

Implementing Mechanism (IM) Lifecycle in FACTS Info and DATIM

2016

Purpose

The purpose of this document is to explain the PEPFAR Implementing Mechanism (IM) lifecycle in FACTS Info and Data for Accountability and Transparency and Impact (DATIM), as well as system behaviors in handling the creation, modification, and deletion IMs and their related metadata in FACTS Info. This document is intended to help inform stakeholders of these behaviors in order to generate discussions regarding potential process improvements for the IM lifecycle and the interrelationship of FACTS Info and DATIM.

What is an Implementing Mechanism (IM)?

An IM is the grant, cooperative agreement, or contract in which PEPFAR funds are dispersed. IMs have a set time limit for existence based upon what is prescribed for in the contract.

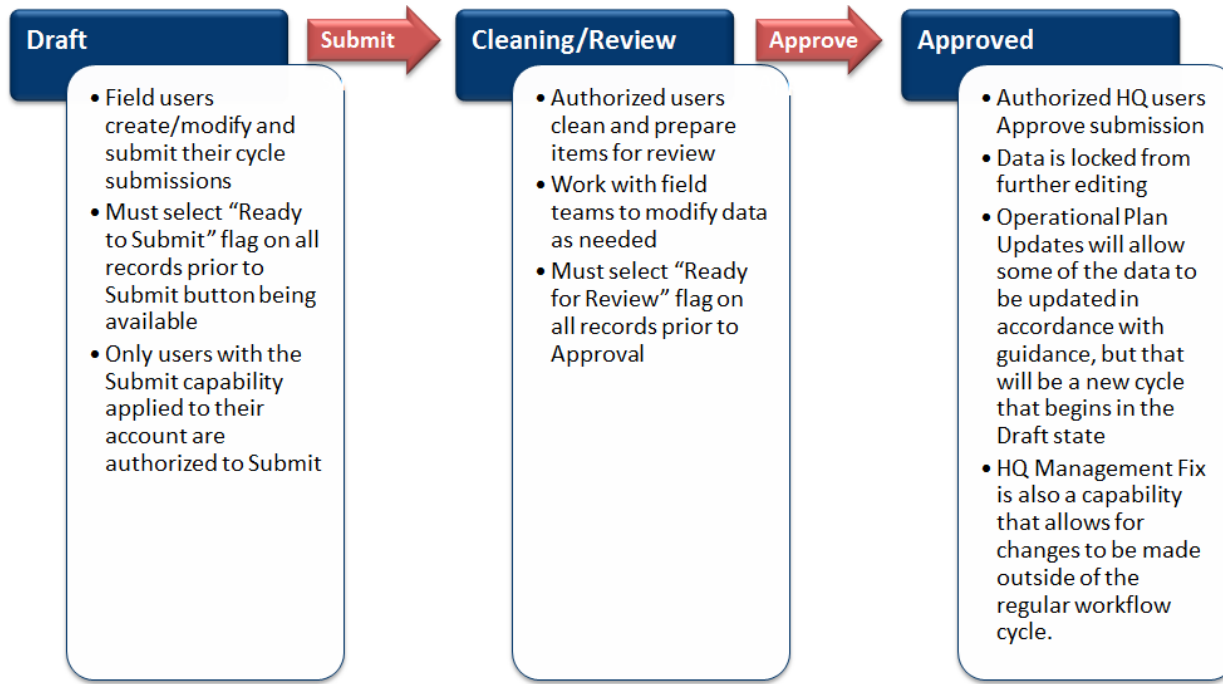
What is the “official” system of record for PEPFAR IMs?

FACTS Info is the official system of record for PEPFAR IMs; it is the only system in which PEPFAR IMs can be created and managed, with data from 2002 to present being stored.

What is the lifecycle of an IM in FACTS Info?

FACTS Info has three main business cycles: Country Operation Plan (COP), Semi-Annual Program Results (SAPR), and Annual Program Results (APR). During COP, IMs can be created, carried forward, updated, and deleted. During SAPR and APR, IMs are read only. Systematically, IMs do not have a set time limit for existence; they can be carried forward every year at the discretion of users.

Within COP, IMs go through three workflow stages: Draft, Cleaning/Review, and Approved. Once a COP is approved, IMs are locked for editing for the yearly cycle. (The image below describes the process a COP goes through to get approved, which is the same process an IM goes through to get approved in FACTS Info.)



