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# 2020 – 2022 Funding Cycle Tailored for NSPs

APPLICATION APPROACH

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21 NOVEMBER 2019

# Contents

## Part One

- Background
- Tailored for NSPs

## Part Two

- Funding Request Annexes

# Background

## Application Approaches

**Full Review**



**Program  
Continuation**



**Tailored for NSP**



**Tailored for Focused  
Portfolios**



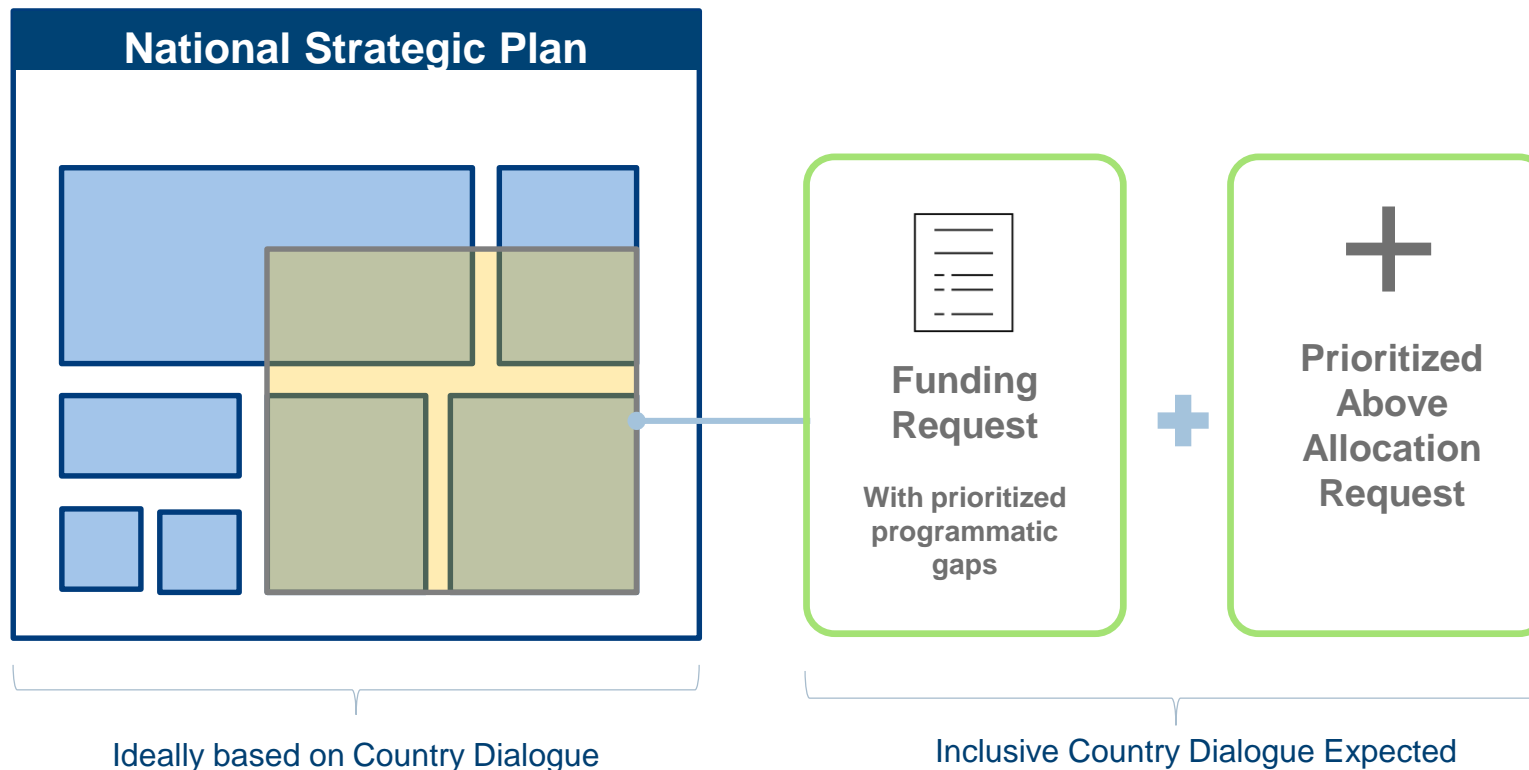
**Tailored for  
Transition**



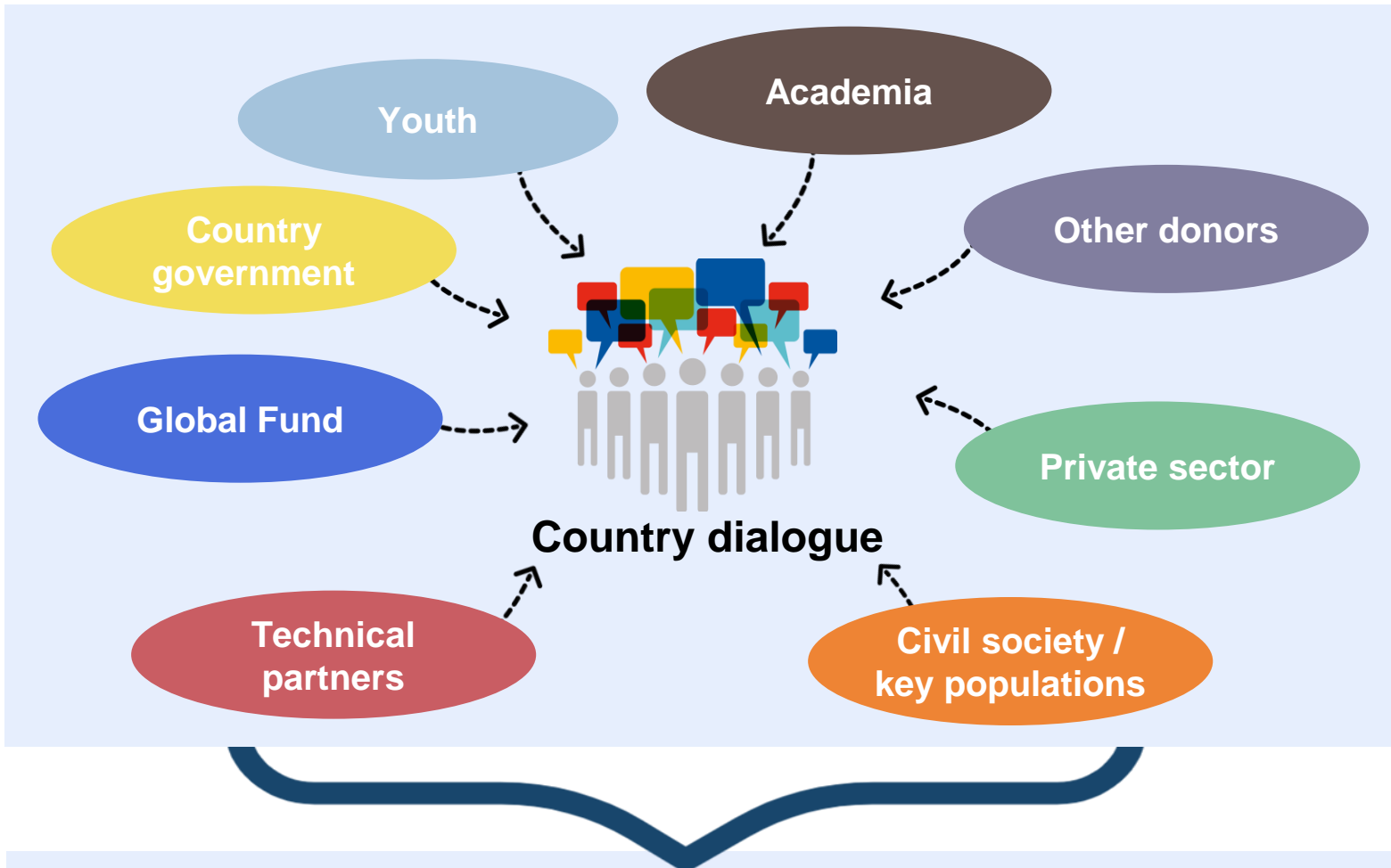
# Background

## Alignment with National Strategic Plans

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



# Country Dialogue & CCM Eligibility Requirements



## Expected Outcomes:

- 1 Documented evidence of the inclusive dialogue to comply with Eligibility Requirement 1 and Eligibility Requirement 2.
- 2 Endorsement of the funding request by CCM members

## CCM Eligibility Requirements

ER1

**Transparent and inclusive** funding request development process

ER2

**Transparent and documented** Principal Recipient (PR) selection process

ER 1 and 2 are screened at the time of submitting a funding request

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

# Tailored for NSPs

Thematic Sections in each Funding Request

Context

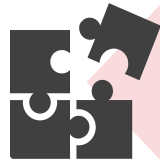
Request

Implementation

Sustainability



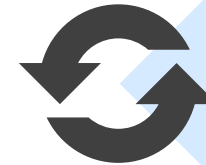
Country  
Context



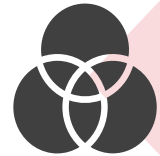
Funding  
Request  
Prioritization



Implementation  
Arrangements



Co-financing,  
Sustainability  
& Transition



Opportunities  
for Integration



Risk



Value for  
Money

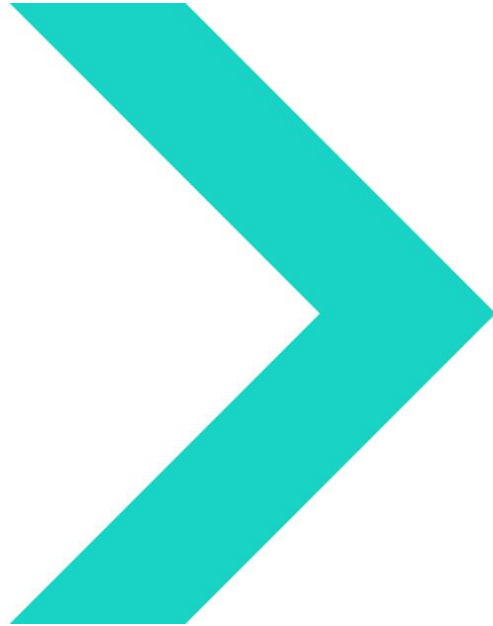
# Funding Request

## Annexes



# Stepping up the Funding Request: TRP observations

**STEP UP  
THE FIGHT**



Improve priority  
setting

Increase focus on  
prevention and  
reducing incidence

Strengthen cross-  
cutting  
programming in  
Resilient and  
Sustainable  
Systems for Health

Strengthen  
community  
systems

Increase attention  
to sustainability



# Background

## Technical Review Panel Review Criteria



# TRP Windows

Timeline

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

# Tailored for NSPs

## OVERVIEW | Section 1: Context

Applicants are encouraged to **refer to a page/section** of relevant NSP(s), no longform required.

The attached NSPs do **not** have to be final versions.

### Key Considerations:

- The quality of the application will be reviewed, not of the NSP.
- Applicants should be specific about the page or section number.



### Section 1: Context Related to the Funding Request

To respond to the questions below, refer to the *Instructions*, NSPs, other national documents, and the Essential Data Table(s).

#### 1.1 Context Included in NSPs and Other Reference Documents

Check relevant contextual areas included in NSPs, as applicable. For areas not included in NSPs, provide reference to other relevant document(s) with respective page numbers or provide a narrative in Section 1.2.

