An Overview of the Application Process
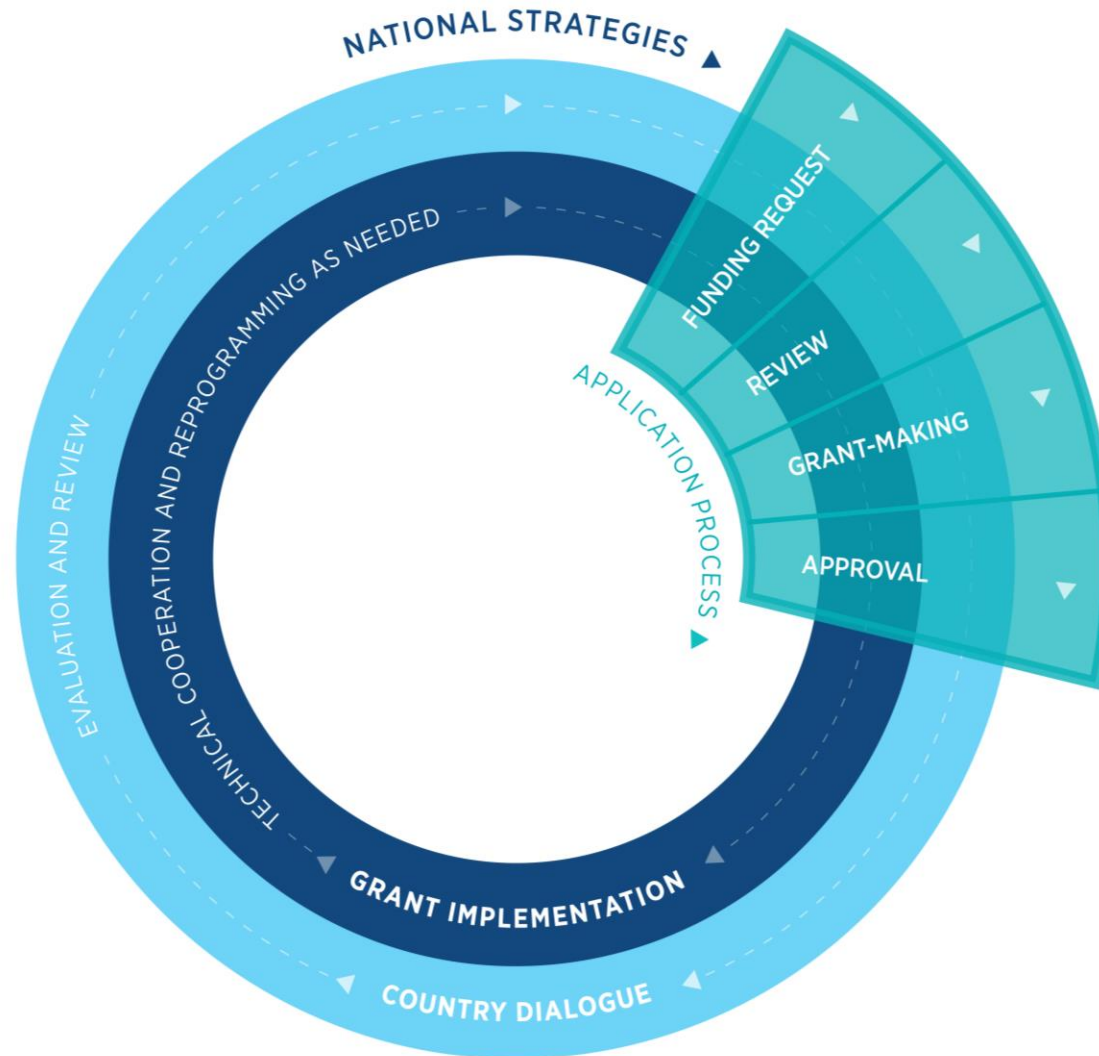
17 SEPTEMBER, 2019

The Global Fund

An Overview of the Application Process

1. Background

2. Applying for Funding

3. From Submission to Signatures

4. Lessons Learnt

5. Trainings and Resources

Background
The Funding Cycle

NATIONAL STRATEGIES

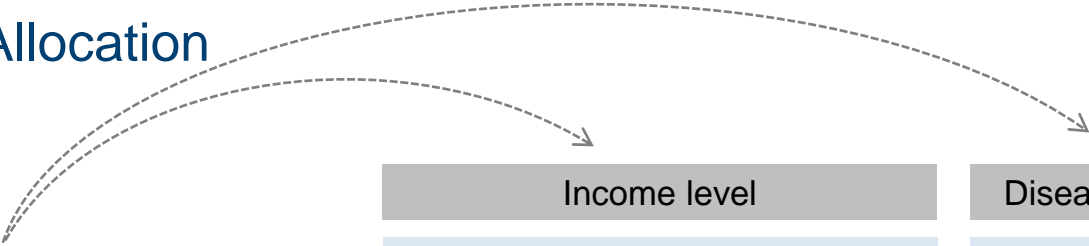FUNDING REQUEST

REVIEW

GRANT-MAKING

APPROVAL

APPLICATION PROCESS

EVALUATION AND REVIEW

TECHNICAL COOPERATION AND REPROGRAMMING AS NEEDED

GRANT IMPLEMENTATION

COUNTRY DIALOGUE

APPLICATION PROCESS : 6-9 MONTHS

GRANT IMPLEMENTATION 3 YEARS

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Background
Eligibility & Allocation

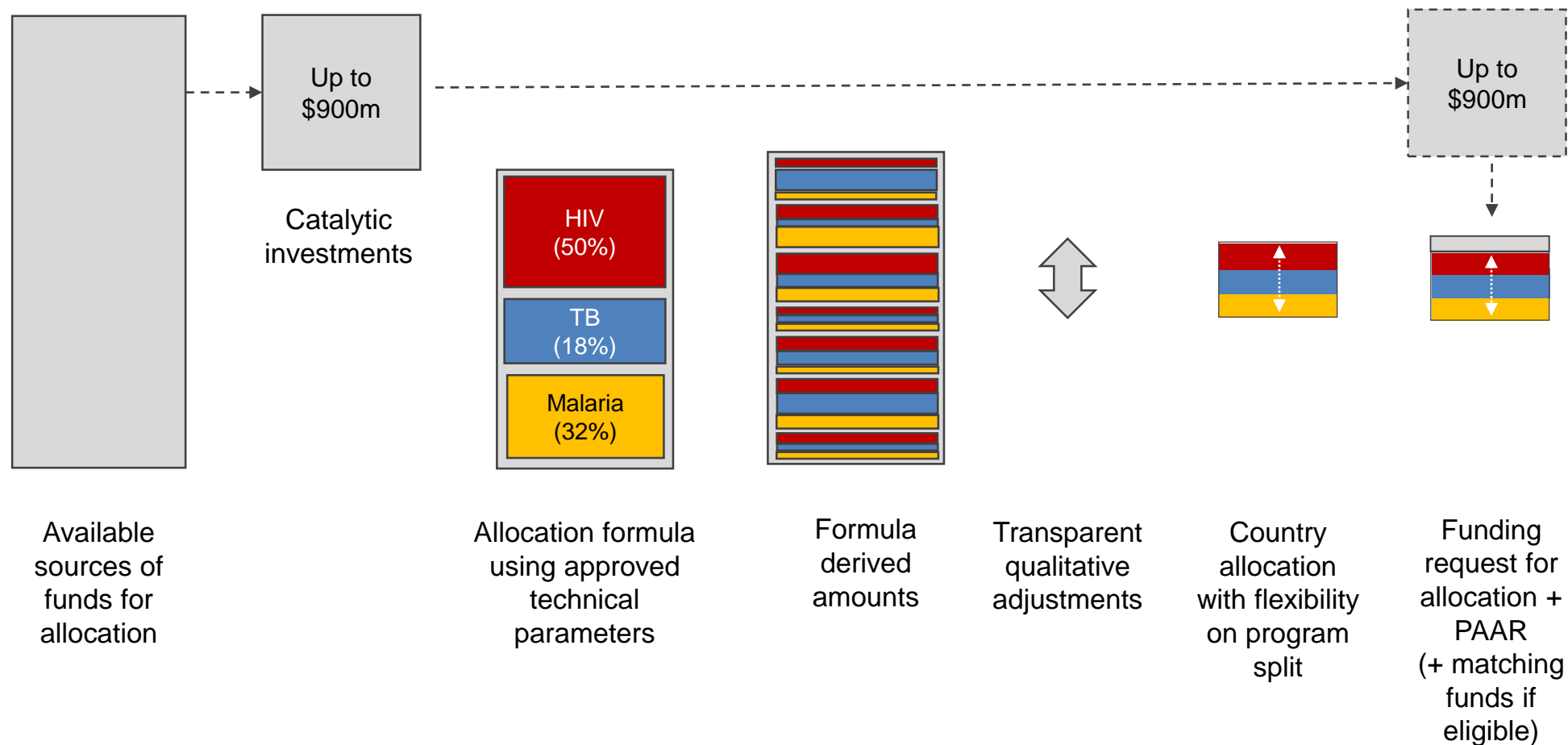Eligibility is determined by a country's income level and disease burden.

