Generic Terms of Reference to facilitate the ‘CCM Eligibility and Performance Assessment’ annually

2016
**Background**

There are six Eligibility Requirements (ERs) with which CCMs must comply in order to be eligible for funding. Eligibility Requirements embody good governance practices with which all CCMs must comply.

In July 2013, the SIIC approved the CCM Minimum Standards, which measures core functions of a CCM, and have become enforceable and compulsory for grant signing since January 2015.

A brief description of each of the six Eligibility Requirements is below, with more detail on each requirement and the Minimum Standards available in the CCM Guidelines and Requirements document.

1. **Eligibility Requirement 1:** Transparent and inclusive concept note development process
2. **Eligibility Requirement 2:** Open and transparent PR selection process
3. **Eligibility Requirement 3:** Oversight planning and implementation
4. **Eligibility Requirement 4:** CCM membership of affected communities, including and representing people living with diseases and of people from and representing Key Affected Populations
5. **Eligibility Requirement 5:** Processes for electing non-government CCM member
6. **Eligibility Requirement 6:** Management of conflict of interest on CCMs

**CCM Eligibility in the new funding model**

The process for reviewing the 6 CCM Eligibility Requirements has changed:

- **Requirements 1 and 2:** Requirements 1 and 2 are assessed at the time of Concept Note submission
- **Requirements 3 to 6:** Requirements 3, 4, 5 and 6 are assessed annually through the CCM Eligibility and Performance Assessment (EPA), with the support of a Technical Assistance (TA) provider.

**CCM Eligibility and Performance Assessment (EPA)**

As a Board-mandated exercise, the annual CCM Eligibility and Performance Assessment (EPA) is compulsory for all CCMs prior to the submission of a Concept Note (CN). The objective of this facilitated self-assessment is to evaluate CCM compliance with CCM Eligibility Requirements and Minimum Standards, in order to determine the level of functionality of the CCM.¹

The CCM EPA is to be completed via an online tool developed by the Global Fund Secretariat. The tool includes indicators directly linked to the CCM Eligibility Requirements and additional indicators linked to CCM minimum standards. A preview of these indicators (the “Performance Assessment Matrix”), to assist CCMs and TA providers in preparing for the EPA, is available as a download from the Global Fund website.

On the basis of the CCM evaluation findings, the TA provider and the CCM will work together to identify a milestone-driven improvement plan. The Global Fund Secretariat will follow up on the implementation of corrective actions as outlined in the proposed improvement plan.


² Minimum Standards are criteria that have become enforceable and compulsory for grant signing since January 2015.
Technical Assistance for CCM Eligibility and Performance Assessment

I. Objectives

To facilitate the CCM Eligibility and Performance Assessment (EPA), and provide necessary technical support to ensure that CCM(s) are fully compliant with Eligibility Requirements and Minimum Standards at the time of submission of the Concept Note, or have a clear corrective action plan to achieve compliance.

II. Scope of Work for TA Providers

The CCM EPA consists in the following steps:
1. Check previous results of the last EPA;
2. Validate all existent supporting documents for each indicator (desk review type), including gathering missing supportive documentation;
3. Stakeholders interviews to validate generate an additional evidence that will fine-tune development of the improvement plan;
4. Compare current results against the latest status of the improvement plan progress; and facilitate discussion about the gaps identified.
5. Support to the CCM in preparation of their new improvement plan.

Using the framework above, Technical Assistance will be divided in three phases:

- Phase I
The CCM will self-evaluate their compliance; the role of the TA provider is to guide CCM in this process. The TA Provider will facilitate the EPA base in the latest results and level of advance in the implementation of their improvement plan, including the revision of all the indicators and documents that demonstrate compliance.

- Phase II
The TA Provider will carry out interviews with Bilateral, Multilateral, Private Sector, Civil Society and key Government stakeholders, to gain additional insight and evidence with regard to CCM performance and recurrent issues.

- Phase III
Based in the previous improvement plan, the CCM will develop and or update the improvement plan with corrective actions and associated timeline. The implementation of the improvement plan should enable CCM to meet the eligibility requirements and Minimum Standards. The TA provider is to assist the CCM in the preparation of its improvement plan.

