

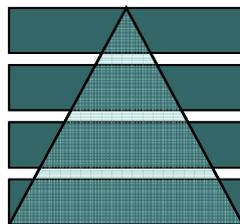


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**The Global Fund**

To Fight AIDS, Tuberculosis and Malaria

## **Technical Evaluation Reference Group**



## **Report on the Assessment of Country Coordinating Mechanisms: Performance Baseline**

**December 2005  
Revised Version**

**T**he Technical Evaluation Reference Group (TERG) is an advisory body providing independent assessment and advice to the Board of The Global Fund to Fight AIDS, Tuberculosis & Malaria on issues which it determines require Board attention. The Board also directs the TERG to examine specific programmatic aspects of the Fund, as appropriate. The TERG advises the Global Fund Secretariat on evaluation approaches and practices, independence, reporting procedures and other technical and managerial

aspects of monitoring and evaluation at all levels.

Members of the TERG are nominated and confirmed by the Board of the Global Fund. Membership of the TERG is drawn from a range of stakeholders, including practitioners, research institutions, academics, donor and recipient countries, and non-governmental organizations. Members of the Technical Evaluation Reference Group are listed in Annex A.

## Executive Summary

As a key element in the Global Fund's architecture, Country Coordinating Mechanisms (CCMs) are central to the Global Fund's commitment to local ownership and participatory decision-making. These country-level partnerships develop and submit grant proposals to the Global Fund based on priority needs at the national level. After grant approval, they oversee progress during implementation. CCMs include representatives from both the public and private sectors, including governments, multilateral or bilateral agencies, non-governmental organizations, academic institutions, private businesses and people living with the diseases. These actors, each with unique skills, background and experience, are at the center of the development of proposals and decisions on the allocation and utilization of Global Fund financial resources.

In November 2004, the Board of the Global Fund and its respective committees requested the Technical Evaluation Reference Group (TERG) to develop tools and to provide measures of the composition and performance of Country Coordinating Mechanisms. This paper describes the methods used and findings of the assessment of CCMs. The paper also highlights rapid responses of CCMs to gaps identified by the assessment and to the issuance of the *Revised Guidelines on the Purpose, Structure and Composition of Country Coordinating Mechanisms and Requirements for Grant Eligibility*. The paper concludes with TERG recommendations for further Board consideration and requests for further action by the Global Fund Secretariat.

The CCM assessment study was carried out between March and July 2005. The CCM assessment was comprised of two parts: a document-verified survey called the "Performance Checklist", which closely paralleled the Board-approved eligibility requirements and recommendations for CCMs; and a satisfaction survey which allowed CCM members and their respective constituency to express their degree of satisfaction with specific aspects of CCM operations. The CCM assessment sought responses from 107 CCMs and 78% of Performance Checklists were completed and returned.

The initiation of the CCM assessment study preceded the distribution of *Revised Guidelines on Purpose, Structure and Composition of Country Coordinating Mechanisms and Requirements for Grant Eligibility* by several months. Therefore, the CCM assessment largely provides a "snapshot" of CCM status immediately prior to the receipt of the *Revised Guidelines* and submission of Round 5 proposals.

Of the Board-approved requirements for grant eligibility, the CCM assessment found that:

- Seventy-one percent (71%) of CCMs reported and documented that its membership included people living with or affected by the diseases;
- Almost half of CCMs had a transparent, documented process for nominating the PR and overseeing program implementation (46%);
- 58% of all responding CCMs demonstrated a transparent and documented process for soliciting and reviewing submissions for possible integration into the overall proposal to the Global Fund. Fewer CCMs (31%) documented means to ensure the input of a broad range of stakeholders in proposal development and grant oversight;
- 52% of non-governmental sector constituencies represented on CCMs demonstrated a transparent, documented process to select or elect their sector representative;

- Of those CCMs with a potential conflict of interest (i.e. where the Principal Recipient comes from the same entity as either the Chair or Vice Chair of the CCM), 23% had a written plan to mitigate against conflict of interest at the time of the survey.

The CCM assessment also found that:

- 67% of CCMs complied with the recommendation that at least 40% of CCM members come from non-governmental sectors;
- Almost one-third (30%) of CCM members are women;
- 54% of all responding CCMs reported that they met more than four times a year;
- 43% of CCMs report and document that CCM membership lists are publicly accessible;
- 52% of CCMs reported and documented written terms of reference, bylaws or operating procedures;
- CCM constituencies were most satisfied with clear objectives of CCM meetings and their comfort in presenting constituency opinions in CCM meetings; and least satisfied with the strategies and their involvement in evaluating CCM functioning and with their participation in implementation oversight;
- By type of constituency, generally the public/government sector was most satisfied, and religious or faith-based organizations and NGOs/CBOs were least satisfied.

By comparing information from the CCM assessment study and that submitted as part of the Round 5 proposal process, it was observed that many CCMs have responded to gaps identified in the assessment. Selected examples are reported here to highlight these apparent changes in CCM procedures and practices. More rigorous comparison of change over time will only become available with repeat rounds of the CCM assessment study.

In reviewing the tools and findings of the CCM assessment, the Technical Evaluation Reference Group confirmed their importance as self assessment and management tools. TERG made general recommendations regarding:

- The need to avoid equating CCM performance solely with compliance with grant eligibility requirements but rather to reflect the wider range of recommendations on their purpose, composition and structure.
- The need for further guidance to support CCMs in meeting Board-approved requirements and recommendations.
- The need for a clear obligation that CCMs assess and report on performance in a regular and systematic manner.

TERG requested specific follow-up actions to:

- Incorporate CCM self-assessment into routine grant management processes with a focus on identifying weaknesses, taking steps to improve and reporting progress to the Global Fund Secretariat.
- Complement self-assessment methods with in-depth audits to examine CCM functioning.
- Further examine civil society involvement in CCM functions through civil society networks to systematically assess current status, strengths and weaknesses and flag cases requiring follow-up.

## **Part 1: Introduction**

1. At the request of Governance and Partnership Committee (GPC), the Technical Evaluation and Reference Group (TERG) developed and finalized methodologies and measures to evaluate the composition and functioning of the Country Coordinating Mechanism (CCM)<sup>1</sup>. The instruments and methods used in the CCM assessment were reviewed and finalized with guidance from the Monitoring, Evaluation, Finance and Audit Committee and the GPC committees. The intent of the CCM checklist was to support CCM management through regular self assessment as well as for use in external audits<sup>2</sup>.

2. The GPC further requested the Secretariat to field-test the TERG-developed checklist in several pilot countries so that early feedback could determine whether it is useful, user-friendly, and gives GPC the necessary information on which to base future policy recommendations. The checklist was piloted in January 2005 in five countries: Cambodia, Haiti, Honduras, Russia and Rwanda. The TERG reviewed the pilot results in early March and suggested refinements in the tools and approaches. The CCM assessment was launched in late March 2005.

3. This paper describes the methods used and findings of the assessment of Country Coordinating Mechanisms. The paper also highlights the rapid responses of CCMs to gaps identified by the assessment and to the issuance of the *Revised Guidelines on the Purpose, Structure and Composition of Country Coordinating Mechanisms and Requirements for Grant Eligibility* (requirements for grant eligibility appear in Box 1). Finally, the paper concludes with TERG requests for further action by the Global Fund Secretariat and recommendations for further Board consideration.

## **Part 2: Methods for CCM Assessment**

1. The Secretariat oversaw the assessment of CCM processes and procedures, including the extent to which CCMs met established guidelines and criteria for their composition, roles and responsibilities. The assessment was implemented externally by the Futures Group working under contract to the Global Fund.

2. The assessment was carried out between March and July 2005 with the majority of responses submitted by early June. As such, the initiation of the CCM assessment study preceded the distribution of *Revised Guidelines on Purpose, Structure and Composition of Country Coordinating Mechanisms and Requirements for Grant Eligibility* by several months. By the time that the Revised Guidelines were finalized, translated and distributed to all countries, 69% of all CCMs had already submitted their CCM assessment. Therefore, the CCM assessment largely provides a “snapshot” of CCM status immediately prior to the receipt of the *Revised Guidelines on Purpose, Structure and Composition of Country Coordinating Mechanisms and Requirements for Grant Eligibility* and submission of Round 5 proposals.

