

Partner Portal Guidance: Master Data

For Principal Recipients and Lead Implementers

Grant Operating System (Disbursements Release)¹
October 2017
Geneva, Switzerland

¹ **Scope of Disbursements Release:** Principal Recipient / Country Coordinating Mechanism / Local Fund Agent - Organization information creation & update, contact creation and revision, change of authorization rights, CCM mass edit; Country Team / CCM Hub / LFA Coordination Team – Organization information creation; Third Party – Organization information creation & update

Document Version: 15

1. Introduction

The purpose of this document is to provide guidance to the Global Fund Secretariat staff on their role in the Master Data process. This guidance details how key information should be reviewed and validated through the Master Data change request process.

During the lifecycle management of a grant, key information relating to a Principal Recipient (PR), Lead Implementer (LI), Local Fund Agent (LFA), Third Party or Country Coordinating Mechanism (CCM)² may require creation or change.

Most often, the creation of or change to this information is undertaken during grant making, in order to finalize the Grant Confirmation document. During this time, the information is received and due diligence of the PR, LI, LFA, Third Party or CCM Master Data is performed. The following information is captured through the Master Data tool in the Grant Operating System (GOS):

1. **Organization Information:** contains critical information, such as official name, type and address of the PR, LI, CCM, Third Party or LFA organization.
2. **Contact Information:** contains critical contact details, such as name, position and address for PR, LI, CCM, or LFA contacts.
3. **Banking Information³:** contains the bank account details, such as name, address, account holder name and routing requisites for PR or Third Parties. Includes a letter from such bank with detailed information in PDF format. Currently, only Third Party banking information will be submitted in GOS when creating or updating Third Party organizations. PR banking information will continue to be maintained offline for now through the use of the Principal Recipient Bank Information Template that can be found [here](#).
4. **Signatory Authorizations:** contains Signatories for Legal Agreements and Signatory for Disbursement Requests. Includes a letter from PR with specimen signatories in PDF format.
5. **Other Authorizations:** The registration of Organization Representative for Notices for LFA or PR contacts is also handled through the Master Data app in GOS.
6. **Grant Information:** Start- and end-date, financial details (such as Grant signed amounts, committed and disbursed amounts), program description and authorization.
7. **Access Rights:** The online tool will also facilitate the registration of contacts for Global Fund Partner Portal access and receipt of automatic system notifications from the Grant Operating System (GOS).



Important Note: It is the responsibility of the Global Fund's external partners (CCMs, PRs, LIs etc.) to maintain and update their master data in GOS / the Partner Portal. All changes to Master Data should be submitted in the Partner Portal by external partners. Only in exceptional cases, should Country Teams submit change requests on behalf of their external partners, and in these cases, a strong rationale is required to justify this action (if a strong rationale is not provided, the change request will be rejected).

All changes to Master Data involving banking information, signatories, or organization representative for notices will require full due diligence and review (including international terrorism screening) by the Global Fund before it can be validated.

² Country Coordinating Mechanism can include other coordinating mechanisms such as Regional Coordinating Mechanism, etc.

³ For CM's and LFA's the Banking information is currently captured through a separate process, which might in the future be migrated to GOS as well.

2. External Stakeholders

The Master Data process captures different external stakeholders and allows them to initiate change requests to the organization, contact, access / authorization rights information. Different external stakeholders have different authorization rights, which are described in the table below. In addition the below guideline introduces the concept of a Lead Implementer (LI):

Table 1: Authorizations

Organization	Authorization	In Grant Confirmation?	Definition
Principal Recipient (PR) The entity nominated by the CCM that is legally responsible for the implementation of the grant's activities in accordance with a grant agreement.	Authorized Signatory for Legal Agreements ⁴	Yes	The authorized signatories on behalf of the PR that appears in the signature page of legally-binding documents such as Grant Agreements and Implementation Letters. Note: Only one Authorized Signatory for Legal Agreements will appear in the Grant Confirmation generated from GOS (although the Legal Counsel can adjust the document manually to add an additional Signatory).
	Authorized Signatory for Disbursement Requests ³	No	The authorized signatories on behalf of the PR that appears on the Signature Page of the disbursement request.
	Organization Representative for Legal Notices ⁴	Yes	The PR-representative for legal notices is a person the Global Fund is in contact with on contractual matters (as per the terms of the relevant framework agreement), as set forth in the Grant Confirmation Table (Section 3.8). It is important for this person to be of certain seniority when it comes to giving official notices. This depends on the specific PR and is proposed by the contracting party. Note: Only one Organization Representative for Legal Notices will appear in the Grant Confirmation generated from GOS ⁵
Lead Implementer (LI) The entity (organization or office) that is operationally responsible for the implementation of the grant's activities	n/a ⁶	n/a ⁵	The Lead Implementer can only request for Access Rights, as described in Table 2 .

