

GLOBAL FUND OBSERVER (GFO) NEWSLETTER  
A service of Aidspan.

Issue 17 – Sunday 11 January 2004.

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[www.aidspace.org/gfo/archives/newsletter](http://www.aidspace.org/gfo/archives/newsletter)

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On January 10, as planned, the Fund launched its fourth Round of grant applications. The deadline for submission of Round 4 proposals is April 5, 2004. The Fund stated that at present, US \$604 million is available for Round 4 grants. This is approximately equal to the amount committed for Round 3 grants. However, more money will certainly become available by the time the board makes its approvals in June.

[NEWS: Aidspace Releases Guide to Obtaining Global Fund-Related Technical Assistance](#)

Aidspace today released "*The Aidspace Guide to Obtaining Global Fund-Related Technical Assistance*." This 123-page Guide is intended to be useful to any country or organization that is considering applying to the Global Fund or whose grant application has been approved by the Fund. It is based on a survey conducted by Aidspace of 170 organizations and individuals that are in a position to provide Global Fund-related technical assistance.

[NEWS: Global Fund Releases New Documents for Grant Applicants and Recipients](#)

At the same time that it launched Round 4, the Fund released a number of documents that are designed to be helpful to grant applicants and recipients.

[NEWS: Full Text of the Fund's Round 4 Call for Proposals](#)

The Fund provides details on who can apply, how to apply, etc.

[Correction](#)

Some words were omitted in a recent GFO interview with Dr. Jim Kim of WHO.

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**NEWS: Global Fund Launches Round 4**  
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On January 10, as planned, the Fund launched its fourth Round of grant applications. It also released a number of documents useful not only to applicants, but also to those implementing grants that have already been approved. For details on these documents, see further articles below.

The deadline for submission of Round 4 proposals is April 5, 2004. The proposal form and the accompanying guidelines have been extensively revised since Round 3. An evaluation of these will be provided in the next issue of GFO.

The Fund stated that at present, US \$604 million is available for Round 4 grants. This is approximately equal to the amount committed for Round 3 grants. However, more money will certainly become available by the time the board makes its approvals in June.

The press release issued by the Fund stated:

"The Global Fund to Fight AIDS, Tuberculosis and Malaria today issues a call for a new round of proposals for grant funding. The new round of grants will contribute to a substantial increase in the amount of money available in the global fight against the three diseases.

Since its creation in 2002, the Global Fund has grown to become the world's largest financier of programs to fight the three diseases. AIDS, TB and malaria together kill more than six million people each year and impede economic and social development in a large number of developing countries.

"We are looking for proposals of the highest quality, particularly from partnerships that include the private sector and local non-governmental organizations," said US Secretary of Health and Human Services Tommy Thompson, Chair of the Board of the Global Fund, "to meet the greatest challenge of our times – turning back the tide of these three pandemics."

Today's call is the fourth round of proposals. In three previous rounds, the Global Fund has committed US\$ 2.1 billion over two years to 224 programs in over 120 countries to combat the three diseases.

This round of proposals comes in the wake of the World Health Organization and UNAIDS' launch of the "3X5" initiative to provide anti-AIDS treatment for three million people living with HIV by the end of 2005. The Global Fund will provide many countries with their main opportunity to finance the massive expansion of services needed to succeed in this commitment.

This round will also encourage countries to submit ambitious, large-scale proposals to combat malaria.

"A number of countries are now ready to conduct a major offensive against malaria," says Dr Richard Feachem, Executive Director of the Global Fund. "We have effective tools to prevent and treat malaria. We need to spread these tools to as many countries and people as possible."

The fourth round of proposals also represents a major opportunity for private sector companies to expand their efforts to prevent and treat these diseases among their work force and in the surrounding communities.

In December, nine global companies with operations in countries affected by HIV/AIDS announced that they will use their facilities, employees and other infrastructure to expand workplace HIV/AIDS prevention and treatment programs into communities where they operate. By using infrastructure that was created to serve their employees, this corporate contribution will be able to expand public programs and reduce their start-up and running costs. Companies can now submit proposals for co-investment in prevention and treatment of the three diseases to the Global Fund, increasing the impact of their own efforts.