Income level	Disease Burden	Eligibility
Low Income Countries (LICs)	No restriction	✔
Lower-Middle Income Countries (LMICs)	No restriction	✔
Upper-Middle Income Countries* (UMICs)	High	✔
Upper-Middle Income Countries* (UMICs)	Not High	✘
High Income Countries	n/a	✘

The Global Fund Eligibility List identifies country components eligible to receive an allocation **BUT eligibility does not guarantee an allocation**

* Upper-middle income countries not on the OECD Development and Assistance Committee's list of recipients of Official Development Assistance are not eligible unless they have demonstrated barriers to providing funding for interventions for key populations, as supported by the country's epidemiology. Upper-middle income countries classified by the International Development Association (IDA) as 'Small Island Economy Exceptions' are eligible regardless of disease burden

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Background
Eligibility & Allocation

Up to $900m					Up to $900m
Catalytic investments	HIV (50%) / TB (18%) / Malaria (32%)	Formula derived amounts	Transparent qualitative adjustments	Country allocation with flexibility on program split	Funding request for allocation + PAAR (+ matching funds if eligible)

Available sources of funds for allocation

Allocation formula using approved technical parameters

Background
Catalytic Investments

Matching funds	Multi-country (regionals)	Strategic initiatives
A matching pool available to select countries at the time of allocation to incentivize funding requests that include key strategic priorities.	Funds are for a number of select multicountry initiatives, which are critical for the global response against HIV, TB and malaria.	Strategic areas not able to be addressed through country allocations, e.g. Emergency Fund, funding to strengthen community & civil society engagement, etc.

Background
Portfolio Categorization

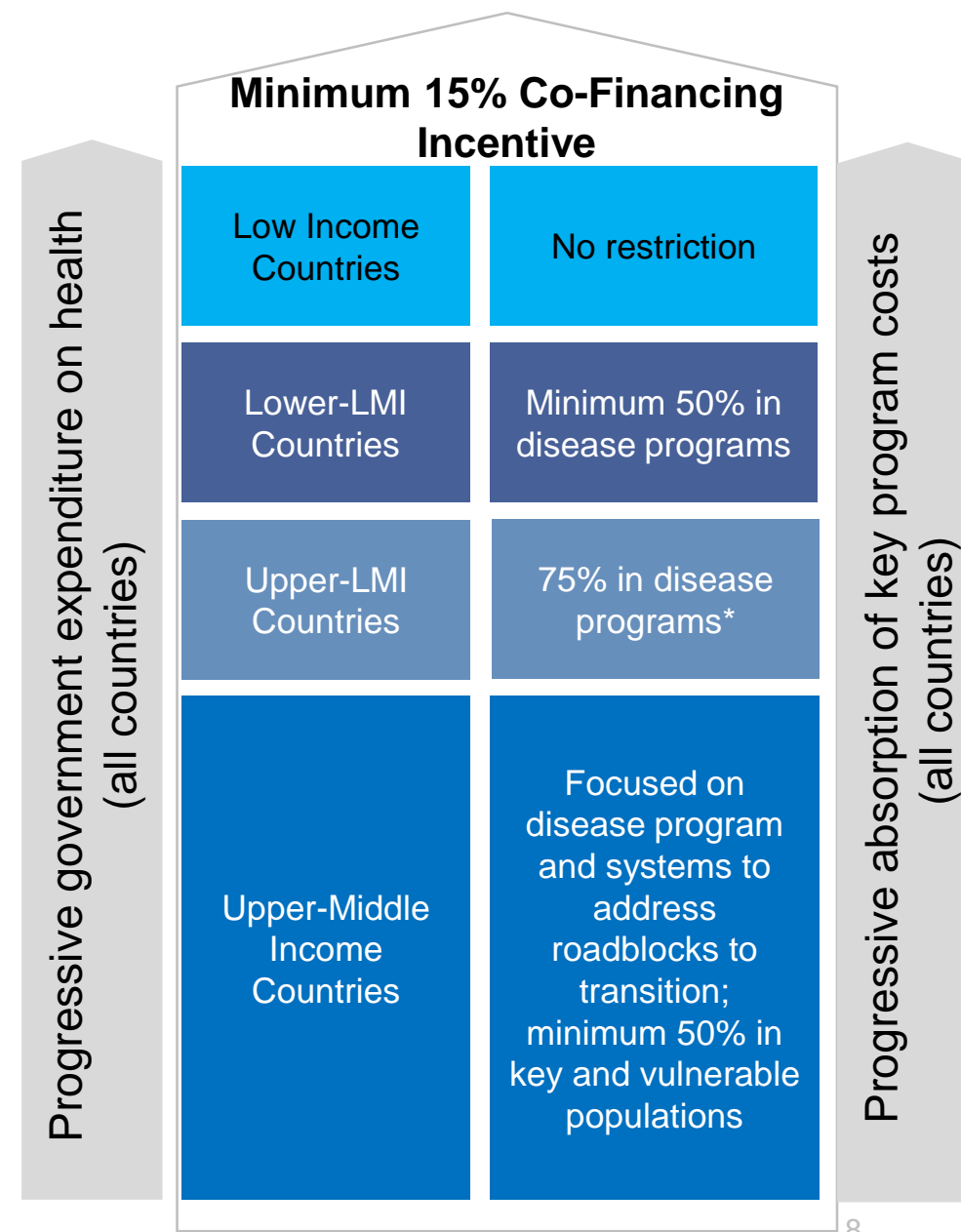| Focused	Core	High Impact
• Smaller portfolios • Lower disease burden • Lower mission risk	• Larger portfolios • Higher disease burden	• Very large portfolios • Mission-critical disease burden

Background
Co-Financing Requirements to Access Allocations

- Two **core requirements** to access an allocation:

  1) Progressive government expenditure on health
  2) Progressive absorption of key program costs

- In addition, a co-financing incentive of ***at least*** 15% of the allocation available to countries if they make and realize *additional commitments* with the following focus:
  - More flexibility to focus on health systems in LICs and LMICs
  - More targeted focus on disease programs, key and vulnerable populations, and transition and sustainability priorities as countries move along the development continuum

- Processes for *negotiating, tracking, reviewing, and confirming commitments* are embedded into Global Fund access to funding processes (country dialogue, Funding Request and Technical Review Panel review, grant-making, Grant Approval Committee Review, Board approval)

Minimum 15% Co-Financing Incentive

Progressive government expenditure on health (all countries)

Progressive absorption of key program costs (all countries)

Low Income Countries	No restriction
Lower-LMI Countries	Minimum 50% in disease programs
Upper-LMI Countries	75% in disease programs*
Upper-Middle Income Countries	Focused on disease program and systems to address roadblocks to transition; minimum 50% in key and vulnerable populations

'low' burden country components are encouraged to show a greater share of domestic contributions that will address systemic bottlenecks for transition and sustainability.

