

BACKUP Health

General orientation and guidelines for consultancy mode and project mode applications

Overview

This paper, which sets out how to apply for technical support from BACKUP Health (hereafter BACKUP), is targeted at organisations and institutions that are considering applying for technical support for a range of Global Fund processes at country and regional levels. It describes the eligibility criteria and the application process for consultancy and project modes of BACKUP support, and it provides information on implementation, monitoring, evaluation and reporting.

BACKUP aims to enable government and civil society partners to apply for and use Global Fund money, and to implement measures for controlling HIV, tuberculosis and malaria more effectively and sustainably.

Flexibility, transparency and a demand-based focus on its partners characterise the BACKUP approach. The programme works with a wide range of partners, such as national coordinating committees, governmental, private sector and civil society implementers of Global Fund grants, key population networks, and training and research organisations.

The programme concentrates on developing capacities in three areas: Country Coordinating Mechanisms, health systems strengthening, and grant management. In all three areas, BACKUP considers community involvement (the inclusion of civil society and key populations), human rights and gender equality to be crosscutting themes, which enable the meaningful engagement of all actors in Global Fund processes.

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BACKUP Health: areas of intervention

Country Coordinating Mechanisms

Detailed information: [BACKUP intervention area: Country Coordinating Mechanism](#) (pdf, 280 KB)

To guarantee the effective and efficient use of funds, proposals to the Global Fund and grant oversight must be nationally owned and inclusive processes. Country Coordinating Mechanisms (CCMs) fulfil this central function. They bring together a broad range of stakeholders to shape and oversee Global Fund contributions to national disease responses. BACKUP's assistance for CCMs includes technical support for eligibility and performance assessments, preparing and implementing improvement plans, strengthening oversight capacities, and improving the overall performance of CCMs and their secretariats. BACKUP also promotes the active engagement of civil society in CCM processes, and it supports CCMs that aim to coordinate their work more closely with the health sector in order to align Global Fund related activities with national health systems. As such, project mode support is also provided for measures strengthening the harmonisation of CCM functions with wider health sector governance and oversight.

Examples for support in this area include:

- Supporting the development and implementation of CCM improvement plans, including a comprehensive approach for organisational development.
- Providing capacity development for civil society organisations represented in the CCM to strengthen their role in the CCM or in equivalent national coordinating bodies.
- Building the capacity of CCMs to oversee grant implementation
- Developing and implementing support for concepts to harmonise Global Fund CCM functions with those of other health sector coordination bodies to improve health sector coordination.

Health system strengthening: building resilient and sustainable systems for health

Detailed information: [BACKUP intervention area: health systems strengthening – building resilient and sustainable systems for health](#) (pdf, 221 KB)

More than a third of Global Fund investments aim to help countries build resilient and sustainable health systems that enhance their ability to protect citizens from disease and to respond more effectively to outbreaks. To ensure that Global Fund investments in health systems have the biggest possible impact, BACKUP provides technical assistance in this area. This support includes analytical and advisory services, training in resilient and sustainable health systems, support for sustainability and transition planning, and efforts to strengthen specific building blocks of the health system, such as integrated information systems or health service delivery.

Examples for support in this area include:

- Analytical and advisory services and training on resilient and sustainable systems for health.
- Support for sustainability and transition planning.
- Mapping health services that target key populations to facilitate the programming of Global Fund grants.
- Supporting the inclusion of HSS aspects into funding requests.
- Developing the capacities of civil society organisations to enhance their cooperation with national institutions

Grant management

Detailed information: [BACKUP intervention area: grant management](#) (pdf, 198 KB)

From disbursement to the implementation and delivery of actual services, the provision of Global Fund grants involves a multitude of stakeholders. Successful grant management is therefore important to ensure the most effective and efficient use of Global Fund money so as to achieve programmatic and health-related outcomes. If countries are to put money obtained from the Global Fund to effective use, they must first develop a range of expertise, from good financial management to service organisation. With STAGE (Strategic Technical Assistance for Grant Excellence) BACKUP offers a new systemic, evidence-based and highly participatory technical assistance approach focusing on fundamental organisational challenges in grant management, such as programme revision, data management, procurement and supply chain management and financial planning. STAGE is based on a modular structure with each module focusing on specific change objectives and containing several units. Partners can combine different support units flexibly to ensure that technical assistance fits their requirements closely. Other BACKUP contributions to improve grant management comprise technical support for the development of risk management capacities as well as support for monitoring and evaluation or reporting and oversight. By taking into account and actively addressing the links between the management of the Global Fund Grants and the disease programs of the beneficiaries, these interventions help to maximise the impact of Global Fund grants, to ensure projects are implemented in accordance with contractual terms and conditions, and to reduce risks such as the misappropriation of funds.

