

CCM Evolution and Performance Frameworks

Presentation to the CCM Working Group

June 12 2015
Geneva, Switzerland

What are the Objectives and Deliverables of this Meeting?

Three Key Objectives



01. Share the outcomes of the Board meeting and the phased approach for CCM Evolution.

02. Provide input on the new CCM Eligibility Performance Assessment with differentiation

03. Provide input on metrics for the activities included in the first phase of CCM Evolution (phased approach)

Key Deliverable:
Metrics for the phased approach to be presented at the Strategy Committee Meeting in July for Input.

Agenda

1. Update on CCM Evolution
2. High-level Work Plan
3. Guiding Principles and Logic chain for the performance frameworks
4. New CCM EPA with differentiation
5. Metrics for the first phase of CCM Evolution
6. Roll-out of CCM Evolution and Next Steps

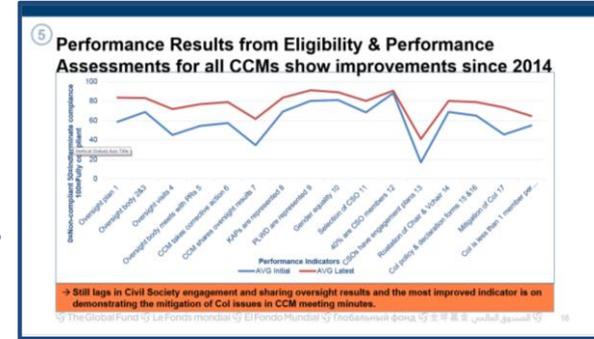
1

Update on CCM Evolution

Brief update on CCM Evolution project

- **At the June 2017** Strategy Committee meeting, the Secretariat presented results from the analysis of **Phase I** of the CCM Evolution process:
 - Overall performance of CCMs has improved, however there are still challenges with CS engagement and oversight
 - CCM performance is correlated with improved grant performance
- The SC requested that the Secretariat proceed with **Phase II** and begin regional consultations

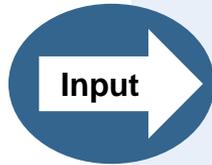
- **In August 2017**, the CCM Evolution consultative workshops and stakeholder consultations were launched jointly with partners.
- **In October 2017**, an update on the consultations conducted and the initial feedback from stakeholders was presented to the EGC and SC.
- **From November 2017- January 2018**, **Phase III** was launched, developing options for improved and differentiated CCM models, based on stakeholder input. The proposal was shared with 115 CCMs, and partners (including Board and Committee members) for consultation and feedback.



Key takeaways from the consultations include:

1. differentiate CCMs and introduce maturity levels
2. integration/linkages of CCMs into existing national coordination mechanisms
3. improving the quality of CCM members' engagements and the oversight function
4. strengthen internal functioning.

Topics presented in March 2018 for input and decision from SC, EGC & AFC



- I. CCM differentiation categories
- II. CCM maturity levels and activities



- Ia. Agree level of ambition for CCM evolution (SC)
- Ib. If agreed by SC, recommend to Board the approval of SI and/or ALM for CCMs (SC)
- II. Recommend to Board CCM Policy approval and delegation (SC)
- III. Code of Conduct for Country Coordinating Mechanisms (EGC)

1.1

Decision Point 1

SC recommends the following decisions to the Board

Decision Point 1

- a. Approval of the CCM Code of Conduct.
- b. Approval of \$1.22 million for the operationalization of the CCM Code of Conduct through the use of funds approved under *GF/AFC04/DP01*.
- c. Approval of a) the revision of the *Guidelines and Requirements for Country Coordinating Mechanisms* (now referred to as the CCM Policy), and;
- d. Delegation of authority to SC to approve future changes to the CCM Policy.

CCM Code of Conduct & Operationalization Approach

Substance of Code of Conduct	Set Tone	Train	Control	Enforce & Oversee
Duty of Care: Decisions should be driven by organizational mission and considerations of fairness	Code of Conduct (1 standard & well-consulted)	Training (training of trainers & e-modules)	Code of Conduct Certification (annual or at joining)	ER 6 Updated Ethics Focal point appointed Speak up within CCM, escalate to GF
Good governance and transparency principles should be abided by				
Values of integrity, accountability, dignity & respect should be lived daily				
Bullying, harassment, retaliation and other toxic behaviors are not permitted			Disclosures of Interest, Affiliation Map, Meeting Minutes	
Conflict of interest must be disclosed and managed			Certification, Disclosure, GF Integrity Due Diligence (IDD)	Respond to GF IDD; Report suspicion or knowledge to OIG; Refer to local law enforcement
Fraud and corruption is systematically prevented, detected, and responded to				

CCM Code of Conduct Operationalization Budget

TOTAL	Year 1	Year 2	Year 3
\$ 1.2 M	\$ 580.3 K	\$ 319.7 K	\$ 319.7 K

Overall Roll-Out

- GF Code of Conduct publication, translation, and distribution;
- CCM Operationalization of CCM Policy ER 6 by updating (a) Conflict of Interest Policies and (b) appointment of an Ethics Focal Point and (c) conflict of interest disclosure forms for CCM leadership;
- GF compliance checks of the above;
- GF development of software and guidelines for affiliation mapping; and
- GF development of e-module for training in Code of Conduct.



Enhanced Engagement

Covers 4 CCMs/year for highest allocated countries.
54% of allocation covered in 3 years.

- Technical assistance to (a) ensure that CCMs obtain accurate organograms and other core Global Fund Grant documents from PRs, (b) facilitate collective mapping of CCM member affiliations onto these organograms, and (c) conduct an enhanced training of how conflicts should be constructively managed while ensuring inclusiveness of stakeholders—in particular communities.
- GF performs Integrity Due Diligence on CCM Membership to detect whether they pose an integrity risk to the CCM or Grants.

Main changes to CCM Policy (formerly Guidelines and Requirements for CCMs)

Streamlined and re-organized the CCM Policy

- Simplified levels of guidelines: Requirements, Minimum Standards, Standards and Recommendations

Updated to reflect GF Strategy 2017-2022

- Addition in principle of Sustainability and Transition considerations
- Updated definition for Key Populations

Introduced key concepts from CCM evolution, for example:

- Introducing Differentiation
- Concept of Maturity Levels

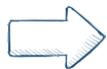
Strengthened focus on ethical conduct

- Inclusion of Code of Conduct
- Updated guidance on Ethics, Integrity and the Global Fund Policy to Combat Fraud and Corruption

Delegation to SC to make amendments and to Secretariat to implement

We will work in differentiated way with 3 categories of CCMs

1. Standard CCMs (~ 30 countries)



1. Standard CCMs* are CCMs that do not fall into the Transition Preparedness or Challenging Environments categories. Often these CCMs belong to countries that have at least one disease that is “severe” or “extreme” and where Global Fund pays for a large share of the national response.

