

Ethiopia Country Coordinating Mechanism (CCM/E)

# **OVERSIGHT PLAN**

A Guide for Carrying out  
Oversight of Global Fund Grants

**July 2014**

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## **PREFACE**

This Oversight Plan aims to guide the Ethiopia Country Coordinating Mechanism (CCM/E) in carrying out its grant oversight responsibilities. It provides a framework for consistent, transparent oversight by the CCM/E of the implementation of Global Fund grants, and outlines the oversight procedures and processes which are referenced in the CCM/E Governance Manual.

Intended users of this plan are all members of the CCM/E, its Secretariat, and specifically the members of the CCM/E Oversight Committee.

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**TERMS AND ACRONYMS**

CCM/E	Ethiopia Country Coordinating Mechanism
EFR	Enhanced Financial Reporting
FPM	Fund Portfolio Manager (Global Fund staff overseeing grants)
HPN	Health Population and Nutrition
JCCC	Joint Core Coordination Committee
JCF	Joint Consultative Forum
LFA	Local Fund Agent (of the Global Fund)
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
NFM	New Funding Model
PLWD	People Living with Disease
PR	Principal Recipient
PU/DR	Progress Update and Disbursement Request (by PR to Global Fund)
SR	Sub-Recipient
SSR	Sub sub-Recipient
ToR	Terms of Reference
TS	Technical Support

## 1 INTRODUCTION

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This Oversight Plan provides guidance for the CCM/E to conduct consistent, transparent oversight of Global Fund grants in Ethiopia. This document builds on CCM/E documents updated in 2012<sup>1</sup> which outline the establishment of an Oversight Committee and the establishment of field visit team and will replace the aforementioned documents. This Oversight Plan summarizes the conceptual framework for grant oversight and describes procedures and processes for the CCM/E to conduct grant oversight.

This plan is written to enable the CCM/E to:

- Orient CCM/E members in their oversight roles and responsibilities
- Support Principal Recipient (PR) and Sub-Recipients (SRs) in the implementation of grants
- Identify bottlenecks in grant implementation and offer solutions
- Be informed of grant implementation for purposes of transparency, accountability, and the preparation of new funding applications
- Promote stronger relationships between the PR(s) and the CCM/E
- Describe the oversight process to other grant stakeholders

### 1.1 Definition and Mandate

Oversight is a coordinated set of activities -- gathering information, analyzing information, taking action, and reporting -- to support and ensure that grant activities are implemented as planned, and to identify and resolve implementation issues and bottlenecks. Oversight of Global Fund grants is a core function of the Ethiopia Country Coordinating Mechanism (CCM/E) as mandated by the CCM/E Governance Manual [section 3 (iii)].

In addition, CCM oversight is a specific Global Fund requirement.<sup>2</sup>

**Requirement 3:** *Recognizing the importance of oversight, the Global Fund requires all CCMs to submit and follow an oversight plan for all financing approved by the Global Fund. The plan must detail oversight activities, and must describe how the CCM will engage program stakeholders in oversight, including CCM members and non-members, and in particular non-government constituencies and people living with and/or affected by the diseases.*

### 1.2 Principles of CCM Oversight

Several principles of CCM Oversight provide the framework for this Oversight Plan:

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<sup>1</sup> “Draft Proposal for the Establishment of the Global Fund Grants’ Performance Oversight Committee” (updated February 2012) and “CCM/E Members Field Monitoring/Oversight Activities of the Global Fund Supported Performance at Different Levels (updated February 2012).

<sup>2</sup> Guidelines and Requirements for Country Coordinating Mechanisms;  
[http://www.theglobalfund.org/documents/ccm/CCM\\_Requirements\\_Guidelines\\_en/](http://www.theglobalfund.org/documents/ccm/CCM_Requirements_Guidelines_en/)

1. **Oversight is a national responsibility.** As stated in the Global Fund's *Guidance Paper on CCM Oversight*, "the core principle of oversight is to ensure that resources – financial and human – are used efficiently and effectively for the benefit of the country."<sup>3</sup> CCMs therefore have a national perspective, with a unique responsibility to coordinate the overall management of Global Fund grants within the country.
2. **Oversight is different from Monitoring and Evaluation.** Monitoring and evaluation activities focus on detailed activities of program implementation, and are the appropriate responsibility of Principal Recipients (PR) and other implementing agencies. In contrast, oversight focuses on the "big picture" of grant implementation. It is a scan across grants to identify cross-cutting issues, and its emphasis is on identifying and resolving major issues threatening successful grant performance.<sup>4</sup>
3. **Oversight focuses on several key areas.** Oversight typically focuses on several questions that are at the core of effective grant implementation:
  - *Where is the money?*
  - *Where are the drugs, medical supplies, and equipment?*
  - *Are sub-recipients receiving required resources and technical support as planned?*
  - *Are the grants being implemented as planned?*
  - *Are the results meeting the performance targets?*
4. **Oversight is cyclical.** Oversight follows grant reporting cycles for reviewing the performance of PR(s) as program managers, the timely execution of work plans, and technical results compared to annual or semi-annual targets.
5. **Oversight is a legitimate CCM function with which Principal Recipient(s) must comply.** The Global Fund requires that CCMs must hold Principal Recipients accountable for resources given to the country. In all cases, the Global Fund grant agreement includes a number of articles that give the CCM the legal authority to perform its role, and mandates the PR to cooperate with the CCM in carrying out its oversight responsibilities<sup>5</sup>.
  - **Oversight occurs throughout the lifecycle of a grant.** The Oversight function of the

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<sup>3</sup> Guidance Paper on CCM Oversight.

[http://www.theglobalfund.org/documents/ccm/CCM\\_CCMOversightGuidance\\_Paper\\_en/](http://www.theglobalfund.org/documents/ccm/CCM_CCMOversightGuidance_Paper_en/)

<sup>4</sup> Ibid

<sup>5</sup> Article 7a: the CCM oversees the implementation of programs financed by the Global Fund.

Article 7b: PRs are legally obligated to cooperate with CCMs and to be available to meet with them regularly to discuss plans, share information, and communicate on program-related matters. PRs are also legally obligated to provide program-related reports and information to the CCM upon request.

Article 15: PRs are legally obligated to provide CCMs with a copy of periodic reports submitted to the Global Fund.

Article 23: The CCM is consulted on any decisions to change PRs.11

Article 25: PRs are legally obligated to copy CCMs on all notices, requests, documents, reports, or other communication exchanges with the Global Fund Secretariat.

Article 28b: The PR implements programs on behalf of the CCM.

CCM:

- starts at the time of the development of the Concept Note. In developing the Concept Note, CCMs should ensure harmonization of CCM activities with other foreign aid initiatives in the country. In this regard, the CCM/E should ensure convergence between the CCM/E and the governance arrangements of the MDG Performance Fund and opportunities for sharing information. In addition, the CCM/E should formalise mechanism for engagement with the MDG PF (JCCC/JCF) and the Health Population and Nutrition (HPN) partner discussions;
- continues through grant making – with the overseeing of the grant making process, identification of areas for technical support, noting changes in the work plans and noting preparedness of PRs and SRs in grant implementation (including financial management capacity, human resource capacity, procurement plans and reporting systems);
- continues through grant implementation (see section “oversight roles and responsibilities” for more details; and
- ends at grant closure, with the preparation of a grant close-out plan, disposal of assets funded by the Global Fund and the preparation of documents for submission of requests for continued funding.

## 2 OVERSIGHT ROLES AND RESPONSIBILITIES

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The CCM/E is the primary agent for grant oversight, although other institutions involved in Global Fund grants – the PR(s) the Sub-Recipients (SRs), and the Global Fund’s Local Fund Agent (LFA) – each have a role and associated responsibilities in oversight. The CCM/E has been conducting oversight as a whole, with the review of PR reports during CCM/E meetings. In addition, the entire CCM/E has been divided into three field visit teams which have conducted site visits periodically. The lack of funding for the site visits and the lack of availability of some CCM/E members have been noted as challenges.