Who has the ability to edit IMs in FACTS Info?

The following user types in FACTS Info have the ability to edit IMs in FACTS Info:

- Data Entry users who sit in the field and HQ.
- OU Administration users who sit in the field.
- HQ Administration users who sit at HQ.
- HQ Management Fix Capability users who sit at OGAC HQ.

What can users do to an IM in FACTS Info?

(The image below shows the FATCS Info user interface, where IMs are created, carried forward, updated, and deleted.)

- **Create New:** IMs created in the current cycle.
- **Carry forward:** IMs existed in prior COP cycles, and are carried forward by FACTS Info users to the current COP cycle. IMs are often carried forward from the last COP cycle, but sometimes users carry forward IMs from cycles that occurred multiple years ago, for example COP2012. In COP16, FACTS Info carried forward all IMs from COP15 into COP16, and zeroed out all funding data. FACTS Info then deleted all IMs that in COP15 had no pipeline, no funding, and no targets, as these IMs were likely the ones that would be deleted by FACTS Info users when COP was open. Removing them earlier on the backend eliminated the lag time it would take for FACTS Info users to delete them, removing a potential error on the DATIM side if implementing partners entered data into IMs that later would be deleted.
- **Update:** an IM's data is updated, e.g., the Agreement Start Date and Prime Partner.
- **Delete:** An IM that is deleted is removed from the current COP cycle so users no longer see it in FACTS Info for that performance year. *Please note, section 'When Are IMs changed outside of FACTS Info COP?' for a further explanation of when and how IMs are deleted outside of COP. Note section Special Cases for examples of how delete affects DATIM.*
 - An IM that is deleted is marked as deleted, and can only be restored through a back end developer request.

Implementing Mechanism

Search Mechanism Public-Private Partnerships

Fiscal Year: 2016 Operating Unit: Asia Regional Program

Planning Cycle: [- Please select a reporting cycle -] Funding Agency: [- Please select a funding agency -]

HQ Mechanism ID: Legacy Mechanism ID:

Prime Partner: [- Please select a prime partner -]

Technical Area: [- Please select a technical area -] Managing Country: [- Please select a managing country -]

Budget Code: [- Please select a budget code -] Benefiting Country: [- Please select a benefiting country -]

Page Size: Unlimited Regional OU Countries: [- Please select a country -]

TBD Mechanism Global Fund Inactive Pre-COP G2G New Mechanism

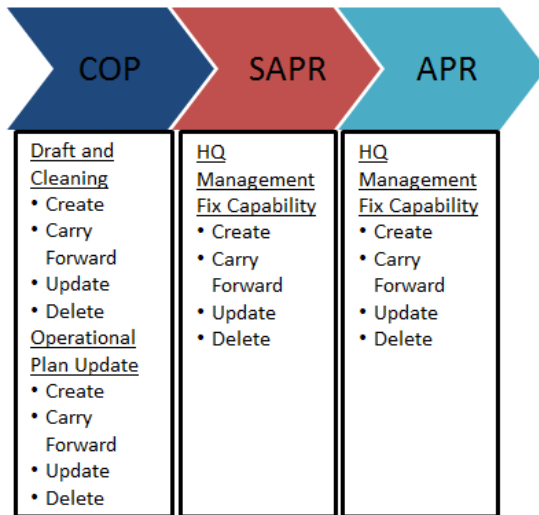
Search Previous Page Next Page Clear Create Import Template Export Template

Search Results: 17 Records found.

