

Updated February 2017

## **GUIDANCE ON CCM ELIGIBILITY REQUIREMENTS 1 and 2**

- 1. CCM eligibility requirements 1 and 2:** There are two eligibility requirements for CCMs and RCMs that are assessed and confirmed by the Secretariat as a precondition to reviewing funding requests. These are eligibility requirement 1 “Transparent and inclusive funding request development process” and 2 “Transparent and documented PR selection process”. Non-CCM applicants need to demonstrate compliance with the overall principle of inclusiveness, as appropriate, given the country’s context.
- 2. Differentiated screening of CCM eligibility requirements 1 and 2.** In line with the Global Fund’s principle of differentiation, we have introduced differentiated levels of screening for CCM eligibility requirements 1 and 2. The most recent Eligibility and Performance Assessment (EPA) result as well as contextual information from the Community, Rights and Gender (CRG) department were used to establish the screening classification for each applicant on Requirement 1. For Requirement 2, the differentiated screening will depend on three possible scenarios, which are described in detail below.

This differentiated review of CCM eligibility requirements 1 and 2 are meant to i) incentivize overall performance and adherence to the CCM eligibility requirements and ii) focus screening efforts on country components where the level of risk of non-compliance is highest. Upon receiving a funding request, the Access to Funding (A2F) Department, with support from the Country Teams, CCM Hub and CRG Department, (with respect to Eligibility Requirement 1), conducts a screening for CCM eligibility requirement 1 and CCM eligibility requirement 2.

**2.1. Eligibility Requirement 1 - Transparent and inclusive funding request development process.**

The Global Fund requires applicants to:

1. Coordinate the development of all funding requests through transparent and documented processes that engage a broad range of stakeholders - including CCM members and non-members – in the solicitation and the review of activities to be included in the application.
2. Clearly document efforts to engage key affected populations in the development of funding requests.

### **Differentiated screening as notified in the Allocation Letter:**

- a. **Standard screening:** The applicant is required to submit [the CCM Eligibility Narrative](#) and key supporting documents as per its Annex 1 (at the end of this document);
- b. **Light screening:** The applicant is required to submit the [CCM Eligibility Narrative](#) and the [Statement of Compliance](#) with CCM eligibility requirement 1. Supporting documentation should be kept by the applicant but not submitted to the Secretariat unless requested.
- c. **Light for Program Continuation:** The CCM is required to provide the completed and signed Program Continuation Request, including its Annex 1 (Inclusiveness of Engagement with Key Populations).<sup>1</sup> Supporting

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<sup>1</sup> Applicants invited to submit a program continuation request received their application package together with their allocation letter from their Fund Portfolio Manager. This package includes Annex 1 (Inclusiveness of Engagement with Key Populations).

documentation should be kept by the applicant but not submitted to the Secretariat unless requested.

**2.2. Eligibility Requirement 2 - Transparent and documented PR selection process**  
The Global Fund requires applicants to:

1. Nominate one or more PR(s) at the time of submission of their application for funding<sup>2</sup>.
2. Document a transparent process for the nomination of all new and continuing PRs based on clearly defined and objective criteria.
3. Document the management of any potential conflicts of interest that may affect the PR nomination process.

**Differentiated Screening for requirement 2, will depend on the following scenarios:**

- a. **Selection of new PR or existing low-performing PR:** If the selected PR is new or the CCM has selected an existing low performing PR (B2 or C as per the latest available grant performance rating), the CCM is required to submit the [CCM Eligibility Narrative](#) and key supporting documents as per Annex 1 (at the end of this document). In the event the re-selected PR has rating B2 or lower, this will be flagged to the Risk team to allow for mitigation measures where relevant.
- b. **Selection of well-performing PR:** if the selected PR is continuing and well performing, the CCM is required to only submit the [CCM Eligibility Narrative](#) and the [Statement of Compliance](#) with CCM eligibility requirement 2. Supporting documentation should be kept by the applicant but not submitted to the Secretariat unless requested.
- c. **Light for Program Continuation:** The CCM is required to provide the completed and signed Program Continuation Request Cover Letter. The CCM must identify whether it has decided to:
  - i. Reselect a well-performing PR,
  - ii. Select a new PR, or
  - iii. Reselect an existing low-performing PR (B2 or C as per the latest available grant performance rating)in **question 5** of the 'Applicant self-assessment to inform program continuation' and document the process.<sup>3</sup> Supporting documentation should be kept by the applicant but not submitted to the Secretariat unless requested.