Examples for support in this area include:

- Providing PRs with capacity development on quality assurance in data collection and M&E;
- Developing PRs' financial management skills;
- Conducting risk assessments, and planning and implementing risk mitigation and assurance measures;
- Providing civil society PRs with capacity development on monitoring their grants and managing their SRs (e.g. through technical assistance, training, and forums for south-south knowledge exchange);

- Improving skills on result based operational planning and budgeting;
- Resolving last mile distribution challenges

Crosscutting themes

Community Systems Strengthening

Strengthening community responses and systems is an integral part of the Global Fund's approach to building resilient and sustainable systems for health. Communities are critical actors in improving people's health, as they serve a vital role in broadening the reach of services, improving access to healthcare, and overcoming stigma, discrimination, and other human rights abuses.

The Global Fund integrates civil society in its processes by encouraging and ensuring the participation of civil society actors in CCMs, as principal recipients, sub-recipients or sub-sub-recipients (reinforced through dual-track financing), as well as through advocacy and membership of the Global Fund board.

BACKUP interventions aim to strengthen civil society participation in these Global Fund processes and related functions. In particular, BACKUP supports civil society organisations (CSOs) in analysing, formulating and communicating the health-related needs of the people they represent. It helps them to engage actively in CCMs, country dialogues or relevant national working groups, and to point out opportunities for improving Global Fund processes and contributing to its transition. Furthermore, BACKUP encourages the demand for quality services by strengthening community systems. This enables the community to play a greater role in the design, delivery, monitoring and evaluation of services. As communities form the basis of a health system, their improved capacity to engage in Global Fund processes will benefit the local health committees and services in ways that go beyond the scope of the three target diseases.

CSOs often represent those people or communities that are most vulnerable to and affected by HIV/AIDS, tuberculosis and malaria. BACKUP strongly supports the involvement of key and vulnerable populations in Global Fund processes. It employs the Global Fund's definition of key populations and it recognises vulnerable populations - those who have increased vulnerabilities in a particular context, such as adolescents, women and girls, minors and people with disabilities. Having their needs and interests adequately represented within Global Fund processes will improve the situation of these populations.

Key populations¹: Those groups that are most vulnerable to and affected by conditions such as HIV, tuberculosis and malaria, at the same time as having reduced access to services and/or being criminalised or otherwise marginalised. The definitions of key populations are disease-specific. For example, in the context of HIV, key populations include men who have sex with men (MSM), injecting and other drug users, sex workers and transgender people. In the context of tuberculosis, key populations include, for example, prisoners, migrants and migrant labourers, people in conflict and post-conflict situations, refugees and displaced persons. With respect to malaria, the definition of key populations is relatively new and not yet clear.

Human rights

A human-rights-based approach to health, and to addressing HIV, tuberculosis and malaria means integrating human rights norms and principles into the design, implementation, management, monitoring, and evaluation of disease programmes. These principles include human dignity, non-discrimination, transparency and accountability. A human-rights-based approach also means empowering vulnerable groups and key populations, ensuring their participation in decision-making processes, and establishing accountability mechanisms they can access. The Global Fund mainstreams human rights principles and standards in all aspects of its work and expects the same from its applicants.

Gender

Programmes with a gender-oriented approach contribute to gender equality and support equity in health and healthcare. In so doing, they protect human rights and contribute to the attainment of universal access and the Sustainable Development Goals. BACKUP therefore requests all its partner organisations to consider ways of integrating gender equality into their proposal narratives and to design projects in a gender-sensitive manner. Project mode proposals that seek to address gender inequalities in greater depth are especially welcome.

It is important to note that 'gender' refers to more than just the status of women. BACKUP considers gender to be a crosscutting issue. In addition to men and women, the term also includes gender and sexual minorities. This includes MSM, bisexuals, lesbian women and gay men, transgender and intersex persons, among others.²

¹ The Global Fund, Key Populations: A Definition, July 2015: https://www.theglobalfund.org/media/1289/core_keypopulationsdefinition_infonote_en.pdf?u=636488964420000000

² Transgender' is an inclusive term used to describe people who have gender identities, expressions or behaviours not traditionally associated with their sex at birth. 'Intersex' refers to persons born with atypical genital or reproductive anatomy who usually identify as male or female, although some may change their gender identity in the course of their development. For more details, visit <http://www.ncbi.nlm.nih.gov/pmc/articles/PMC237288>