| Select | Delete | Export | Reporting Cycle | HQ Mechanism ID | Legacy Mechanism ID | Mechanism Name | Workflow Status | Funding Agency | Prime Partner |
|--------|--------|--------|-----------------|-----------------|---------------------|--|-------------------|----------------|---|
| Select | Delete | | 2016 COP | 16576 | 0 | Engaging Local NGOs | Draft In Progress | HHS/CDC | AIDS Care China |
| Select | Delete | | 2016 COP | 16622 | 10903 | China CDC COAG | Draft In Progress | HHS/CDC | Chinese Center for Disease Prevention and |
| Select | Delete | | 2016 COP | 17035 | 11397 | I-TECH COAG | Draft In Progress | HHS/HRSA | International Training and Education Cent |
| Select | Delete | | 2016 COP | 17056 | 10634 | Thailand Ministry of Public Health | Draft In Progress | HHS/CDC | Thailand Ministry of Public Health |
| Select | Delete | | 2016 COP | 17058 | 10635 | Bangkok Metropolitan Administration | Draft In Progress | HHS/CDC | Bangkok Metropolitan Administration |
| Select | Delete | | 2016 COP | 17059 | 0 | Inform Asia: USAID's Health Research Program, Leader with Associates (LWA) | Draft In Progress | USAID | Research Triangle International |
| Select | Delete | | 2016 COP | 17060 | 1 | Population Services International | Draft In Progress | USAID | Population Services International |
| Select | Delete | | 2016 COP | 17084 | 0 | U.S. DoD, Laos | Draft In Progress | DOD | U.S. Department of Defense (Defense) |
| Select | Delete | | 2016 COP | 17092 | 0 | World Health Organization | Draft In Progress | HHS/CDC | World Health Organization |
| Select | Delete | | 2016 COP | 17309 | 0 | LINKAGES | Draft In Progress | USAID | FHI 360 |
| Select | Delete | | 2016 COP | 17392 | 0 | TBD | Draft In Progress | USAID | TBD |
| Select | Delete | | 2016 COP | 17438 | 0 | VAST Grants | Draft In Progress | PC | Peace Corps Volunteers |
| Select | Delete | | 2016 COP | 17815 | 0 | Inform Asia: USAID's Health Research Program, Associate Award | Draft In Progress | USAID | Research Triangle International |
| Select | Delete | | 2016 COP | 17842 | 0 | Quality Improvement Center for Impact (QICI) | Draft In Progress | HHS/HRSA | TBD |
| Select | Delete | | 2016 COP | 17858 | 0 | TBD | Draft In Progress | HHS/CDC | TBD |
| Select | Delete | | 2016 COP | 17859 | 0 | TBD | Draft In Progress | HHS/CDC | TBD |
| Select | Delete | | 2016 COP | 17860 | 0 | TBD | Draft In Progress | HHS/CDC | TBD |

When are IMs changed outside of FACTS Info COP?

- IMs can be modified outside of COP when an IM needs to be created, carried forward, updated, or deleted; either due to human error or updates that are learned after the COP is approved. If any of the following actions are taken against an IM, there is currently no system message that alerts the FACTS Info PMO team to that changes that have been made out of the open COP cycle. *Note section Special Cases for examples of how delete affects DATIM. (The Image below explains when IMs can be edited.)*
 - HQ Management Fix Capability:** When IMs are modified outside of COP, only users with the HQ Management Fix capability can make the change. The HQ Management Fix capability can be assigned to a user at any time in the year, and that user can make changes to an IM, e.g., create, carry forward, update, and delete.
 - Non-traditional IM was in COP16, and carried backward to COP15. This IM is using FACTS Info to describe a study.



What is entered in an IM in FACTS Info:

- **Mechanism Details:** IM name, Procurement Type, Funding Agency, Prime Partner, Agreement Start Date , Agreement End Date, TBD Mechanism, G2G, Managing Agency
- **Associated Mechanism Programmatic Data:** Funding Sources, Overview Narrative, Budget Codes, Cross Cutting Attributions, MER Indicators (*read-only*), Construction/Renovation, Motor Vehicles, Public- Private Partnership, Activity Table

What IM details are fed from FACTS Info to DATIM:

- OU
- FY
- Reporting Cycle (FI year COP)
- HQ ID
- Legacy ID
- IM Name
- Agency
- Prime Partner
- Prime ID

- Start date
- End date
- Active

What processes occur to prepare the nightly mechanism feed from FACTS Info to DATIM?

