Key Population Engagement in Global Fund

Country Dialogue CCMs and the 2017-2019 funding cycle
This resource guide is designed to assist civil society organizations in understanding how to access funding from the Global Fund (GF) and effectively engage in country dialogue through all the key stages. In 2014, the Global Fund’s New Funding Model (NFM) was launched. Inclusion of civil society and key affected populations (KAP) including men who have sex with men (MSM) and transgender people is a key feature of the NFM. Key populations are defined by the Global Fund as women and girls, men who have sex with men, transgender people, people who inject drugs, sex workers, prisoners, refugees and migrants, people living with HIV, adolescents and young people, orphans and vulnerable children, and populations of humanitarian concern. The current funding cycle, 2017-2019, builds on the principles of the NFM with the addition of a few enhancements designed to simplify the grant application process. Further, the 2017-22 Global Fund Strategic Objective 3e) makes specific reference to the need to support meaningful engagement of key and vulnerable populations and networks in Global Fund-related processes.

The Global Fund works globally. Currently the GF channels funding to 129 countries across all continents. The Global Fund has three core principles:

a. **Partnership**: All stakeholders take part in decision making.

b. **Country Ownership**: Implementers know the best way to fight disease.

c. **Performance-Based Funding**: Money goes where it can achieve results.

‘Country dialogue’ is a term used by the Global Fund to describe an ongoing process, beginning well before the development of a funding proposal (formerly called a concept note) in activities such as the development of national strategic plans (NSP) and continuing through grant-making, implementation, monitoring, and reprogramming. The country dialogue approach used by the Global Fund presents a significant **opportunity for civil society organizations representing MSM and transgender people to be meaningfully involved** in all stages of the grant cycle.
CCMs are the country-level, multi-stakeholder body, which is responsible for in-country stakeholder engagement throughout the life of the grant. CCMs develop and submit funding requests for each disease component and select principal and sub-recipients (PRs and SRs). The PR is the legal entity accountable to the Global Fund to implement the approved grant. SRs are sub-contracted by the PR to implement aspects of the grant and are accountable to the PR. The CCMs monitor the grant and engage directly with the Global Fund Secretariat via the assigned Funds Portfolio Manager (FPM) or country team.

In addition to the above core responsibilities, CCMs must also play a strong leadership role to:

The CCM eligibility requirements are:

1. Transparent and inclusive concept note development process;
2. Open and transparent PR selection process;
3. Oversight planning and implementation;
4. CCM membership of affected communities, including and representing PLWD and of people from and representing key populations;
5. Processes for electing non-government CCM member; and
6. Management of conflict of interest on CCMs.
The main roles for CCM representatives are:

1. Country dialogue
2. National Strategic Plan (NSP) Development /review (CCM engagement varies by country).
3. CCM meeting
4. Global Fund grant development, negotiation and grant-making
5. Global Fund grant

Checklist for good practice for meaningful involvement of the community sector:

1. Can the community sector participate legally in the forum/process?
2. Can the community sector participate safely in the forum/process (for example, without fear of arrest or violence)?
3. Can the community sector select its own representatives for the forum/process?
4. Does the community sector have enough representatives in the forum/process (for example, in comparison to other sectors, such as the government)?
5. Is the community sector respected and listened to within the forum/process?
6. Can the community sector influence decision-making in the forum/process?
7. Can the community sector play a leadership role in the forum/process?
8. Can the community sector access necessary support, such as induction, information, funding and training, to participate fully in the forum/process?
9. Can the community sector maintain its independence and perform a watchdog role in the forum/process?
10. Are there structures or mechanisms in place within civil society to coordinate and monitor?