2. “Transition Preparedness” CCMs (~ 55 countries)



2. Countries that are preparing to transition from Global Fund financing. Some of these countries are currently receiving or are projected to receive transition funding in less than two allocation periods. This group is composed of two sub-groups:

- a) *Transitioning*: all components receiving transition funding or are not eligible (about 10 countries)
- b) *Preparing for Transition*: Primarily Upper Middle Income countries, regardless of disease burden, and lower middle income countries with a disease component that is low or moderate disease burden (about 45 countries)

3. CCMs in “Challenging Contexts” (~ 23 countries)



3. This group is composed of countries that are under “Additional Safeguard Policy” and/or categorized as “Challenging Operating Environment”. Countries with precarious security situation relating to periodic political strife, governance change or weak leadership or localized conflicts as defined in the “Challenging Operating Environment” OPN. The CCMs in Challenging Contexts Model places emphasis on flexibility in adhering to Global Fund requirements

CCM Evolution should move CCMs along maturity levels

Not all CCMs will progress despite our collective best efforts

Most CCMs are still in the first two levels

Basic Governance

CCMs working to develop basic governance practices, such as Col management & information transparency

Oversight / Engaged

CCMs with stronger governance practices, effective engagement with civil society, including Key Populations, and grant oversight and risk management

Strategic

CCMs that strategically engage at the national level and tackle issues regarding long-term sustainability and influence on national programs.

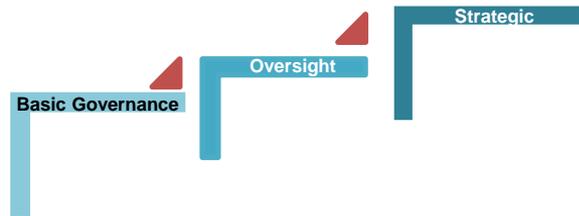


Each maturity level should reflect differentiation

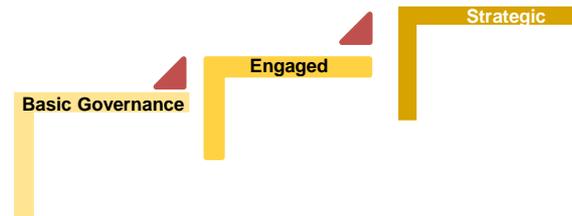
Maturity levels will be tailored to context

Differentiated Pathways for CCMs to mature, within each model

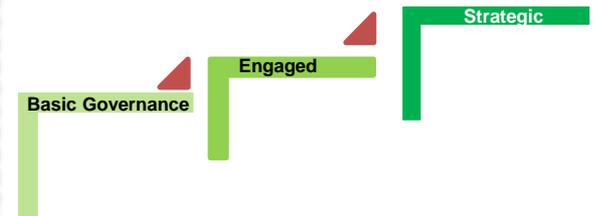
Standard Context



Transition Preparedness Context



Challenging Context



1.2

Decision Point 2

SC recommends the following decisions to the Board

Decision Point 2

- a. Approval of \$3.85 million to support the phased “Intermediate” level of ambition for the CCM evolution in 2018 and 2019 through the funds approved under *GF/AFC04/DP01*.
- b. Request to Secretariat to develop and report regularly on near and long term indicators
- c. Request to discuss the level of funding needed to scale the activities and number of CCMs during the development of the allocation methodology for 2020 – 2022.
- d. Request to the Secretariat to drive the execution through consistent engagement of relevant parts of the organization and with an appropriate mix of resources.

SC recommends a phased roll-out of the intermediate option

A **phased implementation of the intermediate option** would consist of:

- Rolling-out the **proposed activities in the intermediate option**
- Beginning scale up with **16 countries during this allocation period**
- Introducing **indicators** to track and monitor performance. They will be used to further tailor activities based on evidence
- **Strong commitment** from the **Board, the Secretariat and partners** at country level to support effective implementation
- Driving the execution of CCM Evolution through **consistent engagement of relevant parts of the Secretariat** and with an **appropriate mix of resources**

Level of future funding to scale activities and numbers of CCMs would be confirmed during discussions of Catalytic Funding for the next allocation cycle

Activities will be carried out in four key areas

- Four areas of focus emerged from consultations



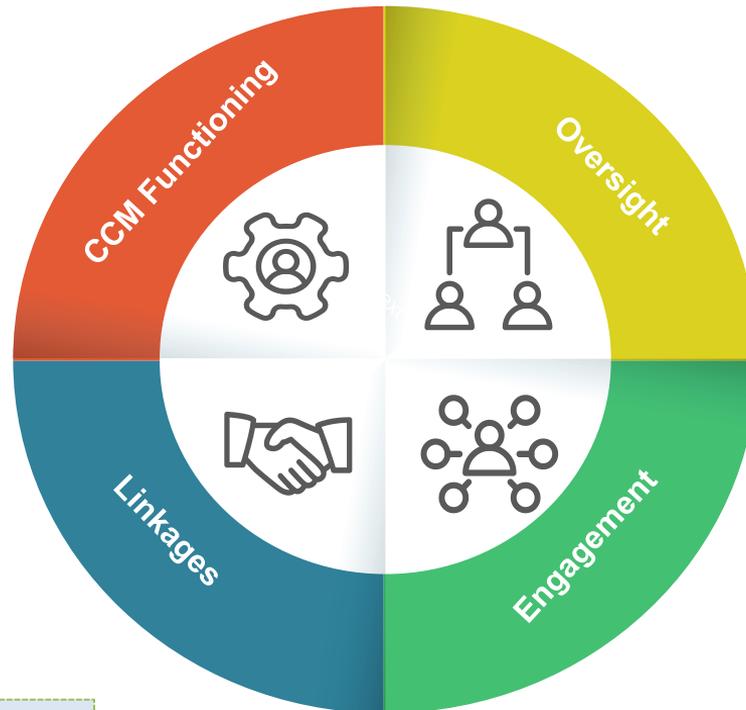
CCM Functioning (incl. CCM Secretariat)

- Systematizing activities which have demonstrated to improve CCM functioning (i.e. Ethics and CCM Code of Conduct, how to elect members...)



Linkages

- Maximizing the collaboration and coordination between the CCM and the other forums.
- On a case by case basis, evaluating opportunities to integrate CCMs into national structures.



