Operational Procedures

Design and Review Funding Requests

Issued on: 12 January 2023; Updated on: 15 November 2024
Approved by: Executive Grant Management Committee
Process Owner: Access to Funding Department
Associated OPN: OPN on Design and Review Funding Requests

Process metrics for the OPN on design and review funding requests:

Agility: 80% of TRP forms cleared & accepted by Country Teams within 10 working days of final TRP plenary

Applicant satisfaction: 90% of applicants satisfied with the process

Funding Request quality: 90% of Funding Requests recommended for grant-making by the TRP

Clearance of TRP Issues[1]: 80% of TRP issues cleared by the due date

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Purpose

1. This document provides procedural guidance on the different steps that constitute an integral part of the design and review of funding requests for the 2023-2025 allocation period onwards.

2. Regardless of the applicable funding request and review approach, Country Teams should refer to the sections of the Operational Procedures for guidance on the applicable process.

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[1] This includes TRP issues to be cleared by the Secretariat and the TRP.

Figure 2. Key steps of the funding request process.
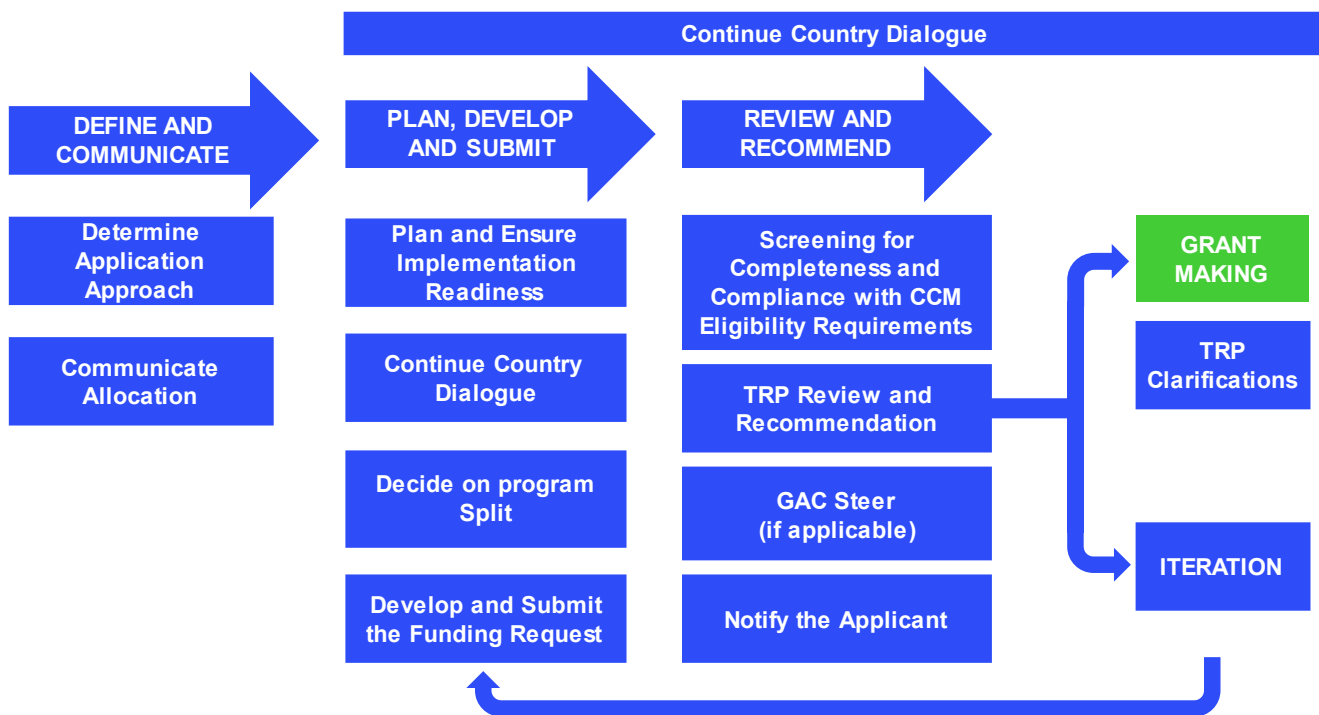
3. An overview of these Operational Procedures' content is given in the table below. Depending on the sub-process of interest, readers can press "Ctrl + click" on the links to go to the relevant phase or sub-process.