Source: More than a seat at a table. A toolkit on how to meaningfully engage as HIV civil society CCM representatives, ICASO May 2016. and Working Together A community-driven guide to meaningful involvement in national responses to HIV, ICASO
Civil society CCM members have identified the following common factors that are important to support meaningful involvement in Global Fund decision-making:

- Selecting CCM representatives that have the necessary skills, commitment, time, and backing from an organization to support their active participation (see Section 3.5 in *More than a seat at the table*).
- Inducting new civil society CCM members and alternates properly so that their learning curve can be shortened and they can quickly become actively engaged.
- Accessing help to be able to understand the decision-making procedures and processes, documentation and information, and nuances of how the CCM works; help can be accessed from a mentor or formal technical assistance or via side-meetings with well-informed CCM members etc. If you don’t know what help you need then ask a stakeholder to help you work it out (see Section 3.2 in *More than a seat at the table*).
- Using existing and innovative consultation processes to make sure constituency needs are identified and communicated.
- Developing collective priorities and strong messages; building on civil society strengths to bring stories, reports and data illustrating what is happening on the ground (see Sections 3.2 and 3.3 in *More than a seat at the table*).
- Ensuring that constituency voices are heard (see Section 3.4) and asking for support from other CCM members and stakeholders.

Applying for funding from the Global Fund

**Differentiated application process**

Starting with the 2017-19 funding cycle, CCMs will be assigned one of **three funding modalities** depending on the complexity of the grant and other factors such as size of program and disease burden. Regardless of the funding modality assigned, CCMs are required to host an inclusive, transparent, multi-stakeholder process to develop a funding request.¹

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¹ The 2017-2019 Global Fund Funding Cycle: Highlights of the differentiated funding application process What you should know and how to engage! Available here: [http://msmgf.us1.list-manage.com/track/click?u=1efcb45bd2d3a4abdeeb876054&id=9d29ab04d&e=8cc5b6321](http://msmgf.us1.list-manage.com/track/click?u=1efcb45bd2d3a4abdeeb876054&id=9d29ab04d&e=8cc5b6321)
Differentiated application process and review process: 3 approaches

TRP= Technical review panel  GAC= Grant approval committee  PR= Principle Recipient

Opportunities for engagement in funding request development and grant making

1. Engage with key contacts in the Global Fund (for example, community reps on CCMs, FPM or country team, regional and global support networks), UNAIDS, government, and civil society networks. Ensure you know key dates, such as when submission of the funding request is planned. Since inclusion of key populations is a key feature of the Global Fund funding model, it is important to maintain regular and well documented communication with all key stakeholders.

2. Assess your organizational capacity:
   A. Is your organization capable of being a Principal Recipient or Sub-Recipient?
   B. How can your experiences inform development or updating of the National Strategic Plan?
   C. What are your organization’s activities and what has been the impact?
   D. What legal and social barriers you have faced?
   E. How can your activities’ costing, outcomes, feasibility, and sustainability fit within the funding request?

3. Contact and meet up with other civil society members to develop a consensus and a
cohesive strategy for engagement with the CCM and other decision-making structures. You can work towards producing recommendations for the National Strategic Plans and funding request to the Global Fund. At this stage, you can:

A. Identify and establish systems to communicate with other civil society members.

B. Discuss how civil society should participate in the various stages of country dialogue: funding request, grant-making, grant implementation, and grant monitoring processes.

C. Identify who is best placed to be nominated as members of the funding request writing team, principal recipients, and sub-recipients.

D. Assess the current National Strategic Plan, identifying strengths and weaknesses ahead of your funding request development.

E. Identify the funding priorities, including gaps in funding.

F. Identify and monitor legal or policy barriers to services related to the quality of services and/or program design.

G. Identify and monitor human rights barriers and obstacles impeding access to services.

H. Identify what skills are available in the community and what gaps needed to be filled with outside technical assistance.²

² The application form to complete to request TA from the Global Fund is available at: http://www.theglobalfund.org/en/fundingmodel/technicalcooperation/communityrightsgender
**Case study 1: The CCM experience in Tunisia:**

Different CCMs have different by-laws and ways of working depending on the country. For example in Tunisia the CCM was created in 2004, and the big reform was in 2011 that allowed it to have the legal status of a scientific association. The general assembly of CCM is composed of full members who have the right to be replaced by their suppleant if they were absent. This assembly is multisectoral composed of 27 members representing the public authority, the civil society and technical partners of the country. The public sector hold of 7 seats with 3 reserved to the Ministry of Health. As for the civil society sector it’s composed of the following seats:

- 8 seats for the associations active against the diseases.
- 2 seats for the universities and education group.
- 1 seat for the charities.
- 1 seat for the private group.
- 3 seats representing vulnerable populations.
- 2 seats representing people living with or affected by the 3 diseases.