Background
Application Approach

The Global Fund

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Background
Application Approach

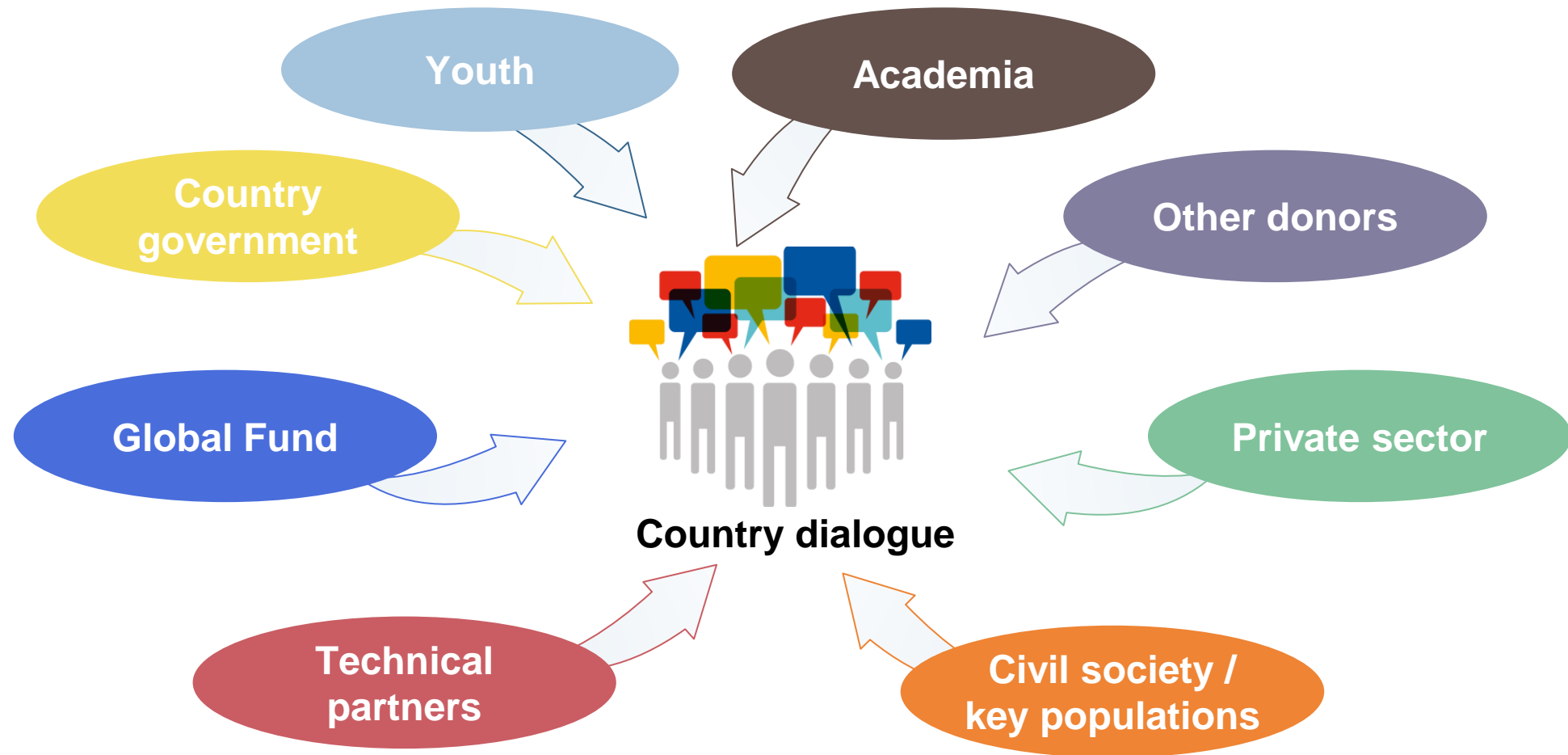|	
1: Is the applicant pre-identified for the NSP Application Approach?	If YES → NSP
	If NO → go to 2
2: Is the applicant required to submit a transition application approach?	IF YES → Transition
	If NO → go to 3
3: Is the applicant a focused country?	If YES → FOCUSED
	If NO → go to 4
4: Does the grant end by 30 June 2021?	If YES → go to 5
	If NO → postpone decision until grant performance is known
5: Does the applicant meet the Program Continuation (PC) criteria?	If YES → PROGRAM CONTINUATION
	If NO → FULL REVIEW

Background
Program Continuation Criteria

1. Performance of A1, A2, or B1 in the 2017 – 2019 cycle

2. The applicant did not use the program continuation application approach in the 2017-2019 cycle*

3. Less than 30% change in 2020-2022 allocation vs. allocation in 2017-2019

4. Do not envisage need for material change in the program**

*Note if an applicant used the program continuation approach in the 2017-2019 cycle, but undertook a material revision to their grant during the course of the cycle, they could be eligible for program continuation.
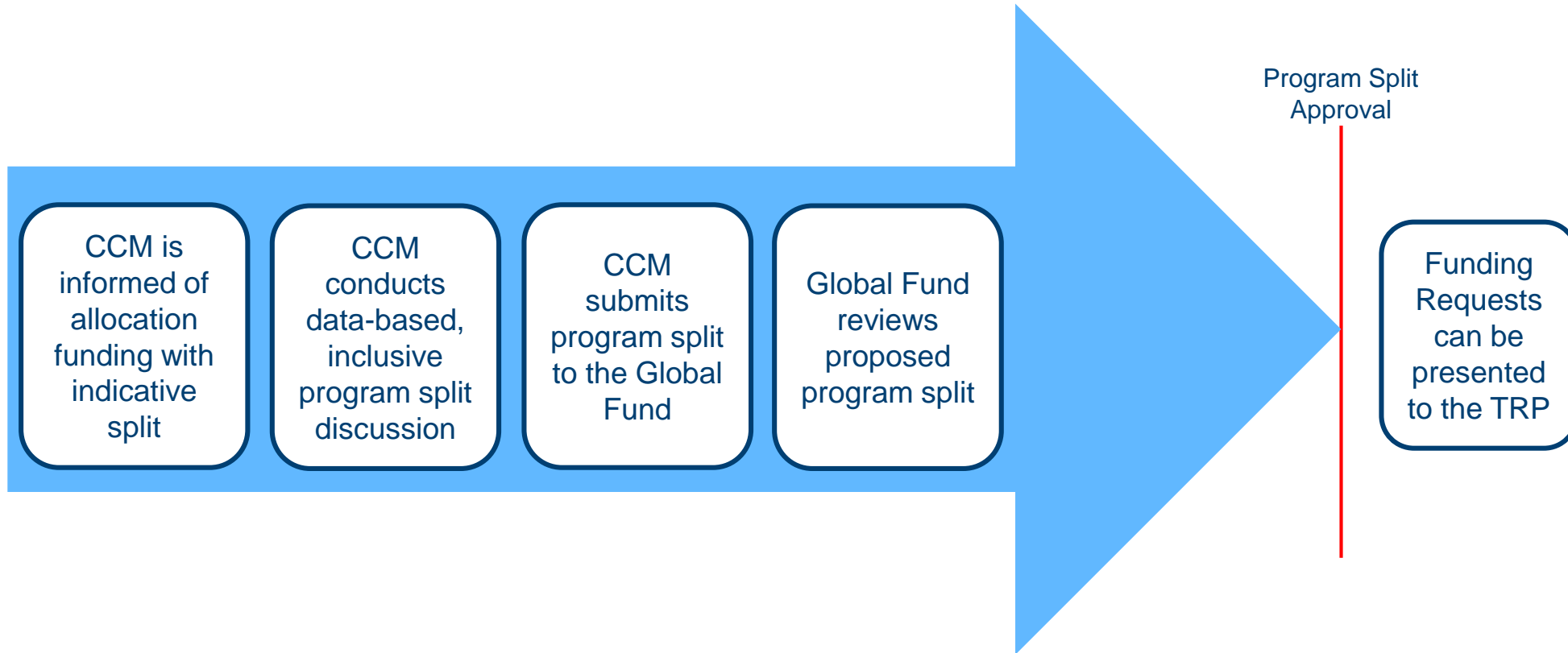**Based on input from Secretariat

