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# Instructions on Implementation Arrangements Mapping

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GENEVA, SWITZERLAND

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# 1. Introduction

Funding requests to the Global Fund must include a mapping of the implementation arrangements for the proposed grant(s). The implementation arrangements maps outline who will be doing what with what portion of Global Fund grant funds, as well as the relations with the national health sector structures at central and decentralized levels. High quality implementation maps that are prepared well-ahead of grant signing will support a PR in ensuring Implementation Readiness at grant start date. Implementation Readiness is defined as the PR ability to implement all activities defined in the grant confirmation immediately upon the grant start date. Readiness supports the achievement of grant targets and absorption of the predefined budget within the agreed timelines.

Relations should reflect all levels: from the PR downwards, with the Ministry of Health, National Program, and regional and district level entities engaged in the three diseases, as well as the donor level-flows into the National Health Sector. This equally applies to government and non-government PRs.

A map is required for each grant. When a program is composed of various grants, an integrated implementation arrangements map for the full program may be required to show inter-linkages.

The maps are used during the grant lifecycle as follows:

- Funding Request: Applicants start outlining implementation arrangements during the funding request stage. Applicants can either update their current implementation map or create a new one. The implementation arrangements map is one of the documents required during funding request stage (see OPN on Design and Review of Funding Request).
- Grant Making: The mapping exercise continues during grant making. The Principal Recipient is responsible for completing and submitting the complete map to the Global Fund Secretariat at this stage. The Country Team reviews the map with support from the LFA.
- The completed map is one of the deliverables of grant making to guide grant implementation (see OPN on Make and Approve Grants).
- During grant implementation: The map should be updated whenever necessary and re-submitted as appropriate to the Global Fund Secretariat.

## 2. What is Implementation Arrangements Mapping?

In the context of Global Fund grants, an implementation arrangements map is a visual, accurate depiction of a grant or a program implementation structure. The map includes:

- (i) all entities receiving grant funds and/or playing a role in program implementation,
- (ii) each entity's role in program implementation,
- (iii) the flow of funds, commodities, and data,
- (iv) the beneficiaries of program activities,
- (v) the relations with the national health sector structures at central and decentralized levels, including the Ministry of Health, National Program, and regional and district level entities engaged in the three diseases, and
- (vi) any unknowns<sup>1</sup>.

Ultimately, an implementation arrangements map should accurately and in detail show who is doing what with what proportion of the Global Fund grant funds.

## 3. How is Implementation Mapping done?

### 3.1 Mapping a Grant versus a Program

The implementation arrangements map for a single grant describes how a grant will achieve its objectives. When a disease program is implemented by multiple Principal Recipients, the applicant and the Principal Recipients are asked to provide one map to have a comprehensive view. The LFA and Country will support the country to assess specific cases whereby multiple grants will be mapped together to document inter-dependencies.

### 3.2 Mapping Entities

The map will include an organigram that lists all the organizations that receive grant funds or play a role in the program implementation. All entities should be included, including the relations with the Ministry of Health, National Program, and from regional and district level entities to specific health facilities and other key organizations. When countries do not have sufficient information to draw the full implementation arrangements, unknowns can be recorded as per the example below. Mapping unknowns allows countries to identify missing information and complete these at a later stage. However, where there are many unknowns, this might negatively impact implementation readiness.

Grouping of entities is only accepted when the same process is repeated across multiple districts. Implementers can then indicate the number of entities that are repeating the process and provide a list in the annex, that includes name and address of these entities.

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<sup>1</sup> It is acceptable to have "unknowns" during the funding request stage. However, these must be defined during the grant making stage.

### 3.3 Mapping Implementation Arrangements

#### Standardized Symbols in Map

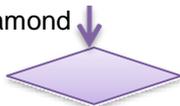
The national to local levels are to be marked along the background of the page. It is important to include a donor level and its relations to the national level, and a beneficiary level below the local level.

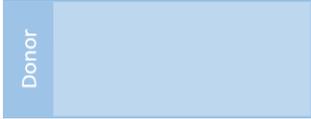
Sector views will guide the user, with all NGOs listed on the left side of the page, the health ministry entities in the middle, and other sectors (education, military etc.) to the right. Refer to the example below.