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<sup>1</sup> GF/B9/7; Report of the Governance and Partnership Committee.

<sup>2</sup> GF/B9/7; Report of the Governance and Partnership Committee  
GF/B10/8, Annex 7; Report of the Monitoring, Evaluation, Finance and Audit Committee

3. The CCM assessment was comprised of two parts, as follows:

- The first part was a document-verified survey called the "Performance Checklist" that covered issues such as composition and representation, participation and communication, and governance and management. The Performance Checklist closely paralleled the Board-approved eligibility requirements and recommendations for CCMs. The Performance Checklist appears in Annex B.
- The second part of the assessment was a satisfaction survey which allowed each CCM member and their respective constituency group to express their degree of satisfaction with specific aspects of CCM operation, including participation in decision-making and their ability to voice their opinions and perspectives within the CCM. The Constituency Satisfaction Survey appears in Annex C.

4. The CCM assessment was conducted through two means. In 79 out of a total of 107 countries that were requested to complete the assessment, a locally-hired consultant was available to assist the CCM. The CCM assessment was based on principles of self-assessment, problem-identification and problem-solving. The role of the consultant was to support the CCM in this task. Each locally-recruited consultant met with the CCM Chair, designee, and/or CCM Secretariat in order to explain both parts of the survey. The CCM Chair was responsible for determining the approach to conduct the assessment in their country.

5. In 33 of 72 responses from the consultant-facilitated assessment, the Performance Checklist was distributed to either all CCM members or to a representative sample of all CCM members along with a Users' Guide with instructions for its completion. After individual CCM members completed the Checklist, the CCM Chair convened a consensus meeting to share responses. During the consensus meeting, one summary/consensus version of the Checklist responses was compiled either by the consultant or by the CCM members and then provided to the consultant. Alternatively, at the direction of the CCM Chair, the locally-recruited consultant would collect and summarize responses from individual CCM members and present the summary results and comments to the CCM for consensus and final approval. Locally-recruited consultants were also responsible to submit copies of documents that verified responses. All materials, including survey instruments and directions, were translated into French, Spanish, and Russian.

6. In 28 countries of 107 countries requested to complete the assessment, a qualified locally-recruited consultant was not identified to assist the CCMs. In these cases, the CCM was requested to complete the exercise in a self-directed manner without the support of a locally-recruited consultant. Fourteen of these 28 countries are classified as fragile states<sup>3</sup> and the contractor encountered difficulties in identifying and recruiting local consultants. In other cases, known, qualified consultants dropped out of the assessment due to delays in timing.

7. For the Performance Checklist, CCMs were required to provide documentation to substantiate their answers. Acceptable documentation included: existing reviews of CCMs, often funded by partners, and case studies, records, meeting minutes, membership lists, procedures manuals and written reports from members to

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<sup>3</sup> Global Fund Investments in Fragile States: Early Results. The Global Fund to Fight AIDS, Tuberculosis and Malaria. 2005.

constituencies. If a CCM did not have an eligibility requirement in place, they were asked about plans to improve or correct this.

8. The full assessment aimed to solicit responses from 107 CCMs worldwide. While all CCMs were encouraged to complete the assessment, twenty-four countries did not do so. Overall, 78% of Performance Checklists were completed and returned (83 of 107). Responses rates were much higher for consultant-facilitated surveys with 91% of consultant-facilitated Performance Checklists completed compared to 39% of the self-directed surveys. Of those countries provided with a locally-recruited consultant to support the assessment, only seven did not respond despite repeated efforts of the consultant and communicate from the Global Fund Secretariat. Among these countries, reasons cited for non-response include: on-going efforts to re-structure the CCM or to clarify roles and responsibilities within existing mechanisms and “fatigue” with repeated assessment or evaluations. In some cases, insufficient response within the CCM did allow for creation of a consensus or summary report. A complete listing of countries, type of assessment method used and response received appears in Annex D.

### **Part 3: Findings of the CCM Assessment**

1. The findings reported here are drawn from the 83 Country Coordinating Mechanisms that completed the Performance Checklist and the 74 that complete the Constituency Satisfaction Survey. Performance Checklist data reported below draws on only those cases where the CCM reported and was able to document compliance. When one of the Global Fund Board-approved requirements or recommendations was not met, the CCM was asked to describe any plans that they had in place to address that area. Where information was provided in the CCM assessment study on plans to address gaps, that information is summarized below as well.

2. In Figure 1, the five requirements for grant eligibility appear numerically and the description of the requirements appears immediately below in Box 1. Among the specific eligibility requirements shown in Figure 1, CCMs were most likely to report and document that their membership included people living with or affected by the diseases (71%).

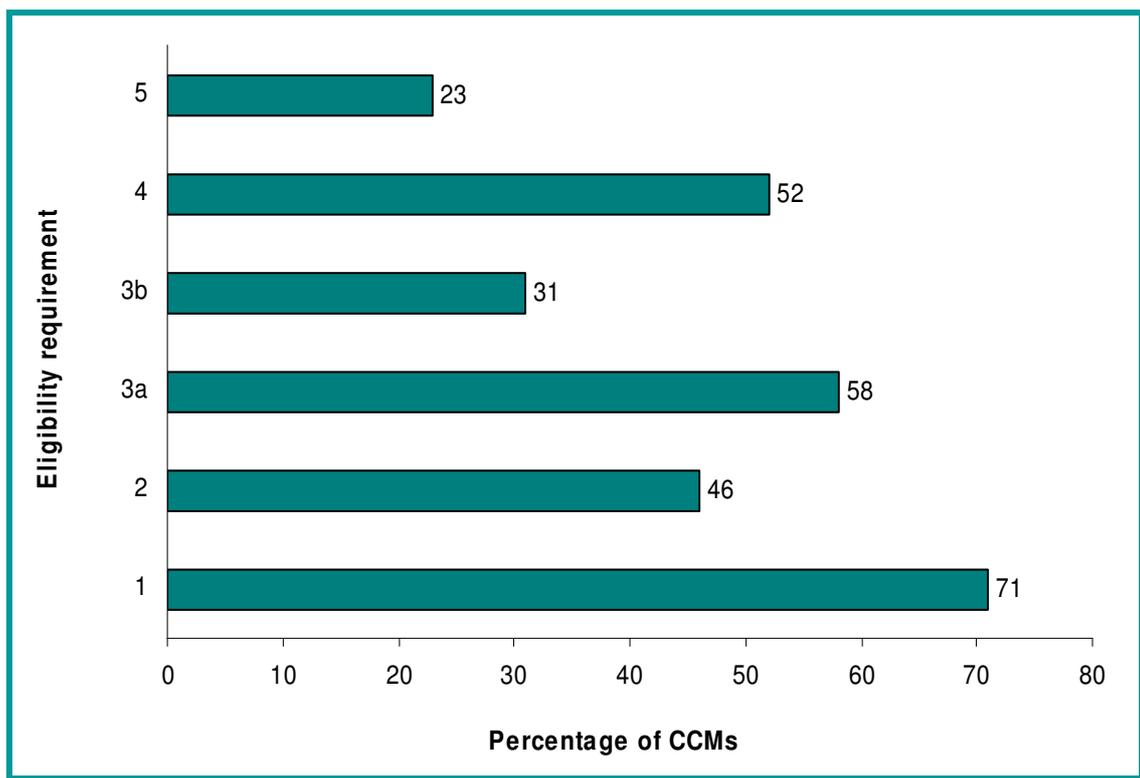
3. Other requirements were less commonly met, such as the requirement that non-governmental sectors have a transparent, documented process to select or elect their sector representative to the CCM. This requirement was measured across all non-governmental sectors as outlined in the *Revised Guidelines*: NGOs/community-based organizations, people living with the diseases, religious/faith-based organizations, private sector and academic institutions. For all constituencies represented on the 83 responding CCMs, 52% reported and documented their selection process. In written responses to the assessment study, at least nine CCMs outlined plans to comply with this eligibility requirement, for example by developing publicly-accessible and transparent non-government constituency selection processes. Other CCMs noted the need to improve documentation of existing processes that would otherwise meet the eligibility requirement.

