

Ethiopia Country Coordinating Mechanism (CCM/E)

GOVERNANCE MANUAL

July 2014

Endorsed: 15 July 2014
Revised/Uupdated June-July 2016

PREFACE

This Governance Manual aims to guide the Ethiopia Country Coordinating Mechanism (CCM/E) in carrying out its governance functions. It provides the framework for consistent operations of the CCM/E, its Committees and its Secretariat.

Intended users of this plan are all members/alternates of the CCM/E, its Secretariat, and CCM Committees.

This Governance Manual was prepared with technical support from the Grant Management Solutions project.

Technical support for development of this Governance Manual was made possible by the American People through USAID and the United States President's Emergency Plan for AIDS Relief (PEPFAR). The contents of this document do not necessarily reflect the views of USAID, the United States Government, or the Global Fund to Fight AIDS, Tuberculosis and Malaria.

TABLE OF CONTENTS

1	BACKGROUND AND MANDATE	6
2	PURPOSE OF THE GOVERNANCE MANUAL	6
3	FUNCTIONS OF THE CCM.....	7
4	LEGAL STATUS OF THE CCM.....	7
5	PRINCIPLES OF THE CCM.....	7
6	CCM MEMBERSHIP AND STRUCTURES	8
6.1	Size of the Country Coordinating Mechanism.....	8
6.2	Composition of the Country Coordinating Mechanism.....	8
6.3	Nomination and Election of CCM Members.....	9
6.4	Terms of office	10
6.5	Rights and Responsibilities of the CCM members	10
6.6	CCM Officials and Terms of Office	11
6.7	CCM Committees	12
7	CCM MEETINGS.....	15
7.1	Meetings	15
7.2	Notification of meetings	15
7.3	Quorum.....	15
7.4	Chairing of meetings.....	15
7.5	Decisions in CCM/E meetings.....	16
7.6	Minutes of meetings.....	16
7.7	Observers in CCM/E meetings.....	16
8	CONFLICT OF INTEREST POLICY	16
9	COMMUNICATION AND CONSTITUENCY ENGAGEMENT.....	16
10	CCM/E MEMBERSHIP ORIENTATION AND CAPACITY BUILDING.....	17
11	PRINCIPAL RECIPIENT OBLIGATIONS TO CCM/E.....	17
12	CONCEPT NOTE DEVELOPMENT PROCESS.....	18
12.1	Role of the CCM/E.....	18
12.2	Role of the CCM/E Concept Note Steering Task Team.....	18
12.3	Role of the Technical Advisory Committees.....	18
12.4	Role of the Technical Review Committee	18
12.5	Concept note development process	18
13	PRINCIPAL RECIPIENT SELECTION GUIDELINES.....	21
14	GRANT OVERSIGHT.....	22
15	GRANT HARMONISATION.....	22
16	CCM-SELF ASSESSMENT.....	23
17	AMENDMENT.....	23
	Annex – CSO Mobilisation Guidelines.....	24

TERMS AND ACRONYMS

AIDS	Acquired -Immunodeficiency Syndrome
CBOs	Community Based Organisations
CCM/E	Country Coordinating Mechanism Ethiopia
CCRDA	Consortium of Christian Relief and Development Agency
CCS	Community Systems Strengthening
CNSC	Concept Note Steering Committee
CoI	Conflict of Interest
CORHA	Consortium of Reproductive Health Association
CT	Country Coordinating Mechanism
DPs	Development Partners
EMSAP	Ethiopia Multi-Sectoral AIDS Programme
EoI	Expression of Interest
EPA	Eligibility Performance Assessment
FBOs	Faith Based Organisation
FMOH	Federal Ministry of Health
FPM	Fund Portfolio Manager
GF	The Global Fund to Fight AIDS, Tuberculosis and Malaria
HAPCO	HIV/AIDS Prevention and Control Office
HIV	Human Immunodeficiency Virus
HPN	Health, Population and Nutrition
HSDP	Health Sector Development Plan
HSS	Health System Strengthening
JCCC	Joint Core Coordinating Committee
KAPs	Key Affected Populations
LFA	Local Fund Agent
MDGs	Millennium Development Goals
MOFED	Ministry of Finance and Economic Development
NFM	New Funding Model
NGO	Non-Government Organisations
NSP	National Health Strategic Plan
PIP	Performance Improvement Plan
PLWD	People Living with the Disease

PLWHA	People Living With HIV/AIDS
PR	Principal Recipient
SDPRP	Sustainable Development Programme for Reduction of Poverty
TB	Tuberculosis
ToR	Terms of Reference
TRC	Technical Review Committee
TRP	Technical Working Group
TWG	Technical Working Group
UNAIDS	United Nations Programme on HIV/AIDS
WHO	World Health Organisation

1 BACKGROUND AND MANDATE

The Country Coordinating Mechanism of Ethiopia (CCM/E) is a stand-alone mechanism that was established on February 27, 2002, to facilitate and coordinate the management of the Global Fund grants to address the three major killer diseases in Ethiopia. The Global Fund is a financing mechanism with the purpose of attracting, managing and disbursing funds that will increase existing resources in Ethiopia and make a sustainable and significant contribution to the reduction of infections, illness and death. The Global Fund aims for an integrated and balanced approach to the three diseases, covering prevention, treatment, care and support. Guidelines from the Global Fund encourage CCMs to hold regular and extraordinary meetings engage all relevant participants, including representatives of civil society, in substantive discussions, ensure that information is disseminated to all interested parties and facilitate in the implementation of projects after proposals are developed and submitted to the Global Fund.

