



India Country Coordinating Mechanism (ICCM)

Oversight Plan

The Global Fund to Fight AIDS, Tuberculosis and Malaria

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ICCM Grant Oversight Plan

This Oversight Plan has been prepared by the ICCM Oversight Committee to provide a framework for overseeing the implementation of Global Fund grants by Principal Recipients and Sub Recipients.

1. Definition and Rationale

The Guidelines and Requirements for Country Coordinating Mechanisms is a Global Fund Framework Document covering a number of core governance principles, which the Global Fund applies in all its policies and discussions regarding CCMs. In line with this framework document, the Eligibility and Performance Assessment (EPA) process was introduced for all CCMs. The EPA framework includes a number of eligibility requirements and minimum standards that CCMs must comply with. Eligibility Requirement 3 reinforces focus on oversight function, which has the highest number of indicators.

Oversight is a key function of the India Country Coordinating Mechanism (ICCM). It consists of a coordinated set of activities to support and ensure that grant activities are implemented as planned, and that issues and bottlenecks in grant implementation are identified and resolved.

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 I-CCM will engage program stakeholders in oversight, including I-CCM members and non-members, and in particular non-government constituencies and people living with and/or affected by the diseases.

2. Principal Recipient Mandate

The Global Fund Grant Agreement¹ with Principal Recipients (PRs) includes several clauses that mandate PRs to participate in the CCM oversight process:

- **The CCM oversees the implementation of programs** financed by the Global Fund (article 7a or Section 4.1)
- **The PR implements programs on behalf of the CCM** (article 28b), and the CCM oversees the implementation of programs financed by the Global Fund (article 7a).
- **PRs are contractually and legally obligated to cooperate with CCMs** and to be available to meet with them regularly to discuss plans, share information, and communicate about program-related matters and provide program-related reports and information on request (article 7b or Section 4.1(2) and 6.2).
- **PRs are contractually obligated to provide the CCM** with copies of periodic reports submitted to the Global Fund (article 15) and to send copies to the CCM of all notices, requests, documents, reports, or other communication exchanges with the Global Fund secretariat (article 25).

¹ The Grant Agreement, signed by the Global Fund and the PR, contains standard contractual articles or clauses authorizing CCMs to oversee grants implemented by the PR, and mandating PR reporting to the CCM.

3. Principles of Grant Oversight

Several principles of CCM grant oversight provide the framework for the ICCM Oversight Plan:

National Interest. 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 being used efficiently and effectively for the benefit of the country.”² Because the ICCM is a national consensus decision-making body that represents national interests, it has the unique responsibility and authority to oversee the management of all Global Fund grants in the country.

Grant Oversight versus Monitoring and Evaluation: Oversight focuses on the “big picture” of grant implementation. In performing oversight, the CCM scans across grants to identify crosscutting issues and focus on resolving major threats to successful grant performance. In contrast, monitoring and evaluation activities focus on detailed activities of program implementation and are the appropriate responsibility of PRs and other implementing agencies.

Focus on Critical Areas and Questions. Oversight typically focuses on several areas and questions that are at the core of effective grant implementation:

- **Finance:** Are funds being disbursed and expended as planned?
- **Procurement:** Are drugs, medical supplies and other equipment procured as per Global Fund approved PSM plan? How are the drugs supplied and being used?
- **Implementation:** Are activities on schedule? Are grants being implemented as planned? Are there implementation bottlenecks (e.g., in procurement or human resources)?
- **Results:** Are targets being met? Are the right people receiving the services they need?
- **Reporting:** Are reports being submitted accurately, completely, and on time?
- **Technical assistance:** What technical assistance is needed to resolve problems or to build capacity? What is the outcome of technical assistance?
- **Implementer Coordination:** Are implementers working together to identify / address service duplications, smooth functioning and establish collaborations?

Focus on Grant Implementation: As required by Global Fund oversight guidelines, oversight extends from preparation of the country grant application to closure after its implementation, including concept note development, grant negotiation, grant implementation, follow-on funding reviews and renewals, and grant closure.³ However, most oversight activities focus on grant implementation to ensure that they are being implemented efficiently and effectively, and in the national interest.