Define and Communicate	Plan, Develop and Submit	Review and Recommend	For funding requests recommended for funding
Determine Application Approach	Plan and Ensure Implementation Readiness	Screen for Completeness and Compliance with CCM Eligibility Requirements	
Communicate Allocation	Continue Country Dialogue	TRP Review and Recommendation	
	Decide on Program Split	GAC Steer (if applicable)	
	Develop and Submit the Funding Request	Notify the Applicant	
			TRP Clarifications
			PAAR Update

1. Determine Application Approach		
Key Outputs	**Timeline**	**Responsibilities**
1.1 Information collected on: • Portfolio categorization. • Application and review approaches by component in the 2020-2022 allocation period. • Material program revisions undertaken for Core/High Impact portfolios (if any). • Tailored for transition and National Strategy Plans (NSP) potential applicants. • Allocation amounts for the different portfolios; and • Performance of existing grants for Core/High Impact portfolios.	Quarter 3 and 4 of 2022	**Prepared by:** • Access to Funding Department, in consultation with relevant internal stakeholders
1.2 Type of applicant (i.e., CCM, Non-CCM, RO, RCM) determined based on historical application and country context.	Quarter 4 of 2022	**Prepared by:** • Access to Funding Department proposes the types of applicants for the 2023-2025 allocation period. **Approved by:** • Compliance Review Panel, for Non-CCM applicants.
1.3 Application and review approach determined per component.	Quarter 4 of 2022[2]	**Prepared by:** • Access to Funding Department **Approved by:** • GAC, based on the recommendation of Access to Funding Department.

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[2] Or later, for applicants whose grants end after June 2024.

2. Communicate Allocation		
Key Outputs	**Timeline**	**Responsibilities**
2.1 Customized allocation letters drafted per applicant, including the following: • Allocation amount. • Allocation-related decisions or outcomes with intended implications around the use of funds. • Recommended application approach for each eligible component. • Applicant type. • Guidance on program split and qualitative adjustments in relation to program split. • Guidance on health systems and pandemic preparedness investments. • Co-financing requirements/co-financing incentives. • Focus of application requirements depending on the applicant's income level. • Eligibility for matching funds and conditions to access them; and • Any applicable messages that the Global Fund Secretariat wants to convey to the applicant in relation to the relevant portfolio (e.g., identified recoveries, management actions, implementation requirements and/or arrangements, importance of strengthening domestic financing, consideration of joint investments with development partners, privileges and immunities, COE or ASP considerations, Focused management models, etc.	Quarter 4 of 2022	**Prepared by:** • Access to Funding Department prepares a draft of the allocation letters. • Country Teams, Allocation Team, Program Finance and Controlling, Regional Finance Managers, Policy Hub, Legal and Risk Departments review and provide input. • Regional Manager/Department Heads review allocation letters, including revisions (if any). **Approved by**: • Head, Grant Management Division

3. Plan and Ensure Implementation Readiness		
Key Outputs	**Timeline**	**Responsibilities**
3.1 Integrated plan for the funding request and grant-making stages.	Early in the funding request development process	**Prepared by:** • Applicant, Principal Recipient(s), in consultation with the Country Team, LFA
3.2 Agreement to advance grant-making deliverables to ensure implementation readiness: • Engage the CCM selected Principal Recipient(s) early. • Develop and submit key documents in the level of detail required for grant-making to the TRP, and • Initiate the selection of human resources, Sub-recipient(s) and procurement partners early.	Early in the country dialogue process	**Prepared by:** • Applicant, CT, Principal Recipient(s)

