Playbook

BACKUP HEALTH
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Overview of this guide and how to use it

Welcome to the BACKUP Playbook. This document is meant for you if you are
• considering submitting a project proposal to BACKUP;
• in the middle of implementing a project; or
• wrapping up your reporting.

Please read it before starting your proposal, it will help you understand what we can offer and what we are looking for in proposals, which will make for a smoother project development process and save you time. You can also return to it throughout the project development and implementation phases.

The playbook contains an introduction to BACKUP, an outline of our objectives and priorities, guidance on designing a project, an overview of the BACKUP project cycle and an overview of how contracting with BACKUP works.

This playbook may change. Please ensure you always have the most up-to-date version by visiting BACKUP’s website.

Finally, if you have any questions, please do not hesitate to contact us at backup@giz.de.
BACKUP Health (BACKUP) is an initiative to provide technical assistance to public and civil society partners in implementing and coordinating funds from international financing mechanisms, with a historical focus on the Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM). Established in 2002, BACKUP has implemented more than 600 measures with partners in approximately 90 countries.

Commissioned by the German Federal Ministry for Economic Cooperation and Development (BMZ), BACKUP selected four focus countries with personnel in country: Cameroon, Kyrgyzstan, Malawi and Nigeria. Alongside these focus countries, further countries may apply for demand-oriented support.

Within the framework of the co-financing by the UK Foreign, Commonwealth & Development Office (FCDO), BACKUP selected six focus countries with personnel in country: DRC, Mozambique, Nigeria, Uganda, Tanzania and Zimbabwe.

BACKUP has been co-financed by the Swiss Agency for Development and Cooperation (SDC) since 2013. The SDC focus countries are Ethiopia, Niger and Tanzania (without personnel in country).

BACKUP’s team of technical advisers and contract specialists are based in Germany and the nine partner countries with personnel. The overarching objective of BACKUP’s current project phase is to increase the capacity of government and civil society organisations to use global financing to strengthen health systems.
Which areas does BACKUP work in?

BACKUP’s objectives

BACKUP’s main objective is to strengthen and support government and civil society organisations in their capacity to use funding from global health financing mechanisms, such as GFATM, to strengthen their health systems. This objective is informed by goals shared by the global community as whole: Sustainable Development Goal 3 and the 2030 Agenda, universal health coverage (UHC) and the Global Action Plan for Healthy Lives and Well-being for All.

Working with our national partners, BACKUP aims to develop coherent support packages and to provide long-term support rather than ad hoc and short-term assistance. We plan to achieve our overall objective by working on three sub-objectives:

1. Strengthen the national coordination of global health financing

We would like to support countries in strengthening the coordination of programmes financed by global health financing mechanisms and to ensure that the programmes are well-aligned with national strategies.

Coordination means engaging all relevant stakeholders, including civil society and key affected groups, all of whom should be involved in every step of a programme’s cycle.

Examples of activities in this area:
- Advice on providing strategic oversight of GFATM-financed programmes.
- Developing the capacities of non-state actors to contribute to country dialogues.
- Advice on strategy development, particularly on links between national sector strategies, health programmes and global financing, with civil society participation.
- Analyses of coordination processes within the health sector.

2. Strengthen national health system institutions

We support national institutions in developing their technical and organisational capacities. Once national institutions are able to set their priorities on strengthening health systems as part of global health financing, this will increase the effectiveness and sustainability of global health investments, strengthen the health systems to ensure a long-term impact and make them more resilient to epidemic or pandemic outbreaks.

Examples of activities in this area:
- Building expertise in strengthening health systems.
- Advice and technical assistance on data management and use.
- Organisational development and capacity building for a health system’s institutions and functions, such as Programme Implementing Units (PIUs) for globally financed programmes, laboratories or procurement and supply-chain management, for example using the Strategic Technical Assistance for Grant Excellence (STAGE) approach.
3. Improved management of decentralised community-based health services

BACKUP will support the integrated management of health services at the sub-national level in selected partner countries. Implementation experiences will be shared and fed back into national conversations. This will promote the integration of globally financed measures to combat specific diseases into existing health services, tailoring them to the specific needs of vulnerable population groups, thus improving health equity.

Please note that BACKUP cannot accept unsolicited project proposals in this area.

COVID-19

BACKUP has limited resources to support projects that address the COVID-19 pandemic within the scope of our main objective and sub-objectives laid out above. The project goals should be to strengthen health systems in the medium- or long-term and proposals should be aligned with and endorsed by the entity coordinating the COVID-19 response at the national level.