Required by the Global Fund, the CCM/E is mandated to strengthen and reflect high-level, sustained national involvement and commitment in determining the content of concept note and making allocations of the awarded funds to support the substantial scaling up and increased coverage of proven and effective interventions. Ensuring that Fund resources augment existing spending on HIV/AIDS, TB, and malaria is a critical function of the CCM/E. The CCM/E follows principles to strengthen systems for working: within the health sector across government ministries, and with communities to build on, complement, and co-ordinate with existing programs in Ethiopia including the government, public/private partnerships, and civil society¹ initiatives. Resources from the Global Fund are expected to support national policies, priorities and partnerships, including the Sustainable Development and Poverty Reduction Program (SDPRP).

The CCM/E focuses on performance by linking Global Fund resources to the achievement of clear, measurable and sustainable results through strengthening partnerships between government/private/donor/NGO. The participation of communities and people, particularly those infected and directly affected by the three diseases, are critical for both the development of concept notes and the implementation of the awarded grant funds.

2 PURPOSE OF THE GOVERNANCE MANUAL

The Governance manual builds on the provisions of the “Structures and Functions of Country Coordinating Mechanism of Ethiopia (CCM/E)” of April 2010. It improves on the previous document by incorporating the eligibility requirements of the Global Fund for funding of CCMs under the new funding model, expanding the scope of the document to include procedures for all the five functions of the CCM and reformatting to make the document user friendly.

- i) It defines the functions, activities and responsibilities of the CCM/E, including CCM supporting structures.
- ii) It set out procedures and activities to enable CCM/E and its support structures to carry out its functions

¹ For the purpose of this document the composition of civil society includes the following: Nongovernmental Organizations (NGOs); Faith Based Organizations (FBOs); Community Based Organizations (CBOs); Private Sector Organisations; Professional Associations and Academia

3 FUNCTIONS OF THE CCM

- i) To direct, facilitate and support the operations of the Global Fund to fight HIV/AIDS, TB and Malaria in Ethiopia.
- ii) To guide, facilitate, coordinate, approve and submit concept notes to the Global Fund for funding.
- iii) To oversee the Global Fund resources and implementation of the Global Fund supported programmes.
- iv) Appoint Principal Recipient(s) (PR) for funds, and review on a time-to-time basis the addition of other PRs.
- v) To harmonise Global Fund grants to other national initiatives supporting the 3 diseases through facilitating the synergy between activities of the Global Fund, HSDP, EMSAP, SDPRP, MDGs, donors, civil society and others.
- vi) Provide information on the Global Fund grants to national and regional stakeholders.
- vii) Maintain close relations with the Global Fund, and in particular work closely with the Global Fund Portfolio Manager and the Local Fund Agent.
- viii) To facilitate experience within and outside the country on the implementation of Global Fund grants.
- ix) To ensure that the civil society and PLWHA Associations benefit from the HIV/AIDS grant.
- x) To ensure that the Technical Advisory Committee composition shall be consistent with the Global Fund guidelines on representation.

4 LEGAL STATUS OF THE CCM

As the Fund deals with the Federal Government, the CCM/E derives its legal status from the Government, represented by the Federal Ministry of Health (MOH), Ministry of Finance and Economic Development (MOFED) and HIV/AIDS Prevention and Control Office (HAPCO).

5 PRINCIPLES OF THE CCM

- i) The CCM/E will operate as a national consensus group and will promote true partnerships in the development and implementation of Global Fund-supported projects.
- ii) The CCM/E will include representation from all relevant constituencies as set out in the section on CCM/E Membership.
- iii) Representatives from the non-governmental constituencies shall be selected by their members through transparent and documented processes.
- iv) The CCM/E will be fully transparent in making decisions.
- v) As an integral part of promoting transparency, accountability, inclusiveness, and public confidence in all its activities, CCM/E members are expected to adhere to the CCM Conflict of Interest Policy which is part of the CCM/E governance documents.
- vi) PRs, SRs, and other implementers are expected to adhere to the Conflict of Interest Policy and to make all efforts to avoid conflicts of interest and effectively address those that arise.

- vii) All members of the CCM/E will be treated as equal partners, with full rights to participation, expression, and involvement in decision making.
- viii) CCM will endeavor to ensure that the CCM/E maintains a gender balance among its members

6 CCM MEMBERSHIP AND STRUCTURES

CCM/E membership and structures shall be determined by the CCM/E and shall be guided by the Global Fund guidelines on CCM membership and the need to ensure a manageable and efficient CCM. CCM/E membership is voluntary and there is no remuneration for CCM/E members and alternates.

6.1 Size of the Country Coordinating Mechanism

The CCM/E shall have a ceiling limit of 21 members. The size of CCM/E members shall be determined and maintained by the CCM/E so as to ensure that the CCM/E is representative, manageable and can effectively and efficiently carry out its functions.

6.2 Composition of the Country Coordinating Mechanism

The composition of the CCM/E is represented by the i) Government sector, ii) The bilateral and multilaterals (DPs), iii) Academia, iv) Non-Government Organisations (NGOs), v) People living with or affected by the diseases, vi) Key affected populations (KAPS), vii) the private sector, and viii) religious/faith based organisations. Table 1 shows the size and composition of the CCM/E.

Table 1: Size and Composition of the CCM

Sector	Constituency	# Seats
Government	Ministry of Health	4
	HIV/AIDS Control Office	1
Multilaterals and Bilateral/ Development Partners	Multilaterals	3
	Bilateral	2
Civil Society Organisations	Academia	1
	Non-Government Organisations (NGOs) and Community based organisations (CBOs)	1
	People living with or affected by the diseases	4
	Key affected populations	2
	Private sector	2
	Religious/Faith based organisations	1
Total		21

At least 40 percent of CCM/E members shall be representatives of civil society (i.e. NGOs, community-based organizations, people living with or affected by the diseases, key affected populations, religious/faith-based organizations, the private sector constituency, and academic institutions).

No more than half the CCM/E's membership should consist of members of Government constituency institutions.

The CCM shall ensure that there is gender balance in the composition with the women representation gradually increasing to 30% of the CCM members.