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Applying for Funding
Inclusive Country Dialogue

Youth

Academia

Country government

Other donors

Global Fund

Private sector

Country dialogue

Technical partners

Civil society / key populations

These actors should be convened by the CCM as the CCM is responsible for submitting the funding request and nominating the Principal Recipient(s) however the dialogue may expand beyond the CCM

Applying for Funding
Program Split process

```
CCM is informed of allocation funding with indicative split
→
CCM conducts data-based, inclusive program split discussion
→
CCM submits program split to the Global Fund
→
Global Fund reviews proposed program split
```

Program Split Approval

Funding Requests can be presented to the TRP

The Secretariat will transparently communicate in the allocation letter where allocation-related decisions or outcomes have intended implications around use of funds and closely monitor any changes to the program split for those components.

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Applying for Funding
Alignment with National Strategic Plans

The allocation-based funding model emphasizes **alignment to country processes**, and it aims to incentivize the development of **robust, costed and prioritized National Strategic Plans** as well as the overall national health strategy

National Strategic Plan

Prioritized Funding Request + **Prioritized Above Allocation Request**
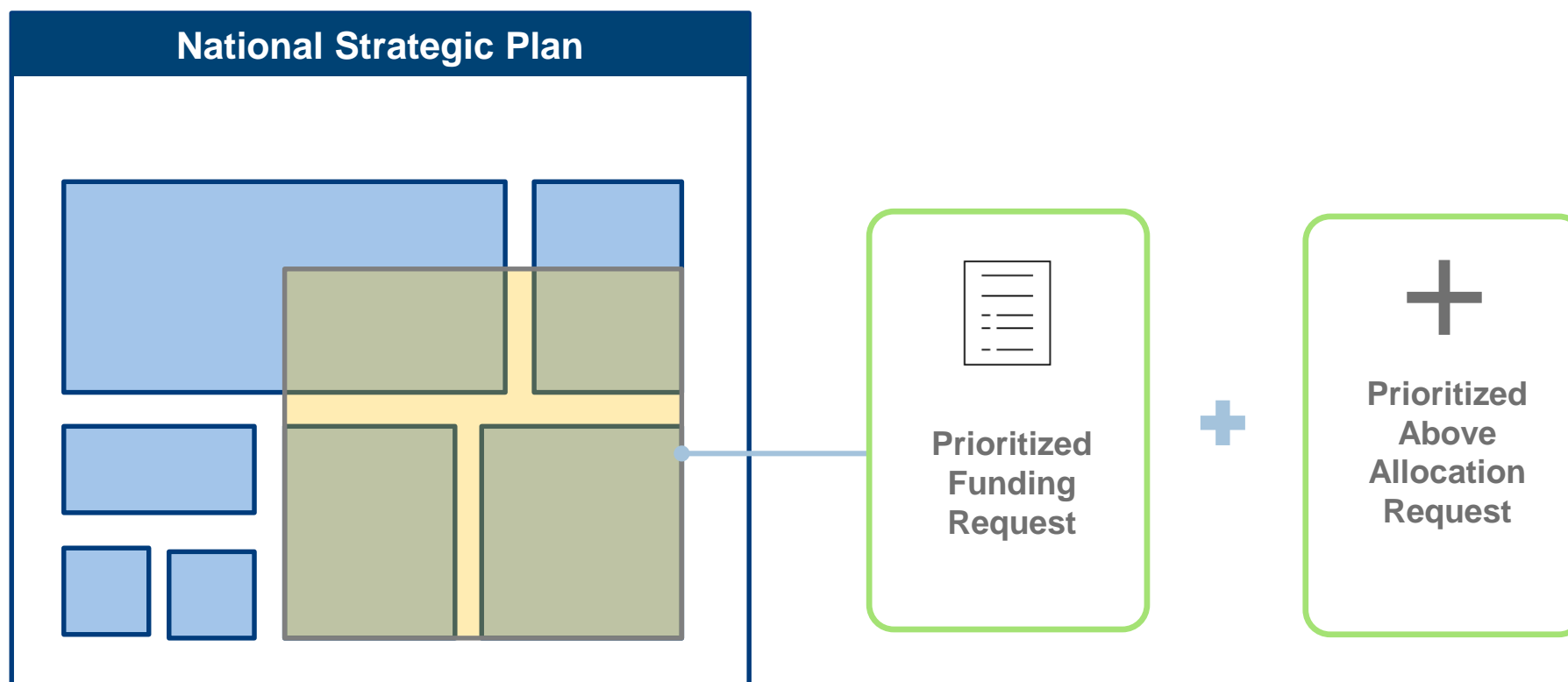
Applying for Funding
Tailored for NSP

- <u>Invitation to refer to NSP</u> (instead of narrative) in every section
- Focus is on prioritization, efficiency, and sustainability
- Additional tables for improved structure
- Can opt in to Tailored for Focused or Full Review, depending on portfolio

NSP

- 8 pages
- 4 sections

Applying for Funding
Full Review

Full Review

- 9 pages
- 4 sections

- Most <u>comprehensive application approach</u> for the 2020-2022 cycle
- Additional tables for improved structure & organization of applicant responses

Applying for Funding
Program Continuation

Program Continuation

- 5 pages
- 9 questions

Can Opt-In to Full Review

- <u>Streamlined application approach for well-performing Core and High Impact countries</u>
- Narrow scope of questions to confirm appropriateness of continuing current program
- Required annexes now submitted with Funding Request

Applying for Funding
Tailored for Focused Portfolios

- <u>Streamlined application approach for Focused Portfolios</u>

- Use of tables for better organization and clarity of applicant responses

Tailored for Focused Portfolios

- 7 pages
- 3 sections

Applying for Funding
Tailored for Transition

- Same narrative questions as Focused + <u>transition annex</u> + transition workplan

- Streamlined application approach

- Use of tables for better organization and clarity of applicant responses

Transition application requested for applicants:

- Receiving transition funding or had previously received transition funding

- Projected to move to high income

- Identified for contextual reasons

Tailored for Transition

- 7 pages
- 3 sections
- Transition Annex

Applying for Funding
Thematic Sections in each Funding Request

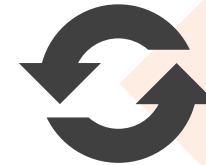| Context	Request	Implementation	Sustainability
Country Context	Funding Request Prioritization	Implementation Arrangements	Co-financing, Sustainability & Transition
Human Rights and Gender	Opportunities for Integration	Risk	
	Value for Money		

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Key Annexes

Funding Request narrative +

- Budget
- Performance Framework
- Funding Landscape Table
- Programmatic Gap Table
- Prioritized Above Allocation Request

- Essential Data Table
- CCM Endorsement of Funding Request
- CCM Statement of Compliance
- Co-Financing Documentation
- National Strategic Plan

- Implementation Arrangement Map*
- Health Product Management Tool*
- Transition Readiness Assessment and/or Transition Plan*

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* Not required for all applications

Applying for Funding
Prioritized Above Allocation Request

PRIORITIZED ABOVE ALLOCATION REQUEST (PAAR)					
Applicant Priority Rating	Module	Intervention	Requested amount (grant currency)	Requested amount (USD)	Brief Rationale, including expected outcomes and impact including service delivery targets in line with performance framework indicators (applicant language)
Drop-down menu with options 'Low', 'Medium', 'High.'	Drop-down menu with list of modules in performance framework, based on component selected	Drop-down menu with list of interventions in performance framework, based on selected module and component	Numeric field	Calculated field that converts incremental request to USD.	Free text, no char limit

