CCM Guidance Note: Superlight Strategy

Annual CCM Eligibility and Performance Assessment (CCM EPA)
2016

Background

The CCM Eligibility and Performance Assessment (EPA) is a management instrument that helps CCM to identify their strengths and weaknesses and subsequently to plan specific actions to improve their performance. The EPA is conducted on an annual basis and 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 a milestone-driven improvement plan (in cases of non-compliance with ERs 3 to 6), 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).

Differentiated Strategy for EPA 2016-2017

According to the new differentiated strategy approach, there are three different strategies to conduct the annual CCM Eligibility and Performance Assessment (EPA):

- Standard: Information can be found in Guidance note standard strategy
- Light: Information can be found in Guidance note light strategy
- Superlight: Information about the Light Strategy can be found in this Guidance

Communication

The Country Team informs the CCM about the strategy selected to conduct the EPA assessment (in this case, it will be a Superlight Strategy), along with the steps that should be undertaken accordingly and the tools to be used. The Superlight EPA strategy is an extremely simplified version and includes only the EPA self-assessment and the Improvement Plan (referred to as Pillars 1 and Pillar 3 respectively), while the set of interviews with stakeholders (referred to as 'Pillar 2') is not needed in this approach. As in

1 More information about the CCM EPA, including a matrix of the indicators, is available here: http://www.theglobalfund.org/documents/ccm/CCM_Requirements_Guidelines_en/
the past, the CCM, in order to be eligible for funding, needs to comply with the six Eligibility Requirements (Unlike the standard and the light strategy, compliance with the Minimum Standards should not be assessed in the superlight strategy). A detailed description is available here [CCM Guidelines and Requirements document]. In this simplified 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 EPA assessment and potentially developing a specific improvement plan is completely managed by the CCM or the RCM.

**Diagnostic and Improvement Plan Development**

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

1. Self-Assessment (desk-review) (Pillar 1)
2. Improvement Plan Development (Pillar 3)

**Pillar 1: Self-Assessment**

The self-assessment is a desk review type of assessment where the CCM, using the Excel EPA form, gathers the necessary documents that support the CCM’s current level of compliance for each indicator, uploads them into the form and then sends it to the CCM Hub at the following email address: [epa@theglobalfund.org](mailto:epa@theglobalfund.org). The Excel EPA form is sent by the Country Team to the CCM with specific instructions on how to be completed (information is also available in the Global Fund website).

Note: The final decision on compliance scores here has to be determined by the Global Fund.

**Pillar 3: Developing an Improvement Plan**

The third pillar of the EPA is the Improvement Plan.

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

- For CCMs that are non- or indeterminately-compliant with the Eligibility Requirements, 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 achieve full compliance with Eligibility Requirements. Developing the Improvement Plan is the complete responsibility of the CCM. The Global Fund then determines if the proposed plan is reasonable and acceptable, prior to Concept Note submission.

- **If the Improvement Plan is submitted and accepted by the Global Fund 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 Global Fund 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.

**Important Note:** The CCM should be aware that, once an Improvement Plan is considered compulsory 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/](http://www.theglobalfund.org/en/ccm/data/). The endorsed improvement Plan should be sent at 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 and Executive Committee have 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 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 to issue a CCM Eligibility Clearance. It is therefore crucial that the CCM Secretariat updates the online version regularly and fills it 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%20Performance%20Assessments%20Guidance%20Documents/CCM%20Data/CCM%20Hub%20FAQ%20Sept.pdf](https://extranet.theglobalfund.org/ccm/CCM%20Performance%20Assessments%20Documents/CCM%20Data/CCM%20Hub%20FAQ%20Sept.pdf)

**Steps in the Process**

1. The Country Team communicates to the CCM the strategy selected to conduct the EPA Assessment and send the Excel EPA Form that should be completed (instructions on how it should be completed will also be provided).

2. The CCM conducts a self-assessment of their performance (Pillar 1), enters information onto the Excel EPA Form. If the CCM, after having conducted the self-assessment, realizes that it needs an improvement plan (Pillar 3), it should develop one, add it to the Excel EPA Form and send the complete EPA to: epa@theglobalfund.org.

If Eligibility Requirements are met (CCM is fully compliant):

The Global Fund Secretariat (with CCM Hub and CT recommendations) will grant a CCM Eligibility clearance for a year.
If Eligibility Requirements are not met (CCM is indeterminate-or non-compliant):

3. The CCM has to elaborate an Improvement Plan (Pillar 3) including CCM endorsement on the plan and then submit the whole diagnostic and the Improvement Plan to epa@theglobalfund.org

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

5. CCM implements the Improvement Plan (fixing outstanding issues) and updates the Improvement Plan status accordingly in the online form (before Concept Note submission)

6. GF Secretariat (Country Team) monitors CCM progress with Improvement Plan implementation, while the Global Fund Secretariat (CCM Hub) verifies Improvement Plan progress against milestones (as set forth in the Improvement Plan) and CCM compliance levels at the time of Concept Note submission.

7. The Grant Approvals Committee (GAC) makes the final decision in regard to the CCM compliance with Eligibility Requirements

Resources

ELearning module on CCM Eligibility Requirements: a 20-minute, self-paced eLearning module to help partners understand 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

A French, Spanish and Russian version is also available:

http://www.theglobalfund.org/en/elearning/

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.

http://www.theglobalfund.org/en/media/2012-03-15_Introduction_to_the_Global_Fund_and_CCMs/