The Global Fund has adopted a Gender Equality Strategy³ that outlines how it takes gender into consideration. The new strategy emphasises the important role of gender equality in increasing the Fund's impact against the three diseases. At the country level, the Global Fund expects CCMs to strive to achieve gender parity in both their membership and their leadership. They should also adequately address gender in their programme development and requests for funding, by conducting extensive and mandatory gender analyses, and ensure gender-sensitive monitoring and evaluation using sex-disaggregated data. BACKUP supports applicants in analysing gender-related health needs and barriers to services, and in designing and implementing programmes that are at least gender sensitive⁴ and, if possible, gender transformative.⁵

What modes of support does BACKUP Health provide?

1. Project mode

For this mode, applications should propose projects for one or more of the three areas of intervention mentioned above. Projects can, for example, support the country dialogue, application process, grant negotiations and/or the implementation and governance of Global Fund-financed activities and programmes. BACKUP's contract partners must be registered as legal entities under national law. Project modes are intended for longer-term projects that are managed largely by partners themselves.

Project modes typically have a financial volume of EUR 100.000 – 500.000. BACKUP will determine grant amounts based on:

- The content, scope and complexity of projects
- Financial management and the implementation capacities of applicants.

The project mode requires a proposal that includes a monitoring and evaluation (M&E) matrix that sets out the project purpose, outputs, indicators, activities, time frame and budget. All contributions, whether provided by the applicant or other partners, must be clearly indicated.

We advise applicants to submit proposals before March 2019.

Eligible countries:	Eligible countries are listed on the following website: www.giz.de/backup-application
Duration:	Typically 12 months or more. Activities must be completed by December 2019.

2. Consultancy mode – intervention areas

BACKUP offers its consultancy mode of support in the three areas: Country Coordinating Mechanisms, health systems strengthening and grant management.

The consultancy mode is an opportunity to assign one or several consultants to support CCMs, principal recipients and member organisations (especially those in civil society) during the Global Fund country dialogue, the development of funding requests, and the negotiation and/or implementation of grants. Terms of reference for consultants can be defined in the application form. Consultancy modes are designed to provide targeted, short-term support, for example develop a partner's capacity in a specific.

We advise applicants to submit proposals before June 2019.

Eligible countries:	Eligible countries are listed on the following website: www.giz.de/backup-application
Duration:	Typically under six months; up to 12 months are possible. Activities must be completed by December 2019.

³ The Global Fund's Gender Equality Strategy is available at: https://www.theglobalfund.org/media/1250/core_genderequality_strategy_en.pdf?u=63648896436000000

⁴ This includes activities that recognise and respond to the different needs and constraints of individuals based on their gender and sexuality. They do little to change the larger contextual issues that lie at the root of gender inequities.

⁵ This includes activities that actively seek to build equitable social norms and structures within a broader context.

3. Consultancy mode – flexible support

The flexible consultancy support offers short-term, targeted support (similar to that delivered in the intervention areas) to meet the diverse technical needs of Global Fund stakeholders. However, eligibility is not limited to the BACKUP intervention areas, nor to countries that are eligible for BACKUP support, but extends to all Global Fund partner countries. The support is provided to overcome any critical bottlenecks that impede the work of Global Fund partners or threaten to block Global Fund processes. Flexible support may, for instance, be offered:

- For measures linked to any of the stages of the Global Fund process, from applying for grants to implementation, evaluation, monitoring and risk mitigation
- To prepare for the next Global Fund disbursement or funding phase – i.e. helping principal recipients to fulfil the preconditions for disbursement.

We advise applicants to submit proposals before June 2019.

Eligible countries:	Any countries with Global Fund allocations, except for organisations and institutions from EU member states.
Duration:	Typically under six months; up to 12 months are possible. Activities must be completed by December 2019.

Application process

Eligibility

Who can apply?

The following stakeholders in the Global Fund's funding processes are eligible for BACKUP support:

- National or regional coordinating mechanisms
- Governments (e.g. ministries of health or national programmes on HIV/AIDS, tuberculosis or malaria)
- National civil society organisations and in-country branches of international civil society organisations
- Private sector organisations.