"I urge companies around the world to submit proposals for combating the three diseases, expanding workplace prevention and treatment programs into communities where they operate," said Ambassador Richard Holbrooke, former diplomat and president of the Global Business Coalition on HIV/AIDS.

The deadline for submission of proposals is April 5, 2004. Proposals are evaluated by an independent Technical Review Panel of health and development experts. Proposals found to be of a sufficiently high standard will be recommended for funding to the Global Fund's Board, which will meet at the end of June. Over the past three rounds, roughly 40% of submitted proposals have been deemed to have the technical quality necessary to be recommended for funding. All recommended proposals have so far been funded.

The Global Fund is a unique global public-private partnership dedicated to attracting and disbursing additional resources to prevent and treat AIDS, tuberculosis and malaria. This partnership between governments, civil society, the private sector and affected communities represents a new approach to international health financing. The Fund works in close collaboration with other bilateral and multilateral organizations to supplement existing efforts dealing with the three diseases.

The Global Fund has been established as an independent private foundation under Swiss law and is governed by an international Board. Apart from a high standard of technical quality, the Global Fund attaches no conditions to any of its grants. It is not an implementing agency. It relies on local ownership and planning to ensure that new resources are directed to programs on the frontline of this global effort, reaching those most in need. Its performance-based approach to grant-making - where grants are only disbursed if progress has been measured and verified - is designed to ensure that funds are used efficiently and create real change for people and communities.

Applicants are strongly encouraged to submit proposals through a new web-based Proposals and Grants Management System available on the website in English, French, and Spanish from January 14 2004. Updated guidelines and application forms are also available for downloading from [www.theglobalfund.org/en/apply/call](http://www.theglobalfund.org/en/apply/call). Applicants unable to use the web-based version may request a CD-ROM from the Global Fund Secretariat.

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**NEWS: Aidspan Releases Guide to Obtaining Global Fund-Related Technical Assistance**  
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11 January 2004

Aidspan today released "***The Aidspan Guide to Obtaining Global Fund-Related Technical Assistance.***" This 123-page Guide is intended to be useful to any country or organization that is considering applying to the Global Fund or whose grant application has been approved by the Fund. It contains the first directory ever published of organizations and individuals that provide technical assistance to countries and organizations applying for, or implementing, Global Fund grants.

The Guide is available for download at no charge from [www.aidspan.org/guides](http://www.aidspan.org/guides). At present it is only available in English, but it is hoped to release French and Spanish versions later this month. Aidspan does not have the resources to produce or distribute the Guide in printed form.

The Guide consists primarily of a directory of 170 organizations and technically-qualified individuals that provide Global Fund-related technical assistance. These are made up of 10 multilateral agencies, 12 bilateral and other government organizations, 19 large NGOs/companies/etc., 64 medium NGOs/companies/etc., 30 small NGOs/companies/etc., and 35 technically-qualified individuals.

For each organization, half a page of information is provided, including complete contact information.

The information provided was obtained through a survey conducted by Aidspan during the past six weeks. Respondents to the survey included WHO, UNAIDS, UNDP, the main US bilateral agencies, the main UK bilateral agency, and 165 more.

The 170 TA providers are based in 40 different countries in North America (66), Western Europe (40), Africa (25), Asia (9), Latin America (8), Eastern Europe (3) and Australasia (1), with a further 18 being international organizations with no obvious national base.

This is the first of five Guides to be published by Aidspan during the first half of 2004. The five are:

- ***The Aidspan Guide to Obtaining Global Fund-Related Technical Assistance*** (Released 11 January 2004)
- ***The Aidspan Guide to Applying to the Global Fund*** (Due second half of January 2004)
- ***The Aidspan Guide to Starting Implementation of a Global Fund Grant*** (Due second quarter 2004)
- ***The Aidspan Guide to Building and Running an Effective CCM*** (Due second quarter 2004)

- ***The Aidspan Guide to Procurement and Supply Management for Recipients of Global Fund Grants*** (Due second quarter 2004)

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**NEWS: Global Fund Releases New Documents for Grant Applicants and Recipients**

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At the same time that it launched Round 4, the Fund released a number of documents that are designed to be helpful to grant applicants and recipients. The following brief descriptions are taken from the Fund's web site at [www.theglobalfund.org/en/apply/call](http://www.theglobalfund.org/en/apply/call), where links to the documents are available in English and five other languages.