Examples of activities in this area:
- Accessing and implementing funding for the COVID-19 response from GFATM.
- Risk assessments and adaptations for disease programmes.
- Strengthening laboratory infrastructure.
- Training on infection prevention and control (IPC) for C19 and other infectious diseases.
- Improving information management and data use.
- Integrating C19 services with other disease programmes.

Cross-cutting priorities: Human rights, gender, equity and value for money

Human rights, gender equality and equity are inextricably linked. The highest attainable standard of health must be reflected in the standard of health of the most socially disadvantaged groups. At the same time, human rights barriers to health care and gender inequality are key drivers of inequity for AIDS, TB and malaria. An equity, gender and human rights perspective is therefore essential to achieving universal health coverage and the goals set out in the fight against these three diseases.

BACKUP strives to follow a people-centred and human-rights-based approach by placing a strong emphasis on identifying the most vulnerable populations and supporting their needs. Where possible, BACKUP will collect and analyse project data disaggregated by gender, income and geography. Similarly, communities and key populations should aim to be involved in planning, designing and implementing projects.

To ensure that projects deliver the greatest impact, BACKUP strives to achieve value for money in its projects. This includes adhering to the required procurement processes, evaluating the data on needs during the project development phase and collecting data on defined targets during and after the project implementation.
Who can BACKUP work with?

BACKUP can implement projects with the following types of organisations:

- Country Coordinating Mechanisms (CCMs)
- Ministries and public health institutions
- Governmental grant implementing agencies
- National civil society organisations

in the following countries:

Please note that to receive funds, organisations need to fulfil certain formal requirements and demonstrate their administrative capacity (see below under ‘commercial suitability review’). BACKUP expects the partner organisations to dedicate the time and resources needed for effective project implementation and coordination.

To ensure a project is aligned with other relevant processes in the health sector, BACKUP requests that partners obtain the endorsement of an appropriate coordinating entity, typically the CCM chair or vice-chair.
Designing a project to implement with BACKUP

How does BACKUP evaluate and prioritise project proposals?

Project development with BACKUP is an iterative and collaborative process. Rather than requesting one complete project proposal, which is then approved or declined, BACKUP asks that you first submit a very brief project outline. BACKUP then provides feedback and, if the project promises to be a good fit, may invite you to develop a more detailed project proposal. A submitted proposal may then go through additional revisions based on feedback and advice from BACKUP technical advisers before being finalised. You can find more details on the process in the next section.

BACKUP asks the following questions when considering a project proposal. BACKUP can advise you on these as you develop your proposal:

• Does the project contribute to BACKUP’s objectives? (see page 6 above for an overview of BACKUP’s objectives)

• How does the project address BACKUP’s cross-cutting priorities, human rights, gender, equity and value for money? (see page 7 above)

• What does the available evidence say about the
  • urgency of the issue the project aims to address?
  • effectiveness of the proposed approaches?
  • sustainability of the proposed measures?

• Is the proposal (including, for example, the monitoring concept and terms of reference) technically sound and coherent?

• Is your organisation well-placed to implement the project?
How can you integrate cross-cutting priorities into project proposals?

Here are some questions to help you consider BACKUP’s cross-cutting priorities in your proposal:

**Human rights**
- Does the project contribute to reducing stigma and discrimination?
- Does the project contribute to training, raising awareness or empowering people (e.g. healthcare providers, patients and rights-holders) on human rights?
- Does the project contribute to monitoring and reforming laws, regulations and policies on health or vulnerable populations?

**Gender**
- Does the project address gender-specific needs?
- Does the project consider multiple discrimination/intersectionality, e.g. how gender compounds vulnerabilities in key affected populations?
- Will you collect gender-disaggregated data during the project? Is gender-disaggregated data already available to inform the project design?

**Equity**
- Does the project address health inequity, particularly taking into account PROGRESS factors (place of residence, race/ethnicity/culture/language, occupation, gender/sex, religion, education, socio-economic status, social capital)?
- How have you or do you plan to engage relevant key affected populations in the project design or implementation?
- Who are the most disadvantaged people in the project’s target group? How will the project affect them?

**Value for money**
- Does the project use synergies with other projects or activities, including those implemented by other organisations?
- Which activities could be implemented remotely/virtually rather than in person, without compromising effectiveness?
- Can you cost your project’s individual outputs?