Technical partners are represented by 1 seat for the bilateral sector and 2 seats for the multilateral sector.

This composition became fixed after the reform of 2011 and the next elections of CCM is planned for end of December 2017. This election takes place in the CCM center with the presence of the conflict management committee to answer the transparency of rules. The invitations for the meeting of the general assembly is sent 2 weeks before it by email.

**Question 1:** How does interaction happen between the CCMs and key populations (KPs)? And when are the meetings held and where?

**Answer 1:** The group representing the KPs have a secret group on Facebook, including volunteers, peer educators, program directors and members of different organisations. The date of the meeting is usually sent to all these members to collect their propositions, which are usually transmitted by email to the CCM secretariat by the KPs representatives. The meeting reports are usually shared with all the members. These procedures even if they are quick, don’t answer to the requirement of the Global Fund as we like it to, because there are no documentation to prove the circulation of the information. So to correct this, we held a meeting with the constitutive of MSM groups on the 14th of October 2016 and we created a new coordination mechanism and an action plan involving several interveners especially in some regions, as for the other region they will be involved in a progressive manner.

**Question 2:** Do these meetings usually result an action plan? And what points does it imply?

**Answer 2:** Yes, the meetings usually result in an action plan proposed by and for the MSM constitutive group, it implies these points:

- Organizing periodic meetings in the 6 regions identified.
- Redaction and transmission of meeting minutes about the activities of the group using a standard template.
- Transmission of information will continue through email and Facebook and SMS.
- Contacts and experiences will be shared with other groups especially organizations working with KPs.
Checklist of specific tasks to undertake before each CCM meeting:

- Review the Agenda. Ensure that your constituency issues are on the agenda.
- Read the minutes of the last meeting. Check that they accurately reflect the issues raised and decisions made in the last meeting.
- Read any documentation circulated for discussion during the meeting.
- Get help to understand this documentation if necessary, e.g. dashboards, budgets.
- Circulate the agenda, minutes and documentation to get input from your constituency including issues and points to raise, and real life examples to share.
- Access any additional information or data that you need to support your arguments. This may include working with technical partners and regional networks etc.
- Write a summary of issues or points to raise both in response to other agenda items, as well as those you plan to raise specifically on behalf of your constituencies.
- Share this with your constituency as a final opportunity for input and to ensure your constituency issues are reflected accurately.

For the best chance of your points being heard, they need to be:

- Clearly articulated. Word them with your CCM “audience” in mind. To the best of your ability try to link your points to values and messages that are well received and generally supported.
- Focused on disease impact. This is the purpose of the Global Fund finances. If your messages are focused on disease impact, including barriers to services and right to access to health for all, you are more likely to be heard than a more emotional plea.
- Evidence-based. Make sure that your points are backed up by data or linked to existing agreed priorities/strategies, or supported with real-life examples to give the issue more weight
- Realistically aligned for Global Fund financing. Check with trust allies that what you are asking for is in line with Global Fund financing.
- Tested for support. Ask other CCM members for feedback and get allies and champions on board before the meeting.
- Multi-layered. Anticipate counter-arguments and be ready with further arguments and justifications.
During the national strategic planning development

4. Engage with the national government and other stakeholders:
   A. Provide guidance on successful approaches to key activities.
   B. Critically assess the quality of data and epidemiology related to key populations.
   C. Consider National Strategic Plans and consult with CCM and UNAIDS.

