
				funding decision is processed within 30 days of the grant purchase order approval per the <a href="#">OPN on Annual Funding Decisions and Disbursements</a> )
<b>GAC recommendation of the grant and decision whether Grant Confirmation can be released for PR signature prior to Board approval</b> <u>Resource:</u> <i>GAC ToRs</i>		R	Per scheduled GAC meeting	Reviewed by: GAC makes the final determination of disbursement readiness and decides to recommend to the Global Fund Board or not. It also decides whether the Grant Confirmation can be released for PR signature and CCM acknowledgement prior to Board approval.
<b>Definition of next steps to support community and civil society engagement during grant implementation</b> (In cases where serious concerns are raised by the CT, CRG, or the GAC regarding the quality of community and civil society engagement during grant-making)	R	BP	Following GAC recommendation to the Board	Prepared, reviewed and approved by: CT (in consultation with CRG and CCM Hub)

\* R = Required; BP = Best Practice

## C.2. Request Global Fund Board Approval

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>GAC electronic report to the Board</b>	R		Sent to the Board within 8 working-days after GAC recommendation.	Prepared by: GAC Secretariat Reviewed by: GAC Approved by: GAC Chair
<b>Board decision</b>	R		Within 10 working-days from submission of the GAC electronic report	Approved by: Global Fund Board on a no-objection basis

\* R = Required; BP = Best Practice

## D. Sign

The grant signature process can be initiated immediately after GAC recommendation with the GAC approval (with or without conditions) that the Grant Confirmation can be released. If GAC did not approve its release, the Grant Confirmation signature process can only be started after Board approval.

### D.1. Sign Grant Confirmation

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
Final Grant Confirmation for PR signature and CCM acknowledgement.		R	Following GAC recommendation, if Grant Confirmation is approved for release. Or following validation of final Global Fund Board approved amount if GAC does not approve release.	Prepared by: Legal Counsel prepares final execution version of the Grant Confirmation based on the draft submitted to GAC. Approved by: FPM (and DFM, if applicable), who, in consultation with and after Legal Counsel sign-off of the execution-ready Grant Confirmation, sends the Grant Confirmation documents (including Performance Framework and Summary Budget) to the PR and CCM for signature/acknowledgement CT indicates date that Grant Confirmation is sent to the PR and attaches the email in GOS

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Signed Grant Confirmation</b>		R	PR and CCM: Following GAC recommendation, contingent on Board approval Global Fund: Following Board approval	Reviewed and signed by: authorized PR representative Acknowledged by <sup>23</sup> : the CCM Chair <sup>24</sup> and the CCM representative <sup>25</sup> . CT indicates date that signed Grant Confirmation is received from the PR and attaches the email in GOS. Signed by the Global Fund (after Board approval): per the Global Fund Delegations of Signature Authority. CT indicates date that countersigned Grant Confirmation is sent to the PR and attaches the email in GOS.
<b>Grant purchase order approved</b>		R	As soon as possible after the Grant is signed.	Approved by: CFO

\* R = Required; BP = Best Practice

<sup>23</sup> For multicountry grants stemming from a RCM application, one representative from the RCM acknowledges the Grant Confirmation after the PR signature and prior to the Global Fund signature. For those grants stemming from a RO application: (i) when the RO and PR are different entities the legal representative from the RO acknowledges the Grant Confirmation after PR signature and prior to Global Fund signature; (ii) when the RO and PR are the same entity, no acknowledgment is required after PR signature.

<sup>24</sup> In the absence of the CCM Chair, endorsement by the Vice Chair is acceptable if in line with the CCM's governing documents.

<sup>25</sup> The CCM civil society representative if the CCM Chair is the representative of the Government, or the representative of the Government if the CCM Chair is the representative of civil society

## E. Get Ready

### E.1. Process First Annual Funding Decision (AFD) and Disbursement

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>First AFD &amp; Disbursement</b> <b>Resources:</b> <a href="#">OPN Annual Funding Decisions and Disbursements</a>	R		As soon as possible after the Grant Confirmation is signed and the grant purchase order is approved. Can take place prior to IP start date.	Prepared by: PO or FPM/FPA (Focused) Reviewed by: FPM (and DFM, if applicable) Approved by: <ul style="list-style-type: none"> <li>No additional approval required if first AFD is processed within 30 days of the grant purchase order approval and there are no exceptions selected.</li> </ul> Otherwise, per <a href="#">OPN on Annual Funding Decisions and Disbursements</a>

\* R = Required; BP = Best Practice

### E.2. Confirm Implementation Readiness

Outputs	Required or Best Practice*		Timeline	Responsibilities
	HI & Core	Focused		
<b>Implementation Readiness Assessment</b>	R	Not Required	Undertaken within first month of implementation LFA assessment report submitted within first month and a half of implementation	Prepared by: LFA Reviewed by: CT
<b>Defined time-bound mitigating actions to address outstanding issues</b> in the event Implementation Readiness is not achieved	R	Not Required	Within second month of implementation	Prepared by: CT, PR

