

Guidelines

Multicountry Funding 2020-2022 Funding Cycle

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GENEVA, SWITZERLAND

¹ This version is pending final Executive Grant Management Committee approval. Its contents are subject to change.

INTRODUCTION

Purpose of this document

1. This document provides strategic guidance for multicountry applicants under the 2020-2022 funding cycle.
2. Specifically, the purpose of this document is to:
 - Provide general information on multicountry approaches;
 - Detail the type of applicants and eligibility requirements; and
 - Explain the application and review process.

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, the Global Fund has set aside US\$890 million for three categories:
 - **Multicountry funds:** these funds are available to target a limited number of critical, pre-defined areas in certain geographic regions. The Global Fund Grant Approvals Committee (GAC) defines strategic priorities to be financed under this catalytic modality²;
 - **Matching funds:** these funds are 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, the multicountry grants supported by the Global Fund can be divided into three categories:
 - a) Multicountry grants funded by country allocations put together to increase efficiency of the investments, this refers to the small-island and Middle East Response grants;
 - b) Multicountry grants funded by both country allocations and catalytic funding, this refers to the Regional Artemisinin-resistance Initiative grant; and
 - c) Multicountry grants funded solely by catalytic funding.

This document provides guidance on the third category of multicountry grants (relevant funds are referred to as "multicountry funds"). For guidance on the application process for the first two categories, please refer to the [OPN on Design and Review of Funding Request](#).

² Further information will be provided on these strategic priorities.

Type of Applicant and Eligibility Requirements for Multicountry Funds

6. As per the Global Fund Eligibility Policy³ a multicountry applicant will be eligible for funding if the majority (i.e. 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 are eligible for [CCM funding](#).
 - 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 organization⁴, 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 should 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. All applicants for catalytic multicountry funds need to comply with the overall principle of inclusiveness, as appropriate, given the relevant country or multicountry context and comply with the Eligibility Requirements where applicable. The table below presents how the Eligibility Requirements apply to applicants for multicountry funds:

³ https://www.theglobalfund.org/media/7443/core_eligibility_policy_en.pdf

⁴ 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

<p>Requirement 1: The Global Fund requires all applicants to:</p> <p>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</p> <p>ii. Clearly document efforts to engage Key Populations in the development of funding requests.</p>	
RCM	RO
<p>All multicountry applications should demonstrate how the request is complementary to national efforts and other existing regional grants.</p> <p>A multicountry request should be endorsed by all RCM members/their designated alternates or legal representative of the RO, as applicable. Multicountry applicants must provide 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> <p>i. Nominate one or more PR(s) at the time of submission of the funding request(s);</p> <p>ii. Document a transparent process for the nomination of all new and continuing PR(s) based on clearly defined and objective criteria; and</p> <p>iii. Document the management of any conflicts of interest that may affect the PR(s) nomination process.</p>	
RCM	RO
<p>Applies fully.</p>	<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 should be provided.</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 must 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>	
RCM	RO
<p>Applies fully. Additionally, RCM must ensure:</p> <p>a) A cost-effective approach for field visits; and</p> <p>b) Linkage to national CCM focal points in the relevant countries to ensure</p>	<p>Good practice:</p> <p>a) Ensure a cost-effective approach for field visits; and</p> <p>b) Ensure linkage to national CCM focal points in the relevant countries to ensure information exchange and no duplication.</p>

<p>information exchange and no duplication.</p> <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>Requirement 4: The Global Fund requires all CCMs based on epidemiological as well as human rights and gender considerations, to show evidence of membership of:</p> <p>i. people that are both living with and representing people living with HIV;</p> <p>ii. people affected by and representing people affected by tuberculosis and malaria; and</p> <p>iii. people from and representing Key Populations.</p>	
RCM	RO
<p>Applies fully.</p> <p>Good practice: To keep an operational RCM, it's recommended to ensure a leaner group of members that combine regional remit, robust national linkages and representatives of regional / intergovernmental bodies.</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 members selected pursuant to Requirement 4 above, but not 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> <p>i. Approve and adopt the Code of Ethical Conduct for CCM Members⁵;</p> <p>ii. Develop or update, as necessary, and publish a Conflict of Interest Policy that applies to all CCM members, alternates, and CCM Secretariat staff; and</p> <p>iii. Enforce the Code of Ethical Conduct and apply the Conflict of Interest Policy throughout the life of Global Fund grants.</p>	
RCM	RO
<p>Applies fully.</p>	<p>Good Practice: Applicants must demonstrate that they are governed by equivalent / sufficient policies and principles with respect to Ethics, Conflict of Interest and Codes of Conduct.</p>

⁵ https://www.theglobalfund.org/media/8234/core_codeofethicalconductforccmmembers_policy_en.pdf

9. Eligibility Requirements 1 and 2 are assessed at the time of submission of the funding request. Compliance with requirements 3 to 6, for RCMs only, is assessed at the time of the submission and on on-going basis.
10. The procedures for assessing applicant eligibility for multicountry funds generally follows the same procedures for country allocations described in the [Operational Procedures on Design and Review of Funding Request](#) – Sections 5.

Multicountry Funds Application Modalities

11. There are three application modalities for multicountry funds:

- a) **CONTINUATION:** Secretariat invites an existing RCM or RO with active grants to submit a new application for Technical Review Panel (TRP) Review. In order to be eligible for continuation the grant needs to show reported programmatic results that confirm investment for impact. Furthermore, the Grant Management Division (GMD) together with the Technical Advice and Partnership (TAP) and Community, Rights and Gender (CRG) teams will need to provide a written rationale to be approved by the Grant Approvals Committee (GAC).
- b) **PRE-SHAPING:** New or on-going grants within the scope of catalytic investment to be pro-actively shaped to better respond to the needs of the relevant multicountry strategic priority and where existing grant(s) will not be continued. 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 review within the available envelop.
- c) **REQUEST FOR PROPOSAL (RFP):** For strategic priorities where no grant can be continued or pre-shaped, the Secretariat will develop, together with partners, Terms of Reference for a call for proposals. Applicants that meet the RFP criteria will have their proposal(s) presented to the TRP for review.

Develop and Submit the Funding Requests

12. All funding requests for multicountry funds will need to include a strong evaluation framework to assess catalytic effect of future investments, progress against milestones and continued relevance of strategic focus and impact, as well as upfront transition planning to underpin sustainability of investments beyond the duration of the grant.

13. The multicountry applications must be composed of the following documents using templates provided by the Global Fund Secretariat:

<input type="checkbox"/>	Funding Request Form
<input type="checkbox"/>	Performance Framework
<input type="checkbox"/>	Budget
<input type="checkbox"/>	Prioritized above allocation request (PAAR)
<input type="checkbox"/>	Implementation Arrangement Map
<input type="checkbox"/>	Documents confirming the Applicant and Implementer's Legal Status (if applicable)
<input type="checkbox"/>	RCM/RO Endorsement of Funding Request
<input type="checkbox"/>	CCMs Endorsement of Funding Request from participating countries
<input type="checkbox"/>	RCM/RO Statement of Compliance
<input type="checkbox"/>	National Strategic Plans (Health Sector and Disease specific)
<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. The procedures for submitting funding requests for multicountry funds generally follows the same procedures described in the [Operational Procedures on Design and Review of Funding Request](#) - Section II (Develop and Submit the Funding Request).

Review of Funding Requests

15. Following a similar process used for country allocations, the TRP will review funding requests and any prioritized above allocation requests 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 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](#)).

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](#)

For more information on each of the multicountry priority areas please contact
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