During the funding request drafting stage

5. Meet with civil society and key populations to consider:
   A. Which date is optimal for your country to submit the funding request, keeping in mind the need to have an inclusive discussion among stakeholders. Submission dates for 2017 are:
      - Window 1: 20 March, 2017
      - Window 2: 23 May, 2017
      - Window 3: 28 August, 2017
      - Window 4: 31 January, 2018
   B. Develop strategies to solicit input from key populations who may be reluctant to participate due to stigma and/or criminalization – sex workers, MSM, people who use drugs.
   C. Discuss the recommended funding level split between the diseases as specified in the Global Fund country allocation letter and suggest revisions to the CCM, if appropriate.
   D. Consider early consultation with technical agencies (UNAIDS) or the Technical Review Panel (TRP) regarding technical soundness of the funding request.
   E. Complain to community rep on CCM and FPM if you are not feeling engaged in the country dialogue.

6. Advocate for membership in the funding request drafting team.

7. Advocate for increased government investment in HIV, TB, and health and community systems. Increased government investment will ensure compliance with the Global Fund’s objective to establish sustainable funding through mandatory counterpart financing requirements.

8. Identify who should be nominated as the Principal Recipient. Monitor the application and selection process to ensure PR selection is open and transparent.
9. Engage in funding request preparation, discussions, and drafting, providing ongoing, meaningful, and up-to-date input:

A. Check the availability and inclusion of disease burden data related to key populations

B. Help identify and monitor legal or policy barriers to services.

C. Help identify key components related to community based service delivery.

D. Help identify community systems strengthening efforts to be included in the funding request.

E. Provide accurate and recent information on costs that can be used to develop the summary budget.

F. Ensure that the prioritization of the requests for funding and the recommended interventions take into account the needs and perspectives of key population groups consistent with the socio-epidemiological context of the country.

**What to do when you encounter problems:**

The CCM chair and secretariat should be your first point of contact if you encounter problems in decision making processes.

- lack of appropriate civil society CCM representation on CCM committees;
- behavior and attitude of other CCM members;
- omission of relevant civil society CCM issues raised from concept notes and budgets;
- lack of meeting attendance from key civil society CCM members;
- poor minute taking resulting in a poor record of discussions and decisions;
- CCM meetings not being held;
- oversight observations not taken seriously;
- CCM by-laws not adhered to;
- lack of funding for civil society CCM consultation and engagement;
- loss of institutional memory and skills with the change of CCM members;
- civil society CCM members not representing the views and needs of all civil society constituencies;
- CCM not fulfilling its eligibility requirements etc.
During the TRP/GAC review stage

Be available to provide input if there are queries from the TRP or Grant Approval’s Committee (GAC).

10. Prepare for the grant-making stage, as the Principal Recipient is also encouraged to begin preparing for the grant-making stage now. Civil society organizations, individually and collectively, should begin:

A. Preparing your proposals to act as sub-recipients.
B. Assessing and improving your organizational capacity.
C. Preparing detailed programmatic planning and costing to ensure that activities are implement-ready.

During the grant-making stage

11. Submit proposals to act as sub-recipients. Be prepared to make a case to the Principal Recipient as to why your organization is well positioned to deliver on a certain part of the program.

12. Provide input as required during the implementation design stage, including supporting the CCM to respond to TRP or Secretariat questions or clarifications.

During the GAC/board approval stage

13. Be available to provide input or support delegations to the board to address any outstanding concerns relating to your country’s funding request.

During the implementation stage

14. Meet with key community reps on CCMs to update them on the progress of implementation. If your organization is not a sub-recipient or sub-sub recipient, work with other community groups to monitor implementation and document evidence to inform advocacy and reprogramming.

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3 See ICASO alert on community involvement in grant making processes http://www.icaso.org/opportunities-engage-grant-making-process/
Case study 2: The CCM experience in Morocco:

The Moroccan CCM was set up in 2002, it was chaired by these sectors:

1. Public sector: the ministries of health; national education, higher education, managerial and scientific research, religious representative and Islamic affairs; justice and secretariat of state for youth.

