



South Africa Global Fund Country Coordination Mechanism

GOVERNANCE MANUAL

30 March 2018

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Acronyms and Definitions

| | |
|--------|---|
| CCM | Country Coordinating Mechanism |
| CSF | (SANAC) Civil Society Forum |
| DAC | District AIDS Council |
| EPA | Eligibility and Performance Assessment (for CCMs) |
| GF CCM | Global Fund Country Coordinating Mechanism |
| GF CT | Global Fund Country Team |
| GF | The Global Fund to fight AIDS, TB, and Malaria |
| IMC | Inter-Ministerial Committee |
| KAP | Key Affected Population |
| LAC | Local AIDS Council |
| LFA | Local Fund Agent |
| MSM | Men who have Sex with Men |
| NDOH | National Department of Health |
| NFM | New Funding Model |
| NGO | Non-governmental organization |
| NSP | National Strategic Plan for HIV, TB and STIs |
| OC | Oversight Committee |
| OIG | Office Of the Inspector General |
| PCA | Provincial Council on AIDS |
| PIP | Perfromance Improvement Plan |
| PLHIV | Persons Living with HIV |
| PLWDs | Persons Living with the Diseases |
| PR | Principal Recipient |
| PSM | Procurement Supply Management |
| PUDR | Performance Update and Disbursement Request |
| RFF | Request for funding |

| | |
|-------|-------------------------------------|
| RMC | Resource Mobilization Committee |
| SA | South Africa |
| SANAC | South African National AIDS Council |
| SDG | Sustainable Development Goals |
| SR | Sub-Recipient |
| SW | Sex Worker |
| TB | Tuberculosis |
| TTT | Technical Task Team |

Chairperson and co-chairperson: The GF CCM is lead by a chairperson and co-chairperson. This terminology indicates a co-leadership where both are responsible for leading the GF CCM and ensuring the GF CCM operates according to the Governance Manual. They also share the responsibilities related to work with all regional CCMs, the Africa Constituency Bureau and the Cluster Based Learning Forum.

1. Background

The purpose of the Global Fund to Fight AIDS, Tuberculosis and Malaria (GF) is to attract, manage and disburse additional resources in order to make a sustainable and significant contribution to the reduction of the impact caused by the three diseases, while also contributing to poverty reduction and to the achievement of the Sustainable Development Goals (SDGs). It recognises that this is achieved only through country-driven, coordinated and multi-sector approaches involving all relevant partners. A variety of actors from different sectors, each with unique skills and experience, must be involved¹.

The South Africa Country Coordination Mechanism (GF CCM) is a partnership composed of all key stakeholders in the country's response to HIV and Tuberculosis. The GF CCM is not a grant recipient *per se* of GF financing, but it is responsible for submitting proposals to the GF based on priority needs at the national level, and nominating the entities accountable for administering the funding (known as Principal Recipients or PRs). After grant approval, the GF CCM oversees progress during implementation.

The Global Fund stipulates a number of aspects concerning GF CCM composition. The GF requires that all GF CCMs must include members living with HIV and of people affected by TB or malaria when funding has been requested or received for the three respective diseases. Additionally, GF CCMs must include corresponding key affected populations unless the GF Secretariat has waived this requirement to protect individuals. Finally, GF CCMs should include representatives from both the public and private sectors, including governments, multilateral and/or bilateral agencies, non-governmental organisations, academic institutions, and private businesses. Non-governmental members should comprise, at a minimum, 40% of the total membership and GF CCM membership should ensure balanced geographic representation. The South Africa GF CCM will always maintain a gender balance among its male and female members.

The South Africa GF CCM was established as a sub-structure within the country's South African National AIDS Council (SANAC), and was approved at the SANAC Resource Mobilisation Committee (RMC) meeting held on 15 February 2012. The revised structure incorporating the GF CCM was formally approved by the SANAC Plenary on 1 June 2012 and again as part of the Procedural Guidelines review by the Programme Review Committee in October 2017 (Figure 1). As shown below, within this structure the South Africa GF CCM is accountable to the NSP Financing

¹ <https://www.theglobalfund.org/en/overview/>

Committee (a multi-stakeholder body responsible for ensuring resources are available for the country’s HIV and TB response) to ensure sustainability of GF investments.

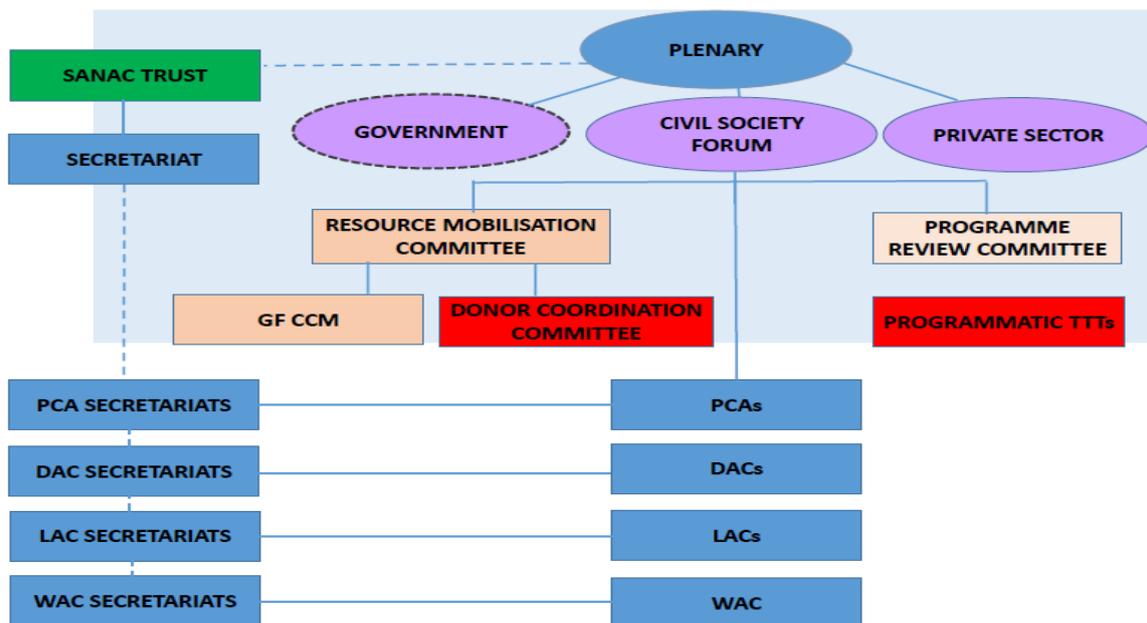


Figure 1: SANAC Structure showing the South Africa Country Coordinating Mechanism

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|--------|--|
| DAC | District AIDS Council |
| GF CCM | Global Fund Country Coordinating Mechanism |
| IMC | Inter-Ministerial Committee |
| LAC | Local AIDS Council |
| NSP | National Strategic Plan for HIV, TB and STIs |
| PCA | Provincial Council on AIDS |
| SANAC | South African National AIDS Council |
| TTT | Technical Task Team |
| WAC | Ward AIDS Council |

This document serves as the Governance Manual for the South Africa Global Fund Country Coordinating Mechanism (hereon referred to as GF CCM). This manual defines the principles, functions, structure and operations of the GF CCM, including membership, its committees and decision making procedures, recognising the GF recommendations and requirements of GF CCM composition and the multi-sectoral modus operandi of the SANAC structures.

2. General Principles of the GF CCM

The GF CCM is a non-judgemental, non-discriminative, non-homophobic and non-transphobic structure and adheres to the principles of multi-sectoral participation, transparency, representation of constituencies, accountability, mitigation of conflict of interest, consensual decision-making, and having a balanced perspective between the diseases. The GF CCM demonstrates these principles by ensuring **equality among members, transparency of operations** and **effective communication**.

2.1 Equality among members

1. Functioning as a national consensus group to promote true partnership;
2. Representing the interests, concerns, and expertise of constituencies rather than those of their own individual self or organizations or those of their friends and their friends' organisations;
3. Ensuring equitable representation from all relevant sectors taking into account issues of race, gender, people with disabilities and those that are equally enabled to participate in the activities of the GF CCM;
4. Ensuring that all representatives of the GF CCM are treated as equal partners, with full rights to participation, expression and involvement;
5. Including constructive participation to facilitate transparent decision-making;
6. Exercising goodwill, mutual respect, integrity, commitment, and good interpersonal skills; and
7. Providing sufficient transition support and information to new GF CCM members.

2.2 Transparency

1. In order to promote accountability, and to ensure that any misuse of funds is prevented, the GF CCM is transparent in all of its processes. Full transparency gives credibility to programmes and promotes public trust and stronger performance. This is achieved by publishing and adhering to a communication strategy for sharing information with stakeholders and with the general public;
2. An annual work plan is developed which provides a schedule of GF CCM meetings, key oversight activities, and important events such as the planned submission of any applications for funding, periodic reviews or requests for continued funding;

3. The GF CCM may undergo various forms of appraisal by the Global Fund, such as the CCM Eligibility Performance Assessment, details of which are available on the GF website¹; and
4. As representatives of constituencies, GF CCM members need to be contactable. GF CCM members will make publicly available (i.e. SANAC website), at a minimum, their work email address.

2.3 Effective communication

1. The GF CCM interacts with a number of key actors including Principal Recipients (PRs), sub-recipients (SRs), the Global Fund Country Team and Local Fund Agent (LFA). Effective and efficient communication with these structures ensures that the GF CCM has access to enabling information to conduct oversight. The GF CCM in turn makes information available to the public on the Oversight findings as per the Communication Strategy and Oversight Plan;
2. For example, the LFA presents their findings from their briefing sessions with the Principal recipients, to the GF CCM Oversight Committee (OC). The GF CCM Secretariat informs all GF CCM members when LFA briefings are to occur and any GF CCM member may attend according to their interest and availability. Likewise, the LFA is expected to attend all GF CCM meetings as an observer (in coordination with the Global Fund Country Team);
3. Each representative on the GF CCM has to communicate with their constituents as set out in the Communication Strategy; and
4. These are essential for accountability as each member has to ensure information flow to and from their constituency and has to be held accountable according to the rules set out in the GF CCM Governance Manual.

3. Global Fund Requirements for CCMs

The Global Fund defines six minimum requirements² with which CCMs must comply in order for the country to be eligible for Global Fund financing. The requirements apply to all types of funding applications to the Global Fund submitted by the GF CCM. The Global Fund Secretariat monitors compliance of CCMs with these requirements on an on-going basis and with every new GF CCM application for funding.

¹http://www.theglobalfund.org/documents/ccm/CCM_PerformanceAssessment_Tool_en/

²http://www.theglobalfund.org/documents/ccm/CCM_Requirements_Guidelines_en/

The six 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 people living with diseases and of people from and representing key affected populations
5. Transparent and documented processes for electing non-government CCM members
6. Management of conflict of interest on CCMs

[See *GF Eligibility Compliance Matrix for more details of the above*]¹

4. The GF CCM Mandate

The overall aims of the GF CCM are to:

1. Raise the maximum funds from the Global Fund for the implementation of the National Strategic Plan for HIV, TB and STIs through funding proposals or requests for funding;
2. Ensure that those funds are accessed and disbursed to Principal Recipients, maximising the absorption rate; and
3. Maximising the impact of the contribution of these funds to the achievement of the NSP targets.

The core functions of the South Africa GF CCM, as mandated by the Global Fund and the SA Government, are as follows:

1. Coordinate the development and submission of national funding proposals or requests for funding;
2. Nominate the Principal Recipients;
3. Oversee implementation of the approved grant;
4. Approve any reprogramming; and
5. Ensure linkages and consistency between GF grants and other national health and development programs.

¹ https://www.theglobalfund.org/media/5339/ccm_eligibilityandperformanceassessment_tor_en.pdf

In addition, with the introduction of the GF's revised country financing mechanism in 2013, the CCM has the responsibility for playing a stronger leadership role to:

1. Ensure meaningful participation in the National Strategic Plan (NSP) discussions at country level; and
2. Convene stakeholders to engage in inclusive country dialogue and to guide the choices and funding allocations.

5. GF CCM Core Roles and Responsibilities

The roles of the South Africa GF CCM can be split into five key areas (**Figure 2**).

