



# **Applicant Handbook**

## **2023-2025 Allocation Period**

October 2022 Edition

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# 1. Introduction

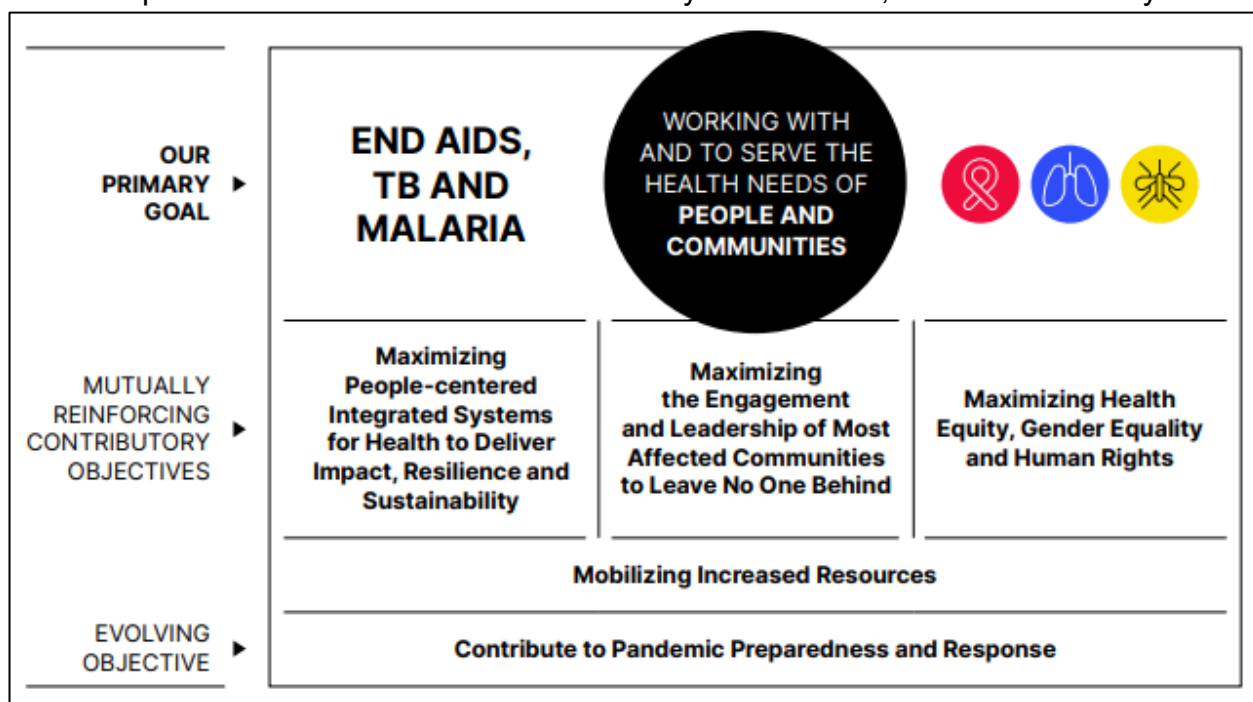
The Applicant Handbook supports the preparation of funding requests for the 2023-2025 allocation period. It offers practical information and best practices for the different stages of the application process, including other supporting resources and tools available.

The Applicant Handbook is designed to provide summarized information on the key steps required to access funding from the Global Fund. The final authority on this process is the Global Fund Operational Policy Note on Design and Review of Funding Requests for the 2023-2025 allocation period.<sup>1</sup>

Due to the evolving nature of the Global Fund’s COVID-19 Response Mechanism (C19RM), this Handbook does not include C19-RM guidance. Rather, we encourage applicants to refer to the [C19-RM applications website](#), especially for guidance related to communities, human rights, gender, inclusive country dialogue, and mitigating the impact of COVID-19 on HIV, TB and malaria services and programs.

## 1.1 2023-2028 Global Fund Strategy

The [2023-2028 Global Fund Strategy](#)<sup>2</sup> sets out the objectives that the Global Fund Partnership - including donors, implementing countries, civil society and communities, and technical partners – have identified as necessary to end AIDS, TB and malaria by 2030.



<sup>1</sup> An updated Operational Policy Note on Design and Review of Funding Requests is expected to be published by the end of 2022 and will be included in the Operational Policy Manual: [https://www.theglobalfund.org/media/3266/core\\_operationalpolicy\\_manual\\_en.pdf](https://www.theglobalfund.org/media/3266/core_operationalpolicy_manual_en.pdf)

<sup>2</sup> 2023-2028 Global Fund Strategy - [https://www.theglobalfund.org/media/11612/strategy\\_globalfund2023-2028\\_narrative\\_en.pdf](https://www.theglobalfund.org/media/11612/strategy_globalfund2023-2028_narrative_en.pdf)

With a goal of supporting country-owned programs in achieving these ambitious national and global goals, Global Fund application materials, including application forms, required annexes, information notes, and other applicant guidance documents have all been updated for the 2023-2025 allocation period.

## 1.2 Summary of the Funding Model

The Global Fund invests in the fight against HIV, tuberculosis (TB) and malaria through a partnership-based funding model, raising funds in three-year cycles known as Replenishments. Funding is then allocated to eligible countries to support HIV, TB and malaria programs and to strengthen health systems.

The Global Fund requires governments, civil society, people affected by the diseases, technical partners, the private sector and other partners to come together to decide how to best use the funding to meet the needs of people and communities. This is usually done through inclusive consultations called 'country dialogues' which are expected to take place throughout the funding cycle. Country dialogues are organized by Country Coordinating Mechanisms (CCMs) or by Regional Coordinating Mechanisms (RCMs) in the case of a multicountry program.<sup>3</sup> References to CCMs in this Handbook should be understood to include RCMs as well.

Using the outcomes of the country dialogue and a nationally-developed plan for combating one of the diseases, such as a National Strategic Plan, a CCM will then develop a funding request. The funding request outlines the plan that explains how the applicant would use Global Fund allocated funds if approved.

During the three-year allocation period following a Replenishment, CCMs submit their funding requests for review by the Global Fund's Technical Review Panel (TRP), a group of independent experts, to make sure that the proposed programs are aligned with the latest technical guidance and will help eliminate the three diseases as public health threats. As a part of their review, the panel may make recommendations for improvement.

Once approved by the TRP, the funding request is turned into one or more grants through a process called grant-making. The CCM and the Global Fund work to prepare the grant with a Principal Recipient (PR), the partner who was nominated to implement the grant. The grant-making process sets out how and when activities will be implemented and evaluated.

The Grant Approvals Committee (GAC) - which is made up of senior management at the Global Fund and representatives of technical, bilateral and multilateral partners, as well as civil society - reviews the final version of the grant. Once the grants are implementation-ready the GAC recommends them to the Board of the Global Fund for approval. Following Board approval, the first grant disbursement is made.

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<sup>3</sup> For multicountry applicants, the dialogue must take place at the regional level and involve stakeholders from countries included in the funding request.

The effective implementation and monitoring of grants is at the core of our work to end HIV, TB and malaria as epidemics. The Principal Recipient implements a grant, with the CCM and the Global Fund monitoring implementation on an ongoing basis. Regular reviews are performed and reported to the Global Fund to help anticipate issues, remove bottlenecks, and course-correct.

When a grant comes to an end, a close-out process is triggered, following a set plan and budget. Following the last disbursement of funds, the grant is then closed.

## 1.3 Changes to the Funding Model

The basics of the allocation-based funding model remain largely unchanged for the 2023-2025 allocation period. Countries will still be allocated funds for HIV, TB and malaria, will still develop a funding request based on inclusive country dialogue, and will still use the funding over a three-year period.

Refinements related to the focus areas of the strategy have been reflected throughout the funding model. Applicants are encouraged to carefully consider the funding request instructions,<sup>4</sup> the information notes<sup>5</sup> and other guidance documents<sup>6</sup> for more information.