⁴ There might be more than one authorized signatory for cases where there is 'joint signature' required or the entity has several authorized signatories.

⁵ A grant can only have one organization representative for legal notices at PR-level.

⁶ Not available at this point in time, but can be manually added for specific cases.

Organization	Authorizations	In Grant Confirmation ?	Definition
Local Fund Agent (LFA) - In-Country⁷ Works closely with the country team at the Secretariat to evaluate and monitor activities before, during and after the implementation of a grant	Authorized Signatory for Disbursement Requests	No	The authorized signatory (1 only) on behalf of the LFA that appears on the Signature Page of the disbursement request.
	Organization Representative for Notices	Yes	As set forth in the Grant Confirmation Table (Section 3.10). The LFA representative (1 only) will be notified on portfolio-specific correspondence as provided in the grant agreement (and is not a representative for notices for the purposes of the commercial GF-LFA contract). Note: Only one Organization Representative for Legal Notices will appear in the Grant Confirmation generated from GOS
Coordinating Mechanism (CCM) A (multi-) country-level multi-stakeholder partnership, which develops and submits funding requests to the Global Fund. Upon grant approval, it oversees progress during grant's activities implementation.	Authorized Signatory for Legal Agreements ⁸	Yes	The authorized signatories on behalf of the CCM (either the chair or vice-chair as well as a Civil Society Representative) that acknowledge the legally-binding documents on behalf of the CCM. Note: Only one Chair or Vice-Chair and one Civil Society Representative will appear in the Grant Confirmation generated from GOS
Third Parties Entities able to receive direct disbursements from the Global Fund (e.g., procurement service agents, auditors, fiscal agents, etc.). See paragraph 20 of OPN on AFDs and Disbursements for full list.	n/a	n/a	No Third Party contacts will appear in GOS (only Third Party organizations will be documented in the system). Therefore all changes to Third Party organizations (creation or update of organizations / banking information) must be submitted by the Country Team.

Table 2: Access Rights

Organization	Access Rights	Definition
Applies to Principal Recipients, Lead Implementers, Local Fund Agents⁶ and/or Coordinating Mechanisms⁹ contacts	Partner Portal Access	The contact will be able to access the Global Fund Partner Portal to manage deliverables and update Master Data throughout the grant lifecycle for assigned grants.
	Recipient of Automatic System Notifications	The contact will receive system automated workflow notifications regarding deliverables (PR reporting, grant-making etc.) throughout the grant lifecycle for assigned grants.

Regarding the concept of PR and LI, three different types of arrangements apply:

Arrangement 1 (most common): Where there is a PR, and no separate Lead Implementer. This applies to regular government entities, local NGOs and INGOs/UN, whereby the PR information is registered at country level. In this case, only the PR information will be included in the Master Data tool.

⁷ For now, LFA users will not have direct access to the Global Fund Partner Portal for administering their Authorizations and Access Rights; instead, for now this is managed by the Global Fund LFA Coordination Team.

⁸ There might be more than one authorized signatory for cases where there is a 'joint signature' required or the entity has several authorized signatories.

⁹ CMs Portal access and Recipient of Notifications will be automatically assigned to any contact with the Role 'Admin Focal Point'. For now, it is not possible to assign these Access Rights to any other contact.

INGO Cases where the PR is the country office (e.g., UNDP, CRS, Plan International, World Vision, UNOPS, HIVOS, IOM etc.):

Country office / PR-contacts with Partner Portal access will see the Master Data information per grant for which they are registered.

For INGO/UN PRs in this scenario, at least one or two HQ contacts are required to have Access Rights for all their grants. For more details on these cases, contact the PST team at Finance.IO-INGO@theglobalfund.org.

Arrangement 2: Applies to INGOs/UN whereby the PR information is registered at the head quarter level and country office is the LI. The most common examples are Population Services International, Save the Children and UNICEF. The HQ office for these organizations is the Principal Recipient, whilst the Country Offices are Lead Implementers.

Arrangement 3: Where one government ministry is the PR and another ministry is the LI.

In many of these countries, the Ministry of Finance is the PR and the Ministry of Health is the Lead Implementer.

