

Guidelines

Catalytic Multicountry Funds 2020-2022 Funding Cycle

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GENEVA, SWITZERLAND

Introduction

Purpose of this document

1. This document provides strategic guidance for applicants of Multicountry Funds in the 2020-2022 funding cycle.
2. Specifically, this document:
 - Provides general information on multicountry approaches;
 - Details the type of applicants and eligibility requirements for Multicountry Funds; and
 - Explains the application and review process for Multicountry Funds.

Background

3. The Global Fund has set aside a portion of resources additional to country allocations, referred to as catalytic investments, in order to address issues which cannot be adequately addressed by country allocations alone. In the 2020-2022 funding cycle, US\$890 million of catalytic investments are available for three categories:
 - **Multicountry Funds:** available to target a limited number of critical, pre-defined strategic priorities in certain geographic regions, defined by the Global Fund Secretariat and approved by the Grants Approval Committee (GAC) and to be financed under this catalytic modality¹;
 - **Matching Funds:** available to selected countries to incentivize the investment of a country's allocation in "strategic priority areas"; and
 - **Strategic Initiatives:** these funds are available for centrally managed approaches to strategic areas that cannot be addressed through country allocations due to their innovative, unique or off-cycle nature.
4. Multicountry grants are designed to accelerate the end of the HIV, TB and malaria epidemics and to strengthen health systems by tackling regional bottlenecks and cross-border issues. They have the potential to achieve impact in particular settings, especially where bottlenecks cannot be resolved by a single country grant.
5. Depending on the source of funding, multicountry grants supported by the Global Fund can fall under one of these three categories:
 - a) Multicountry grants funded by country allocations intended to increase efficiency of investments. For example, the Multicountry Western Pacific or the Middle East Response grants;
 - b) Multicountry grants funded by both country allocations and catalytic funding. For example, the Regional Artemisinin-resistance Initiative grant; and
 - c) Multicountry grants funded solely by catalytic funding. For example, TB in the mining section in Southern Africa (TIMS) Multicountry Funds. This document focuses on this category.

For guidance on the application process for a) and b) categories, see the [OPN on Design and Review of Funding Request](#).

¹<https://www.theglobalfund.org/en/funding-model/applying/multicountry-funding/>.

Types of Applicant and Eligibility Requirements for Multicountry Funds

6. As per the Global Fund Eligibility Policy² a multicountry applicant will be eligible for funding if the majority (at least 51 percent) of the countries included in the funding request are eligible for funding in their own right. For purposes of determining whether or not a multicountry applicant meets the 51 percent criteria, country components that are receiving transition funding will be considered as ‘eligible’.
7. Applicants for catalytic Multicountry Funds include:
- a) **Regional Coordinating Mechanism (RCM).** Unlike CCMs, RCMs are a coordination mechanism at the regional level, representing more than one country. They are multicountry regional-level public-private partnerships whose role is, among others, to (1) coordinate the development of the funding request(s) to the Global Fund for relevant program(s) based on priority needs at the regional level and (2) oversee the implementation of program activities. Similarly to CCMs, RCMs are subject to the [Eligibility Requirements](#) and CCM Policy.
 - b) **Regional Organization (RO).** An RO is an entity with independent legal personality that is not a United Nations agency or a multilateral or bilateral organization³, which can demonstrate broad regional stakeholder consultation and involvement, including, but not limited to, the endorsement by each CCM of the countries included in the relevant program, and whose role is, among others, to (1) coordinate the development of the funding request(s) to the Global Fund for relevant program(s) based on priority needs at the regional level and (2) oversee the implementation of program activities. ROs are not subject to some of the [Eligibility Requirements](#), although it is strongly recommended that they implement them to the extent possible. ROs are not eligible for CCM funding.
- ROs can also apply for funding as part of a consortium. Based on the nature of the request and the partnership landscape, requests may be developed and owned by multiple partners operating in the region. In such cases, the proposal is required to demonstrate how the collaboration and integration derived by this partnership will increase impact and build local capacity. Consortium applicants may include UN Agencies or other multi/bilateral organizations if well justified. However, a consortium application must be presented by a lead RO that complies with all of the requirements of a RO applicant.
8. CCMs’ core functions, as detailed in the [CCM Policy](#), are applicable to all multicountry applicants.