4. Nearly half of CCMs had a transparent, documented process for nominating the PR and overseeing program implementation (46%). Where the lack of such procedures was noted, CCMs proposed plans to develop processes or procedure manuals for

proposal development, Principal Recipient nomination, and systems for monitoring program implementation.

5. CCMs are also required to maintain a transparent and documented process for soliciting and reviewing submissions for possible integration into the overall grant proposal to the Global Fund. Over half of CCMs (58%) demonstrated a transparent process for doing so. CCMs are also required to ensure the input of a broad range of stakeholders, including CCM members and non-members, in proposal development and grant oversight. Tabulated as a compound measure, (a documented, transparent process to ensure input of a broad range of both CCM members as well as non-CCM members in proposal development and in the grant oversight), only 31 percent of all responding CCMs met this requirement.

6. For those CCMs where the PR comes from the same entity as either the Chair or Vice Chair of the CCM, a written plan is required to mitigate this potential conflict of interest. Of those CCMs with this potential conflict, nearly one-quarter (23%) had such a written plan at the time of the survey.



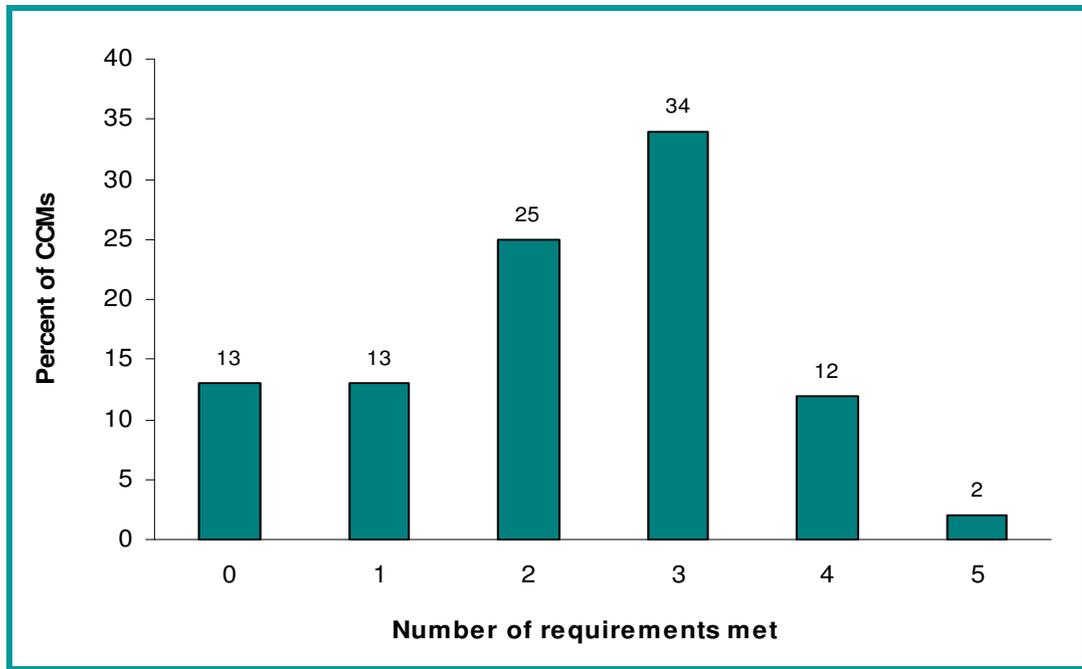
**Figure 1: Percent of Country Coordinating Mechanisms that report and document specific eligibility requirements. See Box 1 for detailed descriptions.**

### Box 1: Requirements for Grant Eligibility

1. The Global Fund requires all CCMs to show evidence of membership of people living with and/or affected by the diseases.
2. CCMs are required to put in place and maintain a transparent, documented process to nominate the Principal Recipient(s) and oversee program implementation.
3. CCMs are required to put in place and maintain a transparent, documented process to:
  - a. Solicit and review submissions for possible integration into the proposal;
  - b. Ensure the input of a broad range of stakeholders, including CCM members and non-members, in the proposal development and grant oversight process
4. CCM members representing the non-government sectors must be selected/elected by their own sector(s) based on a documented, transparent process developed within each sector.
5. When the PRs and Chair or Vice Chair of the CCM are the same entity, the CCM must have a written plan in place to mitigate against this inherent conflict of interest.

Source: GF/B10/2. Report of the Ninth Board Meeting.

7. As seen in Figure 2, 73% of CCMs reported and documented two or more of the five Board-approved eligibility criteria, but only 2% met all five.



**Figure 2: Country Coordinating Mechanisms and number of eligibility requirements reported and documented**

8. With regard to Board-approved recommendations of CCM composition and functioning, the assessment found that 67% of CCMs complied with the recommendation that at least 40% of CCM members come from non-governmental sectors. Almost one-third (30%) of CCM members are women. Over half (54%) of all responding CCMs reported that they met more than four times a year.

9. Forty-three percent (43%) of CCMs report and document that they have made CCM membership lists publicly accessible. In assessment responses, many CCMs commented that they plan to create websites to post membership lists, proposal announcements, invitations to participate or comment, etc., either with the support of approved Global Fund grants or through already-existing websites established by the national AIDS committees or ministries of health.

10. CCMs were also asked about the availability of written terms of reference, bylaws, and operating procedures. Only 43 of 83 responding CCMs (52%) reported and documented written terms of reference (ToRs), bylaws or operating procedures. If a CCM had such written materials, they were asked if six specific operating procedures were described in them (Table 1). As seen in Table 1, if a CCM had written ToRs, they were likely to include most of the specified operating procedures. The notable exception was a procedure outlining guidelines for ethical behavior where only 40% of those CCMs with written ToRs had included this item.

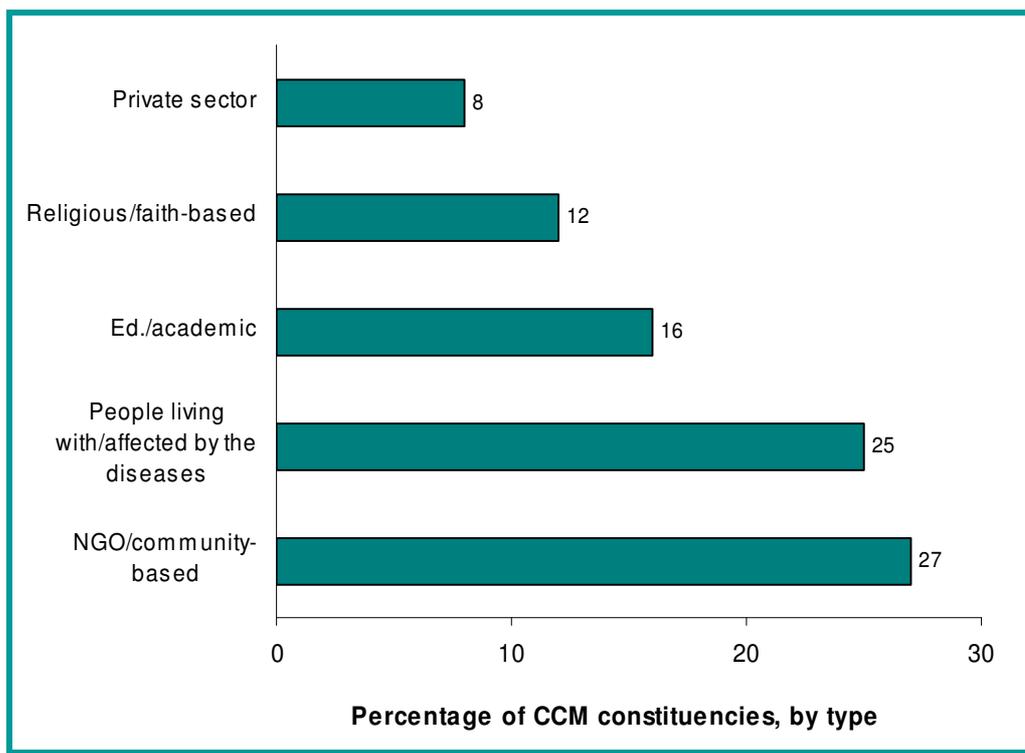
11. Among the CCMs reporting, there was wide acknowledgement that written terms of reference could improve the efficiency of CCM operations. In written responses provided through the assessment study, at least 20 countries reported plans to develop written operating procedures.