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<sup>4</sup> Please consult the application instructions to learn more :

- Full Review Application Instructions - [https://www.theglobalfund.org/media/5743/fundingrequest\\_fullreview\\_instructions\\_en.pdf](https://www.theglobalfund.org/media/5743/fundingrequest_fullreview_instructions_en.pdf)
- Program Continuation Application Instructions - [https://www.theglobalfund.org/media/7356/fundingrequest\\_programcontinuation\\_instructions\\_en.pdf](https://www.theglobalfund.org/media/7356/fundingrequest_programcontinuation_instructions_en.pdf)
- Tailored for National Strategic Plans Application Instructions - [https://www.theglobalfund.org/media/5738/fundingrequest\\_nsp\\_instructions\\_en.pdf](https://www.theglobalfund.org/media/5738/fundingrequest_nsp_instructions_en.pdf)
- Tailored for Focused and Transition Application Instructions - [https://www.theglobalfund.org/media/8598/fundingrequest\\_focusedportfolio\\_instructions\\_en.pdf](https://www.theglobalfund.org/media/8598/fundingrequest_focusedportfolio_instructions_en.pdf)

<sup>5</sup> Please consult the information notes to learn more:

- HIV Information Note - [https://www.theglobalfund.org/media/4765/core\\_hiv\\_infonote\\_en.pdf](https://www.theglobalfund.org/media/4765/core_hiv_infonote_en.pdf)
- Tuberculosis Information Note - [https://www.theglobalfund.org/media/4762/core\\_tuberculosis\\_infonote\\_en.pdf](https://www.theglobalfund.org/media/4762/core_tuberculosis_infonote_en.pdf)
- Malaria Information Note - [https://www.theglobalfund.org/media/4768/core\\_malaria\\_infonote\\_en.pdf](https://www.theglobalfund.org/media/4768/core_malaria_infonote_en.pdf)
- Resilient and Sustainable Systems for Health Information Note - [https://www.theglobalfund.org/media/4759/core\\_resilientsustainablehealth\\_infonote\\_en.pdf](https://www.theglobalfund.org/media/4759/core_resilientsustainablehealth_infonote_en.pdf)

<sup>6</sup> Please consult the Technical Briefs and Guidance Notes found among the [Applicant Guidance Materials](#).

## 2. Funding for the 2023-2025 Allocation Period

### 2.1 Replenishment

The Global Fund partnership raises and invests funding in three-year cycles that support the allocation periods. The amount available for allocations to countries depends on the funding raised during and the months following the Replenishment Conference.

### 2.2 Eligibility

While small refinements have been made to the Eligibility Policy,<sup>7</sup> the core elements are largely unchanged for the 2023-2025 allocation period.

Eligibility for Global Fund financing is still based on two key criteria: economic capacity and disease burden. The Global Fund continues to use a three-year average of the latest available gross national income (GNI) per capita (the World Bank Atlas Method) to determine economic capacity.

Eligibility for an allocation is determined on a per-disease basis. Two consecutive eligibility determinations are required to be eligible for an allocation. The [eligibility list for 2022](#)<sup>8</sup> is available on the Global Fund website. The 2023 Eligibility List is the list that will determine eligibility for a 2023-2025 allocation and will be available in November 2022.

Note that eligibility for Global Fund funding does not guarantee an allocation.

See the section below on [CCM Eligibility Requirements](#) for more information.

For more information on Eligibility, please see the [Global Fund Eligibility Policy](#).<sup>5</sup>

### 2.3 Allocations

The Global Fund applies the allocation methodology to determine country allocations. The methodology is based on factors including disease burden, economic capacity and the global disease split, which is the percentage of the funds available for country funding designated for each disease. In their discussions on program split, applicants may propose adjusting the percentage designated to the respective disease components or to investments in resilient and sustainable systems for health (RSSH).

Funding amounts for country allocations will be shared in Allocation Letters to eligible countries, sent starting in December 2022.

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<sup>7</sup> Eligibility Policy - [https://www.theglobalfund.org/media/7443/core\\_eligibility\\_policy\\_en.pdf](https://www.theglobalfund.org/media/7443/core_eligibility_policy_en.pdf)

<sup>8</sup> Eligibility List 2022 - [https://www.theglobalfund.org/media/11712/core\\_eligiblecountries2022\\_list\\_en.pdf](https://www.theglobalfund.org/media/11712/core_eligiblecountries2022_list_en.pdf)

**A webinar on the 2023-2025 allocations will be held in December 2022.** Registrations for this and other webinars are available on the [Global Fund Website](#).<sup>9</sup> Recordings will be made available on [iLearn](#)<sup>10</sup> following the session.

## Portfolio Categorization

The Global Fund uses three portfolio categories to ensure that operational policies and processes reflect contextual needs for countries. The list of countries in each of these categories is updated every allocation period based on the allocation amount, the disease burden, and opportunity for strategic impact of the country.

- Focused Portfolios are generally smaller portfolios, with a lower disease burden, and a lower mission risk.
- Core Portfolios are generally larger portfolios, with a higher disease burden, and a higher mission risk.
- High Impact Portfolios are generally very large portfolios with mission-critical disease burdens.

The Global Fund also uses two cross-cutting classifications to further differentiate portfolios:

- Challenging Operating Environments are countries or regions with complex natural or man-made crises and instability.
- Transitioning components are those that are approaching transition from receiving funding from the Global Fund. A country becomes ineligible for Global Fund financing when its income level designation moves to High Income, or when it has an Upper-Middle-Income designation and the disease burden is not High.<sup>11</sup>

Any changes to portfolio categorization for the 2023-2025 allocation period will be published in the Applicant Handbook and the Global Fund's [Operational Policy Manual](#) at the end of 2022.

## 2.4 Catalytic Investments

In addition to country allocations, the Global Fund may set aside funding for Catalytic Investments. These investment priorities are for programs and activities that are essential to achieve the aims of the Global Fund Strategy but cannot be addressed through country allocations alone.

Catalytic Investments may be implemented through three different modalities: matching funds, catalytic multicountry grants, and strategic initiatives.

### Matching Funds

Matching funds are designed to incentivize ambitious programming approaches driven by evidence, to maximize impact in specific strategic priority areas. They require applicants to

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<sup>9</sup> 2023-2025 Allocation Period Training Series and Webinars - <https://www.theglobalfund.org/en/applying-for-funding/understand-and-prepare/webinars/>

<sup>10</sup> iLearn Online Learning - <https://www.theglobalfund.org/en/ilearn/>

<sup>11</sup> Projected Transitions from Global Fund Country Allocations By 2028: [https://www.theglobalfund.org/media/9017/core\\_projectedtransitionsby2028\\_list\\_en.pdf](https://www.theglobalfund.org/media/9017/core_projectedtransitionsby2028_list_en.pdf)

meet specific conditions to access this additional funding. Matching funds are designated to specific countries, for specific priority areas.

In the 2023-2025 allocation period there is no separate matching funds application form; applicants are expected to describe within their funding request how they have met the access conditions tied to the matching funds they have been designated. The Technical Review Panel will assess how well the applicant has met the conditions and make matching funds recommendations while reviewing the funding request.

**A webinar on the 2023-2025 matching funds will be held in December 2022.**

Registrations for this and other webinars are available on the [Global Fund Website](#).<sup>9</sup> Recordings will be made available on [iLearn](#)<sup>10</sup> following the session.

## Catalytic Multicountry Funds

Through catalytic multicountry funding, the Global Fund aims to address a limited number of key priorities in specific regional areas, deemed critical to achieve global goals.

Funding levels and disbursement modalities will be published in this Handbook once approved by the Global Fund Board, depending on available funds.

## Strategic Initiatives

Strategic Initiatives provide limited funding for centrally managed approaches that cannot be fully addressed through country allocations alone. [These initiatives](#) are managed by the Global Fund and the [list](#)<sup>12</sup> can be found on the Global Fund website.

## 2.5 Allocation Letters

After eligibility, allocation and catalytic investment decisions have been made, the Allocation Letter is sent to the CCM from the Global Fund.

