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PRACTICAL EXPERIENCE FROM PATH**

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# Financial Sustainability Diagnostic Tool Immunization Program

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## **Financial Sustainability Diagnostic Tool (FSDT)**

### **Introduction**

Countries receiving funding from GAVI through the Vaccine Fund are required to prepare financial sustainability plans at the end of the second year. The Financial Sustainability Diagnostic Tool (FSDT) is designed to facilitate the process of preparing Financial Sustainability Plans.

Countries could use the FSDT to diagnose their current situation in the areas defined in the Financial Sustainability Plan guidelines, and thus guide the development, implementation and monitoring of the Financial Sustainability Plan.

The FSDT is a qualitative tool, based on possible key benchmarks for financial sustainability of immunization programmes. From the results of the assessment, countries should be able to: identify the strengths of the current financing of immunization programmes, highlight areas for further improvement, and identify what type of capacity building is required to prepare, implement and monitor Financial Sustainability Plans.

### **FSDT Objectives**

This tool is intended to:

- Assess the current level of financial sustainability of countries to monitor progress toward financial sustainability and better management of national immunization programmes within health sector development, using simple qualitative indicators
- Assess the country capacity to formulate and implement a Financial Sustainability Plan using the framework and guidelines provided by the guidelines for Financial Sustainability Plan preparation developed by the GAVI FTF
- Help identify the strengths of countries current immunization programmes and highlight areas for further improvement in achieving financial sustainability, prior to submission of Financial Sustainability Plans
- Provide guidance and information on technical assistance and training needed to support and develop current immunization financing systems, structures, staffing and strategies

### **Methodology**

The FSDT is linked to the Financial Sustainability Plan guidelines and the overall objectives of the key components.

The tool should be used as best suited to country needs. For many countries, this might mean a jointly conducted diagnosis at the outset of the financial sustainability plan development process with external experts, as well as the internal core expert team. Other countries might opt to use the tool as a self-assessment tool.

The FSDT is formulated as a questionnaire and includes guiding criteria and possible sources of information. All questions lead to straight Yes or No answers. Following the completion of the FSDT, conclusions and recommendations should be drawn, summarizing the countries strengths, the areas susceptible to improvement and indicating possible needs for capacity building and/or technical assistance where required.

The FSDT would be completed through a series of interviews with all relevant stakeholders both at national, sub-national and operational level. These stakeholders include, amongst others, Ministry of Health (national immunization staff, planning department within the Ministry of Health), Ministry of Finance (departments responsible for planning, budgeting, expense control, HIPC/PRSP,...), Ministry of Planning, ICC members and other partners. The answers should be validated where possible. Sources of validation could be the national budget, minutes of meetings of the ICC, public expenditure reviews, immunization costing and financing studies.

A maximum of one week should be estimated to complete the FSDT, including the drawing up of conclusions, recommendations and a work plan for developing the Financial Sustainability plan. Following the initial assessment and completion of the Financial Sustainability Plan, country financial sustainability planning teams are strongly encouraged to use the FSDT for periodic self assessment updates on progress toward financial sustainability.

## **Acronyms**

<b>EPI</b>	Expanded Programme on Immunization
<b>FIC</b>	Fully Immunized Child
<b>GDP</b>	Gross Domestic Product
<b>Hep B</b>	Hepatitis B Vaccine
<b>Hib</b>	Haemophilus Influenzae Type B Vaccine
<b>HIPC II/PRSP</b>	Heavily Indebted Poor Countries II / Poverty Reduction Strategy Paper
<b>HIV/ AIDS</b>	Human Immunodeficiency Virus / Auto-Immune Deficiency Syndrome
<b>ICC</b>	Interagency Coordinating Committee
<b>MTEF</b>	Mid Term Expenditure Framework
<b>MoF</b>	Ministry of Finance
<b>MoH</b>	Ministry of Health
<b>NID's</b>	National Immunization Days
<b>NIP</b>	National Immunization Programme
<b>PER</b>	Public Expenditure Review
<b>PETS</b>	Public Expenditure Tracking System
<b>SWAps</b>	Sector Wide Approach
<b>TB</b>	Tuberculosis
<b>VVM</b>	Vaccine Vial Monitor

