

Civil Society Global Fund Application Preparedness Guide

Navigating the New Funding Model Series
July 2013

Overview

In early 2013, the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund) launched the “New Funding Model.” A departure from its predecessor, the rounds-based system, the New Funding Model (NFM) is designed to allow for greater flexibility, predictability, and simplicity in the application process, and promote enhanced engagement of a diversity of stakeholders in all Global Fund activities, as well as improved impact and management of grants. The NFM will continue to roll-out over the course of this year, and is expected to be open to all countries to access funding in early 2014. Some analysis of the NFM has been conducted to date, and evaluations will continue as components of the NFM are piloted this year. The purpose of this document is to provide civil society with concise guidance on key elements of the New Funding Model application process. **The guidance herein is focused on Standard Applicants, who will be submitting applications in 2014 and beyond.**

Key Elements of New Funding Model

- **Concept Notes:** The first document to be submitted by a country is a streamlined “concept note,” rather than the more cumbersome application. Concept notes are submitted by the Country Coordinating Mechanism (CCM) on a schedule that works for the country, rather than a pre-determined time as with the rounds-based model.
- **Country Dialogue:** Country dialogue refers to ongoing health and development discussions at the country level and includes implementers, government, civil society, key affected populations and networks, academia, the private sector, and multilateral, bilateral, and technical partners. Country dialogue includes Concept Note development. To develop a Concept Note, CCMs and other stakeholders may convene specific meetings focused on inputs to the Concept Note. Country dialogue continues during grant-making and implementation and should also happen around the development of national strategies.
- **Indicative and Incentive Funding:** During the Country Dialogue, the Global Fund Secretariat will communicate an “indicative funding” ceiling. This is the core funding a country can expect to be granted, and should be used as a guidepost in the development of a concept note. Beyond this, any amount requested in a concept note is considered for “incentive funding,” which is competitive, and not guaranteed. The Global Fund strongly encourages recipient countries to apply for their full demand to fill the gap between existing resources and their national strategies.
- **Unfunded Quality Demand:** Any funding requests which are not fulfilled through indicative and incentive funding, but are favorably scored by the technical review panel

are considered “Unfunded Quality Demand,” and are catalogued for possible future funding, pending expanded Global Fund resources or external interest.

- **Alignment with National Strategic Plans:** Recipient countries are expected to have costed NSPs that prioritize how they will fight the diseases and which are developed through inclusive, multi-stakeholder engagement. The national strategic plans or health sector plans should be reflected in any application for funding.

Applying in the New Funding Model

In the New Funding Model, Country Coordinating Mechanisms (CCMs) remain the singular¹ country-level body through which applications are developed and submitted, grants are managed, and principal and sub-recipients are nominated. CCMs interface directly with the Global Fund Secretariat via their assigned Fund Portfolio Manager (FPM). CCMs are also responsible for in-country stakeholder engagement throughout the application process and life of the grant. The Global Fund has indicated some specific eligibility requirements in order for a CCM’s concept note to be considered by a Technical Review Panel (TRP).

CCM Eligibility Requirements²

Reviewed at time of concept note submission:

1. Concept note development. CCMs must coordinate the development of all funding applications through transparent and documented processes that engage a broad range of stakeholders—including CCM members and non-members. **CCMs must clearly document efforts to engage key population groups in the development of the concept note.**
2. Principal Recipient nomination. Upon submission of the concept note, CCMs must nominate one or more Principal Recipient (PR), document a transparent and objective process for the nomination, and document the management of any potential conflicts of interest.

Assessed during country dialogue and throughout grant life:

3. Oversight. CCMs must submit and follow an oversight plan for all Global Fund financing. The plan must **detail how CCM will engage diverse stakeholders in oversight, particularly civil society and people living with or affected by the diseases.**
4. Membership. **CCM membership must include people living with HIV and/or people affected by TB or malaria** (inasmuch as funding is requested for the respective diseases).
5. Membership. **All non-governmental CCM members must be selected by the constituencies they represent through a documented and transparent process.** This applies to all non-governmental members except multilateral and bilateral partners.

¹ In select instances where the CCM will not address known needs in country, a non-CCM proposal can be put forth by a civil society organization; however, this happens only rarely.

² Global Fund website. <http://www.theglobalfund.org/en/accesstofunding/eligibility/ccm/>.