Oversight

- Professionalizing the oversight function to maximize impact on grant performance.
- Ensuring that the CCM oversight function is better integrated with portfolio management

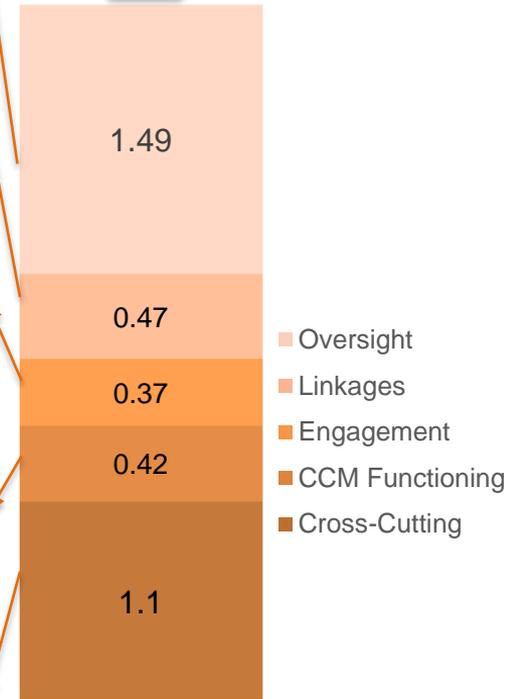


Engagement

- Stimulating a strong and committed CCM leadership.
- Ensuring better communication between CCM members and their constituency members

Phased Roll-Out: What are the included activities?

\$ 3.85



Cost (2018-2019)

Years - Cost in Millions (USD)

Oversight (Cost covers implementation for 16 CCMs):

- Equipping each CCM Secretariat with an 'Oversight Officer' (if not already the case), with the purpose of supporting the oversight operations and risk management plan follow up.
- Equipping each CCM with a consultant (5 days a month) to guide the CCM Oversight Committee in its process and dynamics.
- Equipping each CCM with tools to ensure proper oversight function (including, where available, follow up on Risk assurance plan).
- Providing the opportunity to access technical support to support the transition (for Transition Preparedness CCMs).

Linkages (Cost covers implementation for 16 CCMs):

- Supporting each CCM (provision of technical support) to conduct (1) an analysis of the existing coordinating platforms and (2) their first annual meeting with the other platforms in order to agree upon a set of deliverables for the year.
- Supporting each CCM (provision of technical support) to conduct (1) an analysis of the existing coordinating platforms and (2) the design of how the CCM functions (and GF principles) can be streamlined in the future coordination platform. This includes in particular how Civil Society can play a role in coordination and oversight after the GF era (for Transition Preparedness CCMs).

Engagement (Cost covers implementation for 16 CCMs):

- Arranging for civil society providers to deliver trainings to civil society organizations (mostly south-to-south), including key and vulnerable populations to strengthen their leadership and to enable them to play their roles as CCM members.
- Engaging with existing "Community Based Monitoring" entities (wherever available) so that they can monitor CCM performance.
- Providing 'South-to-South' opportunities (workshops) to exchange and learn about how to manage transition planning, design and execution (for Transition Preparedness CCMs).

CCM Functioning (Cost covers implementation for 16 CCMs):

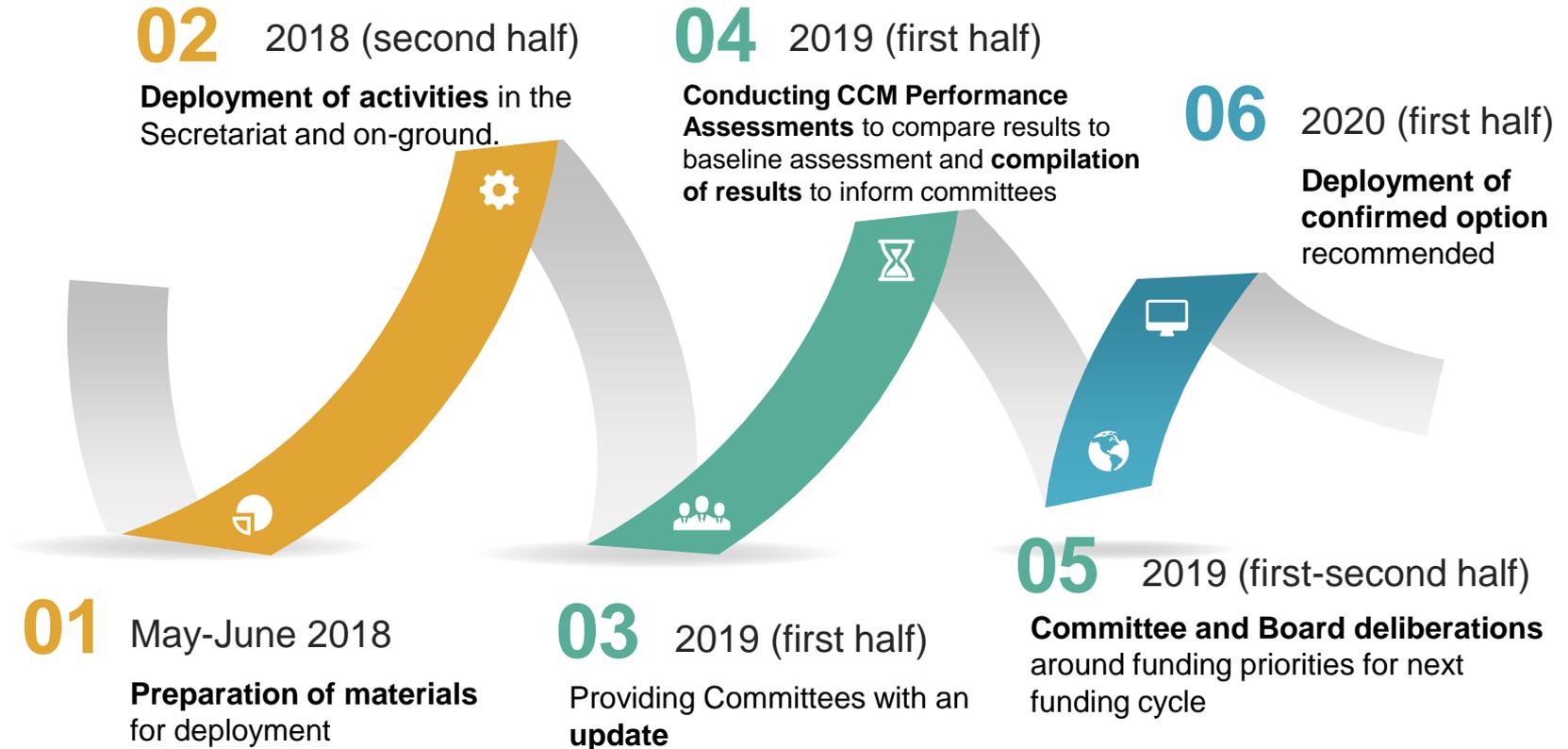
- Providing each CCM with a leadership training for the Executive committee members.
- Training each CCM Secretariat on supporting functions and relevant processes and tools.
- Ensuring the GF Secretariat (CT and/or CCM Hub) participates in at least one CCM plenary meeting and 2 oversight committee meetings per year.
- Assessment and update of CCM Composition to include new stakeholders, including Ministry of Finance/Planning/Budget, etc. who can support sustainability of the national response. Training each CCM Secretariat on supporting functions and relevant processes and tools (for Transition Preparedness CCMs).