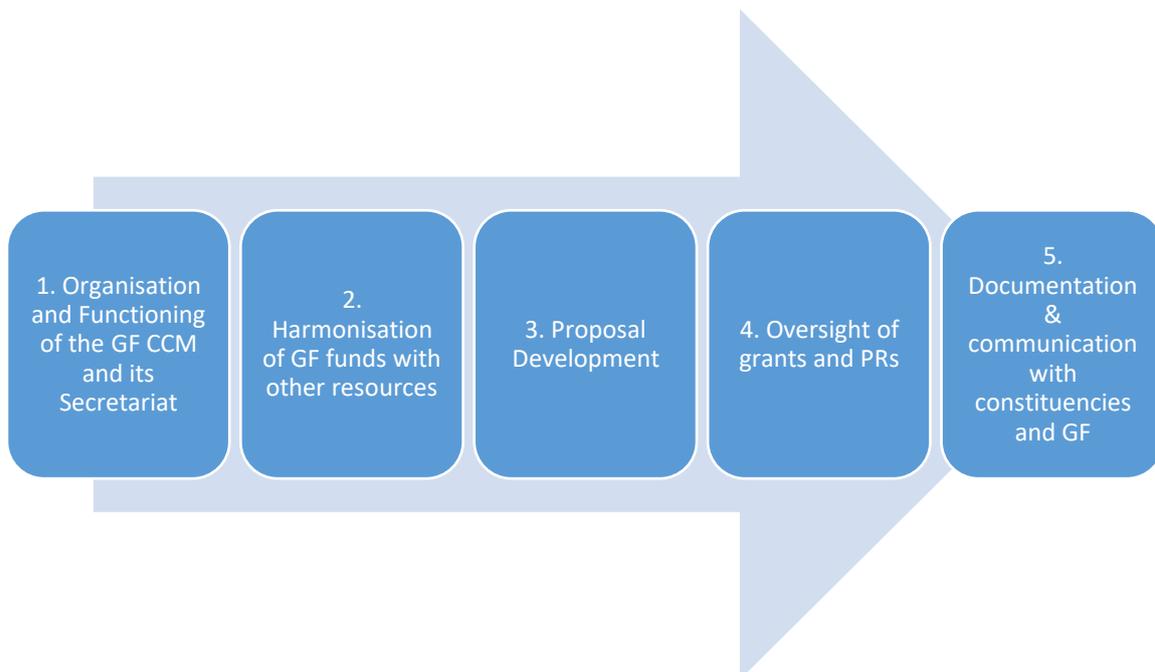


Figure 2: Roles of the SA GF CCM

5.1 Organisation and Functioning of the GF CCM and its Secretariat

The GF CCM is responsible for ensuring multi-sectoral transparent participation in all GF processes, according to the principles outlined above. To carry out its essential functions the GF CCM:

1. Establishes and updates clear and transparent rules and regulations;
2. Constitutes multi-sectoral GF CCM Membership;
3. Constitutes a permanent Oversight Committee and other Technical Task Teams (TTT) or sub-committees as required;
4. Develops and adheres to meeting and communication protocols documented in this Governance Manual;
5. Establishes and supports a GF CCM Secretariat;

6. Conducts annual orientation programs for all continuing and new GF CCM members;
7. Carries out regular GF CCM Performance Evaluations; and
8. Ensures, through its operations, compliance with the Global Fund requirements for CCMs.

5.2 Harmonization of GF processes with national processes and resources

The Global Fund is designed to be supportive of national processes, and to this end the GF CCM is responsible for ensuring that GF grants:

1. Build national capacities by implementing Dual Track Financing and Health and Community Systems Strengthening policies;
2. Align performance and reporting schedules of all implementers to agreed national cycles;
3. Ensure that members disseminate information on GF CCM activities within their sectors as agreed to by the GF CCM and set out in the Communication Strategy;
4. Align programme reviews with national review cycles, where possible;
5. Participate in national programme reviews where feasible to increase accountability of Global Fund-financed programmes;
6. Promote accountability and national ownership by engaging a broad and representative range of country stakeholders in the oversight role;
7. Ensure communication and transparent reporting of Global Fund financing in national budget documentation and/or with national planning authorities;
8. Ensure that approaches are harmonised and coordinated with existing in-country aid modalities;
9. Draw on targets, indicators and reporting forms included in the national monitoring and evaluation plan and that are acceptable and relevant to all partners in-country;
10. Enhance country ownership and accountability;
11. Where appropriate and where sufficient capacity exists, nominate national systems as the default option when selecting implementation arrangements;
12. Maximise synergies across all grants, particularly in closely related areas, such as HIV and TB; and
13. Ensure alignment of applications to funding application guidelines issued by the Global Fund, relevant policies, and are applicable to the South African context.

5.3 Proposal Development and Principal Recipient Selection

5.3.1 Proposal Development

One of the core functions of the GF CCM is to coordinate the development of proposals (i.e. request for funding) based upon national strategic plans. This role has been slightly revised since the Global Fund restructured its application and funding processes in 2014. As such the GF CCM has an increased role in ensuring meaningful participation in the National Strategic Plan (NSP) discussions; convening all relevant stakeholders to engage in inclusive “country dialogues”; and, guide the proposal’s development to submission. While the GF CCM takes the final responsibility for the development of new concept notes it should:

1. Ensure transparent and documented processes that engage a broad range of stakeholders, including GF CCM members and non-members, and especially key affected populations in the solicitation and the review of activities to be included in the application;
2. Constitute a committee to develop a road map for the GF CCM for the development of the concept note and to guide a writing team that consists of technical experts;
3. Ensure that programme activities contribute to the protection of human rights for those living with and affected by the two diseases (HIV and TB), especially populations that are marginalized or criminalized: and
4. Ensure that funding applications are aligned with the National Strategic Plan for HIV and TB.

5.3.2 Principal Recipients

The GF CCM is mandated to nominate the implementing organizations (i.e. Principal Recipients) for each GF grant. The goal in this selection process is to identify the best possible PRs (those that will enable targets to be reached, funds to be absorbed and impact to be realised) from a pool of current PRs and/or new organizations. The PR selection process is a transparent process that is conducted at an early stage in the funding proposal development process so that any capacity building needs inform technical support planning within the new grant’s budget. The GF CCM also liaises with the Global Fund on the process of PR selection and the outcome of the selection process.

The GF CCM transparently identifies and nominates potential PRs to the GF based on a set of objective criteria that assesses the capacity and skills to serve as a PR for a GF grant in the focus areas prioritised by the GF CCM. The GF then considers the potentially eligible PR candidates and, in collaboration with the GF CCM, agrees upon the final selection. Where possible the GF CCM aims to nominate both government and non-government PRs for each disease programme in order to strengthen the national response to the two diseases.

The GF CCM ensures that PRs, once confirmed, shall work with the GF CCM, as guided by the SR selection manual, to identify prospective SRs who: will meet the GF requirements of SRs, with a reasonable amount of capacity development and support will be able to implement the programmes as designed by the GF CCM, will be able to ensure effective efficient implementation, will provide value for money, and advance sustainability in the national response. The GF CCM works closely with PRs to ensure that the Sub-Recipient (SR) selection process is open, fair and based on objective criteria related to (1) performance capacities to implement the required programme to the required standard (2) scope and reach at provincial and district level as required, (3) capability for the development of SR capacity in order to take on greater financial and management responsibilities, and (4) the ability to work with SSRs for implementation of programmes.

The GF CCM guides the development and review of a PR and SR selection manual to ensure that the best PRs and SRs are selected in an open transparent way and that the manual is then updated based on lessons learnt about the link between actual performance and assumptions about selection criteria.

Once selected, the GF CCM supports the Principal Recipients and does this specifically through the Oversight Committee (OC). The OC works to proactively identify implementation challenges, and meets with PR(s) regularly to discuss challenges before performance is affected; challenges that could affect service provision, supplies of drugs and equipment and the flow of funds. To do this optimally the Principal Recipients convene quarterly Operational Performance Excellence and Co-ordination meetings (OPEC) for each programme area and the Oversight Committee then reviews performance quarterly at Country Portfolio Review (CPR) meetings and Oversight Committee meetings. These meetings aim to monitor and optimise grant performance and impact, deal with bottle-necks and challenges, optimise the quality of programmes and linkages and layering and build sustainability. The OC also does site visits to further enhance these aims.

5.3.2.1 Principal Recipient Selection Process

In the interest of transparency, accountability, and healthy competition, the GF CCM encourages competitive processes to identify and select Principal Recipients. As such, the GF CCM solicits an “expression of interest” (EOI) for organizations (NGOs, CBOs, FBOs, private organisations, national government departments, provincial governments etc.) to become a Principal Recipient in one or more of the two disease categories. Interested organizations must demonstrate their capacity to manage large volume programmes efficiently and effectively, clearly demonstrating outcomes and value for money. All interested national and sub-national organizations are encouraged to apply.

This process is guided by a PR Selection Manual that is developed and then updated every time the GF CCM submits a proposal or request for funding to the GF.

It is the responsibility of the GF CCM to nominate appropriate organizations capable of implementing large-scale national programmes relative to the request for funding (RFF) being proposed. The Oversight Committee is responsible for guiding an open, criteria-based and transparent process for PR selection that manages any potential conflict of interest and the RFF Sub-committee is responsible for ensuring that the timing of PR selection is incorporated into the RFF development timeline in a way that allows enough time for the process to be done in a fair and transparent manner.

It is important that the GF CCM starts the process of PR selection, including the selection of a PR Evaluation Sub-committee, very early in the RFF development process so that sufficient time could be given to the development of the evaluation criteria and all other necessary documents and that these documents can be signed off by the GF CCM before the process starts. The criteria for selection should use objective indicators and verifiable targets as far as possible, must be clear and must also address specifically the issue of how applications from existing PRs will be managed. The GF CCM must select the PR Evaluation Sub-committee and then endorse the Evaluation Sub-committee's Terms of Reference, evaluation criteria and tools before the selection begins. The GF CCM must ensure that the members selected to this evaluation Sub-committee have the time, qualifications and commitment for such a review process and that they should be provided with clear guidelines and instructions on their roles and responsibilities including the principles of ethics, transparency and openness. The issue of conflict of interest should be discussed in detail before the process starts to minimise the discretion of the chairperson and vice-chairperson in the management of conflicts of interest.

This PR evaluation sub committee will be representative of the GF CCM and will assess PR applications in order to make recommendations to the GF CCM. As this is an open process existing PRs can apply to be nominated as a PR for the new grant but are not guaranteed acceptance. To ensure sustainability of programmes the NDOH will remain as a Principal Recipient to implement key priorities identified by the GF CCM, that are most suited to their area of expertise. Interested current or former PRs will be evaluated at the same time as other applicants against a minimum standard of capacity to conduct the PR roles and responsibilities and capacity and ability to lead the implementation of programmes in the priority areas identified by the GF CCM. The PR selection process is a tendering process that seeks to identify PRs (both continuing and new organizations) by encouraging healthy competition. All applications are received electronically, care of the GF CCM Secretariat.

Once the PR Evaluation Sub committee has assessed and identified potential PRs it then reports its findings to the entire GF CCM for discussion and decision. It is equally important that the GF Country Team be kept fully in the loop about the PR selection process and has an opportunity to discuss nominations before the GF CCM makes final decisions.

There is no guaranteed renewal of a PR contract; however, the PR Evaluation Sub committee will use the agreed criteria as approved by the GF CCM to evaluate amongst others: the applicant PR's performance, the investment made in building its programmatic infrastructure and the success of such investment, and its ability to function as a PR for the revised priorities identified for the new proposal in order to determine whether the GF CCM should continue with the PR or change to another PR. In the event of any formal complaint or discrepancy concerning the GF CCM's process for PR selection, an appeals process will be implemented, as described in the PR selection manual. It is important to note that the GF rules are clear that the GF CCM is the final decision-making body and hence all appeals should be managed by the chairperson of the CCM. To counteract any such concerns the GF CCM secretariat will ensure that an auditor and secretariat service provider is appointed to record and monitor the work of the PR Evaluation Sub committee to ensure that conflict of interest is managed, that all members of the committee fully participate and that open fair discussion takes place without coercion in order to reach consensus on recommendations put forward to the GF CCM.

