

# SELF-ASSESSMENT WORKSHOP

CCM ALBANIA

14<sup>th</sup> of JULY

# SESSION PLAN

- Introduction (Self Evaluation Process)
- Identification of rapporteurs
- Self Assessment (excell sheet)
- Workplan (corrective actions and timeline)
- Preparation for CCM Meeting

# New Funding Model and CCM Eligibility Requirements

- CCM expected to assess their eligibility against Global Fund CCM requirements prior submission of the concept note
- 6 Requirements embody good governance practices that all CCMs must meet and have to be met at time of submission.

# New Funding Model and CCM Eligibility Requirements

## Review CCM against minimum standards

Minimum requirements for CCM eligibility

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

ER 1 and 2  
assessed at  
CN  
submission

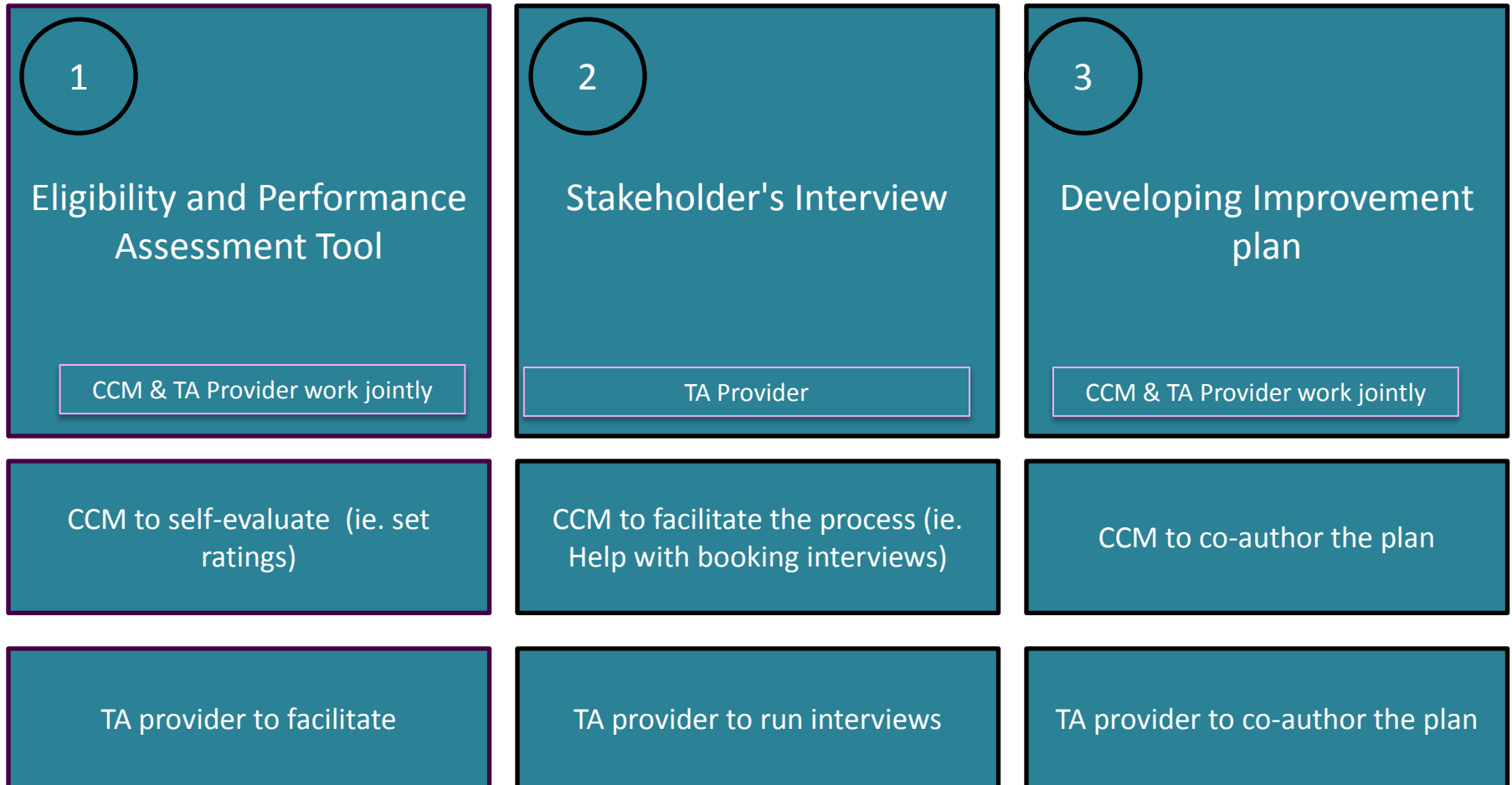
ER 3 to 6  
monitored  
ongoing  
basis

# Additional requirements

- Additional CCM standards on governance will have to be enforced by Jan 2015

# CCM Eligibility and Performance Assessment

## The three pillars of the Assessment



# Self Evaluation process

- A total of 0f 18 indicators of compliance
  1. Oversight: 3 requirements, 3 standards, 7 indicators
  2. KAP: 2 requirements, 1 standard, 3 indicators
  3. Civil society membership: 1 requirement, 3 standards, 4 indicators
  4. Conflict of interest: 1 requirement, 2 standards, 4 inidcators
- Self-evaluation leads to corrective action plan
- Opportunity to identify areas for technical support
- Link the corrective action plan and CCM budget
- Corrective Action Plan once submitted to FM need to be implemented

# **Indicators for self -evaluation**



# CCM Eligibility and Performance Assessment Tool

CCM Eligibility Requirement	Requirements/ <b>Minimum Standards</b>		<b>Examples of documentation</b>
<p><b>Requirement 3:</b> Recognizing the importance of oversight, <b>the Global Fund requires all CCMs to submit and follow an <u>oversight plan</u> for all financing approved by the Global Fund.</b> The plan must detail oversight activities, and must describe how the CCM will engage program stakeholders in oversight, including CCM members and non-members, and in particular non-government constituencies and people living with and/or affected by the diseases.</p>	<b>ER</b>	The CCM has an <b>oversight plan</b> which details specific activities, individual and/or constituency responsibilities, timeline and oversight budget as part of CCM budget.	Oversight plan CCM Funding agreement
	<b>ER</b>	The CCM has established a <b>permanent oversight body</b> with adequate set of skills and expertise to ensure periodic oversight.	Oversight body terms of reference (TORs); names and CVs of OB members  CCM meeting minutes;