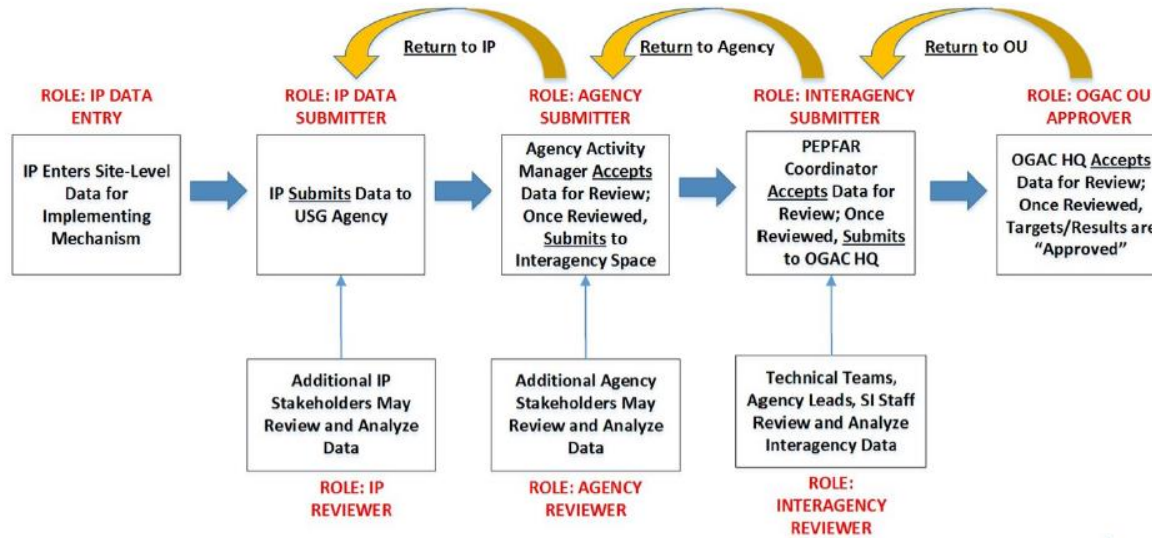
FACTS Info sends DATIM the latest mechanism Indicator Roster every night. The Indicator Roster includes all updates to mechanisms, as well as unchanged mechanisms. For example, if a mechanism is deleted today then during tonight’s feed to DATIM that mechanism’s “Active” flag will be set to 0 (zero), whereas, yesterday that “Active” flag was 1.

DATIM Workflow

IM-level MER Data can only be entered in DATIM against active IMs (as designated by FACTS Info – see table below) during open data entry periods.

| Mechanism Status in FACTS Info | Corresponding Mechanism Status in DATIM |
|--------------------------------|---|
| “Active” | Active |
| “Deleted” | Inactive |

DATIM Data Approval Workflow



DATIM DATA SUBMISSION AND APPROVAL FLOW BY USER ROLE

Special cases:

Generally speaking, if a mechanism is inactive for a given fiscal year, data cannot be entered or approved for that fiscal year in DATIM. However, there are certain instances wherein a mechanism is deactivated in FACTS Info AFTER data entry has already begun in DATIM. The following table illustrates what happens when an IM’s status changes in FACTS Info and its corresponding impact in DATIM and the DATIM Genie:

| Mechanism Condition | Impact on FACTS Info | Impact on DATIM | | | |
|---|---|--|---|---|---|
| | | Data Entry | Approvals | Pivots | Genie |
| IM activated at the beginning of the COP cycle | Data entry and approvals can occur | The IM is fed to DATIM in nightly feed. If the period is open in DATIM, the IM will appear and will be available for users to enter data against | IM MER data can proceed through the DATIM approvals process | IM MER data can be viewed in the pivot tables in conjunction with the approvals process | MER data not viewable until after Interagency Level approval. |
| IM is deactivated in FACTS prior to data entry in DATIM | Mechanism does not appear for users in that specific year COP, SAPR, and APR. Mechanism is deleted. However, if the IM existed in prior year COPs, it will still show up as active in those prior COPs. If a mechanism is deleted then during the nightly feed to DATIM that mechanism’s “Active” flag | Mechanism is marked as inactive in DATIM. No data can be entered against the IM. | Data not viewable/available for approval. | Data not viewable. | Data not viewable. |