Multicountry Funds Application Modalities

9. There are three application modalities for Multicountry Funds. The GAC assigns the application modality⁴ for each priority area and region among the following:
- I. **Continuation.** With this streamlined modality, the new grant will continue on the basis of the existing grant with no or only minor changes and with the same Principal Recipient. The Global Fund Secretariat invites an existing RCM or RO with active grants to submit the

² https://www.theglobalfund.org/media/7443/core_eligibility_policy_en.pdf

³ A United Nations entity may be considered as an Applicant in exceptional circumstances, to be approved by the Global Fund Secretariat on a case-by-case basis

⁴ The GAC may approve exceptions to these guidelines when determining the application modality.

following:

- 1) a new Performance Framework, Budget and relevant complementary documentation.
- 2) a Validation of Continuation request, with a brief description of how previous Technical Review Panel (TRP) or Secretariat recommendations have been addressed and any resulting change introduced as well as how the multicountry funds will complement the national programs;
- 3) evidence of endorsement of the documents in point 1) and 2) by all RCM members/their designated alternates or legal representative of the RO, as applicable; and
- 4) evidence of endorsement of the documents in point 1) and 2) from the CCMs of all participating countries. This will be evidenced by a letter signed by the CCM Chair (or Vice-Chair in case the Chair is not available) and the Civil Society Representative. For those countries with no CCM, endorsement is required from the legal representative of the relevant Ministry of Health or other national coordinating body.

These documents will be reviewed by the Global Fund Secretariat, to assess appropriateness of approach as well as alignment with national programs. Subsequently, the submitted documents will be validated by the GAC, which, having found the continuation proposal appropriate will recommend that the grant proceed to grant-making, or request that a more elaborated proposal be submitted and reviewed by the TRP. Once grant-making is finalized, the GAC will review the grant to confirm investments and recommend it to the Global Fund Board for approval.

For the continuation modality, the TRP review is not expected unless specifically requested by the GAC. In addition to providing evidence of dialogue with the concerned countries through members' endorsements, all RCMs must continue to comply with Eligibility Requirements 3 to 6, as described in paragraph 10 below.

- II. Pre-shaping.** New or ongoing grants to be pro-actively shaped to better respond to the needs of the relevant Multicountry Funds strategic priority, within the scope of catalytic investment. The Global Fund Secretariat will actively engage with partners to define the most effective way to achieve the expected results and send an invitation letter to an identified applicant to submit a funding request for TRP's review, within the indicated available amount.
- III. Request for Proposal (RFP).** For strategic priorities where the grant will not be continued or pre-shaped, the Global Fund Secretariat will develop, together with partners, Terms of Reference for a call for proposals. Proposals that meet the RFP criteria will be presented to the TRP for review.

10. Applicants are required to comply with the overall principle of inclusiveness, given the relevant country or multicountry context, as described in the table below. Please note that Eligibility Requirements 1 and 2 are assessed at the time of submission of the funding request and are not applicable for continuation modality (see 9(I) for application requirements specific to the continuation modality). Compliance with requirements 3 to 6 are assessed on an ongoing basis for all RCMs, regardless of application modality.

