RCM Guidance Note

Annual RCM Eligibility and Performance Assessment (RCM EPA)

2016

Background

The RCM Eligibility and Performance Assessment (EPA) is a management instrument that helps RCM 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 RCM compliance with RCM Eligibility Requirements (ERs). The objective of the EPA is to determine the level of functionality of a RCM and ultimately improve overall RCM 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 RCM functionality as well as feedback from key in-country stakeholders. All RCMs are required to complete an EPA prior to the submission of a Concept Note (CN).

Communication

The Country Team informs the RCM about the process to conduct the EPA assessment, along with the steps that should be undertaken accordingly and the tools to be used. The RCM EPA strategy includes two components: the EPA self-assessment and the Improvement Plan (referred to as Pillar 1 and Pillar 3 respectively). As in the past, the CCM, in order to be eligible for funding, needs to comply with the six Eligibility Requirements. A detailed description is available here CCM Guidelines and Requirements document. 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 RCM.

Diagnostic and Improvement Plan Development

The RCM Eligibility and Performance Assessment (EPA) diagnostic for the RCM is based

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/
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 RCM, using the Excel EPA form, gathers the necessary documents that support the RCM’s current level of compliance for each indicator, uploads them into the form and then sends it to the RCM 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 RCM with specific instructions on how to be completed (information is also available in the [Global Fund website](http://www.theglobalfund.org)).

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 RCM 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 RCM Eligibility Clearance (valid for one year from the assessment to submit any Concept Note).

- For RCMs 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 RCM achieve full compliance with Eligibility Requirements. 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 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 RCM compliance with Eligibility Requirements is achieved. The RCM 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 RCM
should proceed.

Important Note: The RCM should be aware that, once an Improvement Plan is considered
compulsory based on the results of the assessment, the full RCM 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:
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 RCM 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 RCM progress on corrective actions associated with assessment findings and
eventually to issue a RCM Eligibility Clearance. It is therefore crucial that the RCM
Secretariat updates the online version regularly and fills it with the latest information before
Concept Note submission. The RCM Improvement Plan also serves as the Performance
Framework necessary to obtain RCM 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%20Docum
ents/CCM%20Data/CCM%20Hub%20FAQSept.pdf
Steps in the Process

1. The Country Team communicates to the RCM 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 RCM conducts a self-assessment of their performance (Pillar 1), enters information onto the Excel EPA Form. If the RCM, 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: the epa@theglobalfund.org.

If Eligibility Requirements are met (RCM is fully compliant):
The Global Fund Secretariat (with CCM Hub and CT recommendations) will grant a RCM Eligibility clearance for a year.

If Eligibility Requirements are not met (RCM is indeterminate-or non-compliant):

3. The RCM has to elaborate an Improvement Plan (Pillar 3) including RCM 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 RCM on the reasonableness of the proposed Improvement Plan.

5. RCM 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 RCM 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 RCM compliance levels at the time of Concept Note submission.

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

Resources

**E-Learning module on CCM/RCM Eligibility Requirements:** a 20-minute, self-paced eLearning module to help partners understand changes for CCMs/RCMs and CCMs/RCMs Eligibility under the NFM, in particular the CCM Eligibility & Performance Assessment (EPA). This module is ideal for CCM/RCM Executive members, CCM/RCM Secretariat staff and any interested CCM/RCM 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/RCM and the Global Fund:** a 10-minute video, ideal for a first introduction (for example, for new CCM/RCM member inductions) to Global Fund concepts, CCM/RCM roles and responsibilities and CCM/RCM interactions with other major partners.

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

French version: 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/