Applications for CCM support must be submitted by national or regional coordinating mechanisms. Applicants for grant management support should perform the function of a principal recipient under the Global Fund, by default or as a sub-recipient by exception. BACKUP can only process applications from sub-recipients if their principal recipient endorses them and confirms their relevance. Depending on the country and specific context, the following GF grant implementing partners may apply if involved directly in grant implementation: national programs, central drug purchasing office (e.g. Central Medical Stores), relevant departments of the MoH, Universities. Applications from regional organisations are only possible in the areas of CCM (regional CCMs) and grant management (regional PRs), and can only be accepted if at least one of the target countries is eligible for BACKUP support. Organisations and institutions from EU member states are not entitled to submit applications. Furthermore, the applicant cannot be the same entity as the service provider (e.g. consultancy firm).

Formal eligibility requirements

The prerequisite for receiving funds from BACKUP is the applicants' commercial suitability, such as their formal registration as a legal entity under national law and, if applicable, their certification as a non-profit organisation. During the application process, applicants will be asked to submit a self-disclosure form as well as scanned copies of the documents requested with that form, which GIZ will then assess.

In cases where CCMs are not formally registered as a legal entity, they cannot usually enter into contract with GIZ. However, these CCMs can put forward an alternative contracting partner that is registered as a legal entity under national law. In such cases, please ensure to provide the name and full address of the alternative contracting partner as well as scanned copies of the corresponding registration documents.

Before BACKUP can approve a proposal, applicants must secure the endorsement of the CCM of the country in which the intervention is planned. This is important to ensure the coordination and alignment of technical support interventions.

Organisational and operational requirements

The applicant body's organisational and operational capacity to implement the proposed intervention must match the objectives and scope of the proposed intervention.

- **Capacity for implementation:** The applicant is well positioned to lead and/or implement the proposed intervention. The organisation has the status required of applicants (key stakeholder; in a position of influence and/or authority), has technical and management capacity, and is prepared for collaboration and networking. The governance structures, past performance and capacity of the applicant organisation are favourable to the implementation of the proposed activities.
- **Sustainability:** This includes both the sustainability of the supported programme component (e.g. the development of an M&E system integrated into the national health and management information systems) and the sustainability of the support activity itself (e.g. support to civil society organisations and CCM secretariats, particularly when the proposed intervention also covers running costs). The latter requires the development of appropriate business plans or exit strategies.
- **Assumptions and risks:** The proposal outlines the assumptions and risks that could jeopardise the efficient and effective implementation of the intervention.

Selection criteria relating to content

- **Areas of support:** BACKUP will support projects in the three areas: Country Coordinating Mechanisms, health systems strengthening and grant management. Any projects submitted must correspond with the BACKUP approach to one of these intervention areas as outlined above and described in detail in the attached documents for each intervention area.
- **Crosscutting themes:** BACKUP's crosscutting issues (community systems strengthening, human rights and gender) will be taken into consideration when evaluating applications. At least one of the three crosscutting themes must form an explicit part of the project proposal. The inclusion of the crosscutting issues should be evident, not only in the narrative, but also in the monitoring and budgeting of the proposal.

How to apply

The first step of the application process is a short (max. one page) project outline summarising:

- Name of the applying organisation
- Identified needs
- Activities proposed to address these needs
- Proposed timeframe

At this stage, applicants may already suggest the type of intervention (project mode, consultancy mode or flexible support) and the intervention area (CCM, grant management or health systems strengthening), but these can also be determined later in the application process.