2. Private sector: national council of the medical association and general confederation of Moroccan enterprises.

3. Universities.

4. Civil society and non-governmental Organizations.

5. International partners (UN)
**Accronyms and definition**

**PRINCIPLE RECIPIENTS (PRS):** are country-based agencies or organizations that are financially and legally responsible for program results. They are selected by the CCM to manage the implementation of one or more Global Fund Grant(s). The PR signs the grant contract with the Global Fund. They are usually Government bodies or civil society organizations, but are sometimes multi-sectoral agencies such as the UN.

**SUB RECIPIENTS (SRS):** are program implementing agencies that are contracted by PRs to deliver services under their leadership.

**LOCAL FUND AGENTS (LFAS):** work closely with the Global Fund country teams at the Secretariat to evaluate and monitor activities before, during and after the implementation of a grant. They are independent organizations that ‘win’ an LFA contract for a 4-year period for a country. They are usually accountancy and management firms often linked to international companies. They check the financial management of grant recipients and also verify what activities have taken place as described in the grant to provide an independent view of how the program is performing. To avoid a conflict of interest, LFAs cannot provide capacity building or technical assistance to PRs or CCMs.

**FUND PORTFOLIO MANAGERS (FPMS):** are Global Fund staff assigned for each grant. The FPM leads and manages the grant negotiation processes at various stages of the grant cycle and manages input from other Global Fund Secretariat staff. FPMs also work with the LFAs, reviews and analyses requests for disbursement, and decides on grant amounts to be disbursed.

**COUNTRY TEAMS (CTS):** are teams of Global Fund staff that include operations-focused staff (fund portfolio managers and program officers) and monitoring and compliance staff (legal, procurement, finance and M&E), who take shared responsibility for grants throughout the entire grant cycle.

**THE OFFICE OF THE INSPECTOR GENERAL (OIG):** is an independent yet integral part of the Global Fund that undertakes audits, investigations, oversight and consultancy work to make objective and transparent recommendations to promote good practice, reduce risk and condemn abuse of Global Fund finances. It is accountable to the Board through its Audit and Ethics Committee and serves the interests of all Global Fund stakeholders.

**COUNTRY DIALOGUE:** This is where countries are expected to put into practice the second core principle of the Global Fund, namely partnership. In the context of the Global Fund, “partnership” has a specific meaning. Everyone involved in the response to the diseases needs to be involved in the decision making process. While the CCM itself includes representatives of all sectors, the purpose of the country dialogue is to go beyond its membership therefore, the CCM should actively reach out to and engage with representatives of all sectors, particularly key populations. The purpose of country dialogue is to identify needs, work on national strategies, build resource mobilization efforts and prioritize intervention areas and actions that will make the most impact. This country dialogue should be an ongoing process, beginning well before the
development of the concept note and continuing through implementation of the grant.

**NATIONAL STRATEGIC PLANNING:** The National Strategic Plan (NSP) is a multi-year plan that details principles, priorities, and actions to guide the national response to the (AIDS) epidemic. A National Strategic Plan should be fully costed and developed in consultation with all stakeholders. It should form the basis of the concept note to promote better program coordination and reduce the administrative burden on the country. A country should periodically update and review its National Strategic Plan. If a country does not yet have a national strategic plan for a disease, or if the plan is no longer current, countries can base their requests on an established Investment Case.

**TECHNICAL REVIEW PANEL (TRP) EVALUATION:** After submission, the concept note will be evaluated by the Technical Review Panel. The TRP is designed to work to get to an outcome of “yes”, which is the recommendation that the concept note is ready to proceed to grant-making, bearing in mind that their goal is to support programs that will have the highest impact in the context of the country. If they feel that a concept note is not of sufficient quality, they will ask the country to revise and re-submit their concept note. A re-submitted concept note is known as an “iteration.” During this step of the process, the TRP will work with the CCM and the country team of the Global Fund to ensure that the funding request is as robust as possible. Once it is satisfied that the concept note is ready for the next step, it passes its recommendation on to the Grant Approvals Committee.