For both **Arrangement 2 and 3**, the following applies:

The PR and LI organization details are separately registered in GOS, but will be related to one grant for which one entity fulfils the PR role, whilst the other fulfils the LI role.

Country office / LI-contacts with Portal access: will see the Access Rights per grant for the organization, for which they are registered. They will not see the Signatory Authorizations as these are registered/maintained at HQ/PR level per grant.

HQ/PR-contacts with Portal access will see the full Master Data per grant for the organization for which they are registered.

Table 3: Supporting Documents

The following supporting documents are required for the various signatory authorizations:

Type of Change Request	Supporting document required	Relevant web links if any
PR - Authorized Signatory for Legally-Binding Documents	Principal Recipient (PR) confirmation letter for signing legally-binding documents and/or requests for disbursement	https://www.theglobalfund.org/en/policies-guidelines-templates/templates/
PR - Authorized Signatories for Requests for Disbursement		
PR - Organization Representative for Notices	Free format documentation confirming the proposed contact is employed by the PR	n/a
CCM - Authorized Signatory for Legally-Binding Documents	Currently, no documentation is required.	n/a
LFA - Authorized Signatories for Requests for Disbursement	Local Fund Agent (LFA) confirmation letter for signing requests for disbursement	https://www.theglobalfund.org/en/lfa/guidelines-tools/
LFA - Organization Representative for Notices	Free format documentation confirming the proposed contact is employed by the LFA organization	n/a
Third Parties – Create/Update Third Party Information	Third Party banking information template	https://www.theglobalfund.org/media/5683/core_principalrecipientbankinformation_template_en.docx

3. Additional study aids and support

For external users:

- Training videos will be updated shortly and posted here.
- In case of issues with the **Partner Portal**, external users can raise questions to: GFSupport@theglobalfund.org, specifying in the SUBJECT line “Partner Portal Issue”.

4. General Guidance on Master Data

Any change of Master Data is handled through a change request system in the Grant Operating System (GOS). The general flow of receiving, validating and approving Master Data information is described in the table below.

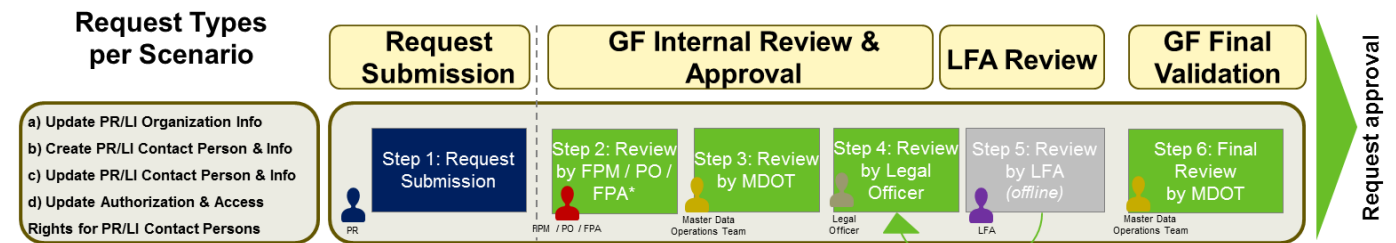
Step	Description
1	A PR / LI submits a Change Request
1a.1	How to update PR or LI Organization Information
1a.2	How to create a new PR or LI contact
1a.3	How to update/deactivate a PR or LI contact
1a.4	How to update PR or LI Authorization and Access Rights
1b.	How to resubmit the request with additional/corrected information

Annex	Description	Annex	Description
1	Possible Statuses for Change Requests	3	Criteria for Determining Whether Full Due Diligence or Simplified Review of Change Requests is Required
2	How to attach / download documents		

- 1. A PR / LI submits a Change Request for:**
 - **Organization Information (update only)**
 - **Contact Information**
 - **Authorization and / or Access Rights**

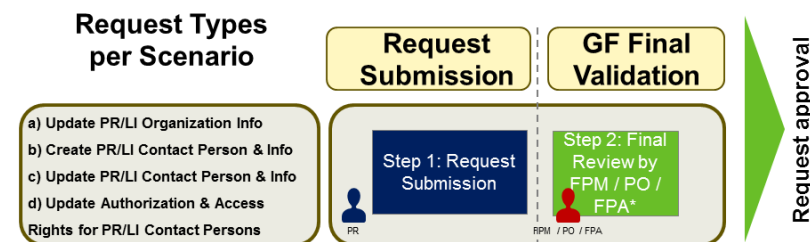
Process Description:

- A Principal Recipient (PR) or Lead Implementer (LI) member (external user) logs into the Global Fund Partner Portal via: portal.theglobalfund.org/login.
 - In the ‘Organization Information’ tab, the relevant organization can be selected and a detailed Organization Information screen opens, where all grants, organization details and all contacts with assigned authorizations are visible. On this page change requests can be created to:
 - 1) Update Organization Information
 - 2) Create a new contact
 - 3) Update information for an existing contact / deactivate an existing contact
 - 4) Create/Update Authorization and Access Rights
 - After the information is created or updated, and supporting documents are attached, the request can be submitted to the Global Fund for review and approval. Once the request is submitted, the Request Status automatically changes from ‘Draft’ to ‘Request for Global Fund CT Review’ and the request number, which can be used in the future, shows in the upper left corner of the change request page and will show in the Change Request table in the detailed Organization Information page.
 - Depending on the scope of the changes in the change request, the change request may require Full Due Diligence (involving MDOT and Legal) or may only require Simplified Review – and then can be immediately validated by the Global Fund Country Team.
- See [Annex 3](#) for the criteria determining whether a change request requires Full Due Diligence or Simplified Review. Visuals depicting the two distinct processes are displayed below:



*If more than one Country Team is involved in change request, the step is performed by Portfolio Services Team (PST)

Figure 1a: Full Due Diligence Review Process for PR/LI change requests (except for new organization creation; see section 1). Relevant step highlighted in blue.



*If more than one Country Team is involved in change request, the step is performed by Portfolio Services Team (PST)

Figure 1b: Simplified Review Process for PR/LI change requests (except for new organization creation; see section 1). Relevant step highlighted in blue.

Detailed case description:

1a.1 How to update PR or LI Organization Information

- Upon clicking the ‘Request Organization Update’ button, a new screen appears.
- This page will display the current information of the organization on left side; this information can be edited on the right side of the page.

- In the 'Organization Details' section, ensure all fields with a red bar on the left (mandatory fields), such as Organization Name, Address Lines and Country are completed correctly.
 - o When entering names, and especially for transcribed names from another language, the naming convention should be consistent. (To avoid duplicate records for one contact, e.g. Tolstoi vs. Tolstoy)
 - o The e-mail address should be fully entered and follow the format of [xxxx@xxx.xxx](#)
 - o The telephone number should be entered using international phone number format: [+xx \(xxx\) xxx-xxxx](#)
 - o The relevant and supporting documents can be attached in the Document Management Section at the bottom of the page
- Information on how to attach documents is described in [Annex 2](#).
- Information on which documents to attach is described in [Table 3](#).
- Once ready, the PR / LI member clicks the 'Submit' button to trigger submission to the Global Fund for review.

1a.2 How to create a new PR or LI contact

- Upon clicking the 'New Contact Request' button, a new screen appears
- In the 'Contact Details' section ensure all fields with a red bar on the left (mandatory fields) are completed correctly
 - o When entering names, and especially for transcribed names from another language, ensure the naming convention is consistent. (To avoid duplicate records for one contact, for example Tolstoi vs. Tolstoy)
 - o Ensure the e-mail address is fully entered and follow the format of [xxxx@xxx.xxx](#)
 - o Enter telephone number as per the international numbering plan format: [+xx \(xxx\) xxx-xxxx](#)
- Select the Authorization Rights for the new contact:
 - o *Signatory for Legal Agreements* – the contact has the authority to sign legally-binding documents, such as grant agreements and implementation letters, on behalf of the Principal Recipient only (Note that LIs do not have such authorities).
 - o *Signatory for Disbursement Requests* – the contact has the authority to sign disbursement requests, on behalf of the Principal Recipient only (Note that LIs do not have such authorities).
 - o *Organization representative for notices* – the contact is in contact with the Global Fund on contractual matters, and receives documents such as grant confirmations and implementation letters as set forth in the grant confirmation table of the grant confirmation, on behalf of the Principal Recipient only (Note that LIs do not have such authorities).
- Select Access Rights for the new contact:
 - o *Access to Global Fund Partner Portal* –the contact has access to the Global Fund Partner Portal for assigned grants.
 - o *Recipient of Automatic Notifications* – the contact will receive system automated workflow notifications from the Global Fund regarding deliverables throughout the grant lifecycle for assigned grants.
- In the 'Grant' section, tick the checkbox(es) next to the grant(s) to which the changes will apply.
- Relevant and supporting documents should be attached in the Document Management Section.
- Information on how to attach documents is described in [Annex 2](#).
- Information on which documents to attach is described in [Table 3](#).
- Once ready, the PR / LI member clicks the 'Submit' button to trigger submission to the Global Fund for review