| | | | | | |
|---|--|--|---|---|---|
| | will be set to 0 (zero), whereas, the prior day that "Active" flag was 1. | | | | |
| IM is deleted in FACTS after data has been entered against the IM in DATIM, but before it has finished going through approvals in DATIM (i.e. has been submitted above the partner level, but not yet submitted by Interagency) | <p>Mechanism does not appear for users in that specific year COP, SAPR, and APR. Mechanism is deleted. However, if the IM existed in prior year COPs, it will still show up as active in those prior COPs.</p> <p>If a mechanism is deleted then during the nightly feed to DATIM that mechanism's "Active" flag will be set to 0 (zero), whereas, the prior day that "Active" flag was 1.</p> | Data has already been entered by the partner; mechanism has proceeded beyond the partner level in approvals, so no additional changes can be made. | <p>The data will lock at whatever level it was at in the approvals process upon deletion of the IM in FACTS Info. The mechanism can no longer be pushed up or down the DATIM workflow process; it remains "frozen".</p> <p>Note that this can also result in the SQL view of approvals (which shows all approvals in the database regardless of validity) being inconsistent with the approval app view of approvals (which shows the approval status only for mechanisms that are valid during the selected period.)</p> | <p>Because the data is locked in the approvals process, it will remain visible in the pivot table in accordance with security trimming in DATIM (i.e. if the mechanism was at the Agency level, the relevant IPs and Agency users will always be able to see the data in Pivots, but Interagency and standard Global users will never be able to see the data in pivots.)</p> <p>The data still shows up in DATIM analytics (because it is there in DATIM.)</p> | Because the IM was deleted before it reached the "submitted by Interagency level", it will never appear in the Genie. |
| IM is deactivated in FACTS after data has been entered against the IM and after it has gone through approvals in DATIM | <p>Mechanism does not appear for users in that specific year COP, SAPR, and APR. Mechanism is deleted, inclusive of Indicator data. However, if the IM existed in prior year COPs, it will still show up as active in those prior COPs.</p> <p>If a mechanism is deleted then during the nightly feed to DATIM that</p> | The data remains in DATIM, but the data can't be edited (the mechanism is no longer valid for the time period where the data exists.) | <p>The data will lock at the submitted by interagency or accepted by Global level upon deletion of the IM in FACTS Info. The mechanism can no longer be pushed up or down the DATIM workflow process; it remains "frozen".</p> <p>Note that this can also result in the SQL view of approvals (which shows all approvals in the database regardless of validity) being inconsistent</p> | The data will remain visible to all users in pivot tables. | The data is not exported to Genie |

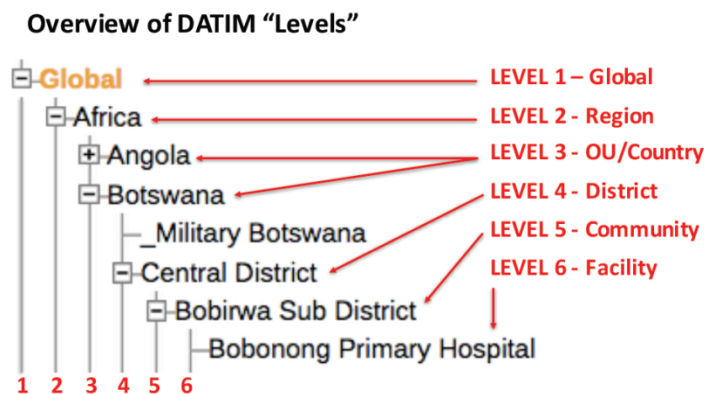
| | | | | | |
|--|---|--|--|--|--|
| | mechanism's "Active" flag will be set to 0 (zero), whereas, the prior day that "Active" flag was 1. | | with the approval app view of approvals (which shows the approval status only for mechanisms that are valid during the selected period.) | | |
|--|---|--|--|--|--|

What is entered in DATIM:

(The images below show the hierarchy in DATIM and the Date Entry options.)

- National Level Indicators:
 - MER Targets: Narratives (IM)
 - MER Targets: Narratives (USG)
 - MER Targets: Operating Unit Level (IM)
 - MER Targets: Operating Unit Level (USG)
 - MER Results: Narratives (IM)
 - MER Results: Narratives (USG)
 - MER Results: Operating Unit Level (IM)
 - MER Results: Operating Unit Level (USG)
 - SIMS: Above Site
- Implementing Mechanism Indicators:
 - Community
 - Facility
- Prioritization (USG)

DATIM's Organizational Hierarchy



Consider adding context for visual

- **Who, What, When, & Where...**

- IP, data element/indicator set, time period, location

Data Entry [?](#)

| | | |
|--------------|---------------------|--|
| WHERE | → Organisation Unit | Motebang Hospital |
| WHAT | → Data Set | MER Results: Facility Based |
| WHEN | → Period | January - March 2015 <input type="button" value="Prev year"/> <input type="button" value="Next year"/> |
| WHO | → Funding Mechanism | 10219 - EGPAF |

What data is fed from DATIM to FACTS Info:

- National Level Indicator Targets and Results
- National Level Indicator Narratives for Targets and Results
- Technical Level Indicator Targets and Results
- Technical Level Indicator Narratives for Targets and Results
- Implementing Mechanism Indicator Targets and Results
- Implementing Mechanism Indicator Narratives for Targets and Results