Avoiding Conflicts of Interest. CCM oversight must be conducted, as with any other CCM activity or function, in compliance with the Global Fund requirement that CCMs manage any real or apparent conflicts of interest among their members and constituents. In conducting grant oversight activities,

² Global Fund, *Guidance Paper on CCM Oversight*, Section 2
http://www.theglobalfund.org/documents/ccm/CCM_CCMOversightGuidance_Paper_en/

³ Global Fund, *Guidance Paper on CCM Oversight*. Section 4.1
www.theglobalfund.org/documents/ccm/GuidancePaperOnCCMOversight.pdf

the CCM and its oversight committee(s) must require CCM members to declare any conflicts of interest affecting themselves or other CCM members and ensure that these individuals do not participate in any oversight deliberations or decisions. Based on these principles, PRs/SRs may not serve as members of any CCM oversight bodies.

4. Role of Oversight Committee of India CCM

Although grant oversight is the responsibility of the entire ICCM, it is not practical for all members to conduct oversight activities at all times. Therefore, the ICCM establishes the *oversight committee* to plan, coordinate, and carry out oversight of the Global Fund grants in the country on behalf of the ICCM. The Oversight Committee works under the overall guidance of I-CCM and reports to the same.

The core roles and tasks of the oversight committee are as follows:

1. Develop, update and implement the I-CCM Oversight Plan;
2. Meet at least on a quarterly basis to review oversight issues;⁴
3. Organize routine performance review of all grants with each and every PR (at least twice per PR per year) to discuss challenges and identify problems and shall recommend corrective action whenever required.
4. Send follow-up letter to PR(s) to take corrective actions within one month of the Oversight Committee meeting/ review meeting
5. Conduct site visits on a quarterly frequency to review progress and provide guidance in addressing implementation challenges (sample site visit tools are given in **Annexure 2, 3 and 4**)
6. Identify, follow up and inform the I-CCM on emerging and/or priority oversight issues with PRs for recommendation/decision making at I-CCM level
7. Take part in the joint review missions of the National Programs (at least one I-CCM member per mission keeping in mind expertise and conflict of interest);
8. Briefly update I-CCM members about key oversight activities and findings at each I-CCM meeting;
9. Organize oversight sensitization meetings or workshops when new members join the I-CCM;

Ensure participation of a wide range of stakeholders including key population groups in the oversight process and ensure that major decisions have been taken on a fair and transparent basis and are clearly documented.

Creating an *oversight committee* does not prevent any ICCM member from visiting implementation sites. As highlighted in the Global Fund's guidelines on ICCM grant oversight (section 34), members are encouraged to make site visits, which the ICCM's secretariat or *oversight committee* can facilitate.

A) Responsibilities of the Oversight Committee

The main responsibility of the Oversight Committee is to support the I-CCM in ensuring that policies, rules and procedures related to grant development, implementation and closure are followed by the PRs. This committee is not a decision-making body or an alternative to the ICCM.

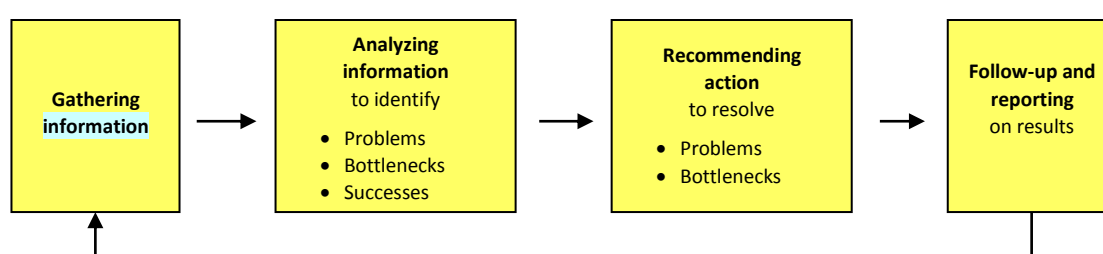
⁴ To meet preferably prior to I-CCM quarterly meetings in order to prioritize what issues should be presented to the I-CCM.

The ICCM oversight committee is responsible for providing routine (outputs vs. targets) and strategic (outcomes/impact vis-à-vis national program objectives and goals) grant oversight to existing Global Fund grants in India in the following areas:

- **Financial:** appropriate, timely, and effective use of funding from the Global Fund
- **Programmatic:** timely and effective implementation of PR and sub-recipient (SR) work plans, including implementation of intended results in short- and intermediate-term periods
- **Procurement:** transparent, competitive, and effective procurement and supply management with appropriate quality assurance and in accordance with national laws
- **Management:** of grants in all areas as well as compliance with GF grant conditions (e.g., conditions precedent and time-bound actions).

Terms of reference for the *Oversight Committee* are contained in **Annex 1**.