6. Conflict of interest. CCMs must develop and publish a policy to manage conflicts of interest that applies to all CCM members, apply the policy throughout the life of the grant, and document its application.

Types of Applicants

During the transition to the New Funding Model, there are three types of applicants: Early, Interim, and Standard.

- **Early Applicants** are six selected countries and three regional networks which were invited to submit new applications in 2013.
- **Interim Applicants** are selected countries and regional networks with existing grants that are eligible to renew, reprogram, or extend in 2013. These applicants will also be able to access funds in Q1 in the same manner as standard applicants.
- **Standard Applicants** are all other countries and regions who will be eligible to apply for new grants in 2014. The Global Fund encourages standard applicants to use 2013 to “strengthen national strategies, accelerate country dialogues and gather the necessary epidemiological data that would underpin a robust response to each disease.”

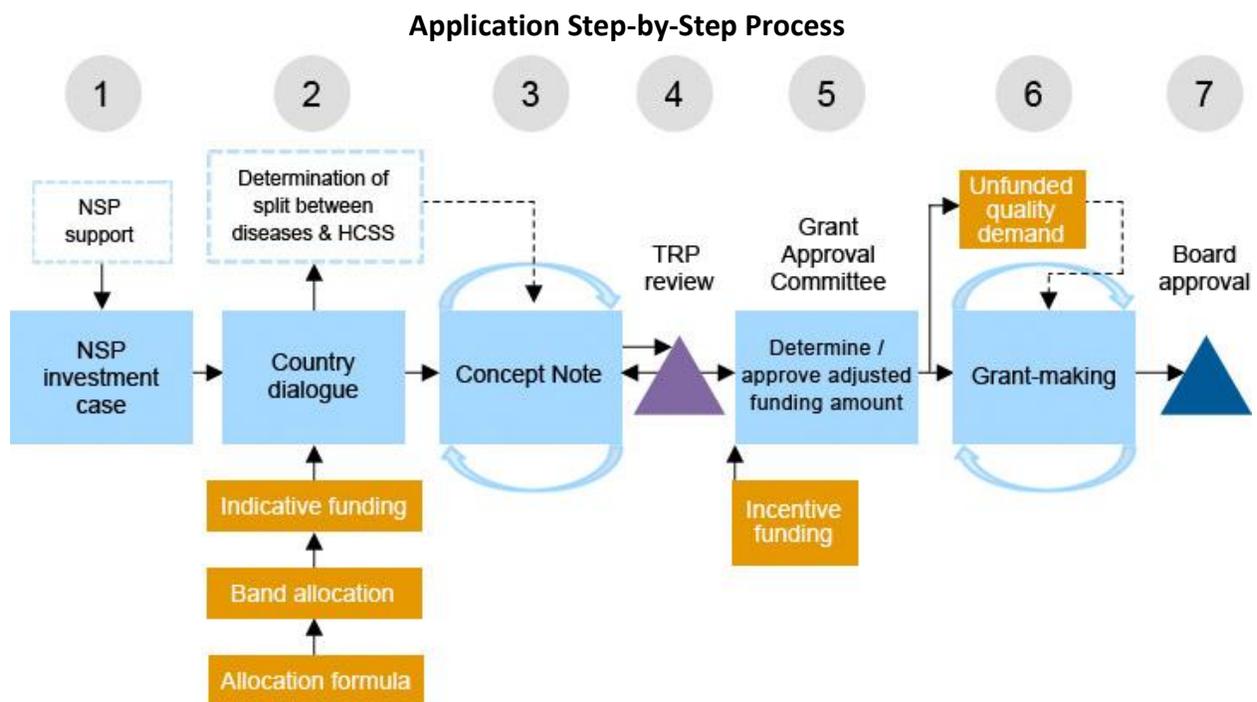
The Country Dialogue

- All recipient countries are required to engage in inclusive country dialogue to develop their concept note. There is not currently—and according to the Global Fund there will not be—a proscribed model for the country dialogue since the approach will need to be tailored to each country’s context and stakeholders.
- The CCMs need to fulfill the CCM Eligibility Requirements (especially #1) in the way that they undertake country dialogues. As contained therein, country dialogues must involve key populations and civil society partners, both from the CCM and non-CCM entities. Additional guidance will be provided as lessons learned from the early applicants are incorporated.
- Country dialogues may look different in every country. There will likely be comprised of one or more meetings or conferences, over one or more days, with sub-committee meetings and general meetings to develop a Concept Note. Countries are encouraged to begin discussions about funding needs and prioritization now, including strategic investment guidance from technical partners, which will help them write their Concept Notes.
- The CCM is expected to coordinate Concept Note development but may enlist technical support from the Global Fund or other multilateral partners.
- **The country dialogue *should not* just be a meeting or include only CCM members. Documentation of meaningful inclusion of non-CCM members, key populations, and civil society is required by the Global Fund.**