1a.3 How to update / deactivate a PR or LI contact

- The PR / LI member clicks the 'Request Contact Update' link next to the contact that needs to be updated; a new screen appears.
- **Note:** if there is no link next to the contact, it means that the contact has been originally created under a different organization, in which case, the contact can only be updated only through that 'original' organization. (For example: John Smith was originally registered by 'PR Organization X'. Subsequently, a change request was submitted & validated to add John Smith to 'PR Organization Y' as a contact. He is now associated with both PRs. However, the original details about John Smith are registered within 'PR Organization X' and therefore only those individuals associated with 'PR Organization X' can update these details).
- The 'Contact Details' section will display the current information for the contact on the left side and it will allow editing of this information on the right side of the page.
- Please ensure all fields marked with a red bar on the left (mandatory fields) are completed correctly.
 - o When entering names, and especially for transcribed names from another language, the naming convention should be consistent. (To avoid duplicate records for one contact, e.g. Tolstoi vs. Tolstoy)
 - o The e-mail address should be fully entered and follow the format of [xxxx@xxx.xxx](#)
 - o The telephone number should be entered using international phone number format: [+xx \(xxx\) xxx-xxxx](#)
 - o Relevant and supporting documents should be attached in the Document Management Section.

- **Note:** To view or edit the Authorization and Access Rights per contact and grant, return to the detailed Organization screen and press the 'Update Authorization and Access Rights' button.
- In the 'Deactivation' section, it is possible to remove a contact from the system by ticking the checkboxes **'Remove Contact from Organization' and 'Deactivate Access to Partner Portal'**. If required, relevant supporting documents can be attached in the Document Management Section.
- Information on how to attach documents is described in [Annex 2](#).
- Information on which documents to attach is described in [Table 3](#).
- Once ready, the PR / LI member clicks the 'Submit' button to trigger submission to the Global Fund for review.

1a.4 How to update PR or LI Authorization and Access Rights

- Upon clicking the 'Update Authorization and Access Rights' button, a new screen appears.
- In the 'Grant' section, tick the checkbox(es) next to the grant(s) to which the changes will apply
- All registered PR contacts for the selected grants are listed in the 'Authorization and Access Rights' section.
- **Adding Existing Contacts to Grants:** If there are existing contacts for the organization which are not currently associated with a grant (e.g., Contact X is listed as Signatory for Legal Agreements for Grant A and B, but not Grant C and therefore does not show up when Grant C is selected), click on "Add Existing Contacts to Grant" button beside the grant name. In the pop-up window that appears, the user will be able to see and select ALL contacts associated with the organization, and add them to the grant. Click "Confirm" and the selected contacts will appear below as associated with the grant.
- The Signatory Authorizations and Access Rights for each contact and grant, can be assigned or removed by ticking or un-ticking the appropriate check-boxes
- Select the Authorization Rights:
 - *Signatory for Legal Agreements* – the contact has the authority to sign legally-binding documents, such as grant agreements and implementation letters, on behalf of the Principal Recipient only (Note that LIs do not have such authorities).
 - *Signatory for Disbursement Requests* – the contact has the authority to sign disbursement requests, on behalf of the Principal Recipient only (Note that LIs do not have such authorities).
 - *Organization representative for notices* – the contact is in contact with the Global Fund on contractual matters, and receives documents such as grant confirmations and ILs as set forth in the grant confirmation table of the grant confirmation, on behalf of the Principal Recipient only (Note that LIs do not have such authorities).
- Select Access Rights:
 - *Access to Global Fund Partner Portal* –the contact has access to the Partner Portal for assigned grants.
 - *Recipient of Automatic Notifications* – the contact will receive system automated workflow notifications from the Global Fund regarding deliverables throughout the grant lifecycle for assigned grants.
- Relevant and supporting documents should be attached in the Document Management Section at the bottom of the page. The Signatory Template can be accessed through the available link on the right side of the screen.
- Information on how to attach documents is described in [Annex 2](#).
- Information on which documents to attach is described in [Table 3](#).
- Once ready, the PR / LI member clicks the 'Submit' button to trigger submission to the Global Fund for review.