The GF CCM Secretariat supports the process to be followed to identify PRs including the development of the EOI and other documentation and supports the compilation and analysis of documents submitted.

5.3.2.2 Process for Change of Principal Recipient/Suspension/Termination/ expiry of the implementation period of a Programme

This is guided by Article 10 of the Global Fund Core Grant Regulations.

Change of Principal Recipient

For each Programme, if at any time, either the GF CCM or the Global Fund concludes that the Principal Recipient is not able to perform the role of Principal Recipient and to carry out relevant responsibilities properly under the relevant Grant Agreement or if, for whatever reason, the Global Fund and the GF CCM wish to transfer some or all of the responsibilities of the Principal Recipient under the relevant Grant Agreement to another entity that is able and willing to accept those responsibilities, then such other entity may be substituted for the Principal Recipient in the relevant Grant Agreement. The substitution shall occur on such terms and conditions as the Global Fund and the substituting entity may agree, in consultation with the GF CCM. The GF CCM shall take all

appropriate and necessary actions to ensure that the Principal Recipient and each of its Sub-recipients cooperate fully with the Global Fund and the GF CCM to facilitate the transfer.

Suspension and Termination

For each Programme, the Global Fund shall have the right to terminate or suspend the relevant Grant Agreement in whole or in part for any breach by the GF CCM or the Principal Recipient of any provision of the Grant Agreement or any other reason to be determined by the Global Fund at its sole discretion, upon giving the GF CCM and the Principal Recipient written notice. Any part of the Grant Agreement that is not terminated or suspended shall remain in full force and effect.

Procedures upon Expiry of the Implementation Period or Early Termination

Upon the expiry of the Implementation Period for a Programme or the early full or partial termination of a Grant Agreement for any reason, the Principal Recipient acting on behalf of the GF CCM shall, unless the Global Fund agrees otherwise and among other procedures which may be requested by the Global Fund:

1. Ensure that all Health Products, goods, services and activities financed with Grant Funds, including those procured and implemented by Sub-recipients, are fully paid no later than six months after the expiry of the Implementation Period or, in the case of early termination of the relevant Grant Agreement, no later than the effective date of such termination;
2. Provide the Global Fund with a final audited financial report of the Programme no later than six months after such expiry or early termination;
3. Within seven months of such expiry or early termination, return to the Global Fund any Grant Funds that have not been expended by the Principal Recipient and Sub-recipients for the Programme Activities as of the expiry date of the Implementation Period or the date of the termination notice (as applicable), if requested to do so by the Global Fund;
4. Within three months of such expiry or early termination, provide the Global Fund with an inventory of all Programme Assets and a list of all receivables (if any) outstanding under the relevant Grant Agreement; and
5. Provide a plan (prepared in consultation with the GF CCM) for the use of all Programme Assets and receivables referred to in sub-paragraph (4) of this Section, and such plan shall be subject to the final approval of the Global Fund.

Transfer of Programme Assets.

Upon the expiry of the Implementation Period for a Programme or on the earlier termination of the relevant Grant Agreement, the title to relevant Programme Assets shall be transferred or otherwise disposed of in accordance with the Global Fund's written instructions.

5.4 Oversight of Grant implementation by PRs and SRs

In general, oversight is a key function of governance. Oversight ensures that activities are implemented as planned by providing strategic direction to PRs, ensuring policies and procedures are met, instituting financial controls when necessary (including independent audits), and following through on key recommendations. The South Africa GF CCM expands the definition of its oversight role to include contribution to the areas of proposal development, grant negotiation, grant implementation and grant closures.

CCMs are required by the Global Fund to have an 'Oversight Plan' in place without which the CCM is ineligible for funding.

Recognizing the importance of oversight, the South Africa CCM has an Oversight Committee which is mandated to carry out strategic oversight activities on behalf of the full GF CCM. It has also developed an oversight plan detailing these oversight activities, and describing how the GF CCM engages programme stakeholders in oversight, including GF CCM members and non-members. This includes facilitating and coordinating the engagement of technical assistance for PRs and SRs, as necessary, to ensure that programmes for which funding is requested are reaching expected targets in an effective and sustainable manner.

5.5 Documentation and Communication with Constituencies, People living with the Diseases, non-CCM members and the GF

As stated above the GF CCM is responsible for ensuring open and transparent processes in the development of GF funding proposals and the oversight of grant implementation. It must ensure that its activities are fully communicated to all relevant constituencies through a variety of media channels (i.e. websites, emails, face-to-face consultations, publications, etc.).

GF CCM members are equally responsible for communicating to, and getting the opinions of their constituencies and bringing these voices to the GF CCM meetings. Non-governmental CCM constituencies are required by the Global Fund to have constituency engagement plans in place to ensure this communication loop transpires.

The GF CCM Secretariat has the responsibility to:

1. Communicate & publish all GF CCM activities; and,
2. Generate, circulate and file all meeting minutes and other GF CCM documents.

Section 11 of this Governance Manual provides additional details of the CCM's communications role.

5.6 Relationships with other GF actors (GF Country Team, LFA, Department of Health, PRs, South African National AIDS Council structures)

1. The GF country team is responsible for guiding the GF CCM and others on the development of funding proposals, the selection of Principal Recipients and the day-to-day management concerns in grant implementation. The GF CT is South Africa's interface with the GF;
2. Local Fund Agents (LFA) are an integral part of the GF model. The LFA is an independent organization contracted by the GF to undertake an objective examination of and provide independent advice and information relating to grant implementation. The LFA works closely with the country team at the GF to evaluate and monitor activities before, during and after the implementation of the grant. The LFA does not act as the GF's representative in South Africa and does not speak for the GF. Moreover, the LFA is not a member of the GF CCM; the LFA is invited to attend all CCM meetings as an observer and to be available to provide additional information on any GF-related operational issue. The LFA conducts in- depth debriefing sessions with PRs and gives feedback at oversight committee meetings;
3. The role of the LFA therefore includes:
 - Assessing the capacity of the nominated Principal Recipient, including:
 - Previous track record
 - Effectiveness of internal controls and systems
 - Reviewing proposed grant budget, workplan and related documents
 - Reviewing the progress of the grant and the appropriate use of funds, including:
 - Requests for realignment and reprogramming
 - Visiting sites to verify results and data quality
 - Advising the Global Fund on activities related to the closing of a grant and any possible risks
4. The Department of Health is the principal national organization responsible for the public's health. As such, the NDOH plays a central role in all conversations and decisions regarding the three diseases of HIV, TB, and Malaria;
5. PRs (See section 6.5); and

6. SANAC (See section 1, Background).

6. GF CCM Structure

The structure of the South Africa GF CCM is multi-sectoral, comprised of representatives from various constituencies in government, civil society, private sector organizations, and development partners. The GF CCM has three standing committees (Oversight, Request for Funding, Ethics), plus sub-committees that may be established as required. Its Secretariat manages affairs on a day-to-day basis by providing administrative support and technical assistance to the GF CCM and all its subcommittees. The detailed roles of each of these sub-structures is discussed below.

6.1 Composition of the CCM

Following the principle of multi-stakeholder engagement, the CCM's constituency composition reflects the nation's key stakeholders and communities that are addressing HIV and TB as defined by SANAC. The thirty-two representative members of the CCM below¹ have been designated as follows:

- Chairperson – SANAC CEO
- Co- Chairperson – Elected from the 8 Civil Society representatives listed below
- 8 Civil society representatives that include:
 - 4 Key Affected Populations representatives (Women & Girls, MSM, Youth and Sex Workers)
 - 3 Persons Living with the diseases (PLWDs) including 2 HIV (PLHIV) and 1 TB (TB interest group)
 - 1 Labour Union Representative
- 6 Government Sector representatives: Dept. of Correctional Services (DCS); National Dept. of Health (NDOH); National Treasury (NT); Department of Higher Education and Training (DHET); Dept. of Basic Education (DBE); and Dept. of Social Development (DSD).
- 9 Provincial AIDS Councils, Heads of Secretariats
- 3 Private Sector representatives
- 4 International development partners (2 multilateral and 2 bilateral) representatives

¹ The Co- Chairperson comes from but does not count as a separate seat in addition to the 8 overall non-governmental civil society constituencies (i.e. 4 key affected population; 1 labour, 3 persons living with the diseases).

- 1 Costing Expert: 1 person selected by the Costing Technical Task team
- In addition to the full voting members of the GF CCM, the CCM Secretariat participates as an Ex-officio

Note: The Principal Recipients only participate in GF CCM meetings when invited to do so. An exception is the NDOH, where the conflict of interest of the representative will be managed in the meeting as per the COI policy.

6.2 Principles of GF CCM Composition

1. Membership of the GF CCM must comprise a minimum of 40% representation of the non-government constituencies (excluding multilateral and bilateral partners);
2. During elections, the relevant SANAC forums should ensure that the proposed candidates for the GF CCM have the required expertise to give sufficient voice to the represented constituency and fulfil their CCM role effectively;
3. The GF CCM will strive to have equal representation of men and women in accordance with South African policies;
4. The GF CCM will ensure that vulnerable groups and populations affected by HIV and TB are represented in its membership at all times, taking into account the socio-epidemiology of the two diseases and the national context;
5. The GF CCM has three standing committees: (1) Oversight, 2) Request for Funding and (3) Ethics. The GF CCM may organize other sub-committees as needed to address a variety of resource mobilisation, governance, or programmatic concerns as they arise. During the course of their GF CCM membership tenure, all CCM members are expected to serve on at least one committee wherever possible. Membership in GF CCM standing committees is approved by the full GF CCM;
6. The GF CCM is lead by a Chairperson and a Co- Chairperson;
7. Their respective roles and responsibilities can be found sections 7.1 and 7.2 respectively; and
8. Every three years, the CCM will review, change or reconfirm its composition in order to assess whether it remains relevant to the evolving epidemics of HIV and TB and/or programmatic changes.

6.3 Principles of GF CCM Membership

1. Members are required to undergo initial GF CCM orientation and periodic orientation to ensure their knowledge of and competence in Global Fund policies and of the status of HIV and TB programmes in the country;

2. Members have a responsibility to stay up-to-date on key Global Fund policies and procedures which requires a significant amount of reading;
3. Each GF CCM member represents the interests of their entire constituency, and not those of their own individual self or organization;
4. Members have the responsibility to share information with their constituents in an open and timely manner, and should respond to requests for additional information;
5. Members should consult their constituents regularly so that they can reflect the views and set mandates from their constituencies. The principles guiding this communication to and from constituents is outlined in the GF CCM Communication Strategy and the Constituency Engagement Plans; and
6. Members have the responsibility to keep their Alternate members up-to-date and informed so that in the event that the Member cannot attend a full GF CCM, committee, and/or extraordinary meeting, the Alternate Member is capable of acting/voting in his/her place.

GF CCM members may submit potential agenda items to the GF CCM Secretariat head for consideration by the chairperson and vice-chairperson. Proposed agenda items must be received by the Secretariat at least two weeks before the date of the full GF CCM meeting. A meeting, coordinated by the CCM Secretariat, between the CCM chairperson and vice chairperson, will decide whether to (1) add the agenda item for discussion; (2) propose that a subcommittee be formed to address the issue at hand and then bring the issue back with a recommendation for GF CCM consideration at later date; (3) reject the proposed agenda item as irrelevant or (4) postpone the agenda item for a future meeting.

6.4 Procedures for nomination and/election of CCM Members

Each constituency is responsible for determining the detailed procedures for selection or election of its GF CCM representative, according to the by-laws of the relevant constituency within SANAC.

The Government constituencies (Dept. of Social Development, Basic Education, Higher Education and Training, Treasury, Health, and the Dept. of Correctional Services) select its representatives based on best suitability (ability to represent the department, ability to take decisions). The Government constituency shall submit to the GF CCM a letter duly informing the GF CCM of their representatives (main and alternates).

Provinces across South Africa are represented by the selected Heads of the Provincial Councils on AIDS (nine in all).

South Africa's bilateral and multilateral partners are represented by UNAIDS, WHO, PEPFAR and the EU.

