**Checklist Peer Review for Development of Global Fund Concept Notes**

**22 – 25 July 2014, Johannesburg, South Africa**

**HIV**

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| **Reviewer (Country):****Reviewee (Country):** |

**Guidelines for reviewers**

The purpose of these guidelines is to provide a framework for the review of New Funding Model Concept Notes. Reviewers should pay attention to the points raised here, but are also encouraged to provide additional comments on the Concept Notes they review, as appropriate. Reviewers should be critical but fair and provide constructive comments and concrete suggestions to improve their colleagues’ proposals. Please note that the Concept Note is developed based on the National Strategic Plans on AIDS and/or the country Investment Case. Therefore, it will be useful to have these documents along with the CN.

Reviewers also need to bear in mind that the draft concept notes are made available in confidence and the contents should not be communicated to outside parties.

The following criteria should be considered when assessing the Concept Note:

Soundness of approach

* Responds to the highest epidemiological priorities at national and sub-national level and to the most critical gaps of the AIDS response in a country-specific context, leading to reduced HIV incidence, AIDS-related deaths and stigma and discrimination;
* Uses the best, current, evidence-based technical practices and approaches for prevention, control, treatment, care and support for the AIDS Response ;
* Where appropriate and relevant in a country’s context, demonstrates a strategic focus on vulnerable and key affected populations, high transmission geographies, and improving the health of mothers and children; and
* Proposes relevant health system strengthening and community systems strengthening interventions to complement adequately core investments in the three diseases and to improve effectiveness, efficiency and sustainability of disease programs.

Prioritization

* It applies the investment framework approach to prioritize investments for the AIDS response, if not, the priorities set in the updated national strategic plan guide the prioritization;
* The priorities are set based on the programmatic and financial gap analysis;
* The CN provides the rational that the investment suggested in the CN will yield the maximum impact to the HIV epidemic;
* It provides a balanced approach to investments on HIV prevention, treatment and support;
* It invests on critical and social enablers to remove barriers to services and ensure a rights based program;
* Specific budgets for gender action, human rights and other enablers is included (where relevant based on the situation assessment)

It invests on action that need to be taken to implement at scale to reach the targets set; Feasibility

* Has the necessary implementation capacity, including human resources and infrastructure been identified, or has concept note identified adequate mitigation efforts such as through the provision of technical assistance;
* Has sufficient access to and engagement with the populations being served being included, and adequate resources to carry out the activities successfully;
* Understands and responds to local social, legal and economic constraints that could prevent these activities from being conducted; and
* Ensures that structural barriers to accessing services, including those related to human rights and gender, are adequately understood and addressed to achieve the set targets.

Potential for sustainable outcomes

* Is consistent with broader health and development strategies and is complementary to other related national or international efforts; and
* allows for an orderly and rapid transition of capacity and activities to stable in-country counterparts (e.g. organizations, communities, government) and shifts financial support from external to domestic resources.
* Value for money
* Delivers a technically sound and strategically focused response in a cost-efficient manner.

Inclusive Country Dialogue

It provides sufficient evidence that prioritization and selection of interventions is based on an inclusive dialogue at national and sub-national level with civil society, key populations (where relevant) and other partners.

Civil society contribution and input is included and budgeted as part of community system strengthening and / or response.

**Review checklist**

**SECTION 1: COUNTRY CONTEXT**

**1.1 Country Disease, Health Systems and Community Systems Context**

* **Is the epidemiological description complete and accurate?**

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| **(a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed**  |
| **Comments:** |

* + Does it explain any changes in disease mortality, morbidity, disease risk, incidence or prevalence, and the reasons for any trends?

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| --- |
| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* + Is a geographic map (or table) included that visualizes the disease burden and key geographic settings and populations where rates of transmission and unmet need services are high?

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| --- |
| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* + Does it describe key affected populations, where they are located and their access to access to prevention, treatment and support services?

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| --- |
| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* + Does it explain the relevant data sources and any weaknesses in the data?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* + Does it describe gender norms and practices as well as human rights issues that create inequities and barriers to accessing health services?

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| --- |
| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Is there adequate description of the health systems and community systems context in the country including existing gaps, barriers and inequities in the delivery of services and any issues with poor implementation, lack of capacity, or limited effectiveness of activities?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Where community systems-related constraints have been identified, is there description of how those constraints that are related to access to services by key populations and other unreached, marginalized populations?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**1.2 National Disease Strategic Plans**

* **Does the Concept Note describe the goals, objectives and main priority programmes of the investment case and/or NSP, focusing on the areas relevant to this funding request, making reference to the relevant sections of the NSP?**

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| **(a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed**  |
| **Comments:** |

* Does it describe key interventions for a comprehensive response and explain why they are prioritized?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does it explain what strategies are being used to delivery services to key populations?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does it provide a brief summary on the implementation to date of the NSP, making reference to recent programme reviews, impact evaluations, surveillance surveys and/or any other relevant studies, as appropriate?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does it describe obstacles or limitations to the implementation of the NSP and how these have impacted implementation?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does it describe any lessons learned and how they will inform future implementation?