**Environment**

This is not a cross-cutting priority but is nevertheless important to us. Climate change and environmental pollution damage human health and often have the most severe impact on the most vulnerable social groups. BACKUP therefore aims to minimise its projects’ environmental footprint. This means that we strongly encourage project proposals for initiatives which minimise environmental harm, for example strengthening health waste management, reducing waste during a workshop, or substituting an in-person workshop for a virtual event. It also means that we might ask you, for example, to justify the need for air travel. If you are interested in improving your project’s environmental footprint but are not sure how, just ask BACKUP and we’ll be happy to share resources and advice with you.
BACKUP Health places a strong emphasis on the quality and sustainability of all joint technical assistance projects. The following guiding principles form the BACKUP mindset:

- Strengthen ownership (e.g. build trusting relationships between consultants and partners; strengthen self-efficacy and accountability at partner level; jointly define project indicators; keep the partner in the lead; identify change agents).

- Ensure TA is addressing the main needs (e.g. root-cause analysis during scoping; regular reflection on project indicators).

- Measure success (e.g. by defining measurable project indicators in collaboration with partners, baseline and endline assessments).

- Acknowledgement of capacity development as a process: joint projects could, for example, consist of
  - one in-country scoping visit and,
  - one in-country focus visit and five days of intensive follow-up remote support,
  - one in-country follow-up visit including remote support.

No matter which of the modalities of support outlined below that you choose, BACKUP encourages you to follow these principles and will provide guidance and assistance where needed.

Monitoring and evaluation is an important part of all BACKUP projects as we want to understand the impact of our support, what we can achieve with you, but also how we could do better next time. Monitoring and evaluation helps us understand which successful examples we have that can serve as best practice cases for similar projects in other countries, what risks we are facing during the implementation and how can we mitigate them.

It is therefore important that, early on in the process of developing a project that you would like to implement with BACKUP support, you agree on your project’s goal with the responsible BACKUP adviser as well as the indicators that will allow you to measure your project’s success, the milestones to achieving it, the risks we face in the implementation and how you plan to mitigate them. Another important element are your project’s methods of verification, which you should also define early on and discuss with your BACKUP adviser. The methods of verification serve as evidence of having achieved the indicators and they should be as objective as possible.

Here are a few questions that might help you in the planning phase:

- How can I measure my project’s success? What would be a good indicator?
- Are my indicators formulated in line with the SMART¹ rule?
- What kind of baseline data will I need and how do I obtain it?
- Who in our team is responsible for the data collection?
- Which sources can I use as evidence for achieving the indicator?
  Are they objective and independent?

¹ Specific, Measurable, Achievable, Realistic, Time-bound
BACKUP can offer several resources to support you in implementing your project. In your proposal, you can indicate which of these you will require.

If you would like BACKUP to contract technical experts (consultants) directly, please tick the respective box in the proposal form. Please also draft terms of reference for each consultant using the template provided. You are welcome to suggest experts, otherwise BACKUP will use our consultant roster to identify suitable candidates. BACKUP encourages working with national experts, where appropriate and available. If needed, international backstopping experts could support national experts remotely.

If you want to hire experts yourself, with financial support from BACKUP, please only tick the box for financial support. Please note that when you contract consultants with BACKUP funding, you will need to follow GIZ procurement requirements (see section 4 below for more information on procurement requirements).

STAGE is a special form of support that uses technical experts. It is a medium to long-term approach that combines technical assistance and organisational development. The modular structure of STAGE allows the partner to customise a project by combining different units according to their needs. For more details, please refer to the ‘Is the STAGE approach a good fit for your project?’ section below.

If your project requires financial support from BACKUP, please indicate this in the form and draw up a budget using the template provided. If you have not required financial support from BACKUP in the past 12 months, please also fill in the self-disclosure form on your organisation’s legal registration and administrative processes. You can find more information on financing contracts in section 4.

There may be additional ways in which BACKUP can support a project, for example by funding and organising a workshop directly. Please discuss these with your BACKUP adviser.

You can request technical experts AND/OR financial support.

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**STAGE differs from other BACKUP forms of support in that it usually**

- takes longer (typically between 6 and 18 months);
- comprises more in-country visits and remote support conducted by a multidisciplinary team of facilitators;
- focuses methodologically on organisational development and quality management. These aspects are integrated into the project’s technical focus (e.g. financial or data management).

**At the same time, STAGE requires a high level of commitment from you:**

- staff availability and engagement;
- a high level of ownership and responsiveness;
- willingness to engage on a change management journey with BACKUP;
- financial contributions, if possible.

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**Is the STAGE approach a good fit for your project?**

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At the same time, STAGE requires a high level of commitment from you:

- staff availability and engagement;
- a high level of ownership and responsiveness;
- willingness to engage on a change management journey with BACKUP;
- financial contributions, if possible.
To assess if STAGE is the right approach for you, please review the available modules and units [here](#) (up to five units, ideally from the same module, can be combined in one project). More information can be found in the STAGE Guidelines [here](#) or in the STAGE FAQs [here](#).

