Guidance Note for TA Providers

Annual CCM Eligibility and Performance Assessment (CCM EPA)

2015

Background

The CCM Eligibility and Performance Assessment (EPA), conducted on an annual basis, evaluates CCM compliance with CCM Eligibility Requirements (ERs) 3 to 6 and Minimum Standards (MS). The objective of the EPA is to determine the level of functionality of a CCM and ultimately improve overall CCM performance. Designed to result (in cases of non-compliance with ERs 3 to 6) in a milestone-driven improvement plan, the EPA incorporates existing evidence of CCM functionality as well as feedback from key in-country stakeholders. All CCMs are required to complete an EPA prior to the submission of a Concept Note (CN). Although the EPA must be completed prior to CN submission, it does not evaluate compliance with ERs 1 & 2 (CN Development and Principal Recipient (PR) nomination).

Eligibility Clearance Certificate

CCMs that demonstrate success in complying with the six CCM ERs and related MSs will be granted a CCM Eligibility Clearance (valid for one year from the assessment to submit any Concept Note), allowing CCMs to dedicate resources to the Country Dialogue and CN Development stages. For non- or indeterminate-compliant CCMs, the CCM is to elaborate a milestone-driven improvement plan with the support of a TA provider. The Improvement Plan is then submitted to the Global Fund, which determines if the proposed plan is reasonable and acceptable, prior to Concept Note submission.

This Guidance Note contains information for TA providers/consultants to assist with facilitation of the EPA.

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General Information

Technical Assistance (TA) Provider for EPA
In collaboration with the CCM, the TA provider analyses internal CCM functioning and dynamics, and conduct interviews with in-country stakeholders to develop a complete diagnostic. Based on this diagnostic, the TA provider and CCM then determine the need for an Improvement Plan to ensure compliance with ERs and MSs, and improve overall CCM performance.

In order to facilitate the EPA, the TA provider must be trained by the Global Fund Secretariat. A list of TA providers available to facilitate the EPA can be found here: http://www.theglobalfund.org/en/ccm/technicalassistanceproviders/
TA Provider Facilitation – Roles and Responsibilities

Global-Fund-trained TA providers facilitate the three pillars of the EPA and provide necessary technical support to ensure that CCMs are fully compliant with the ERs and MSs at the time of submission of the Concept Note or, if not, that they have a clear corrective action plan to achieve compliance. The EPA is intended to enable the CCM to take ownership of this process, enabling it to meet the requirements and fulfill its leadership role effectively.

It is expected that consultants trained by the Global Fund Secretariat:

- Orient CCM members on the CCM EPA process and in using the CCM EPA form
- Advise CCM members on how to interpret each ER, MS and corresponding indicator
- Advise CCM members on the type of evidence or supporting documentation that can justify its compliance with each indicator
- Draw up an overall picture of each CCM’s performance
- Conduct interviews, using the standard questionnaire, in order to triangulate information generated from the CCM EPA form
- Conduct CCM EPA according to the terms of reference developed by the Global Fund
- Facilitate the development of a CCM performance Improvement Plan which is feasible and ready-to-implement (i.e. with no further input from or consultation with the GF Secretariat)

Important Notes

- CCMs must submit a request for EPA-related TA directly from the TA providers listed here: [http://www.theglobalfund.org/en/ccm/technicalassistanceproviders/](http://www.theglobalfund.org/en/ccm/technicalassistanceproviders/)

Contracting of TA Providers for the CCM EPA

For Requests submitted directly to TA provider

TA providers being engaged through one of the providers listed on the TA provider web page ([http://www.theglobalfund.org/en/ccm/technicalassistanceproviders/](http://www.theglobalfund.org/en/ccm/technicalassistanceproviders/)) should follow the contracting procedures as per the regulations of the respective providers.

For IQC consultants (engaged through the Global Fund Secretariat)

Consultants selected for the independent consultants pool (CCM IQC) under pre-negotiated terms, shall be contacted for confirmation of their availability for specific assignments and following this issued respective confirmation orders.

