



# Grant Revisions

Information Session on Updated  
Revisions Operational Policy Note and  
New Operational Procedures

25 March 2024



# Agenda

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**1**      **Introduction**

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**2**      **Key policy changes**  
i.    Cross-cutting changes  
ii.   Changes by revision type

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**3**      **Resources**

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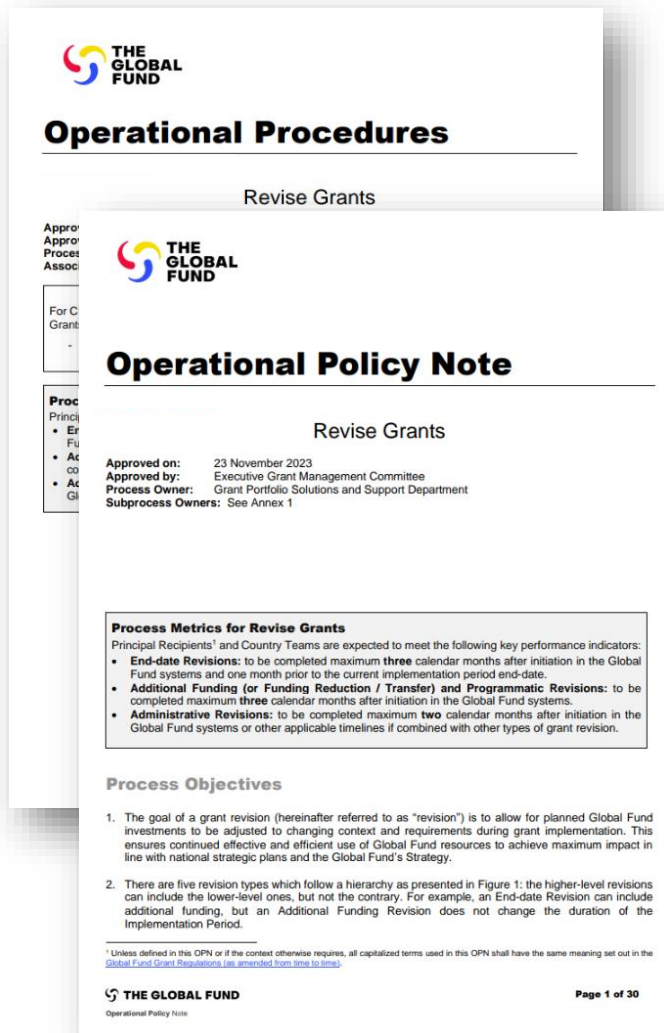
**4**      **Partner Portal systems demos**

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**5**      **Q & A**

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# The updated Operational Policy Note (OPN) and new Operational Procedures



Effective from 1 Dec 2023

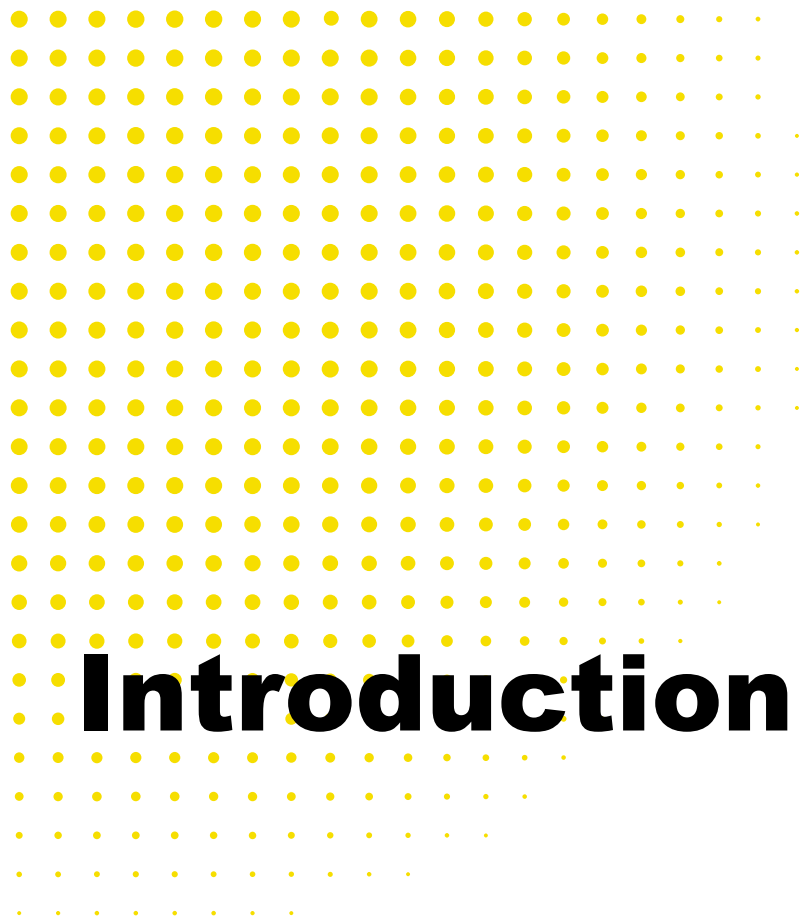
Apply to country and multi-country portfolios