4. Continue Country Dialogue		
Key Outputs	**Timeline**	**Responsibilities**
4.1 Analysis prepared to support the applicant's country dialogue process and ensure robust analysis is considered when prioritization discussions take place.	Prior and during the country dialogue	**Prepared by:** • Country Team, with inputs from the Regional Manager.
4.2 Confirmation of (or changes to) the funding request and review approach.	During the country dialogue and prior to developing the funding request.	**Prepared by:** • Applicant confirms the funding request approach or proposes changes. if applicable, with a supporting rationale. **Reviewed by:** • Country Team **Approved by**: • FPM, if the change is within the parameters described in paragraph 4 of the OPN on Design and Review Funding Requests

		• GAC, if the change is outside the allowable changes described in paragraph 4 of the OPN on Design and Review Funding Requests.
4.3 Draft scope of the funding request submitted for discussion with the Country Team.	During the country dialogue and prior to developing the funding request.	**Prepared by:** • Applicant **Reviewed by:** • Country Team

5. Decide on Program Split		
Key Outputs	**Timeline**	**Responsibilities**
5.1 Confirmation of, or changes to, the program split.	During the country dialogue, and prior to submitting the portfolio's first funding request.	**Prepared by:** • Applicant confirms the disease split or proposes changes by completing the Program Split Confirmation Template.[3] **Reviewed by:** • Country Team reviews the completed template. **Approved by**: • Approval authority, based on defined thresholds and as per paragraph 20 of the OPN on Design and Review Funding Request.

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[3] Shared with the allocation letter.

6. Develop and Submit the Funding Request[4]		
Key Outputs	**Timeline**	**Responsibilities**
Funding Request Package		
6.1 Funding request for the entire eligible component's allocation, (including any investments towards RSSH) developed and submitted (please refer to Annex 2 of the OPN on Design and Review Funding Requests). **Note.** Where there is agreement between the applicant, implementer and the Country Team to advance grant-making deliverables to ensure implementation readiness, the Performance Framework, Budget and HPMT are developed with the level of details required for grant-making.	As per the deadline for the TRP review window the applicant registered for.	**Prepared by:** • CCM engages a broad range of stakeholders, including civil society and communities of key and vulnerable populations, the implementers, etc. in developing the funding request. • CCM Secretary (or representative for other types of applicants) submits the complete application package developed in an open and inclusive manner, in electronic format to the Access to Funding Department, with a copy to the Country Team.
Capacity assessment of a new Principal Recipient for a disease component or a Principal Recipient undertaking new activities (if applicable).		
6.2 Decision to undertake capacity assessment of the nominated Principal Recipient (please refer to the OPN on Risk Management).	Initiated when the CCM informs the Global Fund of the nominated Principal Recipient.	**Prepared by:** • FPM in consultation with PST Specialist (Focused) or Finance, PHME, HPM, Health Financing and Risk Specialist (High Impact & Core). **Reviewed by:** • RM or DH (High Impact). If the capacity assessment is not undertaken, the FPM initiates an exception process with the relevant Risk Specialist (see OPN on Risk Management).

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[4] Grant-making documents can be downloaded by the Country Team as soon as the funding request documents are submitted to the Global Fund. This is meant to help the Principal Recipient advance in completing the grant-making documents and avoid delays in signing.

6.3 Completed capacity assessment of the new Principal Recipient or the existing Principal Recipient undertaking new activities (please refer to the OPN on Risk Management).	Initiated prior, or latest, at the funding request submission; completed prior to the receipt of the TRP recommendations.	**Prepared by:** • LFA conducts a tailored assessment defined by the Country Team. **Reviewed by:** • Finance Specialist reviews the LFA findings and recommendations on financial management and recommends to the FPM on the Principal Recipient capacity in this area. For focused portfolios, the PST Specialist reviews the capacity assessment only if the LFA raises major financial management issues (FPM informs PST if this is the case). • HPM Specialist reviews the LFA findings and recommendations on sourcing operations and recommends to the FPM on the Principal Recipient capacity in this area. • Public Health Monitoring and Evaluation (PHME) Specialist reviews the LFA findings and recommendations on M&E and programmatic areas (Program Quality, RSSH and Human Rights and Gender Equality) and recommends to the FPM on Principal Recipient capacity in this area. • FPM reviews the LFA findings and recommendations on governance and health financing, reviews the recommendations of the Country Team Specialists in the other functional areas, and makes a final recommendation to the RM or DH (High Impact) whether to accept or reject the nominated Principal Recipient. • Risk Specialist (High Impact and Core) reviews and indicates in IRM if they are aligned or not on the Capacity Assessment completion and appropriateness of the actions recommended to address the capacity issues identified.