The oversight responsibilities of the CCM for grant implementation are organized into four sequential steps that are repeated in each cycle:



Gathering Information

Gathering information is the cornerstone of all other oversight activities because the ICCM cannot act without good information about implementation issues, problems, or bottlenecks. As with other oversight activities, the gathering of information is primarily done by the *oversight committee*, although this activity might also be coordinated and shared with the ICCM Secretariat *and/or* *Technical Working Groups*.

As recommended in the Global Fund’s guidelines for CCM grant oversight ⁵ (Section 36), this gathering of information may include regular reviews of CCM Summary Dashboard, PR Dashboard, Progress Update and Disbursement Requests (PUDR), PR Quarterly Dashboards⁶, CCM Summary Dashboard, periodic visits to service delivery sites, and feedback from nonmembers of the CCM (including people living with the three Global Fund diseases). See below, section 8, “Information for Grant Oversight,” for additional sources of information for oversight.

Analyzing Information

Information that has been gathered is analyzed to identify successes, challenges, problems, and bottlenecks requiring the ICCM’s attention. This analysis of information is a critical step in the process

⁵ Global Fund, *CCM Guidelines and Requirements*, Section 29 (Eligibility Requirement 3)

<http://www.theglobalfund.org/en/ccm/guidelines/>

⁶ PR Management Dashboard. <http://www.theglobalfund.org/en/fundingmodel/technicalcooperation/prdashboard/>

that requires the focused attention of the *Oversight Committee* as well as an integrated analysis of financial, programmatic, procurement, and management information. The result is a thorough understanding of issues or bottlenecks and could include options for ICCM decision-making and recommendations for actions. This step in the oversight process might also be supported or executed through technical expertise that has been recruited from outside the ICCM to assist the *Oversight Committee*.

Taking Action

Once problems, issues, or bottlenecks are identified and understood, the ICCM takes action to resolve these. These follow-up actions may include the following:

- Action by the PR to make the management of the program more efficient and effective
- Action by the *oversight committee* or the secretariat to investigate the issue, resolve it, and document the outcomes
- Action by ICCM members who have links to decision-makers who might assist in problem solving
- Action by outside technical assistance, as recommended by the Oversight Committee and authorized by the full ICCM
- Site visits at the direction of the ICCM to investigate specific issues

When the ICCM makes decisions, it specifies the action to be taken, the person or party responsible, and a deadline for taking those actions. The ICCM also specifies the activities to be undertaken to strengthen the management of grants and monitors these activities to ensure that they are effectively implemented.

Reporting Results

Oversight reports are circulated to all ICCM members before each plenary. During the meeting, the *oversight committee* presents the oversight findings and recommendations to the ICCM plenary. The decisions of the ICCM are the basis for follow-up activities and implementation of the activities must be tracked. See below, section 10, “Grant Oversight Reporting to the ICCM” for additional reporting guidelines.

5. Framework of Strategic Grant Oversight

India CCM shall extend its scope of work for performing Strategic oversight which has several elements:

- Harmonization and alignment of the Global Fund grant activities with those of the government and other donor support for national disease programs
- Tracking results vis-à-vis national strategic plans for disease programs
- Institutionalization of good governance practices for which oversight is a building block of country ownership and accountability
- Institutionalization of the engagement of key populations (KPs) and civil society organizations (CSOs) in national disease programs beyond the Global Fund

6. Oversight Committee Composition requirement

In order to comply with the Global Fund eligibility requirements and standards, the ICCM Oversight Committee must include the following expertise and KAP/PLWD representatives:

- **Disease specific expertise (HIV/AIDs, TB and Malaria)**: understanding of national health & disease strategies and GF programs;
- **Financial Management Expertise**: exposure to national health sector spending, issues & challenges and results of programs, including those funded by the GF.
- **PSM Expertise**: Understanding of procurement/storage and supply chain of health products.
- **Program Management Expertise**: knowledge & expertise in national health program management; harmonization and alignment of national program.
- **Representative(s) of PLWD & KAP**: having national level exposure with enabling leadership experience.

7. ICCM Secretariat Support to the Oversight Committee

Special roles of the I-CCM Secretariat in oversight are as follows:

1. Produce, archive and circulate minutes of all Oversight Committee meetings;
2. Support the Oversight Committee with accessing and/or gathering oversight-related information whenever required;
3. Participate in the disease specific steering committee meetings;
4. Coordinate and participate in the Oversight Committee meetings;
5. Coordinate logistics and participate oversight committee member visits to sites;
6. Coordinate the documentation and dissemination of important oversight processes;
7. Keep the I-CCM website regularly updated on the results of oversight activities

8. Information for Grant Oversight

Information is the basis for grant oversight by the ICCM. Several major types of information from different sources are required for routine and strategic grant oversight.