Cross-Cutting (Cost covers implementation for 16 CCMs):

- Training consultants for CCMs on new EPA, transition support and conducting eligibility and performance assessments
- Additional Global Fund Secretariat support, including consultant to support measurement framework; data collection and analysis; development of tools, guidance and training materials and project management support.

Illustrative timeline of next steps

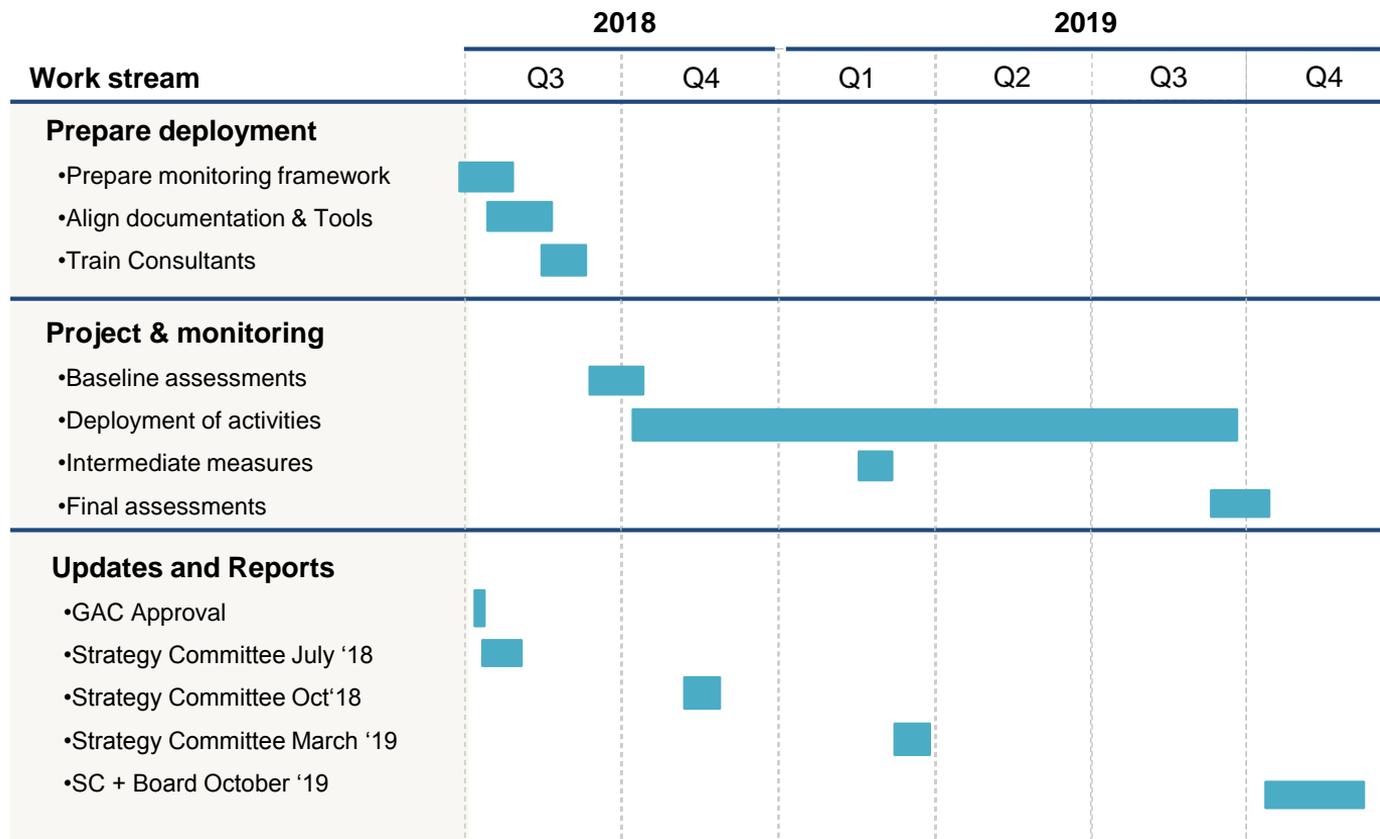
Implementation with 16 countries can continue throughout this allocation period