### 2.1 CCM/E

#### 2.1.1 FULL CCM/E

The full CCM/E has the overall responsibility for oversight. The full CCM/E will be responsible for:

- Delegating to the Oversight Committee the day-to-day activities of oversight;
- Receiving and acting on information from the Oversight Committee;
- Taking decisions and actions based on full CCM/E discussions;
- Following up on decisions and actions; and
- Monitoring and reporting on results.

In addition, the CCM/E will:

- Review this Oversight Plan periodically to address challenges and issues emerging over time; and
- Organise sessions at least once a year to orient or re-orient its members to their oversight role.

#### 2.1.2 CCM/E OVERSIGHT COMMITTEE

The main function of the CCM/E Oversight Committee is to support the full CCM/E in overseeing each grant. Oversight Committee members must be particularly sensitive to conflict of interest. In order to avoid any potential source of conflict of interest, the Oversight Committee should not include representatives from any PRs, SRs or CCM Secretariat staff.

**Areas of Oversight.** The Oversight Committee is responsible for providing oversight to existing Global Fund grants in Ethiopia in 3 areas:

- Financial – ensuring appropriate, timely, and effective use of Global Fund funding
- Management – ensuring timely and effective implementation of PR and SR work plans
- Programmatic – ensuring the achievement of intended results in short- and intermediate-term periods

These responsibilities relate to concept note preparation and to all phases of grant implementation:

- Concept Note development – ensuring that adequate resources (human, financial and



technical) are available to develop successful funding applications;

- Selection of appropriate and able PR(s);
- Three-year funding cycle under the New Funding Model (NFM);
- Major changes in grants, including changes in scope and scale of work, grant performance framework indicators, and the designation of implementing partners; and
- Grant closure, including the review and endorsement of any close-out plans (e.g., distributing and disposing of program assets) and budgets.

**Oversight Activities.** The activities of the Oversight Committee are organised in four major areas. The specific activities are outlined in **Annex 1**.



1. **Gathering information.** The CCM/E Secretariat plays an important role in assisting the Oversight Committee in gathering information. Gathering information is key to all other oversight activities – since the Oversight Committee will be unable to mobilize and act without good information about implementation issues, problems, or bottlenecks. Information is gathered in three major ways:
  - **Review of reports or re-packaged data**, such as Dashboards<sup>6</sup> (if the CCM/E decides to reinstate/revive use of the Dashboard), PU/DR reports, Enhanced Financial Reporting (EFRs), Quarterly Performance Reports, Annual Reports, etc.
  - **Site visits:** These include visits to Service Delivery Sites, points at which services are actually delivered to populations. Site visits are important to give a perspective on the service delivery under the grant. Site visits are *not* monitoring and evaluation trips; rather they are to enable the CCM/E to obtain first-hand information on program activities and quality.
  - **Investigation of specific issues**, typically conducted through PR/SR presentations to the Oversight Committee, although technical experts may be authorized to investigate problems and report back to the Oversight Committee.
2. **Analyzing information.** Information that has been gathered is analyzed to identify problems, key issues, and bottlenecks requiring CCM/E attention. This analysis process may be supported or executed through technical expertise that has been recruited to assist the Oversight Committee.

<sup>6</sup> A dashboard is an MS Excel® file which summarises – for oversight purposes – each grant in a reas of finance, management, and program, with indicators selected to answer the key oversight questions.

3. **Taking action.** Once problems, issues, or bottlenecks are identified and understood, the Oversight Committee makes recommendations to the larger CCM/E to resolve them. Options will be identified to resolve the problem or issue. The Oversight Committee presents the issues and recommendations to the larger CCM/E so that decisions can be made.
4. **Reporting:** The Oversight Committee reports to the larger CCM/E on its oversight activities as well as tracks progress in implementing CCM/E decisions.

It is expected that the Oversight Committee will meet regularly, at least once per quarter, synchronising its meetings with the CCM/E's ordinary quarterly meetings (see **Annex 2**). A full Terms of Reference for the Oversight Committee can be found in **Annex 3**.

### 2.1.3 CCM/E SECRETARIAT

The Secretariat plays a critical role in supporting the work of the Oversight Committee and CCM/E by:

1. Organizing oversight-related orientations and capacity building for CCM/E members.
2. Assisting the Oversight Committee to collect, analyse and evaluate data and information needed for Oversight by:
  - Providing the PU/DR and other materials to the CCM/E Oversight Committee for review, analysis, comments, and recommendations;
  - Assisting the Oversight Committee to seek clarification from the PR on issues identified through the review of PU/DRs and other information;
  - Preparing summary information for each grant in appropriate formats (e.g. data, comments, or graphs); if a dashboard approach is reinstated, the summary information will be presented in tables and graphs using Microsoft Excel;
3. Assisting the PR and Oversight Committee to organize and carry out site visits.
4. Assist in reporting for full CCM by:
  - Distributing Oversight Committee reports, including comments and recommendations, to all members of the CCM/E;
  - Recording the CCM/E's decisions regarding any actions to be taken to support the grant; and
5. Maintaining systematic records of CCM/E Oversight Committee meetings and actions.
6. Keeping an up-to-date log of CCM/E actions and status of the implementation of the actions
7. In addition, the CCM/E Secretariat will regularly check the Global Fund website ([www.theglobalfund.org](http://www.theglobalfund.org)) and the AidSpan website ([www.aidspace.org](http://www.aidspace.org)) for new information relevant to the oversight of the Ethiopia Global Fund grants. When relevant information is identified, the CCM/E Secretariat will share it with CCM/E members and with the PRs. When a CCM/E member becomes aware of important information, he/she is expected to share it with the CCM/E Secretariat for forwarding to other CCM/E members.

## 2.2 Principal Recipients

The Principal Recipient (PR) has the overall responsibility for monitoring and evaluating its grant and for reporting on grant performance. The PR receives reports from SRs, and verifies and analyses the data to ensure completeness, accuracy, and quality. The PR then completes the PU/DR report<sup>7</sup>, which is submitted to the LFA within 45 days of the end of the reporting period. PU/DRs as well as EFR<sup>8</sup>s should be shared with the CCM/E Secretariat at the time of submission to the LFA.

CCM/E oversight must be exercised with the support of, and in collaboration with, PRs. PRs are required to provide the information needed for oversight per the grant agreement articles mentioned earlier.

The specific responsibilities of a PR in CCM/E oversight is to:

- Share its Performance Framework, identifying the service delivery indicators and targets to be achieved by the PR during the grant
- Share routine reporting data with the CCM/E – e.g. PU/DRs when they are submitted to LFA;
- Provide additional data and information to the CCM/E upon request; and
- Assist the CCM/E to arrange and carry out oversight site visits.
- Provide other documents that may be required for grant oversight by the CCM/E (e.g. Grant Agreements, Implementation Letters, audit reports, Performance Frameworks, Monitoring and Evaluation Plans, Procurement and Supply Management Plans, budgets etc.)

## 2.3 Sub-recipients

Sub-recipients (and some PRs) are responsible for direct implementation of the grants. Each SR has a contractual relationship with a principal recipient (PR), and it is obligated to deliver on specific targets of the programme. SRs submit activity and financial reports on their grants to their PR, based on their work plan and on monitoring guidelines provided by the PR.

The SR contributes to the oversight process. The specific responsibilities of SRs are to:

- Submit data periodically and on time to its PR (this data forms the basis of CCM/E oversight);
- Provide data to the CCM/E, on request, on specific issues; and
- With its PR, facilitate site visits by CCM/E members and assist them to understand the grant.