	<b>ER</b>	The oversight body (OB) or <b>CCM seeks feedback from non-members of the CCM</b> and from people living with and/or affected by the diseases	Meeting minutes; email communications; consultation reports; oversight visit reports; and CCM website
	<b>MS</b>	<b>The oversight body conducts oversight activities to discuss challenges with each PR</b> and identifies problems, potential reprogramming and corresponding reallocation of funds between program activities, if necessary.	OB meeting minutes/reports; oversight tool; action plan to correct gaps; and CCM website
	<b>MS</b>	<b>The CCM takes decisions and corrective action whenever problems and challenges are identified</b>	Oversight tool; action plan to correct gaps; OB meetings minutes
	<b>MS</b>	<b>The CCM shares oversight results with the Global Fund Secretariat and in-country stakeholders quarterly</b> through the process defined in its Oversight Plan.	Oversight reports; email communications; CCM website

## Indicators ER

A complete CCM oversight plan that includes activities, responsibilities, timeline and budget.

- OB access skills in (i) financial management, (ii) disease-specific expertise, (iii) procurement and supply management, and (iv) program management. OB include key affected populations and PLWD representative(s).

- Dated meeting minutes which document formal appointment or election of members of the CCM oversight body (OB).

- Written evidence of consultations including oversight visits by the OB or CCM, at least once every 6 months, to obtain feedback from non-CCM members and PLWD and KAP.

## Compliance with ER

NC - Oversight plan is vague; or out of date; or no oversight plan exists.

IC - Oversight plan fails to specify either roles, timeline or budget.

FC - Oversight plan is up to date, with activities, roles, timeline & budget.

NC - The OB has none of the four core skills.

IC - The OB is in process of being updated to ensure the core skills are represented.

FC - The OB includes all four core skills.

NC - No document on the creation of OB or ad hoc oversight group.

IC - CCM creates an oversight group on an ad hoc basis

FC - Documentation lists the members of a formal/permanent OB.

NC - No documentation on feedback requests or stakeholder consultations in the past 6 months.

IC - OB or CCM has actively requested feedback but held no stakeholder consultations in the past 6 months.

FC - OB or CCM has proactively held stakeholder consultations in the past 6 months.

## Indicators MS

Dated meeting minutes, reports or work plans that show evidence of quarterly dialogue and the follow-up with PRs.

CCM has, in the past 6 months, taken decisions on the minimum (i) management, (ii) financial and (iii) programmatic indicators of oversight and followed up on corrective actions.

Evidence of oversight report(s) shared quarterly with in-country stakeholders and with the Global Fund Secretariat in a timely manner (within 1 month of OB meeting).

