



Independent observer
of the Global Fund



Southern African AIDS Trust

Supporting Community Responses to
HIV & AIDS in Southern Africa

Improving the Performance of CCMs in Southern Africa

ENCOURAGING CCM SELF-ASSESSMENT

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Developing And Testing A CCM Self-
Assessment Tool, Feedback And
Recommended Way Forward

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Appreciation

Deep gratitude and appreciation is extended to all stakeholders and individuals who contributed to this process. We, officers at Aidspace and Southern African AIDS Trust, are inspired by the commitment shown and participation given to promoting better and more thorough self-assessments in CCMs.

Each person involved helped push a process that aimed not only to improve the way CCMs performed, but also to produce something tangible, useful and applicable.

Thank you also for providing information useful to those seeking to improve their own engagement and contribution as stakeholders supporting CCMs and grant implementers in the proper use and management of Global Fund grants at country level.

Lastly, this process report is the result of many hours of work by officers from the Southern African AIDS Trust (SAT) and Aidspace who collaborated in this initiative. High appreciation is given to them for their tireless work.

Foreword

This report highlights the process used by Aidspan and SAT in developing a Country Coordinating Mechanism (CCM) self-assessment tool. It also flags the key issues emerging from the country pilot process, and the responses received by a number of respondents who critiqued the final tool during a consultative meeting held.

Note: This is not an evaluation of CCMs; rather a presentation of the process used and sample results obtained when testing the tool. Also shared are opinions, ideas, observations and recommendations shared during feedback sessions.

Attachments to this report include:

- ❖ CCM Implementation Action Plans per country
- ❖ Sample results
- ❖ The feedback meeting participant's list
- ❖ Final CCM Assessment Tool (download link provided)

The MSWord version of this report is available upon request.

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Acronyms List

CBOs	Community-based Organisations
CCMs	Country Coordinating Mechanisms
COI	Conflict of Interest
CS or CSO	Civil Society or Civil Society Organisations
CSAT	Civil Society Action Team
FBOs	Faith-based Organisations
GF or TGF	Global Fund or The Global Fund
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit, the German Society for International Cooperation
LFA	Local Funding Authority
ICASO	International Council of AIDS Service Organizations
LGBTI	Lesbian, Gay, Bisexual, Transgender and Inter-sex
MARPs	Most At Risk People
NAC	National AIDS Council
NGOs	Non-government Organisation
PEPFAR	The U.S. President's Emergency Plan for AIDS Relief
PLWDs	People Living with the Diseases
PLWHA	People Living With HIV & Aids
PR	Principal Recipient
STTA	Short-term Technical Assistance
TA	Technical Assistance
TNCM	Tanzanian National Coordinating Mechanism
TOR	Terms of Reference
UNAIDS	Joint United Nations Programme on HIV/AIDS
USAID	United States Agency for International Development
WHO	World Health Organisation

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Executive Summary

This report describes the process used by Aidspace and Southern African AIDS Trust (SAT) to develop a self-assessment tool for Country Coordinating Mechanisms (CCMs), the key committee at country level with multiple roles including oversight of Global Fund grants. The report flags some of the key issues emerging from the pilot done in six countries (Botswana, Malawi, Mozambique, Tanzania, Zambia and Zimbabwe) where the tool was tested. It also shares some of the responses given during the pilot, as well as the opinions and recommendations made by those who critiqued the final tool presented at a consultative meeting held in April 2013 in South Africa.

This report is not an evaluation of CCMs. It is a presentation of the process used to develop and test the tool. Any sample results obtained during this process are provided here only as a learning base; as examples of key areas of interest for CCMs (see annexes). The opinions, ideas, observations and recommendations shared during various feedback sessions serve to enhance the usefulness of the tool, and increase the potential for success in future evaluations.

The process has involved several activities by SAT and Aidspace. These started with the development of a rating scale and indicators to measure the performance of CCMs in the Southern Africa region. Next, the indicators were compiled into a tool to capture what people thought about the performance of 6 CCMs in the Southern Africa region (Botswana, Malawi, Mozambique, Tanzania, Zambia and Zimbabwe). The tool was then piloted with a self-selected sample of CCM members in these 6 countries. Finally, a regional consultative meeting was held with over 25 respondents from the 6 countries to critique the tool and the tool development process, and to chart a way towards its implementation.

The final tool is being published via this report. We are recommending its use by CCMs, and other country level stakeholders.

Background

1.1 Overview

Aidspan (www.aidspan.org) and Southern African AIDS Trust (SAT) - www.satregional.org have been working on a joint project aimed at improving the performance of Country Coordinating Mechanisms (CCMs) in Southern Africa.

The project had several components. First, it encouraged self-monitoring at the country level and assisted CCMs to assess their performance. Then, it aimed to have more local organizations and individuals regularly assess how well the CCMs in their countries are functioning, and explored how to improve engagement of CCMs with these organizations, within and outside the CCM. The project also aimed for better governance, transparency and accountability of grants provided by the Global Fund to fight HIV/AIDS, Tuberculosis and Malaria (herein referred to as the Global Fund). Finally, it highlighted opportunities for local actors to improve critical and focused dialogue on Global Fund and CCM issues at country level.

The work began with a comprehensive desk review that informed the development of a rating scale and a set of indicators. These formed the basis for the self-assessment tool; a tool that works primarily through use of a Perception Survey. The tool was tested amongst 6 CCMs in Botswana, Malawi, Mozambique, Tanzania, Zambia and Zimbabwe. A total of 45 people were interviewed.

After the tool's pilot test, a regional meeting with over 25 respondents from the 6 countries was held in Johannesburg, South Africa (24th- 25th April 2013). This consultative meeting was held to critique the tool developed, and together with the country representatives present, plans of action were drawn up to do 3 key things: (1) begin full assessments using the tool; (2) disseminate the tool to other CCMs and (3) agree to send the tested tool to the Global Fund.

1.2 Why the development of this tool was important

The need for the CCM tool evolved out of three key things: (1) Interest by Southern African AIDS Trust (SAT) in its role as the host of the Civil Society Action Team (CSAT)¹ for the Southern Africa hub; and (2) Aidspan's interest in measuring the progress CCMs were making in their engagement of a wide spectrum of stakeholders; and (3) the need for a self-assessment tool, so that CCM members, and others, could do the following:

¹ The Civil Society Action Team (CSAT) is a CS-led global initiative that coordinates, brokers and advocates for technical support to CSOs implementing or seeking grants from the Global Fund to Fight AIDS, TB and Malaria. It is hosted globally by [International Council of AIDS Service Organizations](http://www.icaso.org) (ICASO), with regional hubs in seven regions of the world (West and Central Africa, Middle East and North Africa, Eastern Africa, Southern Africa, Eastern Europe and Central Asia, Latin America, The Caribbean, and Asia and the Pacific).

- *explore the level of transparency of information related to CCMs;*
- *ascertain how knowledgeable CCM members are about Global Fund issues and CCM roles and explore how proactive CCMs were in sharing this information;*
- *identify ways of capturing what CCM members thought about their CCMs;*
- *get other stakeholders thinking about how effective CCM members are as individuals (including CSO CCM members) e.g. in following up actions/decisions and providing feedback to their constituencies;*

The tool focuses on assessing **perceptions** more comprehensively than before. It provides insights into CCM performance from the inside, and selectively from the outside too. This tool supplements the CCM performance assessment tools that have been developed by the Global Fund, which mostly focus on 1) how to demonstrate that the CCM has met the eligibility requirements and 2) performance milestones that have been met.

Is this tool only for CCMs?

The final tool is not only for CCMs' own use, but can benefit a wider audience. Comments during the review meeting showed that the participants believed that a useful tool would be one that CCMs could use to assess their own performance consistently, and one that could easily identify gaps in capacity. They also thought it useful to have a tool that could be used, by those outside the CCM, to assess CCMs from an external perspective, but in a manner useful to the country, the CCM and its stakeholders.

