



## Report: Workshop for Strengthening CCMs as Public-Private Partnerships

*28 -30 March, 2005, Heritage Village, Manasar, Gurgaon, India*

### Executive Summary

The Global Fund conducted the *Workshop for Strengthening CCMs as Public-Private Partnerships* from 28 -30 March, 2005, Heritage Village, Manasar, Gurgaon, India. The main objective of this workshop, funded by GTZ, USAID and WHO India, was to clarify roles and responsibilities, in particular the requirements of CCMs during the life cycle of the grant.

The workshop agenda was designed to facilitate CCMs learning from each other by sharing experiences through presentation of case studies of selected CCMs and through more in-depth discussions during the working group sessions. The workshop was also consistent with the Global Fund's efforts to listen and learn from the recipient countries.

Twenty eight participants from six countries in South Asia participated in the workshop. Participants identified constraints and barriers to meeting the CCM requirements and formulated recommendations to ensure true multi-sectoral representation, participatory and inclusive functioning of CCMs. Each CCM developed a 12 month follow-up action plan to be implemented by CCMs with support from country level partners.

### Summary of the major recommendations:

*Addressed to Country Coordinating Mechanisms (CCMs) related to:*

#### **CCM Requirement on representation and participation of stakeholders in CCMs and in the implementation of approved grants:**

- Put in place a decentralization process, depending on the size of countries, for example the creation of a regional/Sub-CCM to ensure geographical representation;
- Provide information in local languages and translation facilities where possible to make CCM meetings participatory;
- Rotate CCM chairs to ensure better representation and participation of other sectors;
- Facilitate external funding for CCM secretariat, which could then contribute to putting processes in place;
- Build skills of People living with the diseases in negotiation, articulation and communication and in core technical capacities as needed;
- Advocate for inclusion of people living with diseases including TB and Malaria and fight stigma;
  - Strengthen networking among the NGOs.

*Addressed to the Global Fund Secretariat*

- Provide sustainable financial/logistic support to the CCM Sec;
- Provide logistic and technical assistance for the establishment/strengthening of an information net work between Global fund, LFA, CCM members and the implementers;

*Addressed to CCMs related to **transparent and inclusive proposal development process:***

- Establish mechanisms for participation of different stake holders/sectors in the process, which includes:
  - timely announcement for proposal submission with detailed articulation of priorities, national policies, strategic plans, for the country proposal;
  - Facilitation of technical support for proposal development from UN agencies;

- Facilitation of skills development for civil society;
- Provide, in consultation with all the stakeholders, clear guidelines for addressing conflict of interest.

*Addressed to CCMs related to **implementation oversight role of CCMs:***

- Establish/strengthen CCM secretariat;
- Establish oversight sub-committee with CCM and non CCM members to ensure broader/technical inputs for oversight, including field visits;
- Facilitate adequate resources and technical assistance to carry out the oversight function;

*Addressed to CCMs related to **Phase two renewal:***

- Facilitate capacity building in project management for CCM members, PRs, SRs
- Learn from experiences and performance of other CCMs (information available in GF website);

*Addressed to Global Fund Secretariat:*

- Facilitate a clearer understanding of Phase II criteria

*Addressed to CCMs related to **technical assistance:***

- Create a database of technical assistance and put in place a process of accreditation;
- Encourage and enhance local capacity for provision of technical assistance;
- Include technical assistance as an integral package within the Country proposal;
- Establish a technical panel to assist the CCM to plan and coordinate technical assistance at all stages to avoid technical assistance being ad hoc;
- Conduct needs assessment to ensure that CCM decisions on technical assistance are evidence based

*Addressed to CCMs related to **Harmonization and coordination***

- Commit to the '3 Ones' at National and/or State Level;
- Ensure proportionate representation of different stake holders in CCM;
- Develop/strengthen networking and advocacy between CCM and other stake holders for sharing of information on program priorities and implementation status.
- Call on Governments to put in place a National M&E framework

The analysis of evaluation conducted at the end of each day indicated that the workshop met the expectations of the participants in terms of them having gained a better understanding of the CCM roles, responsibilities and requirements. The participants confirmed that the participatory approach of the workshop facilitated the sharing of lessons learnt and the sharing of experiences among the CCMs. The participants strongly recommended that the Global Fund Secretariat conduct similar workshops on a periodic basis.

