CCM Guidance Note

Annual CCM Eligibility and Performance Assessment (CCM EPA)

Standard Strategy

2016

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\(^1\) and ultimately to improve the 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 feedbacks from key in-country stakeholders. All CCMs are required to complete an EPA prior to the submission of the 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 dedicate resources to the Country Dialogue and CN Development stages. For non- or indeterminate-compliant CCMs, the CCM has 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.

\(^1\) More information about the CCM EPA, including a matrix of the indicators, is available here: http://www.theglobalfund.org/en/ccm/guidelines/eligibilityperformance/
General Information

Technical Assistance (TA) Provider for EPA

In collaboration with the CCM, the TA provider analyses internal CCM functioning and dynamics and conducts interviews with in-country stakeholders to develop a complete diagnostic. Based on this diagnostic, the TA provider and the CCM then determine the need for an Improvement Plan to ensure compliance with ERs and MSs and to improve the 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/

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 the 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 indicators
- 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/

- Roles and responsibilities for TA providers are outlined in the Generic TORs for TA facilitation are available here: http://www.theglobalfund.org/en/ccm/technicalassistanceproviders/

- CCMs should be aware that the EPA is completed via an online platform (the “EPA form”), the template for which is created by the CCM Hub and specific to each year’s EPA for each CCM. The TA provider and the CCM Admin Focal Point can use their Global Fund credentials to access the EPA online. For more information on Global Fund credentials, please visit http://www.theglobalfund.org/en/ccm/data/

Communication

The TA provider should share info with CCM on an ongoing basis to ensure the CCM is informed of the progress and results of all three pillars. A schedule for these updates should be established 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).

**Important Note:** The CCM should be aware that, should an Improvement Plan be necessary based on the results of the assessment, the full CCM 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: http://www.theglobalfund.org/en/ccm/data/

The TA provider should ensure the CT is kept in the loop regarding the EPA at intervals as determined by the CT.

For technical issues relating to the online EPA form (access, submission and/or updates to the Improvement Plan) please consult the FAQ, located here: https://extranet.theglobalfund.org/ccm/CCM%20Performance%20Assessments%20Documents/CCM%20Data/CCM%20Hub%20FAQSept.pdf
Phase I: Preparation

In preparation for the EPA, the CCM is asked to select a TA from the list of 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 Global Fund website for EPA-related TA provision.

Costs associated with the EPA are covered either by the TA provider or by the Global Fund Secretariat, depending on the TA provider chosen. In either of scenario, the CCM will not incur costs related to the EPA.

Pre-Assessment

Before the TA provider arrives in-country/start of the assessment, the CCM Secretariat should make sure to:

- Ensure the current/previous CCM Improvement Plan is up-to-date, with supporting documentation attached.

- Begin organizing and preparing the documentation that is needed as required by the matrix (and that will be uploaded into the EPA form). For more information on the documentation needed, CCM Secretariats should review the previous EPA, engage with the TA provider, and look at the Performance Assessment Matrix available here: http://www.theglobalfund.org/documents/ccm/CCM_PerformanceAssessment_Tool_en/

- Begin checking availability and scheduling interviews for Pillar 2 (check with TA providers on the list of parties to be interviewed)

- Ensure CCM members are available for EPA status and update calls/meetings regarding the EPA as per the schedule determined 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:

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

### Pillar 1: Facilitated Self-Assessment

As with the previous EPA, in the first stage of the CCM EPA, the TA provider assists the CCM in a desk review-type assessment. Using the CCM EPA form, the TA provider (with the CCM) gathers the necessary documents that support the CCM’s current level of compliance for each indicator and uploads this information into the EPA form.

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 here are to be determined by the Global Fund.
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 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.

For this pillar, the TA takes the lead on interviewing and consolidating the responses; the CCM Secretariat is responsible for scheduling interviews with stakeholders.

The TA provider triangulates results from Pillars 1 and 2 in order to produce a complete diagnostic.

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

Pillar 3: Developing an Improvement Plan

The third pillar of the EPA is the Improvement Plan.