Membership shall be made of senior management representatives from the relevant stakeholders as identified by each of the participating entities.

Each member of CCM/E shall have a designated alternate member. The alternate members shall be nominated/elected at the same time the members are nominated/elected using the same process. The names of the members and alternates for each constituency shall be submitted to the CCM/E Secretariat. The alternate members represent the constituency in the absence of the member.

Membership composition shall be reviewed during CCM/E regular meetings on an annual basis to include new constituencies or organizations or remove or replace representation of constituencies or organizations with due cause such as lack of attendance at CCM/E meetings, conflict of interest or counterproductive support.

6.3 Nomination and Election of CCM Members

In accordance with the good governance practice and guiding principles of the Global Fund, the CCM/E has adopted the following guidelines for the selection/nomination of constituency representatives:

Government Constituencies

Government Ministries and agencies shall nominate their representatives based on position. The holder of the position shall be the *de facto* representative of the ministry or agency on the CCM. The nominated representatives shall be of senior level management staff of a director and above in the ministry/agency nominating the representative. The ministry or agency shall submit to the CCM a letter duly nominating its representative to the CCM.

Multilateral and Bilateral Constituencies

CCM members and alternates representing the multilateral constituency shall be nominated by the United Nations Ethiopia Country Team, who will nominate the relevant agencies. The United Nations Country Team shall forward a letter of nomination to the CCM secretariat indicating the name and position of the agencies nominated to the CCM.

CCM member representing the bilateral constituency shall be nominated by the Health, Population and Nutrition Donors' Group (HPN). The Group shall forward a letter of nomination to the CCM secretariat indicating the name and position of the member and alternate nominated to the CCM.

Civil Society Constituencies

CCM members representing non-government constituencies (Academia, NGOs/CBOs, PLWD/Peoples affected by Malaria and TB, KAPs, private sector and FBOs) shall elect their own constituency representative using a documented, transparent process that was developed by the constituency.

The constituencies shall forward to the CCM Secretariat documents to show that a transparent process was used.

Examples of documents providing sufficient evidence of the election process for members from non-government constituencies include: (i) Minutes of constituency election meetings (ii) Membership lists from organizations participating in the election process with evidence of coverage; (iii) Letter from organizations participating in the election process explaining the process and criteria with signatures of members of the organizations that were present at the meeting; or (iv) The document (or the relevant parts of election process) in which election of members is explained to have occurred.

For further information, please refer to the CSO Mobilisation and constituency representative selection Guidelines, which are included as an annex to this document.

6.4 Terms of office

The CCM members shall serve for a term of three calendar years except for Government Representatives. At the expiry of three years, constituencies shall renew membership. Where elections cannot be conducted, a constituency shall forward reconfirmation letter extending his/her term for another term.

6.5 Rights and Responsibilities of the CCM members

Members Rights

- i) To be treated as equal partners with full rights of information, participation, expression and involvement in decision-making.
- ii) To be given reasonable notice of all CCM/E meetings or functions.
- iii) To participate in all CCM/E meetings and functions and vote on any matters put to a vote.
- iv) To contest for and nominate persons for CCM/E positions such as Vice-Chairperson, Committee member, Task team members.
- v) To articulate the concerns of their constituency to the CCM/E.
- vi) To raise and express concerns regarding any potential conflict of interest inside the CCM/E.
- vii) To receive training and development on matters relating to CCM/E business, including formal orientation for new members.

Members Responsibilities

- i) To accurately and faithfully represent their constituencies in CCM/E including collecting input and giving feedback to constituencies and CCM/E regularly.
- ii) To respect and comply with the CCM/E governance provisions and procedures contained in the Governance documents.
- iii) To attend and participate in CCM/E meetings in a timely and responsible manner.
- iv) To respect CCM/E decisions.
- v) To participate in CCM/E activities with no Conflict of Interest.

Resignation, Revocation or Replacement of CCM members/alternates

CCM/E members shall commit to a minimum period of 3 years, but may resign their membership for personal or professional reasons. Resignation must be provided to the Chairperson in writing and recorded in the minutes of the next CCM/E meeting.

The CCM/E may decide by consensus to revoke a CCM/E member for persistence and unjustified absence from CCM/E meetings or for gross misconduct and request the constituency to replace the member.

In the case of government representatives, changes in office holders will result automatically in the replacement of the former member.

6.6 CCM Officials and Terms of Office

CCM/E shall have a Chairperson, one Vice Chairperson. The Chairperson and Vice Chairperson of CCM/E shall not be from the same sector. The Chairperson of CCM/E shall be a representative from the Government while the Vice Chairperson shall be from a civil society constituency.

Responsibilities of the CCM/E Chairperson

The Chairperson shall:

- i) Call the CCM/E meetings, and start and conclude each meeting promptly.
- ii) Introduce each agenda item and clarify the primary issues.
- iii) Sign the CCM/E minutes.
- iv) Lead negotiations on key issues
- v) Ensure that members of the CCM declare their conflicts of interest before commencement.
- vi) Identify problems and or action items that need to be addressed and lead discussion on how to resolve them.
- vii) Delegate, as necessary, to CCM/E committees any responsibilities within the committees' terms of reference.
- viii) As necessary, establish temporary committees and task teams to address pressing issues or problems inappropriate to the CCM/E Secretariat.
- ix) Assign to the CCM/E Secretariat tasks and responsibilities as required.
- x) Make the final decision or vote, in the event of a deadlock or tie on an issue.
- xi) Inform the Vice-Chairperson of absences and brief the Vice-Chairperson on the Chairperson's views and/or matters to be raised at meetings and events to be chaired by the Vice-Chair.