If the modules and units sound interesting, ask yourself if you have enough time and resources to accommodate several visits by STAGE facilitators, to engage proactively with them and to drive the change process forward between visits. If you believe STAGE is the right approach for you, feel free to submit a proposal using [this form](#). If you are unsure, please contact BACKUP. We will be happy to advise you.

**Decision tree:**

1. **Is my organisation eligible for technical assistance from BACKUP?** If **NO**, go to Other technical support providers.
   - If **YES**, go to next decision.

2. **Do the modules and units in STAGE fit my needs?** If **NO**, go to Other BACKUP support options.
   - If **YES**, go to next decision.

3. **Can I combine up to five units into a cohesive project that addresses my needs?** If **NO**, go to Other BACKUP support options.
   - If **YES**, go to next decision.

4. **Can I commit enough time and resources to this project?** If **NO**, go to Other BACKUP support options.
   - If **YES**, go to **Apply for STAGE**.

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*Note: For expansions of abbreviations, please refer to STAGE Guidelines [here](#). For specific guidance on technical assistance, please contact BACKUP.*
Implementing a project with BACKUP

What does the process involve?

Process overview

If you decide to implement a STAGE project, the implementation process would look like this:

1. Application & Preparation
2. Scoping Visit
3. Preparation of Assignment
4. Focus Visits
5. Work in between Visits
6. Follow-up Visits
7. Final Monitoring

Please note that developing a project and preparing a contract can take several weeks or months, depending on the project’s complexity.

What is the project outline?

The project outline is the first step in developing a project with BACKUP. It is a one-page form in which you can provide a short overview of the project you wish to propose.

You can submit the form to backup@giz.de or directly to a BACKUP adviser with whom you may already be in contact. A BACKUP adviser will then provide feedback and, if the project appears to be a good fit for BACKUP’s objectives, the adviser may then invite you to develop a more detailed project proposal.
In the project proposal form, you can describe the project, its implementation arrangements and milestones in detail. To avoid unnecessary work on your part, please only fill in the proposal once BACKUP has invited you to do so.

You will need to present supporting documents depending on the type of project you wish to implement:

**For all applications:**
- Endorsement from the CCM chair or vice-chair (an alternative entity may be agreed with BACKUP)

**For proposals requesting technical experts:**
- Terms of reference for each expert (using the template provided)
- Optional: a list of proposed consultants

**For proposals requesting financial support:**
- Budget (using the template provided)
- Completed self-disclosure form
- Bank information (using the form provided)

**For proposals requesting STAGE support:**
- Completed STAGE module request form

Please submit the completed proposal and its supporting documents to the BACKUP adviser(s) who invited you to develop it. The adviser(s) will provide feedback and may suggest revisions.

GIZ, as a federal company, is obligated to uphold the values of the constitution of the Federal Republic of Germany, as well as other commissioners, such as the Foreign Commonwealth and Development Office and the Swiss Development Cooperation, and we advocate for human rights, equal opportunities and integrity as well as fair handling of conflicting interests and goals.

To live up to this standard, to identify flaws in the system as well as malpractices by individuals and thereby to avoid harm both inside and outside the company, GIZ established a whistleblower portal, which serves as a communication channel for reports concerning serious violations of these values. Anyone can use this portal to report misconduct and malpractices, whether on the part of GIZ or within the scope of a GIZ-supported activity. Reports can be submitted completely anonymously.

When submitting your proposal you will be asked to confirm that you have understood that your organisation can report any violations of abovementioned values that occurred within the context of GIZ-funding confidentially through this portal under the following link: https://www.bkms-system.com/bkwebanon/report/clientInfo?cin=26zig7&c=-1&language=eng and that your organisation has written processes and/or policies in place to ensure safeguarding against sexual exploitation, abuse and sexual harassment, which can be provided upon request.
How can you report the results of the project implementation?

BACKUP’s reporting system is set up to capture the views of the implementing partners – you and the technical experts involved. Therefore, there is one reporting form for partners and one for consultants (if you received support from a consultant). In addition to the reporting form you should also fill in a consultant evaluation form to provide us with feedback on the consultant.

You are required to submit either a final report or progress reports every six months, depending on the length of your project.

The reporting form prompts you to provide us with information on a number of points:

- Background information
- Executive summary
- Developments in country/regional context
- Progress towards results within the reporting period
- Contribution to GIZ results data (standardised)
- Obstacles
- Partnerships
- Additional TA needs
- Lessons learned and innovation
- Financial report (according to the contract)
- Pictures/videos

For STAGE assignments, the team of consultants is required to report on progress, obstacles, the potential need for reallocation and the next steps after the scoping trip and each country visit.