## Financial Sustainability Diagnostic Tool (FSDT)

**Country:**

**Date of Assessment:**

**Assessment Performed By:**

**Points of Contact:**

1.00	<b>IMPACT OF COUNTRY AND HEALTH SYSTEM CONTEXT ON IMMUNIZATION PROGRAMME COSTS, FINANCING AND FINANCIAL MANAGEMENT:</b>			
<b>What are the current conditions and/or planned changes in the public/health sector organization and financing that are likely affect the immunization programme's resource requirements, availability or use?</b>				
<b>Contributors to this section should include: Ministry of Finance, Ministry of Planning, Ministry of Health and Leading Donor Agencies</b>				
Questions	Answers	Guiding Criteria	Remarks	
1.01	Is immunization coverage a major development indicator within the current health system?  <input type="checkbox"/> Yes <input type="checkbox"/> No			
1.02	Has a multi year plan been developed for the health sector?  <input type="checkbox"/> Yes <input type="checkbox"/> No			
1.03	Does the country qualify for debt relief ?  <input type="checkbox"/> Yes <input type="checkbox"/> No			
1.04	Has a Mid Term Expenditure Framework (MTEF) for the public sector been developed ?  <input type="checkbox"/> Yes <input type="checkbox"/> No			
1.05	Is the MTEF integrated into the national planning and budgeting cycle?  <input type="checkbox"/> Yes <input type="checkbox"/> No			

1.06	Does the MTEF include immunization performance indicators?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.07	Has a Poverty Strategy Reduction Paper been developed and immunization included as a key development indicator?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.08	Does the government budget contain vaccine and/or other immunization line items?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.09	Have potential health sector programme priorities that could impact funds for the NIP been foreseen in the budget allocation process?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- HIV/AIDS</li> <li>- TB</li> <li>- Malaria</li> <li>- Curative Healthcare</li> <li>- Other</li> </ul>	
1.10	Has the potential impact of public/health system organization on the funding of the NIP, been taken into account by the national immunization manager in budgeting and funding of the programme?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Decentralization</li> <li>- Integration</li> <li>- Contracting with the Private sector</li> <li>- Others</li> </ul>	
1.11	Are there any planned public/health reforms under way in how priorities are set within national or financing partner budgets that would have important implications for the immunization programme?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- SWAps</li> <li>- Public/private partnerships</li> <li>- Other</li> </ul>	
1.12	Are there any planned changes in the financing strategy or financing mechanisms to fund the health system that are likely to have a positive impact on the funding of the NIP?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Social Insurance</li> <li>- Private Insurance</li> <li>- Community Financing</li> <li>- Payroll Taxes</li> <li>- Other</li> </ul>	

1.13	Are there any macroeconomic issues facing the country that are expected to positively affect the future funding of the NIP?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Economic Growth</li> <li>- Debt Relief</li> <li>- Inflation</li> <li>- Other</li> </ul>	
1.14	Is there an adequate remuneration system in place to ensure motivation of health staff so that salary, per diem and travel allowances are paid when due*?	<input type="checkbox"/> Yes <input type="checkbox"/> No	* When due : depending on contractual agreements e.g. weekly, monthly	
1.15	Have the full-time national immunization manager and full-time national cold store manager been in place for at least a year?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.16	Are accounting policies and account code classifications published and applied?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.17	Is the national budget approved within 3 months of the start of the financial year?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.18	Is the requested budget consistent with the allocated budget to a level of at least 75%?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.18	Is immunization expenditure tracking carried out within 3 months after close of the quarter?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.19	Are all donor funds released within 3 months after request?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.20	Are government funds released within 3 months after request?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.21	Are requested funds available at health delivery level within 3 months of due date?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

<b>2.00 PROGRAM CHARACTERISTICS, OBJECTIVES AND STRATEGIES:</b>				
<b>What are the program objectives that form the basis for the financing requirements of the immunization programme over the coming 5-7 years?</b>				
<b>Contributors to this section should include: Ministry of Health National Immunization Programme</b>				
	<b>Questions</b>	<b>Answers</b>	<b>Guiding Criteria</b>	<b>Remarks</b>
2.01	Are there specific plans to introduce new antigens to the NIP over the next 5-7 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Hep B</li> <li>- Hib</li> <li>- Yellow Fever</li> <li>- Others</li> </ul>	
2.02	Are there specific plans to introduce different formulations of standard antigens over the next 5-7 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Quadravalent</li> <li>- Pentavalent</li> <li>- Others</li> </ul>	
2.03	Are there any planned programme improvements to the NIP over the next 5-7 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Cold chain improvements and expansion</li> <li>- Reducing wastage</li> <li>- Expansion of transport fleet</li> <li>- Additional human resources</li> <li>- Information systems</li> <li>- Training of programme staff</li> <li>- Using auto destruct or Uniject syringes</li> </ul>	
2.04	Are there any specific plans to increase immunization coverage in hard to reach areas and/or specific population sub-groups?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Donors</li> <li>- Private Sector</li> </ul>	

2.05	Are there any pending changes in the range of development partners that are likely to increase financial participation?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>-</li> <li>- Technical Cooperation Agencies</li> <li>- Bilateral Agencies</li> <li>- Multilateral Agencies</li> <li>- Others</li> </ul>	
2.06	Are all planned changes to the NIP, their budget implications and potential funding sources approved by national authorities and partners prior to inclusion in the multi year plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