**Table 1. Country Coordinating Mechanism operating procedures available in written terms of reference**

Operating Procedure	% of CCMs that report and document specific operating procedures	
	%	N
CCM with written terms of reference, bylaws or operating procedures	52%	43
Of those with written terms of reference, bylaws or operating procedures, operating procedures defined for:		
• Procedure for selection of Chair/Vice-Chair	74%	32
• Equal voting rights of all members/constituencies	77%	33
• Mechanism for decision-making	86%	37
• Defined roles and responsibilities vis-à-vis other relevant coordinating bodies	77%	33
• Guidelines for ethical behavior	40%	17

12. Figure 3 presents the percent of CCMs that report and can document a consultative process among members of each of the five non-government sectors. Across all CCMs reporting, NGO/community-based groups and groups of people living with or affected by the diseases were the sectors most likely to report and document consultative processes within their constituencies (27% and 25% respectively). A documented consultative process was reported by 16% of educational/academic members, 12% of religious/faith-based members and 8% of the private sector members.

13. Many CCMs reported operating and communicating on an informal basis, particularly within non-government sectors which are in fact not formally organized constituencies, but more typically an array of key players who associate primarily for purposes of information-sharing or advocacy. Plans to improve and document consultation among non-government members include better processes for generating CCM meeting agenda items, creation of formal “feedback processes” to more adequately capture non-government sector input, or documentation of sector-specific consultation within the monitoring system. A number of countries pledged to enforce their CCM bylaws which stipulate that minutes of constituency meetings should be shared among all CCM members.



**Figure 3: CCM member constituencies with documented consultative process among their members**

14. The Constituency Satisfaction survey sought to examine CCM members' satisfaction and opinions related to the level of constituency involvement in the CCM, operating procedures and processes, equitable contributions to CCM decisions, and follow up actions following CCM meetings. The level of satisfaction was scored on a 4-category scale, from “high satisfaction”, through “good” and “poor” to “not at all satisfied”.

Individual CCM members were requested to complete the assessment with the input of their respective constituencies. Results were analyzed as average scores by type of constituency and by country/CCM.

15. Results were received from 74 countries and aggregated by CCM constituency for individual countries. The majority of responses were 'good' or 'poor' satisfaction. This lack of variability complicates the interpretation of survey results.

16. Among components, the highest level of satisfaction was with understanding the objectives of CCM meetings, and comfort presenting constituency opinions in CCM meetings (average scores 1.6-1.7). The least satisfaction was expressed with several other aspects of preparation of CCM meetings, with CCM processes and procedures (strategy and involvement in evaluation of CCM functioning) and with participation in implementation oversight (average scores 2.3-2.4).

17. By type of constituency, generally the public/government sector was most satisfied, and religious or faith-based organizations and NGOs/CBOs were least satisfied. Comparing among CCMs/countries, Armenia, Azerbaijan, Bulgaria, Eritrea and Kosovo were most satisfied with average scores placing them in the high satisfaction to good range overall. Among countries least satisfied with the CCMs were the Central African Republic, Chad, Guatemala, Kazakhstan, Niger, Pakistan, Serbia and Montenegro and Sri Lanka least with scores averaging around "poor"<sup>4</sup>.

#### **Part 4: Response of CCMs to the Performance Checklist and issuance of *Revised Guidelines***

1. The CCM assessment largely provides a "snapshot" of CCM status prior to the receipt of the *Revised Guidelines*. It is important to note that on receipt of the Performance Checklist and of the *Revised Guidelines*, many CCMs immediately initiated procedures to comply with the recommendations and requirements. By comparing the written responses submitted by CCMs in the assessment study with that information submitted subsequently for the Round 5 proposal process, a picture emerges of how CCMs responded to gaps identified in the assessment.

2. Selected examples are reported here simply to highlight apparent changes in CCM procedures and practices. More rigorous comparison of change over time will only become available with repeat rounds of the CCM assessment study.

3. In comparing information from the assessment study and that submitted as part of the Round 5 proposal process, it is observed that Country Coordinating Mechanisms including, as a partial list, those in the Philippines, El Salvador, Ghana, Chad and Madagascar rapidly developed a documented, transparent process to select CCM members representing non governmental sectors from their own constituencies.

- As a specific example, the CCM assessment submitted by the Philippines in early May reported no documented, transparent process for CCM members representing

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<sup>4</sup> These CCMs/countries were grouped according to satisfaction scores averaged across constituencies. Countries described here as "most satisfied" had average scores less than or equal to 1.5. Countries/CCM classified as "least satisfied" had average scores great than or equal to 2.5

non governmental sectors to be selected by their own constituencies. By early June, the CCM had initiated a process through an initial call for nominations at the 1<sup>st</sup> Forum of the Philippine Partnership to Fight TB, Malaria and AIDS. After a screening process managed by the CCM screening committee, nominees were selected by the appropriate sector and partners in the CCM through a normal democratic process.

- Ghana's CCM assessment submitted in April also reported a lack of documented, transparent process for selection of non governmental sector CCM members by their own constituencies. Assessment materials did note, however that advertisements were planned. The adverts were subsequently placed in two national newspapers – the Daily Graphic and the Ghanaian Times in late April, inviting relevant sectors to elect representatives and named alternates to the CCM. The selection for non-governmental sectors followed a process organized by the sectors themselves, with supervision from the CCM secretariat. The reconstituted CCM held its first meeting on in May at which members were democratically elected in accordance with the Ghana CCM bylaws.
- In El Salvador, the CCM assessment submitted in May also reported no documented, transparent process for CCM members representing non governmental sectors to be selected by their own constituencies. In June 2005, the CCM prepared to widely publicize its announcement for all sectors, including the incorporation of private enterprise in the committee, and the organization of meetings for each sector.

4. Evidence is also available that shows that CCMs moved to put in place transparent, documented processes to solicit and review submissions for possible integration into the proposal; and to ensure the input of a broad range of stakeholders, including CCM members and non-members, in the proposal development and grant oversight process.

- The CCM assessment submitted by Serbia and Montenegro in early May found that no documented, transparent process was in place to solicit and review submissions for possible inclusion in the proposal. However, the Ministry of Health, acting as secretariat to the CCM, subsequently 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 session to review all submitted proposals. The drafting team included representatives of various institutions, NGOs and PLWHA, whose comments and opinions guided the preparation of the proposal.
- In Pakistan, the CCM put into place a documented, transparent process to ensure the input of a broad range of stakeholders in proposal development. Although the CCM assessment submitted in mid-April reported a lack of such a documented, transparent process, the CCM subsequently advertised 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.

5. Finally, comparison of information from the assessment study with that submitted through the Round 5 proposal processes also points to cases where CCMs put in place transparent, documented processes to nominate the Principal Recipient(s) and oversee program implementation.