Key area	Check the box if in NSP	Relevant section(s) and/or page(s) in NSP	If not in NSP, refer to another document (specifying page numbers) or refer to Section 1.2
<b>Cross-cutting</b>			
Health system overview	<input type="checkbox"/>		
Health sector strategy	<input type="checkbox"/>		
Community responses and systems	<input type="checkbox"/>		
Role of the private sector	<input type="checkbox"/>		
Human rights-related barriers/inequities in access to health services	<input type="checkbox"/>		
Gender and age-related barriers/inequities in access to health services	<input type="checkbox"/>		
Economic, geographic and other barriers/inequities in access to health services	<input type="checkbox"/>		
Role of community groups in the design and delivery of programs	<input type="checkbox"/>		
Linkage between disease specific NSPs and sector strategies	<input type="checkbox"/>		
Other			
<b>Disease-specific</b>			
Key stakeholders of NSPs and operational			

#### 1.2 Contextual Information not Included in NSPs

For the gaps in question 1.1, provide information below.

[Applicant response]

# Tailored for NSPs

## Section 1: Context

### 1.1 Context Included in NSPs and Other Reference Documents

Check relevant contextual areas included in NSPs, as applicable. For areas not included in NSPs, provide reference to other relevant document(s) with respective page numbers or provide a narrative in Section 1.2.

Key area	Check the box if in NSP	Relevant section(s) and/or page(s) in NSP	If not in NSP, refer to another document (specifying page numbers) or refer to Section 1.2
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Health sector strategy	<input type="checkbox"/>		
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Role of the private sector	<input type="checkbox"/>		
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Gender and age-related barriers/inequities in access to health services	<input type="checkbox"/>		
Economic, geographic and other barriers/inequities in access to health services	<input type="checkbox"/>		
Role of community groups in the design and delivery of programs	<input type="checkbox"/>		
Linkage between disease specific NSPs and sector strategies	<input type="checkbox"/>		
Other	<input type="checkbox"/>		
<b>Disease-specific</b>			
Key stakeholders of NSPs and operational plan development	<input type="checkbox"/>		



NSP

There are many options for other documents that can be referenced; the list in instructions is non-exhaustive.

Consider translation for critical references.

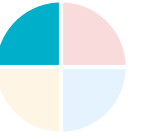
# Tailored for NSPs

## Section 1: Context

### 1.2 Contextual Information not Included in NSPs

For the gaps in question 1.1, provide information below.

[Applicant response]



Essential  
Data Table



Funding  
Landscape  
Table



Programmatic  
Gap Table

Use this section for any information not captured in question 1.1 that is relevant to the funding request.