We would also like you to look out for opportunities to share results with a broader audience. This could, for example, be via BACKUP’s quarterly newsletter, BACKUP’s Twitter channel or in other publications, such as Healthy Developments.

Please share reports, supporting documents and ideas for disseminating results proactively with BACKUP.
This section is meant to provide general guidance. None of the information provided here is legally binding. Please always consult the information provided in your contract documents and on GIZ’s website to understand the specific contractual arrangements and requirements that apply to your project.

**Contracts managed by GIZ**

BACKUP has a team of contract specialists but does not issue contracts itself. Depending on the case, contracts and financial reporting may be managed by GIZ Germany or GIZ country offices.

Please familiarise yourself with the GIZ contracting procedures and requirements relevant to your project as set out in this guide and in the documents linked to here, which you can find on GIZ’s website. You should also read all the clauses in your contract carefully and refer back to them when necessary. Please take special care to ensure you fully understand what is required to account for expenses.

BACKUP can also organise a call with BACKUP’s own contract specialist at the start of the project, who can advise you and answer your questions. Don’t hesitate to ask questions, either to BACKUP or to the responsible GIZ contracting unit, at any point during the project development and implementation.
What is the commercial suitability review?

If your organisation has not had a financing contract with BACKUP or another GIZ project in the past 12 months, GIZ requires a commercial suitability review to assess whether a contract is possible and, if so, what kind of contract. The first step in this process is the self-disclosure form which you submit along with the project proposal. Next, GIZ staff or contracted auditors will conduct the review. This may include a visit to your organisation’s office or a request to send certain documents, such as a legal registration. Once concluded, you will be informed about the results of the review.

If your organisation has had a financing contract with BACKUP or another GIZ project in the past 12 months, please make sure to point this out in your communication with BACKUP. This may enable us to conduct a lighter review or skip the review process altogether.

Which kinds of contracts does BACKUP use to provide financial support?

Financial support can be provided through one of two types of contracts: grants and local subsidies. Grant contracts are issued by the GIZ Germany contracting department, while local subsidies are managed by GIZ country offices.

For both grants and local subsidies, the final proposal and budget will be included in the contracts and thereby become official contract documents.

How can you reprogram funds?

You can reallocate funds and shift them between the main budget lines (e.g. staff costs, transportation) during the project implementation period. ‘Main budget lines’ are aggregates of individual budget items, by cost category. So the ‘transportation’ main budget line is the sum of all individual transportation costs (‘2 flights to X’, ‘travel reimbursement for 10 workshop participants’, etc.)

For example, you could shift savings from the ‘transportation’ budget line to the ‘consumables’ budget line in order to buy additional materials for a workshop. If the funds that are shifted amount to less than 20% of the budget lines in question, the contract does not need to be amended – simply ask BACKUP to approve the change in an email.

If the reallocated funds amount to more than 20% of the affected budget lines, the contract will need to be amended. To amend the contract, you will need to submit a revised budget as well as a revised proposal to reflect the changes in fund allocation.
How do you extend a contract?
An extension to the contract end date – with or without changes to the contract budget or proposal – can be agreed upon with BACKUP. Please note: BACKUP must request the extension from the relevant contracting unit before the contract ends. Therefore, if you wish to extend the contract, please ensure you discuss it with BACKUP well ahead of your contract’s end date.

Once the contract has expired, an extension is usually not possible. A new contract would need to be drawn up and project implementation would need to stop until a new contract has been issued.

What requirements should be considered during procurement?
If you procure goods or services using financial support from BACKUP, please ensure you consider GIZ’s procurement requirements as well as those applicable to your organisation and in your country. You can find an overview of GIZ’s requirements on our website.

What are GIZ’s requirements for financial reporting?
You can find information on GIZ’s financial reporting requirements on our website. Please familiarise yourself with the requirements before signing the contract and don’t hesitate to ask if anything is unclear.

How are contracts awarded?
Whether it is BACKUP who contracts technical experts/consultants or your organisation, contracts can be awarded directly or through competitive bidding in a tender. The latter is decided on a case-by-case basis. Generally, it is more likely that a direct award will be possible if the contract value is low.

How can consultants’ contracts be extended?
Just as with financing contracts, BACKUP must request a contract extension for consultants from the responsible GIZ contracting unit before the contract expires. Therefore, please ensure you discuss the extension with BACKUP in advance and provide a written request and short justification for it in an email.