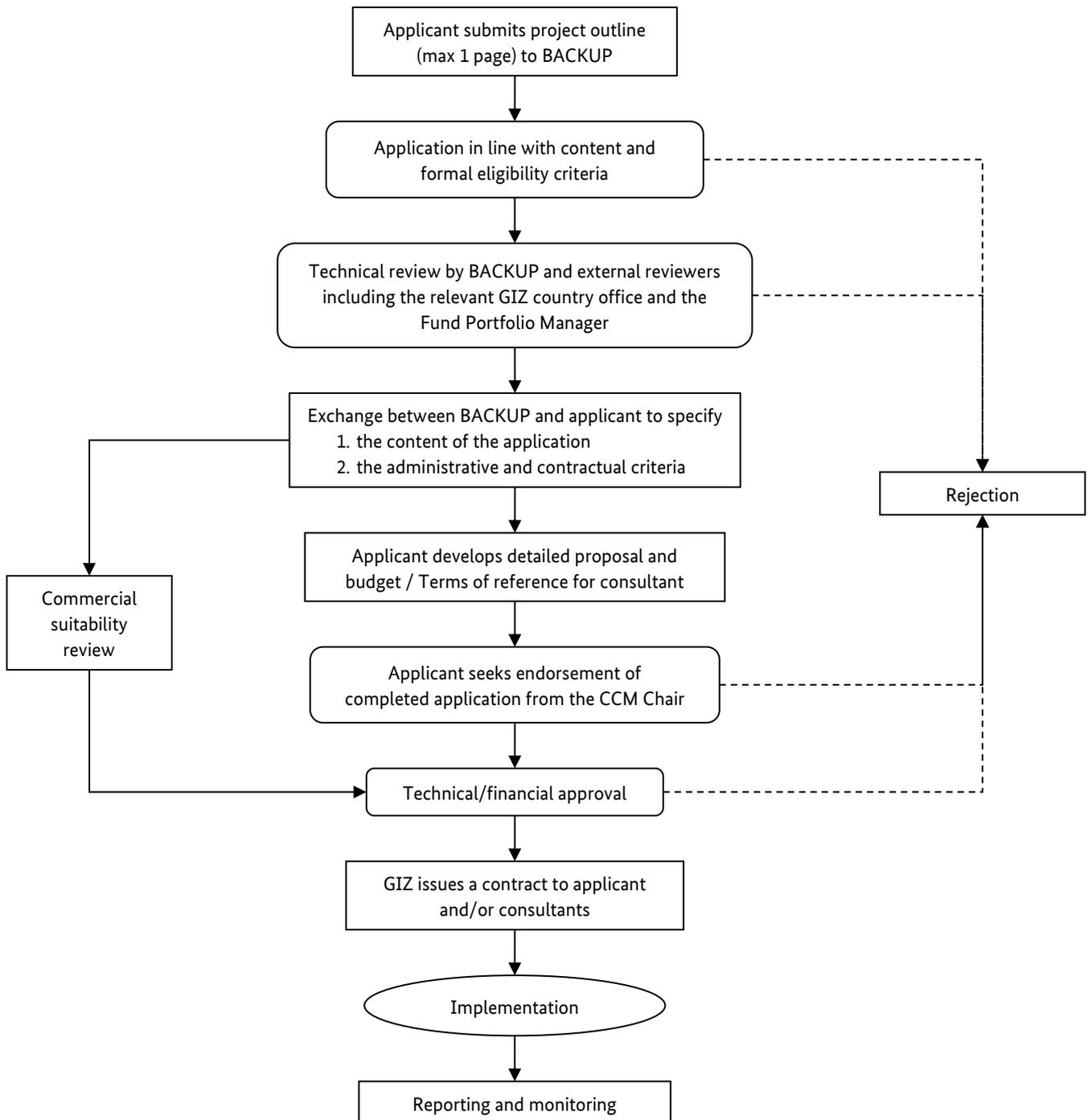
Projects should be designed according to beneficiaries' needs, structured with clear objectives and milestones, and may for example include training, mentoring, consultancy, peer learning visits, etc.

BACKUP will review the project outline internally and contact other experts, such as the Global Fund country team and the GIZ country office. It will then supply feedback on the project outline and ask for clarifications. If the outline fits BACKUP's criteria (see section on areas of intervention and crosscutting themes), the applicant should develop a more detailed project proposal and a budget. This proposal then requires the CCM's endorsement before it can be formally approved by BACKUP.

For consultancy mode support, applicants will also be asked to develop terms of reference for the consultants to be contracted and specify their needs for meetings and workshops. The applicant can propose consultants for the positions foreseen in the assignment, in which case they should submit the corresponding CVs and the completed description of the selection process for each position together with the application form. BACKUP will consider these proposals in the selection process, and will make the final selection of consultants in accordance with the applicable service procurement rules of GIZ. For STAGE assignments in the intervention area Grant Management, the applicants select the modules and units and provide a short narrative about the underlying needs. In coordination with the applicants, BACKUP will set up a team of consultants to conduct a scoping mission. Based on the findings of this first mission, the unit selection and the terms of reference for the whole assignment will be finalised. For more detailed information about the application process for STAGE assignments, please refer to the STAGE guidelines and the FAQs on our website. The review of applications and the contracting process can take several weeks, especially for complex projects. The timeframe of the project should be planned accordingly.

Overview of the application and review process

For STAGE applications, please see process detailed in STAGE guidelines: [STAGE – A new Approach to Quality Management for Global Fund Recipients](#) (pdf, 0.40 MB)



Contracting

Once an application has been approved and the necessary documentation finalised (signed application form, budget and, if required, a commercial suitability review), the GIZ department tasked with managing the contract will set out the next steps to be taken. This process can take several weeks.

