



THE UGANDA COUNTRY COORDINATING MECHANISM (CCM) GOVERNANCE MANUAL



**THE UGANDA COUNTRY
COORDINATING MECHANISM
FOR THE GLOBAL FUND**

To Fight AIDS, Tuberculosis & Malaria

C/O Uganda AIDS Commission / Plot 1-3 Salim Bay Road, Ntinda
P. O. Box 10779, Kampala, Uganda
+256 414 289 995
www.globalfundccm.org.ug / secretariat@globalfundccm.org.ug

3rd Edition- March 2021

Table of Contents

.....	1
ABBREVIATIONS AND ACRONYMS.....	1
Introduction	2
THE GOVERNANCE MANUAL.....	2
The Uganda Country Coordinating Mechanism (UCCM)	2
Functions, Roles and Responsibilities of the UCCM	3
1.1 General Functions of UCCM	3
1.2 Fundamental roles of the UCCM Members.....	4
1.3 Basic Responsibilities of the UCCM members.....	5
Composition, Representation and Structure of the UCCM	5
2.1 Membership Composition	5
CCM Members	6
Ex-Officio Members	7
c) Observer Status	8
2.2 Representation	8
2.3 UCCM Reconstitution and Membership Renewal	9
2.4 Constituency Secretariat	10
2.5 Membership Renewal and Election Disputes	11
2.6 Term of Office of the UCCM Member.....	12
2.7 Continuity of CCM activities	12
2.8 Resignation of a UCCM Member	12
2.9 Communication about changes in representation	13

2.10 Dismissal of a UCCM Member	13
2.11 Recognition of the work of a UCCM Member	13
3.1 Core Responsibilities of the UCCM Chair	14
3.2 Responsibilities of UCCM Vice-Chair	14
3.3 Sources of UCCM Chair and Vice-Chair	15
3.5 Selection of UCCM Board Vice-Chairperson	16
3.6 Term of office for UCCM Board Chair or Vice-Chairperson	16
4. UCCM Committees and their Responsibilities	17
4.1 UCCM Executive Committee (ExCO)	19
4.1.1 Core functions of the CCM Executive Committee	19
4.1.2 Membership CCM Executive Committee	20
4.1.3 Election of the Member At Large	20
4.1.4 Calendar of CCM Executive Committee meetings	21
4.2) UCCM Programme Oversight Committee (POC)	21
4.2 1 Functions of the CCM Programme Oversight Committee (POC)	21
4.3 UCCM Finance and Procurement (F&P) Committee	22
4.3.1 Functions of the CCM Finance and Procurement (F&P) Committee	22
4.4 The CCM Program Development and Resource Mobilization (PD&RM)	23
4.4.1 Functions of the CCM Programme Development & Resource Mobilization (PD&RM) Committee	23
4.5 The Ethics Committee (EC)	24
4.5.1 Functions of the Ethics Committee	24
The UCCM Secretariat	25
5.1 Establishment of a CCM Secretariat	25
5.2 Responsibilities of the secretariat	25

6. UCCM Meetings and Channels of Communication	26
6.1 Calendar of CCM meeting: Plenary Board Meetings.....	26
6.2 CCM Committee Meetings	27
6.2.1 Notification of UCCM meetings	27
6.2.2 Agenda for UCCM Meetings	27
6.2.3 Quorum of UCCM Board and Committee meetings	27
6.2.4 Chairing UCCM Meetings.....	27
6.2.5 Attendance and Participation of UCCM members in UCCM meetings..	28
6.2.6 Participation of Observers in UCCM meetings	28
6.2.7 Mechanism of decision making in UCCM meetings	28
6.2.8 Minutes of UCCM meetings	29
7. Code of Conduct during Proceedings of the UCCM Meetings.....	29
8. The UCCM and Principal Recipients	30
8.1 Selection of additional Principal Recipients (PRs)	30
9. General Grant Oversight Principles and Guidelines	30
10. The UCCM Channels of Communication	32
10.1 UCCM Communication to the Global Fund Secretariat	32
10.2 PRs Communication to the Global Fund Secretariat.....	32
11. The UCCM's Conflict of Interest Policy and Code of Ethical Conduct	33
11.1 Definition of Conflict of Interest and Unethical conduct.....	33
11.2 Conflict of Interest (COI) and Code of Ethical Conduct (COC) for UCCM members	33
11.3 Adherence to other Global Fund Policies, Procedures, codes of practices and guidelines	34
12. Amendments to the UCCM Governance Manual.....	34
13. Adoption of the UCCM Governance Manual	34

ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
CBO	Community-Based Organisation
CCM	Country Coordinating Mechanism
COC	Code of Ethical Conduct
CSO	Civil Society Organisation
FBO	Faith Based Organisation
GFATM	Global Fund to fight AIDS, Tuberculosis and Malaria
GF	The Global Fund
HIV	Human Immunodeficiency Virus
HPAC	Health Policy & Advisory Committee
LFA	Local Fund Agent
MoFPED	Ministry of Finance, Planning & Economic Development
MoGLSD	Ministry of Gender, Labour and Social Development
MOH	Ministry of Health
MOLG	Ministry of Local Government
NFM	New Funding Model
NGO	Non-Governmental Organisation
PC	The National HIV & AIDS Partnership Committee
PLWD	People Living With the Diseases (HIV, TB and Malaria)
PR	Principal Recipient [of Global Fund grants]
SR	Sub-Recipient [of Global Fund grants]
TB	Tuberculosis
TRC	Technical Review Committee
UAC	Uganda AIDS Commission
UCCM	Uganda CCM
UNAIDS	United Nations Program on HIV/AIDS
WHO	World Health Organisation



Introduction

THE GOVERNANCE MANUAL

This Manual has been revised based on the original document extracted and updated from the Long-Term Institutional Arrangements (LTIA) for the Management and Coordination of Global Health Grants in Uganda. It contains governance procedures specific for the Global Fund to fight AIDS, Tuberculosis (TB) and Malaria grants that the Uganda Country Coordinating Mechanism (UCCM) shall use to carry out its oversight and governance functions.

The Uganda Country Coordinating Mechanism (UCCM)

The UCCM shall be referred to as the Global Fund Board (or Board) at country level and shall be formed of senior level representatives drawn from the public, non-public and development partner constituencies. The UCCM shall be established on a basis of partnership and its activities shall be implemented with support from the legal structures of its Partners. The UCCM shall carry out the oversight role of grant implementation to ensure that Global Fund grants are country led, and effectively and efficiently implemented.

The UCCM shall review as needed, the details of its functioning, including organizational structure, composition and procedures for managing conflict of interest, geographical coverage, constituency participation and representation, manageability of meetings, and terms of reference. It will also determine the appropriate size of the UCCM in accordance with the Global Fund (GF) guidelines and requirements.




Functions, Roles and Responsibilities of the UCCM

The UCCM has overall responsibility for managing Global Fund resources. As representatives of all interested country stakeholders, the Uganda CCM shall remain instrumental in developing national funding proposals, applications & requests to The Global Fund and overseeing utilization of grants from The Global Fund, using existing and strengthened structures and mechanisms.

1.1 General Functions of UCCM

UCCM shall:

- i) Ensure country-driven, coordinated, multi-sectoral and participatory processes for leveraging and effecting additional resources to reduce morbidity and mortality from HIV/ AIDS, TB, and Malaria;
- ii) Ensure coordination of the development of all the country's funding request/application concept notes and proposals to the Global Fund through transparent and documented processes that engage a broad range of stakeholders - including UCCM members and non-members – in the solicitation and the review of activities to be included in the application.
- iii) Ensure and maintain strong coordination and engagement of the Public Sector, CSOs, Private Sector, Bilateral and Multilateral Agencies, in the field of AIDS, TB and Malaria in order to promote efficient service delivery and prevent duplication.
- iv) Ensure membership of people living with HIV and organizations of people affected by TB or malaria and key affected populations.
- v) Ensure the nomination of Principal Recipients (PRs) is documented and that there is a transparent process for the nomination of all new and continuing PRs based on clearly defined and objective criteria.
- vi) Ensure effective oversight of Global Fund grants and the Principal Recipients (PRs)

- 
- vii) Ensure that all UCCM members representing non-government constituencies are selected by their own constituencies based on a documented and transparent process, developed within each constituency.
 - viii) Ensure the development, publication and implementation of a Conflict of Interest (COI) policy and a Code of Ethical Conduct (COC) that shall help the UCCM to manage COI situations and ensure ethical conduct.
 - ix) Ensure linkages and consistency between Global Fund grants and other development assistance programs in support of national priorities.