## Compliance MS

NC - The OB has met with no PR over the past 12 months.

IC - The OB has met once with one or more PRs over the past 12 months.

FC - The OB has met twice with each PR over the past 12 months.

NC- no written evidence of CCM decisions or corrective actions on minimum oversight indicators in the past 6 months.

IC - documented decisions but not followed up on all corrective actions related to minimum oversight indicators in the past 6 months.

FC - documented decisions and followed up on all corrective actions related to minimum oversight indicators in the past 6 months

NC - No oversight report was published or shared in the past 6 months.

IC - In the past 6 months, oversight reports were published/shared but not in a timely manner

FC - In the past 6 months, oversight reports were published/shared in a timely manner

# CCM Eligibility and Performance Assessment Tool

<p><b>Requirement 4:</b> The Global Fund requires all CCMs to show evidence of membership of people that are <b>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 representation of Key Affected Populations, based on epidemiological as well as human rights and gender considerations.</b></p> <p><i>* Either people who have lived with these diseases in the past or who come from communities where the diseases are endemic.</i></p> <p><i>** In countries where Tuberculosis is a public health problem or funding is requested or has previously been approved for Tuberculosis.</i></p> <p><i>*** In countries where there is on-going evidence of Malaria transmission or funding is requested or has previously been approved for Malaria.</i></p> <p><i>**** The Secretariat may waive the requirement of representation of Key Affected Populations as it deems appropriate to protect individuals</i></p>	ER	The CCM ensures adequate representation of Key Affected populations <sup>1</sup> taking into account the socio-epidemiology of the three diseases.	CCM Membership list
	ER	The CCM ensures adequate representation of PLWD, taking into account the socio-epidemiology of the three diseases.	CCM Membership list
	MS	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).	CCM Membership list

## Indicators ER/MS

CCM membership of key affected and most at risks populations may include representatives of IDUs, MSMs, CSWs, transgender, migrants, etc. either as representatives of organized groups or as individual representatives. In countries where these groups are criminalized, CCM has "advocates" instead of direct representation.

PLWD include:

- For HIV, civil society members representing PLWH organization(s)/network(s); or leaders of communities if there are no organized groups.

Number is depends on the disease burden - For TB and Malaria, civil society members representing organization(s) /network(s) ; or leaders of relevant communities if there are no organized groups.

Number depends on the disease burden

The CCM membership (members and alternates) shows a balanced female representation.

## Compliance

NC - KAP that exist in country are NOT fully represented in the CCM

IC - The CCM is in process of electing representatives or renewing membership

FC - KAP that exist in country are fully represented in the CCM

NC - PLWD are NOT fully represented in the CCM considering the disease burden in country.

IC - CCM is in the process of electing representatives or renewing membership

FC - PLWD are fully represented in the CCM considering the disease burden in country.

NC - CCM female representation is less than 15%

IC - CCM female representation is between 15 and 29%; OR there is designated representative with expertise in gender issue and no evidence of efforts to ensure an active voice for women's issues.

FC - CCM female membership is at least 30%; OR there is clear evidence of efforts being made by the CCM to ensure an active voice for women, through a designated female representative with expertise in gender issues who represents women's organizations and participates regularly in meetings.

# CCM Eligibility and Performance Assessment Tool

<p><b>Requirement 5:</b></p> <p><b>The Global Fund requires all CCM members representing non-government constituencies to be selected by their own constituencies based on a documented, transparent process, developed within each constituency. This requirement applies to all non-government members including those members representing people living with or affected by the three diseases, but not to multilateral and bilateral partners.</b></p>	ER	<p><b>All non-governmental constituencies represented on the CCM selected their representative(s) on their own, through a transparent and documented process.</b></p>	<p>Civil society sector meeting minutes, member endorsement letters from civil society constituencies</p>
	MS	<p><b>CCM membership comprises a minimum of 40% representation from national civil society sectors.<sup>4</sup></b></p>	<p>CCM Membership list</p>
	MS	<p>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</p>	<p>Work plans for civil society sector representatives, meeting minutes of civil society constituencies</p>
	MS	<p><b>The CCM elects its Chair and Vice-Chair(s) from different sectors</b> (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.</p>	<p>CCM membership list; CCM by-laws or governance manual</p>