Consultant shall not be held liable for CCM failure to improve its eligibility rating or CCM inability to demonstrate adherence to the improvement plan developed with joint participation of the Consultant and the CCM representatives. Consultant shall be held liable for maintaining high standards of service including best efforts while validating evidence of eligibility indicators provided by the CCM and while ensuring relevant stakeholder inclusiveness in improvement plan development.
### III. Main activities, results and level of effort for each assignment (indicative)

Ideal team composition is two consultants for assignment duration of two weeks - **20 LOE days, in total (10 days for each consultant)**.

It is expected that combined consultant expertise reflects the varying needs of the CCM. For e.g., a two-consultant team with proven expertise in both governance and strengthening key population engagement.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Main Activities</th>
<th>Intermediates</th>
<th>LOE (days)</th>
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</thead>
<tbody>
<tr>
<td>Prep.</td>
<td>Review of all relevant documentation on CCM structures and processes <em>(including previous EPA)</em> to support oversight and pre-identify any gaps.</td>
<td>4 days</td>
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<td></td>
<td>Teleconference with Global Fund Secretariat (FPM).</td>
<td>½ day</td>
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<tr>
<td>I</td>
<td>In-country briefing between the CCM members, the Secretariat and TA provider</td>
<td>Coordination of meeting and interviews scheduled</td>
<td>1 day</td>
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<td></td>
<td>Ensure information about the performance assessment process has been received, discussed and accepted by the CCM.</td>
<td>4 days</td>
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<tr>
<td></td>
<td>Validate all existent supporting documents for each indicator (desk review type), including gathering missing supportive documentation;</td>
<td>4 days</td>
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<td></td>
<td>Filling in of the CCM self-evaluation tool and discussion of the outcomes of the initial self-assessment (based on tool outputs and supporting documentation)</td>
<td>4 days</td>
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<td></td>
<td>Train the CCM secretariat in the use of the online tool for EPA and ensure the CCM is informed about the importance of updating their Improvement Plan status periodically -- especially during Concept Note submission, for Global Fund Secretariat verification.</td>
<td>6 days</td>
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<td>II</td>
<td>Carry out interviews with Bilateral, Multilateral, Private Sector, Civil Society and key government stakeholders, to get additional evidence about the CCM performance</td>
<td>4 days</td>
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<td></td>
<td>Analyse and document any mismatch between the findings of phase I assessment and feedback received from the stakeholders interviews</td>
<td>Aggregated results entered into the Global Fund system</td>
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<td>III</td>
<td>TA provider meet with the CCM to analyse diagnostic results (phases I &amp; II) and ask for clarifications (and or missing documentation). TA provider assist the CCM to develop the new corrective action plan or update the previous one</td>
<td>Concrete actions defined with CCM (with CCM leadership endorsement)</td>
<td>4 days</td>
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<td></td>
<td>Before leaving the country, the TA provider is responsible to save and submit on line to the Global Fund the most updated version (preferably with the CCM endorsement for the improvement plan)</td>
<td>EPA online tool successfully submitted to the Global Fund</td>
<td>4 days</td>
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<tr>
<td>Follow up</td>
<td>Teleconference with Global Fund Secretariat (FPM). This can also happen during the mission (ie. before the CCM meeting to endorse the plan if clarifications/questions are expected).</td>
<td>½ day</td>
<td></td>
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</tbody>
</table>

**Total days** | **20 days** |
Additionally
Each TA assignment will include **5 days** for one Technical Manager [TM], **working remotely**, in order to guarantee the quality and integrity of the EPA process and that of all consultant deliverables related to the CCM EPA. This includes but is not limited to the responsibilities listed and detailed in annex, pre-, during and post- each EPA assignment as well as ongoing EPA-related IT support.