Box 1: What the project aims to achieve in the long run

- ❖ Enhanced knowledge and understanding of how CCMs work and perform
- ❖ Enhanced knowledge and understanding of key Global Fund principles and expectations, by those at the country level, so as to have them ask relevant questions and push for clear answers and action by CCMs;
- ❖ Better informed local organisations that are effective in identifying, addressing, discussing and following-up on CCM-related activities in their respective areas of operation;
- ❖ Improved engagement of civil society organisations on Global Fund issues in the targeted countries.
- ❖ Developed learning, information and feedback channels between Aidspace and SAT, that are thereafter documented and shared;

Developing the tool - Summary of work done

1.3 Key activities done

A desk review was done first and then a rating scale and indicators were developed. These formed the basis of the self-assessment tool (called a Perception Survey). This was tested by amongst 6 CCMs namely in Botswana, Malawi, Mozambique, Tanzania, Zambia and Zimbabwe. A feedback meeting was held to critique the tool developed, and together with the targeted countries, plans of action were drawn

up to do 3 key things: (1) begin full assessments using the tool; (2) disseminate the tool to other CCMs and (3) send the tested tool to the Global Fund.

1.4 Methodology

1.4.1 Desk review:

A comprehensive desk review was done to identify work done by Global Fund and other organisations, such as Grant Management Solutions (GMS), HIV/AIDS Alliance, Technical Support Facility, UNAIDS and Civil Society Action Team (CSAT), to assess CCM performance. Both qualitative data and quantitative data were sought, in order to ensure in-depth understanding of the work done. This assessment formed the baseline.

This review highlighted a few issues: First, despite various surveys, assessments and reviews done by the Global Fund and by others, the project team could find no harmonised or systematic way to comprehensively assess the performance of CCMs. Second, there is no baseline data to clearly illustrate CCM performance, nor were there indicators to gauge the level of participation by members, or to measure CCM oversight activities. Finally, there was no tool that CCMs used consistently, or called their own – i.e. organically developed and initiated from the CCM’s own will to improve. The Global Fund’s [Performance Checklist](#) was rarely used - maybe because it is described as optional. [Note: The Global Fund has suggested a more stringent performance framework. For instance, from now on, CCM performance will be assessed each year - See [this link](#) for more.]

The current efforts by the Global Fund CCM Hub to streamline performance assessments into ones that are more consistent and prerequisite would work well with proactive efforts CCMs make towards their own improvement.

The review done also showed key CCM weaknesses that had been identified repeatedly in the assessments done by others. These, we note, still remain a barrier to effective CCM performance. The most frequently mentioned are as follows:

- ❖ No agreed indicator that can measure CCM performance
- ❖ Insufficient knowledge by CCM members of the Global Fund and CCM structures, functions, procedures and roles.
- ❖ Limited communication between CS representatives and their constituents
- ❖ Continued non-transparency in CCM member selection
- ❖ Lack of meaningful involvement of some key populations e.g. MARPs, LGBTI, women, girls, youth

- ❖ CCM members who lack appropriate skills (and sometimes willingness) to fully participate in CCM
- ❖ Conflicts of interest- many CCM secretariats are hosted by the PRs/SRs, e.g. government ministries/NACs
- ❖ Lack of technical knowledge/expertise which undermines the confidence and authority of many representatives on CCM, especially CS

1.4.2 Country Selection:

Countries selected for the pilot were drawn from SAT’s operating region. This selection was for logistical reasons due to resource constraints. Table 1 below shows the countries targeted.

Table 1: Countries where assessments were done

Countries	Interviews carried out
An initial field test: Botswana and Malawi	7 and 10 interviews done respectively
Further testing of the tool done in the following 4 countries	
Zimbabwe	8
Tanzania	6
Mozambique	7 (translated)
Zambia	7

1.4.3 Respondents:

Respondents selected for interview came from: all CCM secretariats, CCM voting members (e.g. CS, private sector, faith based organisations (FBOs), UN agencies, World Health Organisation (WHO), and other technical officers); non-CCM members; and officers from government, PRs (Principal Recipients) and National AIDS Councils.

1.4.4 Methods of interviewing:

Preliminary instructions, given before each interview, provided guidance on the rating scale, structure of the questionnaire, and ethical or confidentiality issues. Permission was sought from each respondent and assurance provided on anonymity; and permission was also sought for the use of direct quotes. All interviews were recorded using digital tape recorders. Answers were transcribed and analysed by theme and topic. Descriptive tabulations of the results are presented below. As the assessments done were not considered a full assessment of the CCM, it was agreed that the results would not be published as “findings” but as instructive references useful in the tool’s development.

1.5 Developing the CCM tool – The process

SAT and Aidspan collaborated on the development of the CCM self-assessment tool from August 2012 to early 2013. The Global Fund was regularly informed and input from key stakeholders obtained. This is a self-assessment tool useful for assessing the perceptions, by individuals, of whether their CCM is performing well. It targets CCM members and other relevant and knowledgeable people.

The tool was developed through a continuous process that involved several modifications and re-assessments, after every two countries assessed. The entire process from start to finish is shown in the figure below.

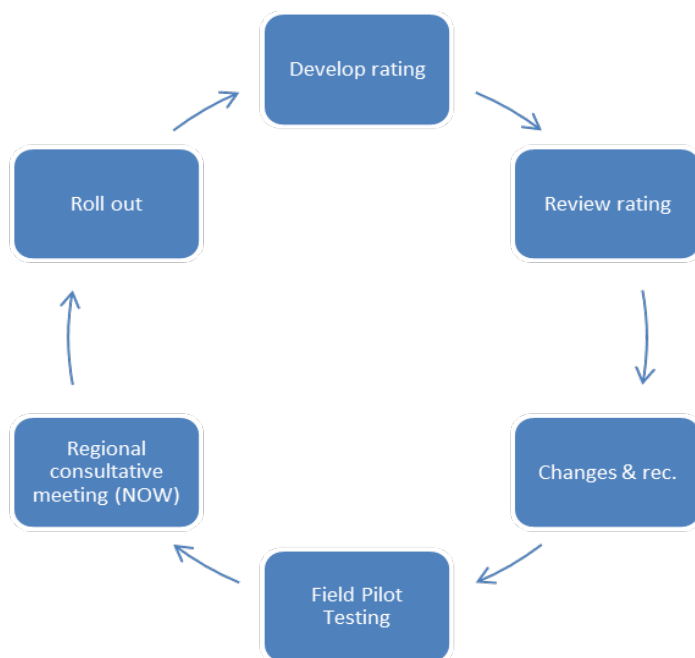


Figure 1: The tool development process was a cyclical process (see diagram below) which used input and suggested changes from all key stakeholders

1.5.1 Areas focused in the final tool

A part of the tool focuses on assessing if the CCM is meeting the 6 minimum CCM requirements. However, in an effort to encourage better standards of performance, provisions have been made to assess beyond what is *required* by the Global Fund. Some questions in the tool focus on CS because a majority of capacity building complaints received, and subsequent work, are geared towards enhancing the CSO constituency's engagement in Global Fund and CCM processes. It is hoped that this tool will help CCMs pin-point the specific problem points.

Broad Area 1	Level of satisfaction in application of TGF core principles
Broad Area 2	Surveying the extent of satisfaction in meeting CCM minimum eligibility requirements
Broad Area 3	Assessing other areas that could be useful indicators of CCM performance
Key areas that underwent changes	<ul style="list-style-type: none"> - In respect to Global Fund's role and responsibilities, the angle on performance assessment changed to self-assessment (perception) - Rating system- changed from numerical to worded ratings - Inclusion of section on CCM individual member self-assessment - Tool too long and was shortened

Table 2: Key areas in tool

1.5.2 Sections added to the CCM tool after initial assessments:

During the tool's review, respondents requested to have several sections added. These were as follows. That the CCM:

- ❖ *implements a clear process and criteria for proposal development, and proposal review*
- ❖ *has a process for PR nomination that is clearly understood by CCM members*
- ❖ *has a complaint mechanism for CCM members and those outside the CCM*
- ❖ *criteria for selection of CSO representatives is considered objective/fair*
- ❖ *COI policy developed is considered effective*
- ❖ *has shared the governance manual with all CCM members*
- ❖ *has shared the governance manual with others outside the CCM*
- ❖ *shares its communication strategy with all CCM members*

1.5.3 CCM Member Individual Self-assessment:

This section was added after several requests made by respondents. The resulting data was however not used in the final analysis as only full data sets from more than 3 countries were used. The areas identified for individual self-assessment were as follows: The member should...