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<sup>7</sup> The Progress Update/Disbursement Request (PU/DR) report is the standard reporting template for annual, semi-annual or quarterly reporting to the Global Fund. The PU/DR contains information on programmatic progress (the achievement against indicators in the Performance Framework); PR grant management (including updates on Conditions Precedent and actions from Management Letters); PR cash flows; PR procurement; PR cash reconciliation; and the PR Disbursement Request.

<sup>8</sup> The Enhanced Financial Reporting (EFR) collects high-level financial information from PRs once a year. The EFR requires details of budget, expenditure, and variances by cost category, service delivery area and by implementing entity for each grant.

## **2.4 Local Fund Agent (LFA)**

The Local Fund Agent's role is to provide independent and objective advice to the Global Fund. The LFA has no formal role in oversight. Although by design the LFA and the CCM/E do not communicate directly, the LFA plays an important behind-the-scenes role in oversight. Each PR reports to the Global Fund through the LFA, using the PU/DR reporting format. After discussions with the PR, the LFA reports its findings to the Global Fund but does not report them to the CCM/E. Thus, the CCM/E will obtain information relevant to oversight from the PR.

### **3 OVERSIGHT COMMITTEE MEMBERSHIP AND PROCEDURES**

The CCM/E Governance Manual establishes the Oversight Committee as a permanent committee which reports to the larger CCM/E [Section 6.7 of the Governance Manual].

#### **3.1 Oversight Committee Membership**

General membership requirements for the CCM/E Oversight Committee are described below:

- Oversight Committee members shall be appointed by the CCM/E in a transparent and documented process
- Oversight Committee members shall elect an Oversight Committee Chair and Vice-Chair
- Oversight Committee shall consist of five CCM/E representatives and three non-CCM/E individuals who can be appointed to the Oversight Committee upon approval by the full CCM/E. Other non CCM/E individuals may be invited to the Oversight Committee by the full CCM/E as needed.
- The Oversight Committee Chair and Vice Chair should be CCM/E representatives.
- Only Oversight Committee members will attend oversight meetings unless other individuals are invited by the Chair or his/her designee.
- Terms of office: three years, renewable through re-appointment by the CCM/E.

Oversight Committee members should also meet the following additional requirements:

- **Interest, availability and commitment for oversight.** Oversight is a key function of the CCM/E and members of the Oversight Committee will have to dedicate adequate time to conducting oversight in an effective manner. As such, members of the Oversight Committee must be willing to take on this responsibility.
- **The overall skill-set of the Oversight Committee** should be drawn from a range of sectors and should include skills in finance/budgeting, monitoring and evaluation, management, procurement and supply management and technical skills in the diseases.
- Additionally the committee may request further **support from experts** as needed during their term of office.
- **Key populations and people living with disease (PLWD) representative(s)** should also be included on the Oversight Committee.
- **Members shall not be from implementing organizations.** CCM/E members representing institutions that are PR(s) or SRs shall not be named to the CCM/E Oversight Committee. CCM/E representatives may however be invited to Oversight Committee meetings as non-voting participants to provide information on the grants. This requirement reflects the need to avoid the conflict of interest inherent in any individual serving both an implementing and oversight role for Global Fund programs.
- **Technical support.** Technical support (TS), to augment the Oversight Committee, is also authorized in the CCM/E Governance Manual: “Technical experts can be included as regular or ad hoc representatives in the Oversight Committee”. External TS for oversight should be

provided by individuals, agencies, and academic / research institutions with the requisite and relevant expertise.

### **3.2 Rules of Procedure**

The Oversight Committee shall operate by the following rules of procedure:

- a. Oversight Committee members are required to attend meetings consistently and regularly.
- b. The Oversight Committee will meet regularly, at least once per quarter to align with the regular CCM/E meetings, and the PR reporting cycles (semi-annual), or to address relevant issues as needed.
- c. The Committee shall operate by simple majority vote.
- d. The quorum for meetings shall be fifty percent of the Oversight Committee membership.
- e. Each meeting shall have an agenda prepared by Chair with assistance of the CCM/E Secretariat and inputs from other Oversight Committee members.
- f. The Chair shall preside at all meetings of the Oversight Committee. In the event that the Chair is unable to attend a meeting, the Vice-Chair shall preside. If both the Chair and Vice Chair are absent, and assuming that a quorum is present, the meeting participants shall designate a temporary Chair.
- g. Minutes of for each oversight meetings will be prepared by the CCM/E Secretariat, in collaboration with the Oversight Committee Chair. These minutes will be circulated to all Oversight Committee and members of the full CCM/E within two weeks.

### **3.3 Orientation and Ongoing Training of CCM/E Members**

Orientation to, and ongoing training on, the oversight function of the CCM/E is important so that all CCM/E members are aware of the CCM/E's oversight role and responsibilities and are able to make appropriate interpretations, recommendations, and decisions about each grant.

**New CCM/E representatives:** To each new member and alternate, the CCM/E Secretariat will provide a package of information about the CCM/E and its oversight role. The CCM/E Secretariat will also organize a general orientation of all new CCM/E members within two months after they have been selected as members.

**Ongoing training of all CCM/E representatives:** The CCM/E Secretariat will organize a workshop or session annually to refresh and harmonize CCM/E representatives' understanding of oversight and to identify and resolve issues they have in carrying out oversight.

## 4 OVERSIGHT PROCESS

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The system for oversight of grant implementation outlines the procedures for identification of oversight indicators and data sources, the collection of data via agreed-upon tools and processes, data management, data analysis, reporting, and use of the reports for making decisions.

Note that oversight is a key CCM/E function where managing conflict of interest is particularly important to assist members to remain as impartial and unbiased as possible. Conducting oversight in accordance with the CCM/E Conflict of Interest Policy, has the purpose of ensuring fairness and transparency in the CCM/E's decision-making process, protecting the reputation and integrity of members and organizations represented on the CCM/E, and ensuring broad public trust, accountability, and confidence in the CCM/E's decision-making process and grant oversight activities.

### 4.1 Identifying a Grant's Programmatic Indicators for Oversight

The Global Fund has adopted an "executive dashboard"<sup>9</sup> for standardizing and streamlining the reports a CCM needs to review as part of oversight. Some CCM/E members have been trained in the use of the Dashboard but the Dashboard was not fully implemented by the CCM/E.

The graphic format displays results on a limited number of indicators in order to answer key questions about the grant. The dashboard is not a pre-requisite for oversight and the Oversight Committee may or may not choose to adopt the use of the tool. Whether or not the dashboard is employed, the CCM/E will have to focus on key areas:

- **Uses of funds**, including funds obligated and received by PRs and program expenditures (budgeted versus actual) by both PRs and SRs
- **Provision of drugs and medical supplies**, including accruals of and expenditures for medicines and medical supplies, stocks of medicines and medical supplies, timeliness of orders and delivery, and timeliness of product distribution to SRs and SSRs
- **Timely implementation of program activities**, including implementation of program activities defined in the grant work plan and their funding (budget versus actual) by grant objective
- **Achievement of key program indicators**, including current status of key performance indicators (including impact, outcome, and coverage) for grant objectives
- **Effectiveness of grant management by the PR**, including hiring status of key PR managerial positions, status of technical support to SRs, attention to PR–SR issues, and status of PR conditions precedent and time-bound actions established by the Global Fund
- **Reporting**, including accurate, timely and complete submission of reports from SR(s) to the PR(s) and from the PR(s) to the LFA.

In addition to these major types of information, the CCM might require other information from PRs to clarify the status of program implementation in these areas.