As well as sharing the country's overall allocation amount, the Allocation Letter includes an indication of:

- The [Communicated Program Split](#) indicating how the allocated funds have been divided between each disease component;
- Co-financing requirements to access the full allocation amount;
- Requirements related to the focus of the applications;
- The recommended application approach; and
- May also include an indication of available catalytic funding and/or other country-specific messages.

## Co-financing

Funding solely from the Global Fund and/or other sources of external financing is not sufficient to achieve the goal of ending the three epidemics and delivering better, more

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<sup>12</sup> List of Strategic Initiatives - <https://www.theglobalfund.org/en/applying-for-funding/sources-of-funding/strategic-initiatives/>



equitable health for all. Improved domestic financing – both in terms of better use of existing resources and of continued investment of additional resources -- must play a key role in meeting goals of national strategies. It is therefore critical that national governments sustain, increase and improve domestic financing of national responses and the health sector.

[The Sustainability, Transition and Co-financing Policy](#)<sup>13</sup> includes specific co-financing requirements aimed at incentivizing greater domestic resources for health and the three diseases. The Global Fund’s approach to co-financing is designed to encourage and support countries to strengthen the sustainability of national responses and increase impact by:

- Prioritizing and increasing spending on health;
- Strengthening resources available for national HIV, TB, and malaria responses, either by increasing investments in national responses and/or improving efficiencies of existing resources; and
- Progressively absorbing specific program costs and programmatic interventions essential to national HIV, TB and malaria responses, including those financed by the Global Fund.

### **Co-financing Requirements**

In order to access Allocation Funding, countries should show progressive government expenditure on health and uptake of key program costs, including those supported by the Global Fund. Domestic investment is also encouraged by making at least 15% of a country’s allocation conditional on meeting co-financing requirements during the allocation period. The amount and focus of these additional co-financing investments is determined by a country’s income classification and country context.

The co-financing requirements pertaining to each country are communicated in the Allocation Letter.

For the Global Fund, co-financing pertains to domestic public resources and domestic private contributions<sup>14</sup> (excluding direct out-of-pocket expenditures borne by households) that finance the health sector and the national responses against HIV, TB and malaria. A more detailed description of co-financing and co-financing requirements is included in the forthcoming Co-Financing Operational Policy Note<sup>15</sup> and the [Sustainability, Transition and Co-Financing Guidance Note](#).<sup>16</sup>

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<sup>13</sup> Sustainability, Transition and Co-Financing Policy - [https://www.theglobalfund.org/media/4221/bm35\\_04-sustainabilitytransitionandcofinancing\\_policy\\_en.pdf?u=637066574910000000](https://www.theglobalfund.org/media/4221/bm35_04-sustainabilitytransitionandcofinancing_policy_en.pdf?u=637066574910000000)

<sup>14</sup> Restricted to verifiable contributions from domestic corporations and philanthropies that finance National Strategic Plans (excludes direct out of pocket expenditures borne by households)

<sup>15</sup>The Co-Financing Operational Policy Note is expected to be published by the end of 2022 and will be available in the [Operational Policy Manual](#).

<sup>16</sup> Sustainability, Transition and Co-Financing Guidance Note - [https://www.theglobalfund.org/media/5648/core\\_sustainabilityandtransition\\_guidancenote\\_en.pdf](https://www.theglobalfund.org/media/5648/core_sustainabilityandtransition_guidancenote_en.pdf)

## Demonstrating Compliance with the Co-financing Requirements

CCMs<sup>17</sup> should include a description of co-financing commitments in the funding request narrative and in the Funding Landscape Table annex. This includes both forward looking co-financing commitments to access the new allocation, as well as a description of how the country has realized previous commitments. In addition, CCMs should work closely with national stakeholders to document specific commitments in a formal commitment letter, which must be submitted prior to the approval of the Global Fund grant. The CCM should also submit appropriate documentation to serve as evidence of the realization of these commitments.

During the application process, the Global Fund will review evidence of whether a country has met its co-financing requirements. If co-financing conditions are not met, it may have an impact on annual Global Fund funding decisions and/or availability of funding in subsequent allocations.

**A webinar on Sustainability, Transition and Co-financing and Innovative Finance will be held on 30 November 2022.**

Registrations for this and other webinars are available on the [Global Fund Website](#). Recordings will be made available on [iLearn](#) following the session.

## Focus of Application Requirements

To strengthen the overall impact and sustainability of Global Fund investments, the Global Fund's Focus of Application Requirements guide how countries should invest Global Fund financing. These requirements differ based on a country's income classification and are designed to ensure that Global Fund financing strategically addresses critical challenges – including removing human rights and gender barriers to access, strengthening RSSH, and expanding services for key and vulnerable populations – in different contexts across the development continuum.

### Low-Income Countries

For Low-Income countries, there are no restrictions on the programmatic scope of allocation funding for HIV, TB or malaria requests and applicants are strongly encouraged to include RSSH interventions. Applications must include, as appropriate, interventions that respond to key and vulnerable populations, human rights and gender-related barriers, inequities, and vulnerabilities in access to services.

### Lower Middle-Income Countries

For Lower Middle-Income countries, at least 50% of allocation funding should be for disease-specific interventions for key and vulnerable populations and/or highest impact interventions within a defined epidemiological context. Requests for RSSH must be primarily focused on improving overall program outcomes for key and vulnerable populations in two or more of the diseases and should be targeted to support scale-up,

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<sup>17</sup> Multi-country priorities, non-CCM applicants and countries included in multi-country grants that are no longer eligible for a standalone Global Fund grant for the same disease component are exempt from co-financing requirements.

efficiency and alignment of interventions. Applications must include, as appropriate, interventions that respond to human rights and gender-related barriers, inequities and vulnerabilities in access to services.

### Upper Middle-Income Countries

For Upper Middle-Income countries, 100% of the Global Fund allocation should focus on interventions that maintain or scale-up evidence-based interventions for key and vulnerable populations. Applications must include, as appropriate, interventions that respond to human rights and gender-related barriers and to vulnerabilities in access to services. Applications may also introduce:

- new technologies that represent global best practices, are critical for sustaining gains and move towards control and/or elimination; and
- interventions that promote transition readiness that include critical RSSH needs for sustainability and that work to improve equitable coverage and uptake of services.

### Transition Funding

As described above and in the [Sustainability, Transition, and Co-Financing Policy](#),<sup>13</sup> the Global Fund may provide transition funding to countries that have become ineligible for Global Fund allocations, in order to support a smooth transition toward full domestic financing and management of the national response. Transition funding should be used to fund activities included in the country's transition work-plan. Guidelines for the development of a transition work-plan are included on the [Sustainability, Transition, and Co-Financing Guidance Note](#).<sup>16</sup> In addition, applicants should take into account the Focus of Application Requirements for Upper Middle-Income countries as described above, which remain relevant for transition funding.

### Application Approaches

Applicants use one of five different application approaches to submit their fundings requests. The applicant approaches have different application forms, different required annexes, and are reviewed differently by the TRP. This differentiation allows funding requests to be developed and reviewed more efficiently, so greater time can be spent implementing grants.

For the 2023-2025 allocation period, the different funding request application forms are:

- **Program Continuation** provides a streamlined way for well-performing programs to continue implementation if no significant changes are needed.
- **Tailored for National Strategic Plans** primarily indicates references to a prioritized and costed National Strategic Plan and/or other national document, rather than repeating the information in the application form.
- **Full Review** applications are a comprehensive review of strategic priorities and programming in higher-burden countries.
- **Tailored for Focused Portfolios** is designed to meet the needs of countries with lower disease burdens who are allocated smaller funding amounts, and where the investments of the Global Fund are targeted on a few focus areas.
- **Tailored for Transition** is suitable for countries receiving transition funding, projected to transition from Global Fund Financing, and/or who have used a

transition funding application in the past. This application is focused on supporting countries to address specific transition challenges, in order to help strengthen the transition process and smooth the transition to full domestic financing and management of the national response.

**Webinars on the Application Approaches, Instructions, and Annexes will be held in October and November 2022.**

Registrations for these webinars are available on the [Global Fund Website](#). Recordings will be made available on [iLearn](#) following the sessions.