- Lesotho introduced new processes for the nomination of the Principal Recipient after its CCM assessment submitted in mid-April indicated no documented, transparent process was in place for this purpose. A CCM task team for PR selection was established to develop and recommend criteria for PR approval. At a meeting held in mid-May, the CCM approved the recommended criteria to guide PR nomination and took a decision on the PR.
- The Pakistan CCM also moved to satisfy eligibility requirements to establish a documented, transparent process for nomination of the Principal Recipient. Subsequent to the CCM assessment submitted in mid-April, the CCM invited its members and other participating organizations to submit proposals for taking up the PR role for the various disease components. The CCM then met to review and assess all 8 proposals received, according to their organizational capacity and technical, financial, management and procurement expertise. Based on this assessment, the CCM selected Principal Recipients for the three disease components, including both governmental and non-governmental agencies among them.

## **Part 5: Recommendations and Required follow-up actions**

1. In its September 2005 meeting, the Technical Evaluation Reference Group reviewed the tools and findings of the CCM assessment and confirmed their importance as self assessment and management tools. The TERG further noted the importance of engaging in a dialogue among CCM members with the aim of identifying areas for improvement and needs for technical support.

2. Based on the development, conduct and analysis of the CCM assessment, the TERG made note of several pertinent issues and makes the following general recommendations:

- Avoid equating CCM performance solely to compliance with grant eligibility requirements but rather reflect the wider range of recommendations on their purpose, composition and structure. In discussing the results of the CCM assessment, the TERG urged that CCM performance not be construed too narrowly. In particular, the point was taken that judgments of CCM performance should include how CCMs put into effect the full range of recommendations approved by the Global Fund Board and not only the five eligibility requirements. Specific issues raised by the TERG in this discussion included the effective inclusion and participation of civil society representatives and the quality of program oversight.
- CCM require further guidance to meet Board-approved requirements and recommendations. Based on the CCM assessment results, it is apparent that CCMs would benefit from more detailed information on how to put into effect required

elements of their performance. A notable finding of the assessment study was that only 52% of CCMs had written terms of reference. Guidance can be drawn from existing materials developed within CCM themselves and shared with others as examples of “best practices”. The TERG notes several areas in particular that would benefit from guidance generated from CCM experience: the selection/election of CCM members representing the non-governmental sector(s) based on a documented, transparent process; and the establishment of transparent, documented processes to oversee program implementation.

- Mandate for reporting on CCM eligibility requirements. As reported here, the response rate achieved for the Performance Checklist portion of the CCM assessment was 78% (83 CCMs out of a total 107 contacted). The TERG discussed the issue of non-response and potential bias that might be introduced into the findings. The TERG also noted that some countries failed to respond despite the presence of a local consultant to support the process and repeated requests from the Global Fund Secretariat. The TERG recommends that CCMs have a clear obligation to assess and report on performance in a regular and systematic manner.

3. In addition to general recommendations, the TERG proposed means through which the CCM assessment could be routinely conducted to strengthen performance. The original intent of the CCM checklist was to support CCM management through regular self assessments as well as external audits<sup>5</sup>. The follow-up actions identified below are organized accordingly.

- Regular CCM Self Assessment. The TERG recommends that the Global Fund Secretariat makes operational a system of regular self-assessment for Country Coordinating Mechanisms. Such a system would best be developed and maintained as part of grant management activities. CCMs assessment and reporting on composition, structure, procedures and compliance with eligibility requirements could be linked to grant signing and to the annual reviews which are an integral part of grant performance assessment particularly related to Phase 2 decision making process. Local Fund Agents could verify the self-assessment process and content as part of their regular transactions. Through conduct of these regular assessments, CCMs would identify weaknesses, take steps to improve and report progress to the Global Fund Secretariat as part of an on-going process.
- In-depth audits. The TERG recognized that the use of the Performance Checklist is best suited to assess compliance and to focus CCMs on areas needing attention. The Checklist is limited in its ability to provide meaningful description of how CCMs enact their principles, roles and responsibilities. To complement the CCM self-assessment, the TERG recommends that more in-depth audits be conducted on approximately 10% of CCMs each year. Audits would provide an opportunity to go beyond the checklist approach and examine CCM functioning with more qualitative means. The CCMs to be audited should be selected through a combination of purposive and random sampling. In carrying out these audits, the TERG proposed that a principle of peer review should be explored as a method for improving CCM performance.

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<sup>5</sup> GF/B9/7; Report of the Governance and Partnership Committee  
GF/B10/8, Annex 7; Report of the Monitoring, Evaluation, Finance and Audit Committee

- Means to examine constituency inclusion, participation and satisfaction. Upon review of the pilot test and again with final results, the TERG noted limitations in methods available to gauge constituent satisfaction. Therefore, the TERG does not recommend the regular, on-going use of the Constituency Satisfaction Survey component of the CCM assessment. The TERG discussed and recommends other mechanisms to gauge opinion on constituency inclusion, participation and satisfaction in CCM functioning. To this end, Terms of Reference are being developed which will rely on civil society networks to systematically canvass feedback and analyze civil society engagement with CCMs. This activity is aimed at assessing current status, identifying strengths and weaknesses and flagging cases that may require follow-up. The activity may well draw on peer review processes and will seek to include CCM members as well as civil society members not directly associated with the CCM including affected communities.
4. The TERG welcomes opportunities to discuss these and other aspects of measuring CCM composition and functioning and appropriate steps to improve performance at all levels.

**Annex A**  
**Technical Evaluation Reference Group: Membership List**

<b>BARR</b> David	Senior Philanthropic Advisor Tides Foundation, USA
<b>BERTOZZI</b> Stefano	Director of Health Economics & Policy Visiting Professor for Economics Research and Education (CIDE) Instituto Nacional de Salud Publica Mexico City
<b>BOERMA</b> Ties	Director Measurement and Health Information Systems World Health Organization
<b>UL HAQ</b> Bashir	Technical Director SoSec Consulting Services Islamabad, Pakistan
<b>KORTE</b> Rolf	Chair TERG Institute of Hygiene, Faculty of Medicine Justus-Liebig-University Giessen, Germany
<b>LEKE</b> Rose	Vice-Chair TERG Professor Faculty of Medicine and Biomedical Sciences, University of Yaounde 1
<b>ETSUKO</b> Kita	President The Japanese Red Cross Kyushu International College of Nursing Japan
<b>PESCHI</b> Loretta	Senior Consultant INTERSOS for Monitoring and Evaluation, Co-ordinator of the Italian NGOs Network for the Global Action against AIDS Italy
<b>MASSIAH</b> Ernest	Senior Social Development Specialist Inter. American Development Bank
<b>Ex officio Members</b>	
<b>BROEKMANS</b> Jaap F.	Executive Director KNCV Tuberculosis Foundation Royal Netherlands TB Association
<b>DE LAY</b> Paul	Director, Monitoring and Evaluation UNAIDS
<b>NAHLEN</b> Bernard	Chair Person Monitoring and Evaluation Reference Group Roll Back Malaria Partnership
<b>PEDRAZA</b> Jairo	Vice Chair Policy and Strategy Committee

## ANNEX B

### CCM Performance Checklist (part “A”)

Note: The questions related to the five eligibility requirements established by Global Fund are highlighted in **bold** within the survey instrument.

<b>CCM Performance Checklist</b>				
<p>Please fill out all sections of the chart below. List the names, titles, organizations and constituencies of each CCM member who responds to the attached CCM Performance Checklist. If a respondent requests anonymity, please note this below. In the last column, place a checkmark to confirm that the respondent is a CCM member, and in the next to last column please note the constituency this person represents IF this is agreeable to the respondent (only).</p>				
Name	Title	Organization Represented	Constituency	CCM Member
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				
16.				
17.				
18.				
19.				

20.
21.
22.
23.
24.

**CCM Performance Checklist**

**Instructions:** The CCM Performance Checklist is a document-verified survey. Each "yes" response must be accompanied by the name/title of the document that can be consulted to verify the response. Possible types of documents and suggested data sources for verifying each response are indicated at the beginning of each of the three major sections (I. Composition and Representation, II. Participation and Communication, and III. Governance and Management). Please record the actual data source used for each response. Every effort should be made to ensure the confidentiality and/or anonymity of these responses.