Responsibilities of the CCM/E Vice-Chairperson

The CCM/E Vice-Chairperson shall:

- Chair CCM/E meetings and represent the CCM/E in absence of the Chairperson.
- Liaise with the Secretariat and/or technical coordinating teams on issues requiring urgent attention
- Oversee the functioning of CCM task teams

Election and Term of Office of the CCM/E Vice-Chairperson

The Vice Chairperson shall be elected from the Civil Society sector. Being from Civil Society, the position of Vice Chairperson shall be renewed by a secret ballot every three years. Election of the Vice-Chairperson shall take place during a CCM/E meeting. CCM/E members shall vote for this position. Names of candidates will be proposed and seconded by CCM members. If more than one person is proposed a formal vote will be taken and the candidate garnering the highest vote shall be declared the Vice Chairperson. The election of the Vice-Chairperson shall be recorded in the minutes of the meeting.

The Vice-Chairperson shall hold office for a period of three calendar years. The term of office of the Vice-Chairperson may be renewed for a maximum of 1 other term of three years.

6.7 CCM Committees

The CCM/E shall have two permanent committees. Task teams or technical working groups may be established as need arises. Permanent committees shall be the Executive Committee and the Oversight Committee.

Executive Committee:-

The CCM/E shall establish an Executive Committee comprising the CCM/E Chairperson and Vice Chairperson, Chairperson of the Oversight committee and the Executive Secretary (non-voting). The Executive Committee shall be chaired by the CCM/E Chairperson. The CCM/E Executive Committee shall meet at such frequency as the Committee determines necessary to fulfil its functions.

Roles and Responsibilities of Executive Committee

- i) Make recommendations and facilitate decision making on matters arising in between CCM/E meetings
- ii) Attend to urgent communication for which calling CCM/E meetings is not warranted or feasible
- iii) Plan and oversee activities to strengthen the capacity of CCM/E members, including orientation of new members.
- iv) Provide direction and supervision to the CCM/E Secretariat in all its functions, recruit Secretariat staff, and monitor performance of the Secretariat and make recommendations to the CCM/E on opportunities to improve CCM/E Secretariat functions where necessary.
- v) Manage implementation of the CCM/E Conflict of Interest Policy
- vi) Address any other matters referred to it by the CCM/E, reporting back to the CCM/E on any decisions made

Oversight Committee- Task Team to review composition ratio and select committee

Global Fund grant oversight is one of the major functions of the Ethiopia CCM. In order to carry out oversight function systematically and periodically, an Oversight Committee shall be formed among from the CCM/E representatives and non CCM/E members. Technical expertise can be included as regular or ad hoc representatives in the Oversight Committee.

- Representatives of the CCM/E Oversight Committee shall not be associated with any PR/SR and shall be required to declare any conflict of interest that will or could arise in the course of undertaking their duties.
- Composition, roles and responsibilities of Oversight Committee is stipulated in detail in the Oversight Committee TOR contained in the Oversight Plan.

The Oversight Committee shall be responsible for oversight of all Global Fund grants in Ethiopia, and in particular the:

- i) appropriate and timely receipt and use of funds
- ii) effective program implementation
- iii) appropriate and timely completion of procurement and distribution
- iv) effective management of the Grants and Sub-Recipients by the Principal Recipients
- v) technical results and impact.

The CCM/E at its 77th Regular meeting established an Oversight Executive Committee and nominated its Chairperson². The elected members of the Oversight Executive Committee include Five CCM/E members and Three Non-CCM/E members. PRs/SRs are not included, in line with the conflict of interest policy.

The Oversight Executive Committee holds regular standing meetings to review the oversight activities and provide updates and recommendations to the CCM/E on the status of performance.

Operationally, the Oversight Committee has formed Three Task Teams to periodically undertake field oversight functions in all the regions as divided among the three teams³.

The CCM Secretariat

The CCM/E will establish a single office with a core staff. The initial staff will be comprised of a Secretary/Administrative Assistant and a Technical Officer. As of June 21, 2016 with the Global Fund support, a Program Coordinator to CCM/ E Secretariat has been recruited and started the job. GFATM allocated fund also will be used for necessary administrative expenses, including office supplies, computers, printers, and other supplies and equipment as necessary.

Responsibilities of the Secretariat:

- a) Supporting CCM organization and management:**
 - Making arrangements for CCM meetings, including preparing and distributing the agenda and issuing meeting notices.
 - Updating CCM governance documents and terms of reference for committees and working groups and task teams.
 - Facilitation of CCM membership renewal and maintaining updated membership list.

² UNAIDS Ethiopia

³ Established by the Oversight Committee at its meeting of 14 November, 2014

- Facilitating processes to elect CCM/E officer holders.
- Facilitating appointment of CCM and non-CCM members to committees and working groups in accordance with approved terms of reference.
- Coordinating CCM member orientation and capacity-building activities.
- Facilitating CCM regular eligibility and performance self-assessment as outlined in section 16 of this manual.

b) Supporting harmonization:

- Work very closely with institutions implementing Global Fund supported programs in general and within particular with the Disease Prevention and Control Department, HAPCO and the Focal Point for each of the Fund Principal Recipients
- Support the CCM to harmonize Global Fund Grant activities with other health sector initiatives through participation in key health sector forums.
- Provide information to support harmonization endeavors and the inclusion of Global Fund activities in national results.
- Identifying and investigating opportunities for resource mobilization to support CCM activities

c) Supporting concept note development:

- Facilitate CCM concept note development processes by ensuring compliance with the eligibility requirements, development of roadmaps, identification of stakeholders in accordance with the GF guidelines, engagement plans, and establishment of task teams, adequate documentation.
- Accessing and providing task teams with relevant Global Fund guidelines.
- The Secretariat shall process and duplicate the pre-final concept notes and submit to each CCM member a full copy of each pre-final draft of the concept note at least seven working days prior to the CCM meeting.
- The Secretariat shall ensure that at least five days prior to the CCM meeting, and at least ten days prior to the Global Fund deadline, a revised concept note is received from the relevant focal person and a full copy of the final concept note is submitted to each CCM.

d) Supporting oversight of grant implementation:

- Providing administrative support to the Oversight Committee.
- Collecting relevant information on in-country grant performance from PRs, the Global Fund, and other information sources.
- Undertaking preliminary analysis of programmatic and financial information on grant performance.
- Synthesizing or repackaging grant performance information to support identification by Oversight Committee members of key issues, trends, and elements requiring CCM intervention.
- Assisting in coordinating CCM oversight site visits.
- Facilitating reporting by the Oversight Committee to the CCM on grant performance, and communication and implementation of CCM decisions on oversight.

e) Supporting documentation and communication

- Maintaining and archiving all records of the CCM, its committees and working groups, including minutes and correspondence arising from decisions and deliberations of the CCM and its committees.
- Maintaining and archiving all documentation regarding selection or election and appointment of CCM members from constituency groups.