The PAAR is a list of prioritized and costed requests that cannot be funded by the allocation.
Approved requests are placed on the Register of Unfunded Quality Demand

Applying for Funding
Prioritized Above Allocation Request to Unfunded Quality Demand (UQD)

(US$ millions)

Requested PAAR: 4,685
Original UQD amount: 4,339
Remaining UQD amount*: 3,059

Breakdown: 736, 504, 30, 10

Legend:
- Efficiencies and reprogramming
- Portfolio Optimization award
- Debt2Health
- Private sector
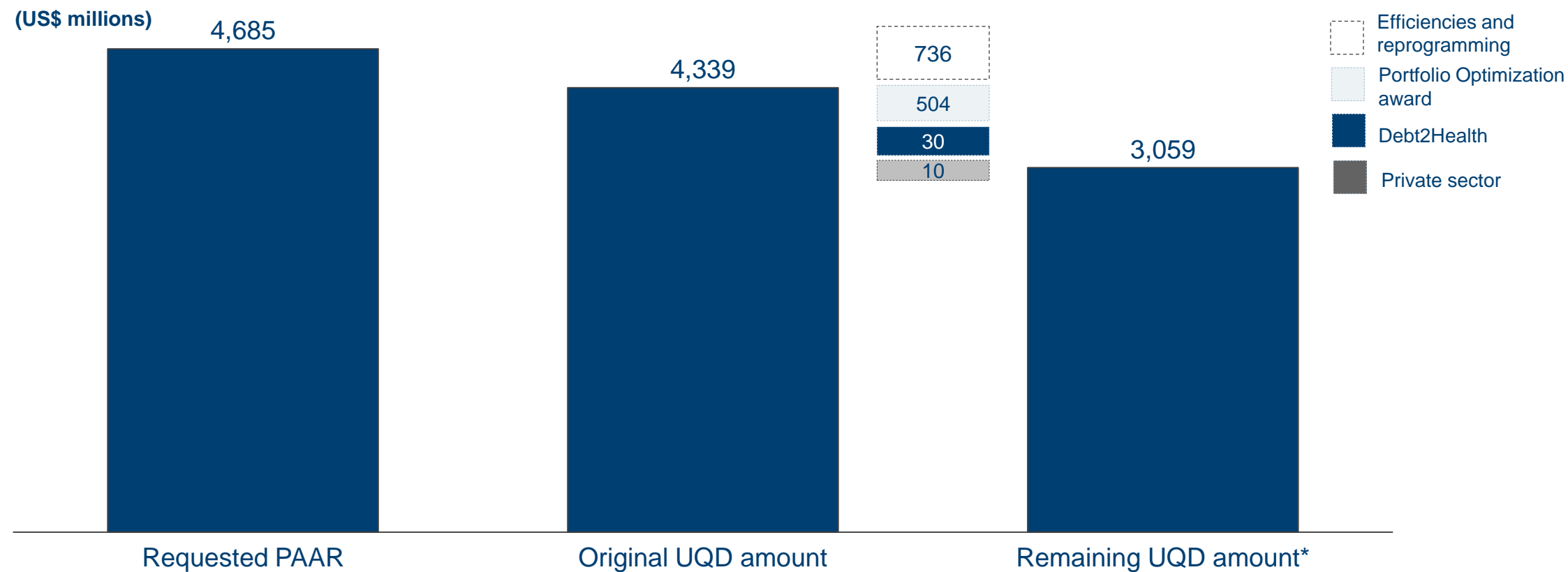
Source: Access to Funding database
As of 1 July 2019
*Expected UQD amount remaining in anticipation of full Portfolio
Optimization award amounts (waves 1-3) being incorporated into grants.

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From Submission to Signatures
Screening for CCM Eligibility 1&2

1 Transparent and inclusive funding request development process	
2 Open and transparent PR selection process	1 and 2 assessed at FR submission
3 Overseeing program implementation and having an oversight plan	
4 Document the representation of affected communities	
5 Ensure representation of non-governmental members through transparent and documented processes	3 to 6 monitored on going basis
6 Develop, publish and follow a policy to manage conflict of interest that applies to all CCM members, across all CCM functions	

From Submission to Signatures
The Technical Review Panel

The Technical Review Panel is an independent, impartial team of experts appointed to ensure Global Fund investments will achieve highest impact through a rigorous technical assessment.

Inputs

Reviews: Funding request + key annexes

Considers:
- Secretariat Briefing Note
- Previous TRP forms

TRP review criteria

Maximizing impact against HIV, TB, and malaria

Building resilient and sustainable systems for health

Promotes and protects human rights and gender equality

Increasing effectiveness and efficiency: program implementation

Sustainability and co-financing

TRP outcome: Review and Recommendation Form

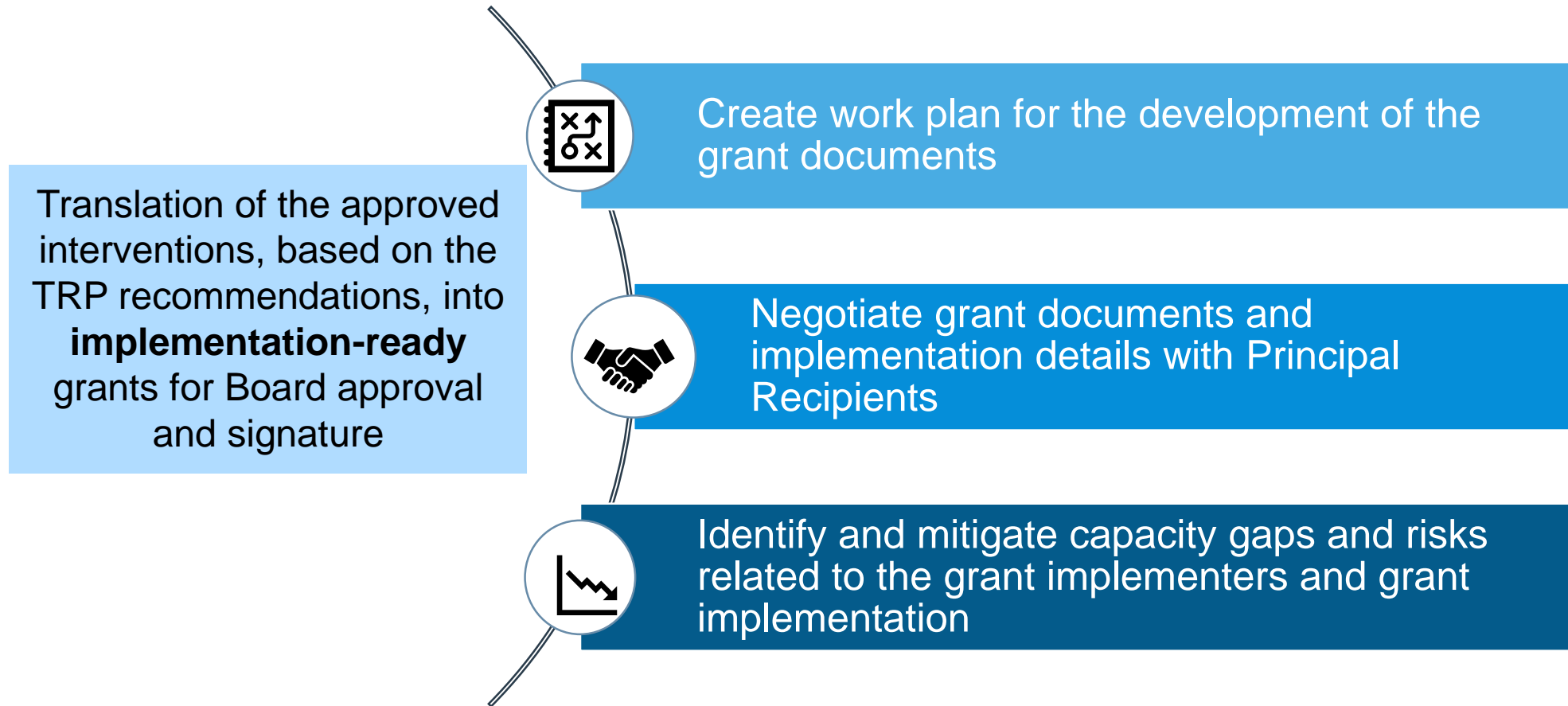**Grant-making**: with or without adjustments
OR
Iteration: revise and resubmit, addressing TRP comments