- a) have a clear mechanism for communicating to the constituency
- b) send information and updates to the constituency at least once every three months
- c) have a clear mechanism for getting feedback from the constituency
- d) receive feedback from the constituency
- e) declare potential COIs I or others may have
- f) have a mechanism for building his/her personal knowledge on Global Fund

For the final CCM performance assessment tool please see Annex 3

1.6 Key achievements/challenges faced by the project during assessments

The need for a tool to assess CCM performance was widely acknowledged. A majority of respondents shared that the assessments made them reflect on their own roles as individuals on the CCM, and their level of knowledge of CCM and the Global Fund. There is consensus that the final tool will be useful in other regions outside East and Southern Africa. However, it did not adequately clarify the role of CCMs in general. Also the rate of response by respondent was inconsistent in some countries, which showed some unresponsiveness. The sections below provide more examples of the challenges and achievements faced.

Feedback/ Discussion:

Meeting participants agreed on relevance of the tool, but further discussion and improvement of the tool was also done.

A particular issue raised was the need for watchdogs and whistle-blowers on all CCMs to see what is happening from the onset– as observers who are not recipients of GF funding.

Table 3: Example - Feedback from assessments done in Mozambique

Challenges	Achievements
<ul style="list-style-type: none"> - Translation into Portuguese was difficult and at times questions lost their original meaning - Lack of understanding about CCM's role – seen as imposed in country by GF - Those new to CCMs were unconfident in commenting on what was happening in CCM - The role of CCMs is not clarified in tool 	<ul style="list-style-type: none"> - Greater understanding of individual's role within CCM, not only as member organisation - People got to reflect on their own level of knowledge of CCM

Box 2: Issues noted regarding tool development

Differing number of responses in different countries: Aimed to have at least 7 interviews in each country. 5 of the 6 countries met this requirement; others exceeded it (some interviews were done as meetings with more than one organisation in attendance). A total of 45 respondents were reached, and another 4 did not submit their completed forms.

Reviewers were interested in how different the responses were per sector, per country e.g. government vs. civil society: As this was not a full assessment the data to provide this comparison was unavailable.

No similar activity in other regions yet: Note the relevance of the assessment questions, structure and language used (including translations) to make the tool useful in regions outside the East and Southern Africa Region. Note also similar challenges shared across CCMs – e.g. limited contribution of civil society in preparation of GF applications, need for improved technical skills, and better preparation and focus by CSO members in identifying strategic priorities and communicating with, feeding back to and coordinating action with their constituents.

The opinions shared during feedback were that the final tool would be broadly applicable in other regions, with minor adjustments for local relevance. It was also felt that the various CCM Guides developed by Aidspace and other agencies would be useful and that the tool's ability to highlight gaps would direct where additional support is needed.

It was felt that the [Global Fund's Performance Checklist](#) comes as an external evaluation and not as a self-initiated assessment. An approach that combines both is preferred.

Box 3: Consultative Meeting - Feedback/ Recommendations

Poor response rate in some countries: The major challenge in Zambia and Tanzania was a slightly poor response rate from some CCM members who were selected to be part of the process.

CCM role not understood: The interviews highlighted various things – many members have not read their governance manuals; CCM's role is not clarified; effective advocacy was missing when introducing the CCM structure in the countries; current CCM structures do not give real decision-making authority; CCM is seen as a structure for the benefit of the GF only; CCM meetings are usually not fully attended. In Tanzania – meetings are usually well-attended, but often Ministry of Health or Finance representatives are not present; in Botswana – government were the first CCM chair, when chair changed to civil society or private sector, senior government representatives left; in Zimbabwe – experiences of technocrats taking charge and silencing those representing the civil society sectors

Membership issues: Big differences in knowledge levels among CCM members, some know a lot while others feel inferior and so do not contribute; the negative responses received when testing the tool show that there are issues that need to be dealt with; there is need to build members' capacity and technical skills, and review members' selection criteria (lacking quality representation), and insist on better sector attendance so that gaps are made more visible and therefore addressed faster; ownership should be encouraged at national level; PRs should be non-voting members of CCM due to conflict of interest (*Note: a clause to address this is to be included, by GF, in new funding mechanism policies*); members felt they would not be around to witness the implementation of the new tool because of high turnover of CCM members (most current terms run for 2 years, renewable)

GF performance assessments: The GF grant performance tool and the CCM tool called for different information. There is need to harmonise these two so that they work in tandem, with no overlap and little conflict. There is also lack of clarity between how to use the tool for CCM structure assessment and for self-assessments by individual members

Too many players coming with different things at country level – how can this work be different from the various surveys and assessments done over the years on CCMs? How can the issue of dysfunctional CCMs be addressed once and for all?

Enforcement of the tool – there needs to be a way of ensuring that gaps identified by these assessments are responded to. Who will follow-up on the tools enforcement? **Is there a peer review mechanism that can be set up among different CCMs in the region?**

Verification of facts is an important component of the assessment tool; this can be supported by the GF's evidence based tool.

Constituent responsibility – each constituency should perform its duties within CCM to ensure that it works in the country; responsibility cannot rest on the CCM only.

Summary questions posed for consideration

- Is it possible for each individual member to do the self-assessment when they are newly elected?
- How can people honestly critique themselves in self-assessments?
- What works and what does not work in this tool?
- What strategies can be used to convince government participation? Round table meetings?
- What are CCM Secretariats' challenges in each country? Who cares? Who can help? How?

CCM-related work done by others

1.7 Work being done by the Global Fund to improve CCM performance

The previous Global Fund CCM performance checklist (2005) was related to requirements and recommendations. It was developed in two parts – document verification and CCM process self-assessment (opinion-based survey). This process was to be led by the CCM Chair but being optional, a limited number of CCMs completed the process.

Also in 2005 the CCM conducted an assessment survey, completing 40 case studies on 19 CCMs. The aim of the survey was to collect baseline data, help identify gaps and determine eligibility. No data is available from this study to date, except for individual case study reports.

The issues brought up in the 2005 study are similar to those observed during this project done by SAT and Aidsplan. The eight topics addressed in the 2005 study included the following:

Topic 1: Conflict of interest within the CCM: Cambodia, Honduras, Mali

Topic 2: Oversight of grants by the CCM: Ethiopia, Kenya, Tanzania, Zambia, Peru, Caribbean (RCM), Bulgaria, Tajikistan

Topic 3: CCM Secretariat funding: Cambodia, Honduras, Mali

Topic 4: The PR and sub-recipient selection process: Sri Lanka, Ethiopia, Kenya, Tanzania, Romania

Topic 5: Partnership and leadership: Malawi, Zambia, Peru, Honduras, Nigeria

Topic 6: Harmonisation and alignment: Cambodia, Tanzania, Mozambique, Nigeria

Topic 7: CCM-PR-LFA communications: Zambia, Peru, Nigeria, Mali

Topic 8: CCM governance and civil society participation: Cambodia, India, Ethiopia, Kenya, Tanzania, Honduras, Romania, Tajikistan

1.8 Work being done by others to improve CCM performance

Many organisations have done assessments, surveys and reports of the CCM. The common element in most assessments done is that they usually were done by a civil society agency, targeting different types of CS involvement.

Other agencies have also been prominent in facilitating such assessments. UNAIDS and International Treatment Preparedness Coalition (ICASO) in particular, have played a crucial role in providing technical support, including short-term technical assistance for such work. So have Grant Management Solutions (GMS) and other technical agencies such as PEPFAR, USAID, GIZ and other UN agencies, among others.

1.9 Key points emanating from observations of work done by others (shared during the feedback meeting)

- In general, CCMs successfully mediate competing interests among the different actors
- Despite the positive trends, civil society still needs strengthening in the many countries where government dominates
- There is considerable anecdotal evidence that suggests that in many CCMs the public-private partnership is not working well and civil society voice is still unequal
- It is difficult to envisage how CCMs can operate in true partnership if civil society's participation is not meaningful
- Expenditure and performance achievements have been submitted by CCMs, but programmatic reporting has been a challenge.

The current CCM hub is working to reshape the initial indicators into a more comprehensive Performance Framework; to run annual and mandatory CCM performance assessments. These are already being tested among the early applicants under the New Funding Model.

Feedback session - Review of CCM assessment tool

The feedback meeting held provided a critique of the tool developed, of the efficacy of the process used, helped identify areas for improvement and what the next steps would be in the tool's implementation. The sections below provide a summary of what was shared.