The Concept Note

- Concept notes replace the applications of the rounds-based system.
- Flexibility in timing is central to the NFM, and as such, concept notes may be submitted at a time which is best suited to a given country’s financial and programmatic calendar.

- All countries will be assigned an “indicative funding” amount during the country dialogue, prior to the development of their concept note. The indicative funding amount will be communicated to the CCM in a letter from the Global Fund Secretariat. Provided the concept note is confirmed, this is the base amount that a country can expect to receive. Any funds requested beyond the indicative level will be considered for “incentive funding” and will be put into a separate, competitive pool.
- Concept notes are submitted by the CCM. In initial “early applicant” experiences,³ the concept notes were developed by committees appointed by the CCM, and generally led by technical partners such as UNAIDS, UNDP, and PRs such as Save the Children. The Global Fund Secretariat provided support to concept note development through an online tool and direct assistance.
- The concept note is reviewed by the Technical Review Panel, which scores or sends it back for further information. If the Technical Review Panel deems a concept note technically sound and recommends it for funding, the concept note is then sent to the Grants Approval Committee (GAC) of the Global Fund Board. Once approval is received by the GAC, the grant-making process begins between the Global Fund, the CCM, and the Principal Recipient.



Taken from a Global Fund Presentation: *The New Funding Model – Key features and implementation* (March 2013)

³ Zimbabwe, Myanmar, and El Salvador. Aidspace, Global Fund Observer, http://www.aidspace.org/gfo_article/how-country-dialogue-and-concept-note-process-unfolded-three-early-applicant-countries