Recommendation for Unfunded Quality Demand from the PAAR

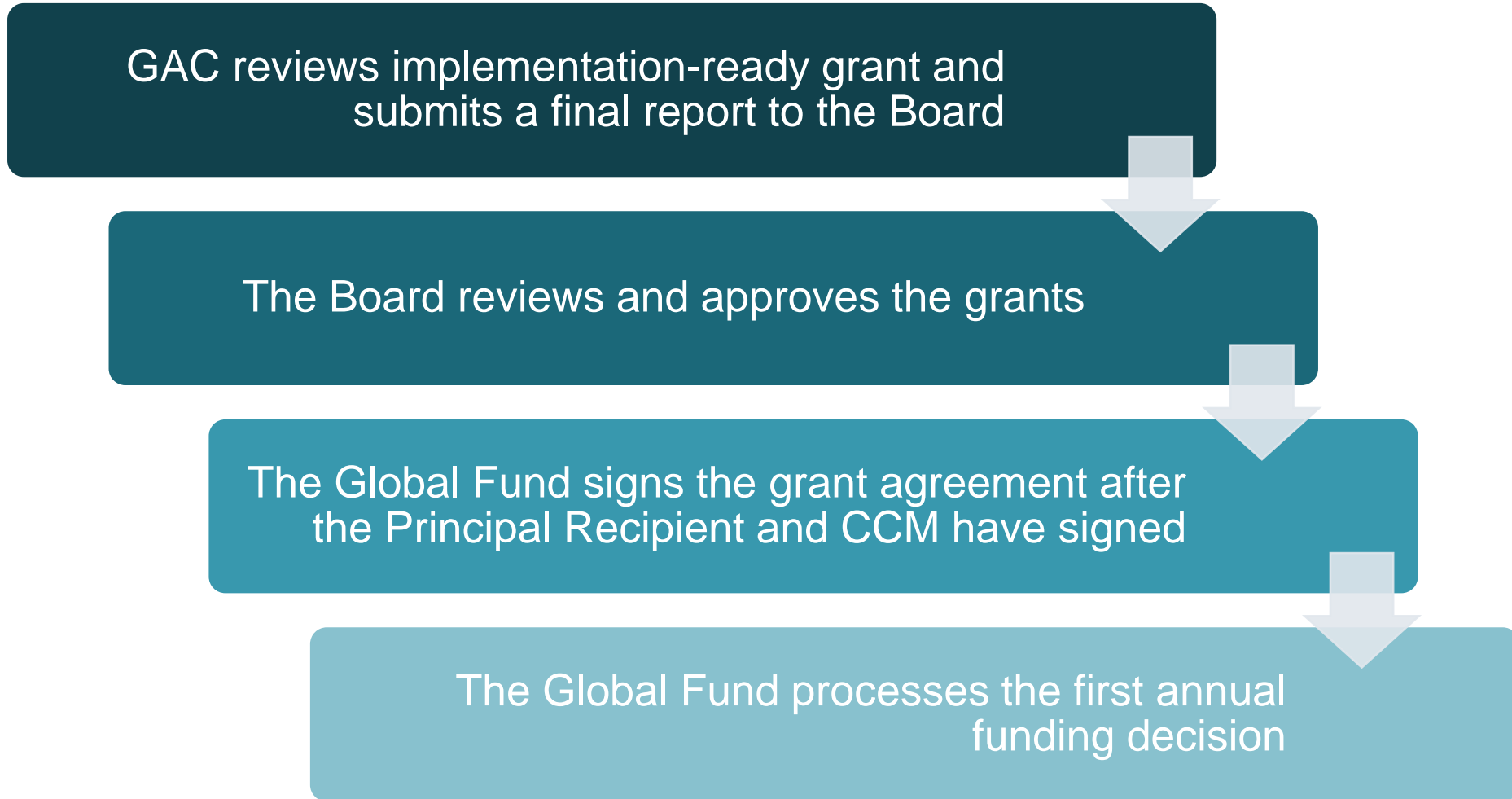**May recommend re-prioritization of interventions** within the funding request or PAAR, as applicable
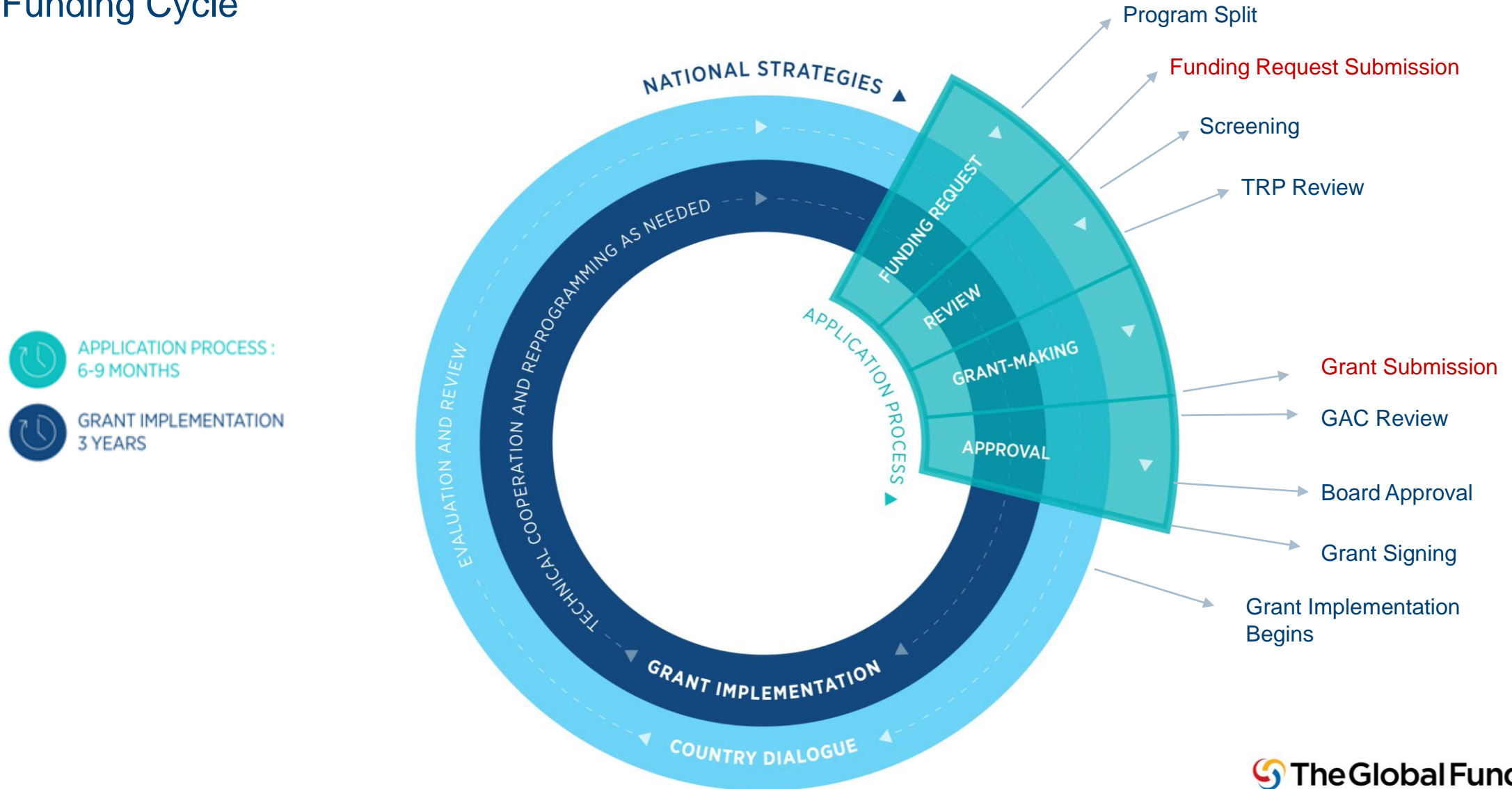
From Submission to Signatures
Grant Making