Non-Government constituencies elect their GF CCM representatives using a process agreed on by the constituency. The process must be transparent, fair, all-inclusive and democratic. Detailed full minutes of each Constituency's electoral proceeding should be submitted to the GF CCM, reviewed by the Oversight Committee for fairness and transparency, and duly filed by the Secretariat.

All the GF CCM constituencies (government and non-government) must ensure that nominated individuals must be available and committed to attending GF CCM meetings; have awareness of the GF CCM roles and responsibilities; and be able to participate fully and voluntarily.

Details of membership selection/election and the officer bearer election process is tabled in Annex 1.

6.5 Terms of Office of GF CCM Members

Members of the SA GF CCM hold office for a period of three calendar years, reflecting the implementation period of a GF grant, except for government members, Heads of Provincial Councils on AIDS Secretariats and the Chairperson who is the SANAC CEO. The Chairperson will change as the CEO of SANAC changes and the government representatives as their department decides on the most appropriate candidate to represent them. The GF CCM will consider different membership term alignment as needed, to avoid all members joining or leaving the CGF CM at the same, thereby losing all the institutional memory of the GF CCM during the 'learning curve' period inherent with new membership.

1. The membership term of the main member and the alternate is limited to three years, which can be renewed once, in line with GF funding periods;
2. Members follow a staggered schedule for membership renewal (a maximum of half the members to be renewed per cycle) to preserve GF CCM institutional memory and continuity, within the rules described above. The full GF CCM will propose and agree on the best way forward balancing the retention of institutional memory and the need for new membership; and
3. Each institution and constituency selects an alternate member for every seat, where appropriate to their sector and according to their forums/organizations' governing rules.

6.6 Resignation, Revocation, or Replacement of a GF CCM Member

GF CCM members commit to a minimum period of three years, but may resign their membership for serious professional or personal reasons. In cases where the elected member leaves the employ of the constituency that s/he represents, this is also regarded as a resignation. Resignations must be submitted in writing to the CCM chairperson, co-chairperson and the GF CCM Secretariat and subsequently the name of the newly elected representative plus the minutes of the meeting where they were selected must be submitted to the CCM chairperson, co-chairperson and the GF CCM Secretariat. This will then be recorded in the minutes of the next full meeting of the GF CCM. A GF CCM member may not delegate their tasks; but they are expected to work with and share the responsibilities with their alternate member.

With respect to government representatives on the GF CCM, changes in suitability of selected government constituencies will result automatically in the replacement of the former member. The relevant government department has to inform the CCM chairperson, co-chairperson and the GF CCM Secretariat in writing and also nominate the replacement when this happens. This same process will also apply to the Heads of the Provincial Councils on AIDS and representatives of multilateral and bilateral partners.

More details of procedures relating to sanctioning, resignations and changes are provided in *Annex 2*.

7. Roles and Responsibilities of the CCM Sub-Structures

Each GF CCM member represents a constituency—be it civil society, government, bilateral and multilateral development partner, the private sector or finance and costing experts—in a common effort to mobilize resources and oversee their implementation for the benefit of the nation in its response to the challenges of HIV and Tuberculosis. As such, being a GF CCM member encompasses certain expectations as follows:

1. Be prepared for, attend and contribute to (a) at least four GF CCM meetings a year, (b) other committee meetings, and (c) extraordinary GF CCM meetings as necessary;
2. Understand the programmatic picture of HIV and TB in South Africa and the status of grant implementation;
3. Declare any conflict of interest;
4. Submit evidence of your appointment from your constituency for yourself and your alternate member;
5. Provide evidence of communicating feedback to your constituency on GF CCM business;

6. Know the GF CCM framework documents (GF and CCM requirements, GF CCM Governance manual and GF CCM Oversight Plan);
7. Respond timeously to requests for information from the GF CCM Secretariat; and
8. Assume responsibility for any last-minute changes in logistics/itineraries not approved by the relevant officer (as per SANAC Secretariat procurement policy) that have cost implications.

7.1 CCM Chairperson and Vice Chairperson

The GF CCM is led by a chairperson and a co-chairperson and they are both endorsed by the Resource Mobilisation Committee. The CEO of SANAC shall be the GF CCM chairperson. The chairperson of the GF CCM leads the GF CCM in collaboration with a co- chairperson. The co-chairperson comes from the civil society group of representatives and is endorsed by the CCM.

The chairperson and co-chairperson have the following responsibilities:

1. Call the GF CCM meetings, and start and conclude each meeting promptly;
2. Introduce each agenda item, clarify the primary issues and check for conflict of interest in the meeting agenda;
3. Approve and sign the GF CCM minutes;
4. Lead negotiations on key issues or conflicts of interest whenever they arise;
5. Identify problems and or action items that need to be addressed and lead discussion on how to resolve them;
6. Delegate, as necessary, to the GF CCM Oversight Committee, or any other agreed upon subcommittee, any responsibilities within the committee's terms of reference;
7. As necessary, establish temporary task teams to address pressing issues or problems;
8. Assign tasks and responsibilities as required to the GF CCM Secretariat;
9. The chairperson should make the final decision or vote, in the event of a deadlock or tie on an issue;
10. The chairperson should inform the co-chairperson of any unavoidable absences from meetings and brief the co-chairperson on his/her views and/or matters to be raised at meetings and events to be chaired by the co- chairperson and vice versa;
11. In the absence of either the chairperson or the co-chairperson, the meeting shall not sit; and
12. Liaise with the GF CCM Secretariat, technical teams and or sub-committees on issues requiring urgent attention.

7.2 Oversight Committee

The GF CCM oversees grant implementation as mandated by GF requirements. Oversight entails a coordinated set of activities focused on gathering and analysing information, taking action, and communicating progress/bottlenecks. It addresses the 'big picture' of whether the grant is achieving its goals. It is designed to ensure that grant activities are implemented as planned; there is accountability of funds and value for money ; implementation issues and bottlenecks are identified and resolved; support required by PRs is appropriately provided.

The role of the GF CCM Oversight Committee is to support and enable the full GF CCM to carry out its oversight role. The Oversight Committee is responsible for providing oversight to existing Global Fund grants in South Africa in three key areas:

1. **Financial** – ensuring the appropriate, timely, and effective use of Global Fund resources;
2. **Management** – ensuring the timely and effective implementation of PR and SR workplans; and
3. **Programmatic** – ensuring the achievement of intended results in both the short and intermediate term periods.

These responsibilities of the Oversight Committee relate to all stages of the grants and to areas of grant implementation:

1. **Proposal development** – ensuring that adequate information is available to guide the development of successful funding applications and the nomination of one or more appropriate and able PRs (as decided by the GF CCM), including implementation arrangements;
2. **Grant Negotiation** – including the development of Performance Frameworks and dashboards to monitor key indicators contained within the performance framework;
3. **Grant Implementation** – The phases of implementation as set out under the New Funding Model (NFM). This includes knowing the grants, tracking and optimising performance and value for money, supporting Principal Recipients for optimal implementation, facilitating technical assistance and conducting site visits;
4. **Grant changes** - approve re-alignment requests, including changes in the scope and scale of work, and subsequent revisions to grant performance framework indicators and review substantial programmatic changes for decision making by the CCM; and
5. **Grant closure** - including the review and endorsement of any close-out plans (e.g., distributing and disposing of program assets) and budgets.

Hence the Oversight Committee inter alia:

1. Secures up to nine members from the GF CCM members with the appropriate skills in program management, procurement, community-based implementation issues, HIV and TB and finance as well as time available for the work to be done. These members will include representation from people living with HIV and/or TB and key affected populations (through civil society CCM representation on the oversight committee) and will include non-CCM members as needed to provide specific skills on an ad-hoc basis. To meet GF requirements, the Oversight Committee reserves two of its nine seats for a representative of people living with HIV and/or TB and a representative from the key affected populations, as selected from the civil society representatives on the CCM. However no member on the Oversight Committee can be a PR or an SR or have a direct relationship with or be employed by a PR and/or SR;
2. The Oversight Committee will have alternates for each member where possible, taken from the GF CCM members;
3. The conflict of interest policy of the GF CCM will apply to OC meetings as well with members expected to highlight any potential conflict of interest that they may have at meetings and not participate in discussions and decisions on those issues;
4. Since CCM members are drawn from a wide social spectrum, the members selected for the Oversight Committee can and should bring their professional experience and networks forward to improve grant implementation. For example, NGO representatives on the OC can give in-depth contextual understanding to performance data; government representatives might be able to help navigate complex customs regulations in order to avoid long delays in procurement supply; private sector members might bring best practices in accounting or management that could be useful to both the OC itself and the PR. Most CCMs contain a wealth of information, key relationships and skills, and these should be tapped for optimal grant implementation;
5. The oversight committee will be appointed by the GF CCM and will have a three year term aligned to the grant cycle. This is renewable once;
6. The members of the Oversight Committee are elected at a full GF CCM meeting with a quorum, with members being nominated and then closed voting if more than one member for a position has been nominated. The LFA will assist with voting if a closed vote is needed;
7. The chairperson of the Oversight Committee will be elected at a full GF CCM meeting and will need to have skills in programme oversight and reporting and leaderships skills;

8. The OC submits and follows an oversight plan of activities to ensure their responsibilities, as described above, are met. The plan must detail oversight activities, and must describe how the GF CCM will engage program stakeholders in oversight, including GF CCM members and non-members, and in particular non-government constituencies and people living with and/or affected by the diseases;
9. Meets at least quarterly to review performance and annually to update the Oversight Plan and Budget;
10. Visits service sites at least quarterly to obtain first-hand information on programme activities and quality, and ensure these are in line with the grant awards;
11. Reviews Performance Update and Disbursement Requests (PU/DR), Grant Dashboards and other documentation at appropriate times to ensure optimum decision-making;
12. Reports to the GF CCM quarterly through a written report and a presentation highlighting progress, bottlenecks, actions taken and issues to be discussed by the CCM for remedial action to be identified:
13. Monitors the implementation of the remedial actions identified by the GF CCM and reports back to the GF CCM on these; .
14. The Oversight Committee members are all voluntary and hence will be provided with technical support by the GF CCM secretariat. This will include working with the chairperson and members to: develop the agenda, capture minutes, arrange site visits, develop work plan and budget, work with PRs and SRs as appropriate to prepare analyses of programmatic and financial performance and to continue to improve these in response to OC requirements, analyse and share reports from PRs and GF Country Team, prepare analyses and reports and presentations for the GF CCM, identify, procure and guide technical assistance for PRs and SRs, identify innovative methods to improve monitoring and evaluation of performance, identify and procure technical support for the OC as needed for specific technical areas, communicate with PRs on behalf of the OC when required, support PRs as needed to implement OC directives etc; and
15. Responds to any requests from the GF CCM chairperson and co-chairperson in terms of issues brought to their attention that need to be investigated in regard to any PR or SR that may negatively affect implementation of the grant negatively.

More detailed information on Oversight activities and the Oversight Committee can be found in the South Africa CCM Oversight Plan. Management of technical committees, sub-committees and task forces is covered in *Annex 3*.

7.3 Request for Funding Sub-committee (RFF)

South Africa's Request for HIV and TB funding is based upon national strategic plans, implemented through national systems. These plans are developed using an inclusive multi-stakeholder process. In composing a RFF for the GF, the RFF sub-committee ensures that a clear process is followed for the development, writing and submission of the Request for Funding to the Global Fund. The RFF Committee ensures that an inclusive process of constituency input has been carried out within the budget available—often referred to as 'country dialogue'—building upon existing mechanisms in health and development. These dialogues include key stakeholders such as the government, donors, development partners, private sector and civil society.

7.3.1 Objectives of RFF sub-committee

The purpose of the RFF sub-committee is to lead the process of developing the Request for Funding to the Global Fund. The RFF sub-committee has the following responsibilities:

1. Develop a road map of activities in order to prepare for the anticipated delivery date of the next RFF submission;
2. Define and seek GF CCM approval for the parameters of 'country dialogue' for the purposes of RFF development and ensure the timely roll-out of dialogue for (1);
3. Define and seek GF CCM approval for TORs for a multi-stakeholder writing team of experts. To the extent possible, the TORs for writing team members should preference proven expertise coming from appropriate national technical task teams and previous experience with the development of GF proposals/requests for funding;
4. Ensure the collection and collation of information from the consultation is consolidated and tracked to ensure that it is clear when recommendations from consultation have not been included and why; this is expected given that different sectors will have different perspectives and the GF CCM aims to collate these in a way that enables them to raise the maximum funds from the GF.
5. Ensure the PR selection process is started timeously by the GF CCM and provide input to the GF CCM on matters relevant to the selection criteria for PRs so that the CCM can finalise all the documents and select the PR Evaluation Sub-committee timeously.