Indicate anticipated reprogramming for NSPs that are already in progress.



# Tailored for NSPs

## Section 2: The Request

### 2.1 Overview of NSP Strategic Areas

Complete the table below, referring to the relevant NSP page numbers, whenever possible. Ensure information is consistent with NSP cost details and analysis provided in **Funding Landscape Table(s)**.

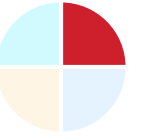
NSP strategic areas	Key interventions (refer to NSP page numbers)	Baseline and targets (refer to NSP page numbers)	NSP funding need In the grant currency for implementation period of this funding request	Anticipated funding gap as % of need for implementation period of this funding request (before Global Fund contribution)



There is no need for narrative here, just the numbers.

# Tailored for NSPs

## Section 2: The Request



### 2.2 Funding Request to the Global Fund

Fill in questions a) and/or b) as relevant for your country funding request approach(es):

a) for funding requests using the traditional, Performance Based Funding approach

b) for funding requests using the Payment for Results modality

All applicants should fill in questions c), d) and e).

a) For a funding request using the Performance Based Funding approach:

Use the table below to list and provide the rationale for each intervention prioritized for Global Fund funding.

Performance Based Funding uses our indicators, milestones, and schedules.

Payment for Results may have NSP linked indicators, interventions, milestones, and timelines.

Payment for Results Guidance Note is forthcoming.



# Tailored for NSPs

## Section 2: The Request

a) For a funding request using the Performance Based Funding approach:

Use the table below to list and provide the rationale for each intervention prioritized for Global Fund funding.

**COMPONENT:** *(Indicate component here.)*

NSP Strategic Area #:		
Intervention	Rationale for prioritization for Global Fund funding	Amount requested from the Global Fund
<i>Add rows as relevant</i>		
<i>(Add additional tables as relevant)</i>		
<b>TOTAL AMOUNT requested from the Global Fund</b>		

Explain the prioritization approach used to select interventions for Global Fund funding.

[Applicant response]



Budget



Funding  
Landscape  
Table



Programmatic  
Gap Table

Numbers should match the Budget and cover page.

Enables applicants to illustrate qualitative / quantitative prioritization, supporting Programmatic Gap Table.

Performance Based Funding interventions must be mapped to Global Fund Performance Framework.

# Tailored for NSPs

## Section 2: The Request

This question is **optional** – only for those proposing to use Payments for Results.

b) If an aspect (or the entirety) of this funding request uses the Payment for Results modality:

Use the table below to list and provide the rationale for selection of the proposed performance indicators or milestones for Global Fund funding.


Performance indicator or milestone	Target				Rationale for selection of the indicator/milestone
	Baseline	Y1	Y2	Y3	
Add rows as relevant					
TOTAL AMOUNT requested from the Global Fund					


Specify how the accuracy and reliability of the reported results will be ensured.

[Applicant response]


Explain the prioritization approach used to select performance indicators and/or milestones as results for Global Fund funding.

[Applicant response]






Budget



Funding Landscape Table



Programmatic Gap Table

- Numbers should match the Budget and cover page.
- Enables applicants to illustrate qualitative / quantitative prioritization, supporting Programmatic Gap Table.
- Payment for results is encouraged to use Modular Framework indicators, but not necessary.
- Discuss with Country Team if considering this modality.

# Tailored for NSPs

## Section 2: The Request

c) **Opportunities for integration:** explain how the proposed investments take into consideration:

- Needs across the three diseases and other related health programs;
- Links with the broader health systems to improve disease outcomes, efficiency and program sustainability.

[Applicant response]



Funding  
Landscape  
Table

### **Additional Resource:**

Country trainings on health system integration to be offered by University of Heidelberg.

**TRP Link:** Direct link to TRP Review Criteria #2.

# Tailored for NSPs

## Section 2: The Request

- d) Summarize how the funding request complies with the **application focus requirements** specified in the allocation letter.

[Applicant response]

Income Level	Application Focus
Low Income Countries	No Restriction
Lower-LMI Countries	50% focus on key and vulnerable populations / interventions
Upper-LMI Countries	
Upper-Middle Income Countries	100% focus on interventions that maintain or scale-up evidence-based interventions for key and vulnerable populations**

\*\*UMICs may also include interventions to ensure transition readiness which include critical RSSH needs to ensure sustainability, as appropriate, as well as improve equitable coverage and uptake of services and, as appropriate, introduce new technologies that represent global best practice and are critical for sustaining gains and moving towards control and/or elimination.



Funding  
Landscape  
Table

Focus requirements are about the entire Funding Request, not per module.

# Tailored for NSPs

## Section 2: The Request

- e) Explain how this funding request reflects **value for money**, including examples of improvement in value for money compared to the current allocation period. To respond, refer to the Instructions for the aspects of value for money that should be considered.

[Applicant response]



Funding  
Landscape  
Table

Please refer to the Value for Money framework, as described in Technical Brief.

Focus on 3 dimensions: economy, efficiency and equity.

Response can include description of current practices.

# Tailored for NSPs

## Section 2: The Request

### 2.3 Matching Funds (if applicable)

This question should only be answered by applicants with designated matching funds, as indicated in the allocation letter.

Describe how the **programmatic and financial conditions**, as outlined in the allocation letter, have been met.

[Applicant response]



Only for eligible countries, as stated in the allocation letter.

Integrated into funding request and review; there will be no stand-alone MF application.

Demonstrate how programmatic and financial conditions are met.

# Tailored for NSPs

## OVERVIEW | Section 3: Implementation



Remember to update the Implementation Arrangement Map and submit with Funding Request if using existing Principal Recipient.

**TRP Link:** Direct link to TRP Review Criteria #4.

### Section 3: Operationalization and Implementation Arrangements

To respond to the questions below, refer to the *Instructions*, NSPs and an updated **Implementation Arrangement Map(s)**<sup>3</sup>.

a) Describe how the proposed **implementation arrangements** will ensure efficient program delivery.

[Applicant response]

b) Describe the role that **community-based organizations** will play under the implementation arrangements.

[Applicant response]

c) Describe key, **anticipated implementation risks** that might negatively affect (i) the delivery of the program objectives supported by the Global Fund and/or (ii) the broader health system. Then, describe the mitigation measures that address these risks, and which entity would be responsible for these mitigation measures.

Key Implementation Risks	Corresponding Mitigation Measures	Entity Responsible
Add rows as needed		

# Tailored for NSPs

## Section 3: Implementation

To respond to the questions below, refer to the *Instructions*, NSPs and an updated **Implementation Arrangement Map(s)**<sup>3</sup>.

a) Describe how the proposed **implementation arrangements** will ensure efficient program delivery.

[Applicant response]

b) Describe the role that **community-based organizations** will play under the implementation arrangements.