IV. **Deliverables for TA provider**

- Facilitated Self-assessment (including analysis of results with CCM, and documents verification) entered into the online tool
- Provision and validation of documents, duly organized, that demonstrate compliance with respective indicators for Eligibility Requirements and Minimum Standards
- Provision of additional evidence from non-CCM partners and key stakeholders regarding CCM performance, Eligibility Requirements and Minimum Standards (supported by documentation – additional documents)
- Submission of a Diagnostic Report (including self-assessment results, observations and summary of interviews)
- The proposed corrective action plan to improve the CCM performance, including follow up actions and next deliverables (subject to Global Fund Secretariat review and sign off)

V. **Required qualifications, expertise and competencies of Consultant(s)**

- All types of university degrees in public health, social sciences, international relations, management **OR** in other fields if combined with relevant experience.
- Demonstrated expertise and experience of consulting multi-stakeholder bodies in the areas of CSOs engagement, management, capacity development and/or rights advocacy of KP/PLWD groups.
- Demonstrated knowledge/understanding/experience of the Global Fund Grant Architecture and management process: NFM (The New Funding Model)
  - Roles of the Global Fund Board/Global Fund Secretariat/Technical Review Panel (TRP)/Office of the Inspector General (OIG), Local Fund Agent (LFA), Country Coordinating Mechanism (CCM), Principal Recipients (PRs), Sub-Recipients (SRs)
- Demonstrate having received training in the EPA methodology developed by The Global Fund
- Demonstrated knowledge/understanding/experience of CCM Governance related issues:
  - CCM Eligibility Requirements,
  - CCM Functions and responsibilities
  - CCM structure
  - CCM oversight function (process, activities, responsibilities, tools)
  - Conflict of interest in CCM and associated Global Fund policies
  - CCM Governance documents.
- Demonstrate having received training in the EPA methodology developed by The Global Fund
- Demonstrated experience in successful TA provision in the short and medium term.

- **Skills and competencies:**
  - Leadership; Integrated approach to consultancy; Strategic approach to consultancy; Qualitative data collection; Conduct of negotiations; Relationship management; Facilitation; Diplomacy; Cultural sensitivity; Ability to synthesise and summarize results; Ability to independently develop work-plans aimed at achieving specified impact and execute them with limited guidance and oversight; Teamwork and team building skills.
• The consultant(s) must be fluent in English and the official language of the country (if the official language of the country where services are offered is French, Spanish or Russian).
• The consultant must be able to travel and work in the country requiring technical support. Note: It is expected that combined consultant expertise reflects the varying needs of the CCM. For e.g., a two-consultant team with proven expertise in both governance and strengthening key population engagement.

VI. Mission Contacts

• *At the Global Fund*: Fund Portfolio Manager, Program Officer, and a member of the CCM Hub (on demand)

• *In-country*: The CCM Chair and Secretariat. Consultant to liaise with the CCM Chair and CCM Secretariat to agree on start date for the in-country visit.

VII. Reference Documents

Generic Documents
- [CCM Guidelines and Requirements](#)
- [CCM Funding Policy](#)
- [New funding model](#)

CCM-specific Documents
- CCM governance documents
- CCM funding guidelines and templates
- CCM’s Conflict of Interest Policy
- CCM’s Governance manuals /TOR/ by-laws/internal procedures/sub-working group/procedures/CCM minutes
ANNEX
Annex A: CCM EPA Team Leader and Team Member Roles and Responsibilities

Team Leader and Team Member responsibilities for the CCM EPA include, but are not limited to the following:

**Team Leader**
- Serve as Focal Point for pre-and post-briefing calls and updates during the EPA
- Lead on the planning of the assignment
- Lead on communicating with the CCM, the Global Fund and stakeholders
- Delegate tasks to the Team Member, including leadership on specific components
- Ensure that EPA outcomes are adequately reported on while in-country, on the extranet and through debriefings with the Global Fund Secretariat

**Team Member**
- Contribute to strategic thinking, analysis of findings and planning the way forward throughout the assignment
- Discuss and exchange views with the Team Leader, taking into consideration the higher degree of accountability of the Team Leader
- Execute tasks allocated by the Team Leader and reporting on their completion
- At the Team Leader’s request, take the lead on specific components
Annex B: CCM EPA Technical Manager: Description of Responsibilities

To enable CCMs to improve performance and be more actively engaged in their leadership capacity, beginning in 2014, all CCMs are required to complete an annual CCM Eligibility and Performance Assessment (EPAs) with support from a Technical Assistance provider, prior to the submission of a Concept Note (CN).