1.10 Responses: How respondents felt about the questions asked during the assessments

- ❖ "I'm amazed at how much I don't know. I felt ashamed. The questions are very comprehensive, and pertinent. In terms of monitoring they will make the monitors more knowledgeable about what the CCM is supposed to do."
- ❖ "This tool can also help CSO at the country level to engage with CCM, they need to own this process, e.g. providing information to outside stakeholders."
- ❖ "Useful for CCM to assess performance, but the questions can be improved. What is missing - is about the role of Secretariats in the GF system, it is not visible acknowledge, recognized etc."
- ❖ "Many questions do not consider the New Funding Model (NFM) changes (if they will have an impact). Perhaps there will be more responsibilities of the CCM under NFM. The general direction of dialogue between CCM and FMs will probably change."

- ❖ “Depends on how you will use the results. I would be interested in the general findings. If we do full assessments, will they help our CCM do better?”
- ❖ “Gives one an idea of how the CCM functions. It helps members re-evaluate what they know.”
- ❖ “This will help facilitate country sharing, help CCM members participate better during meetings and with those outside”
- ❖ “CCM members’ contributions are impacted by lack of knowledge. This will help pin-point areas of need.”
- ❖ “This will encourage more effective representation...for example stop members from sending other representatives for meetings willy-nilly”

An example of Group work

Assessing the efficacy of the section on key GF principles & CCM secretariat: In addition, some groups were also tasked with identifying measures of efficacy for secretariat

Secretariat issues that need attention:

- That for a CCM secretariat to be fully effective, it must be independent, have its own staff and funding as an extension of GF (Zimbabwe is the only totally independent secretariat, and its model should be reviewed and lessons learnt for replication)

Questions a secretariat needs to consider - Where do you operate from as CCM? Do you have a place of your own, or are you housed somewhere else? How independent are you where you're hosted? To whom do you report to? The CCM? GF? Government? NAC? Ministry office? Are you a civil servant? If so, to whom do you report on CCM matters? On member recruitment, is it transparent? Which agency receives money on behalf of CCM? From where does the CCM get resources? What proportion is there from the nation compared to the donor's portion? Duration of Secretariat contract, is it fixed term or permanent? Are questions on retirement age relevant for CCM? Does CCM have its own bank account? If yes, who are the signatories and how are they identified?

- That there is need for an independent observer during CCM meetings – to observe only, noting anything important and submitting it to others. Measure of control and responsibility required.

Feedback/ Recommendations:

Individual role within CCM - educate all CCM members to understand their role within CCM then there would be no need for an observer; independence and effectiveness of secretariat needs to be assessed, not other administrative and logistical issues; thus most of the areas proposed above for CCM secretariats are irrelevant; need to define what is meant by independence;

Observer status – the observer issue is already mentioned but needs refining; plus linking this to formal structures is difficult, observers need to remain independent;

Example: Aidspace volunteers as independent observer at GF Board meetings. During meetings observers can give no comment, no advice, but can publish information once the meeting has

been concluded. Aidspan's aim as observer is to work on improving the effectiveness of the Global Fund, not to criticise, lay blame or embarrass – if Aidspan observes something sensitive that they are unhappy with, they will inform Global Fund and give them time to respond and act on issues;

Tanzania – decided no observers allowed in CCM meetings because of the underlying motive of the observers who came. It is difficult to confirm that they are truly independent/neutral;

CCM belongs to everyone so everyone is entitled to know what is discussed, but politically it is difficult to be open and transparent at country level – affected by suspicion, distrust, hidden agenda; recommendation

Need to work on how to appoint observers in an accepted and transparent manner – have guidelines. Aidspan can give guidance and mentorship to help others assume observer roles.

Documentation of resolutions – necessary for the review or tracking of decisions made in CCM meetings, to ensure that resolutions are implemented

1.11 Select Participant comments

The participants made excellent comments throughout the process. According to the author of this report they also showed humility, passion and great commitment. In general they showed great ownership of the tool, and a desire to improve the CCM process in all countries. Selected comments showing this commitment and interest are shared in box 6 below.

COMMENTS FROM MEETING PARTICIPANTS

There is need to 'police' the tool to ensure solid tracking and effectiveness at country level

PR should be part of CCM, but how can a receiver of resources also have an oversight role?

We need to entice CCM members to respond when other members make an application to GF and require feedback or comment

Multi-stakeholder skills are required – not only technocrats...perceptions within CCM are skewed towards "experts". Non-experts can contribute as well.

Box 4: participants' comments

What struck participants about the meeting:

During the discussion about the results, there was mention of unspoken values that influence how CCMs operate, and that those values influence the entire system

There needs to be an institutionalised position created for at least one CCM observer

Participants valued the sharing of non-CCM members' experience

Changes taking place within GF must not be allowed to overshadow the changes needed in the tool's implementation

The dynamics within CCMs (example by Botswana) and how it matters when government or civil society chairs (challenges of private sector/CSO Chairs struggling to get high level government officials to come for meetings)

The commonness of the challenges with regard to decision-making across all CCMs in the room

All concerned parties need to keep focus on the communities we serve, especially those living with the three diseases

The importance of policing the tool to make sure it works well

There is a great mindset seeking transformation, and it starts with the acknowledgment of what is wrong first

It is critical that the secretariat is independent of government structures

The ownership of the tool was impressive (during group work)

Great humility, passion, knowledge and commitment within the group

Non-government CCM members need confidence-building and encouragement to be able to participate freely in CCM meetings

All CCMs are the same, despite differences at country level

We need to develop strategies for enticing participation and commitment in-country

We need to harmonize what is happening in-country, with the bigger picture on global goings-on

CCM needs to use the tool for self-assessment

We face common challenges, but we also share commitment for change

We need to keep our eyes on the ball! i.e. better functioning CCMs

Consultative Meeting - Feedback/ Recommendations

The knowledge gaps - Government still majority in many CCM so oversight from others is not likely; structure of the CCM does not lend itself to a fair complaint mechanism. Lack of clarity on how new GF system (country dialogue) will encourage greater participation in addressing COI.

Clarity of TOR for CCM secretariats – a clear understanding of the TOR is critical to successfully assess the CCM secretariat. Secretariat is “employed” by the CCM, and as such there is a need for performance indicators to be listed in the CCM assessment tool.

CCM legal status – as an entity, a CCM has no legal status, which makes controls difficult.

Communication strategy of CCM – the CCM communication system emanates from within government structures. Effective communication not easily assessed.

During the meeting, a number of presentations were made by both members of the CCM, and other non-CCM members. An example of such a presentation is shared below.

Table 4: To whom is the CCM accountable? A presentation by a member of the AIDS Business Coalition (A CCM Member)

Key CCM stakeholders	PR managing projects, affected population, banks, LFA, country at large
Key decision-makers	Government, private sector groupings (formal and informal), development partners, Technical Assistance groupings, MPs
Going forward	<ul style="list-style-type: none"> • CCMs have no vision and mission – we need to advocate that these are developed. • CCM has no legal mandate as a voluntary forum – limited independent decision-making capacity • Most CCMs are government-driven – this can be good, but can be risky for the CCM, and civil society members fear speaking out in autocratic environments
Operationalize	<ul style="list-style-type: none"> • <i>legalize the CCM entity</i> • <i>develop vision and mission statements</i> • <i>formulate country dialogue forums/platforms for CCMs plus outsiders</i> • <i>establish an independent office with secretariat chair operating as CEO;</i> • <i>everyone must be involved – country ownership is critical</i>
Further comments	<ul style="list-style-type: none"> • <i>Proposal-signing can be used as a tool for ensuring that certain things are done – signatures can be withheld until issues are sorted out</i> • <i>COI – most PRs are part of the decision-making process, but we need resolution of this,</i> • <i>Need whistle-blowers/observers</i> • <i>The new way of GF financing will be through “country dialogue”, highly consultative - we will need to get used to this as some players might be left out</i> • <i>There is a need to look at the composition of CCMs – to strategize about what might work well in future;</i> • <i>We should not leave out the major sectors e.g. government, CSO, or the private sector for lobbying and for bringing their way of “for profit” thinking; but it is advisable to limit the number of politicians to one preferably;</i> • <i>Technical Assistance (TA) is critical</i>

Table 5: To Whom is the CCM accountable? A presentation by a Non-CCM Member

<p><i>Accountability is on two levels: GF and end-users; CCM must meet requirements for eligibility for funding, must adhere to the application process, will in future be required to report on CCM performance and address issues raised by OIG (office of inspector general)</i></p> <p><i>GF Core functions: Coordinate proposal development for GF, transparent PR nomination and oversight of PR performance</i></p> <p><i>GF requirements – transparent and documented processes throughout – i.e. in country applications, CCM PR nomination, membership by affected communities, selections of CSO representatives, management of COI, submission and follow-up of oversight plan</i></p>
--

End users – PLWDs, CSO, private sector, government, development partners, FBOs, education sectors/research

Issues observed – e.g. Many CCMs only meet quarterly, time constraints; limited CSO chance/willingness to voice issues or confront government at meetings; COI as some members are also implementers; transparency issues – information from CCM meetings does not always reach constituents, no website to find information as a CSO member

Box 5: Feedback/ Recommendations

CCM self-assessment – this is very important for improving activities and performance, and should be used regularly as an evaluation tool.