The questions that are in **bold** correspond to the 5 Global Fund Eligibility Requirements (see Users' Guide)

Please note – the checklist makes many references to the word "constituencies," which also means "external stakeholders" or "sectors."

**Describe the CCM self assessment process used in your country.**

## CCM Performance Checklist

### I. Composition and Representation

**Suggested data sources/documents:**

- CCM Constitution or Terms of Reference
- Procedures manual for the CCM
- Reports and communiques from sub-national CCMs or state/province-level committees
- Link to web posting of non-government CCM members and the processes by which they were selected by each sector
- Any other documentation processes
- Membership List (detailed by member's name, organization, sector)
- Minutes of CCM meetings (attendance lists)
- Voting records (showing names of members voting)
- Signatures on dated proposals submitted to GF
- Link to web posting of CCM membership list
- Any other documented processes for publicly sharing CCM membership of people living with and/or affected by HIV/AIDS, TB, and/or malaria

	Answer	Document Name
<b>1. Are all constituencies represented in the CCM?</b>		
a. Are Academic/Educational Sectors represented in the CCM? Comment:	Yes/No	
b. Is Government represented in the CCM? Comment:	Yes/No	
c. Are NGOs/Community-Based Organizations represented in the CCM? Comment:	Yes/No	
<b>d. Are People living with and/or affected by HIV/AIDS, TB and/or Malaria represented in the CCM?</b> Comment:	<b>Yes/No</b>	
e. Is the Private Sector represented in the CCM? Comment:	Yes/No	
f. Are Religious/Faith-Based Organizations represented in the CCM? Comment:	Yes/No	
g. Are Multilateral and Bilateral Development Partners in-country represented in the CCM? Comment:	Yes/No	
<b>Attach list of members (including constituency)</b>		
<b>2. If "no" (to any of the above), what is planned to address this situation?</b>		

I. Composition and Representation (continued)	Answer Proportion (%)	Document Name
3. What proportion of CCM members are women? Comment:	Proportion (%)	
4. What proportion of CCM members represents the non-government sector? Comment:		
5. Are CCM members representing (the following) non-government sectors selected by their own constituencies following a documented transparent process (please attach)?		
a. Are CCM members representing the Academic/Educational sector selected by their own constituencies following a documented transparent process? Comment:	Yes/No	
b. Are CCM members representing NGOs/Community-Based Organizations selected by their own constituencies following a documented transparent process? Comment:	Yes/No	
c. Are CCM members representing People living with and/or affected by HIV/AIDS, TB and/or Malaria selected by their own constituencies following a documented transparent process? Comment:	Yes/No	
d. Are CCM members representing the Private Sector selected by their own constituencies following a documented transparent process? Comment:	Yes/No	
e. Are CCM members representing Religious/Faith-Based Organizations selected by their own constituencies following a documented transparent process? Comment:	Yes/No	

**6. If "no" (to any of the above), are there plans to change the selection process?**

**I. Composition and Representation (continued)**

**Answer**

**Document Name**

7. Does the CCM include representation from states/provinces/districts?

Yes/No

8. If "yes", attach list:

9. If "no", what is planned to address this situation?

10. Has a list of CCM members been

a. made public in country?

Yes/No

b. submitted to the Global Fund Secretariat?

Yes/No

11. If "no" (to either of the above), what will be done to address this situation?

12. Are constituencies represented at the highest level of each constituency?

a. Is the Academic/Educational Sector represented at the highest level?

Yes/No

Comment:

b. Is the Government represented at the highest level?

Yes/No

Comment:

c. Are NGOs/Community-Based Organizations represented at the highest level?

Yes/No

Comment:

d. Are People living with and/or affected by HIV/AIDS, TB and/or Malaria represented at the highest level?

Yes/No

Comment:

e. Is the Private Sector represented at the highest level?

Yes/No

Comment:		
f. Are Religious/Faith-Based Organizations represented at the highest level?	Yes/No	
Comment:		
g. Are the Multilateral and Bilateral Development Partners in-country represented at the highest level?	Yes/No	
Comment:		
<b>I. Composition and Representation (continued)</b>	<b>Answer</b>	<b>Document Name</b>
13. If "no" (to any of the above), what will be done to address this situation?		
14. Have senior officers regularly attended CCM meetings over the last 12 months? (more than half of all meetings)		
a. Have senior officers from the Academic/Educational Sector regularly attended CCM meetings over the last 12 months?	Yes/No	
Comment:		
b. Have senior officers from the Government regularly attended CCM meetings over the last 12 months?	Yes/No	
Comment:		
c. Have senior officers from NGOs/Community-Based Organizations regularly attended CCM meetings over the last 12 months?	Yes/No	
Comment:		
d. Have senior members of People living with and/or affected by HIV/AIDS, TB and/or Malaria regularly attended CCM meetings over the last 12 months?	Yes/No	
Comment:		
e. Have senior officers from the Private Sector regularly attended CCM meetings over the last 12 months?	Yes/No	
Comment:		
f. Have senior officers/members from Religious/Faith-Based Organizations regularly attended CCM meetings over the last 12 months?	Yes/No	
Comment:		
g. Have senior officers from the Multilateral and Bilateral Development Partners in-country regularly attended CCM meetings over the last 12 months?	Yes/No	

Comment:

15. If "no" (to any of the above), what will be done to address this situation?

## II. Participation and Communication

**Suggested data sources/documents:** CCM records, including meeting minutes, member lists, and other paper documents

	<b>Answer</b>	<b>Document Name</b>
16. Does the CCM have regular meetings?	Yes/No	
If "yes", please tick appropriate box:		
<input type="checkbox"/> Once per year	<input type="checkbox"/>	
<input type="checkbox"/> Up to twice per year	<input type="checkbox"/>	
<input type="checkbox"/> Up to four times per year	<input type="checkbox"/>	
<input type="checkbox"/> More than four times per year	<input type="checkbox"/>	

Comment:

17. If "no", what is planned to address this situation?

18. Do all the CCM members have access to key documents?	Yes/No
If "yes", please tick appropriate box(es):	
<input type="checkbox"/> Minutes	<input type="checkbox"/>
<input type="checkbox"/> Principal Recipient disbursement reports	<input type="checkbox"/>
<input type="checkbox"/> Local Funding Agent reviews	<input type="checkbox"/>
<input type="checkbox"/> Disbursement decisions	<input type="checkbox"/>

19. If "yes", how is this assured?

20. If "no", what is planned to address this situation?

21. Can all the constituencies in the CCM document a consultation process with their members?

a. Can the Academic/Educational Sector document a consultation process with their members? Yes/No

Comment:

b. Can the NGOs/Community-Based Organizations (represented on the CCM) document a consultation process with their members? Yes/No

Comment:

c. Can People living with and/or affected by HIV/AIDS, TB and/or Malaria (who are members of the CCM) document a consultation process with their members? Yes/No

Comment:

d. Can the Private Sector document a consultation process with their members? Yes/No

Comment:

**II. Participation and Communication (continued)**      **Answer**      **Document Name**

e. Can the Religious/Faith-Based Organizations document a consultation process with their members? Yes/No

Comment:

22. If "yes" (to any of the above questions a-e), how is it assessed and documented?

23. If "no" (to any of the above questions a-e), what is planned to address this situation?

24. Is relevant information related to the Global Fund made available to all interested parties in the country?

a. Are calls for proposals made available to all interested parties in the country? Yes/No

b. Are decisions taken by the CCM made available to all interested parties in the country? Yes/No

c. Is information on approved proposals made available to all interested parties in the country? Yes/No

25. If "yes", how is information made available?

26. If "no", what is planned to address this situation?

### III. Governance and Management

**Suggested data sources/documents:**

- Minutes of CCM meetings (records of decisions taken regarding accepted/rejected proposals, documentation of stakeholders' input and participation, discussions about and votes on conflict of interest policy or plan and discussions about applications of the conflict of interest policy or plan to address situations of perceived conflicts of interest)
- Minutes of CCM Secretariat meetings (records of decisions about PR nominations, results of votes, definitions of what constitutes a quorum for selection of the PR, periodic financial and program status reports and/or budget reviews of PRs and sub-recipients, approvals, and voting)
- Minutes of meetings of technical panels that evaluate proposals
- Terms of Reference for CCM, TOR for CCM Chair/Permanent Secretary, TOR for CCM Secretariat
- Terms of Reference and/or CCM Constitution with conflict of interest amendments
- CCM Procedures Manual
- Proposals to the GF that describe how the CCM will oversee the PR(s) implementation responsibilities and how the CCM will be involved in planning and decisions during implementation
- Archive of submitted proposals (tracking sheets, written records evaluating the potential proposals)
- Link to web posting of proposal announcements, decision awards, minutes, CCM Constitution, etc.
- Written criteria for nomination/selection of the Principal Recipient
- CCM workplan describing process for overseeing program implementation
- Written conflict of interest policy and conflict of interest plan
- Newspaper or email announcements (with distribution lists) inviting stakeholders to participate
- Any other documented mechanisms for making the proposal process public (websites, newsletters, etc.)