7.3.2 Membership and Committee Organization

1. The RFF sub-committee shall comprise of no more than 10 main representatives – one from each of the sectors represented on the GF CCM. This includes the chairperson and co-chairperson of the GF CCM and a main and alternate member from each of the sectors represented on the GF CCM i.e. Government (two members), Civil Society (one member);

Heads of Secretariat of Provincial Councils on AIDS (one member), representatives of multilateral and bilateral partners (two members); private sector (one member) and representative of the costing and finance technical task team. In the event that the main member is not able to attend a committee meeting, his/her alternate is expected to attend;

2. The sub-committee will lead the procurement of the relevant expertise as required to support the writing and optimization of the request for funding;
3. Members of the RFF sub-committee may not be currently associated with any PR or SR and should not be planning to apply for funding under a future award as a PR or SR. Whilst it is expected that no member will have a conflict of interest of any sort, if a conflict arises, the COI policy of the GF CCM will apply;
4. Members should have a sound programmatic and/or technical understanding of at least one of the diseases (HIV or TB) and/or significant experience working with affected communities; and
5. Membership in the RFF sub-committee will be based upon availability and commitment. The Final selection of RFF Committee membership will be approved by the full GF CCM.

7.3.3 RFF Sub-Committee Meetings

1. The meetings will be held quarterly and these shall take place at least two to three weeks prior to CCM quarterly meetings but these will increase in frequency when a RFF has to be prepared;
2. The meetings shall be convened and chaired by the CCM chairperson and co-chairperson.
3. The RFF Committee does not make decisions; the RFF Committee considers and formulates recommendations to the GF CCM for eventual decision;
4. Quorum of the RFF Committee shall be four (4) members;
5. Every recommendation made by the RFF Committee must be ratified at the next quarterly or special GF CCM meeting;
6. At least one member of the GF CCM Secretariat shall attend RFF Committee meetings and assist with taking meeting minutes; and
7. The minutes of the RFF Committee shall be shared by email with all RFF Committee members within two weeks of the meeting or more frequently as the RFF process unfolds.

7.4 Ethics Sub committee

An ethics sub-committee is appointed by the GF CCM to review all grievances from the GF CCM that relate to areas where a sanction may be necessary or where clarity may be needed in the area of determining whether a conflict of interest exists. The members of this subcommittee will be

chosen by the full GF CCM and will report to the GF CCM chairperson and co-chairperson. The sub-committee meets between GF CCM meetings, as needed.

In regard to conflicts of interest, the aim is to have a committee that will investigate grievances of this nature, to enable members to clarify whether a conflict of interest exists in a particular situation, to provide guidance on what action should be taken and ultimately improve the knowledge, understanding and practise of managing conflict of interest in the GF CCM and other structures.

7.5 Sub-Committees

The chairperson and co-chairperson of the GF CCM may decide to compose an ad-hoc, time-bound sub-committee for any number of programmatic reasons. When a sub-committee is formed, its membership and activity should generally adhere to the following guidelines:

1. Members of the Sub-Committees shall be approved by the GF CCM taking into account their knowledge, skills and interest, and in relation to the specific tasks of the sub-Committee;
2. The GF CCM shall approve the Terms of Reference for the sub-Committee;
3. The Terms of Reference guided by the GF CCM members' inputs, shall be defined by the chairperson in collaboration with the vice chairperson, after which the GF CCM shall approve the Terms of Reference;
4. Each Sub-Committee shall develop its own calendar of activities with the support of the CCM Secretariat;
5. The chairperson of each sub-committee, with the support of the GF CCM Secretariat if needed, shall invite members to meetings. The agenda shall be communicated at least one week before the meeting takes place;
6. Any sub-committee member not being able to participate in the meeting should notify the committee chairperson or, where that is not possible, to the GF CCM Secretariat before the meeting takes place;
7. Sub-committees have no decision making authority, unless so authorised in the terms of reference, but present recommendations to the GF CCM; and
8. Sub-committees shall be established by the GF CCM when needed for specific tasks (i.e. PSM problems, grant closures, etc.) and/or responding to comments and requests from the GF (i.e. OIG reports). Membership shall be open to all GF CCM members, preferring those who have expertise relevant to the sub-committee's scope of work. GF CCM members who volunteer to participate in a sub-committee assume the responsibility of attendance.

7.6 GF CCM Secretariat

The South African National AIDS Council is the highest multi-stakeholder body in SA that manages the response to HIV and TB in the country and is made up of an entity registered as a Trust which employs the SANAC Trust secretariat. Since the multi-stakeholder body is not a legal entity and is made up of volunteers who have been nominated or elected to this body, the SANAC secretariat implements the work of the SANAC structures including providing secretariat services and technical assistance to SANAC structures.

For sustainability, the GF CCM Secretariat is housed with the SANAC secretariat. However, the role of the GF CCM secretariat is only to provide secretariat and technical assistance to the GF CCM and all its structures to assist the GF CCM to meet the requirements set out by the Global Fund in various documents. They will however be supported by the SANAC secretariat in the following areas:

1. Financial support;
2. Day to day support for admin and logistics;
3. Supervisory support through the Executive Manager: Resource Mobilisation and Donor Co-ordination;
4. Procurement, using the procurement policies of SANAC secretariat;
5. Budget and financial reporting support;
6. Internal and external audits;
7. Technical support to the Oversight Committee: SANAC secretariat will provide the necessary technical support needed for programmatic analyses and to deal with bottlenecks and promote sustainability in the area of TB and HIV prevention for key and vulnerable populations, as well as financial analyses of GF grant expenditure to inform value for money considerations; and
8. Communication support to enable the GF CCM secretariat to meet the communication requirements of the GF and to implement the Communications Strategy and Work plan.

To make the differences clearer between the SANAC secretariat and the GF CCM Secretariat, the SANAC logo will be supplemented with a special logo for the GF CCM secretariat and this will be used in all their communication.

Structure and Functioning

Whilst the GF CCM remains ultimately responsible for meeting the requirements of the GF, the GF CCM Secretariat provides secretariat services and technical support to the GF CCM and all its

subcommittees, to enable it to meet the GF requirements, as set out in the CCM Requirements and Guidelines and other key GF documents.

To be able to meet these requirements, the GF CCM secretariat will need the support of the GF CCM and hence a management structure will be set up to monitor, guide and support the work of the GF CCM secretariat. This structure will consist of the chairperson and co-chairperson, the chairperson of the Oversight Committee and two other GF CCM members that have the relevant management experience to contribute optimally. They will meet with the GF CCM secretariat quarterly to review the work plan and budget, monitor progress and provide support as needed. In between these meetings, the chairperson of the GF CCM will provide on-site support to the GF CCM Secretariat and together with the co-chairperson of the GF CCM will be able to call for ad hoc meetings with the GF CCM secretariat. This committee will also participate in the recruitment and retention of GF CCM secretariat staff and review their performance using mutually agreed indicators and risk management, as ultimately any failure of the GF CCM secretariat will affect the performance of the GF CCM and its ability to raise the maximum funds from the GF.

The Roles and Responsibilities include:

1. Working with the chair and co-chair of the GF CCM to plan for GF CCM Meetings and other workshops, including setting the Agenda and writing up and sharing minutes and action points;
2. Organise logistics for all GF CCM and subcommittee meetings;
3. Maintain all the relevant documents for all GF CCM and subcommittee meetings;
4. Maintain the nomination forms and Conflict of Interests forms of all members and alert the CCM chairperson and co-chairperson when these are not up to date;
5. Liaise with the Global Fund Country Team (GF CT) as needed and copy the GF CT on all relevant communication;
6. Maintain the GF CCM web platform on the GF CCM hub;
7. Prepare for the Eligibility Performance Assessment and assist with the development of a Performance Improvement Plan (PIP) and then work with GF CCM members to ensure implementation of the PIP;
8. Work with the Principal Recipients to identify technical assistance and training needs and then source and guide the implementation of activities to meet these needs;
9. Work with the GF CT and LFA to support the Operational Performance Excellence and Co-ordination and Country Portfolio review meetings;

10. Provide technical assistance to all GF CCM subcommittees including the Oversight Committee, the Request for Funding subcommittee and others as they are identified e.g. PR selection subcommittee;
11. The support to the Request for Funding subcommittee will include co-ordination of the technical team that will develop the Request for Funding and facilitating and supporting the consultation process;
12. The support to the Oversight Committee will include working with the chairperson and members to: develop the agenda, capture minutes, arrange site visits, develop the Oversight plan and budget, reports and presentations, develop and implement a dashboard system to track grant performance and provide appropriate reports, work with PRs and SRs as appropriate to prepare analyses of programmatic and financial performance and to continue to improve these in response to OC requirements, analyse and share reports from PRs and GF Country Team, prepare analyses and reports and presentations for the GF CCM, identify, procure and guide technical assistance for PRs and SRs, identify innovative methods to improve monitoring and evaluation of performance, identify and procure technical support for the OC as needed for specific technical areas, communicate with PRs on behalf of the OC when required, support PRs as needed to implement OC directives, improve standardisation of programmes with the development of Program Strategies and Standard Operation Procedures, improve the quality and comprehensiveness of programmes etc;
13. Develop work plans and budgets for the work of the GF CCM and its secretariat;
14. Track expenditure of the GF CCM and the secretariat and provide reports to funders;
15. Assist with resource mobilisation for the GF CCM and its secretariat and all its subcommittees; and
16. Support the work of the GF CCM chair and vice-chair in their work with regional CCMs and the East and Southern Africa representation on the GF Board.

The skills and experience required by the team

1. Good knowledge of the Global Fund and all its processes;
2. Good knowledge of HIV and TB in SA;
3. Expertise in HIV and TB programmes for key and vulnerable populations;
4. The GF Manager has to have extensive experience with HIV and TB programme development, implementation and oversight;
5. Monitoring and evaluation, dashboard development, implementation and use; and
6. Capacity Building and Technical Assistance.

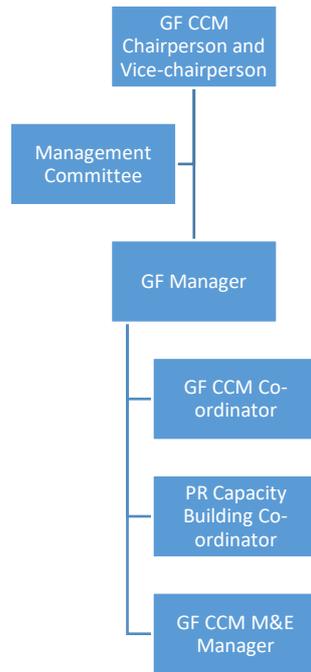


Figure 3: Structure of the GF CCM Secretariat

Links with SANAC Secretariat:

- CEO and CFO: fundraising for the support that is needed for the GF CCM Secretariat and the necessary support from the SANAC Secretariat
- Executive Manager: Resource Mobilisation and Donor Co-ordination: supervisory support to GF Manager
- Executive Manager: NSP Implementation and unit: will provide the necessary technical support in the areas of TB and HIV prevention for key and vulnerable populations to optimise GF programme implementation and linkages with other partners and national platforms.
- Executive Manager: Strategic Information: strategic support to the evaluations being done by implementers, will link M&E reporting from the GF implementers to NSP reporting
- CFO: budget and expenditure reporting, internal and external audits, procurement, financial analyses of work done by GF implementers to optimise value for money.
- Communication Manager: will provide the necessary communication support to implement the Communication Strategy
- Human resources: will assist with the recruitment and retention of staff

7.7 Principal Recipients (PRs)

In accordance with GF requirements, the GF CCM shall nominate PRs best able to implement specific program activities, based on a documented and transparent selection process. PRs are responsible for the following:

7.7.1 Grant Implementation:

1. Sign GF grant agreements and contracts with Sub-Recipients;
2. Implement grants under the oversight of the GF CCM and take ultimate responsibility for the performance of the Sub-Recipients;
3. Manage the implementation of the grants and gather reports from the Sub-recipients;
4. When necessary, propose major changes to work plans and funding allocations to the Sub-recipients based upon discussions with and endorsement by OC for re-alignment and the GF CCM for reprogramming, prior to final submission to the GF CT; and
5. Participate in, and lead as necessary, Operational Performance Excellence and Co-ordination meetings and deep dives to improve programme performance and impact.