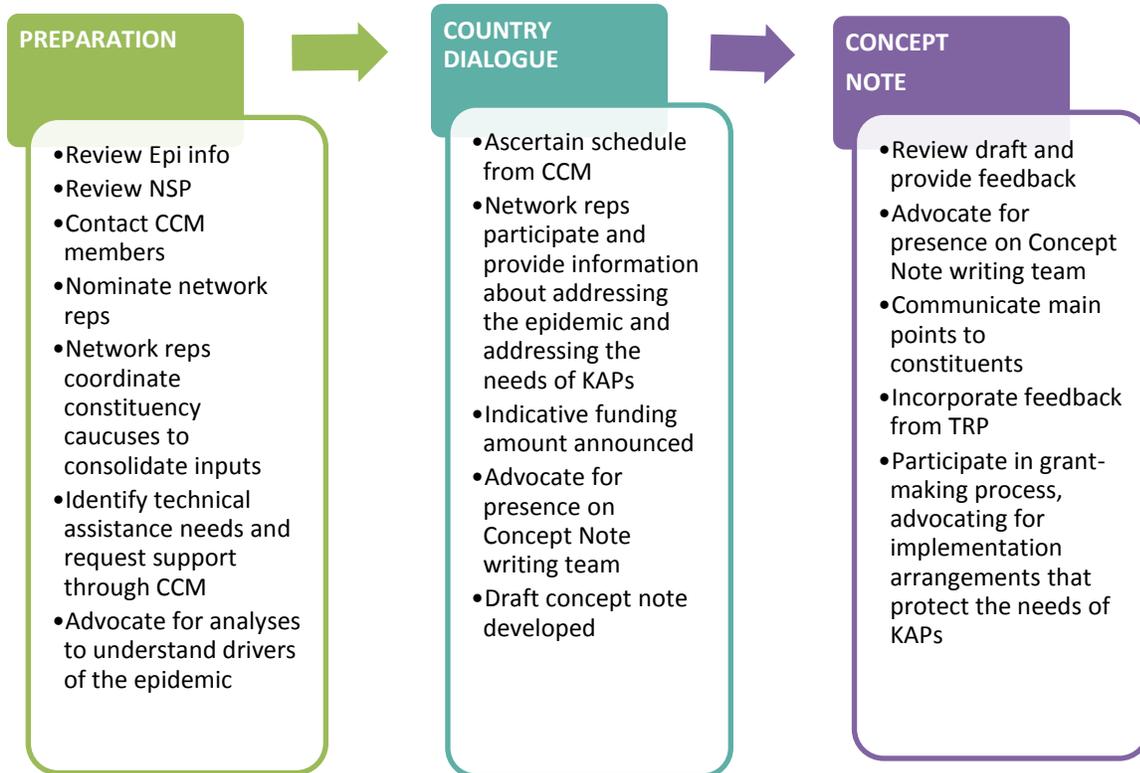
Additional Issues to Consider

- **National Strategic Plan.** Your country should already have or should be in the process of developing or updating its National Strategic Plan (NSP) for each disease or a National Health Sector Strategy it plans to use to apply to the Global Fund. The Global Fund is looking for concept notes which maintain fidelity to a strong NSP that is costed, prioritized and created through an inclusive multi-stakeholder process. Countries should regularly review and update their national strategies. Familiarize yourself and your constituents with your NSP and be proactive in getting involved in the reviews and identifying strengths and weaknesses ahead of your country dialogue. Knowing the strong and weak points of your NSP in advance will help to set the agenda and baseline for discussions in your country dialogue and beyond.
- **Civil society and key affected population (KAP) involvement.** All CCMs are required to include representatives of people living with HIV and/or affected by tuberculosis and malaria in their membership⁴. The Global Fund requires all CCM members representing non-government constituencies to be selected by their own constituencies based on a documented, transparent process, developed within each constituency. Work to ensure their involvement is meaningful by proactively engaging your constituents around the NFM and country dialogue. Initiate a transparent process for nominating representatives from your networks and have a clear plan for how to engage CS and key population colleagues on an ongoing basis to provide input to the CCM that represents all these groups, not just the perspective of their own organization or population. CCM contacts are available on the Global Fund website. *For additional guidance on nominating a representative, see Appendix.*
- **Fund Portfolio Managers.** Fund Portfolio Managers (FPMs) are the Global Fund personnel responsible for all aspects of grant management. This includes not just the financial elements, but also human rights concerns and key stakeholder inclusion. While you may want to find out who your country's FPM is, civil society representatives on your CCM will be the most useful contacts in learning about the Global Fund process and communicating issues to the FPM.

⁴ *Guidelines and Requirements for Country Coordinating Mechanisms.*
<http://www.theglobalfund.org/en/ccm/guidelines/>.

Civil Society Roles; Present to Concept Note Submission

July 2013 → October 2013 → 2014



GRANT APPLICATION PREPAREDNESS CHECKLIST

By September 1, 2013

- Know your epidemic.**
 - Collect and analyze recent epidemiology data for your country from available sources.
 - Ascertain the nature of programs addressing key populations in your country.
 - Potential sources of national-level data include:
 - 2012 UNGASS country reports (<http://www.unaids.org/en/dataanalysis/knowyourresponse/countryprogressreports/2012countries/>)
 - US Centers for Disease Control and Prevention (<http://www.cdc.gov/globalaids/>)
 - PEPFAR (<http://www.pepfar.gov/countries/>)
 - WHO (<http://www.who.int/hiv/en/>)
 - International Harm Reduction Association (<http://www.ihra.net/global-overview>)

- Know your NSP (National Strategic Plan).**
 - The Global Fund is aiming to support a concept note that is in alignment with the NSP or National Health Sector Strategies.
 - Per the Global Fund, the strongest NSPs are those which implement Joint-Assessment of National Health Strategies (JANS) approach in their development and review. For more information, visit: <http://www.internationalhealthpartnership.net/en/key-issues/national-health-planning-jans/>.
 - Make sure the NSP is costed, prioritized, current and finalized.
 - What is the projected cost?
 - Is there a clear ranking/prioritization of activities in a way that describes how the existing resources can be prioritized to achieve the greatest impact?
 - When was it last updated?
 - Make sure the NSP includes the priorities your constituents have identified
 - Are the appropriate key populations addressed?
 - Are programs that meet the needs of your constituents included?

- Know and contact your Country Coordinating Mechanism representatives.** *Information available at:* <http://portfolio.theglobalfund.org/en/Home/Index>.

