CCM Eligibility and Performance Assessment

for CCM ERs 3 to 6
CCM Eligibility in the new funding model

CCMs must comply with the six Eligibility Requirements to be eligible for funding.

Eligibility Requirements embody the good governance practices that all CCMs must meet.

In the new funding model, the process for reviewing Eligibility Requirements has changed:

- **Requirements 1 and 2** are assessed at the time of Concept Note (CN) submission.

- **Requirements 3 to 6** are assessed annually through the CCM Eligibility and Performance Assessment (EPA).
The Six CCM Eligibility Requirements

1. Transparent and inclusive concept note development process

2. Open and transparent PR selection process

3. Overseeing program implementation and having an oversight plan

4. Document the representation of affected communities

5. Ensure representation of non-governmental members through transparent and documented processes

6. Develop, publish and follow a policy to manage conflict of interest that applies to all CCM members, across all CCM functions

1 and 2: Assessed at the time of Concept Note (CN) Submission

3 to 6: Monitored on an ongoing basis

⚠️ Changes under the new funding model
CCM Eligibility and Performance Assessment (EPA)

(for Eligibility Requirements 3-6)

The CCM Eligibility and Performance Assessment (EPA) evaluates CCM compliance with CCM Eligibility Requirements 3 to 6 (and Minimum Standards, as of January 1 2015) to determine the level of functionality of a CCM, and ultimately aims to improve overall CCM performance.

The EPA is a self-assessment completed by the CCM (that must be facilitated by a TA provider) via an online form that measures performance against indicators related to both the Eligibility Requirements and Minimum Standards.

**Timing:** The EPA should be completed prior to CN submission so as to allow time for necessary corrective actions.
New: Minimum Standards

Minimum Standards represent minimum criteria considered vital for effective CCM performance based on accumulated experience. As of January 1, 2015, compliance with them will also be a condition in order to be eligible for funding.

Before January 1 2015

Standards

Eligibility requirements (ERs)

Recommendations

As of January 1, 2015

Standards

Minimum Standards

Eligibility requirements (ERs)

Recommendations

= Compliance with CCM Eligibility Requirements (and Minimum Standards as of January 1 2015)
## CCM Eligibility and Performance Assessment (EPA) Matrix

<table>
<thead>
<tr>
<th>Principles</th>
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<th>Requirements/ Minimum Standards</th>
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<tbody>
<tr>
<td><strong>Requirement 3:</strong> Ensuring success of the program implementation</td>
<td>The CCM has an oversight plan which details specific activities, individual and/or constituency responsibilities, timeline and oversight budget as part of CCM budget.</td>
<td>Oversight plan; CCM Funding agreement</td>
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<tr>
<td><strong>ER A</strong></td>
<td>The CCM has an oversight plan which details specific activities, individual and/or constituency responsibilities, timeline and oversight budget as part of CCM budget.</td>
<td><strong>ER B</strong></td>
<td>The CCM has established a permanent oversight body with adequate set of skills and expertise to ensure periodic oversight.</td>
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<td>Oversight body terms of reference (TORs); names and CVs of OB members</td>
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<td><strong>ER C</strong></td>
<td>The oversight body (OB) or CCM seeks feedback from non-members of the CCM and from people living with and/or affected by the diseases</td>
<td><strong>ER D</strong></td>
<td>The oversight body conducts oversight activities to discuss challenges with each PR and identifies problems, potential reprogramming and corresponding reallocation of funds between program activities, if necessary.</td>
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<td>Meeting minutes; email communications; consultation reports; oversight visit reports; and CCM website</td>
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<tr>
<td><strong>ER E</strong></td>
<td>The CCM takes decisions and corrective action whenever problems and challenges are identified</td>
<td><strong>MS F</strong></td>
<td>The CCM shares oversight results with the Global Fund Secretariat and in-country stakeholders quarterly through the process defined in its Oversight Plan.</td>
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<tr>
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<td>Oversight tool; action plan to correct gaps; OB meetings minutes</td>
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<tr>
<td><strong>MS G</strong></td>
<td>The CCM shares oversight results with the Global Fund Secretariat and in-country stakeholders quarterly through the process defined in its Oversight Plan.</td>
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<td><strong>MS H</strong></td>
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<td><strong>MS I</strong></td>
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## CCM Eligibility and Performance Assessment (EPA) Matrix (contd.)

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<td>Requirement 4: Ensuring an inclusive and meaningful representation in CCM composition</td>
<td>The Global Fund requires all CCMs to show evidence of membership of people that are both living with and representing people living with HIV, and of people affected* by and representing people affected by Tuberculosis ** and Malaria*** as well as people from and representing Key Affected Populations****, based on epidemiological as well as human rights and gender considerations.</td>
<td>The CCM ensures adequate representation of key affected populations(^1) taking into account the socio-epidemiology of the three diseases.</td>
<td>CCM Membership list CCM meeting minutes</td>
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<td></td>
<td>* Either people who have lived with these diseases in the past or who come from communities where the diseases are endemic ** In countries where Tuberculosis is a public health problem or funding is requested or has previously been approved for Tuberculosis. *** In countries where there is on-going evidence of Malaria transmission or funding is requested or has previously been approved for Malaria **** The Secretariat may waive the requirement of representation of Key Affected Populations as it deems appropriate to protect individuals</td>
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<td>The CCM ensures adequate representation of PLWD, taking into account the socio-epidemiology of the three diseases.</td>
<td>CCM Membership list</td>
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<td></td>
<td>The CCM has balanced representation of men and women (the Global Fund Gender Equality Strategy clarifies how women and girls are key affected groups in the context of the 3 diseases).</td>
<td>CCM Membership list</td>
<td></td>
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</table>
New: Update to ER 4 - Presence of those most impacted by HIV, TB and Malaria required on the CCM

1. Specifically including Key Populations as a CCM requirement
   - Taking into account the socio-epidemiological context.
   - Direct or indirect representation of Key Populations on CCMs will be possible, especially in countries where some Key Populations are marginalized or criminalized.