**Answer                      Document Name**

**27. Are the Chair and Vice-Chair from different constituencies?**

**Yes/No**

**Comment:**

**28. If "no", what is planned to address this situation?**

**29. Is the Principal Recipient (PR) from the same entity/group as the Chair or Vice-Chair?**

**Yes/No**

**Comment:**

**30. If yes, is there a written plan to mitigate against inherent conflict of interest (please attach)?**

**Yes/No**

Comment:

31. Is the CCM secretariat supported by designated staff? Yes/No  
Comment:

32. If "yes", please explain how.

### III. Governance and Management (continued)

Answer

Document Name

33. If "no", what is planned to address this situation?

34. Does the CCM have written TOR (terms of reference)/  
bylaws/ operating procedures? Yes/No

If yes, do they include (please tick and attach)

- |  |                          |
|--|--------------------------|
| <input type="checkbox"/> procedure for selection of Chair/Vice-chair,  | <input type="checkbox"/> |
| <input type="checkbox"/> mechanism for decision making,  | <input type="checkbox"/> |
| <input type="checkbox"/> defined roles and responsibilities vis-à-vis other<br>relevant coordinating bodies, | <input type="checkbox"/> |
| <input type="checkbox"/> conflict of interest policy,  | <input type="checkbox"/> |
| <input type="checkbox"/> equal voting rights of all members/constituencies,                                  | <input type="checkbox"/> |
| <input type="checkbox"/> guidelines for ethical behavior   | <input type="checkbox"/> |

Comment:

35. If "no", what is planned to address this situation?

**36. Does the CCM have a documented transparent  
process to (please attach):**

- |  |               |
|--|---------------|
| <b>a. solicit and review submissions for possible<br/>integration into the proposal,</b> | <b>Yes/No</b> |
| <b>b. nominate the Principal Recipient</b>   | <b>Yes/No</b> |
| <b>c. oversee program implementation</b>   | <b>Yes/No</b> |

37. If "no", what is planned to address this situation?

**III. Governance and Management (continued)**

**Answer**

**Document Name**

38. Does the CCM have a documented transparent process to ensure the input of a broad range of stakeholders (please attach):

a. in the proposal development, including

- CCM members

Yes/No

- Non-CCM members

Yes/No

b. in the oversight process, including

- CCM members

Yes/No

- Non-CCM members

Yes/No

39. If "no", what is planned to address this situation?

40. Does the CCM have a written conflict of interest policy?

Yes/No

41. If "yes", please attach:

42. If "no", what is planned to address this situation?

## ANNEX C

### CCM Assessment “Part B” Constituency Satisfaction

<b>Part B: CCM Process Self-Assessment Tool</b>		
<p><b>Please indicate which Constituency or Sector you represent on the Global Fund Country Coordinating Mechanism (CCM):</b></p>		
<p style="text-align: center;"> <input type="checkbox"/> Public/Government Sector  <input type="checkbox"/> Private Sector/business  <input type="checkbox"/> Non-government/Community-based groups or organizations (NGOs/CBOs)  <input type="checkbox"/> People living with or affected by HIV, TB and/or Malaria  <input type="checkbox"/> Religious or faith-based groups or organizations (FBOs)  <input type="checkbox"/> Multi-lateral or bi-lateral development partners in-country  <input type="checkbox"/> Academic/Education Sector  <input type="checkbox"/> Other (please state): _____                 </p>		
<i><b>Please circle a number for each question below</b></i>		
<b>Key:</b>	<u><b>High (1)</b></u>	<u><b>Good (2)</b></u> <u><b>Poor (3)</b></u> <u><b>Not at all/inadequate (4)</b></u>
	Answer	Comments
<b>Preparing for CCM discussion and decisions</b>		
1. How involved is your constituency in preparing for the CCM meetings?	1      2      3      4	
a. You are able to develop and discuss the agenda with other CCM members prior to the meetings	1      2      3      4	

b. You receive advance notification of the CCM meeting time, location, agenda and meeting goals/objectives	1	2	3	4	
	<b>Answer</b>				<b>Comments</b>
c. Materials are given to you (the CCM member and constituency representative) with sufficient time to read and share with other constituency members before the CCM meetings	1	2	3	4	
d. You are able to review relevant information and materials in advance of the CCM meetings	1	2	3	4	
e. You spend adequate time consulting others in your constituency in preparation for CCM meetings	1	2	3	4	
f. You understand the objectives of the CCM meeting	1	2	3	4	
g. Members of the constituency that you represent understand the objectives of the CCM meeting	1	2	3	4	
<b>CCM processes and procedures</b>					

2. What is your level of satisfaction with the operating procedures and decision making processes of the CCM?	1	2	3	4	
3. What is your level of satisfaction with the processes to address conflict of interest?	1	2	3	4	
	<b>Answer</b>				<b>Comments</b>
4. What is your level of satisfaction with the strategy, regular system and/or methods used to evaluate how the CCM functions ?	1	2	3	4	
5. What is your level of satisfaction with your constituency's involvement in evaluating the CCM's functioning ?	1	2	3	4	
<b>During CCM deliberations</b>					
6. How comfortable do you feel to speak and present your constituency's opinions in the CCM meeting?	1	2	3	4	
7. How satisfied are you that all CCM members have equal voice, valued opinions and involvement with the decision-making process?	1	2	3	4	
8. What level of involvement does your constituency have in the decision-making process?	1	2	3	4	

a) in reaching group consensus?	1	2	3	4	
b) in voting?	1	2	3	4	
	<b>Answer</b>				<b>Comments</b>
c) during other methods of decision-making?	1	2	3	4	
9. Are you satisfied with the degree to which your constituency's involvement is valued in the CCM process ?	1	2	3	4	
10. Are you satisfied with the degree to which your constituency's involvement is equal to that of others in the CCM discussion ?	1	2	3	4	
<b>Actions following the CCM meetings</b>					
11. Are you satisfied with the formal documentation available to inform your constituency of decisions and outcomes after the CCM meeting ?	1	2	3	4	
12. Are you satisfied with your ability to inform your constituency about the outcomes of the CCM meetings ?	1	2	3	4	

13. What level of interest do you perceive within your constituency about CCM activities ?	1      2      3      4	
14. What level of participation does your constituency have in the development of the CCM proposal to the Global Fund?	1      2      3      4	
	<b>Answer</b>	<b>Comments</b>
15. At what level does your CCM constituency participate in implementation oversight?	1      2      3      4	
16. How is participation within the CCM assessed and documented?		
17. Are there plans or strategies to improve participation within the CCM?		
If yes, please explain below:		
18. In your opinion, does the CCM composition satisfactorily represent all the entities (public and private, governmental and non-governmental) that are actively involved in the fight against the three diseases in your country ?	1      2      3      4	
19. Any other comments concerning your constituency's level of satisfaction with the CCM processes:		
<b>Thank you!</b>		