- Know when the key Country Dialogue meetings for the preparation of the Concept Note are scheduled for and plan to attend.**

- **Conduct a nominating process for civil society or key population representative from your constituency for the Country Dialogue.** *Guidance available in Appendix.*
- **Be aware of your country's indicative funding level when it is established.** This will be announced during the country dialogue.
- **Familiarize yourself with the concept note structure when it becomes available.** The CCM will likely have this information first.
- **Identify capacity gaps, potential sources of technical support, and request technical support through your CCM.**
 - What service areas or populations have past Global Fund Principal Recipients not been able to sufficiently address?
 - Some providers of technical support to CCMs, Principal Recipients, Sub-Recipients: UNAIDS, GIZ, Grant Management Solutions (GMS), Technical Support Facility (TSF; operates in Asia Pacific and much of sub-Saharan Africa).

Appendix

Nominating a representative from your network.

Adapted from Coordinating with Communities, Action Card 3.

Principles for selecting community sector representatives

The selection process should be:

- Independent of other sectors and the national coordinating body on which the representatives will serve.
- Focused on selecting representatives who can fulfill the:
 - Terms of reference for the members of the coordinating body
 - Roles and responsibilities and selection criteria agreed by the community sector for its representatives
- Focused on ensuring a diversity of representatives (e.g., by using a rotational system).
- Fair, democratic and based on building consensus.
- All-inclusive, involving as many community sector constituents as possible.
- Safe (e.g., people living with HIV must be able to maintain their confidentiality if they wish).
- Transparent (the processes and results must be accessible to all).
- Thorough (e.g., includes a plan in the event that two candidates receive an equal number of votes).
- Aware of power dynamics (e.g., ensuring that the largest NGO is not automatically selected just because it has the highest profile).
- Focused on a model of representation that suits the culture and democratic norms of the country.
- Focused on a model that ensures that representatives are never on their own and that involves selecting alternates or a team of representatives, rather than just individuals.

Characteristics of Selection Approaches:

- Organizational rather than individual representatives. This means that if the director of a selected group of PLHIV is unable to attend a meeting, another member of the group will go instead.
- A rotational system. This can help ensure a diversity of representatives, instead of the permanent involvement of the same people or organizations. For example, if the community sector is represented by an NGO from the north of the country for two years, it may be represented by an NGO from the south of the country for the following two years.
- An alternate for each representative. If a selected representative is unable to attend a meeting, a named alternate from the community sector may be sent instead.
- A support team for representatives. If the selected representatives need additional support and guidance, they can turn to a small group of community sector members. This can help support institutional memory as representatives change.

Key Steps of Selection Process

1. Through a facilitated process (e.g., a meeting), the community sector develops and agrees to a simple and practical process for selecting its representatives.
2. A facilitator issues a call for candidates. The call is communicated as widely as possible throughout the community sector through newsletters and websites.

The Call for Candidates:

- Includes the job description (outlining the roles and responsibilities) and the selection criteria and process (including how results will be announced) for the community sector representatives.
- Asks candidates to propose themselves or, if appropriate, propose other people.
- Invites candidates to submit evidence of why they are suitable candidates.

This might involve submitting:

- a. Their curriculum vitae (CV) or a short summary of their relevant experience, knowledge, skills and attitudes.
- b. References or letters of support from people who know the candidates and their work well.

3. A facilitator collects the information about potential candidates and disseminates it widely within the community sector. The facilitator also reminds people how and when the selection process will take place.
4. A facilitator coordinates the selection process within the community sector, according to good practice principles.

A selection process with good practice principles...

- Takes place at an appropriate time and location to maximize inclusion and transparency. (It may occur during the Annual Meeting of an NGO network when most community sector groups are present.)
- Is carried out in an equitable way. (It may be appropriate to allocate one vote to each organisation, rather than one vote to each person. Alternatively, it may be more appropriate to have the selection made by a panel of respected community sector leaders.)
- Is carried out in a respectful, ethical and confidential way. (Votes are put into a box and then counted by an independent person.)
- Offers a variety of ways of participating. (It gives people the choice of attending a meeting or voting by mail or e-mail.)

5. A facilitator announces the results of the selection process immediately and communicates them publicly within the community sector and to other stakeholders.
6. Other stakeholders, including the government, acknowledge and welcome the representatives selected by the community sector.