- Maintaining and archiving all communication by the CCM regarding development of concept note proposals including details of all stakeholders engaged in the concept note development.
- Maintaining and archiving all documentation regarding PR selection. Maintaining and archiving all financial records and activities of the CCM.
- Providing advice on the availability of information on Global Fund rules, regulations, and guidelines and in-country program activities and performance.
- Facilitating effective communication and constituency engagement as outlined in section 12 of this manual
- Other duties delegated by the CCM Chair and/or Executive Committee.

7 CCM MEETINGS

7.1 Meetings

The CCM/E Secretariat shall draw up a schedule of its regular meetings, which should be held once every two months. The annual schedule will be determined in advance for the year and circulated to all relevant stakeholders. Regular and extraordinary meetings will be attended only by regular CCM/E members or their representatives in a member's place. Observers, resource persons and guests may attend meetings on invitation. Extraordinary meetings will be called by the Chair of CCM/E, as needed.

The Chairperson calls the regular and extraordinary meetings, especially regarding visits and/or communication from Fund representatives and external consultants. With the agreement of two-thirds of the CCM/E membership extraordinary meetings may be called. Any CCM/E member can initiate an extraordinary meeting if he/she obtains a support of the 2/3 majority of the CCM/E members.

7.2 Notification of meetings

Given that the CCM/E prepares an annual calendar of CCM/E meetings, the CCM/E Secretary shall issue notice of CCM/E meeting 5 days prior to the date of the meeting. The notice shall include the CCM/E agenda and the meeting materials.

7.3 Quorum

The quorum at a CCM/E meeting shall be fifty per cent plus one (50% + 1) of registered CCM/E members. In cases where representative is substituting for a member, he/she will be deemed a registered member for quorum purposes. If there is no quorum, the meeting will be postponed until the next feasible date.

7.4 Chairing of meetings

Meetings shall be chaired by the CCM/E Chairperson or Vice Chairperson in the absence of the Chairperson. In the unlikely event that both the Chairperson and Vice Chairperson are absent, the members constituting a quorum shall elect a Chairperson from among themselves for that meeting.

7.5 Decisions in CCM/E meetings

Decisions of the CCM/E shall be by consensus. In case of not reaching consensus, decision shall be based on simple majority and dissenters will be welcome to state their position in writing. In cases of a tie, the Chairperson shall cast the breaking vote. All decisions will be reflected in the minutes with dissenting opinions noted.

7.6 Minutes of meetings

Meeting minutes shall be complete and include all substantive discussions and decisions made by CCM/E. The official proceedings from each CCM/E meeting shall be signed by the Chairperson and the CCM/E Secretary. The CCM/E meeting minutes shall be prepared and distributed within two weeks of the meeting. The CCM/E minutes shall be approved and signed in the next CCM/E meeting by the CCM/E representatives who participated in the previous meeting.

7.7 Observers in CCM/E meetings

The main objective of allowing observers is to enhance transparency and facilitate additional input to promote the oversight on the implementation of the GF grants in Ethiopia. Interested individuals shall inform CCM/E Secretariat 2-3 days in advance on the intention or expressed interest to attend a regular or extraordinary CCM/E meeting. During the CCM/E meetings, observers are allowed to participate in the discussions only when invited by the Chair. Observers do not have voting rights and shall respect the rules and regulations governing the CCM/E meetings.

8 CONFLICT OF INTEREST POLICY

In order to avoid conflicts of interest (COI) in the decision making process of the CCM/E, each CCM/E member and alternate shall be required to complete and update the Conflict of Interest Declaration on an annual basis (by 30 January each year). This provision is also applicable to the senior staff members of the CCM/E Secretariat. At the commencement of every meeting of the CCM/E, the Chair shall ask all members and alternates present to declare any conflict of interest they have in relation to any matters on the meeting agenda. Where members declare a conflict of interest in relation to any agenda item, in advance of agenda discussions, or in the course of discussions on related issue, the member may participate in the deliberations on the agenda, but shall abstain or leave the room during the final discussions and decision making as directed by the Chairperson. All disclosures of interest must be explicitly noted in the minutes of CCM meetings. The CCM/E COI policy provides details on COI management.

9 COMMUNICATION AND CONSTITUENCY ENGAGEMENT

In keeping with the principles of transparency and accountability, the CCM/E shall maintain open communication channels to facilitate the sharing of information with stakeholders, including the general public. The CCM/E will use various communication strategies to reach stakeholders including:

- i) Establishing a CCM/E website where key information pertaining to Global Fund grant activities in Ethiopia is made available.
- ii) Preparation of reports/briefs or press releases informing stakeholders of developments related to the Global Fund grants in the country.

- iii) Access to Annual Reports demonstrating grant and CCM/E performance through various media.
- iv) The full list of CCM/E members with their contact information and their constituencies.
- v) The Minutes of CCM meetings shall be held in public record.

