

RCM Guidance Note:

Super Light Modality of the CCM Eligibility and Performance Assessment

Background

The CCM Eligibility and Performance Assessment (EPA) is a management instrument that helps CCMs and RCMs identify their strengths and weaknesses and subsequently plan specific actions to improve their performance. Compliance with Eligibility Requirements (ER) 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 CCM or RCM¹ and ultimately improve overall performance. Designed to result in a milestone-driven improvement plan, the EPA incorporates existing evidence of CCM or RCM functionality. All CCMs and RCMs are required to complete an EPA prior to the submission of a Funding Request.

Differentiated Strategy

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

Communication

The Country Team (CT) informs the RCM 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 Super 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.

When conducting the Super Light EPA, RCMs 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 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 Super 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 RCM, using the Super Light EPA Excel Tool, provides specific comments on the level of compliance with Eligibility Requirements 3-6, gathers the necessary documents that support the RCM'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 RCMs by the Global Fund. The Super Light EPA Excel Tool is sent by the Country Team to the RCM 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 RCM achieve full compliance with ERs. Developing the Improvement Plan is the complete responsibility of the 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 RCM compliance with Eligibility Requirements is achieved. The RCM 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 RCM should proceed.

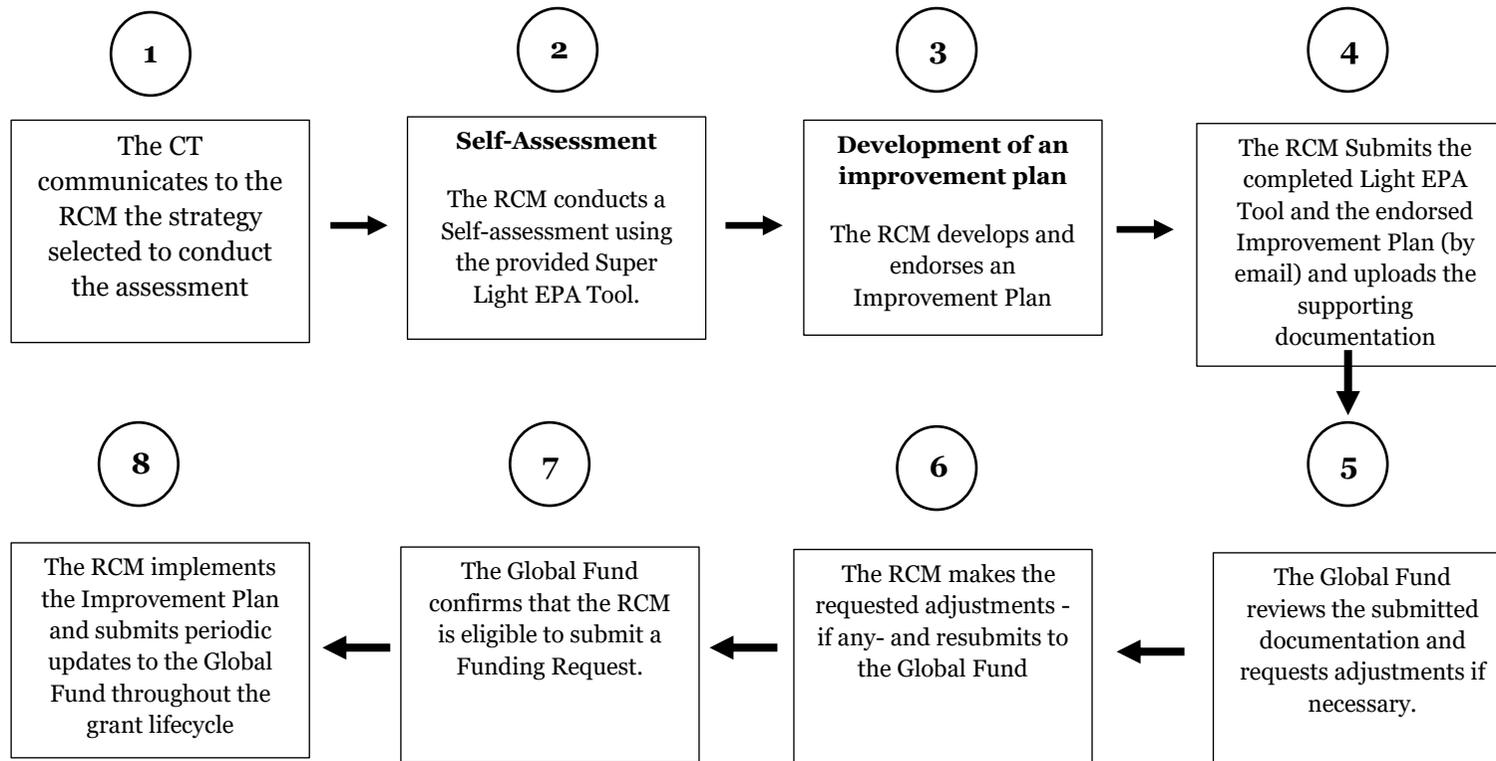
Important Note: The RCM should be aware that the full membership must endorse the Improvement Plan and meet in-person at least once regarding the EPA status. Information on obtaining the RCM endorsement page template can be found [here](#). The endorsed Improvement Plan should be sent to the following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

Documenting Improvement Plan Implementation Progress

The Improvement Plan is first and foremost a management tool which allows the RCM to keep track of the improvement measures it has committed itself to implementing.

The RCM Secretariat and 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 RCM progress on corrective actions associated with assessment findings and eventually issue a **RCM Eligibility Clearance**. It is therefore crucial that the RCM Secretariat updates the Improvement Plan regularly with the latest information before the funding request submission. The RCM Improvement Plan also serves as the Performance Framework necessary to obtain RCM Funding.

Steps in the process

1. The Country Team communicates the selected EPA assessment strategy to the RCM Secretariat and Leadership and shares the Excel EPA Tool, which includes instructions for completion.
2. The RCM 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 RCM develops an Improvement Plan in the worksheet designed for such purposes in the Super Light EPA Tool. The Improvement Plan should be endorsed by all members during an RCM 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 Super Light EPA tool and the endorsed Improvement Plan (including all signatures of RCM members in the endorsement page) should be uploaded together with all supporting documents to the respective country folder in the [External Document Library](#). The RCM 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 RCM.
6. The RCM 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 RCM is eligible to submit a Funding Request.
8. The RCM 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.