[Applicant response]



Implementation  
Arrangement  
Map\*



Funding  
Landscape  
Table

**B:** Opportunity to highlight role of PRs, sub recipients and those involved in implementation that are not necessarily recipients of funds (e.g. sex workers distributing condoms or organizations engaged in community-based monitoring).



# Tailored for NSPs

## Section 3: Implementation

- c) Describe key, **anticipated implementation risks** that might negatively affect (i) the delivery of the program objectives supported by the Global Fund and/or (ii) the broader health system. Then, describe the mitigation measures that address these risks, and which entity would be responsible for these mitigation measures.

Key Implementation Risks	Corresponding Mitigation Measures	Entity Responsible
<i>Add rows as needed</i>		



Funding  
Landscape  
Table

Test countries identified this as value-add exercise.

High-level rather than detailed risks.

# Tailored for NSPs

## OVERVIEW | Section 4: Sustainability

If the NSP covers sustainability, the applicant is encouraged to refer to relevant sections. Otherwise narrative required.

Even if a portfolio may be a long way from transitioning, it is important for all applicants to begin considering which modules are exclusively or majority funded by the Global Fund and consider appropriate timing for uptake of costs in national budgets.

**TRP Link:** This section directly links to TRP Review Criteria #5.



### Section 4: Co-Financing, Sustainability and Transition

To respond to the questions below, refer to the *Instructions*, the domestic financing section of the allocation letter, the [Sustainability, Transition and Co-Financing Guidance Note](#), [Funding Landscape Table\(s\)](#), [Programmatic Gap Tables\(s\)](#), and a sustainability plan and/or transition work-plan, if available.

#### 4.1 Co-Financing

a) Have co-financing commitments for the current allocation period been realized?

☐ Yes ☐ No

If yes, attach supporting documentation demonstrating the extent to which co-financing commitments have been met.

If no, explain why and outline the impact of this situation on the program.

[Applicant response]

b) Do co-financing commitments for the next allocation period meet minimum requirements to fully access the co-financing incentive?

☐ Yes ☐ No

If details on commitments are available, attach supporting documentation demonstrating the extent to which co-financing commitments have been made.

If co-financing commitments do not meet minimum requirements, explain why.

[Applicant response]

c) Summarize the program period. In particular:

- The financing of the program
- The planned uptake of the program

[Applicant response]

d) Specify how co-financing systems and/or expenditure indicate how this funding is used.

[Applicant response]

#### 4.2 Sustainability and Transition

a) Based on the analysis in the **Funding Landscape Table(s)**, describe the funding need and anticipated funding, highlighting gaps for major program areas in the next allocation period.

Also, describe how (i) national authorities will work to secure additional funding or new sources of funding, and/or (ii) pursue efficiencies to ensure sufficient support for key interventions, particularly those currently funded by the Global Fund.

[Applicant response]

b) Highlight challenges related to sustainability (see indicative list in *Instructions*). Explain how these challenges will be addressed either through this funding request or other means. If already described in the national strategy, sustainability and/or transition plan, and/or other documentation submitted with the funding request, refer to relevant sections of those documents.

[Applicant response]

# Tailored for NSPs

## Section 4: Sustainability

### 4.1 Co-Financing

a) Have co-financing commitments for the current allocation period been realized?

☐ Yes ☐ No

If yes, attach supporting documentation demonstrating the extent to which co-financing commitments have been met.

If no, explain why and outline the impact of this situation on the program.

[Applicant response]

b) Do co-financing commitments for the next allocation period meet minimum requirements to fully access the co-financing incentive?

☐ Yes ☐ No

If details on commitments are available, attach supporting documentation demonstrating the extent to which co-financing commitments have been made.

If co-financing commitments do not meet minimum requirements, explain why.

[Applicant response]

c) Summarize the programmatic areas to be supported by domestic co-financing in the next allocation period. In particular:

- i. The financing of key program costs of national disease plans and/or health systems;
- ii. The planned uptake of interventions currently funded by the Global Fund.

[Applicant response]

d) Specify how co-financing commitments will be tracked and reported. If public financial management systems and/or expenditure tracking mechanisms require strengthening and/or institutionalization, indicate how this funding request will address these needs.

[Applicant response]



Funding  
Landscape  
Table

**A:** looks backwards  
(Have commitments from 2017-2019 been met?)

**B:** looks forwards (What are new commitments for 2020-2022?)

Numbers and focus areas of commitments indicated here should link to co-financing incentive requirements indicated in allocation letter and should match Funding Landscape Table and commitment letter.

# Tailored for NSPs

## Section 4: Sustainability

### 4.2 Sustainability and Transition

- a) Based on the analysis in the **Funding Landscape Table(s)**, describe the funding need and anticipated funding, highlighting gaps for major program areas in the next allocation period.

Also, describe how (i) national authorities will work to secure additional funding or new sources of funding, and/or (ii) pursue efficiencies to ensure sufficient support for key interventions, particularly those currently funded by the Global Fund.

[Applicant response]

- b) Highlight challenges related to sustainability (see indicative list in *Instructions*). Explain how these challenges will be addressed either through this funding request or other means. If already described in the national strategy, sustainability and/or transition plan, and/or other documentation submitted with the funding request, refer to relevant sections of those documents.

[Applicant response]



Funding  
Landscape  
Table

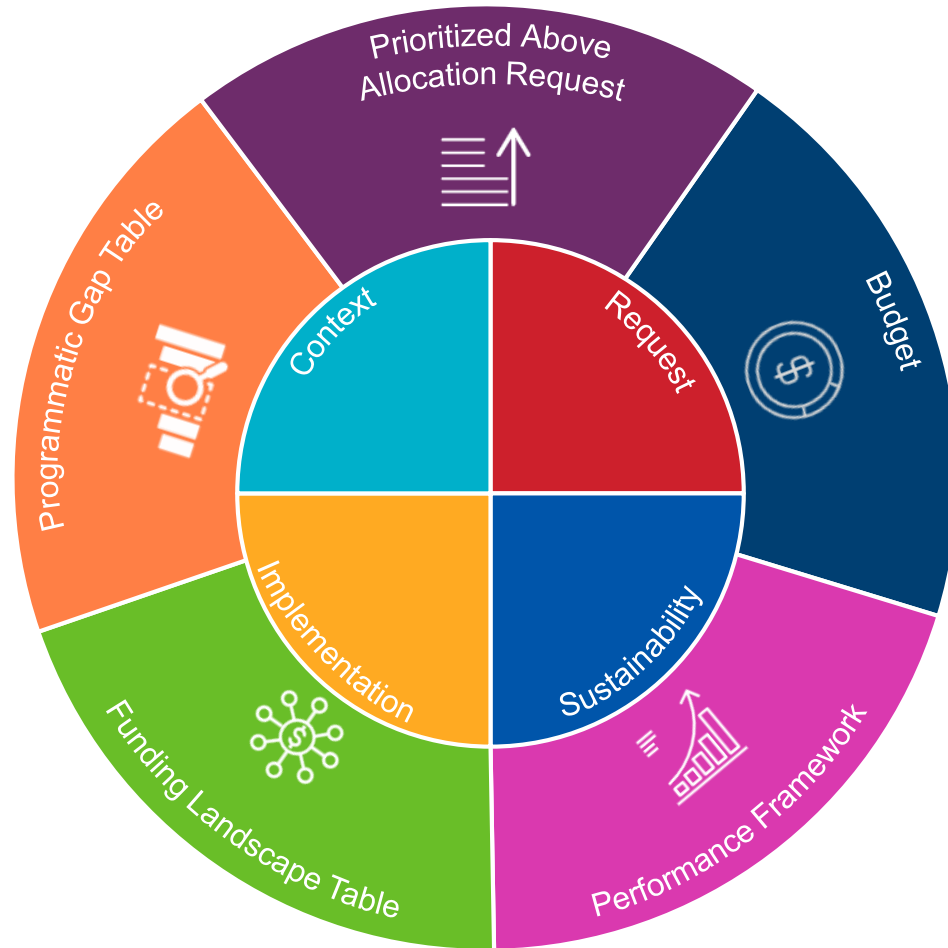
Ensure consistency of the data between Funding Landscape Table and narrative response