Translation of the approved interventions, based on the TRP recommendations, into **implementation-ready** grants for Board approval and signature

Create work plan for the development of the grant documents

Negotiate grant documents and implementation details with Principal Recipients

Identify and mitigate capacity gaps and risks related to the grant implementers and grant implementation

From Submission to Signatures
The Grant Approvals Committee & Board approval

GAC reviews implementation-ready grant and submits a final report to the Board

The Board reviews and approves the grants

The Global Fund signs the grant agreement after the Principal Recipient and CCM have signed

The Global Fund processes the first annual funding decision

The Global Fund

Process Points
The Funding Cycle

APPLICATION PROCESS:
6-9 MONTHS

GRANT IMPLEMENTATION
3 YEARS

NATIONAL STRATEGIES

FUNDING REQUEST

REVIEW

GRANT-MAKING

APPROVAL

APPLICATION PROCESS

EVALUATION AND REVIEW

TECHNICAL COOPERATION AND REPROGRAMMING AS NEEDED

GRANT IMPLEMENTATION

COUNTRY DIALOGUE

Program Split

Funding Request Submission

Screening

TRP Review

Grant Submission

GAC Review

Board Approval

Grant Signing

Grant Implementation Begins

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Lessons Learnt
Planning Backwards

Applicants should estimate when they plan to access funds

| Current implementation period | Next 3-year IP |

Grant end date → ← Expected grant start date

Submission Window

Grant Submission

2 months funding request development

2 months review

3-5 months grant-making

1.5 months GAC/Board approval

1 month grant signing

1-2 months preparing implementation

Plan backwards

Lessons Learnt
Submission and Review Dates 2020

TRP Window	Submission	Review Dates
Window 1	23 March	27 April – 2 May
Window 2	25 May	29 June – 5 July
Window 3	31 August	5 – 11 October

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Lessons Learnt
Timing for Applications and Signing
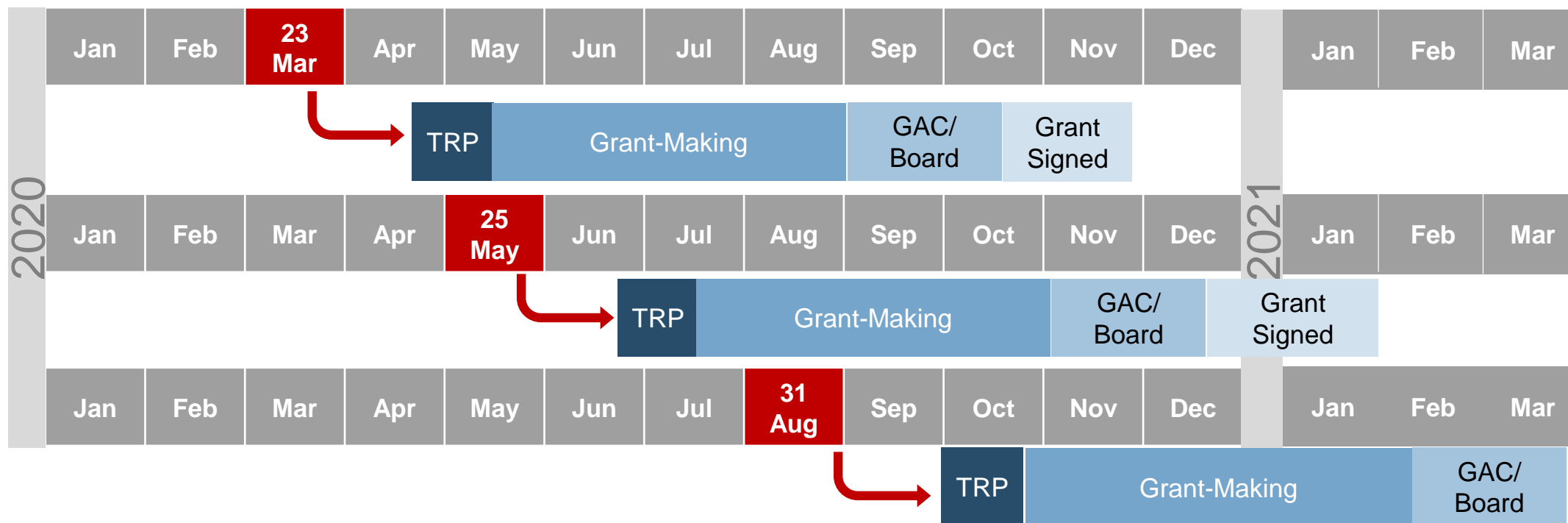
Lessons Learnt
Support to CCMs

Plan ▸ Discuss the right submission date for the funding request with the CCM and country team

Engage ▸ Help prepare data and analysis to support program split discussions

Support inclusivity and transparency of funding request preparation

Support continuity of knowledge between funding request content and development of grants

Focus ▸ Keep the attention on implementation; the funding request process should not divert focus

Trainings and Resources
For External Stakeholders

Publications

eLearnings

Webinars

Support for External Meetings

Video:
Participating in Country Dialogue

Trainings and Resources
Webinars for External Partners

Webinar Title	Date
An Overview of the Application Process	September 17
What's New and Different for the 2020-2022 Allocation Period	September 24
Tailored for National Strategic Plans Application Approach	October 23
Full Review Application Approach	October 31
Program Continuation Application Approach	November 8
Tailored for Transition and Tailored for Focused Portfolios Application Approaches	November 12
Matching Funds in the 2020-2022 Allocation Period	Early December
Overview of the 2020-2022 Allocations	December 17

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Trainings and Resources
eLearnings: Primarily for Applicants

| E-LEARNING TITLE	DATE AVAILABLE
An Overview of The Funding Process	Oct
What is New or Different for 2020-2022	Oct
Achieving Inclusive Country Dialogue for CCMs	Oct
How to Apply Using the Tailored for National Strategic Plan Application Approach	Nov
How to Apply Using the Full Review Application Approach	Nov
How to Apply Using the Program Continuation Application Approach	Nov
How to Apply Using the Tailored for Focused Portfolios and Transition Application Approach	Nov
Understanding the Prioritized Above Allocation Request	Nov
Understanding Co-financing, Sustainability, And Transition	Dec
Understand the Performance Framework and Budget	Dec
Understanding the Programmatic Gap and Funding Landscape Table	Dec