7.7.2 Progress Reporting to GF CCM and GF:

1. The PR registers programme progress and challenges through a Progress Update and Disbursement Request (PUDR) tool. Using an oversight dashboard tool, the PR shall report progress against programme indicators and finances to the GF CCM on a quarterly basis;
2. Along with the dashboard report, identify key issues where the PR alone cannot resolve a situation and the OC and GF CCM could provide guidance;
3. Routinely copy CCM oversight committee and GF CCM Secretariat on progress and financial reports sent to the LFA and GF Country Team; and
4. Provide information to the GF CCM, GF CCM Secretariat, GF CCM Oversight Committee and any other GF CCM committee when requested to do so.

7.7.3 Maintain Partnership with GF CCM:

1. Attend and participate in CCM meetings when invited;
2. Attend and participate in Country Portfolio Review and Oversight Committee meetings as invited;
3. Collaborate with the GF CCM Secretariat to organize site visits; and
4. Carry out other responsibilities in accordance with the grant agreement.

8. GF CCM Meetings

The GF CCM Secretariat shall draw up an annual schedule of its regular meetings, and ensure it is circulated to all relevant stakeholders. These meetings will be held at least once a quarter in advance of Resource Mobilisation Committee meetings where feedback will be provided. Extraordinary meetings or postponement of regular GF CCM meetings can be called for by the Chairperson in collaboration with the Vice Chairperson as needed.

Observers, resource persons and guests may attend meetings on invitation only. Meetings should be chaired by the CCM Chairperson or Vice Chairperson. A quorum for meeting and voting purposes is defined as having at least 50% plus one of CCM members, either main members or alternates, in attendance at the CCM meeting.

Attendance at meetings will be monitored by the GF CCM Secretariat in order to alert the chairperson and vice-chairperson of any impending contravention of the rules relating to attendance as set out in the GF CCM Governance Manual.

9. Decision Making

Decisions of the CCM shall, as far as practicable, be by consensus. In the event that consensus cannot be reached, decisions shall be based on a simple majority. In cases of a tie, the Chairperson shall cast the deciding vote. The exception for the latter case is for conflict of interest, where if the chairperson and co-chairperson cannot agree on how to conclude the conflict of interest discussion, then the matter will either go to the ethics committee if it can be delayed or go to a secret vote if it cannot be delayed. All decisions will be reflected in the minutes with dissenting opinions noted without personal attribution.

Some decisions may require closed or “secret” ballots and specific majorities (i.e. simple majority (50% plus 1) versus “qualified majority” (2/3)):

1. Changes to the GF CCM Governance Manual and Oversight Plan requires a qualified, two-thirds majority of a meeting where the quorum is met, to approve changes;
2. Removal of a member requires, by closed ballot, a qualified two-thirds majority of a meeting where a quorum is met;
3. Approval of a new Request for Funding requires the signed approval of all CCM members; and
4. The members of the oversight committee are appointed by the GF CCM (during a GF CCM meeting with a quorum). If the number of nominations exceeds the nine-member limit, then

voting by closed ballot may be required to ensure a democratic solution and a balanced set of skills.

A log of all decisions and full discussions is recorded in the minutes that are maintained by the GF CCM Secretariat, along with printed copies of the meeting agendas, circulated materials, and the official proceedings from each GF CCM meeting, signed by the Chairperson.

Action points must be be circulated electronically within two working days of the GF CCM meeting, with the full minutes being circulated electronically at least two weeks before the enxt meeting.

If a GF CCM member is unable to attend a GF CCM meeting he/she shall inform the GF CCM chairperson, co-chairperson and the GF CCM Secretariat in advance of the meeting and notify his or her designated alternate member to represent the constituency. A designated alternate may represent the GF CCM member and retain the voting rights of that member during the given meeting.

Quorums shall be established at the beginning of each full GF CCM meeting and whenever taking a decision. A quorum for the CCM is at least 17 members (i.e. 50% plus one). If a member is present with his/her alternate, this still counts as only one seat. A quorum must be in place before a decision can be validated. Absentee apologies do not constitute a proxy presence at a CCM meeting; only a member's alternate may vote in the place of a regular member. Proxy voting shall not be permitted.

10. Conflict of Interest Policy

The GF CCM acknowledges that each CCM member will have some level of conflict of interest as they represent different sectors and different perspectives whilst they work together in the interests of what is best for the country. Therefore in the interest of good governance, the GF CCM has adopted a policy to manage conflict of interest that applies to all GF CCM members and alternates and GF CCM Secretariat, across all CCM functions and subcommittees. The GF CCM will apply the conflict of interest policy throughout the life of Global Fund grants, and present documented evidence of its application to the Global Fund on request.

10.1 Definitions

Associated person: A GF CCM or GF CCM secretariat members' family member(s), life partner, friend, business partner or member of a commercial enterprise

Conflict of interest: A conflict of interest arises when a member's (GF CCM or GF CCM secretariat) personal or private financial or business interests or that of an associated person clashes with his or her roles and responsibilities as a member of the GF CCM or GF CCM secretariat. This can include

a direct benefit e.g. offer of employment, gratuity, gift, discount or an indirect benefit e.g. loan, entertainment, favour, hospitality, forbearance (refraining from exercising legal right), introductions to key decision makers, linkage with opportunities

Clash with roles and responsibilities: The roles and responsibilities of a member are in conflict when there is an attempt to influence decisions of the GF CCM, including decisions related to oversight, selection or financing of PRs or SRs, that is not aligned with the individual's sector mandate or role and responsibility of a CCM secretariat member, but is influenced by personal or associated persons' or external interests in the case of an inducement

Undue Influence: This involves one person taking advantage of a position of power over another person. This inequity in power between the parties can hinder one party's consent as they are unable to freely exercise their independent will. This could be obvious or subtle. It can also refer to an agenda, that an individual may have based on their past experience or future work or personal aspirations, which they then use their power to further realise. This could be applied to the individual concerned or an associated person

10.2 Purpose of the Policy on Conflict of Interest

The purpose of this policy is to:

1. Ensure fairness and credibility in GF CCM decision-making; protect the reputation and integrity of the GF CCM and its interests; ensure broad public trust and confidence in the GF CCM's management of large-scale public resources;
2. Ensure that no member of the GF CCM or any organisation associated with the member derives any personal profit or gain, directly or indirectly, by reason of the member's participation in the GF CCM;
3. Ensure that the GF CCM operates and executes its mandate in an ethical, collaborative, transparent, and accountable manner; and
4. To provide means for managing these conflicts and to protect GF CCM members from questionable circumstances that might arise.

10.3 General Principles guiding the behaviour of members

1. Perform their duties diligently and honestly;
2. Act in all respects with integrity deserving of being an objective member of the GF CCM;
3. Not use their position or any information entrusted to them, to enrich themselves or improperly benefit their organisation or any other person;

4. Take all possible steps to avoid conflicts of interest for as long as s/he is in the service of the GF CCM;
5. The GF CCM will respect an individual's right to confidentiality;
6. The GF CCM will ensure transparency and accountability in the execution of its duties; and
7. The multi-sectoral composition of the GF CCM may lend itself to conflicts of interest. Hence, vigilance to manage such conflicts of interest is required.

10.4 When and how to declare conflicts of interest

The policy entails that members must declare conflicts of interest at the following times:

1. At a start of the meeting, the chairperson and co-chairperson will ask for people to actively contribute and acknowledge any conflicts of interest that they have or that they perceive any member to have;
2. Annually complete a conflict of interest declaration and lodge this with the GF CCM secretariat who will file this;
3. This annual declaration of conflict of interest should be updated immediately if the circumstances of the member or any associated person changes during the year and the member becomes aware of a new conflict of interest, except when a member becomes aware of a conflict during the course of a GF CCM meeting. In such a case s/he must immediately bring the conflict of interest to the attention of the chairperson and co chairperson who in turn, shall work with the members to make a decision as to whether a conflict of interest exists and how it should be managed, and the declaration can then be updated in writing after the meeting;
4. At the start of each meeting each member who thinks they have a conflict of interest with an agenda point should raise this with the chairperson and co chairperson when they routinely ask members about conflict of interest at the start of every meeting;
5. At the start of an agenda point, a member who thinks they have a conflict of interest should raise this with the chairperson and co chairperson. If a substantive conflict of interest is identified and confirmed then the member must complete a COI declaration form after the meeting;
6. At any point, either in a meeting (at the start or at an agenda point) or between meetings, any member must notify the chairperson and co chairperson of a conflict of interest that they perceive a member to have, where the member has not themselves notified the chairperson and co chairperson of such a conflict of interest. This may be done verbally if in a meeting or in writing if in between meetings, to chairperson and co chairperson and GF CCM secretariat;

7. At any point, either in a meeting (at the start or at an agenda point) or between meetings, any member may notify the chairperson and co chairperson of any attempted inducement, whether direct or indirect, whether for the GF CCM member, GF CCM Secretariat officer or an associated person, or whether an actual threat or perceived threat to the wellbeing or livelihood of the person or associated persons, aimed at influencing the CCM's evaluation of proposals or CCM decisions. This may be done verbally if at a meeting or in writing if in between meetings;
8. It is expected that all members who have a conflict of interest or perceive another member to have a conflict or have evidence of a conflict of interest of a member, to raise this with the chairperson and co chairperson as described above; and
9. The attendance register to be completed by members when they attend a GF CCM meeting will include a column that asks them to acknowledge or deny that they have a conflict of interest.

Types of Declaration of conflict of interest:

1. Every GF CCM member and GF CCM secretariat member shall disclose diligently, accurately and honestly his or her affiliation with an organisation or an associated person that is a service provider of the GF CCM or that has submitted a bid to obtain a contract for the supply of goods or services to the GF CCM (potential service provider);
2. GF CCM and GF CCM secretariat members must also disclose his or her affiliation with an organisation or an associated person when he or she makes representation to the CCM on matters related to the organisation or associated person; and
3. GF CCM and GF CCM secretariat members must disclose any attempted inducement, whether direct or indirect, whether for the GF CCM member or GF CCM Secretariat officer or an associated person, or whether an actual threat or perceived threat to the wellbeing or livelihood of the person or associated persons aimed at influencing the GF CCM's evaluation of proposals or GF CCM decisions.

10.5 Management of Conflicts of Interest

All mentioned conflicts of interest, whether alleged by a member in relation to another member or self identified by a member, will be discussed by the full GF CCM and a decision made by the full GF CCM. In the instance where a possible conflict of interest is raised by a member in relation to another member, the affected member will be asked by the chairperson and co- chairperson to give more details in relation to the alleged conflict of interest (either in writing if in-between meetings or verbally if raised at a meeting) before the matter is discussed by the full GF CCM. The

discussion by the full GF CCM will be to ascertain whether a conflict of interest exists. If there is no consensus on whether there is a conflict of interest then the matter will be put to a closed vote.

In all cases, if a conflict of interest is found to exist, the concerned GF CCM Member or GF CCM Secretariat Officer shall refrain from voting, making representations, attending or participating in any way and shall immediately absent/recuse him or herself from such meeting agenda points or hearings relating to the subject of the conflict of interest. In addition, such member or officer shall not canvass support for any decision which is the subject of the conflict.

If a conflict of interest, during the course of a GF CCM meeting, is identified in reference to the chairperson or co chairperson, the conflict of interest shall be disclosed to the other chairperson not affected and s/he will then manage the process as normal.

If any of the following circumstances arise then the issue will be referred by the chairperson and co-chairperson to the Ethics Sub committee who will then make recommendations that the chairperson and co-chairperson will then bring to the full GF CCM for final decision making.