Online EPA Form and Global Fund Credentials
• TA Providers should be aware that the EPA is completed via an online platform, the template for which is created by the CCM Hub (specific to each CCM).
• The TA provider/consultant will use their Global Fund credentials to access their CCM’s EPA online form.
• The software required to access the tool will be installed on consultant laptops at Consultant Orientation sessions conducted throughout the year.

Communication

Communication with CCM
The TA provider should share info with CCM on an ongoing basis to ensure the CCM is kept in the loop regarding the progress and results of all three pillars. A good way to do so is to set up a schedule at the start of the assessment for calls/emails between the TA provider, the CCM Admin focal point and CCM Chair (copying all CCM members) the CCM.

Prior to the start of the assessment TA providers should ensure the CCM is aware that, should an Improvement Plan be necessary based on the results of the assessment, the full CCM must endorse the Improvement Plan. The full CCM should meet in person at least once regarding the EPA status.

Communication with Country Team (CT)
The TA provider should ensure the CT is kept in the loop at intervals as determined by the CT.

As standard practice for all EPAs, a debrief call should be scheduled with the FPM and CT (and CCM Hub, if necessary) prior to the consultant’s arrival in-country/at the start of the mission. It is a good idea for the TA provider to prepare an agenda/list of questions for this call so that he/she can proactively obtain to the relevant background and supporting materials necessary to facilitate the EPA.

Communication with CCM Hub
The TA provider should ensure the CCM Hub is kept in the loop at the following stages:
• Status update at the start, interim and end of the mission
• As standard practice for all EPAs, the consultant should plan to schedule an end-of-mission call with CCM Hub and Country Team after the mission
• All day-to-day queries should be directed to the delegated Technical Manager for the mission, who will then escalate to the CCM Hub as necessary.
• In all instances of technical issues relating to the online EPA form (access and/or submission), first consult the FAQ guide, located here: https://extranet.theglobalfund.org/ccm/CCM%20Performance%20Assessments%20Documents/CCM%20Data/CCM%20Hub%20FAQSept.pdf
  o In cases where technical issues can’t be resolved by this document, please contact DASH Team at the Global Fund Secretariat (infohub@theglobalfund.org)
Phase I: Preparation
In preparation for the EPA, the CCM is asked to select a TA from the list of TA providers available to provide support for the self-assessment, after which it communicates its choice to the Global Fund Secretariat.

The GF Secretariat (Country Team) then works with the CCM to customize the Generic TORs for TA facilitation of CCM EPA if necessary. Once the CCM endorses the customized TORs, it formulates the request for TA directly, using the links on the EPA TA Provider page on the Global Fund website for EPA-related TA provision.

Once the request for TA is submitted and accepted, the Global Fund Secretariat creates the template for the online EPA (specific for each CCM) and sends the link and relevant supporting information to TA provider/consultants.

Pre-Assessment
Before arriving in-country/start of the assessment, the TA provider should make sure to:

- Schedule a debrief call with the Country Team/FPM
  - The TA provider should proactively reach out to the relevant FPM/CT to gain background and supporting materials they’ll need for the EPA (e.g., list/suggestions on parties to be interviewed as part of Pillar 2)
  - It is a good idea for the TA provider to prepare an agenda/list of questions for this call so that he/she can proactively obtain the relevant background and supporting materials necessary to facilitate the EPA.

- Engage with the CCM Secretariat and share the materials regarding the Guidelines and Requirements for CCMs, specifically the Performance Assessment Matrix as seen on http://www.theglobalfund.org/en/ccm/guidelines/
  - The TA providers should ensure the CCM Secretariat begins organizing and preparing the documentation that is needed as required by the matrix (and that will be uploaded into the online form)

- Engage with the CCM Secretariat to begin checking availability and scheduling interviews for Pillar 2 and ensure CCM members are available for EPA status update calls/meetings regarding the EPA as per the schedule determined by the consultant at the start of the assessment (the full CCM should meet in person at least once regarding the EPA status).
Phases II & III: Diagnostic and Improvement Plan Development

The CCM Eligibility and Performance Assessment (EPA) diagnostic for the CCM EPA is based on three pillars:

- **Phase II**
  1. Facilitated Self-Assessment (Desk Review)
  2. Stakeholder Interviews/Questionnaire
  3. Improvement Plan Development

- **Phase III**

**Pillar 1: Facilitated Self-Assessment**

In the first stage of the CCM EPA, the TA provider assists the CCM in a desk review-type assessment. Conducted using the CCM Eligibility and Performance Assessment Tool (an online form), which includes details of each ER and MS and indicators of compliance the TA provider, with the CCM, gathers the necessary documents that support the CCM’s current level of compliance for each indicator, and submits the results to the Global Fund.