		Approval by: • PO or FPM/FPA (Focused) uploads the completed Capacity Assessment in the Integrated Risk Management module. • RM or DH (High Impact) decides to accept or reject the nominated Principal Recipient based on the above (via email).
6.4 Where there is agreement between the applicant, implementer and the Country Team to advance grant-making deliverables to ensure implementation readiness: Initiated early selection of HR, SR(s), and procurement partners.	As early as possible at the funding request or grant-making stage.	Prepared by: • Principal Recipient(s)

7. Screen for Completeness and Compliance with CCM Eligibility Requirements		
Key Outputs	**Timeline**	**Responsibilities**
7.1 Funding requests screened for completeness and consistency. Confirmation that all required documents are submitted and programmatic and financial information is consistent across all documents.	Upon receipt of the funding request.	Prepared by: • Access to Funding Department, Applicant Support Team and relevant Country Teams screen the application; and • Technical teams review the respective funding request annexes they own.
7.2 Assessment of compliance with CCM Eligibility Requirements and for availability of all CCM members' endorsements.	Upon receipt of the funding request.	Prepared by: • Access to Funding Department, Applicant Support Team with input from CRG and CCM Hub, documents findings through the Screening Review Form for eligibility requirements 1 and 2. • CCM Hub confirms applicants' compliance with eligibility requirements 3 to 6 to inform the overall eligibility status of the applicant.

		Reviewed by:
		• Country Teams review the completed Screening Review Form.
		Approved by:
		• Access to Funding, Department Head approves findings for applicants considered compliant with Eligibility Requirements 1 & 2.
		• Compliance Review Panel assesses instances where applicants are deemed indeterminate compliant, compliant with issues or non-compliant and makes a final decision.
		• In instances where the Compliance Review Panel cannot reach a consensus, the decision is escalated to the GAC.

8. TRP Review and Recommendation		
Key Outputs	**Timeline**	**Responsibilities**
8.1 Secretariat Briefing Note prepared to support the TRP review.	Before the start of the TRP review.	**Prepared by:** • Country Team, with the support from various technical teams.
8.1 Funding requests reviewed and outcome, findings and issues captured in the TRP Review and Recommendation Form.[5]	**TRP Recommendation:** During TRP Review Meeting **TRP Leadership Clearance of TRP Review and Recommendation Form:** average of 10 working days after TRP review.	**Prepared by:** • TRP group reviews the funding request and captures findings in the draft TRP Review and Recommendation Form. • TRP group presents the findings at the TRP Plenary Meeting. **Approved by:** • TRP Plenary approves the outcome from the review group.

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[5] TRP may recommend a shift of activities from the PAAR to be funded from the allocation and/or deprioritize activities from the allocation and move them to the PAAR. Such instances requiring a PAAR Update, please refer to the OPN on Grant Revisions for guidance.

8. TRP Review and Recommendation		
Key Outputs	**Timeline**	**Responsibilities**
		• TRP Leadership signs off on the TRP Review and Recommendation Form.
		• Final TRP Review and Recommendation Form is shared with the Country Team by Access to Funding[6] for review and approval before sharing with the applicant.