Regular and meaningful engagement with constituencies aimed at ensuring dissemination of relevant, timely information about GF funding opportunities, role of constituencies, and obtaining input and providing feedback to constituencies is a key requirement (requirement # 5) by the Global Fund. Constituency representatives to the CCM/E shall therefore be expected to engage their constituencies regularly to obtain input from and provide feedback to constituencies on quarterly basis. The Global Fund provides financial support for constituency engagement and the CCM shall secure this funding to support the engagements. The CCM shall ensure that annual constituency engagement plan is developed that includes a work plan and budget for each constituency and submitted to the CCM. The work plan should indicate clearly the feedback meetings. In addition each representative will submit his/ her terms of reference as a representative of the constituency signed with the constituency. The CCM/E shall implement a constituency score-card as a tool for accountability to constituencies and shall train its members and alternates on its use.

10 CCM/E MEMBERSHIP ORIENTATION AND CAPACITY BUILDING

The CCM/E shall conduct orientation and capacity-building training on the roles and responsibility of CCM, CCM/E governance documents and updates on Global Fund policy and operational guidelines at least once a year. The CCM/E shall prepare a technical assistance plan identifying the capacity building activities for each year.

11 PRINCIPAL RECIPIENT OBLIGATIONS TO CCM/E

The Principal Recipient is the entity with whom the grant agreement is signed, and is therefore legally responsible for the execution of the contract with the Global Fund. The agreement outlines the program details such as the goals, objectives, beneficiaries, strategies, planned activities, targets and the budget. These details are determined by the CCM working closely with all stakeholders during the concept note development stage, and are submitted to the Global Fund for approval and funding. The PR is responsible for the performance of their sub-recipients, based on a written grant agreement, and is responsible for any of their actions or omissions. The Global Fund requires the PR to submit periodic and annual progress reports on both the programmatic and financial performance of the grant and at the same time make a disbursement request.

The CCM on its part must oversee the grant management in the country to ensure resources are properly used and accounted and that grant programme results are being achieved.

The Ethiopia PRs have the following obligations to the CCM/E:

- i) Periodically submitting report to the CCM/E.
- ii) Providing data to the CCM/E on specific issues on request.
- iii) Cooperating with the CCM/E to prepare and carry out oversight visits

12 CONCEPT NOTE DEVELOPMENT PROCESS

12.1 Role of the CCM/E

The CCM/E will provide leadership of the process of the development of the Global Fund concept notes by:

- i) Taking a decision to apply for Global Fund grants based on gaps identified by TWGs/National diseases programmes/HAPCO
- ii) Designing and implementing a transparent process that involves all key stakeholders including key affected population to develop the concept note for funding
- iii) Undertaking necessary steps to ensure the CCM is compliant with the Global Fund eligibility requirements before concept notes are submitted to the Global Fund Secretariat
- iv) Mobilizing resources for development of the concept note
- v) Providing administrative support by establishing Concept Note Steering Task Teams (CNST) to manage concept note development
- vi) Facilitating a transparent process of selecting Principal Recipients (PRs).
- vii) Coordinating the writing process of the concept note and support the Technical Advisory Committees (TAC) with necessary information and logistics
- viii) Reviewing, approving and endorsing the concept note before it is submitted to the Global Fund
- ix) Responding to Global Fund Technical Review Panel (TRP) comments

12.2 Role of the CCM/E Concept Note Steering Task Team

There shall be a task team comprising five members selected purposely to advise the CCM/E on concept note development. The Concept Note Steering Task Team will work with the disease technical advisory committee to manage the concept note development process. It will be responsible for ensuring concept notes are prepared in time to ensure programmes are not disrupted and will report to the CCM/E on the progress.

12.3 Role of the Technical Advisory Committees

The Technical Advisory Committees, coordinated by the Ministry of Health, provide technical support to the CCM/E in writing the concept note. They will be assisted by thematic groups.

12.4 Role of the Technical Review Committee

As needed, the CCM/E may constitute a Technical Review Committee which shall review proposals submitted for inclusion in the Concept Note.

12.5 Concept note development process

The table below outlines the stages the CCM/E will undertake in concept note development. The process is designed to ensure that the process involves all stakeholders in the process and that it is aligned to the Global Fund requirements under the new funding model (NFM).

#	Activity	Responsible
Stage 1: Planning and Resource Mobilization		
1.1	Recommend when to submit Concept note/funding request to the GF for CCM/E approval	CNST/TAC
1.2	Develop and submit a costed concept note development roadmap for approval by CCM	CNST/TAC
1.3	Constitute and propose to the CCM/E Thematic Groups required to implement identified activities in the process	CNST/TAC
1.4	CCM/E approves costed concept note development roadmap, submission date, task teams and communicates to key stakeholders	CCM/E Chair
1.5	Organize resource mobilisation meeting with partners to solicit for technical and financial support to support the action plan activities	CCM/E Chair
1.7	CNSC meeting schedule prepared in relation to deadlines and Thematic Group work	
Stage 2: Strengthening National Strategic Plans		
2.1	Organize and hold meetings with National Disease Programmes, HAPCO and the FMOH to review status of the NSPs based on the NFM guidelines and identify issues to be addressed	CNST
2.2	Develop work plan to address gaps identified in the NSPs and share with CNSC and the CCM	CNST/TAC
2.3	Finalise robust, costed and prioritised NSPs and share with stakeholders (<i>Country dialogue</i>)	TAC
2.4	Organize and conduct an assessment of the NSPs by technical partners, if not yet done	CNST/TAC
2.5	Share the assessment findings with the CCM	CCM/E
2.6	Submit the assessed NSPs to the GF (FPM and country teams (CT))	CCM/E
Stage 3: Programmatic and Financial Gap Analysis (Epidemiologic Situation Analysis)		
3.1	Develop terms of reference for conducting programmatic and financial gap analysis	CNST/TAC
3.2	Select Thematic Groups/consultants to conduct programmatic, financial, gender and H/CSS gap analysis through a competitive process	CNST/TAC
3.3	Conduct programmatic, financial, gender and HSS/CSS gap analysis and submit report to the CCM to determine full expression of demand	Thematic Groups/Consultants
3.4	Share the programmatic and financial report to key stakeholders for review and validation of the full expression of demand (<i>Country dialogue</i>)	CNST/TAC
3.5	CCM approves the full expression of demand for each of the 3 diseases and H&CSS	CCM/E
3.6	CCM communicates with stakeholders the full expression of interest by disease, gender and H&CSS for concept note development	CCM/E
Stage 4: Key stakeholders Engagement Plan (Country Dialogue)		