Document 1: Call for Proposals

The Global Fund now calls for proposals for the Fourth Round of financing. The proposals should support the scale-up of effective existing programs and innovative projects that meet the Global Fund's criteria and that have a clear demonstration of how the resources sought from the Global Fund will achieve additional results in partnership with existing programs. Including: who can apply; developing the proposal and submitting an application; application format; contact details

Available in English at  
[www.theglobalfund.org/pdf/1\\_pp\\_call\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/1_pp_call_4_en.pdf)

Document 2: Guidelines for 4th Round

Proposals timetable; available resources; proposal types; scope of proposals; proposal development; criteria for proposal review; proposal application and review process; country eligibility

Available in English at  
[www.theglobalfund.org/pdf/2\\_pp\\_guidelines\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/2_pp_guidelines_4_en.pdf)

Document 3: Proposal Form

The Online Application Form will be available as of 14 January 2004. The following PDF version is for your review.

Available in English at  
[www.theglobalfund.org/pdf/3\\_pp\\_form\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/3_pp_form_4_en.pdf)

Document 4: Monitoring & Evaluation toolkit: HIV/AIDS, Tuberculosis and Malaria

To support the monitoring and evaluation sections a toolkit for the three diseases has been developed by a wide range of institutions. The purpose of the toolkit is to provide in one place the "essentials" of agreed upon best practice in M & E, by applying a common framework for the three diseases and providing users with references to key materials and resources. You will find descriptions of the major indicators, how they fit into general monitoring and evaluation, and frequently asked questions and answers. It is the first time this framework has been developed for the three diseases, so the toolkit is in draft and will be developed with feedback over time.

Available in English at  
[www.theglobalfund.org/pdf/4\\_pp\\_me\\_toolkit\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/4_pp_me_toolkit_4_en.pdf)

Document 5: The Global Fund's Guidelines on the Purpose, Structure and Composition of the Country Coordinating Mechanisms

These guidelines outline the principles for CCMs and their roles and responsibilities in proposal development, in implementation, Monitoring and Evaluation of Global Fund approved programs.

Available in English at

[www.theglobalfund.org/pdf/5\\_pp\\_guidelines\\_ccm\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/5_pp_guidelines_ccm_4_en.pdf)

Document 6: Fiduciary Arrangements for Grant Recipients

This policy paper was endorsed by the Board of the Global Fund at its 5th meeting in June 2003. It describes the roles and responsibilities of different stakeholders to the Global Fund's grant making system. Specifically, it describes the Global Fund's fiduciary arrangements to ensure that grant proceeds are used for intended purposes and results achieved without imposing unnecessary new burdensome requirements on grant recipients.

Available in English at

[www.theglobalfund.org/pdf/6\\_pp\\_fiduciary\\_arrangements\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/6_pp_fiduciary_arrangements_4_en.pdf)

Document 7: Guidelines for Performance Based Funding

This guidelines document provides operational details for grant recipients on the Global Fund's system for performance based funding. The document includes information on:

- the content of a grant agreement between the Global Fund and a Principal Recipient (PR) and the grant negotiation process;
- the content of the progress documentation to be provided by PRs to the Global Fund throughout the grant period in Disbursement Requests and Progress Updates, Fiscal Year Progress Reports and yearly Audit Reports; and
- the content of the Request for Continued Funding to be submitted by Country Coordinating Mechanisms (CCMs) before the end of the initial two year grant period.

Further information about the Global Fund's process to continue funding programs beyond the initial two years will be provided following decisions to be taken at the Global Fund's 7th Board meeting in March 2004.

Available in English at

[www.theglobalfund.org/pdf/7\\_pp\\_guidelines\\_performancebasedfunding\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/7_pp_guidelines_performancebasedfunding_4_en.pdf)

Document 8: Guidelines for Annual Audits of Program Financial Statements

This guidelines document provides operational details on the Global Fund's requirements for external annual audits of the expenditures of Principal Recipients (PRs) and sub-recipients. The Global Fund's audit policy for grant recipients is based on the key features of the Organization for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) Task Force on Donor Practices Good Practice Reference Paper on Reporting on Financial Aspects and Auditing.