Supersede the 2018 OPN on Grant Revisions

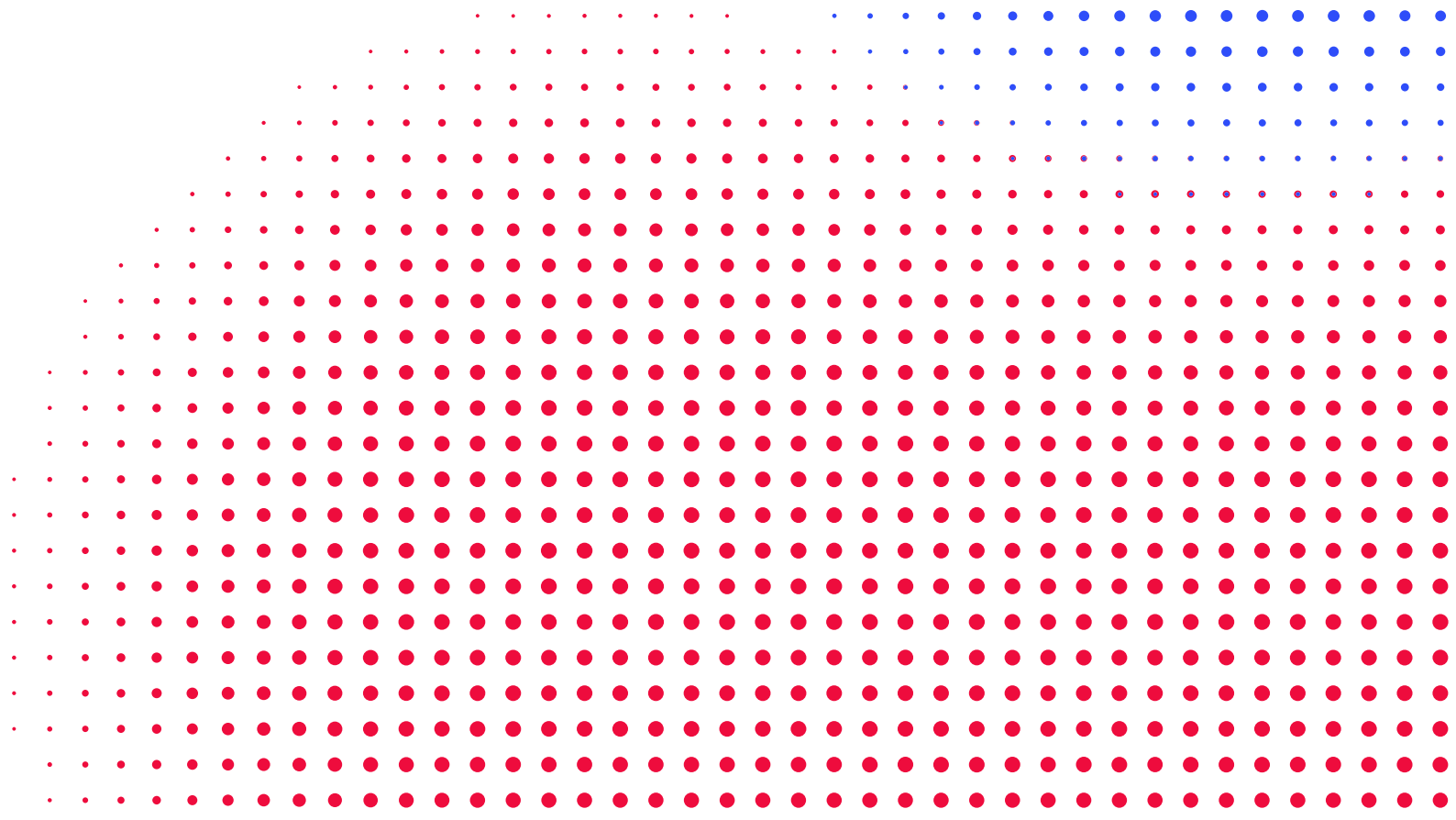
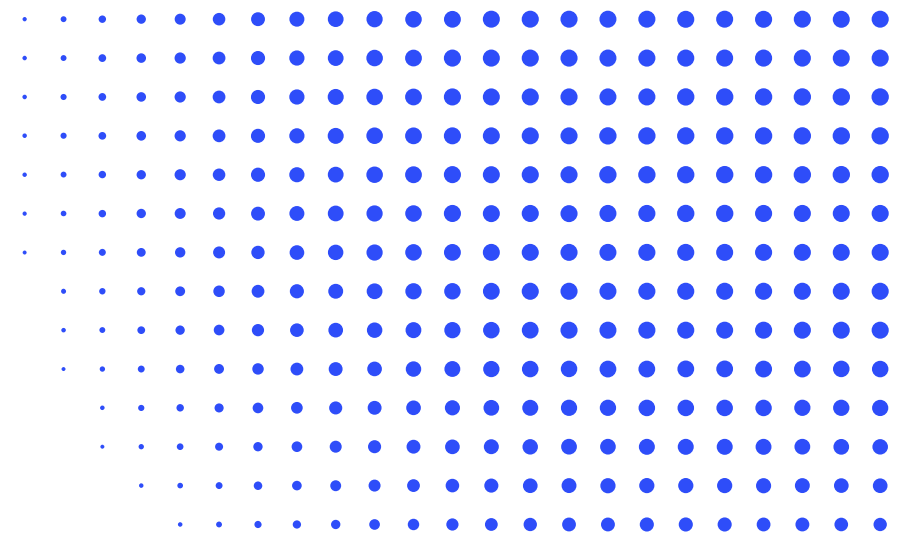
Include changes that build on:

- Lessons learned from the OPN implementation since 2018
- Simplification and flexibilities introduced during Covid-19
- Actions resulting from audits
- Implementation of organizational initiatives (e.g. Focused management model)
- Segregation between policy and procedural guidance

Remember C19RM revisions are governed by the [C19RM Guidelines](#) (and not this OPN)



# Introduction

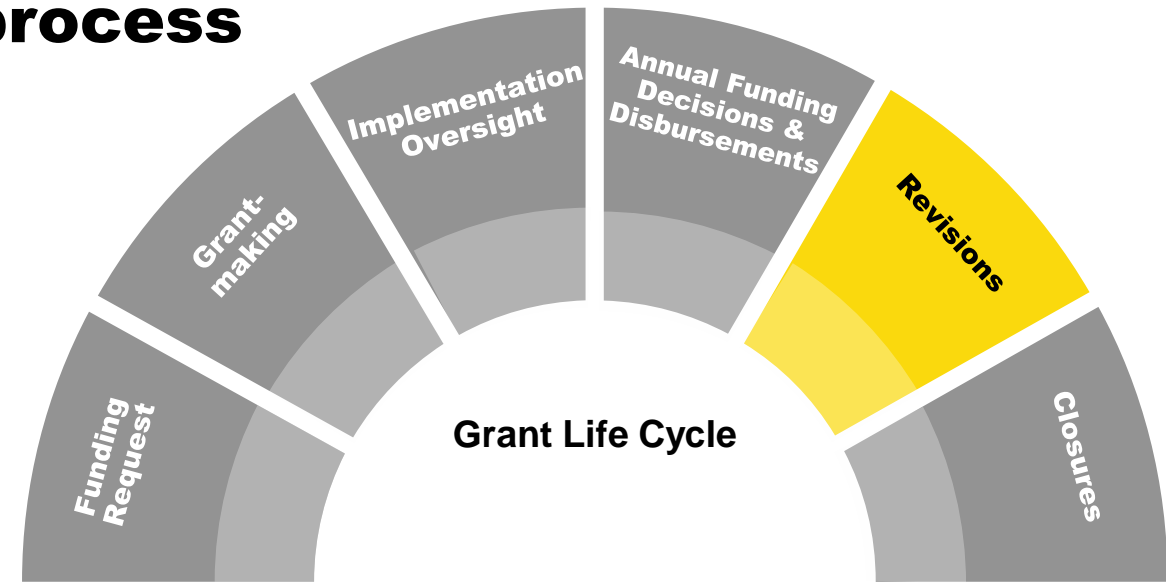
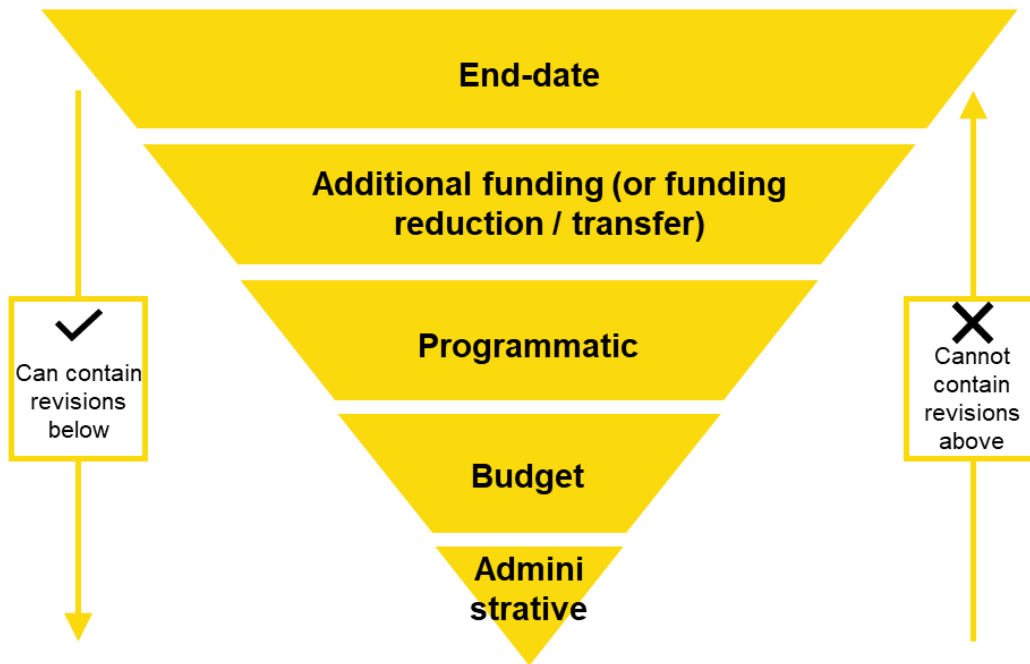