Trainings and Resources
Publications
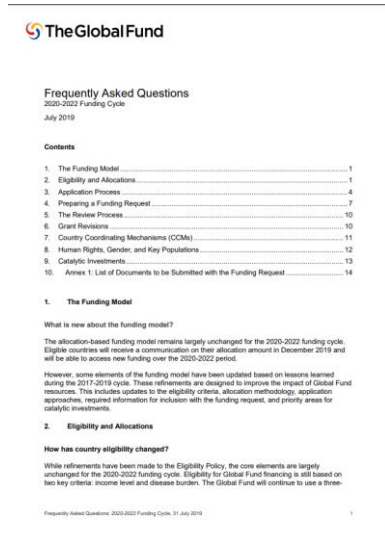
Frequently Asked
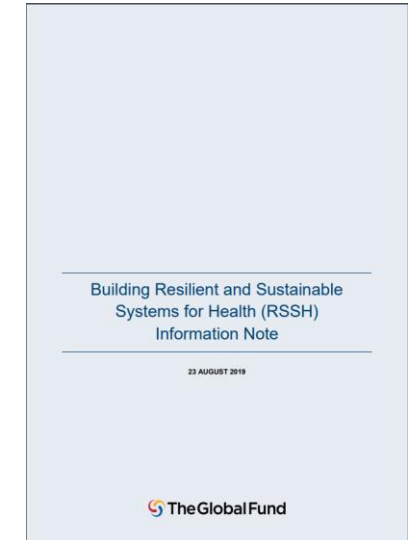Questions for the
2020-2022
Funding Cycle
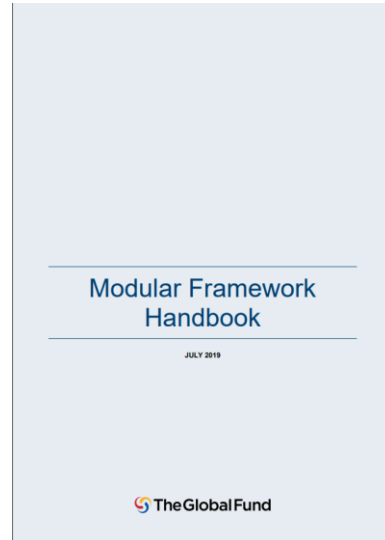
Modular Framework
Handbook
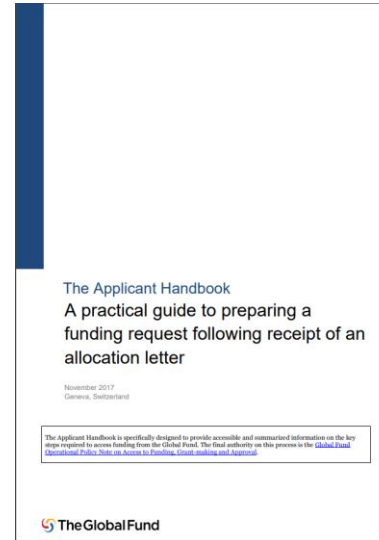
The Applicant
Handbook

Funding Cycle
Brochure

Information Notes
And Technical Briefs

Trainings and Resources
Event support

Access to Funding is not coordinating any regional meetings or face-to-face training for external partners but will strive to accommodate requests for support from those who are coordinating events. Contact: A2FTraining@theglobalfund.org
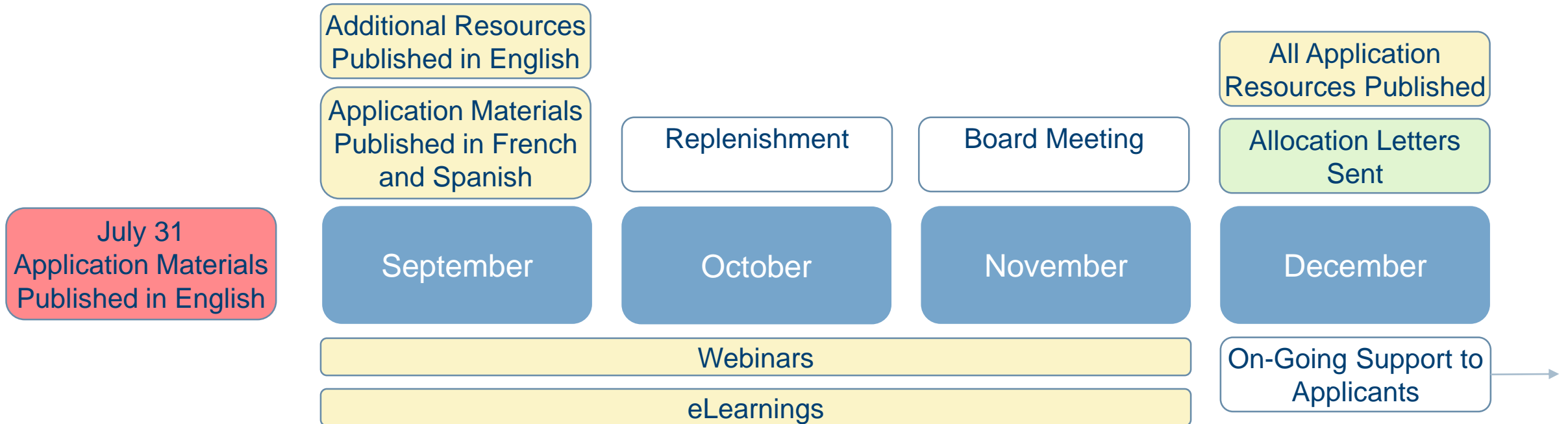
Trainings and Resources
New Video: Participating in Country Dialogue

Trainings and Resources
Timeline

Additional Resources Published in English

Application Materials Published in French and Spanish

All Application Resources Published

Replenishment

Board Meeting

Allocation Letters Sent

July 31 Application Materials Published in English

September

October

November

December

Webinars

On-Going Support to Applicants

eLearnings

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Questions?

A2FTraining@theglobalfund.org

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Reference

Portfolio Categorization (as of May 2018): Country and Multi-country

FOCUSED

1. Albania
2. Algeria
3. Armenia
4. Azerbaijan
5. Belarus
6. Belize
7. Bhutan
8. Bolivia
9. Botswana
10. Bulgaria
11. Cape Verde
12. Colombia
13. Comoros
14. Costa Rica
15. Cuba
16. Djibouti
17. Dominican Republic
18. Ecuador
19. Egypt
20. El Salvador
21. Gabon
22. Gambia
23. Georgia
24. Guyana
25. Honduras
26. Iran (Islamic Republic)
27. Jamaica
28. Kazakhstan
29. Kosovo
30. Kyrgyzstan
31. Lao
32. Malaysia
33. Mauritania
34. Mauritius
35. Moldova
36. Mongolia
37. Montenegro
38. Morocco
39. Nicaragua
40. Panama
41. Paraguay
42. Peru
43. Romania
44. Sao Tome and Principe
45. Serbia
46. Solomon Islands
47. Sri Lanka
48. Suriname
49. Tajikistan
50. Timor-Leste
51. Tunisia
52. Turkmenistan
53. Uzbekistan

- Multi-country Western Pacific
- Multi-country Caribbean
- All Regional Grants (except South Africa – TB in Mining and South Africa Elimination 8)

CORE

1. Afghanistan
2. Angola
3. Benin
4. Burundi
5. Cameroon
6. Central African Republic
7. Chad
8. Congo (Brazzaville)
9. Eritrea
10. Guatemala
11. Guinea
12. Guinea Bissau
13. Haiti
14. Korea (DPR)*
15. Lesotho
16. Liberia
17. Madagascar
18. Namibia
19. Nepal
20. Niger
21. Papua New Guinea
22. Rwanda
23. Senegal
24. Sierra Leone
25. Somalia
26. South Sudan
27. Sudan
28. Swaziland
29. Togo

- Middle East Response (Iraq, Lebanon, Palestine, Syria, Yemen)
- South Africa – TB in Mining
- South Africa – Elimination 8

HIGH IMPACT

1. Bangladesh
2. Burkina Faso
3. Cambodia
4. Congo DR
5. Côte d'Ivoire
6. Ethiopia
7. Ghana
8. India
9. Indonesia
10. Kenya
11. Malawi
12. Mali
13. Mozambique
14. Myanmar
15. Nigeria
16. Pakistan
17. Philippines
18. South Africa
19. Tanzania (inc. Zanzibar)
20. Thailand
21. Uganda
22. Ukraine
23. Viet Nam
24. Zambia
25. Zimbabwe

- RAI (Regional Artemisinin-resistance Initiative)

This categorization was approved by the Global Fund Secretariat in May 2018. The categorization will be updated for the 2020-2022 Allocation Period following the 6th Replenishment and allocation exercise.

The Global Fund