

CCM Guidance Note:

Light Modality of the CCM Eligibility and Performance Assessment

Background

The CCM Eligibility and Performance Assessment (EPA) is a management instrument that helps CCMs identify their strengths and weaknesses and subsequently plan specific actions to improve their performance. Compliance with Eligibility Requirements (ER) and Minimum Standards (MS) 3 to 6 is assessed both at the time of submission of a funding request and on a periodic basis throughout the period of Global Fund financing. Continued compliance with all ERs throughout program implementation is a condition to access Global Fund financing (including CCM funding). The objective of the EPA is to determine the level of functionality of a CCM¹ and ultimately improve overall CCM performance. Designed to result in a milestone-driven improvement plan, the EPA incorporates existing evidence of CCM functionality. All CCMs are required to complete an EPA prior to the submission of a Funding Request.

Differentiated Strategy

With the CCM Evolution Project ongoing and as learnings of this pilot are incorporated and considered, the Global Fund has decided to use the light modality of the CCM Eligibility and Performance Assessment (EPA), hereafter referred to as **Light EPA**.

Communication

The Country Team (CT) informs the CCM about the strategy selected to conduct the EPA assessment, along with the steps that should be undertaken accordingly and the tool to be used. The Light EPA is a simplified process that includes (i) a self-assessment and (ii) the development and endorsement of an Improvement Plan. As in the past, to be eligible for funding, CCMs need to comply with the six Eligibility Requirements and Minimum Standards.

When conducting the Light EPA, CCMs do not have the option to request technical assistance (TA) support to help validate key milestones and correct any bottlenecks that could hinder progress. Therefore, the workload of conducting the assessment and developing a specific improvement plan is completely managed by the CCM or the RCM.

¹ More information about the CCM Policy Including Principles and Requirements can be found here: https://www.theglobalfund.org/media/7421/ccm_countrycoordinatingmechanism_policy_en.pdf

Self-Assessment and Improvement Plan Development

As stated above, the Light EPA consists of two parts:

1. Self-assessment (desk review)
2. Improvement Plan development

1: Self-Assessment

The self-assessment is conducted via a desk review where the CCM, using the Light EPA Excel Tool, provides specific comments on the level of compliance with Eligibility Requirements 3-6, gathers the necessary documents that support the CCM's level of compliance for each indicator and uploads them onto the respective country folder in the External Document Library available [here](#). Credentials and support for accessing the External Document Library are provided to CCMs by the Global Fund. The Light EPA Excel Tool is sent by the Country Team to the CCM with specific instructions on how to complete it.

Note: The final decision on compliance scores is determined by the Global Fund.

2: Developing an Improvement Plan

- The Improvement Plan provides an opportunity to use the self-assessment findings and develop a milestone-driven roadmap with corrective actions and corresponding timelines, to help the CCM achieve full compliance with ER and MS. Developing the Improvement Plan is the complete responsibility of the CCM or RCM. The Global Fund then determines if the proposed plan is reasonable and acceptable, prior to Funding Request submission.
- **If the Improvement Plan is submitted and accepted by the Global Fund** prior to the funding request submission), this means steps have been taken, as per the Improvement Plan accepted by the Global Fund, and CCM compliance with Eligibility Requirements is achieved. The CCM will be able to submit their funding request.
- **If the Improvement Plan is not submitted/accepted by the Global Fund** (prior to the submission of the funding request), the Global Fund will determine, at its own discretion and on a case-by case basis, how the CCM should proceed.