Available in English at

[www.theglobalfund.org/pdf/8\\_pp\\_guidelines\\_annualaudits\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/8_pp_guidelines_annualaudits_4_en.pdf)

Document 9: Board decisions on Procurement and Supply Management

Product selection and rational use; quality assurance; procurement and pricing; budgeting and finance; monitoring and evaluation.

Available in English at

[www.theglobalfund.org/pdf/9\\_pp\\_procurement\\_supplymanagement\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/9_pp_procurement_supplymanagement_4_en.pdf)

Document 10: Guidelines on the criteria and process for appeals

Eligibility; grounds for appeal; conditions; time limit to file an internal appeal; procedure for internal appeal review and decision; appeal panel; final decision of the Board of the Global Fund; exclusive remedy, effect of internal appeal; costs; confidentiality; review/amendment; disclosure of information; languages; entry into force and transitory provisions

Available in English at

[www.theglobalfund.org/pdf/10\\_pp\\_internal\\_appeals\\_rules\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/10_pp_internal_appeals_rules_4_en.pdf)

Document 11: Form for Internal Appeals

Available in English at  
[www.theglobalfund.org/pdf/11\\_pp\\_internal\\_appeals\\_form\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/11_pp_internal_appeals_form_4_en.pdf)

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**NEWS: Full Text of the Fund's Round 4 Call for Proposals**  
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The full text of the Fund's Round 4 Call for Proposals, issued on 10 January at [www.theglobalfund.org/pdf/1\\_pp\\_call\\_4\\_en.pdf](http://www.theglobalfund.org/pdf/1_pp_call_4_en.pdf) (with other languages available at [www.theglobalfund.org/en/apply/call](http://www.theglobalfund.org/en/apply/call)), is as follows:

**CALL FOR PROPOSALS**

**1. Background**

HIV/AIDS, TB and malaria together account for nearly 6 million deaths per year and cause immeasurable suffering and damage to families, communities and economies.

The Global Fund to Fight AIDS, Tuberculosis and Malaria was set up in January 2002 as a financial instrument, complementary to existing programs addressing these three diseases. The purpose of the Global Fund is to attract, manage and disburse additional resources through a new public-private partnership that will make a sustainable and significant contribution to the reduction of infections, illness and death, thereby mitigating the impact caused by HIV/AIDS, tuberculosis and malaria in countries in need, and contributing to poverty reduction as part of the Millennium Development Goals. As of January 2004, US\$2.1 billion has been committed from three previous rounds of Global Fund financing, and over US\$230 million has been disbursed in the year since the first grant agreements were signed.

***The Global Fund now calls for proposals for the Fourth Round of financing.*** The proposals should support the scale up of effective existing programs and innovative projects that meet the Global Fund's criteria and that have a clear demonstration of how the resources sought from the Global Fund will achieve additional results in partnership with existing programs.

**2. Who can apply**

2.1. Proposals will be accepted from a Country Coordination Mechanism (CCM) that includes broad representation from the academic/educational sector; government; non-governmental and community-based organizations; people living with HIV/AIDS, tuberculosis, and/or malaria; the private sector; religious/faith-based organizations; and multi-/bilateral development partners.

2.2. Regional proposals from multiple countries can also be accepted in order to address cross-border issues related to the three diseases. Such proposals typically need to have the support of the country coordination mechanisms in the countries involved.

2.3. The Board of the Global Fund has reconfirmed that non-CCM applications are not eligible unless the proposals satisfactorily explain how they meet the following exceptional circumstances set out in the Framework Document:

- Countries without legitimate governments
- Countries in conflict or facing natural disasters
- Countries that suppress or have not established partnerships with civil society and NGOs

Any non-CCM proposal must demonstrate clearly why it could not be considered under the CCM process at the country level, and the Board requires validation of these reasons.

### 3. Developing the proposal and submitting an application

#### 3.1. Developing the proposal

Submissions for the fourth round of proposals must be received by the Global Fund Secretariat **no later than the April 5, 2004**. Applicants to Round Four are encouraged to submit proposals through a new web-based Proposals and Grants Management System (PGMS), as described below. Even when the on-line application is used, a hard copy of the proposal that has been signed by CCM members (unless the proposal does not originate from a CCM, in which case other requirements apply; see the Guidelines for Proposals for more information) is nonetheless required, and must be received by April 5, 2004. Applicants are strongly encouraged to review the Guidelines for Proposals prior to completing the Proposal Form.