\* R = Required; BP = Best Practice

## Monitoring and reporting

The grant-making processes will be monitored by the GPS Department according to the table below:

Item	Monitoring
Implementation Readiness	Implementation readiness prior to IP start date if applicable.
P&A metrics	<ul style="list-style-type: none"> <li>• Time between funding request submission and grant submission to GAC;</li> <li>• Time between the Global Fund signature of the Grant Confirmation and the IP start date</li> </ul>
TRP issues	Completion of issues to be addressed during grant-making.
PR submission	PR submission of all required documents in the Partner Portal
GAC submission quality	First-time-right CT submission to GAC
Grant Confirmation timeline	Sharing of Grant Confirmation between CT and PR during and after signature
First Annual Funding Decision	Time between PO approval and first AFD submitted for approval.

## Key reference documents

- [OPN](#) and [OP on Design and Review Funding Requests](#)
- [OPN on Make, Approve and Sign Grants](#)
- [OPN](#) and [OP on Grant Entity Data](#)
- [OPN on Co-financing](#)
- [OPN](#) and [OP on Annual Funding Decisions and Disbursements](#)
- [OPN on Grant Revision](#)
- [OPN](#) and [OP on Pooled Procurement Mechanism](#)
- OPN and OP on Risk Management (forthcoming)
- Guidelines for Developing and Reviewing of Performance Frameworks
- [Guidelines for Grant Budgeting](#)
- [Instructions on the HPMT](#)
- [Instructions on Implementation Arrangement Mapping](#)
- Instructions on the Grant-making Final Review Form
- PAAR and UQD User Guidance
- [Guidelines for Annual Audit of Global Fund Grants](#)
- Advance Payment Templates

## Annex 1: Acronyms

<b>A2F:</b> Access to Funding Department	<b>IMM:</b> Investment Management Module
<b>AFD:</b> Annual Funding Decision	<b>IRM:</b> Integrated Risk Management
<b>CBO:</b> Community-based Organization	<b>LFA:</b> Local Fund Agent
<b>CCM:</b> Country Coordinating Mechanism	<b>M&amp;E:</b> Monitoring & Evaluation
<b>CRG:</b> Community Right and Gender Department	<b>OP:</b> Operational Procedures
<b>CFO:</b> Chief Financial Officer	<b>OPN:</b> Operational Policy Note
<b>CLO:</b> Community-led Organization	<b>PAAR:</b> Prioritized Above Allocation Request
<b>CT:</b> CT (comprises: FPM; Disease Fund Manager, if applicable; State Fund Manager, if applicable; PO; FPA; Finance/PST Specialist, PHME Specialist, HPM Specialist, Legal Counsel)	<b>PFQA:</b> Performance Framework Quality Assurance
<b>DH:</b> Department Head for High Impact Portfolios	<b>PHME:</b> Public Health and Monitoring and Evaluation
<b>DFM:</b> Disease Fund Manager	<b>PMD:</b> Programmatic Monitoring Department
<b>EGMC:</b> Executive Grant Management Committee	<b>PO:</b> Program Officer for High Impact & Core Portfolios (including Senior PO)
<b>FPA:</b> Fund Portfolio Assistant (High Impact & Core) (including Senior FPA) and Fund Portfolio Analyst (Focused)	<b>PPM:</b> Pooled Procurement Mechanism
<b>FPM:</b> Fund Portfolio Manager	<b>PR:</b> Principal Recipient
<b>GAC:</b> Grant Approvals Committee	<b>PST:</b> Portfolio Services Team of Program Finance
<b>GFM:</b> Grant Finance Manager	<b>RCM:</b> Regional Coordinating Mechanism
<b>GMD:</b> Grant Management Division	<b>RM:</b> Regional Manager
<b>GPS:</b> Grant Portfolio Support & Solutions	<b>RO:</b> Regional Organization
<b>GOS:</b> Grant Operating System	<b>SFPM:</b> Senior Fund Portfolio Manager
<b>HF:</b> Health Finance	<b>SO:</b> Supply Operations
<b>HPMT:</b> Health Products Management Template	<b>SR:</b> Sub-recipient
<b>IP:</b> Implementation Period	<b>TAP:</b> Technical Advice and Partnerships Department
	<b>ToRs:</b> Terms of Reference
	<b>TRP:</b> Technical Review Panel
	<b>UQD:</b> Unfunded Quality Demand



## Change History

<b>Version No.</b>	<b>Approved By</b>	<b>Change Description</b>	<b>Date</b>
1.0	EGMC	Comprehensive changes to guide grant-making for the 2023-2025 allocation period (Grant Cycle 7)	13 March 2023