**Note on key supporting documents**

The Global Fund Secretariat reserves the right to request at any time that the CCM provide additional documentation to demonstrate the following:

**For Eligibility requirement 1** 'Transparent and inclusive funding request development process' that the request has been developed through a consultative processes with meaningful engagement of key and vulnerable populations;

**For Eligibility requirement 2** 'Transparent and documented PR selection process' – that transparent criteria were used for retaining the existing PR or selecting a new PR.

<sup>2</sup> In exceptional cases, the Global Fund will directly select PRs for the CCM under the Additional Safeguards Policy

<sup>3</sup> Applicants invited to submit a program continuation request received their application package together with their allocation letter from their Fund Portfolio Manager. This package includes the Program Continuation Request Cover letter and the Applicant self-assessment to inform program continuation).

If the documentation provided by the CCM results in the determination by the Global Fund Secretariat of non-compliance with eligibility requirements(s) 1 and/or 2, as applicable, the Secretariat reserves the right to delay grant signing until such requirements are duly complied with.

**Annex 1 – Guidance on documentation to be submitted by applicants when classified under standard review**

<p align="center"><b>CCM Eligibility Requirement 1:</b> Transparent and inclusive funding request development process</p>	<p>a) Transparent and documented processes that engage a broad range of stakeholders – including CCM members and non-members – in the funding request development process, including the review of funding requests before submission</p>	<ul style="list-style-type: none"> <li>• Minutes, reports and participant lists from funding request development consultations, stakeholder meetings, technical working groups and/or panels.</li> <li>• Minutes of meetings that record decisions taken as well as stakeholder input and participation.</li> <li>• If the CCM shared funding request drafts with various stakeholders and requested written contributions, evidence of email invitations and meeting minutes.</li> <li>• Public announcements using print media, television, radio or internet.</li> <li>• Email announcements (with distribution list) inviting stakeholders to participate.</li> </ul>
	<p>b) Efforts to engage key population groups, in funding request development (In addition to PLWD)</p>	<ul style="list-style-type: none"> <li>• Minutes from funding request development workshops/consultations, stakeholder meetings, technical working groups and/or panels. In the case that providing a participants list including names and contact information may put populations at risk, provide as an alternative the constituency groups represented by each member without providing name and contact information.</li> <li>• Membership list of the funding request writing team.</li> <li>• Email announcements (with distribution list) inviting stakeholders to participate in consultations.</li> </ul>
<p align="center"><b>CCM Eligibility Requirement 2:</b> Open and transparent PR selection process</p>	<p>c) Nominate one or more Principal Recipients at the time of submission of their application for funding.</p> <p>d) Document a transparent process for the nomination of all new and continuing Principal Recipients based on clearly defined and objective criteria.</p> <p>e) Document the management of any potential conflicts of interest that may affect the Principal Recipient nomination process.</p>	<p><b>For selection of new Principal Recipients:</b></p> <ul style="list-style-type: none"> <li>• Minutes of CCM meetings where Principal Recipient nomination is planned, discussed and confirmed. Minutes should include a summary of discussions, a list of participants, decision points and a record of who and which constituency took part in the decision making process. CCM meeting minutes should also demonstrate how conflict of interest was managed.</li> <li>• The criteria used for Principal Recipient selection.</li> <li>• Documentation that demonstrates that the CCM published a call for Principal Recipient applications.</li> <li>• Evidence that the CCM formed a committee to review applications based on clear criteria and, where necessary, presented a shortlist to the CCM.</li> <li>• Documentation demonstrating the transparent selection process and how conflict of interest was managed in the voting process.</li> </ul> <p><b>For confirming existing Principal Recipient that have a rating of B2 and lower:</b></p> <ul style="list-style-type: none"> <li>• The criteria used for Principal Recipient confirmation.</li> <li>• Documentation demonstrating the transparent selection process and how conflict of interest was managed in the voting process.</li> <li>• If applicable, copies of any invitations made to existing Principal Recipients of the same disease component to submit an expression of interest to continue as Principal Recipient.</li> </ul>