- When a matter of possible conflict of interest has to be voted on where there is no consensus
- When a member is not happy with the decision on conflict of interest
- When the full GF CCM would like clarity on a specific question of conflict of interest.

An ethics subcommittee is appointed by the GF CCM to review matters referred to them by the chairperson and co- chairperson, as described in Annex 3 and Section 7.4

10.6 Failure to Disclose Conflicts of Interest

Failure to comply with the disclosure requirements of this policy constitutes a breach of duty and may result in sanctions being applied. A failure to disclose a conflict of interest will be considered by the ethics sub committee.

10.7 Dissemination and Review of Conflict of Interest Policy

1. The GF CCM Secretariat shall distribute a copy of this policy to every GF CCM member annually and upon membership; and
2. The Statement of COI and the Declaration of Conflicts of Interest Form (attached to this policy in Annex 4) shall be made available at the beginning of every year and then also at every sitting of the GF CCM by the CCM Secretariat.

11. CCM Communications

The CCM strives to ensure effective communication within itself as a collective body of distinctly different constituencies and its many partners and stakeholders, both national and international. Some general principles and practices are noted here.

1. A core principle driving all GF CCM communications is transparency and accountability;
2. The GF CCM is open to all national stakeholders who meet eligibility criteria established by the GF CCM itself or by various constituencies tasked with selecting/electing their members in an open and transparent manner;
3. Members shall hold periodic meetings with their constituency to ensure that opinions are expressed and specific concerns coming from the sector are represented in the quarterly meetings of the GF CCM. These discussions with constituencies should be captured in an annual work plan by each civil society GF CCM member, as per GF rules. The GF CCM Secretariat shall make every effort to support GF CCM members to facilitate communication with their constituency;
4. The GF CCM shall ensure the transparency of its decisions by making them available to the general public in a timely manner;
5. The GF CCM is the central point for grant information and will regularly (i.e. minimum quarterly) inform the general public of progress and challenges with grant implementation, using the SANAC website as the platform to do so;
6. The GF CCM is also the central coordinator for any request for Global Fund funding;
7. The GF CCM shall send an updated list of CCM members to the GF Country Team, at least annually or whenever there is a change in membership. The GF CCM Secretariat shall ensure this information is also publicly available on the SANAC website;
8. To help facilitate the flow of management-critical information between associated entities (i.e. PR/SR, LFA, GF Country Team), please refer to the Constituency Engagement Plan Template included in this Manual (Annex 5); and
9. The chairperson (or in the chairperson's absence, the vice chairperson) is the official spokesperson for the GF CCM, approves the content of communications and the sharing of GF CCM information with the public.

12. GF CCM Work Plan and Budget

The draft of a work plan and budget of the GF CCM shall be prepared by the GF CCM Secretariat and submitted to the GF CCM for revision and adoption, prior to submission to the Global Fund and other potential donors.

The GF CCM shall seek funding from SANAC, the Global Fund, South African government, the private sector and other bilateral and multilateral partners to ensure smooth operation of the GF CCM. Such operations include, but are not limited to:

1. GF CCM Secretariat administration costs including staff salaries;
2. Costs of CCM meetings/workshops/orientations (local and international);
3. Costs associated with Grant Oversight;
4. Communications and constituency consultations cost;
5. Other administrative and development (concept note or research) costs agreed by the GF CCM; and
6. Costs associated with sub committees.

The actual work plan is biannual and updated accordingly.

13. Amendments to the Governance Manual

This GF CCM Governance Manual and the policies within should be reviewed by the GF CCM every two years, or sooner as may be necessary. The Chairperson and co-chairperson may appoint a technical task team to review and submit recommendations or options for GF CCM consideration. All changes to the Governance Manual require a two-thirds majority of GF CCM Members' agreement.

14. Approval

This manual is approved and adopted on this day: _____

Signed:

Chairperson of CCM

Name: _____ Signature: _____

CO-Chairperson of CCM:

Name: _____ Signature: _____

Annex 1 - Membership Selection/Election and Officer Bearer Election process

1. A GF CCM Member (and in his or her absence an Alternate) is eligible to represent a constituency. Every individual member belonging to one of the constituencies included in 5.1, is elected according to the procedures hereby established;
2. Each constituency shall choose its own GF CCM Member(s);
3. GF CCM Members shall be nominated or elected by their own constituencies based on a documented and transparent process. Each constituency or sector group shall inform the GF CCM Secretariat in writing of its nominated/elected member with supporting documentation to substantiate a transparent and fair selection process. This communication should be signed by the designated chairperson or Director General of the respective government department and preferably be on a letterhead. All GF CCM Members represent opinions of their respective constituency and not those of their own organizations;
4. Civil society (non-governmental) constituencies shall elect their members through a transparent, fair and documented process. This documentation should be submitted to the GF CCM Secretariat with full detail upon completion of the election. The eligibility criteria for each sub-constituency should be determined within the constituency in anticipation of the election and must be shared well before the meeting where elections will take place;
5. Each constituency shall nominate/elect an alternate member who may attend GF CCM meetings but shall not have the power to vote if he/she is attending a CCM meeting together with the GF CCM member. An alternate shall also be nominated or elected in the same manner as the voting GF CCM member. It is the responsibility of each GF CCM member to ensure that his or her alternate is kept fully up to date on the discussions and activities of the GF CCM;
6. It is preferable if only one member i.e. the main or alternate attends a CCM meeting at a time and to ensure fairness, a request is to be made to the GF CCM Chairperson if both the main member and alternate wish to attend a meeting together;
7. In a situation where a constituency does not have a process in place for the selection of members, the GF CCM Secretariat shall assist such constituency by facilitating and documenting a transparent selection process. ;
8. In the event of a dispute over rightful group representation, the GF CCM chairperson shall be responsible to investigate the matter. The chairperson may appoint a sub-committee to investigate and report back to the full GF CCM for further decision on the matter;
9. Full members shall serve a maximum of two (2) consecutive terms (each term being 3 years) in the GF CCM. In the extraordinary case of a constituency wanting to extend or terminate

the mandate of the member, the constituency shall be required to submit to the GF CCM Chairperson a rationale for re-selecting the same member to represent the constituency or the withdrawal of the same. This submission should be in writing, signed off by the chairperson or Director General and be on the relevant letterhead;

10. At the end of the term, for reason of ensuring institutional memory, constituencies might consider electing/appointing alternates as full members in the GF CCM. If this is the case, each constituency must still follow a similar transparent selection process to come to that decision;
11. The GF CCM Secretariat shall ensure that the process responded to the criteria defined in this Manual, inform the GF CCM chairperson if the criteria have not been met and if they have all been met then update the membership list on the website and inform the Global Fund by updating the CCM hub web platform;
12. The GF CCM Secretariat shall circulate the list of elected/nominated individuals to the members regularly; and
13. The documentation of the process followed by each constituency for the selection of their members shall be part of the GF CCM public files.

Election of CCM Vice Chairperson and the Chairperson of the Oversight Committee

Principles for election of the GF CCM Vice Chairperson/Chairperson of Oversight Committee

1. The chairperson of the CCM in South Africa is prescribed as the incumbent of the Chief Executive Officer of SANAC;
2. Eligible positions in the CCM (vice chairperson, chairperson of the Oversight Committee and chairperson of the Ethics Committee) shall be elected at a GF CCM quarterly meeting;
3. All full civil society GF CCM members have the right to stand for election and to be elected as CCM vice chairperson regardless of the public office they represent in their own organizations, except as otherwise decided by the constituency or their individual organizations;
4. Oversight Committee chairperson will be a full CCM Member and bring to the committee the desired skills defined in the Oversight Plan and in section 7.2;
5. GF CCM full civil society members that would like to be a candidate for the positions of vice-chairperson shall be present at time of nomination or should send his/her expression of interest to the GF CCM Secretariat on the day before the election takes place. This nomination should remain confidential until the GF CCM Secretariat officially announces the member's candidacy during the GF CCM election process;

6. To minimize possibilities of conflict of interest , the position of Vice Chairperson shall not be held by persons from institutions or organizations that are principal recipients or sub-recipients;
7. Only full GF CCM Members shall be eligible for election as an officer bearer (not alternates);
8. All non-voting members attending the election shall not participate in the process, including the GF CCM Secretariat;
9. Voting shall be by secret ballot for these 3 key positions;
10. Voting shall be carried out in a sequence starting with that for the vice chairperson;
11. The person chairing the election process shall not be eligible to stand for election as vice chairperson of the CCM;
12. As in other election procedures, a quorum of 50% plus one (17) shall be present;
13. The GF CCM can ask the vice chairperson to resign prior to the end of her/his term for a justified reason. Such a request must be agreed by a two-thirds majority of the Members; and
14. If for any reason such as health, the vice chairperson is unable to continue as CCM vice chairperson, resigns or is removed prior to the end of her/his term, an election must be held to complete the former vice chairperson's term of office at the next quarterly CCM meeting or at an extraordinary CCM meeting, whichever is sooner.

Election process for GF CCM Vice Chairperson, Oversight Committee Chairperson and Ethics Committee Chairperson

1. Timing of Elections and Commencement of Terms

Elections of the GF CCM vice chairperson, Oversight Committee chairperson and Ethics Committee chairperson will take place at the end of the previous tenure cycle as per the terms of office. In the case of a vacancy, elections to fill the vacant slot shall take place at the first quarterly CCM meeting at which the vacancy exists or at an extraordinary CCM meeting, whichever is sooner.

2. Nomination

The GF CCM Secretariat shall announce forthcoming elections and call for nominations at least 30 days in advance of an election. Nominations may be received at any time prior to the election. Candidates are eligible for election when they have been nominated and GF CCM members with voting powers have seconded their nomination, and they have confirmed to the GF CCM Secretariat that they accept the nomination.

3. Voting process

The CCM chairperson shall conduct the election for the vice-chairperson and together with the vice-chairperson for the chairperson of the Oversight Committee and Ethics Committee. If there should be any conflict of interest on the part of the chairperson or vice-chairperson then an Election-Chairperson shall be selected by the GF CCM members to conduct the election.

Nominations (complying as above) are publically displayed. Votes are collected by secret ballot and counted by the GF CCM Secretariat staff under the supervision of the electoral officer. This process may be further supported by the LFA. The results are scored for each candidate and communicated to the electoral officer.

If there is only one candidate, the process shall proceed by acclamation.

The GF CCM Secretariat shall provide administrative and coordination services to the Election process. The minutes of the election shall serve as report of the conduct of the process and shall be submitted to Global Fund Country Team together with the list of participants for documentation and transparency purposes. Originals of both documents shall be included in the public records of the GF CCM Secretariat.

Annex 2 - Membership Sanctions, Resignation and Changes

1. Sanctions

The GF CCM chairperson, in consultation with the vice chairperson, must ensure that any matters that need to be referred to the ethics sub committee are resolved efficiently and expeditiously.

The Ethics Sub committee will make recommendations on sanctions that will be taken to the full GF CCM for a final decision on all matters.

The GF CCM will constitute an ethics committee and establish its rules and procedures consistent with the rules of natural justice. They will hear matters relating to the following:

1. Failure to adhere to the governance manual;
2. Abuse of resources of the GF CCM;
3. Failure to adhere to the GF CCM travel policy;
4. Failure to disclose a conflict of interest;
5. Failure to adhere to the code of conduct;
6. Absenteeism: when a member has three (3) absences (within a year) from GF CCM meetings without replacement by his/her alternate;
7. Absenteeism: when an alternate has two (2) absences (within a year) from GF CCM Meetings when required (and has agreed) to attend as an alternate member;
8. Absenteeism: three (3) absences from Committee or Technical Task Team Meetings (not to be counted towards absenteeism from GF CCM meetings), but triggers suspension from committee role; and
9. Any other matter as deemed important by the chair and vice chair.

The ethics sub committee shall inform the CCM Secretariat of its findings within 5 days, who in turn, shall report to the GF CCM Chairperson and vice-chairperson, who will then take the matter to the full GF CCM. Only after the full GF CCM has deliberated and the matter is concluded will the GF CCM chairperson notify the sector represented by the member of the outcome of the process.

GF CCM Member(s) may lodge an appeal against the findings of the GF CCM to the GF CCM chairperson within 30 days of the findings. The GF CCM chairperson, in consultation with the vice chairperson, shall consider the appeal and make a finding within 30 days of the appeal being lodged. The CCM chairperson's decision shall be final.