# Revision is a critical grant life cycle process

## What a Grant Revision is and revision types

A grant revision allows for planned Global Fund investments of an existing grant to be adjusted to changing contexts and requirements during grant implementation.

There are **five revision types** which follow a **hierarchy**: the higher-level revisions can include the lower-level ones, but not the contrary.



## When a revision is initiated and by whom

A revision must be initiated as soon as the need has been agreed between the Principal Recipient (PR) and the Country Team (CT), considering the required timelines for completion.

## Why a revision is important

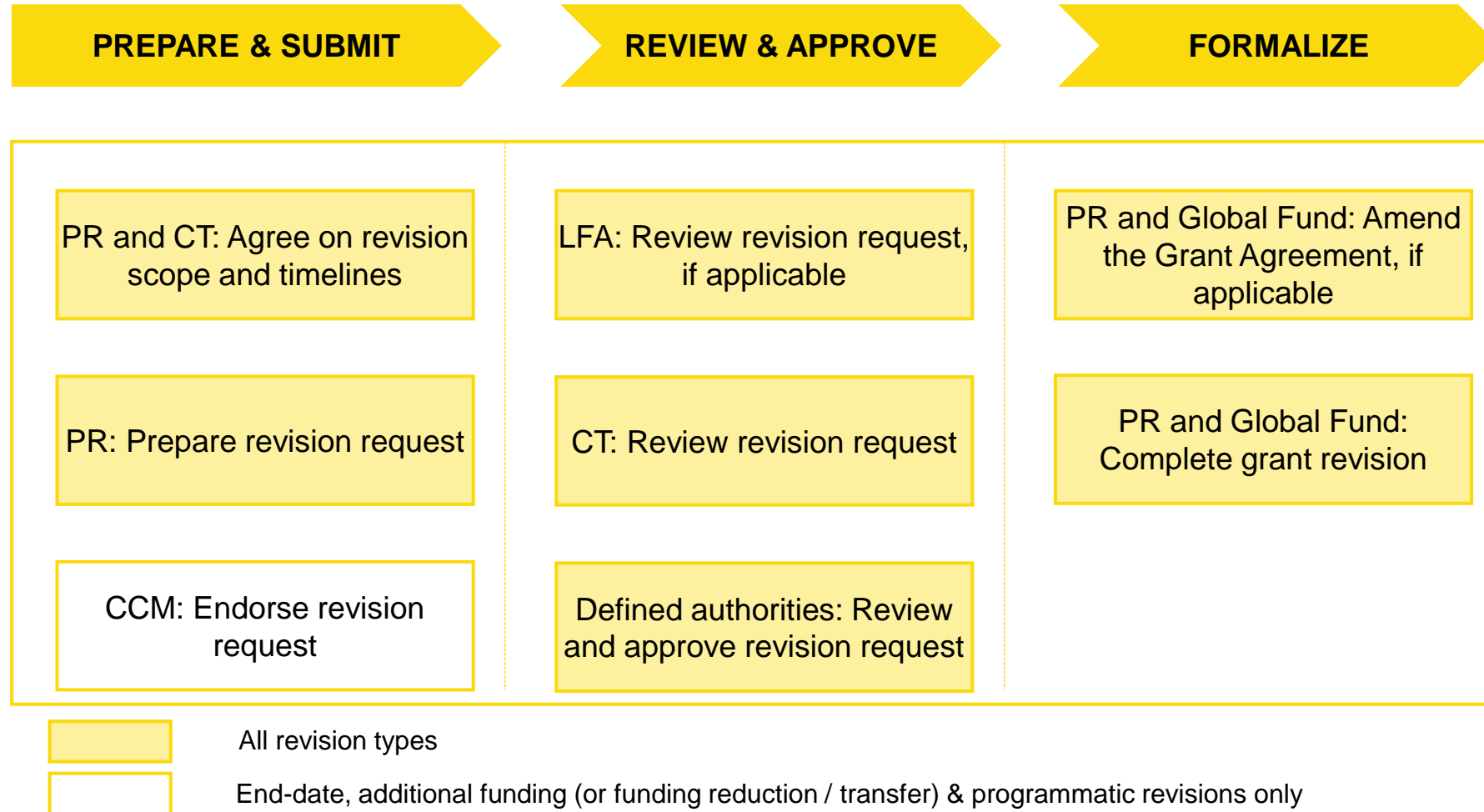
Timely and quality revisions ensure continued effective and efficient use of Global Fund resources to achieve maximum impact in line with national strategic plans and the [Global Fund Strategy](#).