The total budget requested must be stated in both local currency and euros. The contributions made by GIZ, the applicant and other partners should be clearly set out. Consultancy fees should be calculated on the basis of daily rates. Make sure to use the budget template, which contains more detailed information.

At the contracting stage, BACKUP may require the applicant to send the original of the signed application form as well as certified copies of all required original documents relevant to the commercial suitability review (e.g. registration as a legal entity).

To receive the funds allocated for the project once the contract has been signed, the payment modalities must be followed as specified in the contract.

Monitoring, evaluation and reporting

For project mode interventions, applicants must include an M&E matrix in their detailed proposals. This requirement does not apply for the consultancy mode.

Monitoring and evaluation serve different but complementary purposes:

- **Monitoring** refers to routine efforts to track and analyse the implementation of a project to assess whether the inputs, activities and outputs are unfolding as planned.
- **Evaluations**, by contrast, are systematic inquiries conducted episodically to determine the merit or worth of an intervention in terms of its relevance, effectiveness, efficiency, sustainability and impact (for further details, see the OECD DAC Criteria⁶). Evaluations assess the achievements of a project in relation to a set of defined objectives and provide strategic information that can be used to improve project implementation and to inform future decisions about resource allocation. M&E needs to be an integral part of the planning process.

Applicants are required to define the **standards** that will guide the performance of specific activities and need to define **indicators** to measure changes (outcomes) and achievements (outputs). With regard to **outcomes**, applicants should ask themselves: 'At the end of this intervention, what would we like to have changed and how do we propose to measure these changes?' With regard to **outputs**, the guiding question is: 'In the framework of this intervention, what would we like to achieve and how do we want to measure these achievements?' Beyond this, applicants should also define the **impact** of their intervention: 'What are the effects, i.e. long-term changes that we expect to observe, and what might be unintended, indirect effects? How do we measure them?'

In order to combine all the information, BACKUP developed an M&E matrix that comprises the intervention's level (in terms of outcome, output and activity), the chosen indicators and respective milestones, the means of verification, and possible assumptions and risks. This serves to illustrate the project's internal logic and process to both the applicant and BACKUP. Achieved milestones can also be published in BACKUP's newsletter, which is issued quarterly.

In the course of the project, data must be collected and analysed. For this, the applicant can draw on a range of approaches that verify progress made against indicators (e.g. project statistics, the Global Fund's website and grant performance reports, annual reports, funding requests, assessments of CCM performance), the choice of which wholly depends on the outcome(s) sought. Applicants should base their M&E activities for each intervention area on BACKUP's results framework for the respective area (please consult detailed intervention area guidelines).

BACKUP's monitoring missions

BACKUP's M&E approach involves monitoring missions to countries that have received BACKUP support in order to:

- Take a critical look at the performance of the BACKUP team during the application process and at its administrative and financial procedures;
- Review the process, outputs and results of BACKUP-supported interventions at the country level;
- Gather the 'stories' behind the data that have been collected through other BACKUP monitoring tools (e.g. reports, standardised surveys, etc.);
- Enable the BACKUP technical team to become more conversant with the realities of Global Fund technical support on the ground.

The results of the monitoring visit will be used to help BACKUP improve its strategic decision-making regarding the provision of technical support to Global Fund processes at the country level.

⁶ OECD Development Assistance Committee's Criteria for Evaluating Development Assistance: <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

BACKUP partner survey

Partner surveys complement the BACKUP approach to M&E. For project mode interventions, BACKUP conducts a mid-term survey to assess the progress made and any need to modify the planned interventions. At the earliest, three months after completion of a technical support measure BACKUP conducts a final survey to assess the achievement and sustainability of results, as well as the applicant's satisfaction with BACKUP's support.

Reporting system

The applicants and the consultant are required to report independently on the results achieved ([Applicant report – consultancy mode](#), docx, 40 KB; [Consultant report – consultancy mode](#), docx, 40 KB), and should submit the documentation agreed in the application promptly after the end of the consulting assignment. Additionally, for STAGE assignments, the team of consultants is required to report on progress, obstacles, potential needs for reprogramming and next steps after the scoping mission and each country visit. For project mode interventions, applicants must report every six months on the results achieved ([Report – project mode](#), docx, 50 KB). Additional information should also be reported, such as unintended positive or negative results, obstacles, lessons learned, best practices and openings for public dissemination of the results. Reports and documents must be submitted to backup@giz.de, without any further request being issued by BACKUP.

Contact

BACKUP Health
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www.giz.de/backup

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