Once received the proposals will be technically reviewed and presented to the Board. The results will be communicated to the applicants shortly thereafter.

Further information for subsequent proposal's submissions will be made public as soon as established by the Board of the Global Fund.

Proposals received by the Global Fund after the deadline will be considered for subsequent rounds.

#### 3.2. Application format

Applicants are strongly encouraged to apply using the on-line Proposal Form, which can be accessed through the Global Fund website ([www.theglobalfund.org](http://www.theglobalfund.org)). This new system has been designed to facilitate the submission of proposals to the Global Fund. It is available in English, French, and Spanish.

If applicants are unable to use the web-based version, they may request a CD-ROM from the Global Fund Secretariat by sending an email to [proposals@theglobalfund.org](mailto:proposals@theglobalfund.org). This CD-ROM contains an application that assists applicants in applying in much the same way that the web-based version does, and it is also available in English, Spanish, and French. Proposals will also be accepted in traditional hard-copy, and the Proposal Form can be downloaded from [www.theglobalfund.org](http://www.theglobalfund.org) in Arabic, Chinese, English, French, Spanish, and Russian.

Submission in English would greatly facilitate the work of the Secretariat and the Technical Review Panel in reviewing applications. If necessary proposals can be submitted in any of the other official UN languages (Arabic, Chinese, French, Spanish, and Russian).

#### 3.3. Address for proposal submission

The Global Fund to Fight AIDS, Tuberculosis and Malaria  
Centre Casaï  
53 Avenue Louis Casaï  
1216 Cointrin-Geneva  
Switzerland

Fax number: +41 22 791 1701

E-mail: [proposals@theglobalfund.org](mailto:proposals@theglobalfund.org)

#### Further information

For further information or questions please contact the Global Fund Secretariat (phone number: +41 22 791 1700).

All applicants are encouraged to consult the Global Fund home page [www.theglobalfund.org](http://www.theglobalfund.org) to access the complete directory of Global Fund documents, particularly the Guidelines for Proposals for the Fourth Round.

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**Correction**  
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Issue 16 of GFO omitted some important words when reporting an interview with Richard Feachem of the Global Fund and Jim Kim of WHO. The paragraph in question said:

"Dr. Kim said that if the Global Fund succeeds in raising the \$3 billion that the it has said it needs for 2004 (\$1 billion from Europe, \$1 billion from the USA, and \$1 billion from all others), and if it raises a corresponding amount for 2005, all of the needed additional cost of achieving "3 by 5" could be met through the Fund."

The words "through the Fund" at the end of that quote should have been followed by the words "and through already announced commitments of funds from the World Bank and the US Presidential Emergency Plan for AIDS Relief."

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END OF NEWSLETTER  
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This is an issue of the GLOBAL FUND OBSERVER (GFO) NEWSLETTER.

The GFO NEWSLETTER is an independent source of news, analysis and commentary about the Global Fund to Fight AIDS, TB and Malaria ([www.theglobalfund.org](http://www.theglobalfund.org)). The GFO Newsletter is emailed to subscribers once to twice a month.

GFO has an Editorial Advisory Board comprising ICASO, GNP+ and the AIDS NGO Network in East Africa (the three organizations designated as Communications Focal Points within the Global Fund's NGO board delegations), and the International HIV/AIDS Alliance. GFO is currently provided in English only. It is hoped later to provide it in additional languages.

GFO is a free service of Aidspan ([www.aidspan.org](http://www.aidspan.org)), based in New York, USA. GFO and Aidspan have no formal connection with, and will accept no grants or fees from, the Global Fund. Aidspan is a nonprofit organization that promotes increased support for, and effectiveness of, the Global Fund.

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- For GFO background information and previous issues, see [www.aidspan.org/gfo](http://www.aidspan.org/gfo)
- For a collection of papers on the Global Fund, see [www.aidspan.org/globalfund](http://www.aidspan.org/globalfund) and [www.theglobalfund.org/en/about/publications](http://www.theglobalfund.org/en/about/publications)
- For information on all approved and rejected proposals submitted to the Global Fund, see [www.aidspan.org/globalfund/grants](http://www.aidspan.org/globalfund/grants)
- People interested in writing articles for GFO are invited to email the editor, above.

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