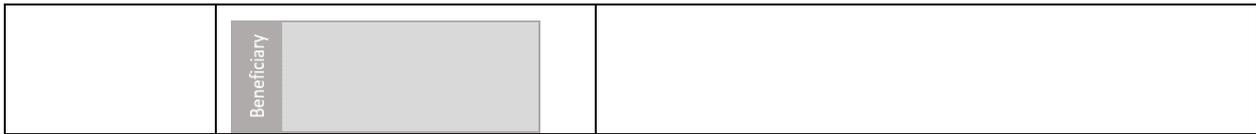


When drawing the map, Implementers are to use the following symbols:

All entities except for donors, suppliers, and CCM are white rectangles, donors are light blue rectangle, the CCM is a purple triangle, and suppliers (private sector) as darker blue rectangles with cut corners. Refer to the detailed explanations and visuals below.

To map	Draw	Comments
A entity	A white rectangle 	Include name of entity and indicate if it's a PR or an SR. When multiple entities have the same name, such as regional offices, number these entities sequentially.
Donors	A light blue box 	Include name of donor
CCM	A purple triangle 	Include CCM
Suppliers	A darker blue rectangle 	Include name of supplier
Beneficiary group	Purple diamond 	Target beneficiaries will be indicated at the bottom of the map, including target audience and population size.
Reporting lines	A black arrow 	Formal authority lines between entities. Does not apply to authority lines for implementation arrangements for the grant. For example, units of the Ministry of Health reporting to the Minister.
Coordination lines	A dashed arrow 	Authority lines for the purpose of the grant, indicate entities responsible for coordinating / overseeing the performance of another.  For example, a PR coordinating several health facilities or UNDP as PR overseeing a governmental unit as SR.
Transfer of funds	A green arrow 	Represents money flow, from Global Fund to a PR or procurement agent. This arrow will always be followed by a green circle for "Fund Flow" (see rows below).
Transfer of assets (HPs)	An orange arrow 	Represents transfer of assets or commodities, mainly pharmaceuticals or health products, but also nutritional support. This arrow will always be followed by an orange circle for "Asset flow".
Data Flow	A blue arrow 	Represents flow of Monitoring and Evaluation data.
Unknown Entities	Grey box  Grey dotted line 	Grey boxes show known "unknowns". For example, if a PR has multiple SRs but the group preparing the map does not have all the information at the time, the "unknowns" can be displayed in grey color until the information is confirmed.
Roles & Responsibilities	Free text, as comment in the excel or power point file	Record the roles and responsibilities of each entity in the context of program implementation.

Fund flow	A green circle 	Record % or actual amount of the planned budget. The map should be updated annually to add proportion of disbursements made.
Asset flow	An orange circle 	Record % or actual value of the planned asset value. The map should be updated annually to add proportion of disbursements made.
Unknown Flow of funds	A grey circle 	Record unknown percentages using a grey circle.
Ministry of Health	A background box. 	The Ministry of Health and its different units can be represented through this box.
Donor Level	Light blue band crossing the map with "Donor" on the left side 	The donors can be captured in this band
National Level	Light brown band crossing the map with "National" on the left side. 	The implementation arrangements extend from national to regional, district and local levels.
Regional Level	Dark brown. 	The implementation arrangements extend from national to regional, district and local levels.
District Level	Same as above, lighter. 	The implementation arrangements extend from national to regional, district and local levels.
Local Level	Same as above, darker. 	The implementation arrangements extend from national to regional, district and local levels.
Beneficiary Level	Light grey band crossing the map with "Beneficiaries" on the left side.	