Indicators ER/MS	Compliance
<p>Dated meeting minutes from each civil society constituency documenting the process it followed to select its representative(s) on the CCM.</p>	<p>NC - CCM does not have no, incomplete, insufficient documentation that proves transparent and inclusive process of selecting civil society representatives for the majority of cases.            IC - CCM has complete documentation for 50-89% of cases that proves transparent and inclusive process of selecting civil society representatives.            FC - For <math>\geq 90\%</math> of cases, the CCM has complete documentation of transparent and inclusive process of selecting civil society representatives.</p>
<p>The CCM membership shows that national civil society sector representatives constitute at least 40% of membership.</p>	<p>NC - National civil society sector representatives less than 40% of CCM membership and there are no plans for change and/or membership renewal in the current year.            IC - National civil society sector representatives less than 40%, but composition change and/or membership renewal is planned in the current year.            FC - National civil society sector representatives make up at least 40% of CCM membership.</p>
<p>Each civil society representative on the CCM has a work plan from their constituency that specifies key tasks and communication to be fulfilled as a representative of the constituency.</p>	<p>NC - Less than 80% of civil society representatives on the CCM have a work plan endorsed by their constituency.            IC - The majority of civil society representatives on the CCM are in the process of developing a work plan and/or work plans have not yet been endorsed by their constituency.            FC - More than 80% of civil society representatives on the CCM have a work plan endorsed by their constituency.</p>
<p>The CCM membership shows that CCM Chair and Vice-Chair are from different sectors and there are clear procedures for rotation as well as periodic change of the leadership.</p>	<p>NC - The CCM Chair and Vice-Chair are from the same sector            IC - The CCM Chair and Vice-Chair are from different sectors, but no procedures for rotation or periodic change of leadership are applied .            FC - The CCM Chair and Vice-Chair are from different sectors and clear procedures for rotation as well as periodic change of leadership are applied.</p>

# CCM Eligibility and Performance Assessment Tool

<p><b>Requirement 6:</b></p> <p>To ensure adequate management of conflict of interest, the Global Fund requires all CCMs to:</p> <p><b>i. Develop and publish a policy to manage conflict of interest</b> 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.</p> <p><b>ii. Apply their conflict of interest policy throughout the life of Global Fund grants,</b> and present documented evidence of its application to the Global Fund on request.</p>			CCM conflict of interest policy
	ER	The <b>CCM has a conflict of interest (Col) policy</b> with rules and procedures to avoid or mitigate Col <sup>5</sup> , and CCM members sign a Col declaration form.	CCM Col declaration forms; Information on number of CCM members who have signed Col declaration forms.
	ER	CCM meeting minutes demonstrate that <b>CCMs follow the procedures</b> to prevent, manage and mitigate Col.	5 most recent CCM meeting minutes
	MS	To guarantee effective decision making, the <b>CCM ensures that the number of members in the CCM with Col does not exceed 1 person per constituency</b> (excluding Members with no voting rights).	CCM Col declaration forms; Information on number of CCM members with Col; CCM meetings minutes



## Indicators ER/MS

## Compliance

The CCM Col policy applies to all members (members and alternates) and it requires all members in situations of conflict of interest, in particular PR and SR representatives, to recuse from decision making.

NC - The CCM has no Col policy.

IC - The CCM Col policy doesn't apply to all members; or doesn't require all members in situations of Col (in particular PR and SR representatives) to recuse from decision-making.

FC - The CCM Col policy applies to all members, and requires members in situations of Col to recuse from decision-making.

CCM members have signed a Col declaration form

NC - Less than 80% of CCM members have signed a Col declaration form.

IC - Between 80-99% of CCM members have signed a Col declaration form.

FC - 100% of CCM members have signed a Col declaration form.

Percentage of CCM meeting minutes in the past 12 months in which procedures to prevent, manage and mitigate Col has been applied.

NC - Less than 60% of CCM meeting minutes in the past 12 months show that procedures to prevent, handle and mitigate Col were applied.

IC - Between 60-89% of CCM meeting minutes in the past 12 months show that procedures to prevent, handle and mitigate Col were applied.

FC - Between 90-100% of CCM meeting minutes in the past 12 months show that procedures to prevent, handle and mitigate Col were applied.

Not more than one CCM member with voting rights per constituency is in a position of conflict of interest as per the Col declaration forms.

NC - The number of CCM members with Col is 2 (or more) for more than one of the constituencies and quorum at meetings cannot be achieved in most cases.

IC - The number of CCM members with Col is 2 for one of the constituencies and it jeopardizes quorum at the meetings.

FC - The number of CCM members with Col does not exceed 1 per constituency.

# Outcome of CCM Meeting on the 17<sup>th</sup> of July

- Self Assessment need to be presented and validated with its supporting documents
- Consultants diagnostic presented to complement self-assessment
- Corrective action plan need to be discussed and amended
  
- Next steps: Consultants and CCM Secretariat enter data in the system and send evaluation to the GF