



Catalytic Multicountry Funding

Guidelines

2023-2025 Allocation Period

Date published: 1 June 2024



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1. Introduction

- 1.1. The purpose of these Guidelines are to provide strategic guidance for applicants of Multicountry (MC) Funding in the 2023-2025 Allocation Period.
- 1.2. Specifically, these Guidelines:
 - (a) Provide general information on MC approaches;
 - (b) Detail the type of applicants and Eligibility Requirements for MC Funding; and
 - (c) Explain the application and review process for MC Funding.

2. Background

2.1. 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 2023-2025 Allocation Period, US\$519 million of catalytic investments are available for the following categories:

- a) **Matching Funds:** available to selected countries to incentivize the investment of a country allocation (and in some cases, domestic resourcing) in key strategic priorities;
- b) **Strategic Initiatives:** these funds are available for centrally managed approaches for strategic areas that cannot be addressed through country allocations due to their cross-cutting, innovative or off-cycle nature, which are critical to ensure country allocations deliver against the Global Fund strategy; and
- c) **MC Funding:** available to target a limited number of key strategic priorities deemed critical to meet the aims of the Global Fund Strategy and not able to be addressed through country allocations alone, defined by the Global Fund Secretariat and approved by the Grants Approval Committee (**GAC**) in April 2024 and to be financed under this catalytic modality.¹

2.2. MC 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.

2.3. Depending on the source of funding, MC grants supported by the Global Fund can fall under one of these three categories, MC grants funded:

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

- (a) through pooled country allocations (e.g. MC Western Pacific and MC Caribbean);
- (b) through a combination of pooled country allocations and catalytic investments (e.g. the Regional Artemisinin-resistance Initiative grant); and
- (c) solely by catalytic investments (MC modality).

This Guidelines focuses on category (c) of the MC grants.

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

3. Types of Applicants and Eligibility Requirements for MC funding

- 3.1. As per the Global Fund Eligibility Policy² an MC 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 the purposes of determining whether or not an MC applicant meets the 51 percent criteria, country components that are receiving transition funding will be considered as 'eligible'.
- 3.2. Applicants for catalytic MC Funding include:
 - (a) **Regional Coordinating Mechanism (RCM)**. Unlike Country Coordinating Mechanisms (CCM)³, RCMs are a coordination mechanism at the regional level, representing more than one country. They are MC 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 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.

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

³ Throughout these Guidelines, references to CCM include any RCM, RO or other applicant, as applicable.

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

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 Eligibility Requirements of a RO applicant.

3.3. CCMs' core functions, as detailed in the [CCM Policy](#), are applicable to all MC applicants.

4. MC Funding Application Modalities

4.1. There are three application modalities⁵ for the available MC Funding. The GAC assigns the application modality⁶ for each priority area and region among the following:

(a) **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 (PR). The Global Fund Secretariat invites an existing RCM or RO with active grants to submit the following:

- a new Performance Framework, Budget and relevant complementary documentation;
- 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 MC funding will complement the national programs; and
- evidence of endorsement of the documents in point (1) and (2): (i) by all RCM members/their designated alternates or legal representative of the RO, as applicable; and (ii) for each country represented in the program by: (A) CCM Chair and (B) civil society representative if the CCM Chair⁷ is the representative of the Government, or the representative of the Government if the CCM Chair is the representative of the civil society. 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

⁵ Application modality is the process by which applicants apply for MC funding.

⁶ The GAC may approve exceptions to these guidelines when determining the application modality.

⁷ In the absence of the CCM Chair, endorsement by the Vice Chair is acceptable if in line with the CCM's governing documents.

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 11 below.

(b) Pre-shaping. This application modality may be applied to new or ongoing grants where proactive shaping would support fuller response to the needs of the relevant MC catalytic priority. For example, this would apply when specific entities are recognized to be best positioned to ensure successful implementation of the programs. The Global Fund Secretariat will actively engage with partners to define the most effective way to achieve the expected results, including implementation arrangements, and send an invitation letter to an identified applicant to submit a funding request for TRP review, within the indicated available amount.

(c) Request for Proposal (RFP). For strategic priorities where the continuation nor pre-shaping modalities are applicable, 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.

4.2. Applicants are required to comply with the overall principle of inclusiveness, given the relevant country or MC 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 paragraph 10(a) above for application requirements specific to the continuation modality). Compliance with Eligibility Requirements 3 to 6 are assessed on an ongoing basis for all RCMs and/or ROs (where relevant), regardless of application modality.

Requirement 1: The Global Fund requires all applicants to:

- (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 and 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

All MC applications must demonstrate how the request is complementary to national efforts and other existing regional grants.

A MC request must be endorsed by all RCM members/their designated alternates or legal representative of the RO, as applicable. In addition, endorsement(s) must also be provided for each country represented in the program by: (i) CCM Chair and (ii) civil society representative if the CCM Chair⁸ is the representative of the Government, or the representative of the

⁸ In the absence of the CCM Chair, endorsement by the Vice Chair is acceptable if in line with the CCM's governing documents.

Government if the CCM Chair is the representative of the civil society. For those countries with no CCM, endorsement is required from the legal representative of the relevant Ministry of Health or other national coordinating body.	
Requirement 2: The Global Fund requires all applicants to: (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.	Applies fully if the RO acts as applicant and not implementer. If the RO acts as both applicant and implementer the requirement does not apply. Good practice: when the RO acts also as an implementer an assessment of capacities is required.
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.	
RCM	RO
Applies fully. Additionally, RCM must ensure: A cost-effective approach for field visits; and Linkage to national CCM focal points in the relevant countries to ensure information exchange and no duplication. <i>Good practice:</i> Ensure alignment (data gathering and information triangulation) with national programs and national grants when the implementation sites are the same.	Good practice: Ensure a cost-effective approach for field visits; and Ensure linkage to national CCM focal points in the relevant countries to ensure information exchange and no duplication.
Requirement 4: The Global Fund requires that all CCMs, based on epidemiological and human rights and gender considerations, show evidence of membership of: (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
Applies fully. <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.	Does not apply.