In addition to the detailed Instructions available on the website, [eLearnings](#) are also planned which include background information, additional context, and a walkthrough of each application approach.

## 3. Preparing for the 2023-2025 Allocation Period

Even before Allocation Letters are received, applicants can take steps to prepare for the new allocation period. This section outlines steps both specific to this allocation period, as well as those which can be taken at any point during the funding cycle.

### 3.1 Planning Country Dialogue

The Global Fund is committed to supporting programs that reflect national ownership, that build partnerships across all sectors of society, and that strengthen the participation of communities and people, particularly those affected by the three diseases. These programs should work to eliminate stigmatization and discrimination, should coordinate with existing regional and national programs, and should promote transparency and accountability. These core principles of the Global Fund are at the heart of the CCM model and are expressed in country dialogue.

Country dialogue is nationally owned and led. It is the most effective way to determine the right national strategies and activities to end the HIV and TB epidemics and to eradicate malaria.

It is an ongoing process at the country level that should involve a broad range of stakeholders, including civil society, key and vulnerable populations, youth, adolescent girls and young women, women and gender-diverse communities, implementers, faith-based organizations, country governments, academia, the private sector, donors, and bilateral, multilateral and technical partners.

#### **Funding Request:**

CCMs lead country dialogue. CCMs must demonstrate that the funding request has been developed through transparent and inclusive process that engages a broad range of stakeholders, including civil society and communities of key and vulnerable populations. See the section below on CCM Eligibility Requirements for more information.

In the 2023-2025 allocation period, all applicants are asked to submit the **Country Dialogue Narrative Annex**, which describes the process undertaken in the country to engage a broad range of stakeholders in the country dialogue process.

#### **Grant-making:**

Country dialogue should inform program design to ensure interventions reach relevant populations effectively, efficiently and equitably.

## Grant implementation:

CCM's continue in their oversight role, focused on increasing the impact and effectiveness of the Global Fund grant. They are expected to coordinate ongoing country dialogue to optimize the implementation of the grant.

**A webinar on Country Dialogue Expectations was held on 5 October 2022.**

Recordings and slides are available on [iLearn](#).

## CCM Eligibility Requirements

The six eligibility requirements with which CCMs and RCMs<sup>18</sup> must comply remain unchanged for the 2023-2025 allocation period.

At the funding request submission stage, the Global Fund will conduct a screening of [CCM Eligibility Requirements](#)<sup>19</sup> one and two, related to the inclusive funding request development process and the open and transparent Principal Recipient selection process. The assessment of CCM eligibility requirements three to six is performed both at the time of the first funding request submission and on a yearly basis throughout the period of Global Fund financing.

**For more information on CCM Eligibility requirements, please see [Annex II: Further Information on Country Coordinating Mechanism Eligibility Requirements](#)**

## 3.2 Analyzing, Planning & Strengthening

### Consider Health and Community System Needs

Building RSSH - which includes community systems - is essential for ending HIV, TB and malaria as epidemics. Common constraints in both community and formal health system prevent the delivery of essential health services and threaten progress in the fight against the three diseases. Investing in RSSH yields broad health outcomes and enables health care to be delivered in a sustainable, equitable and effective way while accelerating progress toward better health and wellbeing for all.

In parallel to examining the programmatic gaps in each of the national disease responses, applicants are also asked to use the [RSSH Gaps and Priorities Annex](#). This annex helps applicants to perform a robust needs assessment and gap analysis of health and community systems and use evidence, including on value for money, to drive investment priorities for Global Fund grants as well as other sources of health financing.

As a new requirement for the 2023-2025 allocation period, applicants must indicate in their program split confirmation form the amount they intend to invest in crosscutting RSSH

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<sup>18</sup> Non-CCMs and Regional Organizations need to demonstrate compliance with the overall principle of inclusiveness, as appropriate, given the country or multi-country context.

<sup>19</sup> CCM Eligibility Requirements - [https://www.theglobalfund.org/media/5551/fundingrequest\\_ccmeligibilityrequirements1-2\\_guidance\\_en.pdf](https://www.theglobalfund.org/media/5551/fundingrequest_ccmeligibilityrequirements1-2_guidance_en.pdf)

from within the allocation for each disease component. This can help to identify synergies in system investments across the eligible diseases.

In order to efficiently and effectively deliver patient-centered health services, applicants are encouraged to explore opportunities for integration of Global Fund grant-supported programming across the three diseases and within broader systems for health. Areas to explore include: labs, supply chains, data systems, community systems strengthening (including community-led monitoring, community mobilization, community-led advocacy and research and capacity building and leadership development), and human resources for health at the community and facility level. Applicants should also assess how to engage with the private sector, which accounts for a sizeable proportion of care in many countries.

**For more information on investing in Resilient and Sustainable Systems for Health please see the [RSSH Information Note](#).**

**For more information on Program Split, please see [Annex I: Further Information on Program Split](#).**

## **Address Barriers to Human Rights, Gender Equality and Health Equity**

Effective responses to the three diseases are undermined by human rights- and gender-related barriers. It is essential to comprehensively address these barriers by reducing gender inequality and promoting and protecting the rights of people living with and affected by the diseases, including the rights of women, children, adolescents and youth, gender-diverse communities, as well as members of key and other vulnerable populations.

Likewise, it is important to maximize health equity and work to eliminate the unnecessary, avoidable, unfair and unjust differences in health outcomes between groups of people. This means ensuring the poorest and most marginalized are a key focus of Global Fund-supported programs.

Before developing their funding requests, applicants are encouraged to have a data-informed understanding of what inequalities and barriers exist related to human rights, gender equality, and health equity; why these inequalities and barriers exist; and what impact they have on health outcomes.

If available, applicants are encouraged to include relevant assessments on human rights, gender equality and health equity with their funding requests.

## **Develop or Update National Strategic Plans and Conduct Program Reviews**

The Global Fund encourages applicants to use National Strategic Plans (NSPs) for the diseases as a starting point for funding requests. NSPs are country-owned and provide the overall strategic direction for a country over a period of time. The plans may be further supported by implementation plans (annual, bi-annual or three-year plans) and other operational documents, including a costed and prioritized budget. NSPs should be aligned with the overarching national health strategy and national health plan in a country and

consider value for money (more advice is available in the [Value for Money Technical Brief](#)).<sup>20</sup>

A program review should assess implementation, bottlenecks, evaluate the progress and course corrections that are required to optimize country's responses to three diseases and health systems within available resources. The systematic evaluation of strengths, challenges, progress, and lesson learned through program reviews give a strong foundation for the update or development of a new National Strategic Plan.

For NSP development tools, please see the information box below. For specific tool to examine the quality of NSPs, please refer to the International Health Partnership's [JANS tool](#)<sup>21</sup> and to technical partner resources on NSP development.

**To learn more about creating National Strategic Plans, please see:**

[JANS Tool and Guidelines](#)<sup>21</sup>

[Global Fund Core Information Notes and Technical Briefs](#)<sup>22</sup>

**For more resources from technical partners on NSP development, please see [Value for Money Technical Brief Annex 5: Additional Information and References](#)**<sup>23</sup>

## **Build Capacity for Community Based & Led Organizations**

Evidence shows that strong community systems ensure stronger responses to the three diseases and lead to better results and outcomes for people infected and affected by HIV, TB and malaria. The Global Fund encourages applicants to invest in community systems strengthening (CSS). CSS investments can include the establishment, strengthening and building of sustainability of community-led and community-based organizations, particularly those led by key populations, women, youth and people living with or affected by the three diseases. Building their capacity will ensure better access to services.

More information can be found in the [RSSH Information Note](#) and in the Community Systems Strengthening Technical Brief.<sup>24</sup>

## **Request Technical Cooperation if Appropriate**

As countries design, implement and evaluate programs to fight HIV, TB, and malaria, as well as strengthen RSSH, they may discover capacity gaps and challenges that hinder the impact of their efforts. In many circumstances, technical cooperation may help strengthen country capacity to address these gaps and challenges and thereby maximize impact.