## How a revision is processed

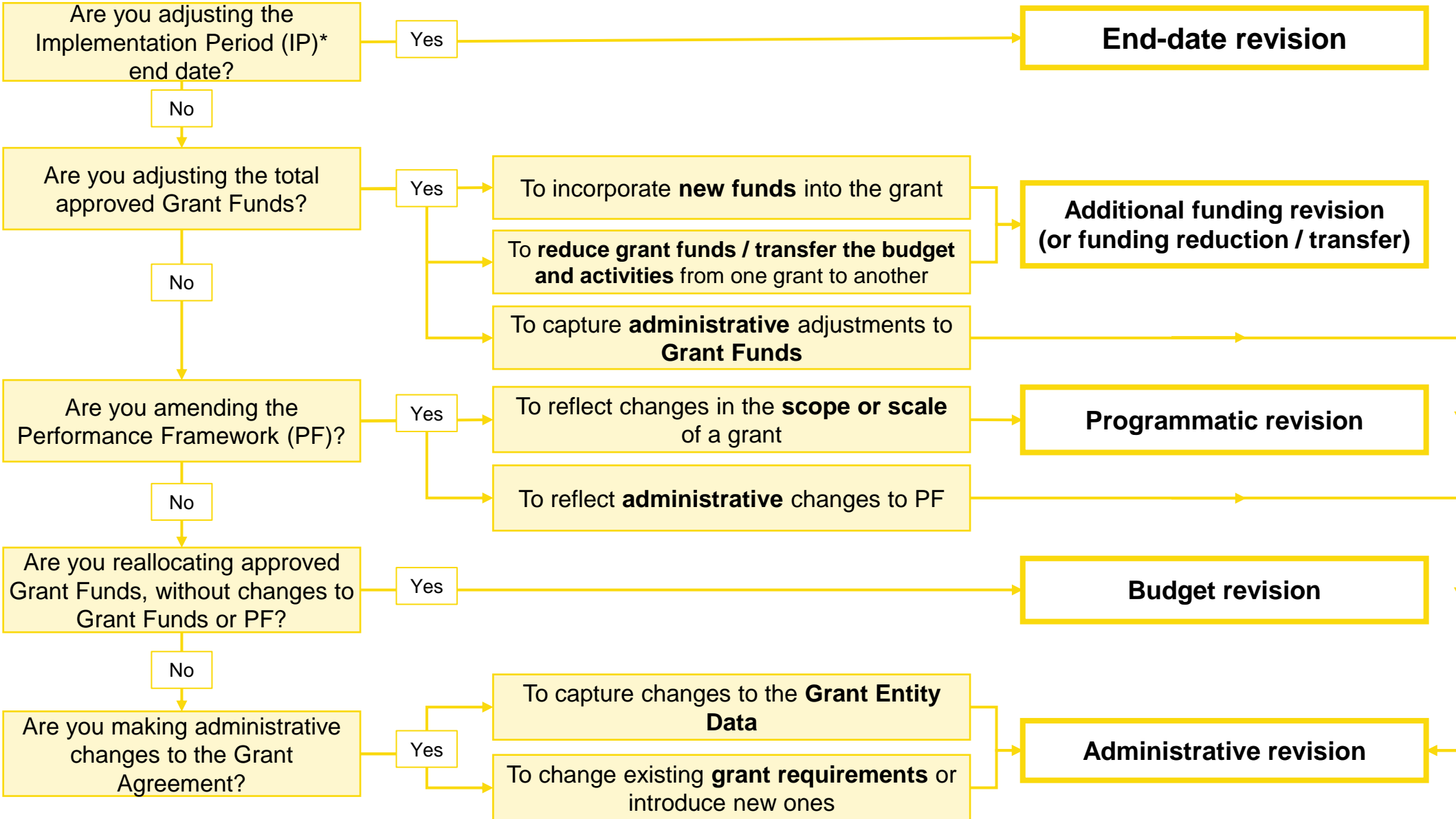
See next slide

# Revisions phases and sub-processes

Sub-processes vary depending on the revision type



# How do I choose the correct revision type?



\*1- The period during which a set of grant activities are completed as part of a grant (typically 3 years).



# Cross-cutting changes



# Cross-cutting changes (1/4)

1

Introduces **metrics which** define timelines for revision completion per revision type.

2

Clarifies **interdependencies** between revisions and other grant life cycle (GLC) processes for CTs and PRs to consider and plan accordingly.

3

Introduces **process simplifications and improvements**

# Cross-cutting changes (2/4)

1

Principal Recipients (PRs) and Country Teams (CTs) are expected to meet the following **metrics** for revision completion (by revision type).

## Timelines for completion

**End date**

**Three calendar months** after initiation in the Global Fund system and one month prior to the current IP end-date.

**Additional Funding**  
(or Funding Reduction /  
Transfer)

**Three calendar months** after initiation in the Global Fund system.

**Programmatic**

**No defined timelines.** PRs are responsible for properly documenting and maintaining their internal approval and the Global Fund written approval, if needed, for audit purposes.

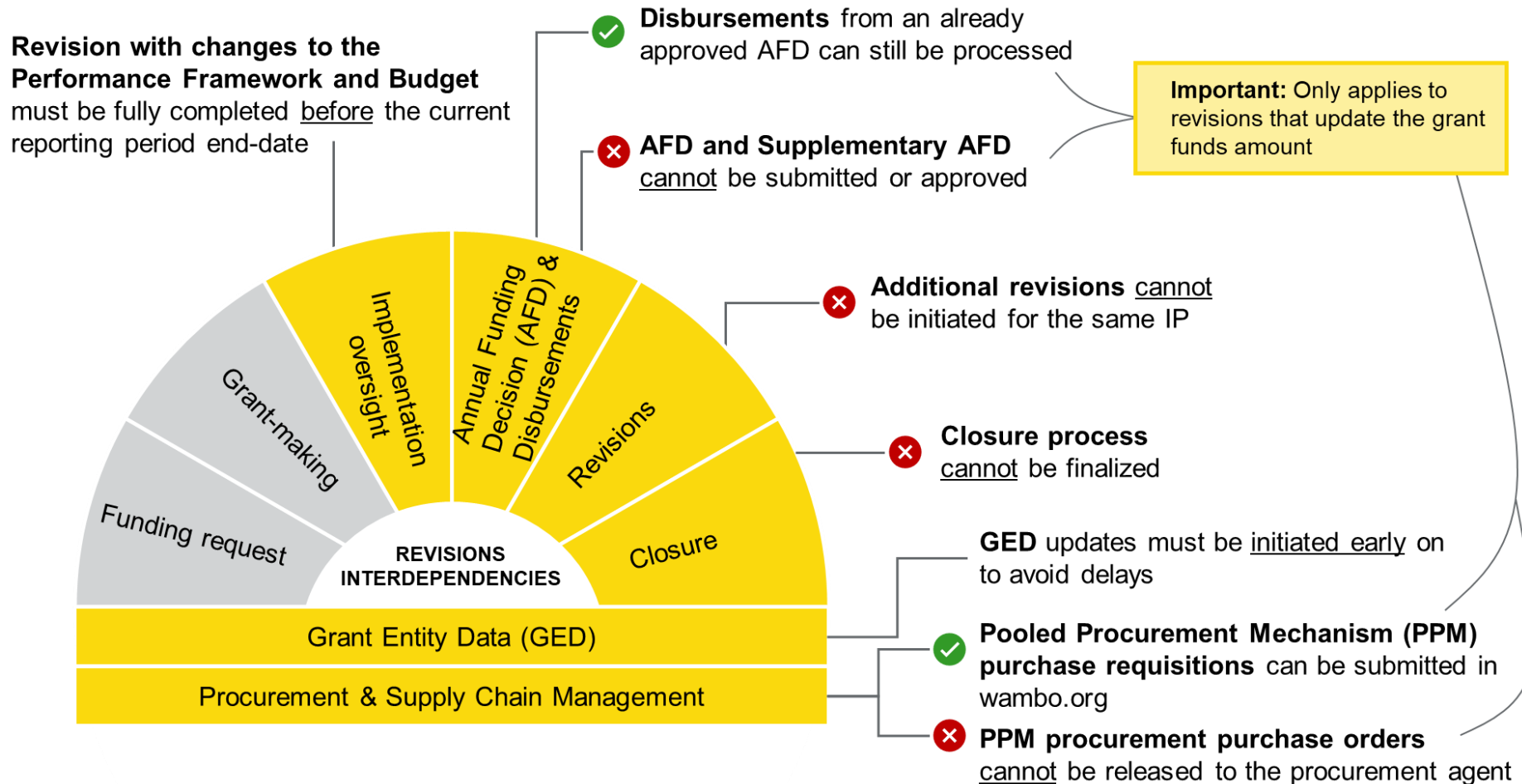
**Budget**

**Administrative**

**Two calendar months** after initiation in the Global Fund system or other applicable timelines if combined with other types of grant revision.