**GRANT APPROVALS COMMITTEE (GAC):** The Grant Approvals Committee is a committee of senior management staff of the Global Fund, and technical and bilateral partners. Their responsibility is to set the upper funding ceiling for the grant(s) based on the TRP’s recommendations, as well as a number of qualitative factors. The budget for grants includes funding available from a country’s allocation amount, and if applicable, any available “incentive funding.” The committee also produces a “Register of Unfunded Quality Demand”, which is a list of unfunded projects made available to donors.

**GRANT MAKING:** At this stage of the process, the CCM and the Global Fund work with the PR. The PR is assessed by the Global Fund; then the PR and the Global Fund work together to develop the performance framework, detailed budget, workplan, procurement and supply management plan, and implementation map. Once this work is completed, the grant documentation undergoes a final review by the Grant Approvals Committee before being sent to the Board for approval.

**BOARD APPROVAL:** After the Grant Approvals Committee’s review, grants are considered to be “disbursement-ready.” These are then sent to the Board of the Global Fund for final approval and, once approved, the grant is then signed and the first disbursement is made to the PR.

**NEW FUNDING MODEL (NFM):** The Global Fund Board adopted a new strategy for the period 2012-2016 in November 2011. As part of this strategy, the Global Fund developed a New Funding Model (NFM) to replace the rounds-based funding system. The NFM aims to provide implementers of grants with more flexible timing, better alignment with national strategies and greater predictability of the level of funding available. It also promotes more active engagement with implementers and partners, including the CCM, throughout the application process and grant implementation. Under the NFM, the role of CCMs has been expanded in the early stages of the application process in relation to concept note development and the country dialogue processes.

**THE CCM ELIGIBILITY AND PERFORMANCE ASSESSMENT (EPA):** is conducted every
year. All CCMs must complete an EPA before submitting a concept note. The EPA evaluates the CCM’s compliance with CCM Eligibility Requirements (ERs) 3 to 6 and the Minimum Standards. The objective of the EPA is to determine how well the CCM is functioning and improve its performance. If the CCM is found to not comply with ERs 3 to 6, an improvement plan is put in place. Feedback from key in-country stakeholders is gathered to make the assessment. The Improvement Plan is then submitted to the Global Fund, which determines if the proposed plan is reasonable and acceptable, prior to concept note submission. CCMs that pass the assessment by successfully complying with the six CCM ERs and related minimum standards, are granted a CCM Eligibility Clearance for one year. The CCM Eligibility Clearance allows the CCM to submit a concept note at any point during that year without having to repeat the assessment of Requirements 3 to 6.

**TECHNICAL ASSISTANCE (TA)** is the process of providing targeted support to an organization or individual for a specific need. It be provided in many different ways, such as one-on-one support or mentoring, small group facilitation, or on-line using the internet.

**MENTOR** is a senior or more experienced individual how acts as an advisor or guide to a junior or new member of a group.

*Source: Global Fund Website - funding model processes or search for Funding Process & Steps.*

We would like to thank ICACO for its documents: More than a seat at a table, A toolkit on how to meaningfully engage as HIV civil society CCM representatives, ICASO May 2016 . and Working Together A community-driven guide to meaningful involvement in national responses to HIV, ICASO 2015, www.icaso.org

**THE M-COALITION** Hosted by the Arab Foundation of Freedom and Equality (AFE), the M-Coalition is a unique advocacy platform aiming to coordinate on local, regional and international levels in order to facilitate Men who have Sex with Men’s (MSM) access to services of prevention, care, treatment and quality support through advocacy, creation of a favorable environment, capacity building and follow-up, research, exchange of good practices, by collaborating with other structures of health and human rights as well as relevant key policy makers.

www.m-coalition.org
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