Global Fund defines technical cooperation (sometimes also referred to as 'technical assistance' [TA] or 'technical support') as the engagement of people with specific and

<sup>20</sup> Value for Money Technical Brief - [https://www.theglobalfund.org/media/8596/core\\_valueformoney\\_technicalbrief\\_en.pdf](https://www.theglobalfund.org/media/8596/core_valueformoney_technicalbrief_en.pdf)

<sup>21</sup> JANS tool - <https://www.uhc2030.org/what-we-do/coordination-of-health-system-strengthening/jans-tool-and-guidelines/>

<sup>22</sup> Applicant guidance materials - <https://www.theglobalfund.org/en/applying-for-funding/design-and-submit-funding-requests/applicant-guidance-materials/>

<sup>23</sup> Value for Money Technical Brief Annex 5: Additional Information and References - [https://www.theglobalfund.org/media/8596/core\\_valueformoney\\_technicalbrief\\_en.pdf#page=50](https://www.theglobalfund.org/media/8596/core_valueformoney_technicalbrief_en.pdf#page=50)

<sup>24</sup> Community Systems Strengthening Technical Brief expected to be published in November 2022.



relevant technical expertise to support inclusive country dialogue, preparatory activities, grant-making processes or implementation of Global Fund-supported programs. Technical support, which can be short or long term, seeks to strengthen the capacity of individuals and institutions to undertake the relevant activities as well as to generate data and use it to support decision making.

### Support for Civil Society & Community Organizations

Additionally, the Global Fund provides TA through the Community Engagement Strategic Initiative (CE SI) to civil society and community organizations to meaningfully engage in Global Fund processes, including during:

- Country dialogue,
- Funding request development,
- Grant-making, and
- Grant implementation and oversight.

In addition, this mechanism supports civil society and community engagement in national processes that relate to the Global Fund, such as National Strategic Plan development for the three diseases.

**To learn more about the short-term TA offered through the Community Engagement Strategic Initiative, please see the [Global Fund website](#).**

**To learn more about which technical cooperation resources may be available, please see [Technical Cooperation Resources](#)<sup>25</sup> on the Global Fund website.**

### Strengthen Sustainability and Prepare for Transition

Implementing countries, together with global development partners, have made significant progress in the fight against HIV, TB and malaria and in strengthening health systems. But accelerating the end of the epidemics will only be achieved with sustainable health systems that are fully funded and managed by countries through their own domestic resources. As part of its efforts to support countries to strengthen sustainability, there are several thematic areas that the Global Fund recommends all countries consider. These include (but are not limited to):

- Strengthening national planning, including development of robust, costed, and prioritized National Strategic Plans, health sector plans, and health financing strategies and other relevant national planning;
- Strengthening the overall financing of health systems and the national responses, focusing both on raising additional domestic resources for health and enhancing the efficiency and optimal use of existing resources;
- Implementing through national systems and strengthening alignment of Global Fund support with those systems, where possible and feasible;
- Enhancing strategic investments in RSSH;
- Maintaining and strengthening access to affordable, quality health products;
- Strengthening value for money of national responses and health systems; and

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<sup>25</sup> Technical Cooperation Resources - <https://www.theglobalfund.org/en/funding-model/throughout-the-cycle/technical-cooperation/>

- Advancing human rights, gender equality and health equity, and supporting activities to reduce barriers to access related to gender and human rights.

In addition, the Global Fund encourages implementing countries to consider a number of additional thematic areas that are particularly important to consider as they prepare for transition from Global Fund financing, including (but not limited to):

- Assessing their readiness to transition and conducting sustainability / transition planning;
- Addressing transition challenges related to services for key and vulnerable populations and services provided by civil society and community organizations;
- Accelerating the co-financing of all interventions, particularly those still dependent on Global Fund financing; and
- Carefully considering the role implementers of Global Fund grants and CCMs can play in strengthening sustainability and supporting the transition process.

### **Consider the TRP Review Criteria and Lessons Learned**

To support the Global Fund in financing programs that are positioned to achieve the highest impact, the Board relies on an independent panel of international experts, called the Technical Review Panel (TRP), to review and assess the prioritized interventions in the funding request.

The TRP is a team of technical experts with expertise in HIV; TB; malaria; health systems and community systems; human rights, equity and gender; sustainable financing; and cross-cutting development issues such as pandemic preparedness. They have the responsibility for assessing funding requests on the basis of technical merit, strategic focus, positioning for sustainability and potential for impact. They also provide advisory input to the Global Fund Board.

To perform their review, the TRP considers the following review criteria:

- Ending AIDS, TB and malaria;
- Maximizing people-centered integrated systems for health;
- Maximize health equity, gender equality and human rights;
- Strengthen resource mobilization, sustainability, health financing, and value for money; and
- Strengthen countries' pandemic preparedness capabilities by building integrated and resilient systems for health.

After reviewing the funding requests, the Technical Review Panel releases reports and observations, identifying key trends, lessons learned and recommendations for programming.

Applicants are encouraged to consider the [TRP Review Criteria](#),<sup>26</sup> the [2020-2022 TRP Observations Report](#)<sup>27</sup> and [other TRP reports](#)<sup>28</sup> when reflecting on how to strengthen current programs and when developing their funding requests.

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<sup>26</sup> TRP Terms of Reference and Review Criteria -

[https://www.theglobalfund.org/media/3048/trp\\_technicalreviewpanel\\_tor\\_en.pdf#page=15](https://www.theglobalfund.org/media/3048/trp_technicalreviewpanel_tor_en.pdf#page=15)

<sup>27</sup> 2020-2022 TRP Observation Report - [https://www.theglobalfund.org/media/12137/trp\\_2020-2022observations\\_report\\_en.pdf](https://www.theglobalfund.org/media/12137/trp_2020-2022observations_report_en.pdf)

<sup>28</sup> TRP Reports - <https://www.theglobalfund.org/en/technical-review-panel/reports/>

## 4. Developing the Funding Request

The development of the funding request formally begins when applicants receive their Allocation Letters, sent by the Global Fund to CCMs starting in December 2022.

This section details some important steps that should take place during the development of the funding request. The full list of steps and the order in which these steps are taken will vary depending on country context.

Sections 4.1 to 4.6 detail **how** to prepare for funding request development and sections 4.7 to 4.12 detail **what content and considerations** should be covered in funding request development.

### 4.1 Evaluate Programmatic and RSSH Gaps

Applicants are encouraged to prepare for country dialogue discussions by already having completed before country dialogue, at a minimum, the Programmatic Gap Tables, the Funding Landscape Table, and the RSSH gaps analysis found within the RSSH Gaps and Priorities Annex. This will help ensure that the program split and programmatic priority discussions are informed by recent data.

The RSSH Gaps and Priorities Annex requests information about an applicant's RSSH priorities by disease and asks how these are prioritized into a coherent request for investments in RSSH which is aligned with the national health sector plan. Applicants are also asked to provide information about existing and projected RSSH funding, funding gaps and how the funding request fills these gaps.

### 4.2 Review & Confirm Program Split

CCMs have the flexibility to revise the communicated allocation between eligible disease components and sustainable health systems activities to better suit the country context. Informed by country dialogue, the CCM uses a documented and inclusive process to determine how to best designate the funding. CCMs are encouraged to decide up front how the process will work, set up meetings to determine the program split, and ensure discussions are data-based and include representatives for health systems. In these discussions, CCMs are asked to consider and plan necessary investments in cross-cutting RSSH interventions.

When CCMs provide their Proposed Program Split to the Global Fund, they are asked to provide an indicative amount of RSSH spending that is anticipated from within the allocation for each disease component. This should be informed by the analysis done for the RSSH Gaps and Priorities Annex.

Applicants must confirm their existing or revised program split no later than at the time of submitting their first funding request. This is done by completing the Program Split Confirmation Template (shared with the Allocation Letter).

**A webinar on Country Dialogue Expectations, including Program Split was held on 5 October 2022.**

Recordings and slides are available on [iLearn](#).