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<sup>9</sup> See Footnote 6

## 4.2 Sources of information for Oversight

The CCM/E and the Oversight Committee gather information from the following major sources:

- **PR reports and available data**, including PU/DR reports (which are prepared semi-annually), performance reports, program work plans and budgets, monitoring and evaluation plans, procurement and supply management plans, results of PR annual audit(s), and annual (or enhanced) financial reports
- **Global Fund reports and sources**, including grant performance reports; grant score cards; Global Fund management letters and other correspondence with the Global Fund secretariat; and information, observations, and comments received from the Global Fund's Fund Portfolio Manager responsible for the Ethiopia grants
- **Special reports commissioned by the CCM/E**, including surveys of beneficiaries or other stakeholders undertaken periodically to inform oversight, concept note development, and/or harmonization activities
- **Field oversight visits** to provide the CCM/E with an overall sense, rather than a detailed understanding, of program achievements and challenges in the field. As appropriate, non-CCM/E members and individuals representing people living with the Global Fund diseases may participate in these visits as appropriate
- **Investigations of specific issues**, typically conducted through presentations by PRs and SRs to the Oversight Committee or through investigative site visits, although the CCM/E may choose to authorize technical experts to investigate problems and report back on their investigations to the CCM/E
- **Feedback from people living with diseases** as recommended by the Global Fund's guidelines on CCM grant oversight
- **Feedback from constituencies** represented on the CCM/E or from other constituencies with relevant input.

## 4.3 Regular Data Collection

Data collection and reporting on each CCM/E grant occurs semi-annually (i.e. every 6 months). This is in line with grant reporting requirements to the Global Fund. In the quarters where the PR does not report to the Global Fund, the PR can provide a summary of progress for that quarter to the Oversight Committee.

When the PR submits the PU/DR to the LFA, a copy must be shared with the CCM/E Secretariat. The CCM/E Secretariat then (a) compiles the data in the format designated by the Oversight Committee (dashboard or otherwise), (b) organises both an in-house review and a review by the PR to ensure completeness and accuracy of the required data, and (c) organises the Oversight Committee's review of the information.



The Oversight Committee analyzes the information prepared by the CCM/E Secretariat and makes recommendations to the CCM/E. The Committee may also identify issues that need to be clarified with the PR before the full CCM/E meeting; thus, the Oversight Committee may hold meetings with the PR to get more information on specific issues to facilitate appropriate recommendations to the CCM/E.

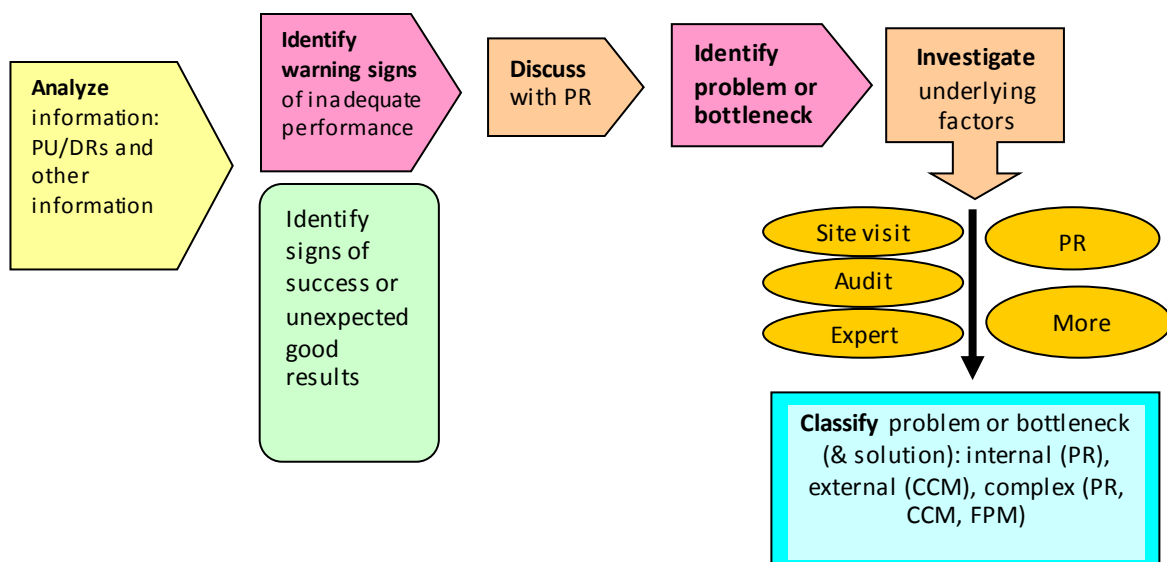
The Global Fund recommends the use of the CCM Dashboard for data collection, compilation and analysis. More information can be found on the Global Fund website<sup>10</sup>.

#### 4.4 Identifying and Resolving Bottlenecks/Difficulties

The main focus of the CCM/E oversight function is to identify and help resolve bottlenecks to successful grant implementation. The CCM/E will gather and analyse information in order to identify the key factors hampering effective implementation.

**Identifying implementation bottlenecks or difficulties.** The process for identifying problems or bottlenecks is graphically represented in **Error! Reference source not found..**

**Figure 1: PROCESS FOR IDENTIFYING A BOTTLENECK/DIFFICULTY**



The Oversight Committee will analyse the information in the PU/DR and other relevant reports and sources, using the five key questions<sup>11</sup> as a framework to guide their oversight. These key questions will help the Oversight Committee identify early warning signs or unexpected positive results. The Oversight Committee will then discuss their findings with the PR, seeking additional information and clarification as needed. Discussions with the PR may help to elucidate the implementation bottleneck or difficulty, which would lead to further investigation of the underlying factors

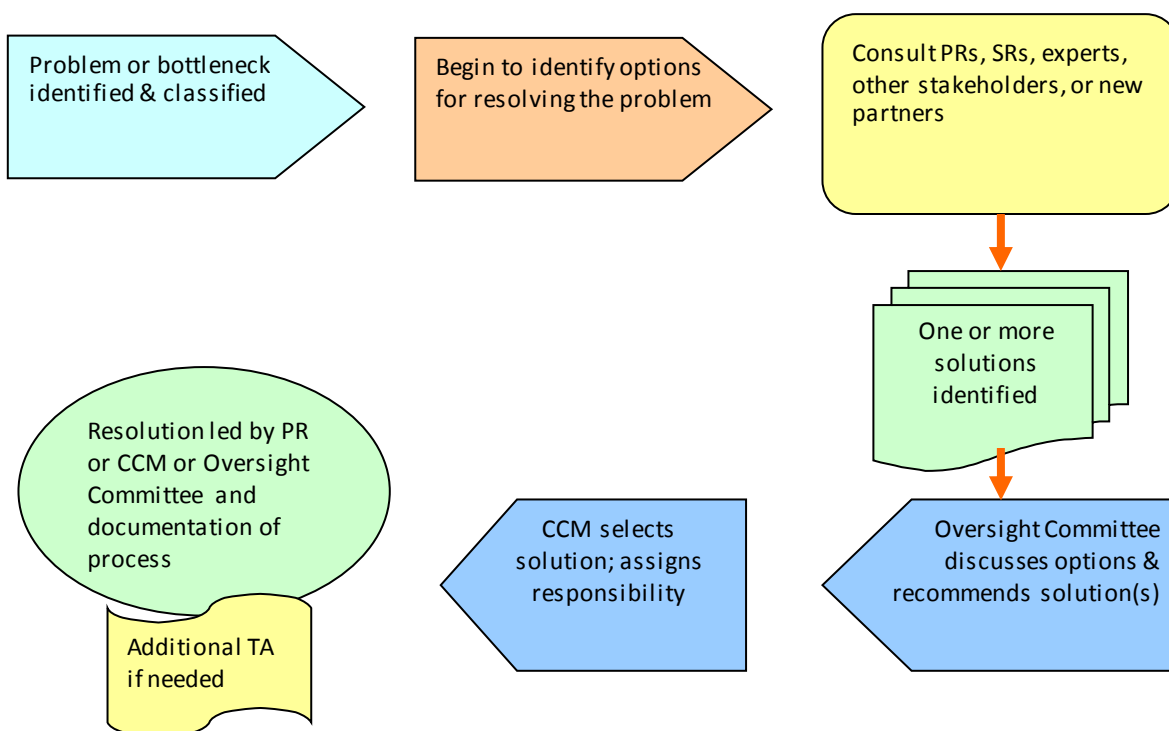
<sup>10</sup> <http://www.theglobalfund.org/en/ccm/oversight/>, Grant Oversight Tool (Dashboard)

<sup>11</sup> Where is the money? Where are the drugs/medical supplies? Are the SRs receiving the required resources and technical support as planned? Are the grants being implemented as planned? Are the results meeting the performance targets?

contributing to the bottleneck. This further investigation can be by way of a site visit, an expert opinion, an audit or more information from the PR or another source. With the bottlenecks and underlying factors identified, a classification of the type of bottleneck (and potential solutions) can occur: internal (PR); external (CCM/E); complex (PR, CCM/E and FPM).