9. GAC Steer[7] (if applicable)		
Key Outputs	**Timeline**	**Responsibilities**
9.1 If needed and requested by the Country Team or GAC Secretariat members, GAC provides steer for critical management concerns or findings captured in the TRP Review and Recommendation Form.	Before or after the TRP meeting	**Prepared by:** • GAC

10. Notify the Applicant		
Key Outputs	**Timeline**	**Responsibilities**
10.1 Applicant notified regarding: TRP recommendation and GAC steer (as relevant) Guidance on grant-making (as relevant).	On average, 5 working days (English only) or 10 working days (for translation) from the receipt of the Final TRP and Recommendation Form from Access to Funding.	**Prepared by:** • Country Team

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[6] For more details on how the TRP issues are addressed during grant-making and grant implementation please refer to the OPN on Make, Approve and Sign grants.
[7] Please refer to GAC terms of reference.

11. TRP Clarifications		
Key Outputs	**Timeline**	**Responsibilities**
11.1 TRP issues addressed	Initiated after receiving TRP recommendation: • Completion is a pre-requisite for grant submission to GAC in order for issues to be cleared during grant-making. • Completion during the implementation of the grant for issues to be cleared during grant implementation.	**Approved by:** • For issues to be cleared by the TRP: TRP members review and TRP leadership signs off on the recommendation. • For issues to be cleared by the Secretariat: Country Team.
11.2 Tracking and reporting on the TRP clarifications process.	GAC and other relevant stakeholders will be informed periodically of the status of completion of the TRP clarifications process.	**Prepared by:** • GAC Secretariat reports to GAC members on regular basis. • TRP Secretariat keeps TRP Leadership informed on status of completion of TRP issues.

12. PAAR Update		
PAAR Update Due to TRP Recommendations		
Key Outputs	**Timeline**	**Responsibilities**
12.1 TRP recommendation to shift activities from PAAR to be funded from allocation and/or deprioritize activities from allocation and move them to the PAAR.	During a TRP review window	**Recommended by:** • TRP Review Group **Approved by:** • Assigned member of TRP leadership

12.2 UQD revised to address TRP recommendation.	After TRP leadership approval and during the grant-making or implementation process.	**Prepared by:** • Access to Funding, Applicant Support Team revises the PAAR request as per the TRP recommendation and in consultation with the Country Team.[8] **Approved by:** • Access to Funding, Applicant Support Manager

PAAR Update Due to Sources of Funding Becoming Available[9]

Key Outputs	Timeline	Responsibilities
12.3 Agreement to update the PAAR	When new evidence-based information becomes available and there is a potential opportunity for funding.	• Country Team, in discussion with the Principal Recipient and Access to Funding Department for guidance on the process.
12.4 PAAR Update template completed and submitted to Global Fund Secretariat.		**Prepared by:** • Applicant, in consultation with the PR and in-country stakeholders to inform the revised PAAR request. **Approved by:** • The CCM or RCM through the endorsement of (i) the Chair and (ii) the civil society representative if the Chair is the representative of the Government, or the representative of the Government if the Chair is the representative of civil society.[10]

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[8] The Country Team addresses with the applicant the revisions emanating from the TRP recommendations that concern the budget during the grant-making process.
[9] In the instance of applying grant savings to the UQD register, please refer to the process detailed in the OPN on Grant Revisions.
[10] For Non-CCMs and ROs, the Legal Representative's endorsement shall suffice.

12.5 Secretariat review and input on the PAAR Update.	Upon receipt of the PAAR Update submission.	**Reviewed by:** • Access to Funding, Applicant Support Team with relevant Country Team, confirm potential availability of funding and screen for completeness and consistency. • Country Team prepares a brief note for the TRP on the program since the initial TRP review situating the PAAR Update in the grant context. **Approved by**: • Access to Funding, Applicant Support Manager for completeness and consistency screening. • RM or DH (for High Impact Departments) for the Country Team briefing note to the TRP.
12.6 Differentiated TRP review based on the extent and trigger of the updates made to the initial TRP-reviewed and approved PAAR.	Upon receipt of the PAAR Update submission.	**Reviewed and approved by:** • TRP Leadership and Focal Points *(streamlined review)*: 1. for PAAR updates to be funded through additional resources[11] that only consist of increasing amounts for activities already reviewed and recommended by the TRP and placed on the UQD, by more than 30% of the initially reviewed and recommended funding amount.[12] 2. for PAAR Updates resulting from new scientific evidence and normative guidelines, with portfolio-wide implications requiring all countries to systematically update their national strategies or revise key interventions[13]. The Secretariat will consult TRP Leadership and Focal Points and seek their endorsement through a memo, following which individual countries may update their PAAR without requiring a larger TRP Review Group review and approval. The memo will be developed in consultation with relevant TAP advisors. **Reviewed by:**