#	Activity	Responsible
4.1	Identify key stakeholders to be involved in development of the concept note to the GF process	CNST
4.2	Determine key stakeholders' specific roles in the funding request development process	CNST
4.3	Identify how and when to involve key stakeholders	CNST
4.4	Develop a stakeholders' engagement plan	CNST
4.5	Share the engagement plan with the stakeholders for comments	CNST
4.6	Submit the engagement plan to the CCM for approval	CNST
4.7	Share the engagement plan with the Global Fund (FPM and CT)	CNST
Stage 5: Consolidate information and Use updated data		
5.1	Select experts to consolidate information and ensure updated data is used in the funding application process	CNST/TAC
5.2	Develop checklist and plan for consolidating information and checking data to be used	CNST/TAC
5.3	Obtain disease burden data from the National Programmes and WHO/UNAIDS and review to confirm alignment.	CNST/TAC
5.4	Consolidate updated information and data share with the CCM	CNST/TAC
5.5	Submit consolidated information and updated data to GF (FPM and CT) and request for withdrawal of earlier information submitted in order to update	CCM/E
Stage 6: Conduct CCM and PR assessment		
6.2	Conduct self-assessment of the CCM eligibility and performance assessment	CCM/E chairperson
6.3	Develop CCM Improvement Plan (IP)	CCM/E chairperson
6.4	Submit the EPA results and PIP to the GF Secretariat	CCM/E chairperson
6.5	Implement the PIP addressing gaps.	CCM/E chairperson
6.6	Conduct a pre-assessment of the PR supported by consultants (after Concept Note submitted)	CCM/E chairperson
6.7	Develop capacity building plan of the PR supported by consultants	CCM/E chairperson
6.8	Implement the capacity building plan for PRs	CCM/E chairperson
Stage 7: Program split		
7.1	Determine and recommend program split of the indicative funding between the 3 diseases and HSS and CSS	CNST
7.2	Share and discuss the recommended program split with stakeholders for input and validation	CCM/E Chairperson

#	Activity	Responsible
7.3	Submit the recommendation to the CCM for approval	CCM/E Chairperson
7.4	Share the split of the allocation with the GF (FPM and CT)	CCM/E Chairperson
Stage 8: Concept Note development		
8.1	Develop ToR and appoint Thematic Groups Leader/ a consultant/ to provide leadership and guidance to the concept note Thematic Groups and to finalize Concept Note for submission.	CNST/TAC
8.2	Develop TOR and roadmap for concept note writing	CNST/TAC
8.3	Identify concept note writing thematic groups members with ToR	CNST/TAC
8.4	Obtain CCM approval of 8.1 to 8.3 above	CNST
8.5	Organize and conduct stakeholders consultations forums for soliciting inputs	CNST
8.6	Prepare draft concept notes and share with stakeholders for validation	CNST/TAC
8.7	Share draft concept note with the Global Fund, Fund Portfolio Manager (FPM) and Country Teams) CTs for input (continuous process)	CNST/TAC
8.8	Prepare final concept note for submission to CCM	CNST/TAC
8.9	Submit the concept note to the GF Secretariat	CCM/E Chairperson
Stage 9: Selection of Principal Recipients		
9.1	Develop plan for selection of the Principal Recipients including selection criteria (identified in Concept Note)	CNSC
9.2	Develop terms of reference and select a Technical Selection Task Team (TSTT) to lead the principal recipients nomination process (GF website)	CNSC
9.3	CCM approves the criteria, ToR and the PR Selection task team	CCM/E Chairperson
9.4	PR Technical Selection Task Team implements the process and makes recommendations to the CCM for approval	TSTT
9.5	CCM approves the Principal Recipients	CCM/E Chairperson

13 PRINCIPAL RECIPIENT SELECTION GUIDELINES

The CCM/E is responsible for selections of Principal Recipients. The process will be undertaken during the concept note development and names of the proposed PRs will be included in the concept note submitted to the Global Fund Secretariat. The process for selection of the PR shall be transparent, ensuring that situations of conflict of interest are mitigated as per the CCM/E CoI policy. Criteria for selection of PRs have been developed by the CCM/E. The CCM/E shall appoint a technical team with appropriate ToRs to conduct the process. The steps outlined in the table below shall guide the process.

Step	Activity
------	----------

1	The CCM issues a request for Expression of Interest (Eoi)
2	PR candidates submit Eoi to the CCM
3	The CCM establishes a PR Technical Selection Task Team (TSTT)
4	The TSTT screens Expression of Interest for essential eligibility requirements
5	The TSTT evaluates Expression of Interest and recommends which organisation should become a PR
6	The CCM performs a field validation of recommended PR
7	The CCM approves Expression of Interest recommendations
8	The CCM provides feedback to all organisations that submitted Expression of Interest
9	CCM signing a memorandum of understanding with the selected PR after issue of an award notice.

14 GRANT OVERSIGHT

Grant oversight is a key function of any CCM. The Global Fund has included a specific requirement on oversight:

Requirement 3: *Recognizing the importance of oversight, the Global Fund requires all CCMs to submit and follow an oversight plan for all financing approved by the Global Fund. 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.*

The Oversight plan provides guidance for the CCM/E to conduct consistent, transparent oversight of Global Fund grants in Ethiopia.