Additionally, the UCCM shall:

- a. Develop standard guidelines for the selection of PRs and minimum basic guiding principles for Sub-Recipient (SRs) selection;
- b. Develop guidelines for the development of the country's funding request/application concept notes and proposals to the Global Fund and stakeholder participation in Global Fund activities;
- c. Develop a capacity building plan for the UCCM Members, CCM Secretariat and the CCM constituencies;
- d. Develop framework documents for self-assessment of performance of the UCCM and its Secretariat

1.2 Fundamental roles of the UCCM Members

UCCM members shall play a supreme role in protecting the investment of Global Fund grants and shall participate in the implementation of the following core activities;

- i) Attend UCCM Board, Committee and Retreat meetings, and make decisions on the Global Fund grants investments in Uganda
- ii) Participate in the CCM oversight field/site visits to the programme implementation/ service delivery sites supported by the Global Fund grants.
- iii) Set policies and standards for effective implementation of grants that are in line with Global Fund guidelines and requirements
- iv) Establish framework and operational documents for the UCCM governance
- v) Establish the UCCM supporting structures such as the CCM Secretariat, Board Committees, ad hoc task teams or technical working groups, and other structures, as appropriate
- vi) Participate fully in the processes for election of UCCM Office Bearers.
- vii) Conduct regularly a self-assessment and submit the report to the Global Fund Secretariat
- viii) Promote Global Fund activities and Programmes in the country
- ix) Disseminate information on Global Fund activities to their respective

-
- 
- constituencies and the public, consult and obtain feedback from their Constituencies.
- x) Be acquainted with information on Global Fund activities conducted by the Principal Recipients (PRs), Sub Recipients (SRs) and their respective constituencies
 - xi) Mobilize stakeholders to monitor, utilize and participate in the Global Fund activities and Programmes at country level.

1.3 Basic Responsibilities of the UCCM members

- i) Faithfully represent their Constituency with no intention of gainful benefits.
 - ii) Diligently attend and participate in UCCM Board, Committee and Retreat meetings; and oversight field/site visits to the programme implementation/service delivery sites supported by the Global Fund grants.
 - iii) Participate in UCCM decision making without a hidden agenda or bias.
 - iv) Read, review, endorse and sign the country's funding request/application concept notes and proposals to the Global Fund.
 - v) Regularly give the UCCM feedback to the constituencies and from the latter to the UCCM.
 - vi) Participate in the UCCM activities with no Conflict of Interest.
 - vii) Be patriotic and serve with a concern to fight the three diseases (HIV, TB and Malaria), and strengthening of Health & Community Systems.
 - viii) Observe confidentiality on all information arising out of UCCM activities
 - ix) Represent the UCCM at any meeting, function, event or media engagement activity that is considered important or when requested.
-

Composition, Representation and Structure of the UCCM

2.1 Membership Composition

CCM Members

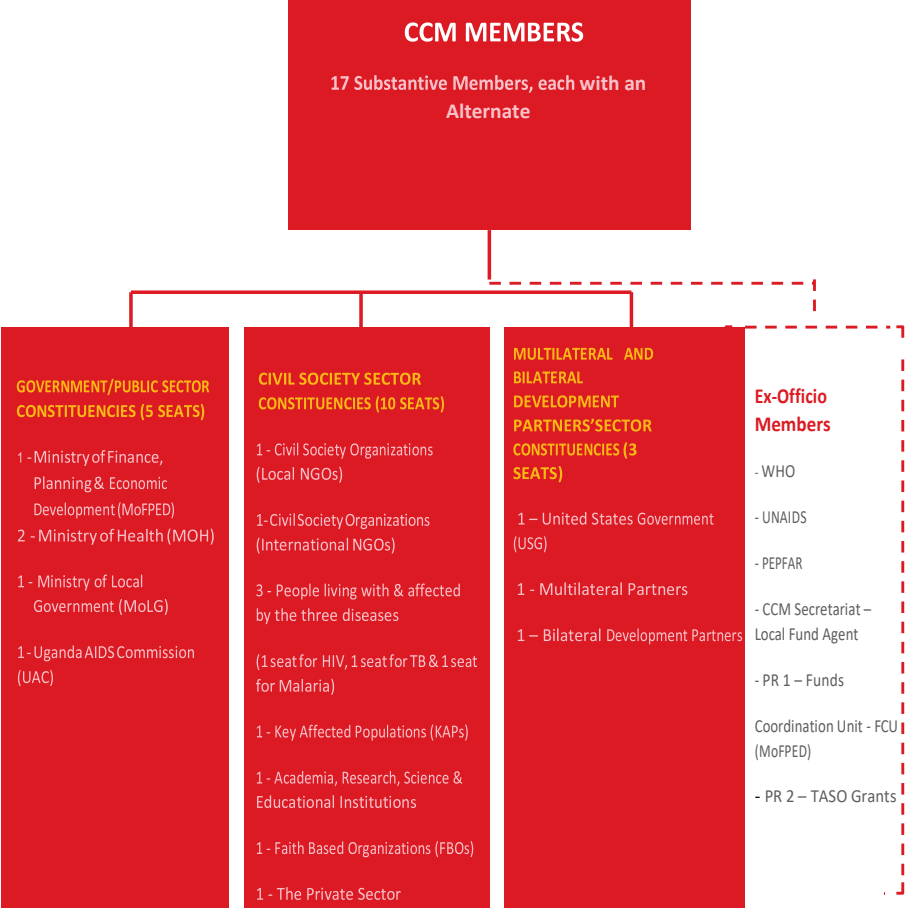
The UCCM shall be as inclusive as possible and seek representation at the highest possible level from various constituencies. The operations of the UCCM shall involve substantive discussions at policy and strategy level and, therefore, its membership shall reflect the ability to maintain high level dialogue, with a representative and manageable number of members. The size of the UCCM must be approved by two thirds (2/3) of the UCCM members.

The UCCM shall be a partnership body comprising representatives of the Public and Non-Public sector constituencies, and Development Partners. The UCCM recognizes the different mandates of the represented constituencies for the day to day management of their respective entities.

The composition of the UCCM shall ensure that the conventionally defined Global Fund stakeholder constituencies are well represented and the Global Fund requirements for selection of constituency membership are adhered to. The membership of UCCM shall therefore comprise; Government, Civil Society Organizations (local and international NGOs, CBOs), Private Sector Organizations, Academia, Faith Based Organizations, Multilateral and Bilateral Partners, People living with or affected by the three diseases and Key Affected Populations. Each of these constituencies falls in one of the three sectors recognized by the Global Fund, namely: (1) Government, (2) Civil Society and (3) Multilateral, Bilateral partners.




The constituencies in each of the sectors and the overall composition of the UCCM are shown in the Figure below. More than 70% of the members are from the Civil Society sector.



Ex-Officio Members

The UCCM shall have Ex-officio members from the following organizations.

1. The UCCM Secretariat

- 
2. WHO
 3. UNAIDS
 4. PEPFAR
 5. Representatives of the Principal Recipients (PRs) Grants Management & Implementation Coordination Units (On invitation by the UCCM)
 6. Local Fund Agent (LFA)

Ex-officio members of the UCCM shall nominate one (1) appropriate representative (or delegate Alternates to attend on their behalf) and communicate in writing to the CCM Secretariat about the nomination. The Ex-Officio representative (s) shall contribute to discussions of UCCM meetings and provide the required information to support the CCM Oversight function but shall not vote.

c) Observer Status


The UCCM may upon written request, authorize Observers to attend the CCM oversight activities. Observers shall attend upon the invitation or prior notification and consent/approval of the CCM Chair for one-off requests or upon the CCM Board approval (if requesting for Regular Observer Status at the UCCM oversight activities). Regular Observer Status arrangements shall be reviewed by the CCM from time to time when deemed necessary.