1b. How to resubmit the request with additional/corrected information

- The PR / LI (as well as the Country Team) will receive an automatic notification from the system if a change request has been rejected or clarification is required.
- By clicking on the link in the notification, the user will be directed to the 'Change Request Detail' screen for that particular change request. The PR / LI will be able to view all comments made by reviewers.
- If Request Status is **'Request for Clarification'**, the user clicks the 'Edit' button and will be able to see the comments from the Global Fund reviewers at the top of the page. The PR / LI can then modify all fields in the web-form as per reviewer instructions and/or feedback, plus add any comments / responses to the reviewer, as required. Once ready, the user can attach documents in the Document Management Section by clicking the 'Choose Files' button. Information on which documents to attach is described in [Table 3](#). The user can then press 'Submit' to send it back to the reviewer who requested clarification.
- Information on how to attach documents is described in [Annex 2](#).
- If Request Status is **'Rejected'**, the user clicks the 'Edit' button and can view the comments from the Global Fund reviewer plus the contents of the rejected change request; however, they will be unable to make any edits to the fields. To submit modified/new information based on Global Fund instructions and/or feedback, a new change request must be launched and the review process will start over.

Annex 1: Possible Statuses for Change Requests

The different statuses indicate required action by Global Fund and external stakeholders:

Change request status	When this status is triggered
Draft	<ul style="list-style-type: none"> When requester creates & saves a change request, but does not submit
Request for Global Fund CT Review	<ul style="list-style-type: none"> When requester submits a case requiring Country Team review
Request for MDOT Check	<ul style="list-style-type: none"> When a new organization is being created and an initial duplication check is performed by the central Master Data Operations Team (MDOT)
Request for MDOT Review	<ul style="list-style-type: none"> When review by the MDOT is required
Request for Legal Review	<ul style="list-style-type: none"> When review by the Legal Counsel is required
Cleared by Legal	<ul style="list-style-type: none"> Once Legal Counsel has reviewed & submitted, and final validation by MDOT is required
Rejected	<ul style="list-style-type: none"> When any reviewer has rejected a change request due to major concerns / questions; requester must submit a new change request
Request for Clarification	<ul style="list-style-type: none"> When any reviewer requires more information / minor edits to a change request; requester can edit & resubmit change request to the same reviewer
Validated	<ul style="list-style-type: none"> When change request has been fully validated and updated information is immediately reflected in GOS and the Portal

Annex 2: How to attach / download documents

How to attach supporting documents to a change request:

- Open a change request and click on “Review” button
- Once the ‘Change Request Detail’ page opens, scroll down to the Document Management Section
- Attach supporting documents by clicking the ‘Choose Files’ button (on Chrome) or ‘Browse’ button (on Internet Explorer)
- In the pop-up window that appears, select the document to be attached.
- To attach multiple documents, ensure all required documents are in the same folder and then hold down ‘Ctrl’ and select multiple documents.
- Click ‘Open’ button to upload the file
- In the change request screen in the Document Management section, the names of the documents that have been uploaded will now display beside the ‘Choose Files’ / ‘Browse’ button

How to download supporting documents from a change request:

- Open a change request and click on “Review” button
- Once the ‘Change Request Detail’ page opens, scroll down to the Document Management Section
- Under ‘Document Type’ column, click on the listed documents. The Document type can be either:
 - Documents Uploaded by Requester
 - Documents Uploaded by The Global Fund
- After clicking, a ‘Document Management Section Detail’ screen opens, where the list of available documents is displayed in the Notes & Attachment section.
- Click on the ‘View’ link next to the file to open and review the submitted document.

Annex 3: Criteria for Determining Whether Full Due Diligence or Simplified Review of Change Requests is Required

Change Request Type	Full Due Diligence	Simplified Review
Create or Update Contact	<p>If a signatory (with the below rights)...</p> <ol style="list-style-type: none"> 1. Signatory for Legal Agreements 2. Signatory for Disbursement Request 3. Organization Representative for Notices <p>...has the following fields updated:</p> <ol style="list-style-type: none"> 1. First Name 2. Middle Name 3. Last Name 4. Gender 5. Principal Nationality 	All other change requests
Update Authorization & Access Rights	<p>If Authorization rights have been added / removed on one or more contacts:</p> <ol style="list-style-type: none"> 1. Signatory for Legal Agreements 2. Signatory for Disbursement Request 3. Organization Representative for Notices 	All other change requests
Update Organization	<p>If critical information has been edited:</p> <ol style="list-style-type: none"> 1. Organization Name 2. Organization Grant Abbreviation 3. Primary City 4. Primary Country 	All other change requests
Create Organization	N/A – standard process for all change requests	
Mass Update CCM Contacts	N/A – standard process for all change requests	