2. Increasing representation
   - Of persons that are both living with and representing people living with HIV on CCMs.

3. Linking the need for representatives
   - For TB and malaria in contexts: where those diseases are a public health issue (regardless of whether Global Fund funding has been requested or not).
   - e.g. in cases where a CCM does not have a TB representative, although TB is a significant issue in the country.
## CCM Eligibility and Performance Assessment (EPA) Matrix (contd.)

### Principles

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<td><strong>Requirement 5:</strong> Ensuring an inclusive and meaningful representation in CCM composition</td>
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<td><strong>ER J</strong></td>
<td>All non-governmental constituencies represented on the CCM selected their representative(s) on their own, through a transparent and documented process.</td>
<td>Civil society sector meeting minutes, member endorsement letters from civil society constituencies</td>
<td></td>
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<tr>
<td><strong>MS K</strong></td>
<td>CCM membership comprises a minimum of 40% representation from national civil society sectors.</td>
<td>CCM Membership list</td>
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<td><strong>MS L</strong></td>
<td>CCM has clearly defined processes of soliciting inputs from and providing feedback to their constituencies that selected them to represent their interests in the CCM.</td>
<td>Work plans for civil society sector representatives; meeting minutes of civil society constituencies; Evidence of regular exchange of information with constituency</td>
<td></td>
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<tr>
<td><strong>MS M</strong></td>
<td>The CCM elects its Chair and Vice-Chair(s) from different sectors (government, national civil society and development partners) and also follows good governance principles of periodic change and rotation of leadership according to CCM by-laws.</td>
<td>CCM membership list; CCM by-laws or governance manual</td>
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## CCM Eligibility and Performance Assessment (EPA) Matrix (contd.)

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<td>Ensuring appropriate management of conflict of interest</td>
<td>Requirement 6: To ensure adequate management of conflict of interest, the Global Fund requires all CCMs to: i. Develop and publish a policy to manage conflict of interest that applies to all CCM members, across all CCM functions. The policy must state that CCM members will periodically declare conflicts of interest affecting themselves or other CCM members. The policy must state and CCMs must document that members will not take part in decisions where there is an obvious conflict of interest, including decisions related to oversight, and selection or financing PRs or SRs. ii. Apply their conflict of interest policy throughout the life of Global Fund grants, and present documented evidence of its application to the Global Fund on request.</td>
<td>ER N The CCM has a conflict of interest (Col) policy with rules and procedures to avoid or mitigate Col, and CCM members sign a Col declaration form.</td>
<td>CCM conflict of interest policy</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ER O CCM meeting minutes demonstrate that CCMs follow the procedures to prevent, manage and mitigate Col.</td>
<td>CCM Col declaration forms; Information on number of CCM members who have signed Col declaration forms.</td>
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<tr>
<td></td>
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<td>MS P To guarantee effective decision making, the CCM ensures that the number of members in the CCM with Col does not exceed 1 person per constituency (excluding Ex-Officio Members with no voting rights).</td>
<td>CCM Col declaration forms; Information on number of CCM members with Col; CCM meetings minutes</td>
</tr>
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Process: CCM Eligibility and Performance Assessment (EPA)

**I Preparations**
1. GF (CT) communicate to CCM regarding request for EPA TA
2. CCM selects TA provider
3. TA provider facilitates the CCM EPA

**II Diagnostic**
4. TA provider conducts interviews
5. TA Provider presents results of the complete diagnostic to CCM
6. TA and CCM decide if an improvement plan will be needed

**III Improvement Plan Design and Implementation**
7. TA provider and CCM design an action plan to address gaps and share with GF
8. GF advises on improvement plan reasonableness and facilitates support if needed
9. CCM fixes outstanding issues before the Concept Note submission
10. GF checks the improvement plan progress when a Concept Note is submitted and determines CCM compliance

**Monitoring Improvement Plan Implementation**

*If the ER are met, GF grants the CCM Clearance for a year*
CCM Eligibility and Performance Assessment (EPA) Pillars

**Pillar 1**
CCM EPA Online Form (Desk review)
- CCM self-evaluates (i.e., sets compliance ratings)
- TA provider facilitates (i.e., provides CCM with info as to how to interpret indicators)

**Pillar 2**
Stakeholder's Interview (getting the dynamics)
- CCM facilitates process (i.e., help schedule interviews)
- TA provider conducts interviews

**Pillar 3**
Developing Improvement Plan
- CCM co-authors the plan with TA provider
- TA provider co-authors plan with CCM

**Diagnostic**
- In the Driver’s Seat: CCM
- In the Driver’s Seat: TA Provider

**Improvement Plan**
- In the Driver’s Seat: Shared -> 50/50 TA Provider/CCM
Resources

CCM EPA Guidance Note for CCMs:  

CCM EPA Matrix (with CCM Performance Indicators):  

Generic TORs for EPA TA providers:  

Introduction to the CCM and the Global Fund:  
http://www.youtube.com/watch?feature=player_embedded&v=qOPU9f6MM0E


ELearning module on CCM Eligibility Requirements (English):  
http://www.theglobalfund.org/shared/elearning/nfm/NFM-EligibilityRequirementsForCCMs/presentation.html