2.2 Representation

Each constituency shall be represented by one Substantive member and an Alternate. The Substantive Member shall exercise voting rights. The Alternate member shall attend all CCM Board and Committee meetings, and all CCM Oversight activities but shall not have voting rights unless the Substantive member is not in attendance.

In the case of the CCM Board Chair, once the Substantive member of any Constituency is elected in this position, automatically his/her Alternate becomes the Substantive member for that Constituency, unless the constituency decides otherwise.

All CCM representatives for the Civil Society sector shall be elected/nominated by their own constituencies following the general minimum guidelines/criteria established by the CCM, as well as additional selection criteria and election/nomination protocols defined by each constituency; and following a democratic, documented and transparent process. These representatives will also serve according to an annual Constituency Engagement and Communication work plan developed by each constituency and submitted to the CCM Secretariat. The general minimum guidelines for election of Constituency representatives to the CCM, stipulating the quality and standards of the UCCM membership are included in the annexes of this manual.




The guidelines emphasize that CCM representatives from the government and development partners shall be at the highest policy and management levels relevant to the health sector in their organizations. The civil society representatives shall be organizations selected to represent constituencies within the sector, and each selected organization shall also be represented by a person at policy or management level. The constituency represented by the organisation shall endorse the person before his or her name is forwarded to the UCCM. The constituencies shall strive to ensure that there is a balanced representation of men and women.

The guidelines also emphasize that the selection of substantive and alternate members shall be done using the same criteria and process, which shall include various competencies and skills, availability to attend meetings, and ability and willingness to provide feedback to the constituencies.

2.3 UCCM Reconstitution and Membership Renewal

The UCCM shall be re-established through a process of membership renewal after the expiry of the term of office and the process shall involve:


- Civil Society sector constituencies shall determine its own fair and transparent process for electing/nominating Substantive representatives and Alternates to the UCCM, and shall advise the UCCM Chair and CCM Secretariat in writing of its constituency engagement rules, selection criteria and protocols for appointing/electing/ nominating its representatives. Examples of documents providing evidence of the election process for members from the civil society sector constituencies include the following:
 - i. Minutes of the constituency election meetings;
 - ii. Membership lists from organizations participating in the election process with evidence of coverage of their representation;
 - iii. Letters from organizations participating in the election process explaining the process and criteria with signatures of members of the organizations that were present at the meeting or;
 - iv. The document (or the relevant parts of election process) in which election of members is explained to have occurred.
 - v. Government (Public) Sector constituency members are to be nominated following the nomination protocols for making such nominations in each individual government/public sector organisation/institution. The constituency should communicate in writing to the UCCM Chair about their nominee and the documentation should be filed as part of the process at the UCCM Secretariat.
 - vi. Multilateral and Bilateral Development Partners sector constituencies shall nominate their Substantive and Alternate representatives using their own procedures and shall advise the UCCM Chair about their nominees in writing,

-
- 
- and the letters should be filed as part of the process at the UCCM Secretariat.
- vii. Each constituency shall maintain a current membership list with contact information for distribution of regular updates on UCCM meetings and the Global Fund operations. A copy of this membership list shall be provided to the UCCM for its records.
 - viii. Each constituency shall nominate the allotted number of representatives to the UCCM for a Three (3) year term. Possibility of re-appointment shall be guided by the constituency election/nomination protocol and the CCM Succession Plan staggered membership renewal matrix.
 - ix. Each constituency shall provide to the UCCM Secretariat written notification of the names and official positions/titles, organizations and contact details of the nominated Substantive and Alternate members.
 - x. Substantive members are responsible for notifying their Alternates when they are unable to attend the UCCM meetings or oversight field/site visits.
 - xi. Voting by Proxy shall not be allowed.
 - xii. The Substantive Member shall exercise voting rights. The Alternate member shall attend all CCM Board and Committee meetings, and all CCM Oversight activities but shall not have voting rights unless the Substantive member is not in attendance.
 - xiii. Once a constituency has nominated representatives to the UCCM and formally communicated to the Chair of the UCCM (with a copy to the CCM Secretariat), the CCM Chair shall acknowledge receipt of the nominations in writing and notify the representatives of their right to participate in UCCM matters accordingly.

2.4 Constituency Secretariat

Each civil society sector constituency shall be required to have a Secretariat which will maintain a list of stakeholder organizations and share it with the CCM to understand their coverage and help the CCM in information sharing. The roles of the Constituency Secretariat shall be to:

- i) Be the CCM's communication point for the Constituency
- ii) Disseminate information received from the CCM Secretariat and Constituency Representatives that is intended to be shared with the wider constituency
- iii) Organize and coordinate elections for constituency representatives to the CCM as described in section 2. c.) and to officially communicate the result of the constituency elections to the CCM Chair with a copy to the CCM Secretariat.
- iv) Organize constituency engagement activities/meetings, receive and account for any funds from the CCM for constituency engagement activities
- v) Prepare and submit to the CCM Secretariat constituency engagement reports

- 
- vi) Promote unity among constituency members and represent one voice of the constituency to the CCM
 - vii) Work with the Constituency representatives on the CCM and Global Fund issues
 - viii) Maintain a functional Constituency Secretariat office, structures and systems.
 - ix) Prepare regular updates to the Constituency membership lists and contacts database, and timely sharing of the updated information with the Constituency members and CCM Secretariat (as required by the CCM).
 - x) Establish and maintain regular communication with and build the capacity of constituency members to ensure their effective engagement in the CCM and Global Fund processes in Uganda.
 - xi) Support the Constituency representatives on the CCM, in the processes of information sharing and publicity.
 - xii) Maintain records, documentation and archives of the Constituency.

A Constituency Secretariat can be:

- i) An existing and running secretariat for the constituency that can take up the above roles of a Constituency Secretariat
- ii) An organization (private sector organization, civil society organization or Bilateral/ Multilateral Partner agency) which must have the capacity to communicate easily and speedily to constituency members, easily accessible to constituency members, demonstrated capacity to mobilize members, coordinate and organize constituency activities, including elections, good communication skills, and serves the interest of the overall constituency and not individuals or sections of the Constituency.

The decision on the selection of the Constituency Secretariat shall be made by the constituency membership and communicated to the CCM, formally in writing with the minutes of the meeting at which the Constituency Secretariat was selected/nominated.

2.5 Membership Renewal and Election Disputes

An independent Elections Committee shall be appointed by the CCM Executive Committee prior to elections of constituency representatives to the CCM to oversee the elections and handle election disputes. In the event of a dispute within a constituency, over a nomination, election or appointment process that cannot be resolved by the constituency, the Elections Committee will investigate the matter and make recommendations to the Constituency and the CCM Executive Committee on how the dispute is to be resolved. The decision of the Elections Committee shall be final.

2.6 Term of Office of the UCCM Member

The term of office for the UCCM members is three (3) years (as mentioned above) and a member can only serve a maximum of two consecutive terms. A UCCM membership renewal process and calendar dates for membership renewal shall be established by the UCCM. If a member is replaced before completing half of his or her term, the new member will continue as the serving member of that term of office and will be deemed to have served a full term.

In the case of government ministries or institutions where a representative is nominated by virtue of their high level position relevant to the health sector, that person may continue for more than two consecutive terms as long as he or she continues to hold that position in the government ministry or institution.

2.7 Continuity of CCM activities

The renewal of CCM membership shall be staggered to avoid loss of institutional memory of UCCM activities. To promote continuity of the UCCM activities, a CCM Succession Plan shall be developed, with a matrix to guide the staggered CCM Membership renewal process. This will be reviewed from time to time as deemed necessary by the CCM.

