

# Guidance on CCM Eligibility Requirements 1 and 2<sup>1</sup>

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## Overall Objective

1. This document provides guidance to Country Coordinating Mechanisms (CCMs) and Regional Coordinating Mechanisms (RCMs) on eligibility requirements 1 and 2,<sup>2</sup> which are assessed by the Global Fund Secretariat at the time a funding request is submitted to the Global Fund.<sup>3</sup>
2. Through the submission and review of the Statement of Compliance, the Global Fund Secretariat will assess the application to ensure compliance with:

### Eligibility Requirement 1

The Global Fund requires applicants to:

- i. 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 funding request.
- ii. Clearly document efforts to engage key populations<sup>4</sup> in the development of funding requests.

### Eligibility Requirement 2

The Global Fund requires applicants to:

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<sup>1</sup> Non-CCMs and regional organizations need to demonstrate compliance with the overall principle of inclusiveness, as appropriate, given the country or multi-country context.

<sup>2</sup> As set out in the CCM Policy approved by the Global Fund Board on 10 May 2018 (GF/B39/DP09), [www.theglobalfund.org/media/7421/ccm\\_countrycoordinatingmechanism\\_policy\\_en.pdf](http://www.theglobalfund.org/media/7421/ccm_countrycoordinatingmechanism_policy_en.pdf).

<sup>3</sup> Compliance with requirements 3 to 6 is assessed both at the time of submission of the funding request and on an ongoing basis throughout the period of Global Fund financing.

<sup>4</sup> As defined in the Global Fund Key Populations Action Plan 2014 – 2017, approved by the Global Fund Board in the STC Policy.

- i. Nominate one or more Principal Recipients (PRs) at the time of submission of the funding request(s).<sup>5</sup>
- ii. Document a transparent process for the nomination of all new and continuing PRs based on clearly defined and objective criteria.
- iii. Document the management of any conflicts of interest that may affect the PR nomination process.

## Assessment and Record Keeping

3. In the 2023-2025 allocation period, the Global Fund Secretariat will apply a differentiated review of CCM eligibility requirements 1 and 2. Country components considered to have higher risk of non-compliance<sup>6</sup> with regards to meeting CCM eligibility criteria would require greater scrutiny and in-depth review. Others will undergo a lighter screening. The determination of the appropriate level of screening for compliance with eligibility requirements 1 and 2 shall be made by the Compliance Review Panel (CRP).<sup>7</sup>
4. However, and regardless of the screening approach applied at the time of reviewing the funding request, the Global Fund Secretariat reserves the right to request documentation from the CCM/RCM demonstrating compliance with eligibility requirements at any time.<sup>8</sup> Documents used to illustrate compliance are detailed in Annex 1.
5. The assessment of the documentation may lead to one of the following eligibility determinations:
  - i. **Compliant.**
  - ii. **Compliant with Issues.**
  - iii. **Indeterminate Compliant.**
  - iv. **Non-Compliant.**These determinations are further explained in the [Operational Policy Note on Design and Review Funding Requests](#).
6. Instances where the applicant is deemed “Indeterminate Compliant” or “Non-Compliant” will be escalated to the CRP, which will assess the findings and make a decision, whether i.e.:
  - i. the funding request may be shared with the Technical Review Panel (TRP) for review with specific recommendations to be met by the CCM or RCM (as applicable) at the time of grant-making; or

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<sup>5</sup> Except in instances where a portfolio is managed under the [Additional Safeguards Policy](#) and the selection of the Principal Recipient by the Global Fund is a safeguards invoked for the portfolio.

<sup>6</sup> Higher risk of non-compliance may be linked to reports provided by Country Teams, country stakeholders, CRG and/or CCM Hub, etc. indicating potential issues with regards to meeting CCM eligibility requirements (e.g. inclusiveness, lack of transparency in the selection of the Principal Recipient, conflict of interest issues, etc.) and therefore an in-depth scrutiny is recommended at the moment of the funding request submission.

<sup>7</sup> The CRP is an internal Global Fund body that assesses and advises on CCM eligibility matters, among other matters.

<sup>8</sup> Documents evidencing compliance with eligibility requirements should be maintained for a period of up to 3 years from the end of the relevant fiscal year.

- ii. the funding request may be rejected and returned to the applicant with clear recommendations on how to comply with the eligibility requirements before resubmitting at a subsequent TRP window.