# Cross-cutting changes (3/4)

## 2 Interdependencies with other GLC processes for CTs and PRs to consider and plan revisions accordingly.



# Cross-cutting changes (4/4)

\* The latest approved budget formalized through a Grant Confirmation or Implementation Letter.

\*\* For C19RM revisions, the Performance Framework is submitted through an online form in the Partner Portal.

## 3 Process simplifications and improvements

### Change

### Implications

1

Differentiated and streamlined **requirements**

- **Differentiated requirements** per portfolio category (including Focused Management Models) and revision type;
- **CCM endorsement** detailed per revision type to define when the CCM endorsement is required and who within the CCM endorses.

2

Streamlined **changes to the baseline budget\***

- Only End-date and Additional Funding Revisions require changes to the baseline budget. Programmatic and Budget Revisions do not require changes to the baseline budget.
- Detailed Budget processed in Global Fund's systems only for End-date and Additional Funding revisions.

3

Introduced flexible use of **Grant Revision Request Form**

- Form A can alternatively be submitted, as applicable, in other format (e.g. email) as long as all the information contained in Form is provided.

4

Introduced approach to capture **time-sensitive PF changes swiftly** in Global Fund system

- This involves **both admin changes to the PF** (via admin revision) and **certain programmatic revisions**. In order to complete the revision and capture changes in Global Fund system, a Notification email is issued to the PR. Such changes have to then be incorporated in upcoming ILs, as required for later revisions.

5

Captured **use of Partner Portal by PRs** for revision documents submission and IL process online.

- PRs now use the Partner Portal to **download, submit and view** revision documents.
- For non-C19RM revisions\*\*, **CTs** share revision documents and the IL with PRs through the Partner Portal; the Performance Framework is submitted in excel\*\*.
- **PRs** use the Partner Portal to:
  - Download revision documents shared by the Global Fund.
  - Submit revision documents for Global Fund review and validation.
  - Submit the signed IL for Global Fund counter signature.



# Changes by revision type

# End-date revision

## Definition

An end-date revision can **extend or shorten the IP end date** to allow for continued implementation and to avoid programmatic disruptions while addressing operational challenges or completing Grant-making

## Triggers

- Joint programming
- Early termination of a grant or change of PR during grant implementation
- Challenges in timely submission of funding requests and completion of grant-making beyond the control of CCM / PR
- Longer review and processing of applications by the Global Fund
- Transition from Global Fund funding to other sources of funding

## Change

## Implications



Added cases of **IP shortening** under this revision type

Cases of IP shortening are processed under End-date revision type in Global Fund systems.



Simplified **approval thresholds** for IP extensions

Now only refers to length of extension period, removing the % of next allocation. Leverages a Covid-19 Business Contingency Plan (BCP) flexibility.



Flexible **IL signature process**

For revisions that require Board approval: the first Global Fund signatory and the PR sign the IL after GAC recommendation, contingent on Board approval.

# Additional Funding revision

## Definition

An additional-funding revision can **increase or reduce (funding reduction / transfer) the Grant Funds** without amending the duration of the IP

## Triggers

Increase: Permitted restricted financial contributions by private donors or Debt to Health; Portfolio Optimization

Reduction: Non-compliance with co-financing commitments; Failure to refund recoverable amounts; Shifting activities / budgets from one grant / PR to another

## Change



Included cases of **funding reduction / transfer** revision type

- Cases of transfer of budget and activities from one grant to another are no longer treated as non-material programmatic revision.
- **Additional funding revision type** is used to process both transfer / funding reduction and additional funding cases.

## Implications



Flexible **IL signature process**

For revisions that require Board approval: the first Global Fund signatory and the PR sign the IL after GAC recommendation, contingent on Board approval.

# Programmatic revision

## Definition

A programmatic revision refers to **changes in the scope and / or scale of a grant** within the approved funding ceiling and current IP resulting in changes to the modules, interventions and / or targets in the Performance Framework.

## Triggers

- Need for more strategic investments.
- Emerging scientific evidence / guidance.
- Change in the national context that result in non-compliance with co-financing commitments.
- Etc.

## Change



Detailed scenarios where **TRP review** is required or not (replacing materiality thresholds).

- The approval process for programmatic revisions is differentiated per portfolio category and based on whether the revision requires TRP review or not



Programmatic revisions involving time-sensitive changes to PF can now be completed after approval of the revision request based on a **notification email issued to the PR** and can be later formalized through an IL.

- For **changes to targets (increasing or decreasing) or adding missing targets** the notification email can be used to capture the changes in Global Fund's systems.
- The PF changes are formalized with an IL at a later stage (together with other revisions, as applicable). These notification emails are tracked by the Global Fund and integrated in upcoming ILs.
- Any other programmatic revision outside the above scenario follow the process described in the OPN, inclusive of immediate issuance of the IL.



Changes to the **baseline budget** not required.

- Programmatic revisions **do not require changes to the baseline budget.**
- Detailed Budget is not processed in Global Fund systems.

## Implications



# Budget revision

## Definition

A budget revision refers to the **reallocation of approved Grant Funds across modules, interventions or cost categories**. It does not change the approved funding ceiling, duration of IP, or the Performance Framework.

## Triggers

- Changes to grant context and circumstances (e.g., increase in admin costs).
- Foreign exchange gains / losses.
- Cases of transfer and / or disposal of program assets during the IP.

## Change



General alignment to the new

### **Budgeting Guidelines:**

1. IL no longer required to formalize budget revisions.
2. CCM endorsement not required
3. Changes to the baseline budget not required.

## Implications

- Without an IL and without changes to the baseline budget required, budget revisions are not captured in Global Fund systems, but they follow the process and approval authority described in section 2.5.2-2.5.3 of the [Budgeting Guidelines](#).
- Grant Revision Request Form A and CCM endorsement are not required for budget revisions: PRs to inform the CCM prior to starting the activity.

# Administrative revision

## Definition

An administrative revision captures **adjustments that are purely of an administrative nature** or require modifications to Grant Entity Data and / or grant requirements changes.

## Triggers

- Changes to Grant Entity Data (PR contacts, PR / LFA organization info).
- Administrative changes to the Performance Framework which do not change targets.
- Changes to existing grant requirements.
- Administrative adjustments to Grant Funds (such as for new IPs to deduct the final in-country cash balance from the closing IP).

## Change



**Expanded triggers** to include administrative changes to the PF, changes to grant requirements, administrative adjustments to the grant amount.

- Administrative revision type is used to **deduct the final in-country cash balance** from the closing IP (administrative adjustment to grant funds).



**Revisions involving administrative changes to the PF** can be completed in Global Fund's systems based on Notification Email and later formalized through an IL

- For administrative changes to the PF that **do not impact targets** a Notification Email can be used to capture the revision in Global Fund systems. Such changes are later formalized through an IL as part of the next revision
- Any other administrative revision (outside the above scenario) follow the process described in the OPN, including immediate issuance of the IL as applicable.