2.8 Resignation of a UCCM Member

- i) A CCM member that intends to resign from his/her role of representing their Constituency at the CCM shall write to his/her constituency, notifying them of his/her intent to resign and send a copy of this resignation letter to the CCM Secretariat not later than fifteen (15 days) from the date of submission of the resignation letter to the Constituency.
- ii) In the case of the resignation of the Substantive member, he/she shall be replaced by his/ her Alternate, pending replacement by the constituency.
- iii) In the case of the resignation of the Alternate, the Substantive member shall be the only representative until the constituency nominates and recommends a replacement of the alternate.
- iv) The constituencies shall be required to elect/appoint the replacement within a period of one month after the written notice of resignation by a CCM Member.
- v) The constituency shall provide written documentation to the UCCM Chair and copy to the CCM Secretariat to inform the CCM of the replacement and the process of election used for the appointment of the replacement.

2.9 Communication about changes in representation

If a constituency decides to change its Substantive or Alternate Member in the UCCM, it shall write to the UCCM Chair about its decision and give reasons. The Constituency autonomy shall be respected for such decisions, but the election of the new member shall be done as per the transparent and documented process previously submitted to the CCM. Any request of change must be signed by the same constituency that elected the member.

2.10 Dismissal of a UCCM Member

1. The UCCM shall notify the representative in writing, with a copy to the constituency he/she represents, describing the fault that is attributed as a cause for dismissal.
2. The member shall be given fifteen (15) working days to present in writing his/her reasons or evidence in rebuttal. The reasons or evidence will be submitted to the UCCM Executive Committee and findings will be presented to the UCCM Board for a final decision.
3. The UCCM shall evaluate and issue a final resolution which shall be final.

2.11 Recognition of the work of a UCCM Member

The work of the UCCM members is voluntary. However, the UCCM shall provide the necessary facilities to enable the CCM members undertake their oversight roles and responsibilities and recognize those members who participate and contribute effectively in UCCM activities. The UCCM shall award them with certificates and/ or any other item recognizing their diligent services.

3. The UCCM Chair and Vice Chair

3.1 Core Responsibilities of the UCCM Chair

The responsibilities of the CCM Chair shall include:

- i) Participating actively in all CCM Board activities and CCM Executive Committee meetings;
- ii) Convening, presiding over and Chairing all UCCM Board General, Extra-Ordinary and Executive Committee meetings;
- iii) Proposing and seeking approval of the agenda of each UCCM meeting;
- iv) Informing the UCCM of the activities of the CCM Executive Committee and seek ratification, modification, or cancellation of emergency decisions made by the CCM Executive Committee;
- v) When necessary and appropriate, delegating the Chairperson's responsibilities to the CCM Vice-Chair and in his/her absence or incapacity to one of the Chairs of the UCCM Committees;
- vi) Representing publicly the UCCM in all relevant fora
- vii) Acting as official spokesperson of the UCCM and be responsible for official communication on behalf of the UCCM
- viii) Monitoring all communication within and outside the UCCM, including communications with the media and the Global Fund.
- ix) Ensuring that the UCCM functions are carried out as stipulated.
- x) Overseeing and supervising the UCCM Secretariat on a day-to-day basis.
- xi) Leading and guiding the UCCM in other duties proposed and approved by the CCM Board.

3.2 Responsibilities of UCCM Vice-Chair


- i) Stepping in, handling CCM matters and performing tasks as delegated by the CCM Board Chair;
- ii) Participating actively in all the CCM Board and Executive Committee activities;
- iii) Providing viewpoints and/or advice on matters of the UCCM;
- iv) Undertaking official communication on behalf of the UCCM, as delegated by or in the absence of the CCM Chair;
- v) In the absence of the CCM Board Chair, presiding over all meetings which the CCM Board Chair is mandated to preside by the provisions of the UCCM Governance Manual.

3.3 Sources of UCCM Chair and Vice-Chair

- i) The UCCM Chair and Vice-Chair shall be elected from among the Substantive Members on the UCCM.
- ii) The Chair and Vice-Chair shall be from different sectors represented on the UCCM.
- iii) The Chair and Vice-chair should be periodically changed and rotated among the sectors, in line with good governance principles.
- iv) The Chair and Vice-Chair shall not serve for more than two consecutive terms, in line with the limitation of terms of CCM membership.
- v) To minimize possibilities of Conflict of Interest, the positions of CCM Chair or Vice- Chair shall not be held by persons from institutions or organizations that are Principal Recipients (PRs) or Sub-Recipients (SRs).

3.4 Selection of UCCM Board Chairperson

- i) The UCCM Board Chair shall be elected from any UCCM constituency in the three sectors.
- ii) The UCCM Board Chair shall be directly elected by only the Substantive representatives of the UCCM Constituencies. If the Substantive Member is absent, then the Alternate Member shall have voting rights.
- iii) All Substantive UCCM members have the right to stand for election and to be elected regardless of the public office they represent in their own organizations, except as otherwise decided by the constituency or their individual organizations.
- iv) A Substantive Member who is unable to attend the meeting for the election of the CCM Chair shall put in writing his or her willingness to be nominated for that member to be eligible for nomination for the CCM Chair position.
- v) The UCCM Alternate members, Ex-Officios and any other Observers (permitted by the CCM) shall be allowed to attend the above meeting.
- vi) Voting shall be by Secret Ballot.
- vii) The election of the Chair of the UCCM shall be organized by an ad-hoc UCCM Election Committee chosen from UCCM Ex-Officio members, non-CCM members or partners of the CCM at the start of the membership renewal process. The Election Committee shall consist of four (4) members who will serve as the Returning Officers during the elections or nominate and delegate to suitable independent persons.
- viii) The UCCM Secretariat shall provide administrative and coordination services to the Election Committee.
- ix) The Election Committee shall be dissolved by the UCCM Board after completion of the elections of the Board Chair, Board Vice-Chair and the chairpersons of all the committees.

- 
- x) The minutes of the election shall serve as report of the conduct of the process and shall be submitted to the Global Fund Secretariat together with the list of participants for documentation and transparency purposes. Originals of both documents shall be included in the public archives of the UCCM Secretariat.
 - xi) No member of the Election Committee shall be eligible to stand for election as Chair of the UCCM Board.
 - xii) The UCCM Chair shall be elected through a two-round voting process or any democratic process the UCCM decides to choose. The two-round voting process is a runoff voting process used to elect a single winner. Under this system, the voter casts a single vote for their chosen candidate. However, if no candidate receives more than 50% of the votes cast, the two candidates receiving the most votes go for the second round of voting. The candidate with more votes in the second round is declared the winner.
 - xiii) A half of UCCM Members plus one Person (simple majority) forms a quorum to conduct normal business. However, the election of UCCM Chair shall require a large proportion of UCCM members to participate in the process. Therefore, for the purpose of the election of a UCCM Chairperson and Vice-Chairperson, two-thirds (2/3) of the UCCM Members shall constitute a quorum.

3.5 Selection of UCCM Board Vice-Chairperson

- i) The CCM Board Vice-Chair shall be a substantive member of the CCM.
- ii) The election of the Vice-Chair shall follow that of the CCM Chair, using the same process for selecting the CCM Chair except that the Vice-Chair shall come from a different sector from that of the Board Chair, in line with CCM Eligibility Requirement 5 of the Global Fund (Minimum Standard 'M'). As mentioned under Section 2 (a) on Membership Composition, the Global Fund recognizes three sectors, namely: (1) Government, (2) Civil Society and (3) Multilateral, Bilateral partners.

3.6 Term of office for UCCM Board Chair or Vice-Chairperson

- i) The term of office of the UCCM Board Chair and Vice-Chair shall be three (3) years with a possibility of re-election for another consecutive term if they are re-elected/re-nominated as UCCM Members by their Constituencies.
- ii) Continued service as a UCCM Board Chair and Vice-Chair shall also be

subject to and guided by the CCM Succession Plan matrix for staggered CCM Board membership renewal (which shall be reviewed from time to time by the CCM Board) to ensure good corporate governance, continuity of CCM activities/operations and maintenance of institutional memory.

- iii) The UCCM Chair or Vice-Chair may resign prior to the completion of his or her term of office or may be removed from office prior to the end of his or her tenure for cause. The decision to end the tenure of the incumbent CCM Chair or Vice-Chair shall be by the UCCM and shall require at least a two-thirds (2/3) majority vote.
- iv) If the CCM Chair or Vice-Chair resigns or is removed from office prior to the end of his or her term, elections shall be held among the UCCM members. The replacement elections shall be held immediately but not exceeding one month after the position falls vacant.
- v) A UCCM Chair or a Vice-Chair may serve for a maximum of two consecutive terms.