## 4.3 Plan Which Funding Requests will be Submitted

The Global Fund encourages applicants to submit integrated funding requests, which means that a funding request includes all eligible disease components and investments in RSSH. This allows applicants to better present how the disease programs and investments in RSSH are being considered comprehensively and how the programs best complement each other, achieving better integration and value for money.

Even when an integrated approach is not pursued, countries are strongly encouraged to include their entire request for RSSH investments in one application (either with a disease application or in a stand-alone application) to ensure a coherent approach and minimize fragmentation.

In cases where there is a high rate of co-infection of TB and HIV, applicants are required to submit at least the TB and HIV components in the same request. A request with just TB and HIV is called a joint request. If a country is required to submit a joint request, this requirement will be indicated in the Allocation Letter.

## 4.4 Plan When Funding Requests will be Submitted

### Submission Windows

The Global Fund has defined dates for funding request submissions and associated review windows for 2023. Windows for 2024 will be announced on the Applicants will work with Global Fund Country Teams to identify an appropriate review window.

Review Window	Submission Date	Technical Review Panel Dates
1	20 March 2023	April – May 2023
2	29 May 2023	July 2023
3	21 August 2023	September - October 2023

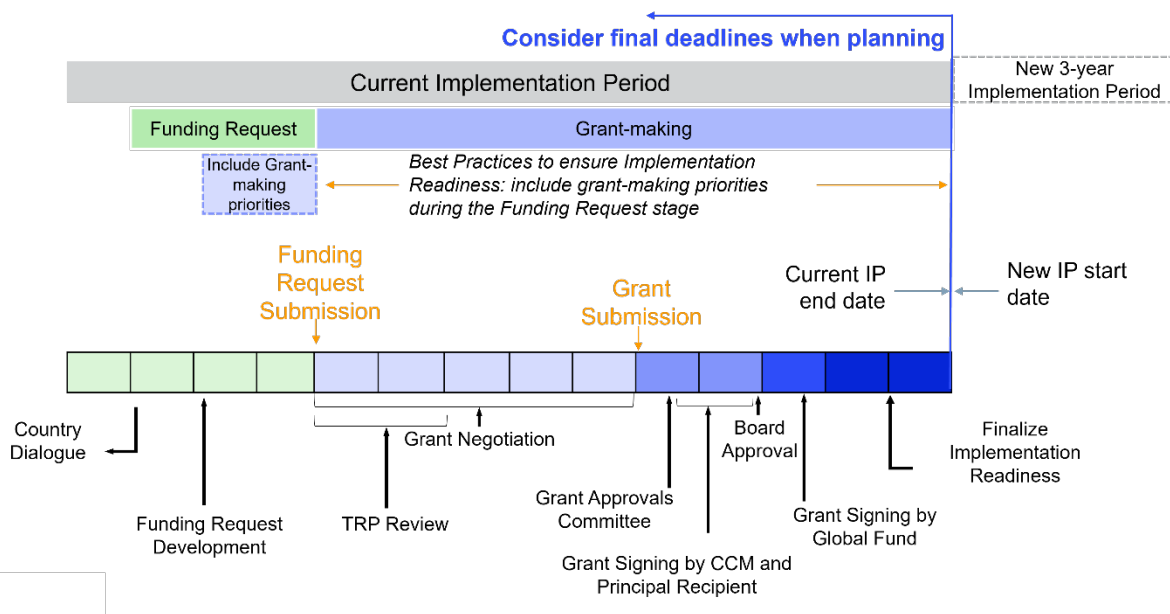
Country Teams will then register the applicant for the review window. Countries with a current grant end date of December 2023 are strongly recommended to prepare their funding request for window 1 submission. All funding request documents will be completed offline using relevant templates, and the Country Team will then upload them in the Global Fund system.

The Funding Request Tracker<sup>29</sup> lists the registered submission window for a funding request.

## Plan and Ensure Implementation Readiness

Applicants, together with implementers and Country Teams, plan the funding request and grant-making stages and deliverables in an integrated manner to ensure grants are “implementation-ready” before the new grant starts. Ideally this means that new grants are signed at least one month before the end of the current grant.

When planning, CCMs must allow adequate time for inclusive dialogue, funding request development, review processes, grant-making, grant approval and grant signing. The overall process from funding request to grant signing can take around 9 months (or longer in some cases depending on the length of grant-making).



Timing of funding request and grant submission are crucial to ensuring implementation readiness. Implementation readiness means PR human resources, sub-recipients, and suppliers are identified early and contracted and an implementation workplan for year one of the Implementation Period of the grant has been agreed, so that the Principal Recipient can begin implementing grant activities immediately on the Implementation Period start date.

The Global Fund expects that all available opportunities to ensure implementation readiness are undertaken, including advancing grant-making priorities during the funding request development.

Applicants, and particularly those using the Program Continuation application or those with continuing PRs, are strongly encouraged to confirm the selection of the Principal Recipient early in the country dialogue process, and invite the Principal Recipient to engage in the development of core documents (e.g., Performance Framework, Detailed Budget and the

<sup>29</sup> Funding Request Tracker expected to be published in January 2023.

Health Product Management Template). This will mean that the documents submitted with the funding request already include a level of detail appropriate for grant-making, so grant-making negotiations can be quicker.<sup>30</sup>

Implementation readiness can be further accelerated by initiating the selection and contracting of human resources, Sub-Recipients and procurement partners early and to the extent possible.

The advancement of grant-making is not recommended in cases where the applicant has concerns about the performance of the Principal Recipient(s) and/or where the Principal Recipient is expected to change.

## 4.5 Consider Overall Prioritization and Value for Money

Funding requests should reflect prioritization and value for money. Value for money is demonstrated through the five dimensions of economy, effectiveness, efficiency, equity, and sustainability. Prioritization and balance between the five elements of value for money should consider country context, including epidemiological trends, programmatic gaps, expected results, contributions from other funding sources, available budget, as well as health system capacity constraints. To learn more about the value for money framework, please refer to the [Value for Money Technical Brief](#).

Discussions on prioritization and value for money require inclusive and transparent processes, with involvement of all key stakeholders, including civil society and communities affected by HIV, TB or malaria, and are supported by evidence whenever possible. In order to ensure alignment with normative guidance, applicants are strongly encouraged to include technical partners in funding request development, especially in discussions around prioritization and value for money.

The proposed interventions are separated into one of the two parts of the funding request: 1) the allocation request or 2) the Prioritized Above Allocation Request (PAAR) annex. The PAAR is a list of costed and prioritized interventions for which funding is needed, but which cannot be funded from the country allocation. The amount requested in the PAAR should be equivalent to at least 30% of the allocation amount. Proposed interventions which are judged to be technically sound are placed on the Global Fund's Register of [Unfunded Quality Demand](#).<sup>31</sup>

Other elements of the funding request, including the Programmatic Gap Tables, Funding Landscape Table, RSSH Gaps and Priorities Annex, and Essential Data Tables, can support prioritization. The process, evidence, rationale and dialogue to prioritize interventions and their relative value for money should be provided in the narrative of the funding request.

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<sup>30</sup> Forthcoming OPN on Make, Approve and Sign Grants expected to be published in early 2023.

<sup>31</sup> Unfunded Quality Demand - <https://www.theglobalfund.org/en/applying-for-funding/grant-making/unfunded-quality-demand/>

To learn about changes to the PAAR Annex, refer to the [Frequently Asked Questions for the 2023-2025 Allocation Period](#).<sup>32</sup>

## 4.6 Consider How Programs meet Program Essentials

Program Essentials are key evidence-based interventions and approaches identified by partners as being necessary for achieving the global goals of ending the three diseases as epidemics by 2030, and as such should be at the core of all national disease programs.

To ensure that programs are on track to fulfilling the Program Essentials, applicants are asked to indicate their progress towards meeting these for TB and HIV in new tabs in the Essential Data Tables. High Impact and Core countries are further asked to describe in the funding request narrative how they plan to address Program Essentials that are not fulfilled in HIV, TB or malaria programs.