The objective of this self-assessment is to evaluate CCM compliance with CCM Eligibility Requirements (and Minimum Standards, as of January 2015) in order to determine the level of functionality of the CCM. As part of the EPA, each CCM evaluates itself on compliance with CCM Eligibility Requirements (ERs) 3 to 6 (ERs related to CCM functionality), as well as CCM Minimum Standards (enforceable since 2015).

The EPA methodology builds on the CCM Performance Indicators, which are designed to empower CCMs to self-identify barriers to performance improvement and areas in need of strengthened capacity and resource reallocation. The EPA is facilitated by a Technical Assistance (TA) provider and should produce a complete diagnostic, upon which the need for an improvement plan will be determined.

The function of the Technical Manager [TM] is to guarantee the quality and integrity of the EPA process and that of all consultant deliverables related to the CCM EPA. This includes but is not limited to the responsibilities listed below pre-, during and post- each EPA assignment as well as ongoing EPA-related IT support.

Pre-EPA Assignment
For each EPA, the TM should ensure that:
1. Consultant(s) selected have:
   - Relevant experience (regional/contextual)
   - Successfully completed the e-learning course in advance of the EPA training
   - Attended an Global Fund-supported, EPA-specific training on the EPA methodology
   - No Conflict of Interest (or potential for perceived conflict of interest) in terms of participating in an Global-Fund-related EPA assessment
   - No Conflict of Interest (or potential for perceived conflict of interest) in terms of existing relationships with any or all parties involved in the EPA process in the country of assignment
2. Consultant Teams are aware of their general roles and responsibilities as Team Leader and Team Member before their arrival in-country.
3. Mission logistics are prepared in advance of consultants’ arrival in-country per internal procedures.

The TM also:
4. Schedules and leads the initial teleconference/de-brief with Global Fund Secretariat (with CCM Hub and FPM, as well as a weekly call with the Consultant Team to ensure progress and support for the mission.

During the EPA Assignment
For each EPA, The TM should ensure that:
5. Consultant Teams can/are able to:
   a. Plan in advance (list of interviewees, background knowledge, familiarity with elements of the tool and the online platform, etc.) prior to arrival in-country, in order to use the in-country LOE days efficiently.
   b. Facilitate discussions about CCM composition analysis for each CCM under the socio-epidemiologic context (and ensure that the CCM secretariat is capable of updating the Contact Management system accordingly).
c. Position the EPA exercise to the CCM in a positive, productive and professional manner.
d. Abide by the Generic TORs for CCM EPAs (that may be customized for the assessment, depending on country context).
e. Ensure the Improvement Plan is developed in collaboration with the CCM, with guidance and facilitation by the consultants, in an open, participatory and inclusive manner, while maintaining the integrity of the EPA process.
f. Ensure the gaps as identified in the diagnostic (Pillars 1 and 2) are addressed in the Improvement Plan.
g. Ensure that any discrepancies between Pillars 1 and 2 are documented and brought to the Global Fund Secretariat (CCM Hub and FPM)’s attention during the post-EPA debrief call.
h. Provide guidance to the CCM in identifying the best TA sources to achieve milestone’s as set forth in the Improvement Plan.
i. Are able to review and prioritize Improvement Plan activities and associated deadlines to prioritize activities necessary to be compliant with Eligibility Requirements, over the activities necessary to comply with Minimum Standards (which are enforceable as of Jan 2015).
j. Ensure that the “Activities” column in the Improvement Plan are steps toward achieving compliance, that the CCM can provide monthly progress updates against (and that this information is not duplicated in “Comments”).
k. Ensure the Improvement Plan has been endorsed by all CCM members, using the correct template from the Contacts Management System.
l. Train CCM Secretariat and Executive Committee to update the Improvement Plan online with monthly progress updates, ensure they are aware that it is their (CCM) responsibility to update the progress of the Improvement Plan online.
m. Ensure that supporting documentation attached is correctly aligned with the respective Eligibility Requirements and Minimum Standards, prior to the final submission of the InfoPath online platform.
   ▪ This includes ensuring all necessary documents are uploaded prior to submission (i.e., no items that in red on the “Control Panel” tab of the EPA tool before submission)
n. Ensure Consultants are following the processes necessary to obtain endorsement of the CCM on the Improvement Plan.
o. Ensure that the EPA form is submitted to the Global Fund through the online system, prior to consultants’ departure from the country.
p. Are able to refer CCM/Secretariat to necessary supporting documentation on the Global Fund website.