4. UCCM Committees and their Responsibilities

For purposes of efficiency, the UCCM shall carry out its responsibility of coordinating the development and submission of national funding proposals/ requests/applications to the Global Fund and overseeing implementation and utilization of grants from the Global Fund (grant oversight) through the CCM Board Committees. The core function of the UCCM Committees is to prepare the UCCM Board for prompt decision making and action.

To fulfill its core functions effectively, the UCCM shall establish four (5) functional Committees of the Board as listed below:

- The Executive Committee (ExCo),
- The Program Oversight Committee (POC),
- The Finance and Procurement (F&P) Committee,
- The Programme Development and Resource Mobilization (PD&RM) Committee.
- The Ethics Committee

The purpose of the CCM Board Committees is to facilitate the UCCM decision-making role by reviewing grant implementation and absorption progress reports from implementers in their thematic areas, enquiring into the report details as necessary and making recommendations to the UCCM for decision-making. The CCM Committees do not make final decisions; they only make recommendations for the consideration of the UCCM.


The UCCM will also strive to ensure that all CCM substantive and alternate members, co-opted

members from a pool of experts as deemed it necessary to provide technical support to committees at a time, CCM Secretariat staff and other stakeholders adhere to the Conflict of Interest Policy and the Code of Ethical Conduct. These will be operationalized through the Ethics Committee.

Detailed roles and responsibilities of the UCCM Committees are contained in the revised Terms of Reference of the individual UCCM Committees that are in Annex I of this Governance Manual.

The functional committees

- i) Each CCM Committee shall be headed by a Chairperson. The CCM Committee Chairpersons shall be Substantive Members of the UCCM and shall be selected by the CCM Board - following similar election processes to that of the CCM Board Chair and Vice-Chair, except for the Executive Committee for which the UCCM Board Chairperson shall be the Chair. Both Committee Chair and Vice-Chair shall be selected from different sectors.
- ii) The CCM Committee Chairpersons shall be selected on a sector basis with representation from the three sectors. The CCM Board will first determine the sector that will chair each of the CCM Committees. Nominations of candidates from the specific sector will then be received for the committee chairperson's position and all substantive members (or alternate when the substantive member is not present) will cast their votes, in a similar manner as for the Board Chair and Vice-Chair.
- iii) Except for the CCM Executive Committee, the other CCM Committees shall comprise eleven (11) members appointed by the UCCM from its membership. The CCM Committees may co-opt members from outside the UCCM Board for their technical expertise in the relevant area identified by the committee and/or experts as a need arises.
- iv) Vice-Chairs and Members of the CCM Committees shall be selected on a constituency basis. Members and alternates will be first requested to state the committee in which they would prefer to serve, based on their interests, skills and competences, and thereafter the composition of the committees can be rationalized to ensure appropriate representation. Selection of members for the Committees shall be in accordance with the Terms of Reference (TORs) for each CCM Committee.
- v) CCM Committee Chairpersons and Vice-Chairpersons shall not be replaced by their Alternates or any other person (from their organisation/institution) in undertaking their special responsibilities on the CCM Committees.
- vi) In the absence of both the Chair and Vice-Chair of a CCM Committee, the committee members present shall appoint an interim chair for conducting the business at stake.
- vii) The CCM Committees shall meet at least quarterly and more regularly as needed.

- 
- viii) The CCM Committee Chairperson shall recommend to the CCM Board to act if a CCM Committee Member is absent without apology for three (3) consecutive CCM Committee meetings.

4.1 UCCM Executive Committee (ExCO)

4.1.1 Core functions of the CCM Executive Committee

The core functions of the CCM Executive Committee are to:

- i. Review grants performance recommendations from the CCM Programme Oversight Committee (POC), Finance & Procurement Committee (F&PC) and Programme Development and Resource Mobilization (PD&RM) Committee for onward decision and actions at the UCCM Board meetings.
- ii. Oversee implementation of decisions of the UCCM Board
- iii. Work with and facilitate the UCCM Secretariat to follow up on the implementation of the UCCM Board decisions
- iv. Oversee and direct the activities & operations of the UCCM Secretariat
- v. Ensure the annual performance evaluation of the UCCM Secretariat
- vi. Support and coordinate ad-hoc technical committees, task teams or working groups of the UCCM,
- vii. Attend to routine and urgent administrative and operational matters or urgent communications and decisions for which calling the UCCM Committees and Board meetings is not warranted or not feasible
- viii. Oversee and approve the re-programming of activities & re-allocation of funds in the CCM work plans and budgets
- ix. Facilitate to expedite signature of relevant documents relating to the Global Fund and other stakeholders
- x. Identify bottlenecks in the UCCM Board functionality and report back to the UCCM Board for remedial action
- xi. Mobilize financial and other resources to support the functioning of the CCM, the CCM oversight activities, CCM Resource Mobilization activities, CCM Communication activities and CCM Secretariat operations.
- xii. Work with the CCM Secretariat to review and fine-tune the UCCM meeting agenda to make it manageable, while avoiding censorship of UCCM member contributions to the agenda.
- xiii. Work with other CCM Committees and the CCM Secretariat to propose and arrange for technical assistance to support the capacity building of the UCCM and Principal Recipients (PRs).
- xiv. Oversee and plan the activities to strengthen the capacity of UCCM



members, including induction of new members, training and orientation of all members on their roles and responsibilities.

Additional areas of responsibility of the CCM Executive Committee will be decided or assigned by the UCCM, but in general, the decision-making authority that may be delegated by the UCCM to the Executive Committee will be limited to routine administrative matters. The UCCM Board shall define and further review the scope of work for the CCM Executive Committee from time to time as needed.

4.1.2 Membership CCM Executive Committee

The UCCM's Executive Committee shall comprise six (6) members as listed below:

- i. The CCM Board Chairperson,
- ii. The CCM Board Vice-Chairperson
- iii. The Chairpersons of three (3) UCCM Board Committees (i.e. Programme Oversight; Finance and Procurement Committee; Programme Development and Resource Mobilization Committees),
- iv. One Member-At-Large who shall be any Substantive Member nominated to serve on the CCM Executive Committee. The Member-At-Large shall be nominated by the other five
- v. (5) CCM Executive Committee Members to ensure adequate gender/sector/constituency
- vi. Inclusiveness or to address any other gap on the CCM Executive Committee. He/she shall not be a Chairperson of any of the CCM Committees.
- vii. The CCM Board Chairperson and Vice-chairperson will be the Chair and Vice-Chair of the CCM Executive Committee, respectively.
- viii. All the three sectors must be represented in the Executive Committee.

4.1.3 Election of the Member At Large

A Member-At-Large shall be nominated to join the CCM Executive Committee by the other five (5) CCM Executive Committee Members, to ensure adequate gender/sector/constituency inclusiveness or to address any other gap on the CCM Executive Committee. He/she shall not be a Chairperson of any of the CCM Board Committees. The CCM Executive Committee members may decide to nominate the Member-At-Large at their first Executive Committee meeting or do the nomination differently as they deem necessary.

4.1.4 Calendar of CCM Executive Committee meetings

The CCM Executive Committee shall meet at least quarterly. Emergency and any other meetings held more regularly, shall be convened as and when urgent attention and action of the Executive Committee is required/deemed necessary.

4.2) UCCM Programme Oversight Committee (POC)

The Programme Oversight Committee (POC) shall lead the oversight role over programmatic performance of Global Fund grants in Uganda. The POC reviews the progress of Global Fund grant performance against indicator targets and various implementation levels of programme activities, clarifies data ambiguities on deliverables, identifies and diagnoses problems of implementation of programme activities, and recommends follow up actions to the UCCM Board.