<p>Requirement 1: The Global Fund requires all applicants to:</p> <ul style="list-style-type: none"> i. Coordinate the development of all funding requests through transparent and documented processes that engage a broad range of stakeholders, including national CCMs members and non-members, in the solicitation <u>and</u> the review of activities to be included in the funding request; and ii. Clearly document efforts to engage Key Populations in the development of funding requests. 	
RCM	RO
<p>All multicountry applications must demonstrate how the request is complementary to national efforts and other existing regional grants.</p> <p>A multicountry request must be endorsed by all RCM members/their designated alternates or legal representative of the RO, as applicable. In addition, multicountry applicants must present a letter signed by the CCM Chair⁵ and the Civil Society Representative as evidence of endorsement from the CCMs of all participating countries. For those countries with no CCM, endorsement is required from the legal representative of the relevant Ministry of Health or other national coordinating body.</p>	
<p>Requirement 2: The Global Fund requires all applicants to:</p> <ul style="list-style-type: none"> i. Nominate one or more PR(s) at the time of submission of the funding request(s); ii. Document a transparent process for the nomination of all new and continuing PR(s) based on clearly defined and objective criteria; and iii. Document the management of any conflicts of interest that may affect the PR(s) nomination process. 	
RCM	RO
Applies fully.	<p>Applies fully if the RO acts as applicant and not implementer.</p> <p>If the RO acts as both applicant and implementer the requirement does not apply.</p> <p>Good practice: when the RO acts also as an implementer an assessment of capacities is required.</p>
<p>Requirement 3: Recognizing the importance of oversight, the Global Fund requires all applicants to submit and follow an oversight plan for all Global Fund approved financing. The plan must detail oversight activities and describe how the applicant will engage program stakeholders in oversight, including CCM members and non-members, and in particular non-government constituencies and Key Populations.</p>	

⁵ If the CCM Chair is not available, the letter of endorsement may be signed by the Vice-Chair if appropriate justification is provided.

RCM	RO
<p>Applies fully. Additionally, RCM must ensure:</p> <ul style="list-style-type: none"> a) A cost-effective approach for field visits; and b) Linkage to national CCM focal points in the relevant countries to ensure information exchange and no duplication. <p><i>Good practice:</i> Ensure alignment (data gathering and information triangulation) with national programs and national grants when the implementation sites are the same.</p>	<p>Good practice:</p> <ul style="list-style-type: none"> a) Ensure a cost-effective approach for field visits; and b) Ensure linkage to national CCM focal points in the relevant countries to ensure information exchange and no duplication.
<p>Requirement 4: The Global Fund requires that all CCMs, based on epidemiological and human rights and gender considerations, show evidence of membership of:</p> <ul style="list-style-type: none"> i. people that are both living with and representing people living with HIV; ii. people affected by and representing people affected by tuberculosis and malaria; and iii. people from and representing Key Populations. 	
RCM	RO
<p>Applies fully.</p> <p><i>Good practice:</i> To keep an operational RCM a leaner group of members that combine regional remit, robust national linkages and representatives of regional/intergovernmental bodies is recommended.</p>	<p>Does not apply.</p>
<p>Requirement 5: The Global Fund requires all CCM members representing non-government constituencies to be selected by their own constituencies based on a documented, transparent process, developed within each such constituency. This requirement applies to all non-government members, including those that are selected pursuant to Requirement 4 above, but does not apply to multilateral and bilateral partners.</p>	
RCM	RO
<p>Applies fully.</p> <p>Refer to requirement 4.</p>	<p>Does not apply.</p>
<p>Requirement 6: To support CCMs' leadership role of setting a tone and example of abiding by the highest standards of ethics and integrity, the Global Fund requires all CCMs to:</p> <ul style="list-style-type: none"> i. Approve and adopt the Code of Ethical Conduct for CCM Members⁶; ii. Develop or update, and publish a Conflict of Interest Policy that applies to all CCM members, alternates, and CCM Secretariat staff; and iii. Enforce the Code of Ethical Conduct and apply the Conflict of Interest Policy throughout the life of Global Fund grants. 	

⁶ https://www.theglobalfund.org/media/8234/core_codeofethicalconductforccmmembers_policy_en.pdf

RCM	RO
Applies fully.	Good practice: Applicants to demonstrate that they are governed by equivalent / sufficient policies and principles of Ethics, Conflict of Interest and Codes of Conduct.