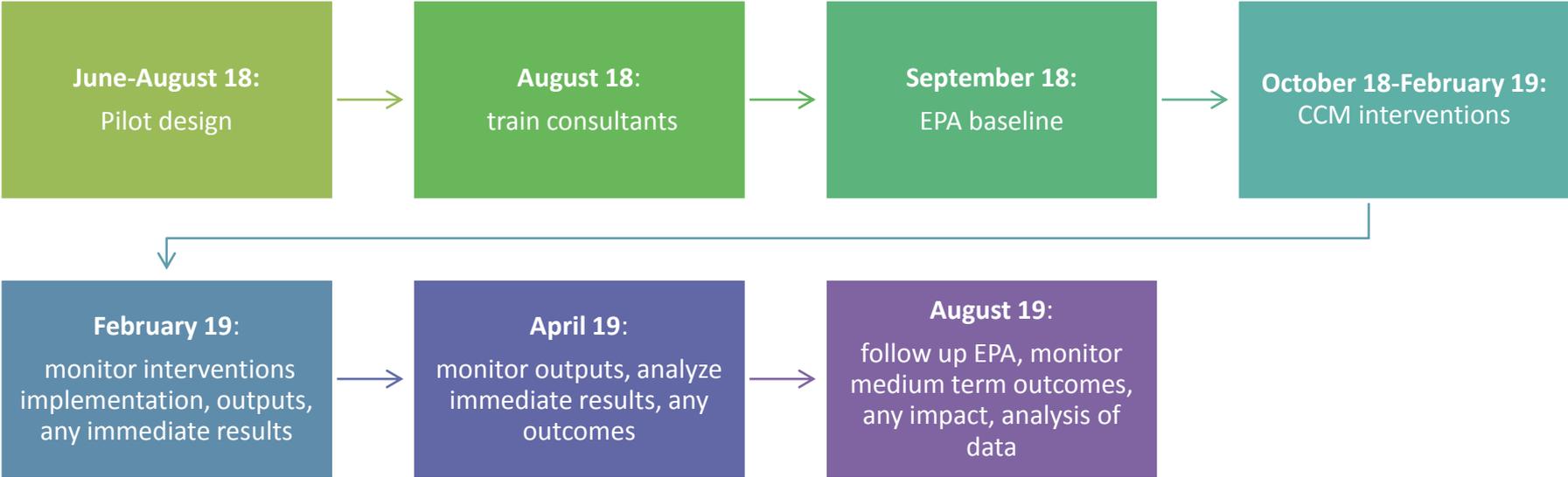
2

High-level Work Plan

Phased Roll-Out – Indicative work plan



Illustrative Timeline for performance assessment of CCM Evolution



3

Guiding Principles and Logic Chain for Performance Frameworks

Guiding Principles for the Phased approach

Our Guiding Principles

1. Align with GF Strategy

2. Looking for “game changers”: a change in the way we operate is needed, at all levels (GF Sec, CCMs, TA providers).

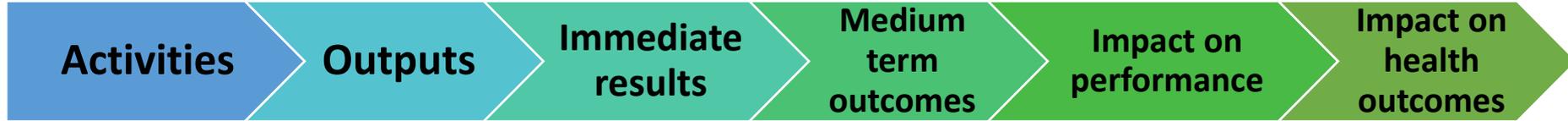
3. Build upon existing: starting with the existing frameworks, leveraging what works.

4. Moving from “compliance” to “strategic” engagement: from input/process’ to ‘impact’ (in a progressive manner)

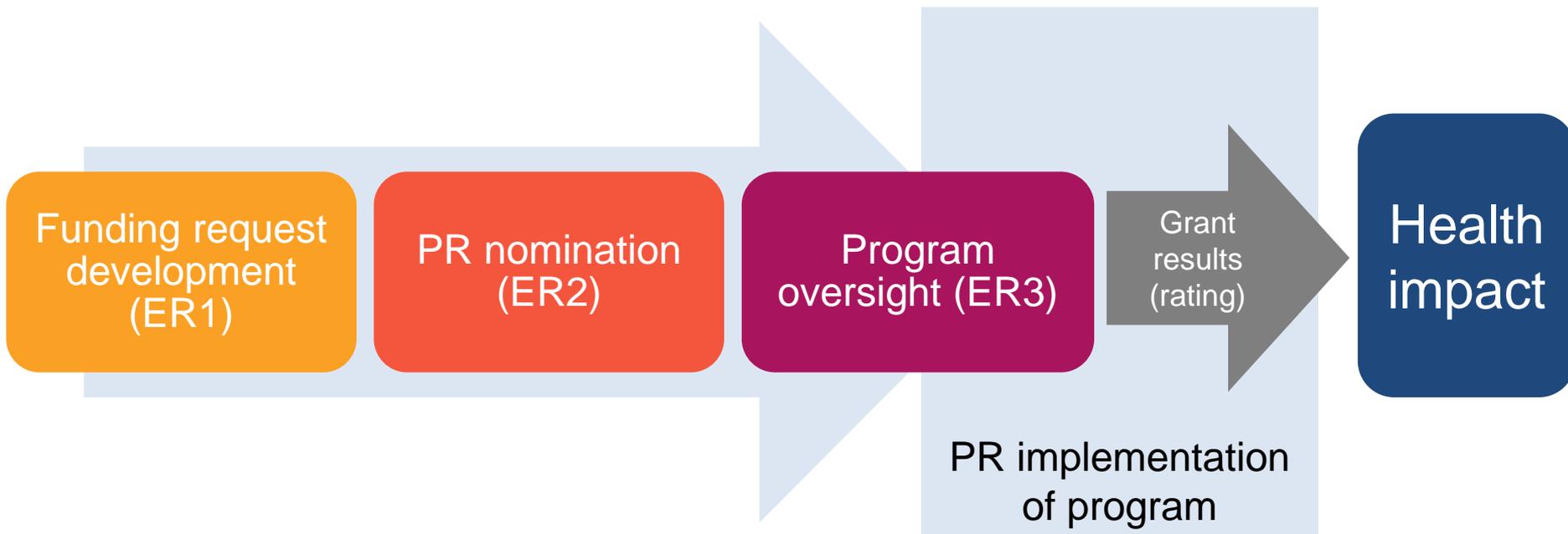
5. Feasible and replicable: what we design should be implementable and replicable

6. Level of Analysis: focus will be on the indicator level

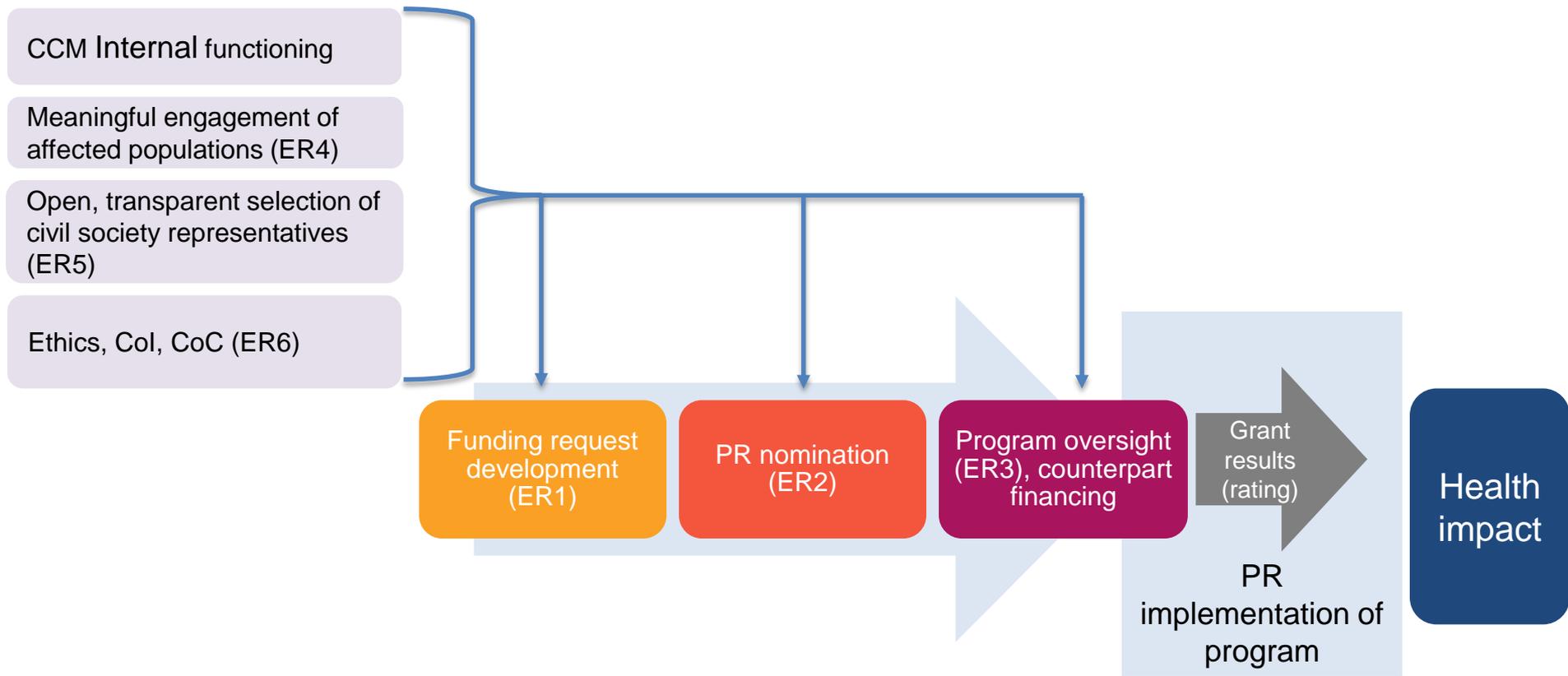
Logic Chain for the Performance Frameworks



