Requirements related to proposal development, lessons learnt and examples of proposal development used by CCMs

1. Requirements related to proposal development process
   The key Global Fund principles to be respected in this process are:
   - Transparency through making public the call for proposals,
   - Inclusiveness of the relevant sectors by establishing a process which facilitates their contribution to the proposal,
   - Meaningful participation as opposed to tokenism.

   To ensure that these principles are respected, the Global Fund Board has strengthened its guidelines related to proposal development:

   **CCMs are required to put in place and maintain a transparent, documented process to:**
   - Solicit and review submissions for possible integration into the proposal;
   - Ensure the input of a broad range of stakeholders, including CCM members and non-members, in the proposal development and oversight process

2. Compliance with this requirement
   CCM compliance with these requirements will be used to determine eligibility of proposals submitted from Round 5 onwards and Phase 2 Requests For Continued Funding submitted from June 1, 2005.

3. Verification of compliance
   The Secretariat will, as part of the proposal screening process, review the documentation setting out the nomination process and the minutes of the CCM meeting on the nomination of one or more Principal Recipients (PRs). The Secretariat reserves the right to further verify this evidence through the Fund Portfolio Manager and the LFA.

4. Guidance on documentation for submission as evidence
   This could include:
   **For solicitation of proposals:**
   - Copies of media announcements, website announcements, or other public outreach efforts (e.g., direct communication to stakeholders) which announce the opportunity to submit proposals to the CCM. This announcement to include the necessary information an applicant may need (such as criteria and process requirements for submission)

   **For ensuring the participation of a broad range of stakeholders in the proposal development process:**
   - A written description of the CCM proposal review process, which documents the process and participation by CCM and non-CCM members and demonstrates that any exclusion of participants in the process is reasonable under the circumstances, which may include, for example:
     - the members and terms of reference of any review panel, task team, committee or other body engaged in proposal review, if any, the criteria and process for selection of panel, and the process for considering the results of the panel by the CCM for onward referral; or
- a report of a proposal-writing workshop, which should include a participants list, the workshop agenda, and the process for considering the results of the workshop by the CCM for onward referral.

For Non-CCM proposal
If organizations outside the CCM process submit proposals for the CCM’s consideration, the CCM should provide the reasons why it decided to include or not to include such proposals in the final submission.

5. Implementation of transparent inclusive proposal development process
The Global Fund Guidelines for proposals emphasize that all CCM deliberations, and decisions should be transparent and disseminated widely. It outlines the CCM responsibilities for proposal development as follows:

- Disseminate widely to all interested parties in the country all information related to the Global Fund, such as Calls for Proposals, decisions taken by the CCM, and detailed information on approved proposals for funding;
- Treat all members as equal partners in the proposal development process with full rights to participation, expression and involvement in decision-making in line with their areas of expertise;
- Build in sufficient time during the proposal development process to allow all CCM members to review and provide input into the drafts of a proposal;
- CCMs are encouraged to submit their proposals to a thorough quality review/enhancement process prior to final submission;
- All CCM members to sign the proposal to indicate that they have participated in the proposal development process. If insufficient consultation has occurred in the course of preparing a proposal, CCM members who have not been involved should not sign the proposal.

6. The transparent inclusive proposal development process
The proposal development process should allow both large and small organisations to participate and could include:

6.1. A communication strategy for broad dissemination of information to all stakeholders, especially those without representation on the CCM. Information to be shared could include:

- a road map/outline for proposal development with priorities, objectives, geographical focus, strategies, timelines, budget indications;
- how interested stakeholders can provide inputs for inclusion to the consolidated proposal to the Global Fund;
- the criteria for evaluation of inputs for possible inclusion in the consolidated proposal;
- provision of feedback to all organisations that tendered a submission, and on decisions related to finalisation of proposal.

6.2. The establishment of a mechanism such as a proposal development team/committee with specific TORs and clearly defined outputs. This team/committee should include selected CCM members and representatives of in-country partners with the technical skills & experience to guide the content of the proposal and to supervise the consultants;

6.3. Setting up of in-country screening processes for quality assurance of the proposal prior to finalization. This could be through either a mock technical review panel/screening committee;
6.4 In addition/alternatively to above, ‘**consensus building workshop**’ attended by representatives of key stakeholder groups selected by the CCM, for the review of the proposal.

7 **Examples of proposal development processes, which were open, transparent and inclusive facilitating the participation of all sectors and interested stakeholders**

7.1 To prepare the country proposal for Round 5, the Ministry of Health, **Serbia and Montenegro**, acting as secretariat to the CCM, announced a call for concept papers via web and email to all NGOs and institutions known to be involved in HIV/AIDS issues, with a late May deadline for submission. The CCM and the drafting team met immediately in a series of sessions to review all submitted proposals. The drafting team included representatives of various institutions, NGOs and PLWHAs, whose comments and opinions guided the preparation of the proposal.

7.2 Likewise, the **CCM in Pakistan** initiated the development of Round 5 proposal preparation by advertising in a national daily newspaper, requesting civil society organizations, private sector firms and academia to submit proposals for all three disease components. Following the advertisement, individual disease control programs conducted two-day seminars at the federal level on the Global Fund national program and priority program areas for Round 5, as an orientation for all prospective sub-recipients. Sub-recipients were then selected through an open bidding process.