4.2 1 Functions of the CCM Programme Oversight Committee (POC)

- i. Work with the CCM Secretariat to establish and implement annual work plans that outline specific programmatic and management oversight activities to be carried out by the UCCM as outlined in the CCM Oversight Plan;
- ii. Ensure that Global Fund grant programme activities are regularly reviewed to identify implementation bottlenecks and propose remedial action;
- iii. Ensure that programmatic, management and financial information is synthesized in close coordination with the CCM Finance & Procurement (F&P) Committee and that summary reports are available to support the UCCM Board decision making
- iv. Ensure that the Principal Recipients (PRs) provide timely programmatic performance updates and progress reports on Global Fund grant implementation activities
- v. Ensure that the Conditions Precedent, Management Actions, Special Conditions and any other conditions on the Global Fund grants are fulfilled by the PRs in a timely manner.

4.3 UCCM Finance and Procurement (F&P) Committee

The CCM Finance and Procurement (F&P) Committee shall lead the CCM oversight role over the Finance and Procurement performance of Global Fund grants in Uganda. The Finance and Procurement Committee focuses on the financial management and procurement procedures of the Uganda Global Fund grants and activities implemented by the Principal Recipients (PRs).

4.3.1 Functions of the CCM Finance and Procurement (F&P) Committee

- i. Oversee adherence to financial disbursements timelines of the Uganda Global Fund grants by Principal Recipients (PRs) and Sub-Recipients (SRs)
- ii. Review, investigate and resolve the financial and procurement technical issues related to the implementation of the Global Fund grants by the Principal Recipients (PRs) to ensure that funds are fully accounted for and procurement of commodities and services is effectively and efficiently done.
- iii. Ensure timely accountability of Global Fund grants by PRs and SRs
- iv. Ensure compliance with audit requirements of the Global Fund and Government of Uganda
- v. Oversee the Procurement and Supply Chain Management (PSM) processes of the Uganda Global Fund grants
- vi. Support the PRs to overcome financial, Procurement and Supply Chain Management (PSM) bottlenecks
- vii. Ensure programmatic, management and financial information is synthesized in close coordination with the Programme Oversight Committee (POC) and that summary reports are available for UCCM Board decision making
- viii. Work with the CCM Programme Oversight Committee (POC) to ensure an effective link between finance, procurement and the grant programme activities that the PRs implement with the grant finances.
- ix. Support the CCM to oversee timeliness of financial disbursements and procurement of commodities and services related to grant implementation
- x. Oversee the UCCM's financial management and procurement function to ensure that the UCCM funds are fully accounted for. The UCCM is a recipient of funds from different sources/funders to support its oversight activities and CCM Secretariat. Through the CCM Finance and Procurement Committee, the UCCM Board has a responsibility to ensure that these funds are used for the intended purposes, expenditures are approved and supported, and periodic reports are prepared and submitted according to the reporting and

4.4 The CCM Program Development and Resource Mobilization (PD&RM)

The Program Development and Resource Mobilization (PD&RM) Committee shall lead, facilitate and provide oversight over the process for the development of applications for the Global Fund grants and the alignment of Global Fund grants with other financing mechanisms in the country for HIV/AIDS, Tuberculosis and Malaria; and reprogramming of the grants whenever necessary.

4.4.1 Functions of the CCM Programme Development & Resource Mobilization (PD&RM) Committee

- i. Facilitate the processes for coordinating the development and coordination of the national resource mobilization concept notes and grant funding applications/requests/ proposals to the Global Fund, including the design of protocols and procedures for the inclusive engagement and consultation of relevant stakeholders in these processes.
- ii. Identify the need and support the process for reprogramming of grants and support the UCCM in coordinating the re-programming of Global Fund grants
- iii. Lead the CCM process of identifying and selecting the Principal Recipients (PRs), including development of guidelines for selecting PRs and Sub-Recipients (SRs) for implementing the approved Global Fund grants.
- iv. Oversee the national Global Fund grants absorption and utilization to inform/support resource mobilization initiatives and activities.
- v. Oversee the UCCM Funding absorption and utilization for resource mobilization purposes.
- vi. Support the UCCM in mobilizing resources for Global Fund programme activities for HIV/AIDS, TB and Malaria; and the building of resilient and sustainable systems for health.
- vii. Participate in the development of frameworks for alignment and harmonization and alignment of Global Fund grants with other in-country financing mechanisms for HIV/ AIDS, TB and Malaria, and national health and development projects.
- viii. Develop and propose programmes to be funded by the Global Fund to support the fight against HIV, TB and Malaria; and to support the building of resilient and sustainable systems for health.

4.5 The Ethics Committee (EC)

CCMs are required by the Global Fund CCM Policy through eligibility requirement 6 to a) approve and adopt the Code of Ethical Conduct for CCM members, b) develop, publish and implement a Conflict of Interest policy that applies to all CCM members, alternates and CCM Secretariat staff and c) enforce the Code of Ethical Conduct throughout the life of Global Fund grants. Ethical and responsible decision-making by CCMs is key for the success of programs in countries and advancing the fight against HIV, tuberculosis and malaria worldwide. In carrying out their work, CCMs must follow the highest standards of ethics and integrity.


The Ethics Committee shall support the UCCM in its goal of overseeing Global funds grant implementation in the country. It will contribute to the strategic functioning of the CCM by promoting ethical conduct and decision-making in all CCM activities. It will lead the implementation and enforcement of the Conflict of Interest Policy and the Code of Ethical Conduct through focusing on conflict of interest management, ethical decision-making and behaviours to support the Global Fund's ethical values.

The Ethics Committee shall address any ethics and conflict of interest matters that arise and ensure proactive measures are being implemented such as signing of Conflict of Interest Declaration forms and training of CCM members and Secretariat staff on conflict of interest and code of ethical conduct. It will also receive reports and complaints related to unethical behaviour and conflict of interest and help to adjudicate them. The committee shall not perform any management functions or assume any management responsibilities.

4.5.1 Functions of the Ethics Committee

The Ethics Committee shall deliberate on the various issues under its mandate and make recommendations to the UCCM Board for endorsement.

- i. The Ethics Committee shall be headed by a Chairperson, who shall be a Substantive Member of UCCM and shall be selected by the CCM Board following a similar election process to that of the CCM Board Chair.
- ii. The Ethics Committee shall comprise three (3) members, including the chairperson. The other two members can be nominated from inside or outside the CCM Board but must be elected by the board.
- iii. All the three members of the Ethics Committee shall not be of the same

-
- 
- gender.
 - iv. Selection of Members to the Ethics Committee shall be in accordance with the Terms of Reference (TORs) for the Committee.
 - v. The Ethics Committee shall not have alternate members.
 - vi. The quorum of the Ethics Committee shall be two members, of which one must be the Chair of the Committee.
 - vii. The Ethics Committee shall meet as regularly as needed, and as described in its TORs.
-

The UCCM Secretariat

5.1 Establishment of a CCM Secretariat


The UCCM shall have an independent secretariat to support the UCCM and its committees to carry out their functions. The CCM secretariat office location shall be the official address of the UCCM. The secretariat shall be accountable to the UCCM through its Executive Committee which in turn shall supervise the CCM Secretariat staff and operations.

5.2 Responsibilities of the secretariat

The main responsibility of the secretariat is to support the UCCM to perform its functions. The CCM Secretariat shall have full time staff with specific terms of reference. In addition, the CCM Secretariat shall have a work plan and budget as well as Policy, Procedures and Operational manuals to guide its operations.

The following are the specific functions of the CCM Secretariat:

- i. Provide logistical and administrative support for the UCCM and its committees, including CCM meetings with other stakeholders.
- ii. Provide support in the development, review and update of CCM governance, framework and operational documents.
- iii. Serve as focal point for the CCM communications with the Global Fund Secretariat and the PRs in Uganda.
- iv. Maintain documentation and archives of the UCCM.
- v. Provide documentation and logistical support to the UCCM and its committees in the implementation of the CCM oversight plan.
- vi. Provide technical, logistical and other support to the UCCM in managing the process of designing and development of concept notes and funding proposals/requests to submit to the Global Fund.