The Technical Review Panel will evaluate progress towards fulfilling the Program Essentials as a part of their review. A country's level of advancement on the Program Essentials will not be the basis for iteration of the funding request. However, if there are concerns with the country's ability to make progress towards fulfilling the Program Essentials, the Technical Review Panel may choose to note this.

**Please see the TB, HIV and Malaria Information Notes to see a more detailed description of the Program Essentials.**

**A webinar on Updates to Information Notes - Including Program Essentials and Critical Approaches will be held on 24 November 2022.**

Registrations for this and other webinars are available on the [Global Fund Website](#). Recordings will be made available on [iLearn](#) following the session.

## 4.7 Consider How RSSH Critical Approaches Are Met

For RSSH, the Global Fund has identified critical approaches for investing in community systems and responses, monitoring and evaluation systems, human resources for health, health products management systems and national laboratory systems. These critical approaches are summarized in the [RSSH Information Note](#).

These critical approaches set out the main strategic directions for RSSH interventions supported by the Global Fund. The aim is to drive uptake and adoption of evidence-based recommendations and best practices for RSSH. Adherence to these critical approaches will help design, plan, develop and ensure that RSSH interventions delivered by Global Fund-supported programs are set up to achieve maximum impact.

The critical approaches should be referred to when filling in the RSSH related questions in the funding request template, as well as during grant negotiation and implementation.

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<sup>32</sup> Frequently Asked Questions for the 2023-2025 Allocation Period - [https://www.theglobalfund.org/media/12199/core\\_2023-2025cycle\\_faq\\_en.pdf](https://www.theglobalfund.org/media/12199/core_2023-2025cycle_faq_en.pdf)



## **4.8 Consider how investments support pandemic preparedness**

COVID-19 has revealed gaps in pandemic preparedness capabilities and derailed progress against HIV, TB and malaria. Alongside the critical work of its partners, the Global Fund aims to strengthen countries' pandemic preparedness capabilities in the 2023-2025 allocation period by building health systems which are resilient, sustainable, people-centered, and integrated and by strengthening the resilience of HIV, TB and malaria programs to pandemic threats.

Applicants are therefore asked to consider how programs can contribute towards improvements in pandemic preparedness. The RSSH Modular Framework contains modules on laboratory, surveillance, human resources for health, as well as medical oxygen and respiratory care that allow applicants to invest in activities to build pandemic preparedness capabilities.

## **4.9 Consider the Sustainability of Requested Interventions**

All applicants are encouraged to proactively consider strengthening sustainability of the national responses. This includes carefully considering how interventions financed by the Global Fund allocation will be sustained beyond the allocation period. It is critical for applicants to plan how the interventions (and the associated coverage levels and impact) financed with Global Fund support will be maintained even after Global Fund support comes to an end or decreases. This is particularly important given that Global Fund allocations can fluctuate. Lessons learned also highlight the critical need of advanced planning to support smooth transitions of externally financed interventions to domestic financing.

## **4.10 Consider How Requested Interventions Advance Gender Equality**

While developing and prioritizing the funding request, applicants should consider how the chosen interventions will advance gender equality. It is important to recognize that women, men and members of gender-diverse communities experience different gender-based risks, vulnerabilities, barriers to health services and consequences of poor health. Funding requests should respond to these gender-differentiated barriers and needs, while also addressing the causes of gender-based health inequalities and working to transform gender norms, roles and relations.

During their review, the TRP will assign a score for each funding request using the following rubric:

Score	Global Fund Minimum Criteria
<b>Not targeted (score 0):</b> Any funding request not meeting <i>Significant</i> or <i>Principal</i> criteria	It is strongly recommended that all funding requests are informed by gender analysis so <u>at a minimum</u> the Global Fund investment does no harm and does not reinforce gender inequalities
<b>Significant (score 1):</b> Gender equality is not the principal reason for undertaking the project/programme but is an important and deliberate part of the intervention	A gender assessment relevant to each disease component in the funding request has been conducted
	The findings of the gender assessment have informed the funding request
	The funding request includes at least one intervention explicitly contributing to advancing gender equality
	Data and indicators are disaggregated by sex and/or gender where applicable
<b>Principal (score 2):</b> Gender equality is a contributory objective of the project/programme and is fundamental in its design and expected results	A commitment to routinely collect and analyze sex and/or gender disaggregated data to inform program design, adaptation and understanding of performance
	A gender assessment relevant to each disease component in the funding request has been conducted
	The findings of the gender assessment have informed the funding request
	The funding request includes at least three interventions that explicitly contribute to the advancement of gender equality
	One of the main ambitions of the Global Fund investment is to advance gender equality
	Performance for the majority of interventions is being measured with sex and/or gender disaggregated indicators
A commitment to routinely collect and analyze gender disaggregated data to inform program design, adaptation and understanding of performance	

This score, called a Gender Equality Marker (GEM), will be used to track and report on how Global Fund investments collectively advance gender equality over time. The score will not have a bearing on whether funding requests are approved. However, applicants may wish to utilize the criteria to help ensure a systematic approach to improving gender equality over time.

## 4.11 Consider How Requested Interventions Align with Priorities Identified by Civil Society and Communities

In the 2023-2025 allocation period, civil society and communities most affected by HIV, TB and malaria are asked to identify their top twenty priorities for each funding request in a new annex.

Applicants are encouraged to refer to this annex to ensure that these needs inform the prioritization of interventions, the development of the funding request and the following grant-making discussions.

## 4.12 Consider How Programs Protect from Sexual Exploitation, Abuse and Harassment

Protection from sexual exploitation, abuse and harassment (SEAH) is included in the new Global Fund Strategy and is linked to the overarching principle of “do no harm”.

The Global Fund recognizes that it is essential to design programs that incorporate protection from SEAH as a cross cutting component to make interventions and programs as safe as possible by ensuring adequate focus on ‘how’ services are provided and accessed by the beneficiaries.

The Global Fund recommends that, during the country dialogue, all applicants identify program-related risk(s) of SEAH and propose corresponding mitigation measures.

Mitigation measures related to how the services are provided to, or accessed by, beneficiaries can be embedded within the proposed interventions. It is also recommended to include information on SEAH in community awareness activities such as outreach strategies, communication campaigns, trainings and other activities which target grant beneficiaries.

To facilitate the task of identifying such program-related risks and mitigation measures, applicants may use the ‘risk assessment and mitigation tool’ included as an optional annex in the application package. Alternatively, applicants may use other equivalent tools and share the results.

**For more information on protecting from sexual exploitation, abuse and harassment, please see the [Guidance Note on Protecting from SEAH](#).<sup>33</sup>**

## 4.13 Review Before Submission

Once a funding request has been developed, applicants are encouraged to review the funding request narrative and associated annexes for completeness and consistency before submission to the Global Fund. This includes:

- All questions have been answered and that all relevant question elements have been addressed;
- Any financial and programmatic figures add up and are consistent across the funding request narrative and annexes;
- Human rights barriers, gender inequality and health inequities that have been identified in the analysis are addressed in the funding request narrative. If they have not been addressed, this should be explained in the rationale;
- Relevant supporting documents are attached (please refer to the mandatory attachments list included in the respective Instructions) and references are accurate. Only attach additional documents if referenced in the funding request; and
- The description in the funding request is consistent with the identified gaps in the Programmatic Gap Table(s) and Funding Landscape Table and the rationale for prioritization is outlined clearly.

CCMs are recommended to share the funding request with all CCM members, Principal Recipients and other groups involved in the funding request development process before it is submitted. After the funding request has been submitted to the Global Fund, it is

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<sup>33</sup> Guidance Note on Protection from Sexual Exploitation, Abuse and Harassment - [https://www.theglobalfund.org/media/12159/ethics\\_protection-sexual-exploitation-abuse-harassment-guidance\\_note\\_en.pdf](https://www.theglobalfund.org/media/12159/ethics_protection-sexual-exploitation-abuse-harassment-guidance_note_en.pdf)

recommended the CCM share it with participants of the country dialogue process so that they can see the final results and are familiar with what was submitted.