## **Introduction to the Workshop**

1. CCMs have, during the case study documentation and at regional meetings, requested the Global Fund Secretariat to provide clarity on their roles and responsibilities not only during proposal development but also during implementation of approved grants. Participants at the Partnership Forum in July, 2004 in Bangkok also recommended that the Global Fund Secretariat facilitate a clearer understanding of the Global Fund Guidelines to CCMs through sharing of lessons learned on what has worked for CCMs to function effectively as true public-private partnership.
2. In response to these requests, the Global Fund Secretariat conducted the first of a series of regional CCM workshops entitled '*Workshop for Strengthening CCMs as Public-Private Partnerships*' from 28-30 March, 2005 at the Heritage Village Manesar Gurgaon, India. The main objective of this workshop was to provide a clearer understanding of roles and responsibilities of CCMs during the life cycle of the grant and of the Global Fund Board approved CCM requirements. The workshop was timely since these requirements will be used to determine eligibility of proposals submitted from Round 5 and Phase 2 Requests For Continued Funding submitted from June 1, 2005 onwards.
3. The workshop agenda was designed to provide a platform for CCMs to learn from each other by sharing experiences through presentation of case studies of selected CCMs and through more in-depth discussions during the working group sessions. The workshop was also consistent with the Global Fund's efforts to listen and learn from the recipient countries. Annex 1: Agenda of the workshop. A total of 29 CCM members from CCMs in Bangladesh, Bhutan, India, Nepal, Maldives, Sri Lanka participated in the workshop. Unfortunately, Pakistan was not able to participate due to problems of obtaining the Indian visa on time. Representatives from the DFID, SIDA USAID, WHO joined the workshop for selected sessions as observers. Ms Anandi Yuvaraj, The Community Board member of Global Fund Board attended as an observer. (Annex 2: List of participants).
4. The workshop was supported by GTZ, USAID and WHO India. Family Health International with funding from USAID organized the logistic support for the workshop.

## **Introductory plenary session: Setting the Framework for the workshop**

5. Mr S.Y Quarashi, Director General, National AIDS Control Organization and Additional Secretary Health, in his brief opening remarks welcomed the participants and said that the workshop was timely in view of the 5<sup>th</sup> Call for proposals and the recently implemented CCM requirements. Staff of the Global Fund Secretariat, during the introductory plenary session 'Setting the Framework', reviewed the objectives and agenda for the workshop and presented an overview of the Global Fund, including a review of the life cycle of the grant followed by a presentation on the CCM roles, responsibilities and requirements for CCM compliance<sup>1</sup>. The participants submitted their expectations for the workshop.

## **Working group session 1 and report back plenary session: CCM Requirement on representation and participation of stakeholders in CCMs and in the implementation of approved grants**

6. Two country case studies were presented to set the framework for the working group sessions. CCM Bangladesh described their process of promoting the *Participation of the civil society including the private sector in the CCM and in implementation*. They presented the example of the Government-BRAC led NGO Consortium comprising of a network of Civil Society for the implementation of the third Round TB component.

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<sup>1</sup> All presentations are attached for reference

Technical partners, including the Professional bodies, Research & Academic Institutions, provide technical support.

7. CCM India shared, with the participants, the process of participation of People Living with AIDS in the CCM and in implementation. The President of the Indian Network of People Living with HIV/AIDS (INP+) is the Vice Chair of the CCM. The presentation described the consultation & feedback process with members of the sector and highlighted the participation of INP+ and its state level networks in the development of the Round 4 proposal. INP+ is a member of the NGO Consortium which is one of the implementing bodies of the HIV/AIDS Fourth Round grant.

**Process of selection/election of stakeholder representation for the CCM including representation from outside the capital city**