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[11] Additional resources include any amount coming from the Portfolio Optimization process, External Contributions/Innovative Financing, Debt to Health, savings derived from forex gains, etc.

[12] If additional funding becomes available during grant making and/or implementation, initially reviewed funding amounts for recommended interventions may be subsequently increased by up to 30%, without resubmission for TRP review and recommendation.

[13] This TRP endorsement of portfolio wide strategic investments and updates to programs is based on lessons learned from transitioning the portfolio to new MDR-TB treatment regimens.

		• TRP Review Group *(standard review)* for: - PAAR Updates that consist of including new activities due to evolving country contexts, emerging needs due to the change in the epidemiology profile, substantial additional funding becoming available to the applicant that changes the scope of the initial request, among others. These situations will be discussed on a case-by-case basis. If a standard review is deemed necessary, a TRP Review Group[14] will be identified to undertake a deeper assessment and recommendation of the PAAR Update. **Approved by:** • An assigned member of the TRP leadership signs-off on the review and recommendation captured in the PAAR Update template and/or the PAAR Update Review Form.[15]

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[14] Where possible, the same Review Group that undertook the review of the initial Funding Request and PAAR submission will be called upon to review the PAAR Update request.

[15] The PAAR Update Review Form shall be completed by the TRP only in instances where the TRP wants to raise issues and actions for the applicant's attention in relation to their review.

Monitoring and Reporting

The design and review of funding request processes will be monitored by the Access to Funding Department.

The following data points will be monitored:

Item	Monitoring	Responsible
Funding Requests	Number of funding requests registered, submitted, reviewed, recommended for grant-making by review window and cumulatively.	Access to Funding
	Application approach used	
	Number of funding requests iterated	
	Amounts recommended for funding by the TRP from the allocation.	
	Amounts requested and recommended by the TRP for catalytic matching funds and multicountry requests.	
	Number of days from the submission of the funding request to notifying the applicant of the outcome (broken down as follows: number of days from submission to TRP review meeting, TRP review meeting to finalization of form, finalization of form to notifying the applicant).	
	Number and types of issues raised by the TRP during their review.	
	TRP observations and lessons learned from the different review windows.	
PAAR/UQD	Amounts requested for above allocation and interventions and amounts recommended as UQD.	Access to Funding
	Number of PAARs updated	
	Triggers for the PAAR Updates	
	Updated UQD Register and financing of UQD	Access to Funding & Finance
TRP Clarifications Process	Periodic reporting to the GAC on the status of completion of TRP issues through the TRP issues database per allocation period.	Access to Funding

Key Reference Documents

- OPN on Design and Review of Funding Requests
- OPN on Make, Approve and Sign Grants
- OPN on Grant Revisions
- OPN on Co-financing
- Country Coordinating Mechanism Policy Including Principles and Requirements
- Guidelines for Grant Budgeting

Change History

Version No.	Approved by	Change Description	Approval Date
1.0	EGMC	Update to incorporate guidance on PAAR Updates.	28 February 2022
1.1	EGMC	Update to reflect changes relevant to the 2023-2025 allocation period (Grant Cycle 7) and emanating from the 2023-2028 Global Fund Strategy.	12 January 2023
1.2	EGMC	Update to guidance on RBF. Update of process metrics and introduction of flexibility in the review of PAAR Updates.	15 November 2024