

STRENGTHENING IMPLEMENTATION CAPACITY INFORMATION NOTE

Introduction

The Global Fund encourages applicants to include in their Proposal a funding request (hereafter: “TA Plan”) for technical assistance and/or management assistance aimed at strengthening implementation capacity and program quality. TA Plans need to be adapted to country contexts, disease burden, and country needs.

This information note provides guidance on the inclusion of TA Plans in Round 11 Proposals.

What is management and technical assistance?

For the purpose of the Round 11 Proposal Form, the following definitions are provided as guidance:

Management and Technical assistance may be defined as knowledge transfer or capacity building through the provision of staff, consultants, and equipment to improve programs, reinforce implementers’ management capacity or address specific management gaps. It may be provided regardless of source of program funding, or specifically target Global Fund grants, especially in order to improve the preparation and implementation of grants. In this context, technical assistance also includes longer term capacity building.

Development of TA plans should be linked to national programs and based on a consultative, multi-stakeholder country-led process as recommended by partners. It should also consider management and technical assistance that is already available from other funding sources to support the national program. The implementation of Global Fund financed-programs through a program approach is at the core of the Global Fund model.

For the purpose of the Round 11 Proposal Form, a Summary of a TA Plan is requested, which should include a high level estimated summary of:

- Assistance need
- Assistance activity
- Intended beneficiary (if known)
- Estimate timeline
- Total activity cost (detailed costing not requested in summary)

It is important to note that at the time of proposal submission, applicants are requested to provide a summary plan based on the amount requested, not a detailed, fully costed TA plan. If the applicant has already completed a fully costed TA plan, it may be submitted

with the proposal. The TRP will assess the funding request and summary information, provided in the table in part (a) of the question, within the overall context of the proposal strategy and budget.

Guide for common areas for TA

Requests for assistance generally fall under four broad categories and the type of assistance typically requested under each category in proposals. The table below provides an indicative and non-exhaustive list:

Capacity Building and Training	Monitoring, Evaluation and Research	Systems Strengthening	Management and Implementation
<ul style="list-style-type: none"> • CSO/NGO PR • Government PR • Private Sector PR • Sub Recipients <p>Capacity building and training are generally focused on topics listed in the other three categories.</p>	<ul style="list-style-type: none"> • Data collection and M&E Systems • Program evaluation • Surveys • Operational research • Epidemiological Surveillance 	<ul style="list-style-type: none"> • Community-based systems (general) • Health systems (general) • Procurement and Supply management systems (including laboratory quality and capacity) 	<ul style="list-style-type: none"> • Financial management • Program management including Sub-recipient management • Implementation scale up and support (general) • HIV • PMTCT • TB and HIV/TB • MDR TB • Malaria • Gender • Vulnerable Groups/MARPS • Advocacy and Communications

Issues for consideration

When including a Technical Assistance or Management Assistance Plan in their Proposal, implementers should consider:

- Whether these plans address key (prioritized) areas of need, ideally linked to program objectives and specific service delivery areas;
- CCM and partner involvement in the definition of these needs, in particular through country-level needs assessments;
- Assistance already available to support the program (at Principal Recipient and Sub-Recipient level) and ways to complement and coordinate it;
- The use of local capacity;
- The monitoring of budget and expenditures in relation to these Plans; and
- The evaluation of the quality of the plans.

How can Technical and Management Assistance be integrated into proposals?

→ *Summary of management and/or technical assistance plan*

As part of Round 11 submission process, applicants are requested to identify possible technical or management assistance needs, and develop a summary TA plan, which could include an indicative percentage between 3-5% of the total proposal budget. Applicants who choose not to submit a funding request for management and/or technical assistance, or who submit one which is outside the indicative percentage range, are requested to provide a narrative justification.

→ *Submission of fully costed TA plans*

If the proposal is recommended for funding by the TRP and approved by the Board, then the applicant will be requested to submit their TA plan during the grant negotiation phase or within one year of program start date. During the one-year period in which the applicant can submit their TA plan, the TA funding request notionally approved in the upper ceiling of the proposal will be subject to TRP clarifications as applicable, but will not be subject to efficiency gains and cannot be used for any other purposes. If the applicant does not present a TA plan within one year of program start date, the budgeted resources for TA will be deducted from the upper ceiling proposal budget and will not be made available for reallocation to other program activities.

→ *Working with partners*

The Global Fund recommends that management and technical assistance plans focus on utilizing local capacity whenever available and appropriate. If local capacity is not available, applicants may consider working with existing regional and global providers of management and technical support. At the regional level, a number of partners have established technical support mechanisms. Roll Back Malaria¹ (RBM) has sub-regional networks.² UNAIDS has Regional Support Teams (RSTs) both to assist countries and to coordinate country and regional level activities. The World Health Organization (WHO) also has regional offices, which provide a range of technical assistance to in-country processes and Ministries of Health, and regional knowledge hubs. UNAIDS has established Technical Support Facilities in many regions to provide a broad range of technical assistance, including capacity building. Outside the UN system, there are several civil society providers of technical support at the regional level, e.g. the Civil Society Action Team (CSAT) and the International HIV/AIDS Alliance, and several bilateral partners, e.g. the German Technical Cooperation Agency (GTZ BACKUP Initiative) and U.S. Government Technical Assistance (USG-TA). The U.S. government also funds the Grant Management Solutions (GMS) consortium which provides “on demand” short-term support to countries with specific implementation and governance challenges.

Further Reading / Resources

The information below provides an indicative and non-exhaustive list.

- For more information provided by AIDSPAN, an index of guides including AIDSPAN Guide to Round 11 Applications and AIDSPAN Guide to Obtaining Technical Assistance, please visit: <http://www.aidspace.org/index.php?page=guides>
- For more information on Civil Society Action Team (CSAT) on supporting civil society engagement in Global Fund grants, please visit: <http://www.csactionteam.org/>

¹ Roll Back Malaria constituencies include: malaria endemic countries; multilateral and development partners; OECD donor countries; Foundations; NGOs; private sector; research and academia.

² Central Africa Regional Network (CARN); East Africa Regional Network (EARN); Southern Africa Regional Network (SARN) West Africa Regional Network (WARN)

- For more information on GTZ German BACKUP Initiative, please visit: <http://www.gtz.de/en/themen/soziale-entwicklung/hiv-aids/4356.htm>
- For more information on International HIV/AIDS Alliance Regional Technical Support Hubs, please visit: <http://www.aidsalliance.org/Pagedetails.aspx?id=265>
- For more information on the Roll Back Malaria Partnership Tool Box for country needs assessments, please visit: <http://www.rollbackmalaria.org/toolbox/index.html>
- For more information on TB Technical Assistance Mechanism (TBTEAM), please visit: <http://www.stoptb.org/countries/tbteam/>
- For more information on the UNAIDS Guidance note on intensification of technical support at the country level, please visit: http://data.unaids.org/pub/Report/2010/jc1698_guidance_note_en.pdf
- For more information on UN Joint Team support for strengthening the national AIDS response through working with the Global Fund to Fight AIDS, Tuberculosis and Malaria: http://data.unaids.org/pub/Manual/2010/jc1795_strengtheningnationalresopnses_en.pdf
- For more information on the WHO and UNAIDS Resource Kit for Global Fund HIV proposals, please visit (Round 9): <http://www.who.int/hiv/pub/toolkits/GF-Resourcekit/en/index.html>