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.	
RCM	RO
Applies fully. Refer to requirement 4.	Does not apply.
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: (i) Approve and adopt the Code of Ethical Conduct for CCM Members ⁹ ; (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.	
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.

- 4.3. The procedures for assessing applicant eligibility for MC Funding generally follows the same procedures for country allocations according to the [Operational Procedures on Design and Review of Funding Request](#) – Section III. Review and Recommend

⁹ https://www.theglobalfund.org/media/8234/core_codeofethicalconductforccmmembers_policy_en.pdf

5. Development and Submission of Funding Requests

5.1. All funding requests for MC Funding are required to include a strong evaluation framework to assess the catalytic effect of planned 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.

5.2. The MC Funding applications must be composed of the following documents using templates provided by the Global Fund Secretariat:

☐	Funding Request Form For continuation grants, the Validation of Continuation form
☐	Performance Framework
☐	Budget
☐	Prioritized above allocation request (PAAR) (not applicable to 'Continuation' grants)
☐	Implementation Arrangement Map (if applicable)
☐	Documents confirming the Applicant and Implementer's Legal Status (if applicable)
☐	RCM/RO Endorsement of Funding Request (or of relevant documents in 'Continuation' grants)
☐	CCMs Endorsement(s) of Funding Request for each country represented in the program ¹⁰
☐	RCM/RO Statement of Compliance
☐	Regional dialog narrative
☐	National Strategic Plans (Health Sector and Disease specific) (if applicable)
☐	All supporting documentation referenced in the funding request
☐	Health Product Management Template (if applicable)
☐	Human Rights assessment per country or regional (if available)
☐	Gender assessment per country or regional (if available)
☐	List of Abbreviations and Annexes
☐	Secretariat Briefing Note

5.3. MC Funding applicants are required to follow the same applicable procedures as in the [Operational Procedures on Design and Review of Funding Request](#) - Section II (Plan, Develop and Submit the Funding Request).

¹⁰ Evidenced by a letter signed by (i) the CCM Chair and (ii) Civil Society **Representative if the CCM Chair is the representative of the Government, or the representative of the Government if the CCM Chair is the representative of the civil society**. If the CCM Chair is not available, endorsement by the Vice Chair is acceptable if in line with the CCM's governing documents. 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. For participating not-eligible countries, the signatory from a Government representative is required.

6. Review of Funding Requests

- 6.1. 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 MC Funding and recommend the grant to the Global Fund Board for approval (see Operational Policy Manual on Make, Approve and Sign Grants).
- 6.2. 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 MC Funding investments. Based on TRP recommendations, the GAC will review and confirm investments under MC Funding and recommend MC grants to the Global Fund Board for approval (see Operational Policy Manual on Make, Approve and Sign Grants).

7. MC Allocation Utilization Period Principles

- 7.1. **MC priorities.** The Board's decision GF/B47/04 Revision 111 recommended that US\$181 million of catalytic investments be directed towards MC approaches in the 2023-2025 Allocation Period.
- 7.2. **Allocation Utilization Period (AUP).** The AUP¹² is, typically, the three-year period¹³ during which the MC catalytic funding can be utilized to implement programs. This period starts the day after the previous AUP ends. Any extension to a MC 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.

¹¹ [archive_bm47-04-rev1-catalytic-investments-2023-2025-allocation-period_report_en.pdf \(theglobalfund.org\)](https://www.theglobalfund.org/media/3261/core_budgetingglobalfundgrants_guideline_en.pdf)

¹² https://www.theglobalfund.org/media/3261/core_budgetingglobalfundgrants_guideline_en.pdf

¹³ 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.

Overarching principles for all existing MC grants	
1.	Overall, MC grants follow the same AUP principles as country allocation grants and normally cover a three-year period.
2.	Overlapping Implementation Periods for the same MC 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 Revise Grants). 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 ¹⁴ .
Principles for continuing MC priorities with the same PR	
5.	In the case of a continuing MC 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 MC 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 Revise Grants. The GAC should be notified even if an extension is not presented to the GAC for a decision.
Principles for continuing MC priorities with a new PR	
7.	In the case of a continuing MC 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 2025 ¹⁵ or end later than 31 December 2028. Otherwise, Board review and approval is required.
8.	A MC grant under the 2020 - 2022 allocation period will be closed as per the OPN on Implementation Period Reconciliation and Grant Closure.
Principles for existing MC 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 OPN on Revise Grants. A strong justification and rationale for the extension should be provided.

¹⁴ See section 3 on Implementation Period Reconciliation and Grant Closure:
https://www.theglobalfund.org/media/3266/core_operationalpolicy_manual_en.pdf

¹⁵ Implementation Period start date of MC transition grant(s) can start later than 31 December 2025, provided that such Implementation period cannot start later than 31 December 2027 and end later than 31 December 2028.

8. References

- [Global Fund Strategy 2023 – 2028](#)
- [2023 – 2025 Allocation Methodology](#)
- [Operational Policy Manual](#)
- [Updated Grant Budgeting Guidelines and Templates](#)

For more information on each of the MC priority areas please contact:
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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
1.2	EGMC	Update of funding request requirements and background for next 2023-2025 Allocation Period	March 2024