15 GRANT HARMONISATION

One of the core functions of a CCM is to coordinate the development of funding applications for the country through a transparent and documented process. These funding applications should ensure alignment of the Global Fund programme with the country's national development strategies, national strategies for the three diseases, national systems for monitoring, financial management and procurement and national efforts to increase the harmonization, coordination and effectiveness of donor-supported activities and resource mobilization.

Since the 1980s, Ethiopia has been extensively working with donors and civil society to harmonize and coordinate the implementation of the Health Sector Development Programs (HSDP) financed by several donor organizations. The government and financing agencies met to form a Joint Consultative Forum (JCF) composed of all donor agencies supporting the health sector and some members of the Civil Society; Consortium of Christian Relief and Development Agency (CCRDA) and Consortium of Reproductive Health Associations (CORHA) to engage in policy discussions and guidance for HSDP implementation and is chaired by the Minister of Health and co-chaired by HPN

chair-person. JCF meets quarterly. Furthermore, it was agreed to form a Joint Core Consultative Committee (JCCC) composed of those representing financing institutions and civil society to guide and manage the implementation of HSDP. JCCC is chaired by the Resource Management Director, Ministry of Health and meets once a month to deliberate on various implementation issues and decision.

There is therefore a working mechanism for the CCM to engage with several donors and civil society and CCM shall seek to be a member of JCF and JCCC and its representative shall report regularly to the CCM by sharing the minutes of the respective meetings to ensure coordination of CCM activities with other donors and civil society.

16 CCM-SELF ASSESSMENT

The Global Fund requests that all CCMs periodically carry out a self-assessment of their eligibility and performance. In this regards the Eligibility and Performance assessment tool was developed and can be accessed on the GF website.

The CCM/E Secretariat should distribute the Eligibility and Performance Assessment tools to all CCM/E members on a schedule determined by agreement among all CCM/E members.

The CCM/E Secretariat has the following responsibilities in the EPA process:

- i) Preparing and distributing EPA documents to all CCM/E members
- ii) Assisting CCM/E members to obtain and review documents needed to perform the assessment
- iii) Analysing the outcome of the self-assessment and providing the analysis to the CCM/E Chairperson, Vice-Chairperson, and CCM/E members and alternates
- iv) Documenting corrective actions and recommendations offered by CCM/E members to address shortcomings in the self-assessment and developing improvement plan
- v) Present the improvement plan to the CCM members for approval and updating the online EPA documentation.

17 AMENDMENT

This Governance Manual is the successor of the Structure and Functions of the CCM/E and shall take effect on the day of approval by the CCM/E members.

The CCM/E may amend the Governance Manual at any time with a two-thirds majority vote.

Annex – CSO Mobilisation Guidelines

Civil Society Organisation Constituency Mobilisation and Representative Election Guidelines

1. For purposes of this Guideline, the CCM/E CSO constituencies include:

- Academia
 - Non-government Organisations and Community based organisations
 - People living or affected by with the diseases
 - Key affected populations
 - Private sector
 - Religious/Faith based organisations
- i) CSOs organisations expected to participate as CCM/E members have to register with one of these constituencies.
- ii) The definitions and eligibility criteria to guide individuals and organisation to register with any of the CCM/E constituencies are outlined in Appendix 1 to these guidelines.

2. CSO Constituency Mobilisation

The Global Fund requires the CCM to provide equal opportunity to all CSOs organisations contributing to the fight against the 3 disease to participate in the CCM activities i.e. CCM may not discriminate in the CCM composition. In compliance to this principle, the CCM/E will apply any of the following options to mobilize CSOs constituencies:

Option 1: Where a constituency has a well-structured and credible national network organisation formally registered under the law and has a documented membership, that national network will be used to mobilise the constituency to participation in the CCM/E.

Option 2: Where a constituency has no national network, the CCM/E may work with the relevant authorities to develop a list of organisations that meet the constituency criteria (Annex 1) to mobilise that constituency to participate in the CCM/E.

Option 3: Where a constituency has no national network, has no relevant authority that could provide the constituency organisations, the CCM/E will use public media to invite qualifying organisations in the country that meet the requirements for registration to that constituency.

3. Constituency Representative Selection

The Global Fund requirement #5 requires CSOs to select their representative to the CCM using a transparent and documented process developed by the constituency. In accordance to this requirement and section 6.3 of the Governance Manual the CCM/E requires constituencies to:

- i) Develop and submit to the CCM/E a transparent and documented process for selecting their representative.
- ii) Submit the elections returns set out in the Governance Manual section 6.3
- iii) Where, for any reason, a constituency is unable to organize elections that meet the guidelines set in this document, the CCM/E should be approached for assistance.

Appendix 1: Constituency Criteria

Constituency	Membership Criteria
Government	<ul style="list-style-type: none">• Government ministries• Government agencies
Academia	<ul style="list-style-type: none">• Higher learning institutions• Research institutions
Non–Government Organisations	<ul style="list-style-type: none">• National civil society organizations• Community based organisations
People living with HIV or affected by TB or malaria	<ul style="list-style-type: none">• People living with HIV/AIDs organisations• Communities in endemic malaria areas• Organisations providing malaria services• Organisations providing TB services
Private sector	<ul style="list-style-type: none">• Private business companies• Professional associations• Employers’ associations• Employees’ trade unions• Business associations supporting HIV/AIDS, TB, Malaria programmes
Faith-based organisations	<ul style="list-style-type: none">• Religious organisations
Key affected populations	<ul style="list-style-type: none">• Youth organisations/groups• Women organisations/groups• MARPS
Bilateral and Multilateral	<ul style="list-style-type: none">• Bilateral missions• Multilateral missions

Note:

1. Organisations representing constituencies in the CCM/E must be implementing or supporting programmes or services that are combating any or the 3 diseases;
2. The organisations must be legally registered in Ethiopia.