For each EPA assignment, the TM:
1. Provides ongoing support to the team of consultants (serve as the primary point of contact to provide clarifications)
2. Accurately guides consultants in their discussions with CCMs regarding the inclusion of CCM targets for KAP composition
3. Ensures activities proposed in the Improvement Plan by CCM correspond to the gaps identified in the diagnostic (Pillars 1 and 2).
4. Ensures the integrity of the EPA process is maintained and reflected in the findings presented to the Global Fund – and that any discrepancies between Pillar 1 and Pillar 2 findings are documented and brought to the Global Fund Secretariat (CCM Hub and FPM)’s attention during the post-EPA debrief call.
5. Ensure that the Improvement Plan is endorsed by current CCM members and is uploaded in the online EPA before submission to the Global Fund.
6. Ensures Consultant Teams successfully submit the EPA results (including the Improvement Plan) in the InfoPath online platform prior to their departure from the country and prior to the post-assignment debriefing call with Global Fund Secretariat (CCM Hub and FPM).

7. Review documentation submitted by consultants is verified, attached to the form correctly (aligned with the ER and MS they are meant to support), and validate the information submitted by consultants, prior to the post-assignment debrief call with the Global Fund Secretariat (FPM and CCM Hub).

8. Ensure the gaps as identified in the diagnostic (Pillars 1 and 2) are addressed in the Improvement Plan and that any discrepancies between Pillars 1 and 2 of each EPA are documented and brought to the Global Fund Secretariat’s (CCM Hub and FPM)’s attention during the post-EPA debrief call.

**Post-EPA Assignment**
For each EPA assignment, the TM:

1. Schedules, organizes and leads a Post-assessment teleconference/de-brief among Consultant and Global Fund Secretariat (FPM and CCM Hub) no later than one week after the final submission. See Annex D for Agenda Items.

2. Prior to this post-EPA debrief with the Global Fund Secretariat, the TM must ensure they have:
   a. Reviewed and validated documentation submitted by consultants including verification and ensuring documentation is correctly aligned with the respective ER and MS
   b. Ensure the gaps as identified in the diagnostic (Pillars 1 and 2) are addressed in the Improvement Plan
   c. Ensure any discrepancies between Pillars 1 and 2 of each EPA are documented and brought to the Global Fund Secretariat’s (CCM Hub and FPM)’s attention the call.
   d. Ensure that all consultant deliverables for the EPA, and consultant conduct during the EPA, meet internal quality assurance standards (separate from the Global Fund Secretariat’s Quality Assurance Framework for EPA consultants)

3. Evaluates consultant(s) experience for each EPA and, share evaluation results with Global Fund Secretariat (CCM Hub).

4. In the event of mission interruption, follows up on EPA status
   a. Provide recommendations on finalizing the process (including the endorsement of the CCM members on the Improvement Plan)

5. Follows up on consultant requests in cases where action is needed from the Global Fund Secretariat (FPM and/or CCM Hub) to close the process.