**Resolving implementation bottlenecks or difficulties.** Once the implementation bottleneck or difficulty has been classified, there needs to be a process for developing options to resolve specific problems. This process is shown in **Error! Reference source not found.**

**Figure 2: PROCESS FOR DEVELOPING OPTIONS TO RESOLVE PROBLEMS**



Once a bottleneck or difficulty is identified and classified, the Oversight Committee begins to identify options to resolving the bottleneck. This is done by consulting with the PR(s), SR(s) or other experts and stakeholders. It may also be the time to bring in new partners who could support the CCM/E and PR in overcoming the implementation difficulties. These consultations should result in one or more possible solutions. The Oversight Committee will discuss these options and recommend a solution(s) to the larger CCM/E. The CCM/E will select a solution (consulting the PR as necessary) and will then assign responsibilities for the implementation of the solution. The CCM/E will follow-up the bottleneck on a regular basis to ensure that it is resolved. The CCM/E will also document the process.

## 4.5 Reporting and Communications

The Oversight Committee will report on its actions and findings to the full CCM/E at every ordinary meeting. The Oversight Committee will develop an Oversight Committee Report template as part of the workplan (see **Annex 1**). This template will be used to frame the Oversight Committee discussions on a regular basis to identify issues and highlight the Oversight Committee

recommendations to the full CCM/E. The report should be presented to the full CCM/E for discussion and follow up. The CCM/E's meeting minutes will note the Oversight Committee Report and the discussion of it. Site visit reports will be written, using a standard format provided by the CCM/E Secretariat (see **Annex 4**). Other reports will be oral or written as appropriate and will be recorded in the minutes.

In keeping with the Global Fund principle of transparency of the grants and of CCM/E's oversight, and in the spirit of all stakeholders working toward the same goal, the CCM/E will also communicate with stakeholders who are not CCM/E members (e.g. by posting PU/DRs and other information on a website, which the CCM/E plans to develop). However, CCM/E members will respect the confidentiality of informal communications.

#### 4.6 CCM/E Decision Making and Follow-up

Once the Oversight Committee's comments and recommendations are finalised, the Oversight Committee Report should be circulated to all CCM/E members prior to a meeting of the full CCM/E. During the meeting, the Oversight Committee will present its findings and recommendations, and facilitate any discussion or provide needed clarifications. After considering the recommendations of the Oversight Committee, the full CCM/E then determines the appropriate course of action.

The CCM/E's decisions should specify both the actions needed and the persons responsible. These will be recorded in both the meeting minutes and should be followed up at subsequent CCM/E meetings. The CCM/E may engage additional technical support (TS) if needed. The decisions of the CCM/E are documented by the CCM/E Secretariat in the minutes of the CCM/E to support follow-up and tracking of the implementation of the decisions. Decisions and the reasoning behind them are also reflected in the official minutes of the meeting.

**TABLE 1: EXAMPLES OF CCM/E DECISIONS**

<b>to be done by the PR</b>	<ul style="list-style-type: none"> <li>• The CCM/E asks the PR for further information on a specific topic.</li> <li>• The CCM/E asks the PR to help organize a site visit addressing a specific topic.</li> <li>• The CCM/E asks the PR to meet with SRs to develop joint plans for addressing service delivery issues and bottlenecks</li> <li>• The CCM/E asks the PR to make specific changes in the management of the programme to make it more efficient and effective.</li> <li>• The CCM/E asks the PR to follow up a problem previously identified</li> </ul>
<b>to be done by the CCM/E</b>	<ul style="list-style-type: none"> <li>• Members visit a site to investigate a problem.</li> <li>• A CCM government representative communicates with another Ministry to help clear a bottleneck.</li> <li>• Members mobilize additional technical support.</li> <li>• CCM/E ask the FPM to arrange for an external, impartial evaluation of grant progress</li> </ul>

The CCM/E Secretariat will keep a log of all the decisions made by the CCM/E and will monitor, at

least once every 3 months, the extent to which actions are implemented. This monitoring will be reflected in the Oversight Committee Report as well as in the meeting minutes.

The CCM/E should also provide feedback to the PRs on the reports that they submit and on any other issue that could improve performance.

#### **4.7 Reporting to Stakeholders**

The updated CCM minimum standards will require that from January 1 2015, CCMs have in place mechanisms to share oversight results with the Global Fund Secretariat and in-country stakeholders quarterly. The CCM/E Oversight Committee will share its oversight results with the Global Fund Secretariat and in-country stakeholders by posting a summary of oversight activities for the quarter on the CCM/E website and by including a section on oversight in the annual CCM/E report.

## 5 OVERSIGHT WORK PLAN AND BUDGET

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The Oversight Committee, with assistance of the CCM/E Secretariat, will set up the processes for oversight in an Initial Oversight Committee Work plan. This Initial work plan **in Annex 1** outlines the initial steps to be taken by the Oversight Committee, with the support of the full CCM/E. The Oversight Committee, once in place, will have to elect a Chair and Vice-Chair and determine which stakeholders, outside of the CCM/E, will be included on the Oversight Committee. The Oversight Committee will request a copy of the Performance Frameworks and other relevant documents from the PR. In addition, the Oversight Committee will also request an in-depth briefing on the active grants in Ethiopia to gain a deeper understanding of the grants and the issues at play. The Oversight Committee will have to determine the framework for their review and analysis and will have to identify the indicators and parameters they will assess as part of their oversight and will review the latest PU/DR using this framework.

Once the first review is completed, the Oversight Committee will report back to the full CCM/E, modifying their framework and reporting format as needed. The CCM/E will be required to develop a work plan for 2014-2015. **Annex 2** provides a framework for CCM/E oversight activities and frequency, which lists typical oversight activities to be incorporated into a costed work plan. An oversight budget will be prepared to support the activities and required resources for implementing the annual work plan. The oversight budget will be a sub-set of the overall CCM/E budget.

## ANNEX 1. INITIAL CCM/E OVERSIGHT WORKPLAN

Given that the CCM/E Oversight Committee is being re-established, an Initial Oversight Committee work plan has been developed. Annex 1 provides the suggested initial steps for the Oversight Committee. This initial work plan covers the period July to December 2014 and will allow the CCM/E Oversight Committee to be established and for the oversight work to commence, in line with the Global Fund requirements. Within this 6-month interim period, the CCM/E Oversight Committee will develop an annual work plan and budget for 2015, based on the model in Annex 2.