## Implications

# Changes by revision type

## End-date

- Included cases of **IP shortening**, such as to allow for joint programming.

## Additional funding

- Included cases of **funding reduction / transfer** revision type, covering the transfer of budget and activities from one grant to another.

## Programmatic

- Detailed scenarios where **TRP review** is required or not (replacing materiality thresholds).
- **Revisions involving time-sensitive changes to the PF** can be completed in Global Fund's systems based on a Notification Email and later formalized through an IL.

## Budget

- General alignment to the new Budgeting Guidelines, including:
  - **IL no longer required** to formalize budget revisions.
  - Formal **CCM endorsement no longer required**: PRs to inform the CCM prior to starting the activity.
- Expanded **triggers** to include foreign exchange budgetary gains/losses and transfer of program assets.

## Admin

- Expanded **triggers** to include administrative changes to the PF, changes to grant requirements, administrative adjustments to the grant amount.
- **Revisions involving administrative changes to the PF** can be completed in Global Fund's systems based on Notification Email and later formalized through an IL.

Flexible **Implementation Letter (IL) signature process** for revisions that require Board approval: the first Global Fund signatory and the PR sign the IL after GAC recommendation, contingent on Board approval.

**No changes to the baseline budget required**

# Resources

## [OPN & Procedures](#)

Grant Revision Request Form A and Instructions: contact your Country Team

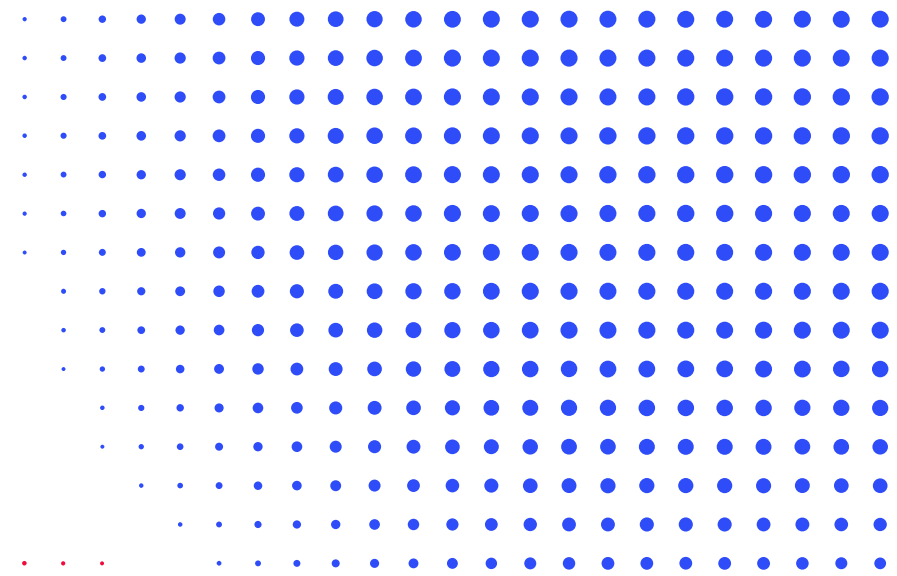
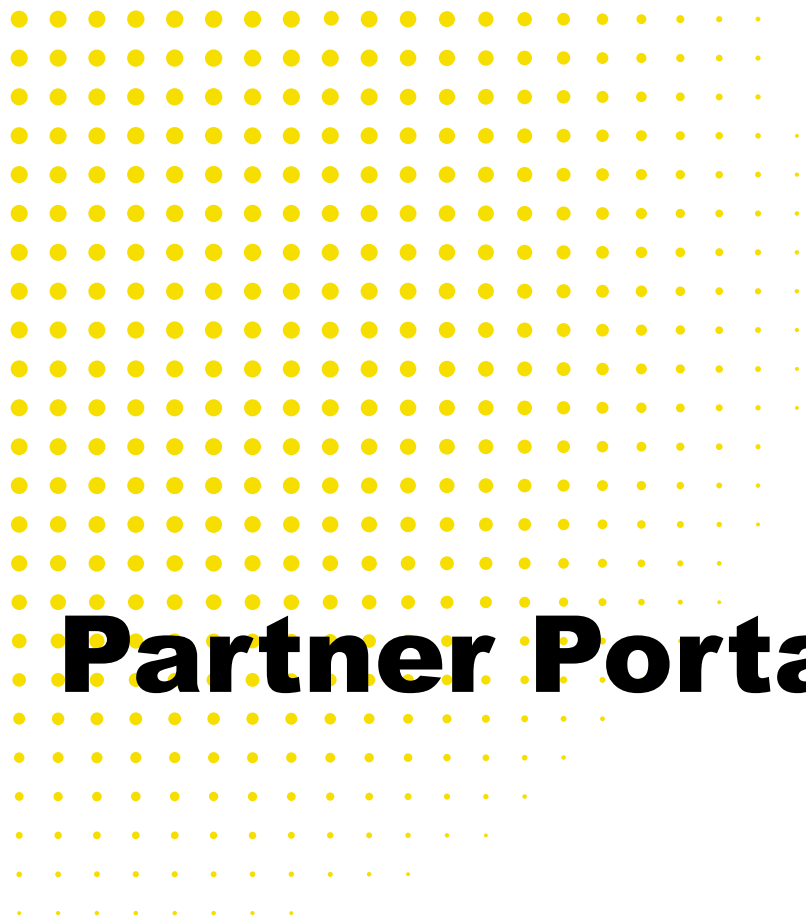
Partner Portal Guide for Revisions Guidance: [English](#) | [Français](#)

Partner Portal system Demo: [PR submits documents to the Global Fund](#)