7.3 The **CCM in Morocco** for it’s successful Round 6 HIV/AIDS proposal:

- first developed the broad outline of the proposal – including objectives, SDAs and indicators, which were aligned with the national strategic plan for HIV/AIDS, developed through broad consultations. The use of Global Fund SDAs and indicators ensured that it would not be difficult for the CCM to collate accepted submissions into the country coordinated proposal
- It then developed the guidelines for broad participation with a call for submissions, which included all the above information as well as the strategic and programmatic focus, the priority geographic areas.
- The call for submissions also included the eligibility criteria for applicants such as the required capacity implementation experience; an explanation of how their proposed activities would contribute to the achievement of the overall programme. The CCM specified too that applicants should aim to produce “umbrella” submissions that included partnerships with smaller organisations, which were not eligible to apply on their own.

One practical step taken by the CCM Morocco was to request submissions from stakeholders which followed a project outline similar to that used in the Global Fund proposal form (i.e., with the same hierarchy of objectives, standardised activity types, indicators and budget headings). This meant that the submissions would simply need to be assembled and summarised. However if submissions do not follow a standardised format, they will need to be rationalised into the same format before they can be assembled, which will be very time-consuming.

7.4 The **Zanzibar CCM** took a different approach for the HIV/AIDS component of its successful Round 6 proposal.
- The CCM, identified potential implementing partners and organised technical support
• It then organised a five-day “design forum” for the implementing partners. During the ‘design forum, the partners reviewed the CCM’s Round 5 proposal and identified the goals, objectives, strategies and indicators for the Round 6 proposal. Resource persons provided the necessary technical expertise and facilitated the process.
• This was followed by the establishment of a proposal development group to coordinate the planning and writing of the proposal. This 15-member group included representatives from some of the implementing partners and some technical support persons.
• During the planning and writing of the proposal – a process that took five weeks – consultative meetings were held with implementing partners and development partners. The draft proposal was reviewed by the implementing partners and the CCM, approved and submitted.

7.5 Based on their experience in Rounds 1 and 2, the CCM in the Philippines developed a participatory process to ensure inclusion of all stakeholders for Round 3, which comprised of:
• the formation by CCM of ‘Proposal Development Sounding Board’ comprising of all relevant country stakeholders to ensure that the proposal process was consultative and inclusive;
• Two day Consultative "write-shop" of all relevant stakeholder representatives; CCM approval of concept;
• proposal writing team developed proposal for final review by ‘Proposal Development Sounding Board’ then presented to CCM for approval, signature and submission to the Global Fund.

7.6 A number of CCMs for example Cambodia, Zimbabwe have included the process in their CCM operational procedures. In Cambodia, a New Proposal Technical Review Panel (NPTRP) was appointed by the Country Coordination Committee (CCC) to guarantee the integrity and consistency of an open and transparent proposal review process. The NPTRP will review applications submitted for GFATM support, and make recommendations to the CCC for final decision. Zimbabwe’s process combines CCM technical subcommittees with component stakeholder meetings, establishment of writing teams, technical subcommittees review of draft proposal, submission to the CCM which shares proposal with constituencies prior to submission to the Fund. Ghana has made the process on of its bylaws.

8. Lessons learned and recommendations by CCMs to make the proposal development inclusive and participatory
8.1. Establish procedures to ensure participation of the different stakeholders/sectors in the proposal development process. CCMs have found the following useful:
• Timely announcement with detailed articulation of priorities, strategies, geographical focus, timelines and milestones for the country proposal and the process for review, compilation and submission of the country proposal. This early announcement of intention to submit country proposal and the proposal development steps will facilitate the participation of the relevant sectors and ensure transparency in the process;
• Establishing mechanisms such as proposal development/review committees with clear terms of reference; workshops with stakeholders; access to writer/editors.
• A CCM Secretariat with clear terms of reference providing timely administrative support necessary for a participatory proposal development process.

8.2 Technical support:
• Facilitation of technical support for proposal development from partners in particular to support participation of the CBOs, groups of people living with/affected by the disease in proposal development;
• Technical partners request timely notice of technical assistance needs which will in turn facilitate the organization and coordination of timely provision of technical assistance. This requires that CCMs plan in advance the necessary technical and financial support needed to facilitate the timely availability of this assistance for proposal development.

8.3 Communication/sharing of information to ensure transparency:
Make public the processes established, provide updates on the status of proposal development and provide information on method/channel for dissemination of these updates. This will ensure that all relevant stakeholders have the necessary information. Disagreements and competition amongst stakeholders can be managed when participants have agreed upon clear and analysis-based processes;

8.4 Participation of civil society
• The use of constituency ‘umbrella groups’ have shown to bring stakeholders into the process. Rwanda’s decision to find ways of making the consultation with stakeholders more effective reflects commitment to stakeholder participation for proposal development and throughout the life cycle of the grant.
• The Civil Society NGO consultation in India recommends that members of the civil society themselves take the initiative, well ahead of the Call for proposals, to prepare their input into the country proposal. To ensure input from the sector, the NGOs proposed the establishment of a consortium for proposal development at least six months in advance to determine priorities, assess needs and identify potential implementers among the civil society. This consortium of selected NGOs with the capacity and resources should facilitate a consultation process with a wider network of organizations and work closely with the CCM for inclusion of inputs and on compilation of the country proposal.