### INITIAL OVERSIGHT COMMITTEE WORK PLAN

	July 2014	Aug. 2014	Sept. 2014	Oct. 2014	Nov. 2014	Dec. 2014	Budget required?
1. Elect Oversight Committee	✓						No
2. Elect Oversight Committee Chair and Vice-Chair	✓						No
3. Determine stakeholders outside the CCM/E who could be included on the Oversight Committee	✓						
4. Endorse Oversight Committee TOR and Oversight Plan	✓						No
5. Develop/agree on current interim work plan (for 6 months)	✓						No
6. Endorse Oversight budget (part of overall CCM/E budget)	✓						No
7. Request Performance Framework and PU/DR from PR for review by Oversight Committee		✓					
8. Request briefing on Global Fund grants from PRs and SRs as needed		✓					No
9. Determine the format for document review: - Identify 4 - 5 performance indicators to monitor per grant (from Performance Framework)			✓	✓			Yes - printing

	July 2014	Aug. 2014	Sept. 2014	Oct. 2014	Nov. 2014	Dec. 2014	Budget required?
<ul style="list-style-type: none"> <li>- Identify financial indicators to monitor (e.g. budget versus disbursement; budget versus actual expenditure; time taken for disbursements to SRs; number of days taken for PR to submit PU/DR to LFA)</li> <li>- Determine how to oversee procurement issues related to the grant (e.g. update on stocks from PR?)</li> <li>- Verify conditions precedent and special conditions are met</li> <li>- Review of Management Letters from the Global Fund</li> </ul>							
<b>Decide on the re-adoption of the CCM Dashboard</b>							
10. Determine format for Oversight Committee Report				✓			No
11. Review the Global Fund grants due for reporting Jan – June 2014 PU/DR with PRs and SRs, using criteria identified in Activity #9				✓			Yes- refreshments
12. Report back to CCM/E on progress of Oversight Committee and review of Jan-June 2014 PU/DR				✓			No
13. Design/modify questionnaire for site visits				✓			Yes- printing
14. Develop annual Oversight Committee workplan and budget					✓	✓	
15. Endorse Oversight Committee Budget					✓	✓	
16. Submit Oversight Committee Workplan for CCM/E endorsement						✓	

## ANNEX 2. FRAMEWORK FOR CCM/E OVERSIGHT ACTIVITIES & FREQUENCY

This annex provides a general framework for CCM/E oversight activities, demonstrating the frequency of oversight activities. This framework should guide the CCM/E Oversight Committee activities and should assist in the development of subsequent Oversight Committee budgeted work plans.

### GENERAL FRAMEWORK FOR CCM/E OVERSIGHT ACTIVITIES

Oversight Activities	Key Actors	Frequency					Budget Required?
		Annual	Quarterly	PU/DR Cycle	Other Routine	As Needed	
<b>1.0</b>	<b>CLARIFY OVERSIGHT FUNCTIONS, RESPONSIBILITIES, AND BUILD CAPACITY FOR OVERSIGHT</b>						
1.1 Develop an annual Oversight Work Plan	Secretariat	X					0
1.2 Develop an annual Oversight Budget	Secretariat	X					0
1.3 Identify technical experts to assist Oversight Committee	Secretariat	X					0
1.4 Provide induction, orientation, training and site visits to build capacity for members of Oversight Committee	Secretariat	X					yes
<b>2.0</b>	<b>GATHER INFORMATION ON GLOBAL FUND GRANTS THROUGH USE OF ROUTINE REPORTS OR AVAILABLE DATA</b>						
2.1 Receive, review copy of PU/DRs and annual reports prepared by PRs for Global Fund or the Local Fund Agent (LFA)	Secretariat	X		X			
2.2 Prepare Oversight Committee Report for relevant grant; review internally within Secretariat and then share with PR to confirm accuracy	Secretariat, PR			X			
2.3 Share with Oversight committee members for their internal reviews	Secretariat, Oversight Committee						Yes, for colour photocopying
2.4 Hold Oversight Committee meeting; Arrange for PRs to present progress on each grant to Oversight Committee	Oversight Committee, PRs		X				Yes –colour photocopying and refreshments
2.3 Monitor and review grant performance reports on Global Fund website for comments by Local Fund Agent or Global Fund on grant performance	Secretariat		X				0
<b>3.0</b>	<b>GATHER INFORMATION ON GLOBAL FUND GRANTS THROUGH SITE VISITS &amp; PR-SR PERFORMANCE REVIEW MEETINGS</b>						
3.1 Develop objectives; design/modify questionnaire & mini-report form for site visits	Secretariat					Every 2 yrs	0



Oversight Activities		Key Actors	Frequency					Budget Required?
			Annual	Quarterly	PU/DR Cycle	Other Routine	As Needed	
	3. 2 Develop calendar of orientation visits and PR-SR meeting visits	Secretariat	X					0
	3.3 Present methodology, calendar, and proposed list of sites and visitors for validation by CCM/E	Oversight Committee	X					0
	3.4 Organise logistics of site visits, at request of Oversight Committee	Secretariat, PR				X	X	0
	3.5 Visit sites and attend PR-SR status and performance review meetings according to calendar	Oversight Committee				X	X	Yes
	3.6 Prepare and present report on visits, and refer issues for follow up to CCM/E	Oversight Committee				X	X	0
<b>4.0</b>	<b>GATHER INFORMATION ON GLOBAL FUND GRANTS THROUGH INVESTIGATION OF SPECIFIC ISSUES</b>							
	4.1 Invite PR or SR representatives to meetings of Oversight Committee to answer questions or make oral presentations about grant progress or issues, problems, bottlenecks	Oversight Committee					X	0
	4.2 Use a technical expert to investigate a problem or perceived bottleneck and report back to the Oversight Committee.	Oversight Committee					X	0
	4.3 Request a presentation by a technical expert or national programme manager comparing national statistics to Global Fund grant results (Note: this includes presentations on research studies.)	Oversight Committee					X	0
	4.4 Call together or arrange to visit officials from ministries, agencies, local government authorities or partners involved in issues, bottlenecks, problems	Oversight Committee, Chair					X	0
	4.5 Identify and actively monitor issues or problems raised by the LFA during their on-site data verification	Oversight Committee					X	0
	4.6 Conduct issue-specific site visit if needed	Oversight Committee					X	Yes
<b>5.0</b>	<b>ANALYSE INFORMATION TO IDENTIFY PROBLEMS AND BOTTLENECKS REQUIRING CCM/E ATTENTION</b>							
	5.1 Analyse each grant's PU/DR and related information	Oversight Committee		X				0
	5.2 If the PU/DR or other information indicates poor performance or specific problems, use step 4.4 to learn more if possible	Oversight Committee					X	0

Oversight Activities		Key Actors	Frequency					Budget Required?
			Annual	Quarterly	PU/DR Cycle	Other Routine	As Needed	
	5.3 Determine the type of problem, issue or bottleneck causing poor performance and the institutions involved	Oversight Committee					X	0
	5.4 Identify the efforts made by the PR to date to resolve the problem	Oversight Committee					X	0
	5.5 Report to the CCM/E using the Oversight Committee Report for each grant	Oversight Committee		X				0
	5.6 During CCM/E meetings, explain any issues, problems, bottlenecks that may have been identified and which require CCM/E attention	Oversight Committee		X			X	0
<b>6.0</b>	<b>TAKE ACTION TO RESOLVE PROBLEMS AND BOTTLENECKS REQUIRING CCM/E ATTENTION</b>							
	6.1 In the case of urgent problems, call for an Extraordinary CCM/E meeting	Oversight Committee					X	yes
	6.2 Develop options and/or a recommendation to the CCM/E on action to be taken to resolve the problem or bottleneck, depending on its type and extent [to be recorded in the Oversight Committee report]	Oversight Committee		X			X	0
	6.3 The CCM/E will discuss the problem and potential solutions and will decide on the action to be taken [to be recorded in meeting minutes]	CCM/E		X			X	0
	6.4 The CCM/E will delegate to the Oversight Committee authority or shall identify other CCM/E members to pursue a solution [to be recorded in meeting minutes]	CCM/E					X	0
	6.5 The CCM/E may request additional investigations of problems and may mobilize additional support	CCM/E					X	0
<b>7.0</b>	<b>REPORT</b>							
	7.1 Review & report on the status of the problem as “old business” at the subsequent CCM/E meeting	Oversight Committee					X	0
	7.2 Share oversight results with the Global Fund Secretariat and in-country stakeholders on a quarterly basis	Oversight Committee		X				0

## **ANNEX 3. TERMS OF REFERENCE FOR THE OVERSIGHT COMMITTEE**

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### **Background**

The Global Fund requires that Country Coordinating Mechanisms (CCMs) hold Principal Recipients (PRs) accountable for resources given to the country. Similarly the Global Fund Grant Agreements require PRs to keep the CCMs continuously informed about progress in implementation of the programme. Each PR's management should furnish the CCM with reports and information as will be reasonably requested.