Clearly refer to the national documents (e.g., policies) that include financial commitments, if available.

Only identify **main** sustainability / transition challenges and strategies to address them.

# Questions?

# Funding Request Annexes



+



Essential Data Tables

# Essential Data Tables



Essential Data  
Table

## SUMMARY:

- Pre-filled tables of indicators for HIV, TB, malaria and Resilient & Sustainable Systems for Health
- Uses publicly available datasets
- Applicants are encouraged to use the data as reference while developing the funding request
- Applicants are encouraged to review the data and update or correct it if more recent or different data is being used for analysis
- The TRP welcomes the submission of additional datasets that may not be included in the Essential Data Table and would support the funding request analysis/prioritization.



## WHY WE HAVE IT:

- Help applicants to develop a data-based funding request
- To trigger cross-cutting approaches and to help identify opportunities for integration across the broader health sector
- Help TRP review funding requests using a consistent data source

## LINKING TO THE APPLICATION FORM:

- Section 1: Context Related to the Funding Request
- Section 2: Funding Request and Prioritization

# Prioritized Above Allocation Request (PAAR)



Prioritized Above  
Allocation Request

## SUMMARY:

- Lists prioritized and costed modules and interventions not included in the allocation amount
- Should be **at least 30%** of the allocation amount
- Must be submitted at the same time as the funding request. Can be updated later in the cycle only under certain conditions.
- Approved interventions are transferred to the Register of Unfunded Quality Demand (UQD) and can be incorporated into grants if additional resources become available

PRIORITIZED ABOVE ALLOCATION REQUEST (PAAR)

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

## HOW WE USE IT:

- TRP reviews the PAAR with the main funding request, applying the same review criteria
- TRP deems if interventions in the PAAR are technically sound, strategically focused and positioned to achieve the highest impact

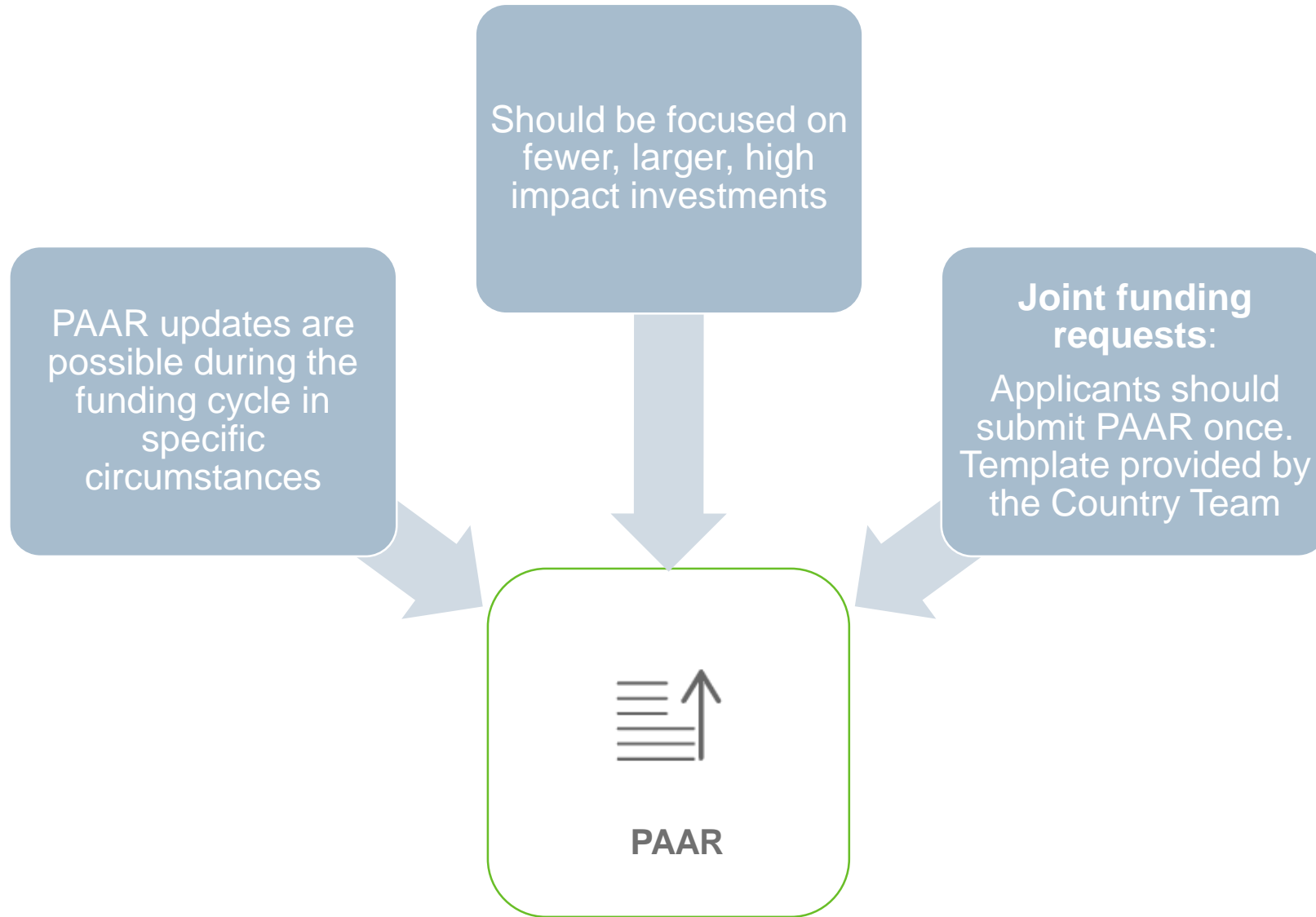
## LINKING TO THE APPLICATION FORM:

- Section 2: Funding Request and Prioritization
- Programmatic Gap Table

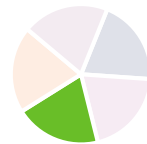


# Prioritized Above Allocation Request (PAAR)

## Key Considerations



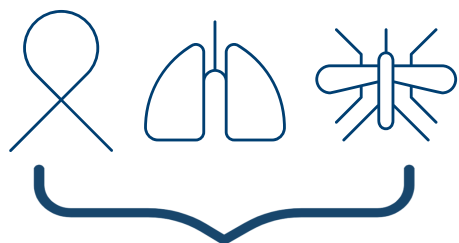
# Funding Landscape Table



Funding  
Landscape Table

## SUMMARY:

- Illustrates the total funding need for the health program and how the country plans to meet that need: through domestic resources, external donors, and the Global Fund investment
- Enables applicants to have a good handle on bringing to life their NSP to achieve desired disease outcomes and how much money will be needed to finance their health programs
- Used to track co-financing compliance



Gap Overview

Gap Detail

Government Health Spending

## WHY WE HAVE IT:

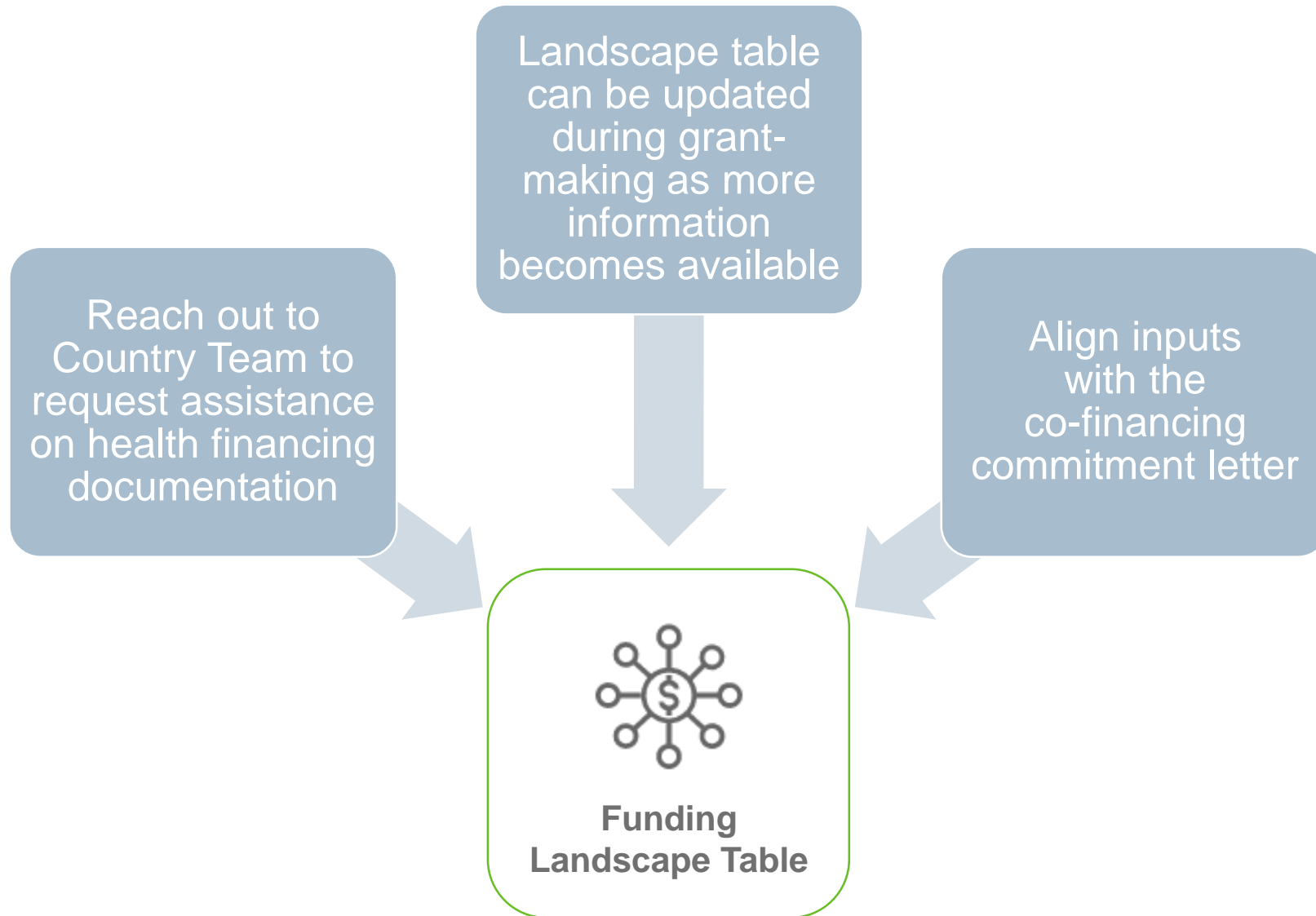
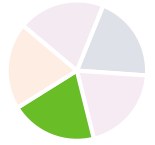
- Enables the applicant to create an overview of who is paying for what, and enables the Global Fund to better partner with applicants and others involved in the disease response

## LINKING TO THE APPLICATION FORM:

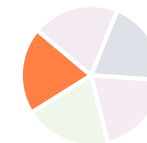
- Section 2: Funding Request and Prioritization
- Section 3: Operationalization and Implementation Arrangements
- Section 4: Co-Financing, Sustainability and Transition

# Funding Landscape Table

## Key Considerations



# Programmatic Gap Table



Programmatic  
Gap Tables

## SUMMARY:

- Summarizes national goals and targets, including key programmatic needs and gaps
- Details the change achievable by domestic and external contributions, along with Global Fund support
- Displays needs and gaps in selected modules that are key to achieving impact
- Includes coverage targets for the remaining gap after allocation that can be used to prepare PAAR

HIV/AIDS						
HIV/AIDS Programmatic Gap Table 1 (Per Priority Intervention)						
Priority Module	Please select...					
Selected coverage indicator	Malaria Diagnosis Programmatic Gap Table					
Target Population	Priority Module	Case Management				
Current national coverage	Selected indicator	Proportion of suspected malaria cases that receive a parasitological test at public sector health facilities				
Insert latest results	Tuberculosis					
Comments	TB Programmatic Gap Table 1 (Per Priority Intervention)					
	Priority Module	Please select...				
	Comments	Selected coverage indicator				
	Current national coverage					
	Insert latest results		Year		Data source	
	Comments					
			Year 1	Year 2	Year 3	Comments / Assumptions
			Insert year	Insert year	Insert year	