## 4 Record Roles, Responsibilities, Fund and Commodity / Asset Flow

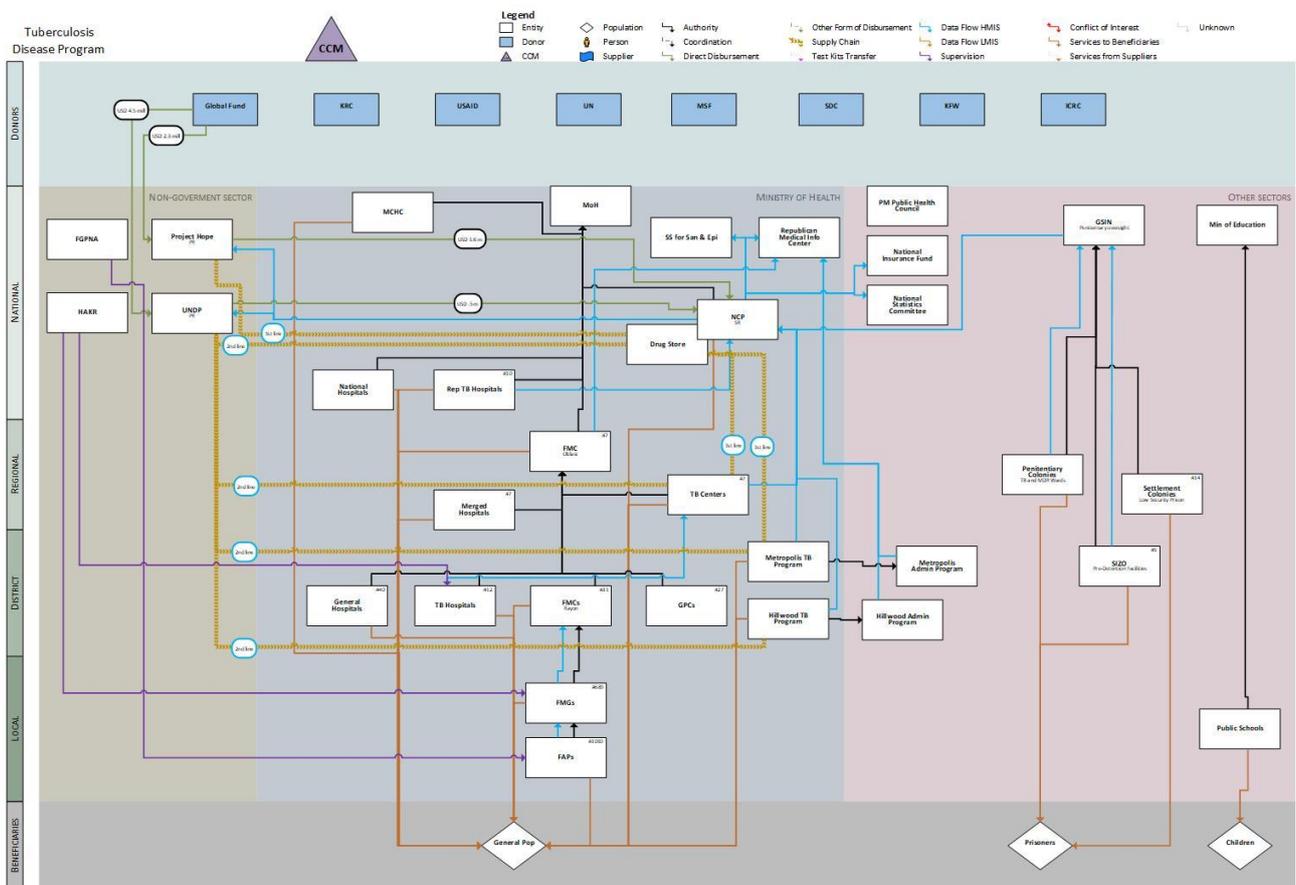
The map also records the roles and responsibilities of each entity in the context of program implementation. These are outlined as a description rather than a term. For example, use “collects data and reports on number of patients treated,” rather than using “M&E reporting”.

Entities might perform multiple roles, which are to be recorded in a table to avoid overcrowding the map. Clearly indicate it with one word that will describe the role.

Funds flow are clearly outlined on the map, as percentages or amounts. If percentages are used, exact amounts will be made available in an annex.

The purpose of the map is to reflect implementation arrangements that will be in place once the program starts, to ensure successful implementation and funds absorption from the grant start date. It is not meant to be a theoretical exercise but shows what will happen in practice. The map supports the grant approval process at the Global Fund Secretariat.

An example of a best practice implementation map is displayed below.



## 5 How is the Implementation Arrangements Map used by the Global Fund?

The Global Fund Secretariat uses the map to (1) have a comprehensive understanding of the implementation structure of a grant or program (2) identify key implementers and (3) identify risks across implementation arrangements and the extent to which relations with the Health Sector entities are well defined and fit the Health Sector organizational set-up. It also allows the Secretariat to understand, early into the funding request and grant-making stages, which entities will be responsible for implementation, both from a programmatic and financial point of view.

Key Implementers are those entities that play an important role in ensuring the success of a grant. The Global Fund Secretariat will analyze the map and propose supervision approaches as needed, as well as risk mitigation measures when applicable.

Implementers are considered “key” when:

- they manage significant portions of the grant funds posing substantial fiduciary risks (e.g. SRs handling more than 50% of grant funds); and/or
- they are critical from a programmatic standpoint. Their activities can, if not well executed, create substantial programmatic risks (e.g. SRs implementing activities such as trainings; covering a large geographical area, etc.); and /or
- they have faced critical challenges in earlier grant implementation; and/or
- the Country Team has insufficient information on the capacity and track record of an implementer that is judged critical for program success and achieving impact.