-
- 
- vii. Establish and maintain regular communication with and build the capacity of constituencies to ensure their effective engagement in Global Fund processes in Uganda.
 - viii. Support the CCM in communication with the various Global Fund stakeholders in Uganda.
 - ix. Produce summary reports and information for CCM members to support decision making relating to Global Fund grants.
 - x. Support UCCM in processes of information sharing, communication and publicity.
 - xi. Support the implementation of such other activities as may be from time to time assigned by the UCCM in line with CCM core functions.
 - xii. Maintain a functional UCCM Secretariat office, structures and systems.
 - xiii. Provide to the Global Fund, the information that fulfils the UCCM's eligibility requirements and minimum standards of the Global Fund, thereby assuring ongoing/ continued UCCM eligibility and compliance to receive Global Fund grants and CCM Funding.
 - xiv. Timely follow-up on the CCM's implementation of the actions in the CCM Eligibility & Performance Assessment (EPA) Improvement Plan.
 - xv. Regularly updating the CCM Contacts database and timely sharing of the updated information with the key stakeholders including the Global Fund Secretariat and CCM Members (as required by the Global Fund).
 - xvi. Support the CCM processes of assessing the performance and capacity building of Principal Recipients (PRs) and the CCM Secretariat.

More detailed roles and responsibilities of the CCM Secretariat are spelt out in the CCM Secretariat Operations manual and CCM Committee Terms of Reference.

6. UCCM Meetings and Channels of Communication

6.1 Calendar of CCM meeting: Plenary Board Meetings

The UCCM shall hold four (4) regular plenary Board meetings per year to review grants and other activities relevant to the mandate of the UCCM. In addition, extraordinary meetings of the UCCM shall be convened as and when necessary as convened by the Chairperson, or at the request of at least one third of the members of the UCCM. An annual calendar of the regular quarterly meetings shall be prepared by the CCM Secretariat at the beginning of the year and promptly circulated to all UCCM members.

6.2 CCM Committee Meetings

Each of the UCCM Committees shall meet at least once quarterly. A CCM Committee may convene more meetings where there is business that requires attention and action by the committee.

6.2.1 Notification of UCCM meetings

The notice for the regular quarterly meetings shall be made at least 10 working days prior to the date of every UCCM meeting. Emergency or special CCM meetings may be called by the UCCM Chair at shorter notices and labelled accordingly. All members should receive the meeting agenda and documents by e-mail or facsimile at least five (5) working days before each meeting.

6.2.2 Agenda for UCCM Meetings

UCCM meetings shall follow an agreed and published agenda format in line with that format recommended by the Global Fund. The UCCM Secretariat shall first contact all its members one (1) month prior to the regular quarterly meeting to solicit any matter for inclusion on the standard agenda. Except in cases of urgency, these should be received by the UCCM Secretariat not later than 15 working days before date of meeting. The UCCM may decide to amend the agenda just before the commencement of the meeting.

6.2.3 Quorum of UCCM Board and Committee meetings

All CCM meetings shall take place when at least simple majority (half plus one) of the voting members are present.

6.2.4 Chairing UCCM Meetings

UCCM meetings shall be convened and presided over by the CCM Board Chairperson or in the Chairperson's absence by the CCM Board Vice-Chairperson. If both the Chairperson and his/her Vice are not present, and a meeting must take place, either of the two shall delegate one of the Chairpersons of the CCM Committees to chair that specific CCM meeting.

6.2.5 Attendance and Participation of UCCM members in UCCM meetings

UCCM meetings shall be attended by substantive and alternate UCCM members. If the substantive member is unable to attend, the designated alternate from the same constituency shall represent the constituency at the meeting. Three (3) successive absences of constituency representation in plenary board meetings without apology, shall result in the UCCM recommending the sector constituency to take action.

6.2.6 Participation of Observers in UCCM meetings

The UCCM may invite observers, advisors, guests or the Local Fund Agent (LFA) to participate in the meetings. These observers/advisors/guests shall not be eligible to vote but may be invited to contribute to the discussions as long as they abide by the rules of the CCM meetings. Whereas the UCCM meetings shall be open to observers to attend, observers shall attend upon invitation or prior notification and consent of the CCM Chair for one-off requests or upon the approval of the CCM Board if Regular Observer Status was requested.

6.2.7 Mechanism of decision making in UCCM meetings

The UCCM decision-making process shall be reached by consensus or by a simple majority vote if discussions do not lead to an agreement. The Chairperson or any other voting member of the UCCM can call for a vote and the voting methods shall be as follows.

- i. Votes shall be of two possible kinds: “simple majority” and “two-thirds majority.”
- ii. All votes shall be by simple majority except where a two-thirds majority is required. “Two-thirds” means two-thirds of all voting members present.
- iii. Voting methods shall be of two possible kinds: “informal” and “formal”. All votes shall be informal unless any member present demands that a vote be made (or repeated) as a formal vote. Formal votes require recording each member’s vote in the minutes of the meeting.
- iv. Absent Members shall not vote.
- v. A Returning Officer appointed by the UCCM and supported by the CCM Secretariat shall conduct the voting. If the selected Returning Officer is a voting member of the UCCM, he/she shall lose his/her voting rights, so it is recommended that the Returning Officer is appointed from the CCM Ex-Officio Members (if in attendance).

6.2.8 Minutes of UCCM meetings

The UCCM Secretariat shall write the minutes of the meeting in English language following an agreed format and distribute them to UCCM members within 5 working days after the meeting. UCCM members shall be given one (1) week after the minutes are distributed to express any objection or amendment to the draft minutes. If members provide no response, that shall be considered as an endorsement of the minutes. Minutes of meetings shall be accompanied by copies of relevant supporting documentation. The CCM Secretariat shall be responsible for scanning, distributing, filing, and archiving the approved minutes and supporting documents from the CCM meetings.

The minutes of previous meetings shall be read at the next meeting, confirmed by members who were present at the meeting (proposed and seconded), and then signed by Board Chair.

7. Code of Conduct during Proceedings of the UCCM Meetings

- i. The UCCM meetings shall be held in English language.
 - ii. UCCM Substantive Members shall sit in the front rows of a meeting place and their Alternates and other non-CCM persons sit in back rows. If the Substantive Member is
 - iii. not going to attend the meeting or must leave before the end of the meeting, the Alternate shall sit in the front row, to occupy the seat allocated to their constituency.
 - iv. UCCM meetings shall have an agenda and no new agenda item shall be introduced during sessions.
 - v. Diverting UCCM discussions to other agendas hidden or not shall not be accepted. The UCCM Chair shall discourage this endeavour such that UCCM meetings are focused and effective.
 - vi. UCCM member shall present their contributions in short packages so that other members can also be given a chance to speak.
 - vii. UCCM members tending to dominate discussions and submissions shall be discouraged by the Chair. Domination of a meeting by a member shall be avoided.
 - viii. Everyone's opinion matters and must be respected; everyone shall therefore be given a chance to express their views without hindrance.
 - ix. Only under exceptional circumstances should meetings last for more than four (4) hours.
-

8. The UCCM and Principal Recipients

Uganda adopted a dual track financing mechanism in the management of Global Fund grants to increase absorption and reduce fiduciary risk among other things. The UCCM shall select Principal Recipients additional to the de facto Public-Sector Principal Recipient – the Ministry of Finance, Planning and Economic Development (MoFPED). The UCCM shall play a supportive and oversight role to the PRs to ensure that grants are effectively implemented. The UCCM shall not get involved in the day-to-day implementation of the grants.

8.1 Selection of additional Principal Recipients (PRs)

The PRs selection processes shall consist of the following main steps:

- i. Issuing of a request for Expression of Interest
- ii. UCCM Receiving Expression of Interest
- iii. UCCM Establishing a Technical Review and Evaluation Committee (TREC)
- iv. TREC screening Expression of Interest for essential eligibility requirements
- v. TREC evaluating Expression of Interest through a documented process and recommending organizations to be Principal Recipients.
- vi. The UCCM or a delegated team performs a field validation and recommends PRs for approval
- vii. UCCM approving the PRs and sending an award notice to the selected organizations
- viii. UCCM sending feedback to all organizations that submitted Expression of Interest and notify them of the outcomes.