## WHY WE HAVE IT:

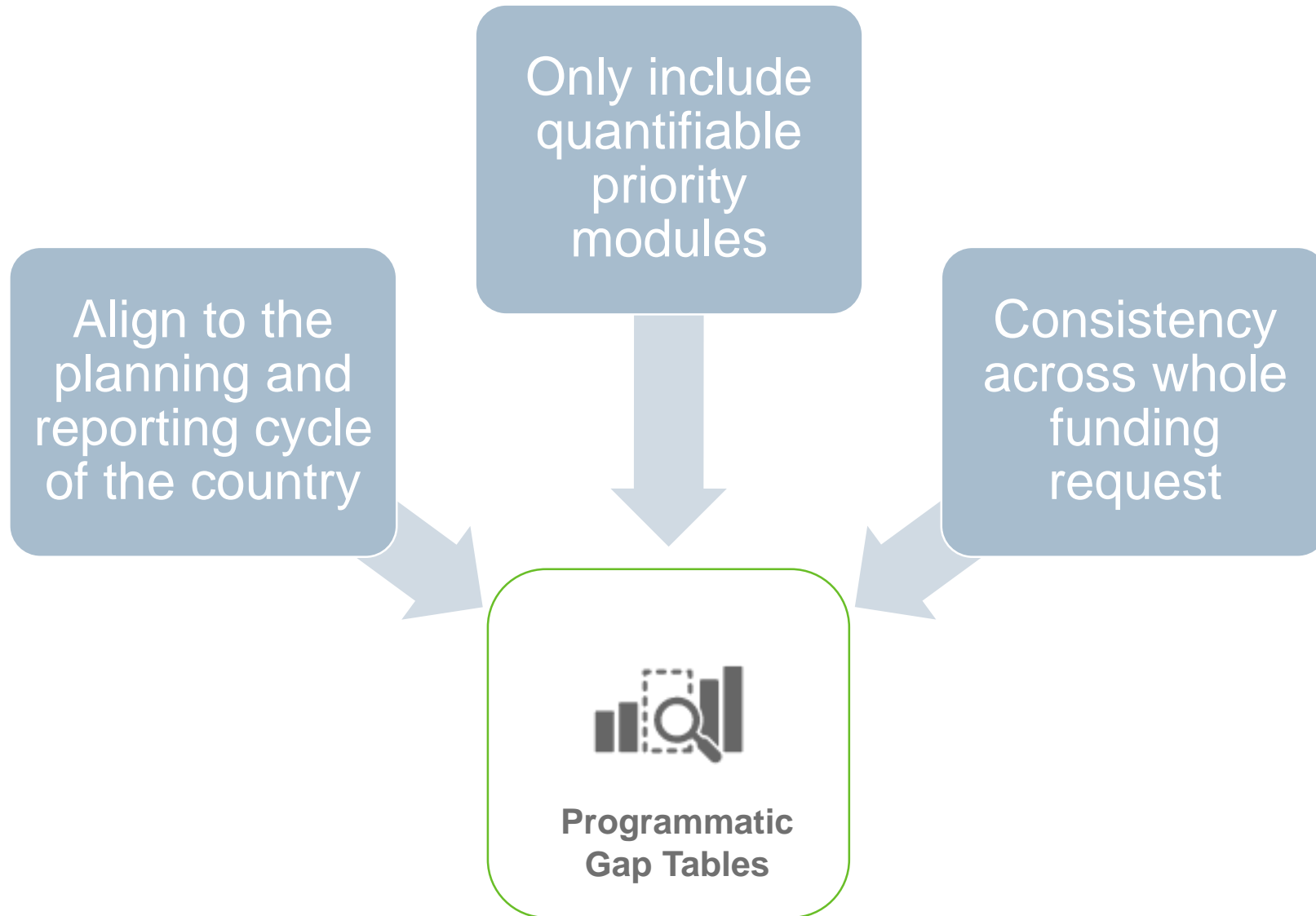
- Holistic view of expected outcomes/results to guide strategic investments
- Strategic directions of the funding aligned to NSPs / investment plan targets
- Contribution of all stakeholders in achieving national targets
- Aids in prioritization of funding request

## LINKING TO THE APPLICATION FORM:

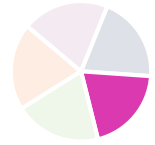
- Section 2: Funding Request and Prioritization
- Section 4: Co-Financing, Sustainability and Transition
- PAAR may be partially informed by programmatic gaps
- Also informs the Performance Framework and Budget

# Programmatic Gap Table

## Key Considerations



# Performance Framework



Performance Framework

## SUMMARY:

- Links program goals and objectives to program areas (modules), interventions, related indicators
- Focuses on impact, outcome and coverage indicators
- Includes indicators and targets to be reported by the country
- Includes work-plan tracking measures in cases where no coverage indicators are possible- e.g. some modules for Resilient and Sustainable Systems for Health, Human Rights interventions, etc.
- Developed during funding request submission and further refined during grant-making
- Results against targets in the Performance Framework are used to determine disbursements to the Principal Recipient during grant implementation

Program goals  
& objectives



Modules,  
interventions  
& indicators

Modular Framework  
Handbook

JULY 2019

The Global Fund

## WHY WE HAVE IT:

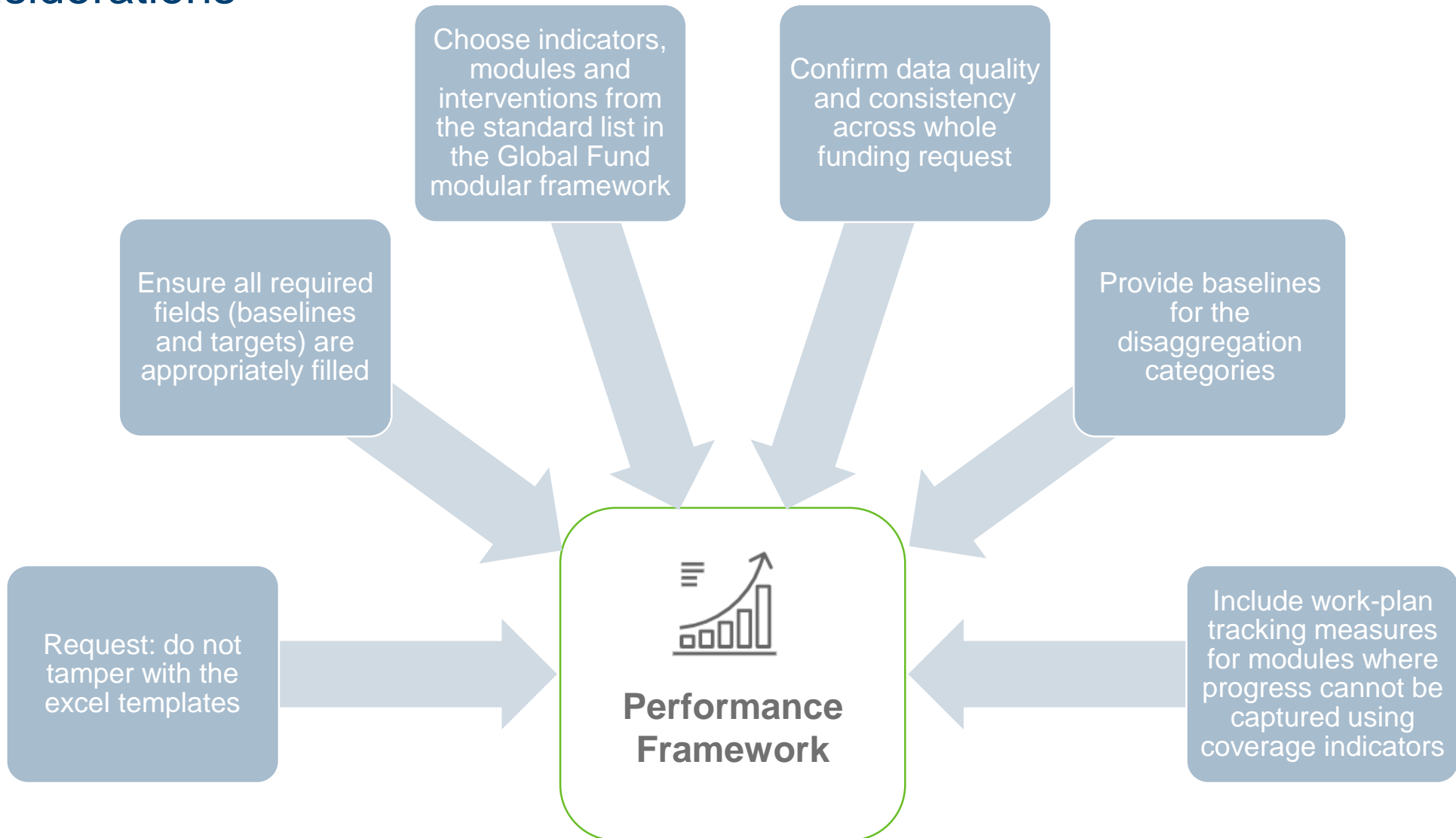
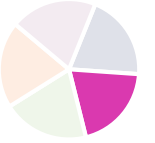
- Statement of expected performance over the funding request period
- Reflects the ambition towards achieving program result and impact