To fulfil its oversight function, the CCM/E has established an Oversight Committee to answer the general key oversight questions covering financial, management, and programmatic aspects of each grant.

### **Responsibilities of the Oversight Committee**

The main function of the CCM/E's Oversight Committee is to support the full CCM/E in overseeing each grant. Oversight Committee members must be particularly sensitive to conflict of interest.

The Oversight Committee is responsible for providing oversight to existing Global Fund grants in Ethiopia in four areas:

- Financial management – assuring appropriate, timely, and effective use of funding from the Global Fund
- Program management – assuring timely and effective implementation of PR and SR work plans
- Disease-specific programmatic management – assuring the achievement of intended results in short- and intermediate-term periods
- Procurement and supply management – assuring that there are adequate stocks of drugs and other medical supplies and that these drugs and supplies reach the intended beneficiaries

These responsibilities relate to all phases and areas of grant implementation.

### **Specific Activities of the Oversight Committee**

- 1) Build capacity and prepare annual plans for CCM oversight
  - Clarify oversight function of CCM/E and oversight committee responsibilities
  - Orient and train new CCM/E members on oversight guidelines and retrain existing members
  - Develop annual oversight work plans, calendars, and budgets.
- 2) Review the Progress Update and Disbursement Request (PU/DR) submitted to the Local Fund Agent (LFA) of the Global Fund (due 45 days after end of reporting period). The Oversight Committee should:
  - assess financial and management information

- assess performance achievement on indicators against targets
  - check performance information for consistency and alignment with financial and management information
  - identify problems, bottlenecks and possible solutions
- 3) Report to the CCM/E on the findings using the Oversight Committee report.
  - 4) Conduct scheduled site visits and confirm that programme activities are being implemented as planned.
  - 5) Investigate specific program issues that arise: obtain further clarification or explanation from PRs or from external technical experts, or conduct an issue-driven site visit.
  - 6) Provide guidance and recommendations to inform CCM/E decision making and further actions
  - 7) Follow up and report on results to the CCM and program stakeholders
    - Follow up on decisions made and recommended actions and report on results to CCM/E and program stakeholders.
    - Report back to CCM/E and program stakeholders on progress, remaining issues, and additional follow-up required.
  - 8) Assist the PRs to address any capacity concerns related to programme implementation (for instance mobilizing support and assistance to strengthen capacities, identifying technical support, etc)
  - 9) Conduct consultations including oversight visits, at least once every 6 months, to obtain feedback from non-CCM members and people living with and/or affected by the diseases or key populations.

### **Deliverables**

- a) Oversight Committee Reports for each grant with comments and recommendations.
- b) Minutes of each Oversight Committee meeting.
- c) Description in CCM/E minutes of the Oversight Committee presentation to CCM/E.
- d) Site visit reports (see form templates in Oversight Plan)

### **Reporting**

The Committee will report to the CCM/E every quarter, using the Oversight Committee report to present findings on financial, management, and programmatic performance. At least once a year, the Committee will summarize its activities for the CCM/E. Additional presentations may be made on other matters as needed. The CCM/E should share oversight results with stakeholders and with the Global Fund Secretariat.

### **Conflict of Interest**

Committee members must declare any conflict of interest that will or could arise in the course of undertaking their duties as members of the Oversight Committee. The declaration of the interest

must be made immediately as the situation arises. The member should recuse him/herself from conflicted matters under discussion by leaving the room.

Member selection, terms of office, and election of Committee Chairperson and obtaining additional technical support are addressed in the CCM/E Oversight Plan.

## **ANNEX 4. GUIDELINES FOR CCM/E OVERSIGHT SITE VISITS**

The goal of these visits is not to conduct an in-depth assessment of program effectiveness, but rather to investigate an issue or bottleneck or to give CCM/E members a perspective on the service delivery related to the grant. Site visits usually focus on service delivery sites, or other sites supporting service delivery (e.g. laboratories, supply management storage facilities), but can also be to a PR or SR offices.

The size of the team visiting a field site should be at least 4 persons and not exceed 6 persons. The team members should include CCM/E members, PR representatives, and observers.

The principles of transparency, cooperation, and support underlie every site visit. The CCM/E should make no surprise visits. In addition, site visits should not be conducted to address day-to-day management issues (a PR role) or to “audit” regular reports (an LFA role). Rather, there are 3 kinds of site visits appropriate to the CCM/E:

- general orientation,
- routine (to get a field-based oversight perspective on how a grant is performing), and
- issue-driven (to address a specific issue raised during a CCM/E or Oversight Committee meeting).

Careful planning is key to effective, helpful oversight visits. The CCM/E oversight field team should have clear information on program deliverables prior to a visit. The PR should assist in providing this information and in advising on issues that the CCM/E team should be aware of before proceeding to the site. Thus, allowing time for preparation means that the CCM/E visitors will not waste face-to-face time asking questions for which answers have already been provided in written reports or for which clarifications can be easily given by the PR without a visit. In addition, careful planning means that PR staff will be available and prepared to respond to CCM/E questions. Planners need to set time limits for the visit to avoid making excessive demands on the PR and SRs; and visitors need to stick to those time limits. The limits on time require careful planning to ensure key issues are addressed.

CCM/E Role	PR Role
Plan visits with PR: no surprise visits. Understand program deliverables. Be familiar with PU/DR reports. Have clear objectives for visit. Abide by policy for conflict of interest Maintain confidentiality. Set and stick to realistic time limits. Address highest-priority issues first. Draft report to CCM/E Oversight Committee. Send feedback to the host site, SR, and PR.	Work with CCM/E to choose appropriate sites. Assist CCM/E to understand program, including implementation issues. Facilitate a positive environment for visit. Ensure staff are available to answer CCM/E’s questions. Ensure information requested by CCM/E is available.

Routine site visits should be conducted to give CCM members an overall sense of program achievement and challenges so they can (1) provide better guidance to PRs, and (2) lend credibility

and stature to the grants themselves. The routine oversight visits are *not* monitoring and evaluation site visits – rather, M&E visits are to be conducted by the PR.

Routine site visits should be planned with the PRs at the beginning of each year so that CCM/E members and PRs will be able to schedule their time. Planning will include covering more than one grant in each visit and assuring that government, non-government, and international partner constituencies are represented on each field visit team.

Some potential questions that could be answered during a routine site visit are listed below for each of the main areas of CCM/E oversight (i.e. financial, procurement/management, programmatic). Prior to a routine site visit, the Oversight Committee should a few questions for each grant that is being reviewed during the site visit. The Oversight Committee should select questions based on the level at which the site visit is taking place: Regional Health Bureau, Woreda Health Office or service delivery point/discussions with beneficiaries.