**EPA-related IT Support**
For each EPA Assignment, the TM:

1. Keeps track of EPA Assignment Links and re-sends to the consultants as needed.

2. Shares Excel templates of the EPA Matrix, Questionnaire, and Improvement Plan with the consultants as needed.

3. Ensures the consultants are aware of the EPA-IT-related FAQ document provided by the Global Fund Secretariat CCM Hub.

4. Records and resolves basic system related issues, including but not limited to:
   i. Installing the software,
   ii. Ensuring consultants know how to use both offline and online versions of the EPA tool
   iii. Uploading documents in the online EPA form
   iv. Ensuring consultants are aware of the “Documents Library” option to upload bigger file sizes
v. Uploading documents into the in the Documents Library and linking to the form
vi. Reducing the size of big files,
vii. Troubleshooting of basic problems already described in the user’s IT manual/FAQ provided by the Global Fund Secretariat

Annex C: EPA Mission Logistics

The Technical Manager ensures that:

a. Necessary logistics arrangements (including identification, arrangement and payment for hotel, travel security, meeting venues and transport) are made in a timely manner, in advance of the assessment.
b. Information regarding logistics is communicated to consultants, in advance of the consultants’ arrival in-country, in particular for high-risk settings.
c. Each consultant is aware that he/she should contact their Technical Manager for all queries relating to assessment logistics (including contracting, payment, travel costs, reimbursement, etc.)

Annex D: Pre-and Post-EPA Calls with Global Fund Secretariat

- TM will schedule and lead the initial teleconference/de-brief with Global Fund Secretariat (with CCM Hub and FPM).
- This call should be scheduled in advance, with enough time to ensure both the FPM and the CCM Hub are able to participate in the call.
- Key Agenda Items to be discussed in this call include:
  - Overall country context
  - CCM context from the perspective from the Country Team
  - Includes CCM power dynamics, relationships with PRs/SRs/Gov and any other relationships that provide insight for consultants
  - CT expectations from the EPA (particular issues/necessary areas of focus)
  - Ensure Country team and Consultants have a common understanding about the purpose of EPA and the expected results
    - Any information that is relevant to EPA exercise (e.g., Concept Note submission date, any preliminary work on the EPA by the CCM)
    - Identification of relevant stakeholders in country for Pillar 2 interviews
    - The EPA work schedule to be developed by consultants and related meeting requirements (meetings, interviews, timing, length, participants, cost), including the Improvement Plan endorsement meeting
    - Ensure the FPM is aware that he/she must introduce the EPA exercise, as well as the consultants who will be in country for the EPA to the CCM, prior to the consultant’s arrival in country (and request the CCM Secretariat to ensure the Contacts Management System is updated)
Annex E: Post-EPA Call with Global Fund Secretariat

- TM will schedule, organize and lead a Post-EPA call with the Consultant(s) and Global Fund Secretariat (FPM and CCM Hub) no later than one week after the final submission of the EPA.
- This call should be scheduled in advance, with enough time to ensure both the FPM and the CCM Hub are able to participate in the call.

Prior to this post-EPA debrief call:

a) The TM should ensure that the Consultant(s) have successfully submitted the EPA through the online system.

b) The TM should have reviewed and validated the documentation submitted by consultants, including verification and ensuring documentation is correctly aligned with the respective ER and MS.

c) The TM should confirm that the gaps as identified in the diagnostic (Pillars 1 and 2) are addressed in the Improvement Plan.

d) The TM should ensure any discrepancies between Pillars 1 and 2 of each EPA are documented and brought to the Global Fund Secretariat’s (CCM Hub and FPM)’s attention the call.

e) The TM should ensure that all consultant deliverables for the EPA, and consultant conduct during the EPA, meet internal quality assurance standards (separate from the Global Fund Secretariat’s Quality Assurance Framework for EPA consultants).

Key Agenda Items to be discussed in this call include:

- Inform the Country Team as to where the EPA data is available on the Global Fund Extranet (link)
- Report and Guide the discussion between the Consultant(s) and Country Team regarding the EPA findings and implications (including the initial expectations from the Country Team as discussed on the pre-EPA call and variances, if any).
- Discussion of the proposed Improvement Plan, and links between EPA findings and the proposed Improvement Plan
- Discuss TA needs identified through the exercise
- Recap on lessons learned from the process, and any additional insight that is helpful for Country Team to know.
- In the even follow up is required, document next steps and establish commitment to follow up.