Accountability - must go hand in hand with responsibility – the legal status of CCM is critical, because if it is a legal entity it can focus on broader health issues in country, not just malaria, HIV and TB

Conflict of Interest (COI) - COI policy must be adhered to, to ensure that representatives of all constituencies are free to participate transparently

Respect the constituents – as a representative on CCM, a CCM member must think “I must feedback to my constituents”

1.12 DISCUSSION – “Roles and Expectations of the CCM”

1.12.1 Official and unofficial roles

There is need for success stories and feedback to build on for other CCMs.

Some country experiences shared on successes were as follows:

- In Botswana, the CCM allows open representation of LGBTI, MSM and has openly discussed related issues in the proposal development process.
- In Zimbabwe, field visits to hospitals are conducted for a sample of CCM members to talk to recipients of GF services who monitor that beneficiaries are indeed receiving what the funds paid for; drugs are pooled centrally and the numbers of recipients are recorded centrally.

Unofficial CCM roles include administrative issues such as managing a website, advocating for a change in spending GF funding, and maintaining information flow for institutional memory and continuity.

[Note: Unofficial roles refer to responsibilities the CCM is obligated to meet, yet have not been described as a specific duty, either by the Global Fund or by the CCM itself in its governance documents.]

CSOs are advised to hold pre-meeting lobbies to develop, consultatively, recommendations for upcoming CCM meetings critical for building CS capacity and confidence.

Next steps

All CCM Secretariats and CCM members who participated in this process showed willingness to advocate for use of the tool to carry out a full assessment of their CCMs. The action plans developed (see Annex 1) provide a guide into each country's next point of action. **These include plans by all participating CCM secretariats to push for the use of the tool in full evaluations.**

A period of 6 months was given before Aidsplan and SAT can follow-up on the full assessments done by the CCMs. Aidsplan and SAT committed to providing technical support during this process, as needed and where possible. Once done, each country CCM report will be published by each responsible CCM and will be reviewed as an extension to this project.

LOOKING FORWARD:

As implementation of the ideas shared during this process takes shape, individual countries will be cognisant of the changes at the Global Fund and will strive for more informed participation of those involved at the country level. The need to vote for better representatives on CCMs and the Global Fund Board was also highlighted, i.e. people who will really make a change for the people and regions they represent.

The question is:

Are we coming back to this same forum in three years' time to address the same issues, or are we going to pioneer something new?

Annex 1: Cross-Border Integration – “Implementation of the CCM Tool Action Plan”

Implementation of the Tool: Participants met in country groups and identified Action Plans specific to their country situation

BOTSWANA

IMPLEMENTATION OF CCM ASSESSMENT TOOL

Key Action	How to initiate these actions	Who is responsible	What support is required
Special meeting on 2 May to introduce tool	Share the tool with members		<i>Final Tool from Aidspace</i>
Circulate final tool for completion by members by end of May (substantive and alternative)	Organize for a meeting (or include this activity in an planned meeting) to administer the tool to all members		<i>Assistance with analysis</i>
Analyze responses – July meeting	Share the results of the self assessments with the members and document feedback		<i>TA for action plan development</i>
CCM to prioritize gaps	Together with members prioritize the gaps identified		
Develop and implement action plan	Develop a realistic plan of action		

MALAWI

IMPLEMENTATION OF CCM ASSESSMENT TOOL

Key Action	How to initiate these actions	Who is responsible	What support is required
Brief CCM secretariat on tool and workshop proceedings	Plan for a meeting with CCM secretariat (29 th April – 3 rd May)		<i>Aidspace – finalized tool</i>
Brief own constituencies (PLWHA, FBO, CS)	Take advantage of emails and other planned meetings to sensitize constituencies about the tools		<i>Need resources for meetings</i>
Brief CCM itself	Support the CCM secretariat to introduce the tool to the CCM during the next CCM meeting – include this in the agenda		
Lobby CCM to carry out self-	Identify members that you may form a caucus to lobby for the tool to be		

assessment	administered – this lobbying needs to be done before the CCM meeting. Identify vocal members that would support this
Monitor progress of assessment results	Administer the tool, analyze the results, identify gaps and develop action plan that would assist in addressing these gaps. Develop a plan of monitoring the progress

MOZAMBIQUE

IMPLEMENTATION OF CCM ASSESSMENT TOOL

Key Action	How to initiate these actions	Who is responsible	What support is required
Identify key persons from governance committee to discuss relevance and added value of existing tool and this tool	Organize meeting with CCM secretariat (between 29 th April – 3 rd May)		<i>Resources for meetings</i>
Report back to CSO constituencies to gain buy-in for tool	Take advantage of emails, other channels of communication and other planned meetings to sensitize constituencies about the tools		
Present tool to CCM chair to gain buy-in	Plan a meeting with the chair to discuss tool. Organize to have other CCM members who would support the implementation of tool		
CCM meeting discussion	Organize for a meeting (or include this activity in the agenda of a planned meeting) to discuss the tool with all CCM members – plan on a date to administer the tool and review results		
Comparative analysis of other CCMs for tool improvement	Discussions through email with other CCMs in the region on best practices, challenges and lessons learnt		

ZIMBABWE

IMPLEMENTATION OF CCM ASSESSMENT TOOL

Key Action	How to initiate these actions	Who is responsible	What support is required
CCM tool self-awareness and lobbying	Take advantage of emails, other channels of communication and other planned meetings to sensitize constituencies and CCM members about the tools (between 29 th April – 10 th May)		<i>Receive final tool from Aidspan/SAT</i>
Pre-lobby meeting of CCM members	Identify members that you may form a caucus to lobby for the tool to be administered – this lobbying needs to be done before the CCM meeting. Identify vocal members that would support this		<i>Consultant to support with self assessment activity and development of action plan</i>
Self-assessment with outgoing CCM	Administer tool during the last meeting with the outgoing CCM members		<i>Consultant to document best practices</i>
New member orientation and then administer tool – highlight role of CSO participation	Organize for a meeting (or include this activity in the agenda of a planned meeting) to administer the tool and review results and develop action plan on gaps identified		
Research and document Zimbabwe best practices for benefit of others	Support from a consultant to document best practices, challenges and lessons learnt. Take advantage of NAP-SAR to disseminate information		

TANZANIA

IMPLEMENTATION OF CCM ASSESSMENT TOOL

Key Action	How to initiate these actions	Who is responsible	What support is required
Share workshop information with CCM Chair	Plan a meeting with the chair to discuss tool. Organize to have other CCM members who would support the implementation of tool		<i>Receive final tool from Aidspan/SAT</i>
Share final tool with other CCM members	Identify members that you may form a caucus to lobby for the tool to be administered – this lobbying needs to be done before the CCM meeting. Identify vocal members that would support this		<i>Consultant to support with self assessment activity and development of action plan</i>
Administer the self assessment tool to the CCM members	Organize for a meeting (or include this activity in the agenda of a planned meeting) to administer the tool and review results and develop action plan on		

IMPLEMENTATION OF CCM ASSESSMENT TOOL

	gaps identified
Improve on the CCM website content	Identify gaps in the CCM website if it exists. Create an interactive website that allows all relevant stakeholders to access information on GF implementation in the country
Strengthen the constituencies especially the CSOs, before CCM meetings	Encourage and support feedback meetings within the various constituencies. Use different channels of communication – email, meetings, phone calls.