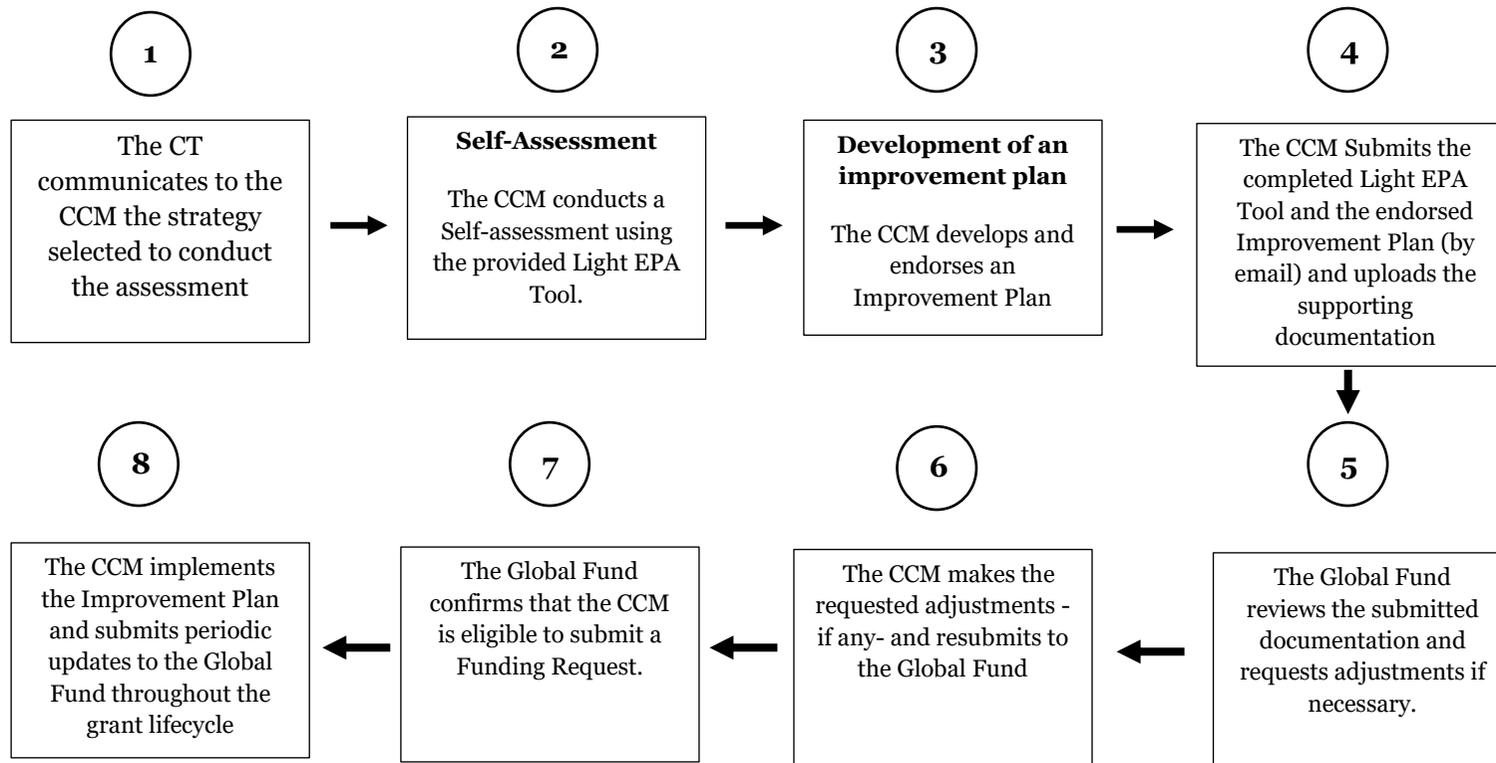
Important Note: The CCM should be aware that the full CCM membership must endorse the Improvement Plan and meet in-person at least once regarding the EPA status. Information on obtaining the CCM endorsement page template can be found [here](#). The endorsed Improvement Plan should be sent to the following email address: epa@theglobalfund.org .

Documenting Improvement Plan Implementation Progress

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.

The CCM Secretariat, under the supervision of the Executive Committee, must update the status of the Improvement Plan. Ideally, updates will be recorded (along with supporting documentation) monthly if not, at least quarterly, by the designated focal point during the implementation of the Improvement Plan.

The Improvement Plan (and related updates) 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 updates the Improvement Plan regularly with the latest information before the funding request submission. The CCM Improvement Plan also serves as the Performance Framework necessary to obtain CCM Funding.

Steps in the process

1. The Country Team communicates the selected EPA assessment strategy to the CCM Secretariat and Leadership and shares the Excel EPA Tool, which includes instructions for completion.
2. The CCM conducts a self-assessment of their performance, enters the information in the Excel EPA Tool and uploads the supporting documentation to the External Document Library.
3. The CCM develops an Improvement Plan in the worksheet designed for such purposes in the Light EPA Tool. The Improvement Plan should be endorsed by all members of the CCM during a General Assembly meeting using the adequate endorsement format described in the following link:
https://www.theglobalfund.org/media/8364/fundingmodel_partnerportalmasterdata_countrycoordinatingmechanism_guideline_en.pdf.
4. The completed Light EPA tool and the endorsed Improvement Plan (including all signatures of CCM members in the endorsement page) should be uploaded together with all supporting documents to the respective country folder in the [External Document Library](#). The CCM should then send an email to epa@theglobalfund.org indicating that the EPA Light has been completed and attach the Tool and the endorsed Improvement Plan.
5. The Global Fund will conduct a review of the submitted documentation and, if needed, request adjustments (primarily on the feasibility of the proposed Improvement Plan) from the CCM.
6. The CCM will incorporate any adjustment requested and resubmit the Improvement Plan (fixing outstanding issues), to the Global Fund before the funding request submission.
7. The Global Fund Secretariat will review the process and confirm that the CCM is eligible to submit a Funding Request.
8. The CCM implements the Improvement Plan and submits periodic updates to the Global Fund throughout the grant lifecycle.

9. Resources

1. [**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.
2. [**Managing Master Data in the Global Fund's Partner Portal: A Guide for CCMs & RCMs:**](#) The Global Fund's "Partner Portal" is an online platform which serves as unified system for Coordinating Mechanisms, implementers, Local Fund Agents, and the Global Fund Secretariat.