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

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

**Cross-Cutting HSS concept note**

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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 to improve their colleagues’ proposals.

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 most critical health system gaps in a country-specific context, relevant for reducing cases and deaths from AIDS, Malaria, Tuberculosis and other MNCH conditions;
* Uses the best, current, evidence-based technical practices and approaches for strengthening health systems; 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.

Feasibility

* Identifies the necessary implementation capacity, including human resources and infrastructure, and proposes adequate mitigation efforts such as through the provision of technical assistance;
* Demonstrates engagement with the populations being served 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.
* Demonstrates value for money
* Delivers a technically sound and strategically focused response in a cost-efficient manner.

**Review checklist**

**SECTION 1: COUNTRY CONTEXT**

**1.1 National Health Sector**

1. Does the Concept Note refer to the current **national health strategy** and the relevant **national disease strategic plans** and portfolio analysis provided by the Global Fund?

Yes ( ) or No ( ).

1. Does the Concept Note provide a concise overview of the national health system in the country, covering both the public and private sectors at the national, sub-national and community levels?

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

1. Does the Concept Note describe key problems in the health system at national, sub-national and community levels that constrain the country from improving health outcomes for at least two of the three diseases?

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

1. Does the Concept Note highlight the community systems, human rights and gender issues that constrain health system functioning leading to poor coverage, access and use of 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:** |

* 1. **National Health Strategy**

1. Does the concept note describe the priority health goals in the national health strategy, as relevant to this specific request, and how well the disease specific plans are aligned to these goals?

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

1. Does it describe the performance of priority health system components, as relevant to the request, highlighting the strengths, weaknesses and measures needed to strengthen health system performance in a way that addresses the constraints described in section 1.1?

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

1. Does it describe the processes for reviewing and revising the national health strategy, including how the government and partners have addressed or are responding to health system weaknesses based on lessons learned?

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

1. If the current strategy has less than 18 months to run, does the concept note explain the process and timeline for the development of a new strategy and how key affected populations will be meaningfully engaged?

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

1. Does the concept note describe how the health sector review is linked to the disease specific reviews, and any efforts to align?

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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**

1. Does the concept note describe the priority health system strengthening areas or initiatives currently receiving financial support, and main funding sources (government and/or donor)?

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

1. Does it mention any areas that are adequately resourced (and are therefore not included in the 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:** |

1. Does it describe how the proposed Global Fund investment will encourage the commitment of additional resources to the specific HSS areas being requested?

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

1. Does it describe the health system strengthening areas that have significant funding gaps, and the 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:** |

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

3.1 **Programmatic Gap Analysis**

1. Has a programmatic gap analysis been conducted for the three to six priority HSS modules within the applicant’s 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:** |

1. For each of the priority HSS modules in the request, has the concept note described (i) the types of programs currently in place, (ii) the populations or groups involved where relevant, and (iii) the current funding sources and resource gaps?

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

1. If any of the HSS modules is quantifiable, are the coverage levels for the priority modules selected consistent with the coverage targets in section D of the modular template (Table 2)?

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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**

1. Has a description been provided for the applicant’s funding request with respect to the proposed investment of the allocation amount and the request above this amount?

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

1. Does the section give a clear description of the health system strengthening objective(s) of the request, how these are linked to the national health strategy priorities, and how they address the gaps and constraints described in sections 1, 2 and 3.1?

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

1. If the Global Fund is supporting existing programs that will continue into the requested funding period, does the section explain how they will be adapted to maximize impact on the objectives of the program?

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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**

1. Does the concept note explain the rationale for the selection and prioritization of modules and interventions?

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

1. Does it describe the expected impact and outcomes, referring to evidence of effectiveness of the interventions being proposed?

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

1. Does the concept note explain the additional gainsexpected from the funding requested above the allocation amount?

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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 Under-Served Populations and/or Highest Impact Interventions**

(Not applicable to low income countries)

1. Does the concept note describe whether the focus of the funding request meets the Global Fund’s Eligibility and Counterpart Financing Policy requirements? (i. If the applicant is a Lower-Middle Income Country, describe how the funding request focuses at least 50 percent of the budget on underserved populations and/or highest-impact interventions; ii. If the applicant is an Upper-Middle Income Country, describe how the funding request focuses 100 percent of the budget on underserved populations and/or highest-impact interventions)?

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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**

1. If applicable, does the concept note provide the reason why the proposed implementation arrangement does not reflect a dual-track financing arrangement (i.e. both government and non-government sector principal recipients)?

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

1. In case of more than one principal recipient, does the concept note describe how co-ordination will occur between PR(s)?

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

1. Does the concept note describe the type of sub-recipient management arrangements likely to be put into place and whether sub-recipients have been identified?

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

1. Does it describe how coordination will occur between each nominated principal recipient and its respective sub-recipients(s)?

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

1. Does it describe how representatives of women’s organizations, people living with the diseases and other key affected populations will actively participate in the implementation of 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:** |

**4.2 Ensuring Implementation Efficiencies**

*(Only in situations where the Country Coordinating Mechanism (CCM) is overseeing other Global Fund grants)*

1. Does the concept note describe how the funding requested links to existing Global Fund grants and to any other funding requests being submitted by the CCM?

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

1. Does it explain how the request complements (and does not duplicate) any human resources, training, monitoring and evaluation, and supervision or other Global Fund financed 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 Principal Recipient (PR) and Program Delivery**

1. For each nominated Principle Recipient (PR), does the concept note describe how they meet the minimum standards for PRs?

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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 Principal Recipient(s) Performance**

1. Does the concept note describe any major risks in the country, and in the implementation environment, that might negatively affect the performance of the proposed interventions including external risks, principal recipient and key implementers’ capacity, past and current performance issues?

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

1. Does it describe the proposed risk mitigation measures (including technical assistance) included in 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:** |

**CORE TABLES, CCM ELIGIBILITY AND ENDORSEMENT OF THE CONCEPT NOTE**

1. Does the concept note have the following?
   1. Table 1: Programmatic Gap Table(s)
   2. Table 2: Modular Template
   3. Table 3: List of Abbreviations and Annexes
   4. CCM Eligibility Requirements
   5. CCM Endorsement of Concept Note *(this necessary at submission time).*

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

**TABLE 1: PROGRAMMATIC GAP TABLE(S)**

Information should include:

* the current estimated population in need and the targets that have been set by the country to meet those needs
* country needs already covered by domestic and other resources, as well as Global Fund resources
* estimated needs remaining, and how the proposed investment of the allocation and the request for funding above the allocated amount are expected to meet (some of) those gaps
* total needs covered by all the resources available, and the remaining gap

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

**TABLE 2: MODULAR TEMPLATE**

Does Table 2

* list the program goals and impact indicators (including baselines and targets), and the program objectives and outcome indicators (including baselines and targets)
* set the coverage indicators, baselines and targets that will be used to measure progress for each module

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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 health system as well as the capacity of the country to implement the health systems strengthening interventions?**

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* **Are the areas identified for support in this request consistent with the national health sector strategic plan, the disease strategies 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?**
* **Is the concept note written in a logical manner that allows linked flow of thought?**

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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