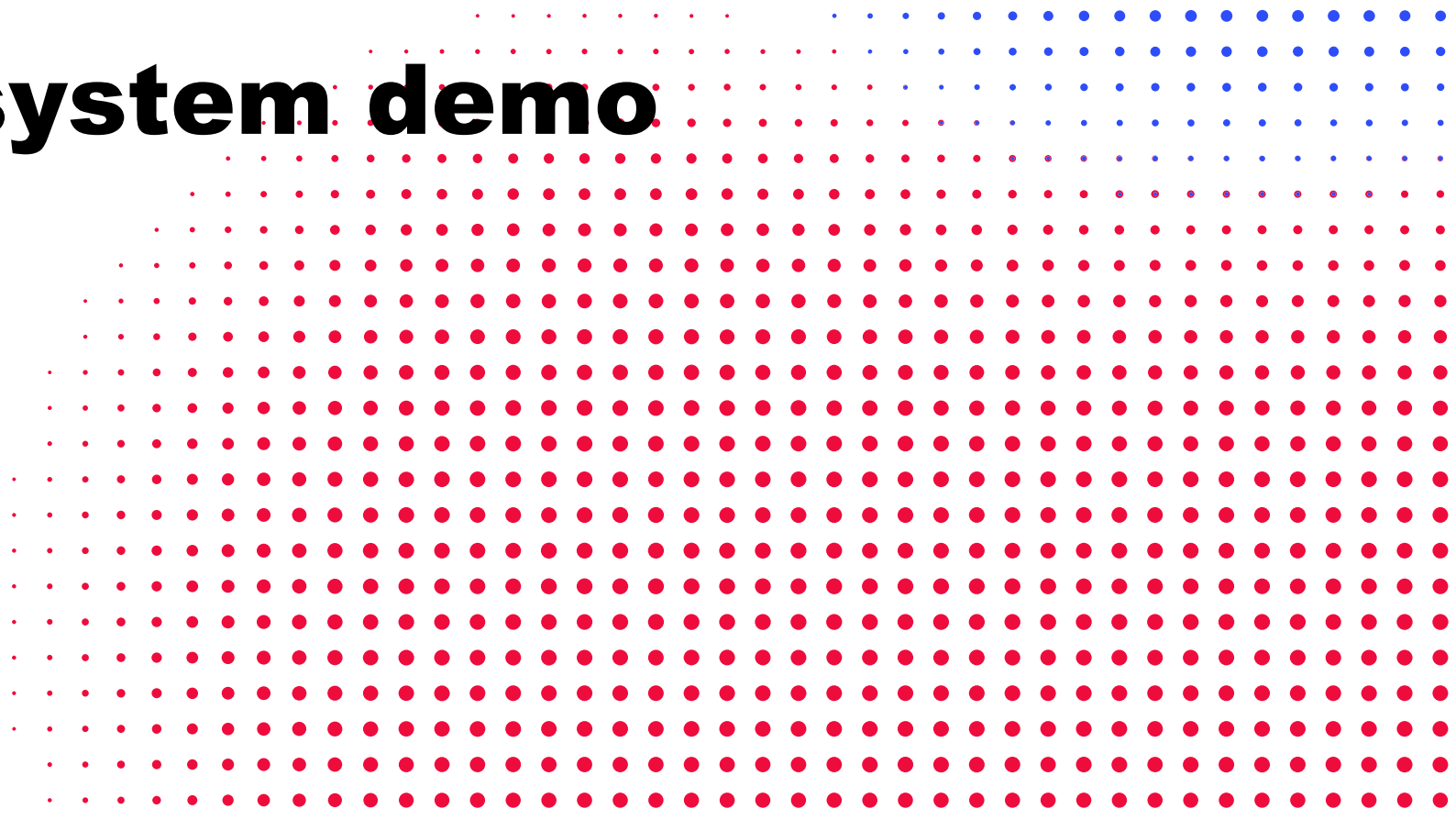
All current resources on Revisions are available on the Global Fund website here:

<https://www.theglobalfund.org/en/grant-implementation/grant-revision/>

[Updated grant budgeting guidelines and templates](#)



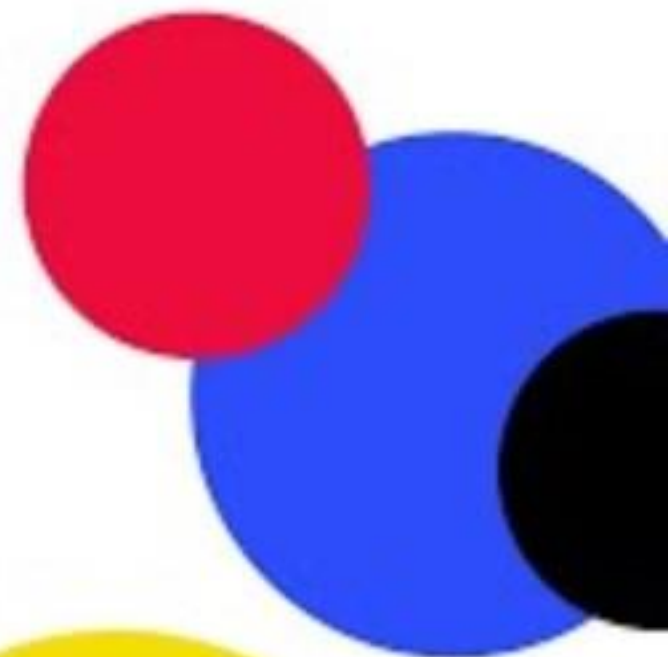
# Partner Portal system demo





# **Principal Recipient submits documents to the Global Fund**

**Demonstration**





# Questions & Answers

# Q&A

## 1. What about performance-based funding, if need of indicator revision?

A. Any revision of performance framework could fall under programmatic revision or administrative revision. Details on types of changes are described in Sections 1-5 of the Revise Grants Operational Policy Note (OPN).

## 2. Does budget revision foresee getting the Global Fund approval only or the revision of the document itself and its update for PU/DR purposes?

A. PRs are requested to also update their records/documents, however, they will be required to report against the baseline budget (i.e. the latest approved budget formalized through a Grant Confirmation or Implementation Letter).

## 3. On 'administrative adjustments to grant funds' - requiring an administrative revision as opposed to a budget revision. Could you provide some examples of what types of adjustments this would include?

A. We use administrative revision to deduct from Grant Funds in the new implementation period (IP) the final in-country cash balance from the closing IP.



# Q&A

## **4. How long does this process take between PR and CT?**

A. The process between the PR and CT depends on completeness of documents and issues to be resolved before revision requests are ready for approval. However, PR and CT need to be cognizant of the metrics for completing revisions.

## **5. Would it be possible to update the baseline budget with accumulated changes during additional funding revision?**

A. No actualization of the budget is permitted, only required to update the baseline budget for End-date and Additional Funding.

## **6. As we are under Challenging Operating Environment (COE), we need to do program readjustment, sometimes across different grants? Can we have case by case discussion for COE country for those non- material changes?**

A. Triggers for programmatic revisions varies across grants and always discussed on a case-by-case basis. However, the standard process for the revisions will need to be followed. "Non-material" programmatic revisions have simplified Global Fund approval process.

# Q&A

**7. Any timeline/submission window for these revision process especially programmatic revision and grant revision?**

A. There are no specified windows for submission of grant revision requests. Revision requests should be initiated as soon as the PR and CT have agreed that a revision is needed and submitted as soon as the required documents are completed.

**8. Please indicate the thresholds for budget revisions that could be approved at PR level**

A. These are outlined in section 2.5.2 of the [Budgeting Guidelines](#).

**9. Regarding the endorsement process, in which case is the CCM getting involved,- and specifically who within the CCM?**

A. The requirement for CCM endorsement varies depending on the type of revision and is defined in the OPN. Budget and administrative revision do not require CCM endorsement.

# Q&A

## **10. When will the presentation be shared? Can the sharing please include SRs?**

A. The recording and presentation will be published on the Global Fund website shortly after the Information Session.

## **11. Please clarify CCM Endorsement if applicable during Grant Revision?**

A. The requirement for CCM endorsement varies depending on the type of revision and is defined in the OPN. Budget and administrative revision do not require CCM endorsement.

## **12. At what period/time to update relevant Grant Entity Data (GED) to update information on PRs, CCM and LFA .**

A. There is no defined period, but PRs are strongly encouraged to update GED as soon as the need arises so that when a revision is required, the revision documents capture the most up-to-date and accurate GED.

# Q&A

## **13. Approval Authority to extending the IP taking into consideration commitment funds more than the remaining Allocation**

A. Approval authority for extensions are detailed in the OPN.

## **14. Will we need the CCM endorsement if budget revision across the grants is considered ?**

A. CCM endorsement is not required for budget revision. However, CCM needs to be informed. CCM endorsement is required for programmatic revisions (for changes to the Performance Framework).