<b>3.00</b>	<b>Pre-Vaccine Fund and Vaccine Fund Year Programme Costs and Financing: Can the Country provide a detailed picture of programme specific current funding requirements for the immunization programme?</b>			
<b>Contributors to this section should include: Ministry of Health National Immunization Programme, Ministry of Health Planning Department, Ministry of Finance</b>				
	<b>Questions</b>	<b>Answers</b>	<b>Guiding Criteria</b>	<b>Remarks</b>
3.01	Has a costing and/or financing study of the national immunization programme been conducted?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Please specify year conducted and by whom the study was conducted</li> </ul>	
3.02	Are the costing and budgeting requirements of all immunization strategies included in the current NIP?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Routine immunization</li> <li>- NID's</li> <li>- Mop Ups</li> </ul>	
3.03	Does the current immunization budget include a recurrent (operational) cost breakdown?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Vaccines</li> <li>- Injection Supplies</li> <li>- Personnel</li> <li>- Cold Chain Maintenance</li> <li>- Transport</li> <li>- Social Mobilization</li> <li>- Short-term Training</li> <li>- Surveillance/Monitoring</li> </ul>	

3.0	Does the current immunization budget include a capital cost breakdown?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Transport</li> <li>- Cold Chain Equipment</li> <li>- Building Space</li> <li>- Long Term Training</li> <li>- Others</li> </ul>	
3.05	Does the current immunization budget include a cost breakdown of immunization health staff?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Recruitment Costs</li> <li>- Salaries</li> <li>- Perdiems</li> <li>- Incentives</li> </ul>	
3.06	Is the total current funding for the NIP known by funding source?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- National Government</li> <li>- Sub-national Government</li> <li>- Lenders</li> <li>- Donors</li> <li>- Others</li> </ul>	
3.07	Is there an annual review of the immunization programme funding and expenditures by those responsible for the planning, budgeting and resource mobilization process within the health sector?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- MoH</li> <li>- MoF</li> <li>- PETS</li> <li>- ICC</li> <li>- Others</li> </ul>	
3.08	Is the immunization budget formulated using recent costing data and/or formulas?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Transport operating Costs</li> <li>- Vaccines</li> <li>- Injection supplies</li> </ul>	

<b>4.00 FUTURE RESOURCE REQUIREMENTS AND PROGRAMME FINANCING/Gap Analysis:</b>				
<b>Given resource requirements and funding probabilities, what is the likelihood of the funding gap being filled?</b>				
<b>Contributors to this section should include: Ministry of Health National Immunization Programme, Ministry of Health Planning Department, Ministry of Finance, ICC partners</b>				
	<b>Questions</b>	<b>Answers</b>	<b>Guiding Criteria</b>	<b>Remarks</b>
4.01	Have costing and budgeting calculations been made for improving immunization strategies of the NIP over the next 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	- Routine immunization - NID's - Mop Ups	
4.02	Has a 5 year immunization budget been developed including a recurrent (operational) cost breakdown?	<input type="checkbox"/> Yes <input type="checkbox"/> No	- Vaccines - Injection Supplies - Personnel - Cold Chain Maintenance - Transport - Social Mobilization - Short-term Training - Surveillance and Monitoring	
4.03	Has a breakdown of the immunization programme capital cost requirements been calculated for the next 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	- Transport - Cold Chain Equipment - Building Space - Long Term Training - Others	
4.04	Have costing and budgeting calculations been made for improving the efficiency of the NIP over the next 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	- Cold chain improvements and expansion - Reducing wastage - Using auto destruct or Uniject syringes - Others	

4.05	Have costing and budgeting calculations been made for adding new antigens to the NIP over the next 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Hep B</li> <li>- Hib</li> <li>- Yellow Fever</li> <li>- Others</li> </ul>	
4.06	Have costing and budgeting estimates been made for increasing immunization coverage of population groups or geographic areas that are below the national average?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Outreach Costs</li> <li>- Staff Incentives</li> <li>- Perdiems</li> <li>- Other</li> </ul>	
4.07	Have costing and budgeting estimates for health staff been made in line with increasing coverage targets over the next 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Recruitment Costs</li> <li>- Salaries</li> <li>- Perdiems</li> <li>- Incentives</li> </ul>	
4.08	Is the total funding requirement for the immunization programme by funding source known for the next 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- National Government</li> <li>- Sub-national Government</li> <li>- Lenders</li> <li>- Donors</li> <li>- Others</li> </ul>	
4.09	Are government funds for the immunization programme predictable for up to 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.10	Are donor funds for the immunization programme predictable for up to 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.11	Is there an estimate of the potential funding gap for immunization for the next 5 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