ZAMBIA

IMPLEMENTATION OF CCM ASSESSMENT TOOL

Key Action	How to initiate these actions	Who is responsible	What support is required
Capacity build CSO participation of CCM	[not clear- Zambia team need to fill in]		<i>Technical assistance</i>
Assist fragmented CSO constituencies that will improve coordination –	Identify existing programmes, such as making use of Youth Councils		
Networking mechanisms relevant to constituency feedback	As above		
Strengthen CSO governance system – to understand the role of governance	As above		
Strengthen CSO financial, programmatic & reporting systems	Share CCM tool so that constituencies are able to assess their own members		

Annex 2: Country level surveys: Discussion on the sample results

The pilot test revealed some interesting results even though this was not a full evaluation. Results were diverse and showed many interesting perspectives on how the CCMs perform; where they are seen as strong and weak, and what is known about the CCMs by the respondents. Clearly, these results are only the perceptions of those we reached. We see differences between internal and external stakeholders, for example, most CCM members knew that their CCM has a conflict of interest (COI) policy, but this is unknown to those outside the CCM.

The issues respondents were in most agreement about were: (1) CCMs have clearly defined criteria for selection of CSO representatives and (2) the objective of ensuring representation of LBGTI and MSM is hard to meet given the legal context in the target countries.

Table 6: Summary of results from perception survey

Areas with most progress	Biggest gaps identified
1. Well defined proposal development process	1. Limited representation of constituencies not mentioned above (e.g. LBGTI & MSM); representation of women, girls and youth was also limited to more broader aspects
2. Sharing updates on grant negotiation and signing	2. No complaint mechanism for CCM members and those outside the CCM
3. Reviews of grant performance e.g. PU/DRs	3. Sharing COI policy with non CCM stakeholders
4. Membership of PLHIV, TB and Malaria constituencies	4. CCM having its own website
5. Communication about upcoming CCM meetings	5. The oversight plan is understood by a majority of CCM members
6. Attendance rates by the majority of CCM members	6. Sharing governance manual with non-CCM individuals
7. Clarity of TOR for the CCM secretariat	

Areas that respondents showed the least knowledge on: They did not know whether the CCM...

- ❖ shares the governance manual with others outside the CCM
- ❖ has adequate mechanisms for handling COIs related to selection of CSO representatives
- ❖ has an oversight plan understood by a majority of members
- ❖ effectively includes of wide range of stakeholders (including CSOs) in proposal development
- ❖ has a governance manual shared with (and understood by) all CCM members
- ❖ implements its activities in line with its oversight plan
- ❖ has its own active website, or whether it uses another party's website to post its information

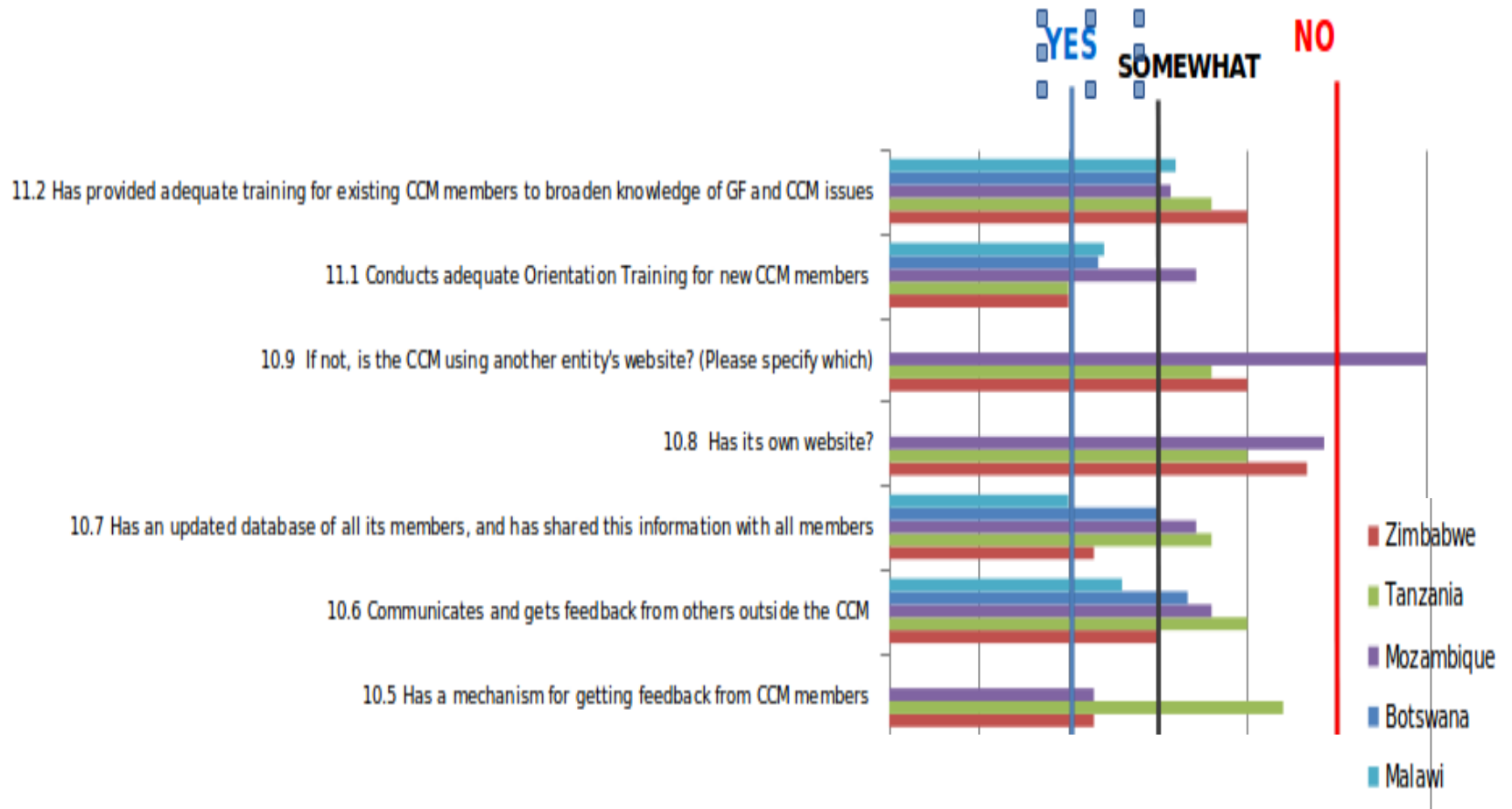
Top issues highlighted per country (potential gaps identified)