11. The procedures for assessing applicant eligibility for Multicountry Funds generally follows the same procedures for country allocations according to the [Operational Procedures on Design and Review of Funding Request](#) – Sections 5.

Development and Submission of Funding Requests

12. All funding requests for Multicountry Funds are required to include a strong evaluation framework to assess the catalytic effect of future investments, progress against milestones and continued relevance of strategic focus and impact. It should also include the upfront transition planning to secure sustainability of investments beyond the duration of the grant.
13. The Multicountry Funds applications must be composed of the following documents using templates provided by the Global Fund Secretariat:

<input type="checkbox"/>	Funding Request Form For continuation grants, the Validation of Continuation form
<input type="checkbox"/>	Performance Framework
<input type="checkbox"/>	Budget
<input type="checkbox"/>	Prioritized above allocation request (PAAR) (not applicable to 'Continuation' grants)
<input type="checkbox"/>	Implementation Arrangement Map (if applicable)
<input type="checkbox"/>	Documents confirming the Applicant and Implementer's Legal Status (if applicable)
<input type="checkbox"/>	RCM/RO Endorsement of Funding Request (or of relevant documents in 'Continuation' grants)
<input type="checkbox"/>	CCMs Endorsement of Funding Request from participating countries evidenced by a letter signed by the CCM Chair and Civil Society Representative (or of relevant documents in 'Continuation' grants). If the CCM Chair is not available, the letter may be signed by the CCM Vice chair if appropriate supporting documentation is provided ⁷
<input type="checkbox"/>	RCM/RO Statement of Compliance
<input type="checkbox"/>	National Strategic Plans (Health Sector and Disease specific) (if applicable)

⁷ Documentation to justify that the CCM Chair is not able to sign the letter may include, but is not limited to, CCM meeting minutes, CCM by-laws specifying which member has delegated authority in case the CCM Chair is not available, etc.

<input type="checkbox"/>	All supporting documentation referenced in the funding request
<input type="checkbox"/>	Health Product Management Template (if applicable)
<input type="checkbox"/>	List of Abbreviations and Annexes

14. Multicountry Funds applicants are required to follow the same procedures as in the [Operational Procedures on Design and Review of Funding Request](#) - Section II (Develop and Submit the Funding Request).

Review of Funding Requests

15. For continuation, the request will be validated by the Global Fund Secretariat and eventually recommended for grant-making by the GAC, ensuring strategic focus, technical soundness and potential for impact. After grant-making, the GAC will review and confirm investments under Multicountry Funds and recommend the grant to the Global Fund Board for approval (see [OPN on Make, Approve and Sign Grants](#)).
16. For pre-shaping and RFP modalities, following a similar process used for country allocations, the TRP will review funding requests as well as PAAR for strategic focus, technical soundness and potential for impact. The TRP may also provide recommendations and guidance to successful applicants for consideration during grant-making and/or implementation, in order to maximize the impact of Multicountry Funds investments. Based on TRP recommendations, the GAC will review and confirm investments under Multicountry Funds and recommend multicountry grants to the Global Fund Board for approval (see [OPN on Make, Approve and Sign Grants](#)).

Multicountry Allocation Utilization Period Principles

17. **Continuing Multicountry priorities vs. Multicountry priorities not in scope to continue in the next cycle.**

The Board's decision GF/B36/04⁸ recommended that US\$230 million of catalytic funding be directed towards multicountry approaches in the 2020-2022 funding cycle. Based on this decision, the GAC decided that 15 multicountry strategic priorities were eligible to present a new funding request. These priorities are therefore considered as “**continuing multicountry priorities**”.

Other strategic multicountry priorities from the 2017-2019 allocation cycle were not invited to present a funding proposal in 2020-2022 and are thus considered “**not in scope to continue in the new cycle**”.