## 5. After Funding Request Submission

After submitting a funding request, it is reviewed by the TRP. If the funding request is recommended for grant-making, grant documents are developed, which are reviewed by the GAC. Grants are then recommended to the Board for approval.

### 5.1 Technical Review Panel (TRP)

Following the TRP review of the funding request using their [review criteria](#), the outcome will be one of the following:

- Proceed to grant-making: the funding request is determined to be strategically focused and technically sound, although the applicant might need to address time-bound clarifications or make adjustments; or
- Re-submit funding request (iteration): The applicant should address the comments raised by the TRP in a revised funding request to be re-submitted for a second TRP review prior to advancing to grant-making. This iteration may be on a per-component basis in joint or integrated requests, allowing other components to proceed to grantmaking.

Communication of TRP outcomes to applicants is through a Review and Recommendation Form that is shared by Country Teams. In most cases, the applicant will receive this form within two weeks following the end of the TRP meeting.

To learn more about the Technical Review Panel, please see: [TRP Terms of Reference and Review Criteria](#)  
[2020-2022 TRP Observations Report](#)

### 5.2 Grant-making

Grant-making is the process of translating the funding request, including recommendations from the TRP (and GAC if relevant), into quality grants that are disbursement-ready for GAC review and Global Fund Board approval, and implementation-ready at the Implementation Period start date.

For more information and resources on Grant-Making, please see the [Grant-Making page of the Global Fund website](#).<sup>34</sup>

### 5.3 Grant Approvals Committee

GAC reviews will generally take place after grant-making is completed, when the final grants are ready for review. A GAC review can take place during grant-making if specifically requested.

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<sup>34</sup> Grant-making - [https://www.theglobalfund.org/media/12159/ethics\\_protection-sexual-exploitation-abuse-harassment-guidance\\_note\\_en.pdf](https://www.theglobalfund.org/media/12159/ethics_protection-sexual-exploitation-abuse-harassment-guidance_note_en.pdf)

Following review of final grant documentation, the GAC submits a report with recommendations to the Board. If approved by the Board, final amounts, as well as grant requirements, are communicated to the applicant by the Country Team.

Following GAC recommendation, the Unfunded Quality Demand Register will be updated on the Global Fund website.

### **Grant Approvals Committee Review Criteria**

- Determination of final programmatic scope to ensure strategic investment of Global Fund resources for maximum impact, aligned with the national strategy and focused on key populations, human rights, gender, and high transmission geographies as appropriate.
- Confirmation that issues and clarifications raised by the TRP and GAC (if applicable) have been addressed during grant-making.
- Rigorous financial and budget review that results in cost efficiencies and savings (e.g., in program management and unit costs), which can be re-invested for greater impact.
- Adequate risk identification and mitigation measures put in place against residual risks.
- Overall grant management arrangements and capacity to implement, including compliance with Global Fund minimum standards and applicable policies and procedures.
- Clarification of key strategies and actions for follow-up during program implementation to ensure program quality and efficiency.
- Assessment of government and partners' funding landscape including domestic contributions and sustainability plans.
- Overall implementation-readiness of grant.

## **5.4 Grant Signing**

The Global Fund Board approves disbursement-ready grants, after which the parties sign the grant agreement, PRs ensure implementation-readiness and grant funds are committed and released to the Principal Recipient. The Board approves the funding recommended for each country disease component and its constituent grants for the duration of the relevant implementation period.

The grant agreement must be signed as soon as possible to facilitate disbursement of funds and prepare for implementation right from the start of the implementation period.

# Annex I: Further Information on Program Split

The Global Fund uses specific terminology when referring to the program split:

- *Communicated Program Split* is the amount that the Global Fund recommends to the CCM in the initial Allocation Letter. The Communicated Program Split does not include a split for RSSH.
- *Proposed Program Split* is the amount transmitted back to the Global Fund following discussion by the CCM and informed by country dialogue. This program split is either *Confirmed Program Split* (if the CCM agrees with the split communicated by the Global Fund) or a *Revised Program Split* (if the CCM determines that a different split is required).
- *Indicative Spending for RSSH* is the amount intended for investments in RSSH from within the allocation for each disease component.
- *Approved Program Split* is the amount approved by the Global Fund following review of the Proposed Program Split.

When applicable<sup>35</sup>, and before the submission of the first funding request, the applicant must confirm or propose a revision to the Communicated Program Split in the Allocation Letter. While doing so, the applicant must be mindful of the following:

- Applicants are advised to complete the programmatic gap tables and RSSH gap analysis prior to discussing and deciding on the program split.
- Applicants must confirm or propose their revised program split no later than at the time of submitting their first funding request by completing the Program Split Confirmation Template (shared with the Allocation Letter).
- As a new requirement for this cycle, applicants must indicate the intended investment amount for RSSH from within the allocation for each disease component. This is required to identify synergies in system investments across the eligible diseases. Providing this information is not considered a program split change and does not require the Global Fund approval.
- However, as in past cycles, if a standalone RSSH grant is anticipated, applicants must use the Program Split Confirmation Template to indicate a new program split, with RSSH as a separate component. This is a program split change.
- The applicant is only required to submit a justification for the proposed program split if the split is different from the one communicated by the Global Fund in the Allocation Letter. The decision-making process should be inclusive, justified, and documented.
- The Global Fund also communicates in the Allocation Letter where allocation-related decisions or outcomes have intended implications around the use of funds, as identified through the qualitative adjustment process. Any changes to program split for those components is closely monitored.
- The Country Team is required to be involved in the program split discussions to ensure a robust, inclusive process and a clear rationale underlying the CCM's Proposed Program Split.
- The Global Fund's approval of the program split is mandatory and must be obtained before the TRP reviews the applicant's first funding request.

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<sup>35</sup> Applicants receiving an allocation for only one disease component do not need to perform this step.

# Annex II: Further Information on CCM Eligibility Requirements

The six eligibility requirements with which CCMs and RCMs must comply remain unchanged for the 2023-2025 allocation period.

For additional information see online information on CCM Policy and Guidelines, linked below:

- **Requirement 1:** Carry out a transparent and inclusive funding application development process.
- **Requirement 2:** Facilitate an open and transparent Principal Recipient selection process.
- **Requirement 3:** Submit and follow an oversight plan for all Global Fund approved financing.
- **Requirement 4:** Show evidence of membership of affected communities in the coordinating mechanism.
- **Requirement 5:** Ensure representation of nongovernmental members in the coordinating mechanism through transparent and documented processes developed by each constituency.
- **Requirement 6:** Adopt and enforce a code of conduct, and conflict of interest policy.

## Compliance with Eligibility Requirements

As part of the funding request application process, applicants must ensure compliance with all Eligibility Requirements applicable to them and maintain documented evidence.

At the funding request submission stage, the Global Fund Secretariat will apply a differentiated review of CCM eligibility requirements 1 and 2. Country components considered to have higher risk of non-compliance with regards to meeting CCM eligibility criteria would require greater scrutiny and in-depth review. Others will undergo a lighter screening. The appropriate level of screening for compliance with eligibility requirements 1 and 2 shall be determined by the Compliance Review Panel (CRP). Please refer to [Guidance on CCM Eligibility Requirements 1 and 2](#)<sup>36</sup> for further information.

The Threshold Assessment tool rolled out for most CCMs within the CCM Evolution project 2021-2022 confirms the applicant's compliance status to Eligibility Requirement three to six<sup>37</sup> for the Funding Cycle 2023-2025 and provides the means for the annual follow up. Those CCMs for whom the tool has not been rolled out have been contacted separately to undertake an update assessment in 2022 before the new cycle begins in 2023.

**For more information and resources on CCM Eligibility, please see:**

<sup>36</sup> CCM Eligibility Requirements - <https://www.theglobalfund.org/en/country-coordinating-mechanism/eligibility/>

<sup>37</sup> The assessment of CCM eligibility requirements three to six is performed prior to the first funding request submission.



- [CCM Policy Including Principles and Requirements](#)
- [CCM Policy and Assessment Tool](#)
- [Guidance on CCM Eligibility Requirements 1 and 2](#)
- [Introduction to Global Fund and CCMs video](#)