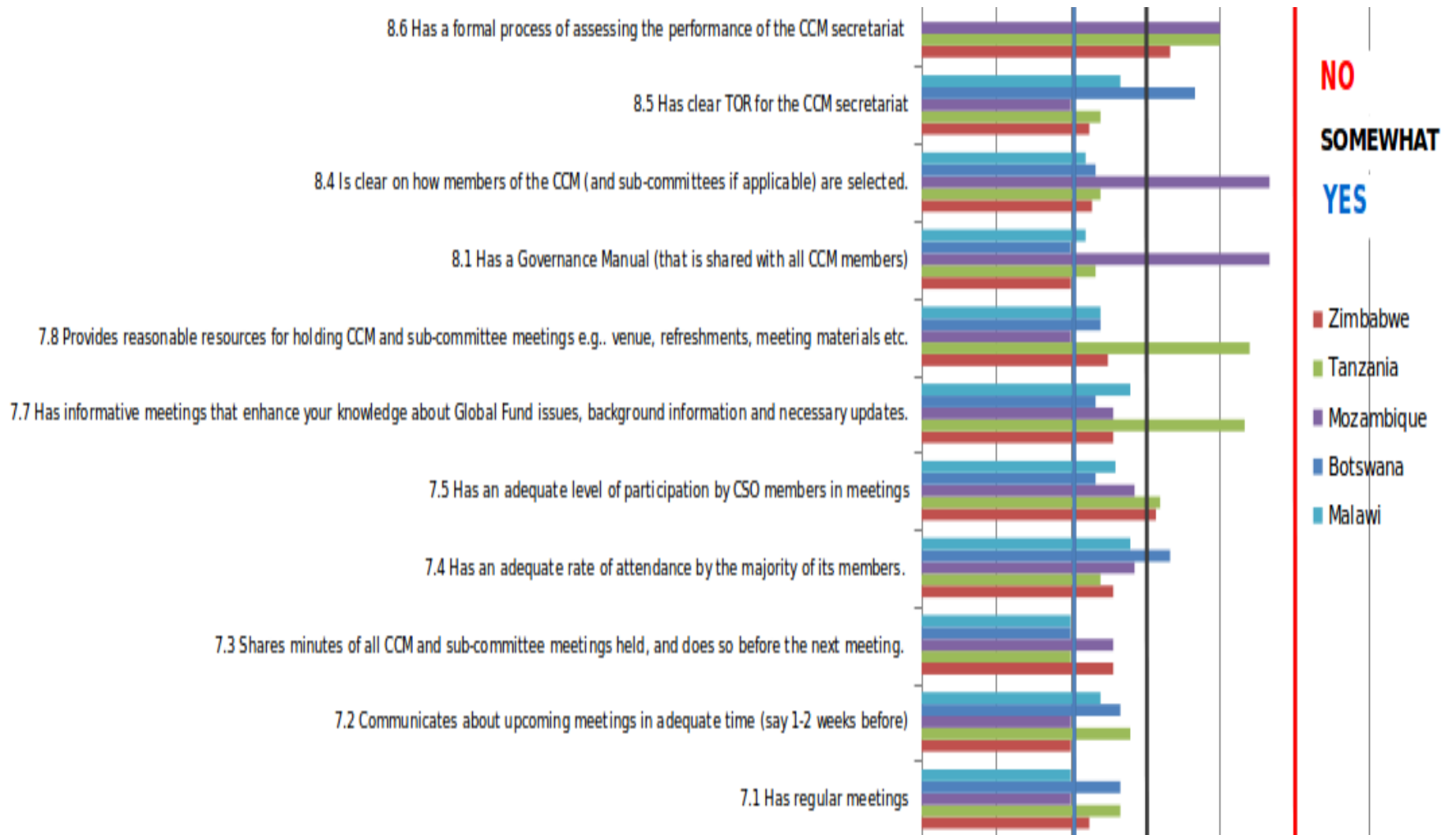
<i>Zimbabwe</i>	<i>Mozambique</i>	<i>Tanzania</i>	<i>Malawi</i>	<i>Botswana</i>	<i>Zambia</i>
<i>Own website. The CCM has no website. The current reliance on the PR website unfavoured</i>	<i>Regular website updates needed. The CCM does not use another entity's website. It has its own, but respondents were not too sure how active it was</i>	<i>Improvement in oversight and PR and Engaging with key stakeholders on oversight related issues, including doing more frequent site visits</i>	<i>Better documented and open process for selecting Technical working groups/ CCM sub-committees</i>	<i>Clearer TOR for CCM secretariat</i>	<i>COI policy not shared with stakeholders outside the CCM</i>
<i>Limited representation of issues targeting women, girls and youth</i>	<i>Lacking a complaint mechanism useful to CCM members and those outside the CCM</i>	<i>Review CCM performance and achievement of tasks</i>	<i>Improvement in oversight-related work</i>	<i>Better engagement of key stakeholders in oversight related issues, including site visits</i>	<i>Regular assessments of the performance of the CCM Secretariat</i>
<i>Ensuring oversight plan is understood by a majority of CCM members</i>	<i>Limited knowledge on policy documents – need to have governance manual shared with all CCM members</i>	<i>More effective communication strategy</i>	<i>More training (other than orientation) needed for existing members to broaden knowledge on GF and CCM</i>	<i>Communication and feedback, both to members and to the wider constituencies.</i>	<i>Need to broaden the functions of the CCM to integrate broader national issues consistent with national policies and strategies.</i> <i>Limited participation of CBOs in proposal development processes;</i>