**Consultation with beneficiaries:** The Global Fund Eligibility Requirement for Oversight notes that the committee or the CCM should seek feedback from non-members of the CCM and people living with and/or affected by the diseases. As such, it is crucial to meet with beneficiaries and garner feedback from them regarding the programme implementation and the need for improvements.

**TABLE 2: SUGGESTED QUESTION FOR ROUTINE SITE VISITS**

GRANT	SUGGESTED QUESTIONS FOR ROUTINE SITE VISITS	
<b>HIV Grant (s) – ART/PMTCT / counselling &amp; testing</b>	Financial:	<ul style="list-style-type: none"> <li>Are the sub-recipients (or sub-sub recipients) getting their funds on a timely basis? If not, why?</li> </ul>
	Procurement/ Management	<ul style="list-style-type: none"> <li>Are there sufficient stocks of ARV and/or other medical supplies (e.g. testing kits)? Have there been any stock-outs in the last 6 months? Are there any expired drugs that are being used?</li> <li>Are patients receiving the necessary drugs?</li> <li>Are the right people getting the needed services?</li> <li>Are all the requisite posts filled for implementing at site level?</li> </ul>
	Programmatic:	<ul style="list-style-type: none"> <li>Are the expected targets (e.g. for ART or PMTCT enrolment or for counselling/testing) being met? If not why?</li> <li>Are the right people getting the needed services?</li> <li>Are the necessary referral mechanisms working as they should (i.e. from counselling/testing to PMTCT or ART)?</li> <li>Are beneficiaries receiving the services they require?</li> <li>Are there any gaps in service delivery or areas of improvement identified by beneficiaries?</li> </ul>
<b>TB Grant</b>	Financial:	<ul style="list-style-type: none"> <li>Are the sub-recipients (or sub-sub recipients) getting their funds on a timely basis? If not, why?</li> </ul>
	Procurement/ Management	<ul style="list-style-type: none"> <li>Are there sufficient stocks of TB drugs and/or other medical supplies (e.g. lab supplies)? Have there been any stockouts in the last 6 months? Are any expired drugs or supplies being used?</li> <li>Are patients receiving the necessary drugs?</li> <li>Are the right people getting the needed services?</li> <li>Are all the requisite posts filled for implementing at site level?</li> </ul>
	Programmatic:	<ul style="list-style-type: none"> <li>Are the expected targets being met? If not why?</li> <li>Are the necessary referral mechanisms working as they should (i.e. from TB to ART)?</li> </ul>

GRANT	SUGGESTED QUESTIONS FOR ROUTINE SITE VISITS	
		<ul style="list-style-type: none"> <li>• Are beneficiaries receiving the services they require?</li> <li>• Are there any gaps in service delivery or areas of improvement identified by beneficiaries?</li> </ul>
Malaria Grant	Financial:	<ul style="list-style-type: none"> <li>• Are the sub-recipients (or sub-sub recipients) getting their funds on a timely basis? If not, why?</li> </ul>
	Procurement/ Management	<ul style="list-style-type: none"> <li>• Are there sufficient stocks of anti-malarial and/or other medical supplies (e.g. bed-nets)? Have there been any stock-outs in the last 6 months? Are any expired drugs or supplies being used?</li> <li>• Are patients receiving the necessary drugs/supplies?</li> <li>• Are the right people getting the needed services?</li> <li>• Are all the requisite posts filled for implementing at site level?</li> </ul>
	Programmatic:	<ul style="list-style-type: none"> <li>• Are the expected targets being met? If not why?</li> <li>• Are the necessary referral mechanisms working as they should?</li> <li>• Are beneficiaries receiving the services they require?</li> <li>• Are there any gaps in service delivery or areas of improvement identified by beneficiaries?</li> </ul>

Issue-driven site visits take place after CCM/E meetings as a follow-up on decisions made regarding a specific issue generally identified through the oversight reports. The purpose of such problem-driven site visits is to:

- Clarify issues arising from the oversight reports,
- Seek additional information on specific issues to enable the CCM/E make appropriate decisions,
- Follow up on CCM/E decisions.

The recommended guidelines for carrying out site visits are summarized in the **Error! Reference source not found.**

After site visits, the team should draft a short report (using one of the two Site Visit Reporting forms located at the end of this Annex). The Oversight Committee shall review the report and make necessary recommendations to the CCM/E during the next ordinary CCM/E meeting and will send feedback to the visited site, PR, and SRs.



**CCM/E SITE VISIT RECORDING & REPORTING FORM:**

**ORIENTATION OR ROUTINE SITE VISIT**

**Grant Name & No.** \_\_\_\_\_

**Principal Recipient** \_\_\_\_\_

**PR Contact Person** \_\_\_\_\_

**Which site? Role in the grant (PR, SR SSR)** \_\_\_\_\_

**Date of visit [dd-mm-yy]** \_\_\_\_\_

**Site Host's Name & Designation** \_\_\_\_\_

**CCM/E Visitors**

<i>Constituency</i>	<i>Name</i>	<i>Designation</i>	<i>Signature</i>

**A. Purpose of the Visit:**

**B. Site Visit Questions [to be modified as needed – other examples in Table 2]**

Has anyone from the PR ever visited you?  
 Has anyone from the CCM ever visited you?  
 When did you send your last report to the PR?

**FINANCIAL**

Did you receive your last disbursement? If so, when did you receive it and how much was it?  
 Do you still have funds in your account?  
 May we review together your disbursement plan for SRs and sub-SRs?

**PROCUREMENT AND SUPPLY MANAGEMENT**

When did you receive your last delivery of

**B. Site Visit Questions [to be modified as needed – other examples in Table 2]**

drugs or supplies?

When did you last order more drugs or supplies?

Do you have any stock-outs today?

Have you sent drugs or supplies to SRs or sub-SRs?

**MANAGEMENT**

Have you received the SR reports on time?

May we review together the SRs' activities according to their work plans?

Have you hired the staff as planned in the Global Fund project?

Is there evidence of harmonization of Global Fund activities with the other activities of the site?

**PERFORMANCE AND RESULTS**

Are you achieving the expected results?

- C. What, if anything, surprised you positively about this grant?**
  
- D. What concerns, if any, do you have about this grant?**
  
- E. (In particular to beneficiaries): Are you satisfied with the services you have received? Is there anything that could be done to improve service delivery?**
  
  
- F. Conclusions [use back if needed]**
  
  
- G. Recommendations to the CCM/E [use back if needed]**

**CCM/E SITE VISIT RECORDING & REPORTING FORM:**

**SPECIFIC ISSUES SITE VISIT**

**Grant Name & No.** \_\_\_\_\_

**Principal Recipient** \_\_\_\_\_ **PR Contact Person** \_\_\_\_\_

**Which site?** \_\_\_\_\_ **Date of visit** [dd-mm-yy] \_\_\_\_\_

**Role in the grant (PR, SR SSR)** \_\_\_\_\_ **Date of CCM/E Meeting where need for site visit was decided** (dd-mm-yy) \_\_\_\_\_

**Site Host's Name & Designation** \_\_\_\_\_

**Proposed CCM/E Visitors**

<i>Constituency</i>	<i>Name</i>	<i>Designation</i>	<i>Signature</i>

- A. **Purpose of site visit** *[to be completed before the visit]*: In the “question” boxes below, Describe (i) the specific issue(s) that led to a decision to make a site visit, and (ii) what the CCM/E visitor(s) are to learn at the site. (List the specific question(s) to be answered by this site visit)
- B. **Findings from the site Visit.** Please indicate the response to the question in the “Answer” row below the question. Include the source of the information. (Use the back or other pages if needed.)

<b>Question A.</b>	
<b>Answer A.</b>	
<b>Question B.</b>	

**Answer B.**

**Question C.**

**Answer C.**

**C. Conclusions**

**D. Recommendations to the CCM/E. *[use back if needed]***