

Guidelines for CCM Ethics Focal Point or CCM Ethics Committee

1. Purpose

This document aims to provide guidelines for CCMs to appoint an Ethics Focal Point or create an Ethics Committee. The purpose of the Ethics Focal Point (EFP) or Ethics Committee (EC) is to support the CCM in its goal to coordinate national disease programs at country level, in support of ending the epidemics and achieving SDG 3 in their country by 2030. The EFP/EC contribute to the strategic functioning of a CCM by promoting ethical conduct and decision-making in all CCM activities. They lead the implementation and ongoing enforcement of the Code of Conduct for CCM Members - focusing on conflict of interest management (as per the CCM's Conflict of Interest Policy), ethical decision-making and behaviors to support the four values of Duty of Care, Accountability, Integrity and Dignity & Respect.

2. What the Global Fund expects from the CCM

The Code of Conduct outlines the expectations of CCM members to act ethically, in a transparent manner, and with responsible decision making. As a reminder, the CCM Policy, through Eligibility Requirement six, states the following: to support CCMs' leadership role of setting a tone and example of abiding by the highest standards of ethics and integrity, the Global Fund requires all CCMs to:

- Approve and adopt the Code of Ethical Conduct for CCM Members
- Develop or update, as necessary, and publish a Conflict of Interest Policy that applies to all CCM members, alternates, and CCM Secretariat staff; and
- Enforce the Code of Ethical Conduct and apply the Conflict of Interest Policy throughout the life of Global Fund grants.

In addition, CCMs must train all new members on the Code of Conduct as part of their induction and obtain certification from all members that they have complied with, and commit to continue to comply with, the Code of Conduct. Finally, CCMs must appoint one CCM member as an Ethics focal point or alternatively create an Ethics Committee.

3. Support from the Global Fund

In order to support CCMs, additional resources will be made available by the Global Fund, via the Country Team, the CCM Hub and the Ethics Office, accessible to all CCM members and other stakeholders including: several eLearning modules, an escalation protocol, a dedicated webpage on the external website with additional documents and articles.

4. Role of the Ethics Focal Point (EFP) / Ethics Committee (EC)

4.1 *The role serves to:*

- Promote ethical ways of working in the CCM by demonstrating the four values (Duty of Care, Accountability, Integrity and Dignity & Respect) and building a shared understanding of why ethics is important for their CCM;
- Provide accurate and timely advice to CCM Members and CCM Secretariat Staff on conflicts of interest, ethical conduct and ethical decision-making;
- Accompany the CCM Secretariat in their operation of the CCM's Conflict of Interest Policy and related procedures;
- Ensure that new CCM Members are trained and certify their compliance with the Code of Conduct;
- Lead the ongoing enforcement of the Code of Conduct for CCM members;
- Ensure that the CCM responds appropriately to concerns or allegations of misconduct, including ensuring that the Global Fund is notified of concerns, allegations or breaches as appropriate;
- Report regularly and directly to the CCM about progress of ethics and compliance risk management in the CCM, and ensure that the CCM reports to the Global Fund on eligibility requirement six;
- Ensure that ethical risks are identified and managed within the CCM's broader risk management process.

4.2 *Elements to take into account in the design of the role at the country level given the context of your CCM :*

- Consider whether the EFP or the members of the EC could be members of the CCM but not be part of another committee within the CCM at the same time (e.g. existing Oversight Committee).
- Define the selection criteria in the designation of the EFP or the members of the EC (e.g. level of experience as a CCM member).
- The EFP/EC should report to the CCM Leadership, consider the role of the Leadership if the EFP/member(s) of the EC are themselves implicated in an ethical breach.
- Decide whether the EFP/EC could call on external resource persons if needed and how they will be identified/vetted.
- The CCM Chair is accountable for the ethical conduct of their CCM, consider how the EFP/EC will act as trusted advisors to the CCM Chair, CCM Secretariat and CCM Members. In return, define how the CCM should support the EFP/EC.
- Decide how and when the EFP/EC will facilitate the CCM members Compliance Certification to the Code of Conduct and how this will be communicated to the Global Fund and other stakeholders.

5. Key Attributes and Selection Process

5.1 *Skills and competences*

Several key skills and competences need to be identified for the role to be adequately fulfilled and a methodology for how potential candidates can demonstrate these skills should be developed. In doing so, at a minimum, candidates must show that they will role-model the values presented in the

CCM Code of Conduct and can also demonstrate a mix of technical skills as they will potentially need to conduct training, participate in conducting investigation, etc.

Furthermore, please take into account the following:

- If an EC structure is chosen, decide whether all members must have all these skills.
- Given the context of your CCM, determine what other criteria must be met (availability, commitment, credibility, authority, robust decision-making, etc..).

5.2 Selection Process

Additionally, while selecting the EFP/EC members, define the term of office and consider the question of alternates and replacements in case of resignation.

It is the responsibility of the CCM to select a suitably skilled and experienced EFP/EC and inform the Global Fund. The Global Fund reserves the right to ask CCMs to change the EFP/EC if there are credible concerns about the capability or integrity of the selected candidate/s.

6. Reference Documents

- Code of Ethical Conduct for CCM members
- CCM Policy

If you need any further clarifications or assistance applying these guidelines, please contact us at: GlobalFundEthics@theglobalfund.org.

The Ethics Office