## Annex D

### Assessment of Country Coordinating Mechanisms: Responses by region

Country	Type of assessment	Performance checklist	Constituency Satisfaction Survey <sup>6</sup>
<b>East Asia and Pacific</b>			
Cambodia	Pilot	Complete	NA
China	Consultant-facilitated	Complete	Not complete
East Timor	Self-directed	Not complete	Not complete
Indonesia	Consultant-facilitated	Complete	Complete
Lao PDR	Consultant-facilitated	Complete	Complete
Mongolia	Consultant-facilitated	Complete	Complete
Myanmar	Consultant-facilitated	Complete	Complete
Papua New Guinea	Self-directed	Not complete	Not complete
Philippines	Consultant-facilitated	Complete	Complete
Regional Pacific Islands	Self-directed	Not complete	Not complete
Thailand	Self-directed	Complete	Complete
Vietnam	Consultant-facilitated	Complete	Complete
<b>Eastern Europe and Central Asia</b>			
Armenia	Self-directed	Complete	Complete
Azerbaijan	Consultant-facilitated	Complete	Complete
Belarus	Consultant-facilitated	Complete	Complete
Bulgaria	Consultant-facilitated	Complete	Complete
Croatia	Self-directed	Not complete	Not complete
Estonia	Consultant-facilitated	Complete	Complete
Georgia	Consultant-facilitated	Complete	Not complete
Kazakhstan	Consultant-facilitated	Complete	Complete

<sup>6</sup> In five countries (Cambodia, Haiti, Honduras, Russia and Rwanda), the CCM assessment was pilot-tested. In the pilot version, there was no Constituency Satisfaction Survey.

Country	Type of assessment	Performance checklist	Constituency Satisfaction Survey <sup>6</sup>
Kosovo	Consultant-facilitated	Complete	Complete
Kyrgyzstan	Consultant-facilitated	Complete	Complete
Macedonia, FYR	Consultant-facilitated	Complete	Complete
Moldova	Self-directed	Complete	Complete
Romania	Self-directed	Complete	Complete
Russia	Pilot	Complete	NA
Serbia and Montenegro	Consultant-facilitated	Complete	Complete
Tajikistan	Consultant-facilitated	Complete	Complete
Turkey	Self-directed	Not complete	Not complete
Ukraine	Consultant-facilitated	Complete	Complete
Uzbekistan	Consultant-facilitated	Complete	Complete
<b>Latin America and the Caribbean</b>			
Argentina	Consultant-facilitated	Complete	Complete
Belize	Consultant-facilitated	Complete	Complete
Bolivia	Consultant-facilitated	Complete	Complete
Chile	Consultant-facilitated	Complete	Complete
Colombia	Consultant-facilitated	Complete	Complete
Costa Rica	Consultant-facilitated	Complete	Complete
Cuba	Consultant-facilitated	Not complete	Not complete
Dominican Republic	Consultant-facilitated	Complete	Complete
Ecuador	Consultant-facilitated	Complete	Not complete
El Salvador	Consultant-facilitated	Complete	Complete
Guatemala	Consultant-facilitated	Complete	Complete
Guyana	Consultant-facilitated	Complete	Complete
Haiti	Consultant-facilitated	Complete	NA
Honduras	Consultant-facilitated	Complete	NA
Jamaica	Consultant-facilitated	Complete	Complete

Country	Type of assessment	Performance checklist	Constituency Satisfaction Survey <sup>6</sup>
Nicaragua	Consultant-facilitated	Complete	Complete
Panama	Consultant-facilitated	Complete	Complete
Paraguay	Consultant-facilitated	Complete	Complete
Peru	Self-directed	Complete	Complete
Suriname	Consultant-facilitated	Complete	Complete
<b>Middle East and North Africa</b>			
Algeria	Self-directed	Not complete	Not complete
Chad	Consultant-facilitated	Complete	Complete
Djibouti	Self-directed	Not complete	Not complete
Egypt	Consultant-facilitated	Complete	Complete
Jordan	Self-directed	Complete	Complete
Morocco	Consultant-facilitated	Not complete	Not complete
Mauritania	Self-directed	Not complete	Not complete
Niger	Consultant-facilitated	Complete	Complete
Sudan, North	Self-directed	Complete	Complete
Sudan, South	Self-directed	Not complete	Not complete
Yemen	Self-directed	Not complete	Not complete
<b>South Asia</b>			
Bangladesh	Consultant-facilitated	Complete	Complete
Bhutan	Self-directed	Not complete	Not complete
India	Consultant-facilitated	Complete	Complete
Iran	Consultant-facilitated	Complete	Complete
Nepal	Consultant-facilitated	Not complete	Not complete
Pakistan	Consultant-facilitated	Complete	Complete
Sri Lanka	Consultant-facilitated	Complete	Complete
<b>West and Central Africa</b>			
Benin	Consultant-facilitated	Complete	Complete

Country	Type of assessment	Performance checklist	Constituency Satisfaction Survey <sup>6</sup>
Burkina Faso	Consultant-facilitated	Complete	Complete
Cameroon	Consultant-facilitated	Complete	Complete
Central African Republic	Consultant-facilitated	Complete	Complete
Congo, Democratic Republic	Self-directed	Complete	Complete
Cote d'Ivoire	Consultant-facilitated	Complete	Complete
Equatorial Guinea	Self-directed	Not complete	Not complete
Gabon	Self-directed	Not complete	Not complete
Gambia, The	Consultant-facilitated	Complete	Complete
Ghana	Consultant-facilitated	Complete	Complete
Guinea	Consultant-facilitated	Complete	Complete
Guinea-Bissau	Self-directed	Not complete	Not complete
Liberia	Self-directed	Not complete	Not complete
Mali	Consultant-facilitated	Complete	Complete
Nigeria	Consultant-facilitated	Complete	Complete
Sao Tome & Principe	Self-directed	Complete	Complete
Senegal	Consultant-facilitated	Complete	Complete
Sierra Leone	Self-directed	Not complete	Not complete
Togo	Consultant-facilitated	Complete	Complete e
<b>East Africa and Indian Ocean</b>			
Burundi	Consultant-facilitated	Complete	Complete
Comoros	Self-directed	Complete	Complete
Eritrea	Self-directed	Complete	Complete
Ethiopia	Consultant-facilitated	Complete	Complete
Kenya	Consultant-facilitated	Complete	Complete
Madagascar	Consultant-facilitated	Complete	Complete
Rwanda	Pilot	Complete	NA

Country	Type of assessment	Performance checklist	Constituency Satisfaction Survey <sup>6</sup>
Tanzania <sup>7</sup>	Consultant-facilitated	Not complete	Not complete
Uganda	Consultant-facilitated	Complete	Complete
<b>Southern Africa</b>			
Angola	Self-directed	Not complete	Not complete
Botswana	Consultant-facilitated	Complete	Complete
Lesotho	Consultant-facilitated	Complete	Complete
Malawi	Consultant-facilitated	Complete	Complete
Mozambique	Consultant-facilitated	Not complete	Not complete
Namibia	Consultant-facilitated	Complete	Complete
South Africa	Consultant-facilitated	Not complete	Not complete
Swaziland	Consultant-facilitated	Not complete	Not complete
Zambia	Consultant-facilitated	Complete	Not complete
Zimbabwe	Consultant-facilitated	Complete	Complete

Type of assessment	Performance checklist	Constituency Satisfaction Survey
All Types	Complete: 83 Not complete : 24 <b>Response Rate: 78 %</b>	Complete: 74 Not complete: 28 <b>Response Rate: 73 %</b>
Consultant-facilitated	Complete: 72 Not complete: 7 <b>Response Rate: 91%</b>	Complete: 63 Not complete: 11 <b>Response Rate: 85 %</b>
Self-directed	Complete: 11 Not complete: 17 <b>Response Rate: 39 %</b>	Complete: 11 Not complete: 17 <b>Response Rate: 39 %</b>

<sup>7</sup> Tanzania CCM did participate in the assessment, however results were not compiled and submitted for analysis.