For this pillar, the CCM gathers the necessary information and documentation; the TA provider verifies the documents and uploads verified documents into the online form.

Note: The final decision on compliance scores are to be determined by the CCM.

**Pillar 2: Stakeholder Interviews**

The second stage of the CCM EPA involves gathering a wide range of perspectives on CCM performance, from both CCM members and stakeholders who are not members of the CCM.

Using the Global Fund Questionnaire designed specifically for the CCM EPA (as in the online EPA form), the TA provider conducts interviews with relevant stakeholders. At the end of the interview process, the TA provider consolidates the stakeholder responses and produces a summary.
In this pillar, the TA takes the lead on interviewing and consolidating the responses; the CCM Secretariat is responsible for scheduling interviews with stakeholders.

Results from Pillars 1 and 2 are then triangulated in order to produce a complete diagnostic.

Note: Pillars 1 & 2 can be conducted in sequence OR in parallel – the key driver being the availability of interviewees/members.

**Pillar 3: Developing an Improvement Plan**

The third pillar of the EPA is the Improvement Plan. The Improvement Plan provides an opportunity to use the critical assessment findings to develop corrective actions and a corresponding timeline in order to ensure the CCM achieves full compliance levels with Eligibility Requirements and Minimum Standards. Developing the Improvement Plan is the responsibility of the CCM (the TA providers help facilitate its development).

The Improvement Plan is first and foremost a management tool which allows the CCM to keep track of the improvement measures it has committed itself to implementing. CCM members designated as focal points of the Improvement Plan must monitor and report on the progress of their implementation on a regular basis.

The Improvement Plan (and related updates) is the document that will be used by the Global Fund Secretariat to evaluate CCM progress on corrective actions associated with assessment findings, and eventually issue a CCM Eligibility Clearance. It is therefore crucial that the CCM Secretariat update the online version regularly and to ensure it is updated with the latest information before Concept Note submission. Here, the TA provider should also ensure that there is a schedule to update the EPA online form with progress updates as the CCM implements the plan. The TA provider should make sure that the CCM Secretariat and Executive Committee knows how to update the status of the Improvement Plan per the schedule established.

**What happens once the EPA TA provider is in-country?**

1. TA providers facilitates **Pillar 1** (CCM self-assessment and performance assessment), TA provider and CCM upload information into the system
2. TA provider conducts **Pillar 2** (stakeholder interviews with in-country key stakeholders (members, non-members, CSO/KAP, Bilateral, Multilateral, among others)
3. TA provider organizes the results of Pillars 1 and 2, and presents results of the diagnostic to CCM

**In case of non-compliance (non- or intermediate-compliance) with Eligibility Requirements:**

4. The TA provider will support the CCM to elaborate an improvement plan (**Pillar 3**); obtains CCM endorsement on the plan
5. CCM, with TA provider, submits the whole diagnostic and the Improvement Plan (if any) using the online tool.

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2 More information is available in section III of the **Generic TORs for TA facilitation of CCM EPA**
6. GF Secretariat (Country Team) advises CCM on the reasonableness of the proposed Improvement Plan
7. CCM is responsible for implementing the Improvement Plan (fixing outstanding issues) and for updating the status of the progress with Improvement Plan before the Concept Note submission.
8. GF Secretariat (Country Team) is responsible for monitoring CCM progress with Improvement Plan implementation.
9. GF Secretariat will verify improvement plan progress against milestones (as set forth in the Improvement Plan) and CCM compliance at the time of Concept Note Submission.
10. GAC makes the final decision with regard to the CCM’s compliance with Eligibility Requirements.

