

Ethiopia Country Coordinating Mechanism (CCM/E)

CONFLICT OF INTEREST POLICY

July 2014

Endorsed: 14 July 2014

PREFACE

This Conflict of Interest Policy aims to guide the Ethiopia Country Coordinating Mechanism (CCM/E) to mitigate situations of conflict of interest that may arise in the course of execution of the CCM/E mandate. It provides the framework for consistent identification of situations of conflict of interest that may occur and the measures the CCM/E members, alternates and staff are required to take to mitigate the potential or perceived conflict of interest situations.

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

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

Technical support for development of this Conflict of Interest Policy 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.

1. PRINCIPLES

In adopting this policy on effective management of conflicts of interest, the Ethiopia Country Coordinating Mechanism (CCM/E) acknowledges the importance of implementing good governance procedures in all matters related to the Global Fund to Fight AIDS, Tuberculosis and Malaria in Ethiopia. The concept of conflict of interest recognizes that the judgment of even the most well-meaning persons may be impaired when their own interests, those of an institution with which they are affiliated, or those of a close associate, are affected. The CCM/E will organize its structure, management processes, and day-to-day activities so as to minimize the possibility that conflicts of interest will arise with respect to all matters within its jurisdiction. Where conflicts of interest do arise, the CCM/E will ensure they are dealt with promptly and fairly. In order to promote transparency, accountability, inclusiveness, and public confidence in all of its activities, the CCM/E adopts the following provisions concerning conflicts of interest.

2. SCOPE

This conflict of interest policy is applicable to the management of Global Fund grants in Ethiopia. This policy applies across all functions of the CCM/E and to all CCM/E members and alternates, as well as the Secretariat staff and is applicable throughout the lifecycle of the grants.

3. DEFINITIONS

Conflicts of interest in the Country Coordinating Mechanisms (CCMs) can arise whenever members of the CCM participate in discussions and decisions in which they have a personal interest or those of the organisations which they represent or those of a close associate, in a way that disadvantages or excludes others, or is otherwise detrimental to the overall effectiveness of the program. “Conflict of interest” includes **potential conflicts of interest** and **perceived conflicts of interest**.

- A **potential conflict of interest** occurs when a member of the CCM has the capacity to use their position in such a way that a conflict of interest, as defined above, can occur.
- A **perceived conflict of interest** occurs when a person believes or suspects on reasonable grounds that a conflict of interest, as defined above, exists on the part of a member of the CCM.
- A **close associate** of a person includes a family member, friend, business partner, professional associate, or close associate of the person.
- A person is **affiliated with an institution** when they are an employee or volunteer, or have a financial interest, or a technical or governance role with that institution.
- The **jurisdiction** of the CCM/E refers to all matters in respect of which the CCM/E has the power or authority to make decisions or recommendations.

4. RATIONALE

The nature of CCM structure and composition makes it vulnerable to conflict of interest. It therefore requires an effective system to manage conflict of interest. A strong and well-implemented conflict of interest policy helps ensure the integrity of the CCM and its processes. If CCM does not show evidence of having in place and implementing a CoI policy, the country will not be eligible to access the much needed funds for the control of the three diseases from the Global Fund.

5. POTENTIAL AREAS OF CONFLICT OF INTEREST IN THE CCM/E:

- a) During grant implementation some CCM/E members may be PRs or SRs of Global Fund grants.
- b) CCM/E member's participation in oversight or review of Global Fund funded programs may have some personal/institutional interests.
- c) The selection of a Principal Recipient or Sub Recipients
- d) Reprogramming of grant funds.
- e) CCM/E members may have friends or relatives who run organizations that are recipients of Global Fund grants or may provide services to Global Fund funded projects.
- f) In procurement of goods and services members may have personal influence or benefits directly or indirectly through friends or relatives.

6. GIFTS

This Conflict of Interest policy also covers gifts that may constitute a conflict of interest. The CCM/E members and members of the Secretariat are prohibited from accepting gifts that could influence their objectivity in decision making.

7. CHAIR AND VICE-CHAIRS—SECTORAL AFFILIATION

The CCM/E will make every effort to ensure that the positions of Chair and Vice-Chairs of the CCM/E are not held by persons from institutions or organizations that are Global Fund Principal Recipients or Sub-Recipients. Where a person from an institution that is a Principal Recipient or a Sub-Recipient holds the position of Chair or Vice-Chair of the CCM/E, that person must not participate in discussions and decisions where s/he has a potential of Col.