## **Signature of the CCM Statement of Compliance**

The CCM Statement of Compliance<sup>9</sup> should be signed by: (i) the CCM Chair<sup>10</sup> and (ii) the civil society representative if the CCM Chair is the representative of the Government, or the representative of the Government if the CCM Chair is the representative of civil society.

In case of doubt, please consult with the Global Fund Country Team to determine appropriate signatory authorities.

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<sup>9</sup> RCM Statement of Compliance should be signed by RCM Chair and RCM Vice-Chair

<sup>10</sup> In the event the CCM Chair is unavailable or absent at the time of signing the CCM Statement of Compliance, the Vice Chair's signature shall be deemed acceptable if in line with the CCM's governing documents.

## Annex 1: Guidance on Documentation Illustrating Compliance with the CCM Eligibility Requirements 1 and 2

<b>CCM Eligibility Requirement 1</b>		
<p>i. 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 funding request.</p> <p>ii. Clearly document efforts to engage key populations in the development of funding requests.</p>		
<b>Core Principles</b>	<b>Related Actions</b>	<b>Supporting Documentation</b>
<p>The participation of all relevant stakeholders within a country, across all sectors of society, including technical experts and communities impacted, with a special emphasis on key populations, is a core principle of the Global Fund.</p> <p>The <a href="#">Global Fund Framework</a> states the Global Fund’s commitment to support programs that “strengthen the participation of communities and people, particularly those affected by the three diseases” and “focus on the creation, development and expansion of government/private/NGO partnerships”. In line with these principles, the participation of diverse stakeholders is an important element in the development of <b>all</b> funding applications to the Global Fund.</p>	<ul style="list-style-type: none"> <li>• Use of CCM drafted and approved governance documents that outline the process for development of funding applications and the role of the CCM and the CCM Secretariat.</li> <li>• Issue public calls for submissions in mass media (e.g., radio, newspaper, online).</li> <li>• Organize meetings, workshops or working groups related to the funding request development.</li> <li>• Invite diverse stakeholders to participate in meetings and working groups.</li> </ul>	<ul style="list-style-type: none"> <li>• Fully endorsed CCM Endorsement Sheet. In the event an in-person meeting cannot be organized to collect physical signatures, a recording of the virtual meeting with CCM members attending and endorsing the funding request can be submitted, otherwise e-mail endorsements from the relevant CCM members are acceptable.</li> <li>• Public announcements using print media, social media,<sup>11</sup> television, radio or internet inviting input into the funding request submitted to the Global Fund.</li> <li>• Email announcements (with a distribution list) inviting stakeholders to participate in consultations.</li> <li>• Minutes, reports and participant lists from funding request development consultations,</li> </ul>

<sup>11</sup> If the CCM is using a social media account to share such public announcements, evidence of the open public account and its outreach should be maintained.

<p>The Global Fund recognizes that only through a country-owned, coordinated and multi-sectoral approach involving all relevant stakeholders – each with different skills, backgrounds and experiences – will additional resources have a significant impact on fighting the three diseases.</p> <p>Stakeholders may include, among others, and depending on the specific country context:</p> <ul style="list-style-type: none"> <li>• Government representatives.</li> <li>• Persons and/or organizations of people living with and/or affected by HIV, TB and malaria.</li> <li>• Community representatives of people who are made vulnerable by health challenges related to HIV, TB and malaria or key population groups.</li> <li>• Non-governmental organizations (NGOs), including national NGOs, community-based organizations, women’s organizations, charitable organizations, religious/faith-based organizations and international NGOs.</li> <li>• Frontline and community health workers.</li> <li>• Public health institutions.</li> <li>• The private sector, including for-profit companies with a commitment to fighting the three diseases, business associations, private practitioners, for-profit clinics, and charitable foundations established by for-profit corporations.</li> <li>• Employee associations and trade unions.</li> <li>• Academic institutions.</li> <li>• Multilateral and bilateral international partners working in-country.</li> <li>• National pandemic response coordinating bodies.</li> </ul> <p>Regardless of the application approach, the participation of a broad range of stakeholders from government and non-government constituencies in the development of funding requests is essential.</p>	<ul style="list-style-type: none"> <li>• Establish a multi-stakeholder review committee of CCM and non-members, as relevant, to review submissions.</li> <li>• Agree on and document selection criteria and scoring system.</li> </ul>	<p>stakeholder meetings, whether in-person or virtual (including recording sessions when applicable), and technical working groups. In the event that providing a participants list that includes names and contact information may put populations at risk, applicants may provide, as an alternative, the constituency groups represented by each member without providing name and contact information.</p> <ul style="list-style-type: none"> <li>• Membership list of the funding request writing team.</li> <li>• Criteria used to review proposals to be included in the funding request.</li> <li>• Minutes of meetings which record decisions taken on what to include in the funding request as well as stakeholder input and participation.</li> <li>• Record of proposals not retained in the final funding request submitted to the Global Fund.</li> </ul>
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**CCM Eligibility Requirement 2**

- i. Nominate one or more PR(s) at the time of submission of the funding request(s).
- ii. Document a transparent process for the nomination of all new and continuing PRs based on clearly defined and objective criteria.
- iii. Document the management of any conflicts of interest that may affect the PR nomination process.