## **15. The budget revision will be done based on budget revision form or detailed budget need to be submitted as well?**

A. Per Budgeting Guidelines, PRs follow their internal budget review and approval process and, where applicable, obtain the Global Fund written approval prior to starting the activity. The baseline budget does not change for budget revisions and therefore the detailed budget is not required to be submitted and captured in Global Fund systems.

# Q&A

## 17. What is the difference between budget revision form and the detailed budget?

- A. The detailed budget is the baseline budget (e.g. the latest approved budget formalized through Grant Confirmation or Implementation Letter). For Budget revisions, the baseline budget does not change. When the budget revision requires written approval by the Global Fund, the budget changes can be provided through a simplified form (budget revision form).

## 18. Can you kindly share direct link to the page on GF website where we will be able to find this presentation and recording? Can we expect to find them online by end of this week? Also can you share direct link for budgeting guidelines?

- A. Yes.

<https://www.theglobalfund.org/en/updates/2023/2023-03-08-updated-grant-budgeting-guidelines-and-templates/>

<https://www.theglobalfund.org/en/grant-implementation/grant-revision/>

# Q&A

**19. The budget revision which exceed the threshold and is not updated by detailed budget. is up to PR to update the budget in its own system or it will be updated at the Global Fund side as well?**

A. The baseline budget is updated in the Global Fund systems only for End-date and Additional Funding revisions. PR are required to keep a record of all changes to the baseline budget.

**20. If GC6 is extended using GC7 budget allocation, will it be treated as end date revision?**

A. Yes. All GC6 end date revision (extension) use time and money from GC7 allocation.

**21. Under reduction triggers you said co financing failure is one trigger, how would the CT approach the PR on this?**

A. If cofinancing commitments are not met, there is a discussion with the CCM and PR and also internally within the Global Fund to decide on the necessary actions. If a reduction in allocation is decided by the Global Fund, a formal letter is sent to the CCM and PR informing them about failure to meet the co-financing requirements and resulting reduction in allocation.

# Q&A

**22. Is approval of all country CCMs needed for programmatic review in case of regional grant, when there're many countries working on the grant?**

A. Multi-country grants generally follow the same requirements set out in the OPN, with the following specific consideration: for multi-country grants, reference to the term CCM includes Regional Organizations, Regional Coordinating Mechanism and Country Coordinating Mechanism representatives of all countries with the grant (in all cases, if applicable).

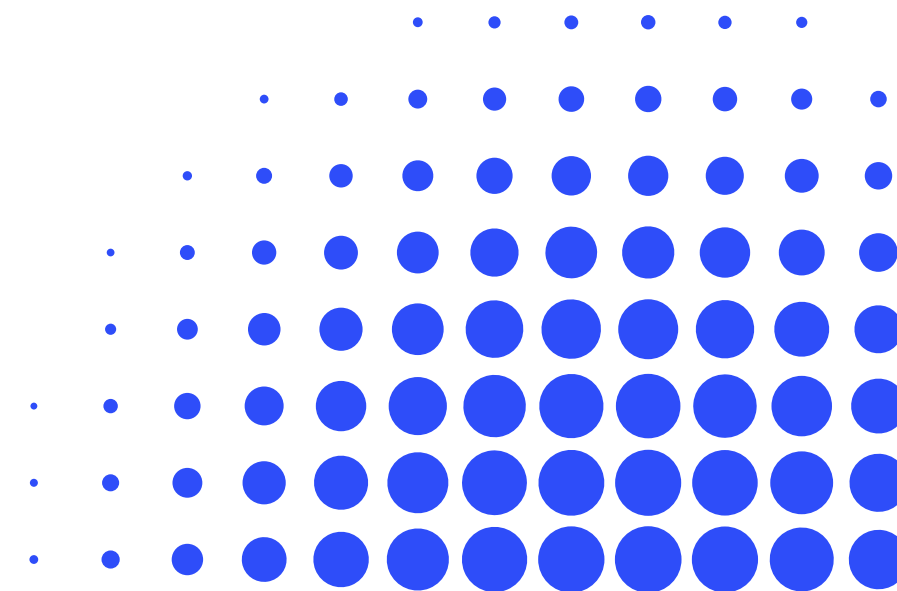
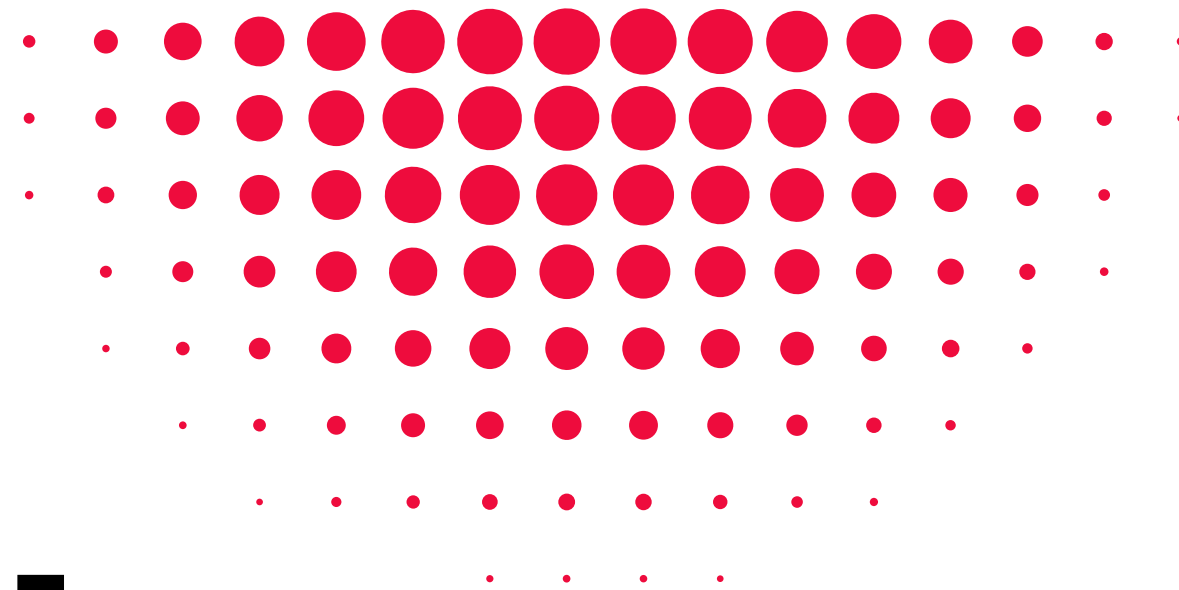
**23. If GC6 is extended without the change of funding ceiling (no cost extension), with change of Performance Framework of the extension window, how will this case be treated?**

A. All extensions use time and money from the next Allocation Utilization Period. The previous concept of 'no-cost extension' is not valid anymore. All extensions require changes to the Performance Framework and baseline budget.

**24. How frequent is budget revision allowed?**

A. There is no fixed frequency. Budget revisions are processed on a need basis.

# Thank you



The Global Fund to Fight  
AIDS, Tuberculosis and Malaria

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