8. Working group 1 on issues and recommendations related to a more participatory selection/election process of NGO representatives in CCMs, confirmed that currently, members are hand-picked by the government mainly by the Chair and hence it would be difficult for CCMs in the region to meet the requirement on transparent selection process. Weak information systems, limited or no access to financial resources particularly for CCM secretariats and to support travel of participants from outside the capital city were identified as constraints to a more participatory process of selection of members.
9. To ensure the transparent selection/election process of stakeholder representation by the sectors themselves in the CCM including representation from outside the capital city, the group recommended that the CCMs:
  - put in place a decentralization process depending on the size of countries for example the creation of a regional/Sub-CCM to ensure geographical representation;
  - facilitate the process of stake holders/sector selection of their own members by their own process (voting process) to ensure transparency, accountability and participation;
  - should follow the guidelines of global fund strictly;The CCMs recommended to the Global Fund Secretariat:
  - To accept the minutes of the CCM meetings as documentary evidence for selection/election;
  - Provide sustainable financial/logistic support to the CCM Sec;
  - Provide logistic and technical assistance for the establishment/strengthening of an Information net work between Global fund, LFA,CCM members and the implementers should be strengthened by GF by giving;
10. The recommendation on decentralization was further discussed following the presentation. State level mechanisms were a preferred option for India due to the decentralization of legislative powers to the states in India. To avoid duplication of processes and the setting up of parallel governing structures, it was suggested that states use existing entities to assume decentralized CCM responsibilities. The state level CCMs or committees should report to the national CCM, and proposals to be approved by the national CCM.
11. To ensure that CCM members represent their sectors effectively and not only their organizations, they should have regular consultations with the sectors to be able to accurately represent the voice of their constituencies. Representatives of different sectors could be rotated annually/2 years. It was reiterated that CCM Chair and Vice Chair should represent different entities.

**Participation of the civil society (private sector, NGOs, CBOs, Faith-based organization) in the CCM and in implementation**

12. Working Group 2 reviewed the current status of civil society including private sector representation. In Bhutan and Maldives, there are few NGOs and private sector

organizations and even these are not well developed. In Nepal and in Bangladesh, there is no participatory process for any sector since governments hand-pick members. India has a vibrant civil society and private sector but a transparent process for member selection/election is yet not in place. The group also pointed out that true participation is impaired not only due language limitation but also the lack of capacity to be heard and to influence discussions and decisions. In terms of lessons learned, the group shared two examples of what has worked: the NGO-Government led partnership for implementation of the TB component and in India, the Private consortium for implementation of the HIV/AIDS grant.

**13. The working group recommended that CCMs :**

- Develop Guidelines for strengthening representation and mechanisms for ensuring compliance to requirements;
- Ensure language used understandable and make CCM meetings participatory,;
- Rotate CCM chairs to ensure better representation and participation of other sectors;
- Facilitate external funding for CCM secretariat, which could then contribute to putting processes in place;

During the discussions, the participants pointed out that participation could be constrained by factors such as by power dynamics between government and non-government organization representatives, lack of CCM members' capacity/skills to participate in meetings. A recommendation to provide training to CCM members in negotiation and participatory decision-making skills.

**Participation of people living with the diseases in the CCM and in Implementation**

**14.** Working group 3 reviewed and analysed current processes & tools of participating CCMs to promote true & equal participation of people living with the diseases in CCMs and in implementation of Global Fund approved grants. In the group's report back, they identified stigma, language limitations and limited technical and negotiation skills of People living with diseases being barriers to their effective participation in CCMs and in implementation. The government venue for the meetings and the short notice of the meetings were also identified as constraints.

**15.** To strengthen the participation of communities living with the diseases in CCMs and in implementation, the working group recommended that CCMs:

- Put in place transparent processes for selection of representatives of people living with the diseases for the CCM;
- The Vice Chair of the CCM should be from the NGO sector on a rotating basis;
- Advance notice of meeting with agenda for all CCM meetings, which should preferably be held in a neutral venue;
- Build skills in negotiation, articulation and communication and core technical capacities as needed;
- Provide information in local languages and translation facilities where possible;
- Undertake all measures to fight stigma of people living with AIDS
- Advocate for inclusion of people living with diseases including TB and Malaria;
- Strengthening networking among the NGOs

**Participation of the private sector through co-investment**

**16.** The Senior Adviser for Private Sector, Global Fund Secretariat *presented Opportunities for Co-investment Schemes at Country Level; Entry Points in the Proposal Cycle*. In his presentation, he clarified the different ways the private sector can be involved: by participating in CCM; by getting involved in proposals; by supporting Co-investment schemes in the implementation process and by being full partners in building the links between public, private and civil society, especially with NGOs and PWAs. He explained

the principles and approaches to building public-private partnerships through co-investment.