Logic chain of grant cycle



Logic chain of CCMs effect on grant life cycle



Group work: Guiding Questions

Guiding Questions – Overarching Questions	Yes	No
1. Is the results chain from outputs to medium term outcomes logical?		
2. Are there any major objections to the indicators? (describe)		
3. Is it feasible to collect the evidence/data in a standardized way including through the EPA?		
Guiding Questions – Specific Questions	Yes	No
4. Are there any minor edits to the indicators to be made? (indicate item and correction on a separate sheet)		

4

New CCM EPA with Differentiation

Working session on the new CCM Framework with differentiation

Objective of the session

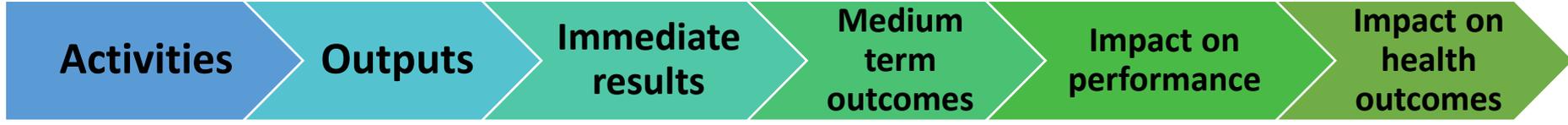


To review the new CCM
Eligibility Performance
Framework with differentiation



Key Deliverable:
Input into the CCM
Framework with
differentiation

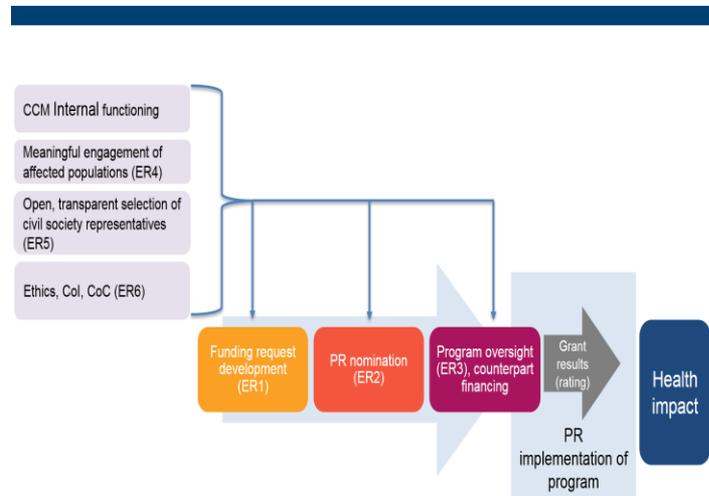
Format of the CCM Performance Framework (New EPA)



Principles	CCM Eligibility Requirement	Input	Output	Immediate Outcome	Medium Term Outcome	Impact

Content of the CCM Performance Framework

Thematic function	Outputs	Immediate Results	Medium term outcomes	Health impact
Internal functioning				
ER3 Oversight				
ER4 Engagement				
ER5 Selection of members				
ER6 Ethics				



The Global Fund | Le Fonds mondial | El Fondo Mundial | Глобальный фонд | 全球基金 | الصندوق العالمي

27

Not all requirements lead to direct health impact but improve CCM functions that in turn leads to impact

Session 1 Group work: Guiding Questions

Guiding Questions – Overarching Questions	Yes	No
1. Is the results chain from outputs to medium term outcomes logical?		
2. Are there any major objections to the indicators? (describe)		
3. Is it feasible to collect the evidence/data in a standardized way including through the EPA?		
Guiding Questions – Specific Questions	Yes	No
4. Are there any minor edits to the indicators to be made? (indicate item and correction on a separate sheet)		

5

Metrics for Phased Approach

Working session on the metrics for the phased approach

Objective of the session



To provide input on the metrics for the activities included in the phased approach



Key Deliverable:
Metrics to be shared with the Strategy Committee in July for Input

Phased Roll-Out: What activities are included?

\$ 3.85

Oversight (Cost covers implementation for 16 CCMs):

- Equipping each CCM Secretariat with an 'Oversight Officer' (if not already the case), with the purpose of supporting the oversight operations and risk management plan follow up.
- Equipping each CCM with a consultant (5 days a month) to guide the CCM Oversight Committee in its process and dynamics.
- Equipping each CCM with tools to ensure proper oversight function (including, where available, follow up on Risk assurance plan).
- Providing the opportunity to access technical support to support the transition (for Transition Preparedness CCMs).

Linkages (Cost covers implementation for 16 CCMs):

- Supporting each CCM (provision of technical support) to conduct (1) an analysis of the existing coordinating platforms and (2) their first annual meeting with the other platforms in order to agree upon a set of deliverables for the year.
- Supporting each CCM (provision of technical support) to conduct (1) an analysis of the existing coordinating platforms and (2) the design of how the CCM functions (and GF principles) can be streamlined in the future coordination platform. This includes in particular how Civil Society can play a role in coordination and oversight after the GF era (for Transition Preparedness CCMs).