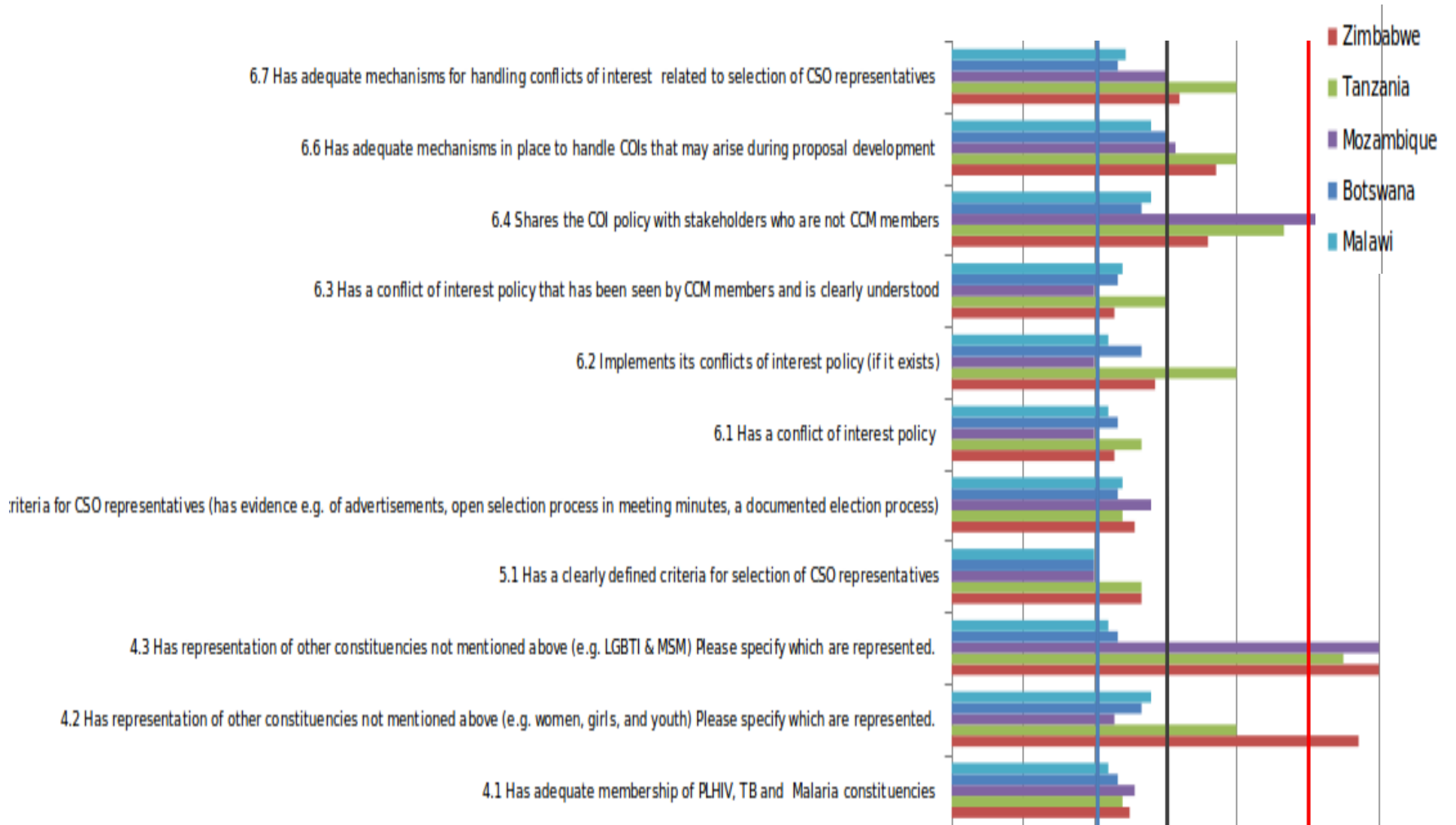
Annex 3: Sample results

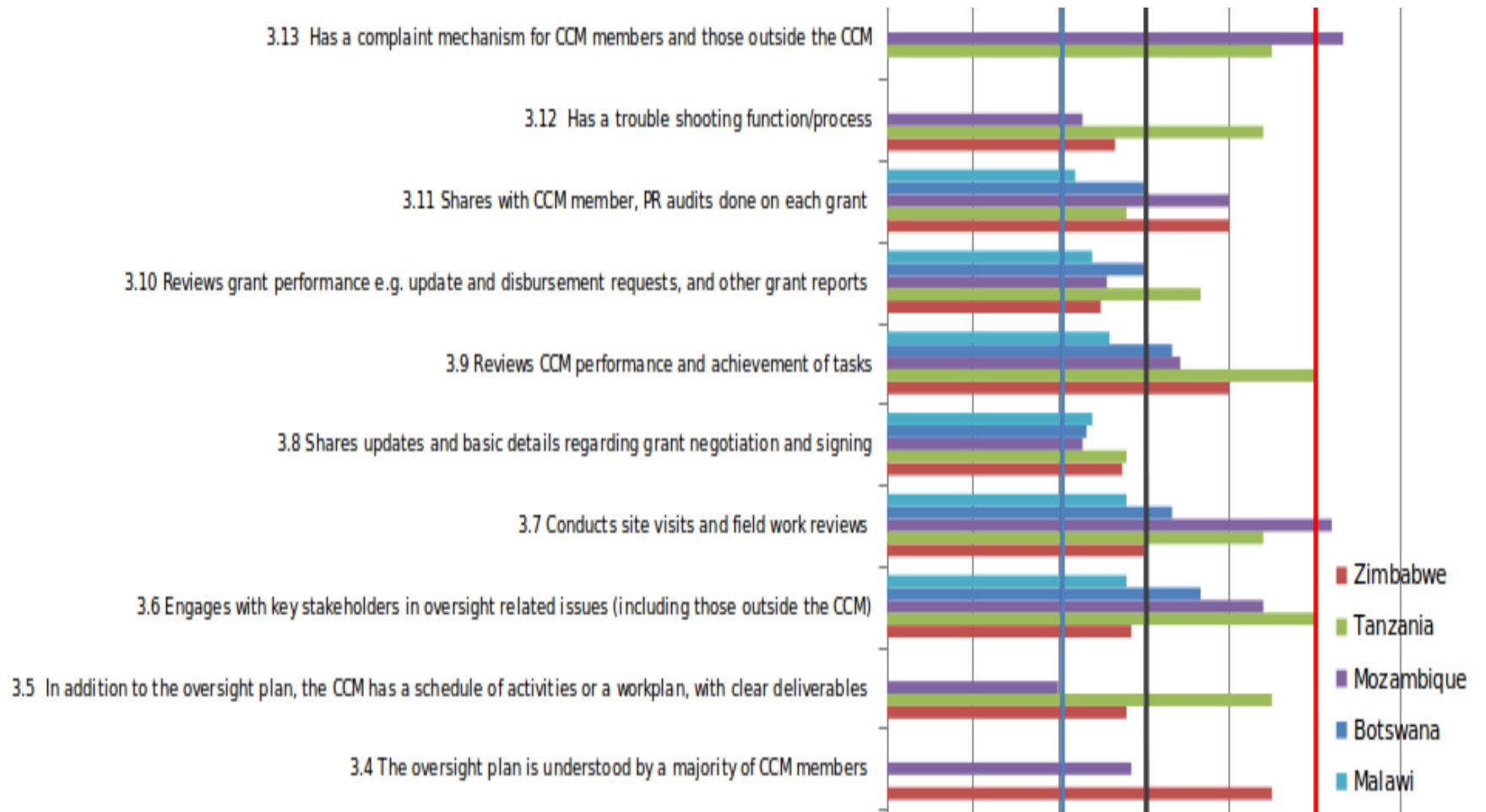
The following table provides key results obtained from the assessments done. The results show key indicators assessed and what proportion of respondent either felt their CCMs had addressed an issue mentioned (or not), or were not sure to what degree. These were then rated and results shared in the tables below.

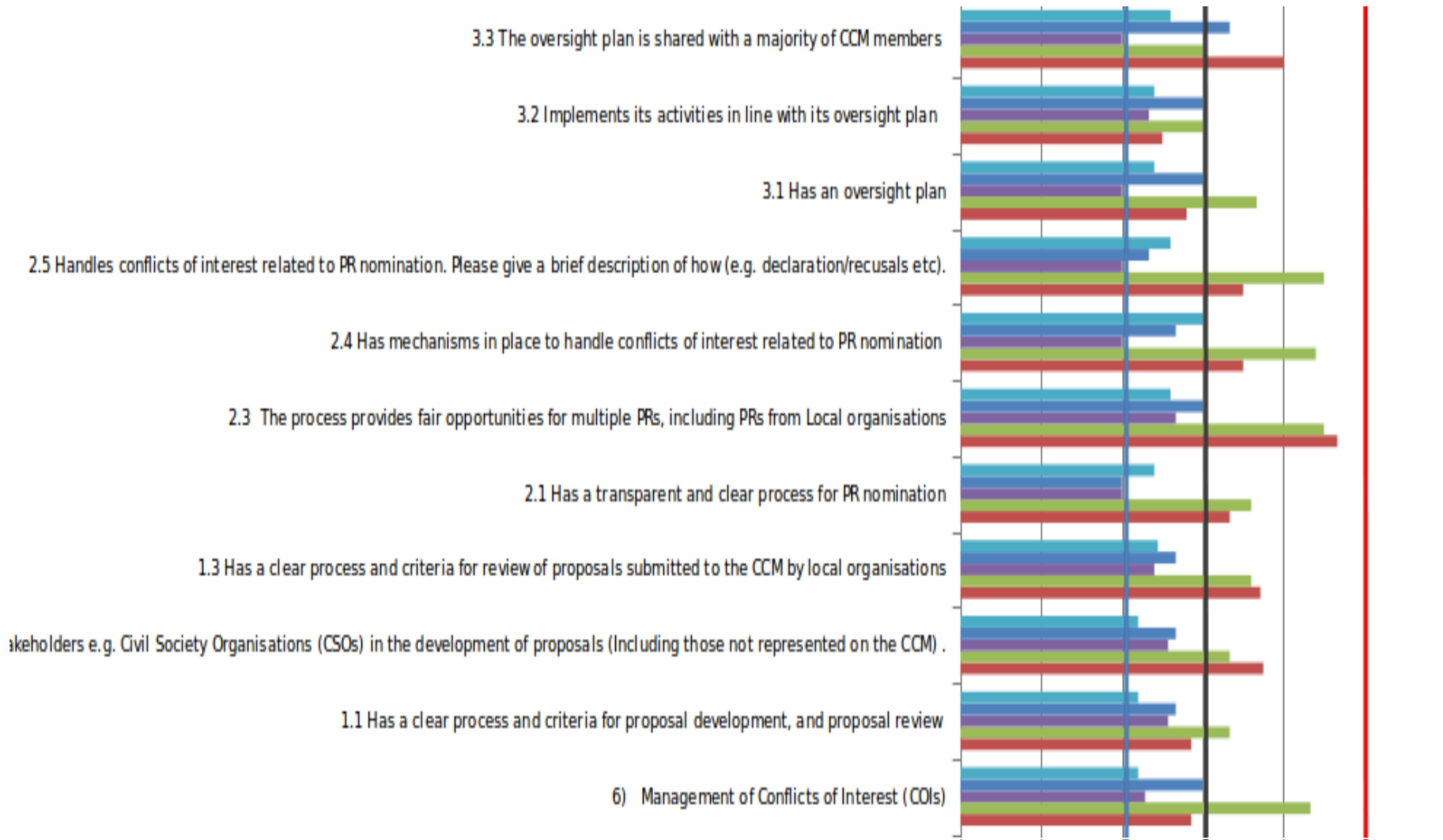
Yes, Somewhat, No (Zimbabwe, Tanzania, Mozambique, Botswana, Malawi)











Annex 4: Participants List (Feedback Meeting)

Country	Participants
Botswana	Nana Gleeson, Finance Director, Botswana Network of Ethics Law and Human Rights on HIV/AIDS (BONELA) finance@bonela.org Tel. (+267) 393-2516
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Tech staff	Technical analyst - Tinashe Chimbidzikai Email: tinashechimbi@yahoo.co.uk
Tech staff	SAT – Kettie Tembo and Report writer – Janine Ward (www.satregional.org)

Annex 5: Final CCM Self-Assessment tool

A copy of the tool developed can be found here: <http://www.dropbox.com/sh/5kvggc3n82urujq/RvS6h321SH>