The GF CCM shall be entitled to re-table and review the decision that was the subject of the conflict of interest.

Main principles for application of sanctions

Any sanction recommended under this Manual shall:

1. Be fair and reasonable;
2. Be based on the evidence and information presented;
3. Be within the powers of the full GF CCM, Chairperson, or external independent party (if necessary) to impose the measure;
4. Any final decision about sanctions shall be made by the full GF CCM; and
5. No GF CCM member shall be sanctioned without previously being given the opportunity to express him/herself in relation to the issue for which he/she has received the sanction.

Written Notification of an issue to be taken to the Ethics Sub committee

The GF CCM Secretariat shall notify the member in writing via email specifying the fault that is the cause for the notification. The chairperson of the GF CCM shall sign the notification and alert the ethics committee. The member will be given the opportunity to respond, in writing, giving reasons or evidence in rebuttal within fifteen (15) days.

The ethics committee will review all such cases and report their findings and recommendations to the GF CCM chairperson, who in turn will take the matter to a full GF CCM meeting for a final decision.

One or more of the following sanctions shall be applied by the GF CCM depending on the seriousness of the misconduct:

a) Written warning

The GF CCM Secretariat shall send, no later than eight (8) working days after the sanction is confirmed at a full GF CCM meeting, the written warning signed by the GF CCM chairperson and vice-chairperson to the member with a copy to the constituency that the member represents.

The member sanctioned shall undertake in writing within eight (8) days not to repeat the fault that caused the warning.

The GF CCM chairperson shall inform the full GF CCM (quarterly or extraordinary) about the written commitments made by the member.

The GF CCM Secretariat shall file the written warning and the response from the affected member as part of the records.

b) Dismissal

The chairperson shall inform the member (with a copy to the constituency that he/she represents) in writing of the allegations which have been made against the member, together with a written summary of all relevant circumstances and the reason(s) for the intended dismissal.

If such member wishes to contest the intended dismissal, he/she shall within fifteen (15) days of the receipt of the notification, appeal the intended dismissal.

The chairperson shall make a rigorous assessment before making recommendations to the GF CCM, and the full GF CCM will then make record of the non-appealable decision.

2. Resignation or withdrawal of members

The resignation or withdrawal process refers to GF CCM members (full or alternate) elected /nominated by the constituency:

1. GF CCM members resigning shall notify their constituencies of their intention to resign and do so with a written copy to the GF CCM Secretariat and GF CCM chairperson no later than fifteen (15 days) from the date of submission of the resignation to the constituency;
2. In the case of a Member being withdrawn by a constituency (based on their own by laws or governance manual), the constituency should notify the GF CCM Secretariat and the GF CCM chairperson of their intention to withdraw their member/representative within 7 days of a forum decision to withdraw their representative. This will be done as described in section 6.6 above. The constituency should discuss this withdrawal from the GF CCM with the GF CCM chairperson to ensure that disruption is minimized;
3. The constituencies shall be required to elect/nominate the replacement member within a period of one month, applying the rules of election in section 6.4;
4. Communication about changes in representation: Each constituency, by written document that is signed and submitted to the GF CCM Secretariat, shall report within thirty (30) days on the changes they decide to make in their full members and alternates in the GF CCM as described in section 6.4;
5. In the case of the resignation/withdrawal of a CCM member, his/her alternate, pending replacement of the main member by the constituency within 1 month, shall stand in for the main member; and

6. In the case of the resignation/withdrawal of the alternate, the member shall be the only member until the constituency nominates and recommends a replacement. In the event that the constituency does not have an alternate member, the constituency shall be required to elect/nominate the replacement prior to the next CCM Quarterly Meeting.

Annex 3 - CCM Sub-Committees

The CCM is composed of two types of committees:

1. Standing Committee (Oversight, Request for Funding and Ethics); and
2. Ad hoc (technical) sub-committees to address a wide range of evolving issues (i.e. Performance Improvement plan, grant closures, PR Evaluation etc.).

The GF CCM may modify Committees depending on need and circumstances. It is expected that GF CCM members be involved in the committees, except the Chairperson and the Vice-chairperson where they are needed to review any work of the committees, unless they are expected to lead the committee themselves. Sub-Committees may also be supplemented with non-CCM members with expertise in different areas as needed, but they cannot be voting members.

Members of the Sub-Committees shall be approved by the GF CCM taking into consideration their knowledge, expertise and interest, and in relation to the specific tasks of each sub Committee.

The GF CCM shall approve the Terms of Reference for each Committee, including the selection criteria and conditions to bring technical experts to work with the Committees. The Terms of Reference of time-limited sub-committees (e.g. PIP sub-committee for updating CCM documents) shall be defined by the GF CCM Secretariat for GF CCM approval.

The GF CCM shall also be responsible for mobilizing resources to ensure the good functioning of the Committees.

Each Committee shall develop its calendar of activities and list of technical experts, with the support of the GF CCM Secretariat.

The Coordinator or Chairperson of each sub Committee shall be responsible, with the support of the GF CCM Secretariat, to invite members to meetings. The agenda shall be communicated one week before the meeting takes place, as far as possible.

Any committee or sub-committee member not able to participate in the meeting should first see if their Alternate member is available to attend and then notify the Chairperson/Coordinator or, where that is not possible, the GF CCM Secretariat before the meeting takes place.

In limited circumstances, as specifically outlined in a Terms of Reference, the GF CCM may delegate some decision-making authority to committees. In general, sub committees present recommendations to the full GF CCM. However, sub Committees have the mandate to develop a plan of action for submission and approval from the CCM.

Sub committees shall be established by the CCM when needed for specific technical tasks such as performance improvement plans, grant closures, and/or responding to comments and requests from the Global Fund. Membership on sub committees shall be open to all GF CCM members who have technical expertise and/or community expertise in a specified area. GF CCM members who volunteer to participate in a sub-committee assume the responsibility of attendance; not doing so may incur sanctions as outlined (in Annex 1 of this manual). The GF CCM shall formulate the Terms of Reference for sub committees, including suggested membership composition and duration for each of these.

The GF CCM Secretariat shall share all Terms of Reference for external technical assistance with the GF CCM and these will be endorsed by the full CCM during a quarterly meeting or electronically. The GF CCM Secretariat will maintain a database or register of potential experts commonly required by the CCM (financial, programmatic, disease experts, procurement, key affect population groups, organizations working with people living with the diseases).

Annex 4 - Annual Declaration of Conflict of Interest

Conflict of Interest Declaration Statement and Form

I, _____ (name), agree to comply with the GF CCM Governance Manual and GF CCM-related conflict of interest policies, guidelines and procedures.

As a GF CCM full member, alternate, or GF CCM Secretariat staff, I shall not discuss, advocate, or vote on any matter in which I have a conflict or potential conflict of interest or an interest which reasonably might appear to be in conflict with the concept of fairness in dealing with the business of the South Africa GF programs.

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

- (a) If I have a separate, private, or monetary interest, either direct or indirect, in any issue or transaction under consideration;
- (b) If the organization that I represent may have a financial, administrative, or programmatic interest in issues or transactions under consideration by the GF CCM; provided that representing the views and/or interests of a government is not a conflict of interest.

I therefore certify that I have read and understood the Conflict of Interest Policy in the Governance Manual and confirm that if I violate this provision, the GF CCM will take appropriate measures outlined in the policy which may include suspension or discontinuation of my membership in the GF CCM. I will seek clarification and any further responses to questions that I might have regarding the interpretation of these guidelines or other conflict of interest matters, either from the GF CCM Chairperson or the GF CCM Secretariat.

In this respect, I will adhere to the COI policy that requires me to declare immediately to the GF CCM a conflict or potential conflict of interest on a particular issue during relevant meetings or at any other time in the workings of the GF CCM. I will state the nature of the conflict, acknowledging that I have a separate, private, or monetary interest, either direct or indirect. I shall then excuse myself from any GF CCM meetings, discussions and voting concerning the matter in question.

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

In keeping with the above principles and those further stated in the Governance Manual, I hereby declare as follows for the current year [tick the appropriate box]:

I do not have any foreseeable conflict of interest that relates to the functions and operations of the Global Fund grants in South Africa.

Alternatively,

I have conflict of interest in the functions and operations of Global Fund grants in South Africa, as listed below.



South Africa CCM Declaration of Conflict of Interest Form

| | |
|---|--|
| Name of Organisation/ Company / Other Institution that member belongs to | Description and extent of conflicts of interest (e.g. membership, directorship, trusteeship, employment, investment, business, recipient of a gift or payment, monetary or other interest, etc.) |
| Sector represented | |

I, _____, a member of the GF CCM declare that the above information is true and correct to the best of my knowledge.

It fully reflects any interest(s) of mine or an associated person (as defined in section 10.1 of the Governance Manual).

I declare further that in the event that any such interest arises during the course of my membership term, these shall be promptly and accurately declared in writing to the GF CCM Chairperson.

Print name : _____

Signature : _____

Date : _____

Annex 5 - Constituency Engagement Plan Template

All non-governmental GF CCM members derive their seat on the GF CCM by appointment through the SANAC's Civil Society Forum (CSF). The CSF consists of 18 civil society sectors that include community sectors reflecting those segments of society most at-risk for and/or vulnerable to HIV and TB infection. As the GF CCM "civil society seats" represents all of the 18 CSF sectors, each civil society representative of the GF CCM has a shared responsibility to represent the interests of all 18 sectors as well as reporting back to the CSF--at their regular, quarterly meetings--the status of GF CCM-related activities and programming. PLHIV, PLTB and Labour sectors--while members of CSF--elect their representatives independently of CSF selection processes.

CSF monitors their election process for openness and transparency. Before each GF CCM meeting, the NGO members hold a caucus meeting (in person or virtually) to discuss agenda items, present priorities, select a rapporteur who will report back to the next CSF meeting. All CSF sectors are supposed to hold annual, sector-wide meetings and each civil society representative on the GF CCM has to have an annual work plan to reflect the engagement with all the relevant sectors.

| Tier 1: GF CCM-CSF Communication | Person Responsible | Jan-Mar | April-June | July-Sept | Oct-Dec |
|--|---------------------------|----------------|-------------------|------------------|----------------|
| After each GF CCM meeting, each GF CCM member reviews the Oversight Committee reports and GF CCM minutes and highlights any particular issues relevant for the CSF and the sector's interest | | | | | |
| At quarterly CSF meetings, a synthesized version of GF CCM meeting minutes, Oversight Committee reports, and/or site visit reports is presented by the responsible GF CCM member | | | | | |

| Tier 1: GF CCM-CSF Communication | Person Responsible | Jan-Mar | April-June | July-Sept | Oct-Dec |
|--|---------------------------|----------------|-------------------|------------------|----------------|
| Responsible GF CCM member shares schedule of GF CCM site visits with CSF to determine what input and/or concern CSF sector groups may have | | | | | |

| Tier 2: Input into GF CCM meeting from all sectors represented by GF CCM members e.g. trade unions, sex workers, youth, MSM/LGBTI, TB, PLHIV | Person Responsible | Jan-Mar | April-June | July-Sept | Oct-Dec |
|--|---------------------------|----------------|-------------------|------------------|----------------|
| Annual meeting with specific sector where strategic issues specific to the sector, elections, GF CCM membership changes, updates can be discussed. | | | | | |
| Quarterly sector forum (e-based and/or real-time) to discuss constituency concerns/priorities | | | | | |
| Create sector/constituency on-line forum "space" for posting discussions, documents and receive feedback. | | | | | |
| Sector specific Forum should meet (virtually) at least quarterly to coincide with GF CCM meetings. | | | | | |
| GF CCM member develops a contacts management list that acts as a list-serve of their sector members (and/or advocates) for the purposes of sending/receiving key information | | | | | |

| Tier 2: Input into GF CCM meeting from all sectors represented by GF CCM members e.g. trade unions, sex workers, youth, MSM/LGBTI, TB, PLHIV | Person Responsible | Jan-Mar | April-June | July-Sept | Oct-Dec |
|--|--------------------|---------|------------|-----------|---------|
| Share site visit reporting forms | | | | | |