4.12	Is there any indication of changes in funding priorities of national or external funding partners that are likely to have positive affect on the funding of the immunization programme?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.13	Are new sources and mechanisms of internal and external funding being considered for future funding of the immunization programme?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- HIPC II/PRSP</li> <li>- New donors</li> <li>- Vaccine Independence Initiative</li> <li>- Revolving funds</li> <li>- Health insurance</li> <li>- Others</li> </ul>	

<b>5.00</b>	<b>SUSTAINABLE FINANCING STRATEGY, ACTIONS AND INDICATORS:</b> <b>What are the main issues and problems impeding financial sustainability, actions that will be taken to address the issues and problems, and the indicators and targets that will be used to monitor and evaluate the actions?</b>			
<b>Contributors to this section should include: Ministry of Health National Immunization Programme, Ministry of Health Planning Department, Ministry of Finance, ICC partners</b>				
	<b>Questions</b>	<b>Answers</b>	<b>Guiding Criteria</b>	<b>Remarks</b>
5.01	Has a formal plan been developed and endorsed by the MoF detailing an increase in the government's share of funding for the NIP?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
5.02	Are there contingency plans or immunization reserve mechanisms in place to deal with possible resource constraints?	<input type="checkbox"/> Yes <input type="checkbox"/> No	- Prioritization of activities - Limited introduction of new antigens - Others	
5.03	Has a long-term (5-10 years) capital financing plan including all funding sources for the NIP been developed and endorsed by the ICC?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
5.04	Has a formal plan for the purchase of vaccines and AD syringes been developed and endorsed by the ICC for the period of post Vaccine Fund support?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
5.05	Has a formal plan been developed and endorsed by the ICC addressing possible funding short falls as a result of completion of the polio eradication programme*?	<input type="checkbox"/> Yes <input type="checkbox"/> No	* Polio funds are often used to simultaneously strengthen the routine programme	
5.06	Has multi year plan for resource mobilization been developed and endorsed by the ICC?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

5.07	Does the multi year plan include cost saving measures to optimize the use of vaccines and immunization-related supplies?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Reducing wastage</li> <li>- Using VVM</li> <li>- Rationalizing sessions</li> <li>- Stock control</li> <li>- Preventative Maintenance</li> <li>- Other</li> </ul>	
5.08	Does the multi year plan include indicators to measure the efficient use of resources?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- Cost per FIC</li> <li>- Others</li> </ul>	
5.09	Were at least 75% of the recommendations of the last national review of the NIP on efficiency* and financing implemented?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
5.10	Are there selected indicators to monitor progress made in terms of sustainable financing?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> <li>- % increase in national expenditure on NIP as a share of GDP after adjustment for debt service over the next 5 years</li> <li>- programme specific costs</li> <li>- Depreciation schedule for replacing capital items</li> <li>- % increase in secured funding for the NIP</li> <li>- % decrease in the NIP funding GAP</li> <li>- - Others</li> </ul>	
5.11	Are the baseline values of selected indicators available for the most recent financial year ?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

<b>6.00 STAKEHOLDER COMMENTS:</b>				
<b>Is the Financial Sustainability Plan consistent with the ICC members' perspectives?</b>				
<b>Contributors to this section should include: Ministry of Health - Finance and/or Planning Department, Ministry of Finance, other ICC Partners</b>				
	<b>Questions</b>	<b>Answers</b>	<b>Guiding Criteria</b>	<b>Remarks</b>
6.01	Are the major stakeholders of the NIP represented in the ICC?	<input type="checkbox"/> Yes <input type="checkbox"/> No	- MoF, MoP, MoH - Donors - Development banks - International Agencies - Others	
6.02	Has the current immunization work plan been approved by the ICC?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
6.03	Is the ICC operational, with at least 2 meetings a year for which meetings notes are available and Terms of Reference exist?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
6.04	Are the roles and responsibilities of the ICC and individual members, in the planned implementation of the Financial Sustainability Plan, appropriate and well defined?	<input type="checkbox"/> Yes <input type="checkbox"/> No	- Monitor NIP progress - Approve annual work Plans - Approve multi year plan - Advocacy for funding - Addressing financial Sustainability of the NIP - Other	
6.05	Is the tracking of resources for the NIP organized by both ICC members, as well as staff from the MoH and MoF?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
6.06	Are the funding priorities of ICC member institutions consistent with the Financial Sustainability Plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
6.07	Is there a comprehensive list of actions to be taken by the government and by ICC members to move toward the achievement of the FS?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
6.08	Are diagnoses of financial sustainability issues and the strategies to address constraints and opportunities in the Financial Sustainability Plan considered by the ICC to be appropriate and realistic?	<input type="checkbox"/> Yes <input type="checkbox"/> No		