18. **Allocation Utilization Period (AUP).** The AUP⁹ is, typically, the three-year period¹⁰ during which the multicountry catalytic funding can be utilized to implement programs. This period

⁸ https://www.theglobalfund.org/media/4258/bm36_04-catalytic-investments_report_en.pdf

⁹ https://www.theglobalfund.org/media/3261/core_budgetingglobalfundgrants_guideline_en.pdf

¹⁰ Variations from the three-year standard shall be allowed for joint submissions from Focused countries/applicants where start and end dates for the different grant components are misaligned, and in other circumstances on an exceptional basis. These will be communicated to concerned applicants through the Allocation Letter.

starts the day after the previous AUP ends. Any extension to a multicountry grant's Implementation Period will utilize funds and time from the new AUP and reduce the duration and available funding for the subsequent Implementation Period.

19. Any exception to the principles listed in the table below requires GAC approval; for example in the case of a grant extension due to a material change to the scope and/or scale of a continuing multicountry priority.

Overarching principles for all existing multicountry grants	
1.	Overall, multicountry grants follow the same AUP principles as country allocation grants and cover a three-year period.
2.	Overlapping Implementation Periods for the same multicountry priority are not possible, regardless of whether the same implementer is continuing. This is relevant for all application approaches (Continuation, Pre-shaping or RFP).
3.	In a case where there are savings/unused funds (e.g., due to delays in implementation) these can be reinvested within the original Implementation Period (see OPN on Grant Revisions). Any unused funds by the Implementation Period end date cannot be carried over to the next Implementation Period.
4.	The closure process follows the OPN on Implementation Period Reconciliation and Grant Closure ¹¹ .
Principles for continuing multicountry priorities with the same Principal Recipient (PR)	
5.	In the case of a continuing multicountry priority with the same PR, grants should finish as per their Implementation Period end date, in line with the AUP. The new grant's AUP should immediately follow the previous one.
6.	In the case of a continuing multicountry priority area with the same PR, and where an extension is needed, the extension will utilize funds and time from the next AUP and will reduce the amount of funds and time available for the next Implementation Period. Extensions are processed and approved per the OPN on Grant Revisions. The GAC should be notified even if an extension is not presented to the GAC for a decision.
Principles for continuing multicountry priorities with a new PR	
7.	In the case of a continuing multicountry priority area with a new PR, there is a possibility to have a gap between Implementation Periods, if strong justifications and rationale are provided. The new AUP will start immediately after the previous AUP, but can be extended to accommodate for the gap between the Implementation Periods. The Implementation Period will remain 3 years, but cannot start later than 31 December 2022 or end later than 31 December 2025. Otherwise, GAC review and approval is required.
8.	A multicountry grant under the 2017-2019 allocation period will be closed as per the OPN on Implementation Period Reconciliation and Grant Closure.
Principles for existing multicountry grants not in scope to continue into the next cycle	
9.	Existing grants that are not within scope to continue into the next cycle may be granted extensions, where unutilized funds from the current AUP are sufficient to cover the extension budget . The same approval process and authority for single country grant revisions apply here as well, as per the Grant Revision OPN. However, extensions longer than 12 months are not possible. A strong justification and rationale for the extension should be provided.

¹¹ See section 3 on Implementation Period Reconciliation and Grant Closure:
https://www.theglobalfund.org/media/3266/core_operationalpolicy_manual_en.pdf

References

[The Global Fund Strategy 2017-2022](#)

[GF/B41/02 Allocation Methodology 2020 – 2022](#)

[GF/B41/03 – Revision 1 Catalytic Investments for the 2020 – 2022 Allocation Period](#)

[Operational Policy Manual](#)

[Amended and Restated Comprehensive Funding Policy](#)

For more information on each of the multicountry priority areas please contact
AccessToFunding@theglobalfund.org

CHANGE HISTORY:

Version No.	Approved By	Changes	Approval Date
1	EGMC	Original document	November 2020
1.1	EGMC	AUP related Principles section added and refinement of funding request requirements	June 2021