Engagement (Cost covers implementation for 16 CCMs):

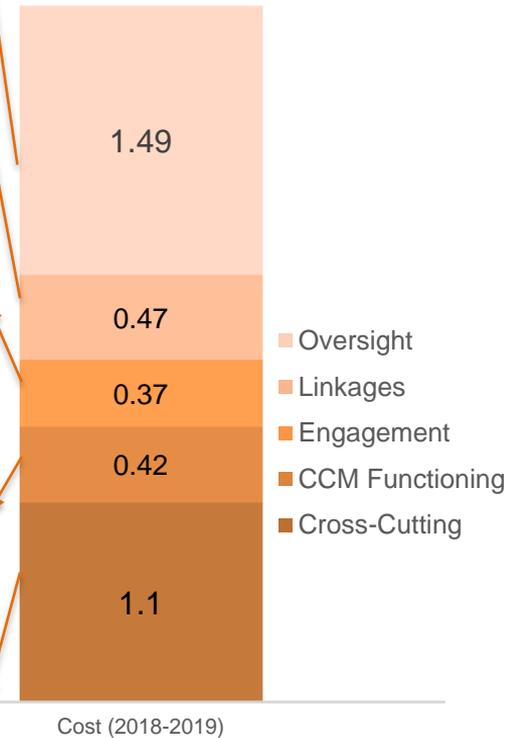
- Arranging for civil society providers to deliver trainings to civil society organizations (mostly south-to-south), including key and vulnerable populations to strengthen their leadership and to enable them to play their roles as CCM members.
- Engaging with existing "Community Based Monitoring" entities (wherever available) so that they can monitor CCM performance.
- Providing 'South-to-South' opportunities (workshops) to exchange and learn about how to manage transition planning, design and execution (for Transition Preparedness CCMs).

CCM Functioning (Cost covers implementation for 16 CCMs):

- Providing each CCM with a leadership training for the Executive committee members.
- Training each CCM Secretariat on supporting functions and relevant processes and tools.
- Ensuring the GF Secretariat (CT and/or CCM Hub) participates in at least one CCM plenary meeting and 2 oversight committee meetings per year.
- Assessment and update of CCM Composition to include new stakeholders, including Ministry of Finance/Planning/Budget, etc. who can support sustainability of the national response. Training each CCM Secretariat on supporting functions and relevant processes and tools (for Transition Preparedness CCMs).

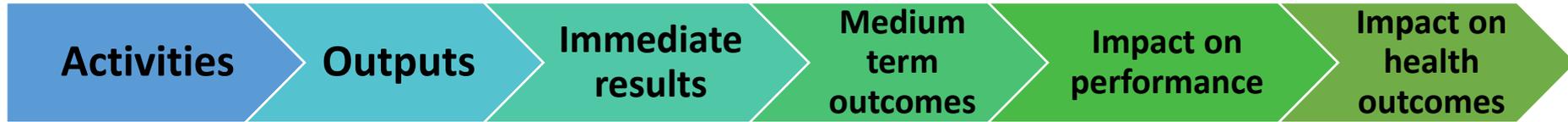
Cross-Cutting (Cost covers implementation for 16 CCMs):

- Training consultants for CCMs on new EPA, transition support and conducting eligibility and performance assessments
- Additional Global Fund Secretariat support, including consultant to support measurement framework; data collection and analysis; development of tools, guidance and training materials and project management support.



Years - Cost in Millions (USD)

Logic Chain for the Performance Frameworks



Format of the performance framework and metrics for the Phased Approach

Area	Activities	Outputs	Output Measurement (Feb 2019)	Immediate outcomes (data produced 1st April- Presented in May)	Intermediate Outcomes - Measurement (data collected 1st April and Reported on May 2019)	Medium term outcomes	Measurement (September 2019)	Impact

Session 2 Group work: Guiding Questions

Guiding Questions – Overarching Questions	Yes	No
1. Is the results chain from activities to medium term outcomes logical?		
2. Are there any major objections to the indicators? (describe)		
3. Is it feasible to collect the evidence/data in a standardized way for the 16 countries with either the EPA or a separate data collection instrument ?		
Guiding Questions – Specific Questions	Yes	No
4. Are there any minor edits to the indicators to be made? (indicate item and correction on a separate sheet)		

6

Roll-out of CCM Evolution and Next Steps

CCM Evolution

Country Selection - Criteria

Should, at least, contain countries from Africa and Asia

Indicators	Standard Group
# 1	Country is representative (not an outlier)
# 2	B2/C rated grants
# 3	Strong leadership (preferably)

Should contain '*Chronic instability*' as well as '*Emergency*', if possible

Indicators	COE Group
# 1	Country is representative (not an outlier)
# 2	Strong leadership (preferably)
# 3	

Should contain countries from LAC and EECA and should have countries with '*Immediate*' and '*Later*' Timings.

Indicators	Transition Group
# 1	Country is representative (not an outlier)
# 2	Fertile political environment
# 3	Strong leadership (preferably)

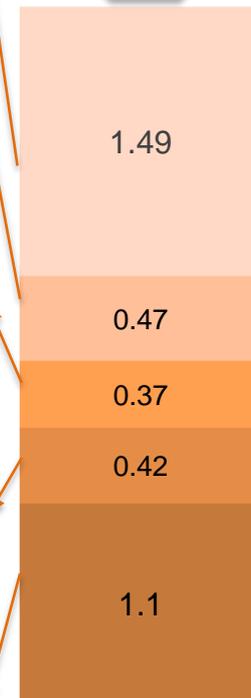
All maturity levels should be represented

Preliminary list of countries

#	CCM Name	Team	D4I	CCM context	CCM Maturity
1	Benin	Central Africa	Core	Standard	Basic
2	DRC	High Impact Africa 1	High impact	COE	Oversight
3	Mozambique	High Impact Africa 2	High impact	Standard	Oversight
4	Uganda	High Impact Africa 2	High impact	Standard	Oversight
5	Haiti	LAC	Core	COE	Basic
6	Nepal	South East Asia	Core	Standard	Basic
7	Lesotho	Southern Africa	Core	Standard	Basic
8	Madagascar	Southern Africa	Core	Standard	Basic
9	Burkina Faso	West Africa	Core	Standard	Oversight
10	Guatemala	LAC	Core	Transition	Basic
11	Colombia	LAC	Focused	Transition	Basic
12	Suriname	LAC	Focused	Transition	Oversight
13	Albania	EECA	Focused	Transition	Oversight
14	Romania	EECA	Focused	Transition	Basic
15	Russia	EECA	Focused	Transition	Basic
16		High Impact Asia	High impact	Standard	
17	Niger	West Africa	Core	COE	Basic
18	Eritrea	MENA	Focused	COE	Oversight

Phased Roll-Out: What are the included activities?

\$ 3.85



- Oversight
- Linkages
- Engagement
- CCM Functioning
- Cross-Cutting

Cost (2018-2019)

Years - Cost in Millions (USD)

Oversight (Cost covers implementation for 16 CCMs):

- Equipping each CCM Secretariat with an 'Oversight Officer' (if not already the case), with the purpose of supporting the oversight operations and risk management plan follow up.
- Equipping each CCM with a consultant (5 days a month) to guide the CCM Oversight Committee in its process and dynamics.
- Equipping each CCM with tools to ensure proper oversight function (including, where available, follow up on Risk assurance plan).
- Providing the opportunity to access technical support to support the transition (for Transition Preparedness CCMs).