If the Eligibility Requirements are met (CCM is fully compliant):
4. GF Secretariat (with CCM Hub and CT recommendations) will grant a CCM Eligibility clearance for a year.

Post-Assessment
- As standard practice for all EPAs, the consultant should plan to schedule an end-of-mission call with CCM Hub and Country Team after the mission

Resources

For Consultants:
E-Learning module for ‘CCM-Consultants’ on the CCM EPA (English): an 8-hour, self-paced eLearning module, dedicated to introducing the CCM EPA exercise to CCM Consultants, including information on how to best support CCM in this exercise. This module will soon be translated in French and Spanish. Instructions for consultants to enroll in the eLearning module are available in Annex A) As a reminder it is mandatory for consultants to have completed and passed the E-learning module (see below) prior to the consultant training session or before the start of the mission.

Roles and responsibilities for EPA TA providers: are outlined in the Generic TORs for TA facilitation of CCM EPA

CCM Guidelines and Requirements for reference are available here:

Sample Email of Introduction (from TA provider to CCM): see Annex B

Template presentation to CCMs on the EPA and Eligibility Requirements is available on the Global Fund CCM EPA web page;
For Consultants to Share with CCMs

**E-learning module on CCM Eligibility Requirements (English):** a 20-minute, self-paced eLearning module to help partners understand changes for CCMs and CCM Eligibility under the NFM, in particular the CCM Eligibility & Performance Assessment (EPA). This module is ideal for CCM Executive members, CCM Secretariat staff, and any interested CCM members. This module will soon be translated in French, Spanish and Russian.

**Introduction to the CCM and the Global Fund:** a 10-minute video, ideal for a first introduction (for example, for new CCM member inductions) to Global Fund concepts, CCM roles and responsibilities and CCM interactions with other major partners. This video will soon be translated in French, Spanish and Russian.

**Template presentation to CCMs on the EPA and Eligibility Requirements** is available on the Global Fund CCM EPA web page; [http://www.theglobalfund.org/en/ccm/guidelines/eligibilityperformance/](http://www.theglobalfund.org/en/ccm/guidelines/eligibilityperformance/)

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Annex A

Instructions for Consultants to Enroll in the online course ‘Global Fund CCM Performance Assessment Process’

NOTE: Successful completion of this course is a pre-requisite for attending the face-to-face training and the eventual deployment on an assignment.

1. The course is located at the following web address:

2. When arriving at the site for the first time, you will see instructions on the right-hand side for **creating a new account**. Please follow the instructions, starting by clicking on the ‘Create new account’ button.

3. You will be taken to a screen as shown below. Enter all of the required information (marked with a red asterisk). **Passwords must be at least 8 characters long.**
4. When you see the following screen. Click “Continue”

5. An email will be sent to the email address you entered. When you click on the link in the email, you will be redirected to this page:

6. Click on ‘Courses’ and you will be taken to this page:
7. Select ‘Global Fund CCM Performance Assessment Process’

8. The following page will open:

9. Whether or not you have received the enrolment key, enter ‘chunking’ and click on ‘Enrol me’

10. You are now ready to begin taking the course.
Dear [FOCAL POINT]

The consultant team comprising of [CONSULTANT 1] and [CONSULTANT 2] plan to be in [LOCATION] on [DATES] for the proposed CCM Eligibility and Performance Assessment (EPA).

It will be useful if we could be provided documents as listed below, in advance, for us to prepare ourselves for the assessment:

1. CCM Governance Manual
2. Oversight Plan
3. Conflict of Interest Policy
4. Minutes of the CCM meetings in the last one year
5. Minutes of the Oversight committee for the last 1 year.
6. Documents connected with elections – Civil Society representatives etc.
7. Any other documents considered relevant to CCM eligibility requirements.

We look forward to our first meeting on [DATE] with [PARTICIPANTS]. In addition since the process of EPA will require convening of a meeting of the CCM for administering the self-assessment tool, please make suitable arrangements on [DATE(S)]. This will be followed by meetings with members and other identified representatives individually.

On completion of the individual meetings we will work jointly with the CCM to identify an Improvement Plan, should that be necessary.

Best Regards

[INSERT CONSULTANT NAME AND CONTACT INFO]