## **Working group session 2 and report back plenary session CCM Requirement: Proposal development and PR nomination; Implementation oversight and Phase 2**

### **Proposal development and PR nomination**

17. During the introductory plenary session for the working groups, the Sri Lanka CCM presented their process of *Proposal development & submission and PR nomination*. Sri Lanka issued a public notice to invite submissions for inclusion in the country proposal. The CCM established a sub-committee, which reviewed and selected the inputs based on pre-determined criteria. A series of workshops and disease specific technical sub-committees were established to draft the proposal which was reviewed by the CCM and approved before its finalization and submission to the Global Fund. The nomination of the Principal Recipient also took place through a public notice based on which interested organizations submitted their application. A CCM appointed sub-committee reviewed and proposed to the CCM for their approval qualified applicants to be Principal Recipients.
18. This presentation was followed by a brief presentation by the GF secretariat drawing attention to the Board approved requirement whereby all '**CCMs are required to put in place and maintain a transparent, documented process to nominate the Principal Recipient(s) and oversee program implementation**'. The presentation also highlighted some of the issues related to CCMs meeting their implementation oversight responsibilities.

### **Proposal development and PR nomination**

19. The working group 1, in the feedback of their discussions on proposal development, described current processes in their countries. In India, there was no participatory process for proposal development and most NGOs were not informed of program priority focus for the Rounds. Bangladesh, Bhutan and Sri Lanka based their proposal on national priorities. But in most of the counties, proposal development was hampered by time constraints. Limited technical skills within the CCM and among the NGOs also limited their participation in proposal development. All members of the group were of the opinion that not having an independent functioning CCM secretariat was a constraint to establishing a open inclusive proposal development process. The group recognized the support provided by the UN partners for example, WHO conducted a mock TRP session to review the proposals for one of the rounds.
20. The working group members made the following recommendations to CCMs to facilitate putting in place a transparent and inclusive proposal development process:
  - Establish a CCM Secretariat with clear terms of reference;
  - Facilitate skills building for CCM members;
  - Ensure timely announcement for proposal submission with detailed articulation of priorities for the country proposal;
  - Establish mechanisms for participation of different stake holders/sectors in the process, which includes:
    - Making public national policies, strategic plans, priorities;
    - Facilitation of technical support for proposal development from UN agencies;
    - Facilitation of skills development for civil society.
  - Simplify proposal guidelines for global fund eligibility;
  - Provide, in consultation with all the stakeholders, clear guidelines for addressing conflict of interest

During the discussions, the workshop participants called on the Global Fund Secretariat to facilitate the provision of financial support to CCMs to establish a Secretariat and processes.

## **CCM Requirement: Implementation oversight**

21. The working group 2 during their discussions recognized the critical responsibility of the CCM to oversee implementation but pointed out that in many of their countries, the CCMs do not have the necessary technical capacity to do so. Issues around the required financial resources and the decision-making rights of CCMs on implementation were also raised.
22. To strengthen the oversight role of CCMs the working group made the following recommendations to CCMs:
  - Establish/strengthen CCM secretariat;
  - CCMs which do not have M&E technical capacity, should establish sub-committees to include both CCM and non CCM members to ensure broader/technical inputs for monitoring function, including field visits;
  - Document work and findings of the subcommittee and ensure transparent information sharing process;
  - Facilitate adequate resources and technical assistance to carry out the oversight function.
23. During the discussions following the working group presentation, clarification and further guidance was requested on the implementation oversight responsibility of the CCMs. There appeared to be confusion on the actual role of the CCM – is it an operational role or one of governance? The CCMs were informed that the Secretariat will shortly be issuing more detailed guidelines.

## **Process for Phase Two Renewal**

24. The working group 3 during the feedback plenary session shared the experience made by two countries on phase renewal application process. Quarterly review by the CCM of PR reports and field visits by the CCM to monitor progress and validate documentation contributed to a more effective application process. It was critical for the PR to keep the CCM informed of all developments, achievement of targets etc. The group also pointed out the importance of evaluation of the project by government, technical partners and other donors.
25. The group made the following recommendations addressed to CCMs:
  - Ensure that persons with field experience exists within CCMs
  - Facilitate capacity building in project management for CCM members, PR, SR
  - Learn from other projects' performance (information available in GF website)
  - Facilitate a better understanding of the phase two requirements by all CCM members

To Global Fund Secretariat:

- Facilitate a clearer understanding of Phase II criteria

## **Working group session 3 and report back plenary session**

### **Planning and Coordination of technical assistance**

26. To set the framework for the working group session on **Access to and coordination of Technical Assistance**, the Secretariat did a brief presentation on outlining the need to integrate capacity building into proposals; that technical assistance in general including capacity building, for CCMs and for implementers should be a priority and should be included in all proposals and work-plans, pointing out that it is the responsibility of the CCM to coordinate and mobilize technical assistance in countries.
1. The Global Fund Secretariat in its introduction to the session drew attention to the paragraphs of the CCM guidelines, which explicitly states that all proposals include a technical assistance plan for strengthening CCMs and for capacity building in implementation. CCMs should develop a single national technical framework for all global fund grant activities and processes. Most of the proposals submitted in previous rounds did

not include activities and budgets for technical assistance. In many countries, technical assistance is an 'after-thought' and is ad hoc to meet immediate needs. The presentation stressed that it is the responsibility of the CCM to plan, coordinate and facilitate access to technical assistance for grant implementation. Copies of the letter, which were sent out to all CCMs in January 2005 informing them that technical assistance can be paid for from grant money and that CCMs can reprogram their work-plan for previous rounds to include activities and budgets for technical assistance were shared with the participants. The participants were not aware of this information.

1. The working group on technical assistance during their discussions came to the conclusion that one of the major constraints to planning and coordinating technical assistance is that most CCMs still do not recognize the need for technical assistance for implementing grants. Most CCMs don't feel accountable for facilitating and coordinating technical assistance building capacity and skills. The Group recommended that CCMs:
  - recognize that technical assistance is needed and should ask for it;
  - mobilize resources for providing support to proposal development by small / medium size organizations;
  - create a database of technical assistance and put in place a process of accreditation;
  - encourage and enhance local capacity for provision of technical assistance;
  - include technical assistance as an integral package within the Country proposal;
  - establish a technical panel to assist CCM to plan and coordinate technical assistance at all stages to avoid technical assistance being ad hoc;
  - conduct needs assessment to ensure that CCM decisions on technical assistance are evidence based.

#### **Harmonization and Coordination**

29. The working group on harmonization and coordination started their discussions by defining harmonization as '*Working together for a common goal without conflict of interest*'. They reviewed the current processes and bodies working on the three diseases. They came to the conclusion that currently there are too many different committees and too many meetings but added that the roles and responsibilities of the CCMs related to national coordination are not clearly defined. The size of the country is a determining factor – in a big country such as India, it will be difficult to make the three ones a reality. In some countries, there are several external agencies operating without any coordination from the government. The group identified as constraints the lack of information/communication sharing amongst different stakeholders, the lack of trust at different levels between different partners such as between governments and NGOs; the lack of commitment to coordination.
30. The members of the working group shared the on-going efforts at coordination. In some states, State level coordination is working between different stakeholders. In others, multi-sectoral coordination is working between different Ministries. In some countries/states Management Support Agency work towards coordination. Pooled funding through Sector-wide approaches have also been shown to work. Based on their current experiences, the working group recommended that CCMs:
  - should carry out their responsibility and contribute to coordination;
  - select members who have time, authority and commitment to coordination;
  - commit to the '3 Ones' at National and/or State Level;
  - ensure proportionate representation of different stakeholders in CCM;
  - develop/strengthen networking between CCM and other stakeholders for better flow of information

The group called on the Government to have a National M&E framework and to advocate with different stakeholders to work together.

#### **Follow-up to the workshop**

31. Based on the analysis of constraints, of lessons learnt and on the recommendations of the working groups, each participating CCM developed, on the last day of the workshop, 12

month action plans. Each CCM completed a planning matrix with detailed activities within a defined timeline for a 12 month period for strengthening CCMs to meet the requirements and all the other CCM responsibilities. These action plans will be shared with technical partners to mobilize support for their implementation in countries. Annex 3: 12 month work-plans of the participating CCMs.

## **Evaluation and feedback from the participants**

32. Participants were requested to complete detailed evaluation forms at the end of each day. The following is a summary of the responses:

- Global Fund's preliminary presentations, the CDs with background documents, the country case studies and the group discussions increased the awareness on CCM roles, responsibilities and the requirements...
- On the workshop agenda and approach:
  - Participants responses confirmed that the main strength of the workshop was the overall organization, participatory methodology and the facilitation of the plenary sessions, which ensured the active involvement and participation of all.
  - In particular, the working group sessions provided opportunity for frank sharing of experiences among the highly professional participants;

In general, the participants confirmed that the workshop was highly informative, well organised. They recommended that similar workshops should be held regularly. Annex 4: Summary of Evaluation