Linkages (Cost covers implementation for 16 CCMs):

- Supporting each CCM (provision of technical support) to conduct (1) an analysis of the existing coordinating platforms and (2) their first annual meeting with the other platforms in order to agree upon a set of deliverables for the year.
- Supporting each CCM (provision of technical support) to conduct (1) an analysis of the existing coordinating platforms and (2) the design of how the CCM functions (and GF principles) can be streamlined in the future coordination platform. This includes in particular how Civil Society can play a role in coordination and oversight after the GF era (for Transition Preparedness CCMs).

Engagement (Cost covers implementation for 16 CCMs):

- Arranging for civil society providers to deliver trainings to civil society organizations (mostly south-to-south), including key and vulnerable populations to strengthen their leadership and to enable them to play their roles as CCM members.
- Engaging with existing "Community Based Monitoring" entities (wherever available) so that they can monitor CCM performance.
- Providing 'South-to-South' opportunities (workshops) to exchange and learn about how to manage transition planning, design and execution (for Transition Preparedness CCMs).

CCM Functioning (Cost covers implementation for 16 CCMs):

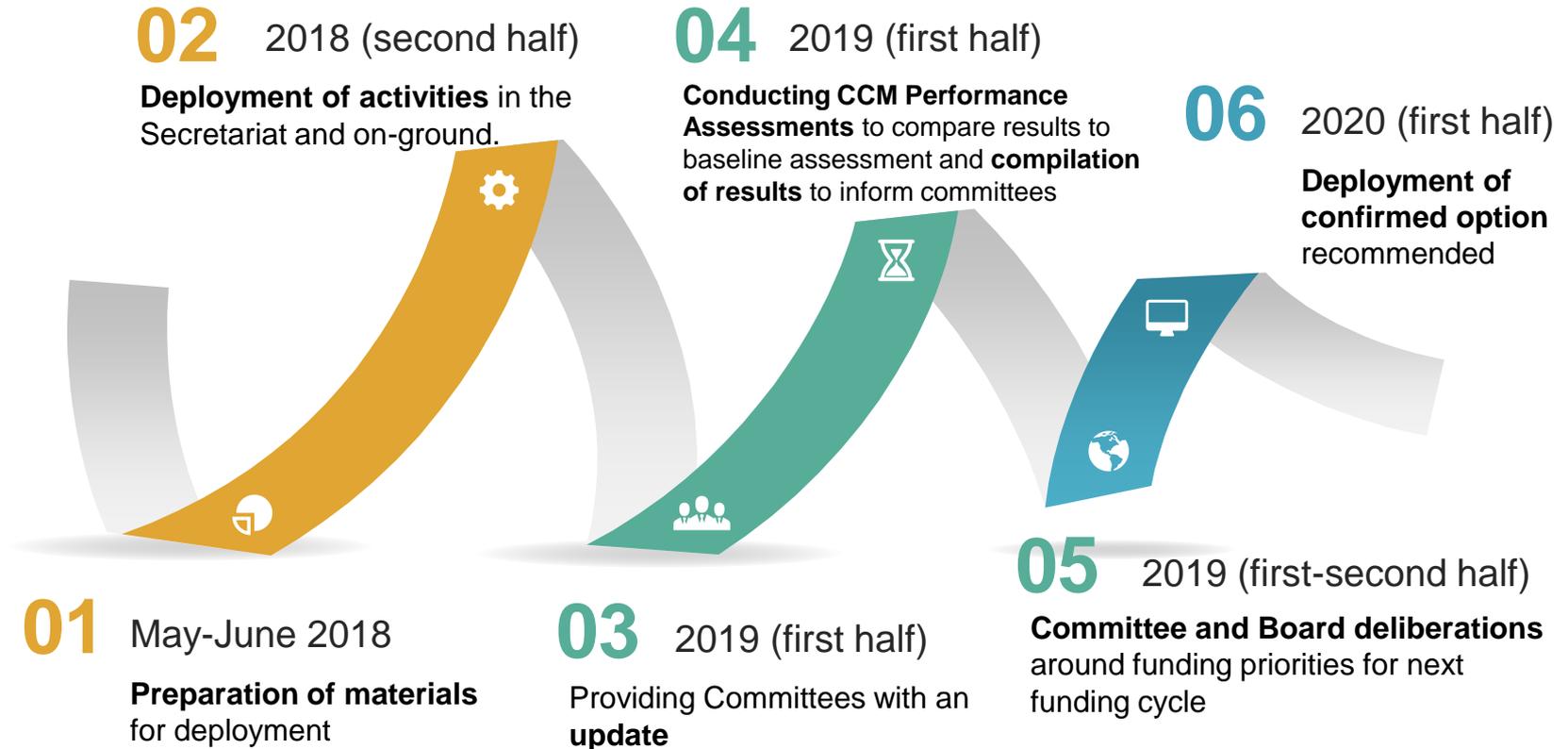
- Providing each CCM with a leadership training for the Executive committee members.
- Training each CCM Secretariat on supporting functions and relevant processes and tools.
- Ensuring the GF Secretariat (CT and/or CCM Hub) participates in at least one CCM plenary meeting and 2 oversight committee meetings per year.
- Assessment and update of CCM Composition to include new stakeholders, including Ministry of Finance/Planning/Budget, etc. who can support sustainability of the national response. Training each CCM Secretariat on supporting functions and relevant processes and tools (for Transition Preparedness CCMs).

Cross-Cutting (Cost covers implementation for 16 CCMs):

- Training consultants for CCMs on new EPA, transition support and conducting eligibility and performance assessments
- Additional Global Fund Secretariat support, including consultant to support measurement framework; data collection and analysis; development of tools, guidance and training materials and project management support.

Illustrative timeline of next steps

Implementation with 16 countries can continue throughout this allocation period



Thank you!

Annex 1

Logic Chain for the Performance Frameworks

- **Activities** – these are the activities of the CCMs themselves
- **Outputs** – these are the outputs of those activities, such as updated governance documents or # of CCM members oriented.
- **Immediate results** – these are the immediate translation of outputs into actions and decisions which often go beyond the CCM, such as when, as a result of oversight activities leading to a CCM decision (output), a CCM has intervened with the Customs Authority to enable a PR to obtain the tax exemption to bring bed nets into the country on time (immediate result).
- **Medium term outcomes** – The medium term for a CCM is 1-2 years. Some outcomes are specific to the CCM (such as % funds absorption of the CCM budget), while others are specific to the grants and demonstrate the added value of the CCM's efforts. For example, where a CCM has been instrumental in supporting government to schedule the counterpart financing (output), and the financing has been made available (immediate result), the medium term outcome is expanded scope of program implementation (e.g. more services, more coverage).
- **Impact on grant performance** – expressed in terms of grant indicators.
- **Targets** are usually set for medium term outcomes and impact, but can also be set for outputs and immediate results in the case of complex activities.