8. DECLARATION OF CONFLICT OF INTEREST

- a) Prior to taking up a position on the CCM/E, each new member shall be required to complete the Conflict of Interest Declaration appended to this policy. The CCM/E Secretariat shall keep completed Conflict of Interest Declarations forms on file.
- b) Each CCM/E member 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.
- c) At the commencement of every meeting of the CCM/E, the Chair shall ask all members present to declare any actual or potential conflict of interest they have in relation to any matters on the meeting agenda.
- d) 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 discussions on the agenda, but shall abstain or leave the room during the final discussions and decision making as directed by the Chair.
- e) All disclosures of interest must be explicitly noted in the minutes of CCM/E meetings.

9. REFERRAL OF CONFLICT OF INTEREST ISSUES

Where at a meeting of the CCM/E a member believes that another member has a conflict of interest in relation to any agenda item and has not declared that conflict of interest, the first-mentioned member may raise the matter with the CCM/E Chair. When such a matter is raised, the CCM/E Chair shall inquire into the issue raised including the basis on which there is a potential conflict of interest and any response from the person with the potential conflict of interest. The CCM/E members shall then decide on whether the person should continue to participate in the meeting or should recuse him/herself from the discussions

10. CONSEQUENCE OF FAILURE TO DECLARE CONFLICT OF INTEREST

Where a person is found to have participated in deliberations, the making of a recommendation or decision, or in another process in respect of which that person has a conflict of interest

- a) The result of the process shall be declared null and void by the CCM/E Chair, and the deliberations, recommendation, decision, or other process shall be reviewed in the absence of the person affected by the conflict of interest; and
- b) The CCM/E Chair shall refer all available information in relation to the conflict of interest to the CCM/E Executive Committee, which shall make a recommendation to CCM/E regarding appropriate action in respect of the person who has failed to declare the conflict of interest.

11. PUBLICATION OF CONFLICT OF INTEREST POLICY

CCM/E through appropriate sources, including the mass media, publicize this conflict of interest policy. Copies of this policy shall be made freely available to all persons, whether or not they are members of the CCM/E or any related body, to encourage the identification and reporting of any conflict of interest, potential conflict of interest, or perceived conflict of interest, in relation to any matters within the jurisdiction of the CCM/E. CCM/E shall also ensure an accessible mechanism for the reporting of such matters, and publicize the means by which such reports may be made.

12. ORIENTATION TO CONFLICT OF INTEREST POLICY

CCM/E shall ensure that at least once each year the members of CCM/E undergo orientation on their responsibilities regarding conflicts of interest and the requirements of this policy.

Country Coordinating Mechanism of Ethiopia (CCM/E) Conflict of Interest Declaration Statement

I, _____ (name), pledge to comply with the CCM/E Conflict of Interest Policy.

As a CCM/E member, a representative of a substantive CCM/E member, employee or other interested party, I shall not discuss, advocate or vote on any matter in which I have a conflict, or potential conflict of interest, or any interest, which might reasonably appear to be in conflict with the concept of fairness when dealing with the business of the CCM/E Global Fund funded Programs.

I acknowledge that a conflict of interest or a potential conflict occurs if:

- a) I have a separate, private, monetary, or other interest, either direct or indirect; and/or
- b) The Organization that I represent may have a financial, administrative, or programmatic interest in issues or transactions under consideration in the CCM/E.

I hereby certify that I have read and understood the Conflict of Interest Policy. I therefore confirm that if I violate this provision, the CCM/E through the Executive Committee will take appropriate measures outlined in the Conflict of Interest Policy.

I will also adhere to the Conflict of Interest Policy that requires me to declare a conflict or potential conflict of interest on a particular issue to the CCM/E during the relevant meetings. I will state the nature of the conflict and acknowledge whether it is a private or monetary interest - direct or indirect. In such cases I shall excuse myself from CCM/E discussions and voting concerning the matter in question.

I further acknowledge that I am obliged to raise any conflict of interest I may be aware of amongst other members of the CCM/E or implementing organizations to safeguard the CCM/E reputation and ensure it adheres to ethical standards, and conducts business in a balanced and transparent manner.

I undertake not to make allegations of conflict of interest except in good faith, and based on a genuine belief that such conflict or conflicts could compromise the transparency, accountability, inclusiveness of or public confidence in the CCM/E or other associated forum.

Name	
Constituency	
Position (member/alternate)	
Signature	
Date	