- If a CCM is fully compliant with Eligibility Requirements and Minimum Standards once the EPA is completed it does not need to submit an Improvement Plan. It can obtain CCM Eligibility Clearance (valid for one year from the assessment to submit any Concept Note).

- For CCMs that are non- or indeterminately-compliant with Eligibility Requirements and Minimum Standards, the Improvement Plan provides an opportunity to use the critical assessment findings and develop a milestone-driven plan with corrective actions and corresponding timelines to help the CCM achieving full compliance with Eligibility Requirements and Minimum Standards. Developing the Improvement Plan is the responsibility of the CCM, with the TA provider helping to facilitate its development. The Global Fund then determines if the proposed plan is reasonable and acceptable, prior to Concept Note submission.
• **If the Improvement Plan is submitted/accepted by the GF and all items are completed on time** (prior to Concept Note 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 a Concept Note.

• **If the Improvement Plan is not submitted/accepted by the GF but not all items are completed** (prior to Concept Note submission): In this case, it is at the discretion of the Global Fund to determine (on a case-by case basis) how the CCM should proceed.

Note: Non-adherence to the improvement plan will affect current and future funding.

**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 TA provider will ensure the CCM Secretariat and Executive Committee know how to update the status of the Improvement Plan. Ideally, updates will be recorded (along with supporting documentation) on a monthly basis by the designated focal point as the Improvement Plan is being implemented.

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 update the online version regularly and to ensure it is filled up with the latest information before Concept Note submission. The CCM Improvement Plan also serves as the Performance Framework necessary to obtain CCM Funding.

Note: Details on how to update the Improvement Plan can be found in the FAQ, located here: [https://extranet.theglobalfund.org/ccm/CCM%20Performance%20Assessments%20Documents/CCM%20Data/CCM%20Hub%20FAQSept.pdf](https://extranet.theglobalfund.org/ccm/CCM%20Performance%20Assessments%20Documents/CCM%20Data/CCM%20Hub%20FAQSept.pdf)
Steps in the Process (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 EPA form

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

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

   If Eligibility Requirements and Minimum Standards are not met (CCM is indeterminate-or non-compliant):
   
   - The TA provider supports the CCM in elaborating an Improvement Plan (Pillar 3) including CM endorsement on the plan

   - The CCM, with TA provider, submits the whole diagnostic and the Improvement Plan using the EPA Form

   - Global Fund Secretariat (Country Team) advises CCM on the reasonableness of the proposed Improvement Plan.

4. CCM implements the Improvement Plan (fixing outstanding issues) and updates the Improvement Plan status accordingly (before Concept Note submission)

5. GF Secretariat (Country Team) monitors CCM progress with Improvement Plan implementation.

6. GF Secretariat verifies Improvement Plan progresses against milestones (as set forth in the Improvement Plan) and CCM compliance levels at the time of Concept Note submission.
7. GAC makes the final decision with regard CCM compliance with the Eligibility Requirements.

Resources

**E-Learning module on CCM Eligibility Requirements**: a 20-minute, self-paced eLearning module to help partners understanding changes for CCMs and CCMs 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.

[http://www.theglobalfund.org/shared/elearning/nfm/NFM-EligibilityRequirementsForCCMs/presentation.html](http://www.theglobalfund.org/shared/elearning/nfm/NFM-EligibilityRequirementsForCCMs/presentation.html)

A French, Spanish and Russian version is also available:


**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.


French version: [http://www.theglobalfund.org/fr/media/2012-03-15_Introduction_to_the_Global_Fund_and_CCMs/](http://www.theglobalfund.org/fr/media/2012-03-15_Introduction_to_the_Global_Fund_and_CCMs/)

Spanish version: [http://www.theglobalfund.org/es/media/2012-03-15_Introduction_to_the_Global_Fund_and_CCMs/](http://www.theglobalfund.org/es/media/2012-03-15_Introduction_to_the_Global_Fund_and_CCMs/)

Russian version: [http://www.theglobalfund.org/ru/media/2012-03-15_Introduction_to_the_Global_Fund_and_CCMs/](http://www.theglobalfund.org/ru/media/2012-03-15_Introduction_to_the_Global_Fund_and_CCMs/)