9. General Grant Oversight Principles and Guidelines

The CCM oversight of Global Fund grants shall focus on the “big picture” of understanding how grants are being implemented and progress of grant implementation, to avoid getting involved in micromanaging the PRs. The UCCM shall give time for PRs to manage the implementation of grants as agreed with the Global Fund Secretariat. However, the UCCM shall follow up and resolve issues affecting grant performance. The UCCM shall aim to support the PRs so that Global Fund grant money is used properly and effectively, and that scheduled activities are implemented in a timely and effective manner. Therefore, all UCCM members shall endeavor to have a thorough understanding of how grants are being implemented. In so doing the UCCM shall be in position to answer the following questions:

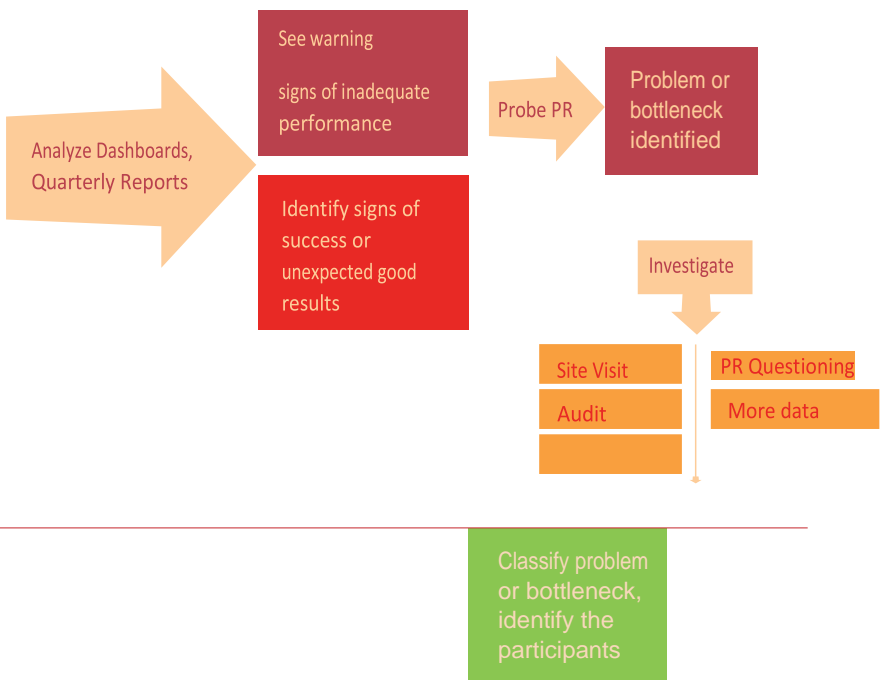
1. Where is the Money?
2. Where are the drugs/medicines, pharmaceutical products and commodities?
3. Are implementers/sub recipients receiving the funds?

-
4. Where are the results?
 5. Are accurate reports made and submitted in time?
 6. Where are the bottlenecks to grant implementation?

The UCCM shall adopt the following steps to understand the performance of the grants:

- i. Gather data on grants relevant for effective oversight;
- ii. Analyse data and generate information on grant performance
- iii. Identify problems or bottlenecks affecting grant implementation
- iv. Take or recommend action to resolve grant implementation problems or bottlenecks

The steps to follow in analyzing problems/ bottlenecks in grant implementation are summarized in the figure below:



The UCCM shall have a separate Oversight Plan that outlines detailed mechanisms and activities of CCM grant oversight.

10. The UCCM Channels of Communication

The UCCM shall work within principles of transparency and accountability in all its communication. The UCCM shall communicate through the Chairperson of the CCM Board to ensure that communication to the Global Fund Secretariat and the public is harmonized. Therefore, the medium for formal communication between the CCM, PRs, Implementers and the Global Fund Secretariat shall be established as follows:

10.1 UCCM Communication to the Global Fund Secretariat

The CCM Chairperson shall on behalf of the UCCM communicate directly with the Global Fund Secretariat on matters relating to the following:

- i. Development and submission of the national funding request/applications and proposals concept notes. Copies of the endorsed concept notes and proposals shall be sent to the PRs
- ii. Selection of Principal Recipient(s)
- iii. Grant oversight
- iv. Policy and strategic issues. Copies of the communication will be given to/shared with the concerned sectors, the CCM Vice-Chair and the CCM Secretariat.
- v. Communication on reporting and request for continued funding shall be from the CCM Chair to the Global Fund Secretariat after approval by the UCCM and a copy sent to the Principal Recipients (PRs).

10.2 PRs Communication to the Global Fund Secretariat

UCCM understands that the Principal Recipients (PRs) shall communicate directly with the Global Fund on the following:

- i) Grants implementation
- ii) Grant agreements negotiations
- iii) Work plans, Budgets and Performance Frameworks
- iv) Periodic reporting
- v) Financial management and Audits
- vi) Assessments and Programme Reviews
- vii) Disbursement Requests

Any other direct communication between grant implementers and the Global Fund Secretariat, unless verified with either the Principal Recipients (PRs) or the UCCM, shall be considered null and void.

11. The UCCM's Conflict of Interest Policy and Code of Ethical Conduct

The UCCM has developed a Conflict of Interest (COI) Policy with rules and procedures to avoid or mitigate COI and members and secretariat staff sign a COI declaration form annually. The CCM has also adopted and endorsed the Global Fund Code of Ethical Conduct (COC), and members shall sign COC compliance declaration forms annually. The implementation of the COI policy and the COC will be overseen by the CCM Ethics Committee.

11.1 Definition of Conflict of Interest and Unethical conduct

A conflict of interest occurs when an entity or individual becomes unreliable because of a clash between personal (or self-serving) interests and professional duties or responsibilities. The concept of Conflict of Interest recognizes that the judgment of even the most well-meaning person may be impaired when their own financial or other interests or those interests of close associates are affected. Unethical conduct is an action that falls outside of what is considered morally right or proper for a person, a profession or an organization.

11.2 Conflict of Interest (COI) and Code of Ethical Conduct (COC) for UCCM members

- i) Prior to taking up a position on the UCCM, each Member, including Ex-Officio Members, shall be required to complete the CCM COI Policy Acceptance and Declaration forms and COC compliance acceptance and declaration forms. The UCCM Secretariat shall keep members' completed forms on file and forward copies of these to the Global Fund Secretariat.
- ii) Each member shall be required to complete and update the COI and COC forms on an annual basis. This provision is also applicable to staff members of the UCCM Secretariat, CCM Ex-Officio Members, co-opted technical experts onto CCM Committees and any other persons doing business with the CCM.
- iii) At the commencement of every UCCM meeting, the Chairperson, in line with a standard Conflict of Interest (COI) agenda item, shall request all members present to declare any conflict of interest they have in relation to matters on the agenda. Where members declare a conflict of interest in relation to any agenda item, they shall not participate in any discussions and voting pertaining to the same agenda item.

11.3 Adherence to other Global Fund Policies, Procedures, codes of practices and guidelines

In addition to the operationalization of the COI and COC, the UCCM shall adhere to the Global Fund Policy to Combat Fraud and Corruption; and other related policies, guidelines and Codes of Practice. These documents will be availed to CCM Members, Ex-Officios and Observers as annexes to the UCCM Governance Manual.

12. Amendments to the UCCM Governance Manual

Notwithstanding other provisions in the CCM Governance Manual, the procedures and/or rules formulated hereunder to regulate the functions and mandate of the UCCM shall come into force as soon as they are endorsed by the CCM Board and shall continue in force until they are specifically revoked or revised by the UCCM. Amendments to the UCCM Governance Manual shall be by two thirds (2/3) majority vote of all CCM Members.

13. Adoption of the UCCM Governance Manual

This CCM Governance Manual was adopted by the UCCM on 24th May 2012, subsequently updated at the CCM Retreat and Board Meeting of 15th & 16th June 2016 and further updated following revisions by the CCM at its Retreat and Board Meeting of 8th December 2020. This latest revision was discussed and endorsed by the CCM Board on 25th March 2021.

FIND OUT MORE:

UGANDA COUNTRY COORDINATING MECHANISM SECRETARIAT

C/O Uganda AIDS Commission

PO Box 10778, Kampala, Uganda | Plot 1-3 Salamway Plaza, Mirinda

Tel: +256 414 289 806 | Email: secretariat@globalfundccm.org.ug

www.globalfundccm.org.ug