## LINKING TO THE APPLICATION FORM:

- Section 2: Funding Request and Prioritization
- Section 3: Operationalization and Implementation Arrangements

# Performance Framework

## Key Considerations



# Budget



Budget

## SUMMARY:

- The budget expected at the funding request stage is the initial “best estimate” by intervention and cost grouping.
- The minimum information that should be included with funding request submission includes:
  - **modules** – selected from a prescribed list per disease component;
  - **interventions** – related to the module selected from the prescribed list;
  - **proposed implementer(s)**;
  - **cost grouping** – selected from a prescribed list;
  - **amount per year and per intervention** in grant currency; and
  - **breakdown by key populations** (for programs with an HIV component).
- Applicants have the option to submit a detailed budget at the funding request stage.

## Funding Request Stage

Modular dimension	Modules	✓
	Interventions	✓
Costing dimension	Cost Grouping	✓
	Cost Inputs	

## WHY WE HAVE IT:

- Provides the strategic investment and intervention choices made by the applicant.
- The TRP reviews and then may recommend adjustments to the initial budget for consideration in grant-making.

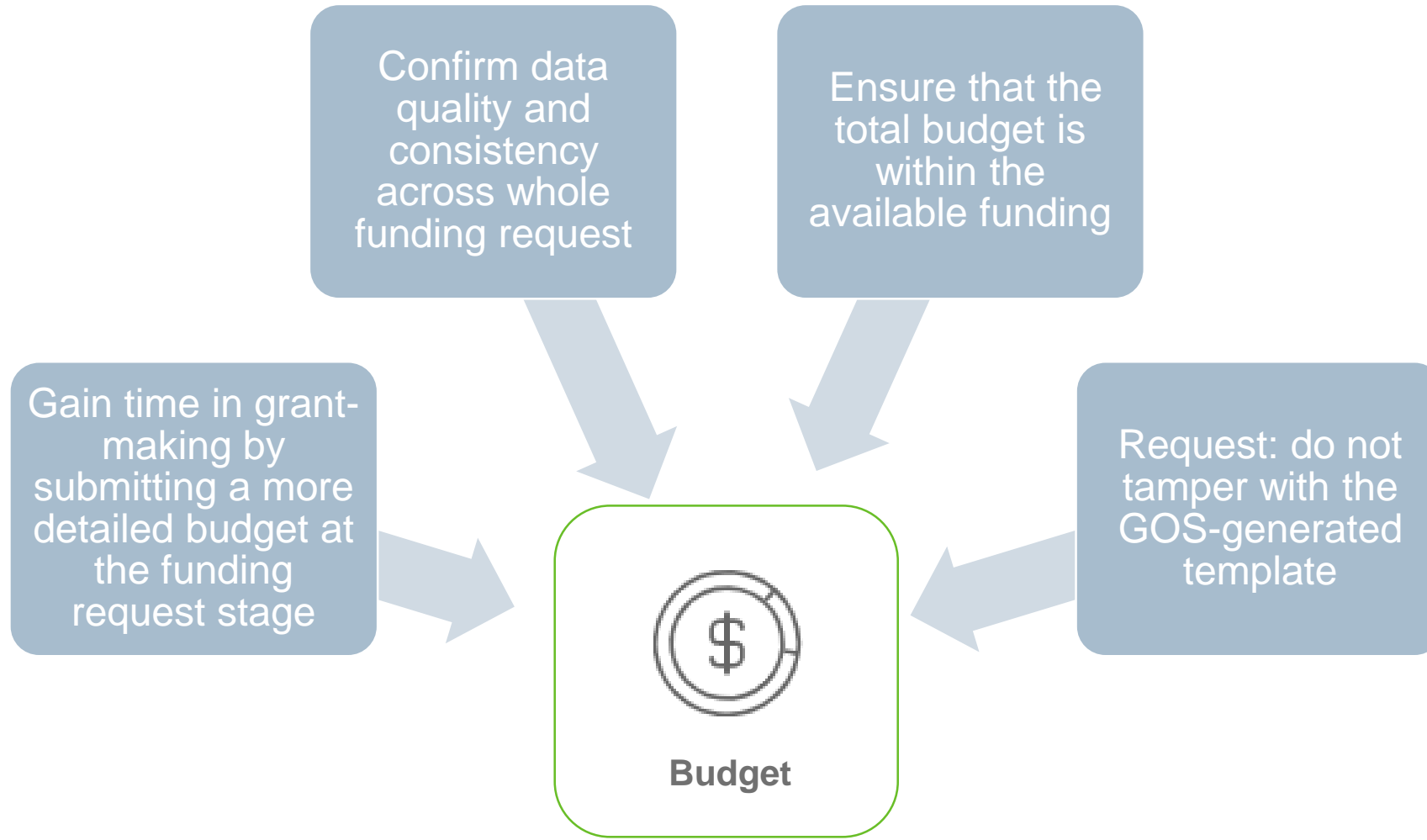
## LINKING TO THE APPLICATION FORM:

- Section 2: Funding Request and Prioritization
- Section 3: Operationalization and Implementation Arrangements
- Section 4: Co-Financing, Sustainability and Transition



# Budget

## Key Considerations



# Questions?

# Final questions?

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[A2FTraining@theglobalfund.org](mailto:A2FTraining@theglobalfund.org)

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