Core Principles	Related Actions	Supporting Documentation
<p>Within funding applications, CCMs are invited to describe implementation arrangements to deliver a quality program.</p> <p>To support achievement of planned results, PR nomination must follow a transparent process aimed at identifying, among other items, the entity most capable to implement the program and deliver on the targets.</p> <p>A well-documented and transparent PR nomination process that helps to ensure that the entity with the most appropriate qualifications is nominated and PRs have credibility with, and support from, all concerned stakeholders.</p> <p>Conflicts of interest arise where the individual or organizational interests of CCM members influence or could potentially influence their decision-making.</p>	<ul style="list-style-type: none"> <li>• Use of CCM drafted and approved governance documents that outline the process for nominating PR(s).</li> <li>• Issue public calls for expressions of interest for potential Principal Recipients.</li> <li>• Establish a multi-stakeholder review committee from the different sectors represented on the CCM to review a number of potential PR candidates.</li> <li>• Agree on and document selection criteria and scoring system.</li> </ul>	<p><b>For selection of new PR(s):</b></p> <ul style="list-style-type: none"> <li>• Agenda and minutes of CCM meetings where PR nomination is planned, discussed and confirmed. Minutes should include a summary of discussions, decision points, specifics of the voting and decision-making process (e.g., if a simple or qualified majority was required in accordance with the provisions of the CCM’s governing documents) and a record of the participants and constituencies that took part in the decision-making process.</li> <li>• The criteria used for PR selection (e.g., technical capacity, financial management capacity, robust information/reporting systems demonstrated experience implementing Global Fund grants).</li> <li>• Documentation illustrating that the CCM published a call for expression of interest for PR applications.</li> <li>• Evidence that the CCM established a committee to review applications based on a set of criteria and presented a shortlist to the CCM.</li> <li>• Documentation illustrating the transparent selection process and how actual, perceived or potential conflicts of interest were managed in the selection process.<sup>13</sup></li> </ul>

<sup>13</sup> For example: i) whether there was a perceived, potential or actual conflict of interest; ii) if the Ethics Focal Point/Committee was involved in the management of the conflict of interest; iii) if certain CCM members had to recuse themselves from the decision-making process or sign conflict of interest declarations.

CCMs are required to have a conflict of interest management policy and an ethics focal point in place that ensure that members will not take part in decisions where there is a perceived or potential conflict of interest, including decisions related to selecting or financing PRs or Sub-recipients (SRs).

The Global Fund requires that CCM members who are from the same entity as a PR candidate or an SR that worked for the PR candidate in the previous grant lifecycle not take part in the PR nomination and related decision-making process.<sup>12</sup>

- Evidence of adoption of the Code of Ethical Conduct for CCM members.

**For re-appointment of existing, well performing (C rating and above) PR(s):**

- Minutes of CCM meetings where maintaining the existing PR is discussed and confirmed. Minutes should include a summary of discussions, a list of participants, decision points and a record of the constituencies that took part in the decision-making process and the criteria used for the PR re-appointment decision.
- Documentation illustrating the transparent decision process and how actual, perceived or potential conflicts of interest were managed.
- Evidence of adoption of the Code of Ethical Conduct for CCM members.

**For re-appointment of existing, poor performing (D rating and lower) PR(s), in addition to the above:**

- Documentation of the discussion of risk mitigation measures to address the poor performance of the continuing PR and key milestones for improvement to substantiate this selection, including a contingency plan should the PR continue to perform poorly.

**Additional documentation may include:**

- CCM terms of reference or governance documents outlining processes for PR nomination (e.g., CCM bylaws, governance or operational manuals).
- CCM's conflict of interest management policy updated, as necessary.

<sup>12</sup> This does not exempt the relevant member(s) from endorsing the funding request.

		<ul style="list-style-type: none"><li>• Conflict of interest declarations of stakeholders involved in the process.</li></ul>
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