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| --- |
| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* **Does the Concept Note explain the main areas of linkage between the NSP and the national health strategy, including how implementation of the national health strategy impacts relevant disease outcomes?**

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| --- |
| **(a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed**  |
| **Comments:** |

**SECTION 2: FUNDING LANDSCAPE, ADDITIONALITY AND SUSTAINABILITY**

**2.1 Overall Funding Landscape for Upcoming Implementation Period**

* Does the Concept Note it highlight the programme areas that are adequately resourced and therefore not included in the funding request to the Global Fund?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note highlight programme areas that have significant financing gaps along with planned actions to address these gaps?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note describe how this funding request to the Global Fund will leverage the mobilization of additional donor resources?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Is the Financial Gap Analysis and Counterpart Financing Table (Table 1) complete and clear?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the information presented in the Financial Gap Analysis and Counterpart Financing Table demonstrate how the applicant meets the counterpart financing requirements as set forth in the Global Fund Eligibility and Counterpart Financing Policy (ECFP)?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note describe the government's commitment to increase investments in the disease program(s) over the next implementation period and the specific interventions /activities financed by these investments?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note include a brief assessment of the completeness and reliability of financial data reported, including any assumptions and caveats associated with the figures?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**SECTION 3: FUNDING REQUEST TO THE GLOBAL FUND**

**3.1 Programmatic Gap Analysis**

Has the Programmatic Gap table (Table 2) been completed for each of the priority areas or modules included in the application?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**3.2 Applicant Funding Request**

* Does the Concept Note identify the priority areas (or modules) included in this request and does it explain why they are selected?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note report government expenditure to key partners as per the ECFP policy?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note consider key risks and risk mitigation measures that are needed for effective program implementation and achievement of impact and outcomes?

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| --- |
| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note describe measures to ensure adequate coordination and integration of interventions and services among the three diseases and HSS components? This is particularly relevant at community and primary health care levels, and includes laboratory, training, supply management and health information systems.

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does it include a plan for sustainable capacity and system strengthening of key implementers, and include a funding request for management and/or technical assistance (TA) to achieve strengthened capacity and high quality services, which are insufficiently funded by other sources if applicable?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Is funding dedicated to strengthening M&E systems in the country? The Global Fund recommends grants to allocate 5-10 percent to M&E, including to strengthen national data systems of reporting (analytical capacity and reviews; strengthening HMIS; population based and risk group surveys; and birth and death statistics.)

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note consider quality improvement mechanisms that ensure that programs deliver high quality services?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**Request above-allocated funding**

* Is there a description of how the impact and outcomes have been estimated, including the sources of data used and any modelling or survey results, and refer to available evidence of effectiveness?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does it highlight the additional gains expected and analyze the additional expected coverage and/or plans for scale-up?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**3.3 Modular Template (Table 3)**

* Are the target population, geographic scope, implementation approach and other relevant information provided for each intervention in the modular template?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Are costs and budget assumptions included, in addition to data sources and key activities?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Are the modules, targets and interventions in the Modular Template consistent with the description in (3.2) Applicant funding request?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Are the indicators selected in the Modular Template appropriate and realistic?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**3.4 Focus on Key Populations and/or Highest Impact Interventions**

Does the Concept Note provide a description of how the total funding request to the Global Fund meets the relevant focus of proposal requirements, as outlined in the ECFP Focus of Application requirement?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**SECTION 4: IMPLEMENTATION ARRANGEMENTS AND RISK ASSESSMENT**

**4.1 Overview of Implementation Arrangements**

* Does the Concept Note describe the proposed implementation arrangements for this funding request?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* If a dual-track financing (PRs from both government and non-government sectors ) is not being proposed, does the Concept Note summarize the reason(s) for deciding not to implement such arrangement?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* If more than one PR has been identified, does the Concept Note describe how multiple PRs will coordinate with each other?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does it describe whether sub-recipients have been identified, and what type of sub-recipient management arrangements are likely to be put in place. If sub-recipients have not been identified, does it describe the time-bound process that will be used by the PR(s) to transparently select sub-recipients?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* If sub-recipients will be involved in implementation, does the Concept Note describe their role and identify any anticipated challenges, if applicable, and the intended strategies to address them?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note clearly describe how nominated PR(s) will coordinate with their respective sub-recipients?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note describe how representatives of women's organizations, people living with the three diseases and key populations will actively participate in the implementation of the funding request?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**4.2 Addressing Implementation Efficiencies**

* Does the Concept Note describe any possible areas of overlap, and how implementation will be done to ensure that the grants are complementary and there are no areas of duplication ? Common areas of overlap include human resources, staffing, training, monitoring and evaluation and supervision activities.

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**4.3 Minimum Standards for PR and Program Delivery**

* Does it describe how the nominated PR meets (or does not meet) the minimum standards, and describe potential gaps and/or areas that need to be strengthened and how these will be addressed (e.g. outsourcing of specific functions to a third party)?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**4.4 Current or Anticipated Risks to Program Delivery and PR(s) Performance**

* Does the Concept Note describe the various types of risks and plans to mitigate them?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* Does the Concept Note describe any technical assistance funding that has been requested to strengthen implementation capacity?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

* For programs already funded by the Global Fund and existing PR(s), if relevant, does it describe how any previous concerns identified either directly by the Global Fund or through national or other donor assessments, will be addressed?

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| (a) Not addressed, (b) Addressed but requiring major improvement, (c) Addressed and requiring minor improvement, (d) Adequately addressed  |
| Comments: |

**Overall impression**

* **Does the country context give an adequate picture of the status and dynamics of the epidemic as well as the capacity of the country to implement the programmes?**

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* **Are the areas identified for support in this request consistent with the epidemiological picture and gap analysis, and do they represent the best strategic choices for the country?**

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* **Are there any discrepancies between various sections of the proposal?**

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**Additional comments**

Please add any additional comments you may have on the proposal you have just reviewed.

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**Group discussion on proposal review**

Write here the general conclusions of your group on the reviewed proposal and the major recommendations you would like to give the country team.

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