Type of Information (Program, Finance, Management and Procurement)

Oversight requires current information to ensure grant performance in five major 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 sub-SRs
- **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, result, and coverage) for grant objectives
- **Effectiveness of grant management by the PR**, including hiring status of key PR managerial positions, status of technical assistance to SRs, attention to PR–SR issues, and status of PR conditions precedent and time-bound actions established by the Global Fund

Source of Oversight Information

The ICCM and its *Oversight Committee* gather information from the following major sources:

- **PR reports and available data**, such as Progress Update and Disbursement Request (PUDR), quarterly performance reports, quarterly PR Dashboards^{7,8}, program work plans and budgets, monitoring and evaluation plans, procurement and supply management plans, results of PR annual audit(s), and annual (or enhanced - EFR) financial reports
- **Global Fund reports and written communications**, 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 India grants
- **Special reports commissioned by the ICCM**, including surveys of beneficiaries or other stakeholders undertaken periodically to inform oversight, proposal development, and/or harmonization activities
- **Investigations of specific issues**, typically conducted through presentations by PRs and SRs to the *Oversight Committee* or through investigative site visits, although the ICCM may choose to authorize technical experts to investigate problems and report back on their investigations to the ICCM
- **Feedback from people living with diseases** as recommended by the Global Fund's guidelines on CCM grant oversight (Section 34).
- Assessment and Evaluation Reports of National Programs shared to ICCM by concerned government agency.
- **CCM Summary Dashboard**: The CCM Summary Dashboard that provides the CCM and the oversight committee members with a user-friendly, highly visual mechanism for obtaining a snapshot of grants performance for timely identification of problems and bottlenecks in program implementation, and helps in taking/suggesting corrective actions.

9. Engaging with Program Stakeholder

As required by the Global Fund's guidelines for CCMs, the *Oversight Committee* and the ICCM develop strategies and approaches to engage program stakeholders (including ICCM members and non-members), nongovernment constituencies, and people living with and/or affected by the three Global Fund diseases, and key affected populations in the oversight process.

In addition, the Oversight Committee includes in its annual oversight work plan activities and reporting mechanisms to ensure that oversight findings and recommendations are communicated to program stakeholders, including nongovernment constituencies, and people living with and/or affected by the three Global Fund diseases.

10. Grant Oversight Reporting to the ICCM

The Oversight Committee presents the results of its activities in the form of periodic written reports on the status of Global Fund grant implementation. These reports outline the committee's conclusions, recommendations, and actions in each period, as well as the context, areas reviewed, and methodology of the oversight actions:

⁷ Grant Oversight Tool: Oversight: <http://www.theglobalfund.org/en/ccm/oversight/>

⁸ PR Management Dashboard: <http://www.theglobalfund.org/en/fundingmodel/technicalcooperation/prdashboard/>

- OC meeting minutes shall be structured by: *a) management; b) program; c) finance; d) Procurement & Supplies and d) gaps and follow-up actions*, and will be circulated within one month with I-CCM, Global Fund country team and In country stakeholders.
- OC meetings discussion shall be recorded in a sequential manner
- Oversight Issue Tracking system will be fully implemented (follow-up OC meeting decisions)
- Site-visit report should focus on management, finance and procurement issues. It should also highlight how the grant implementation is contributing to the national program targets/objectives and shall be circulated within 1 month of the visit

Reports shall be prepared by the Oversight Committee and presented by the committee chair(s) at plenary meetings of the ICCM. Such reports are submitted as needed, although at a minimum the committee submits a report on a quarterly basis. These Oversight Committee reports are annexed to the ICCM minutes and maintained as part of the ICCM archives.

11. Budget of Oversight Committee: The budget for the Oversight Committee meetings and site visits shall be met from the I-CCM Secretariat budget as provided by the Global Fund.

ANNEXES

Annex 1: Terms of Reference, ICCM Oversight Committee

Annex 2: Guidelines: Oversight site Visit to the PRs, SRs, Sub-SRs and Service Delivery Sites

Annex 3: Checklist for Oversight Visit

Annex 4: Oversight Field Visit Reporting Template

Annex 5: Oversight Committee Report to I-CCM (Template)

Annex 6: Global Fund Guidance on Oversight for CCMs

Annex 7: ICCM Oversight Work Plan Template

Annex 1: Terms of Reference, ICCM Oversight Committee (for Oversight Functions)

- 1. Purpose.** The Oversight Committee is responsible for contributing to effective oversight of all Global Fund financed programs and related processes in India, in accordance with Global Fund requirements for grant oversight⁹ and the functions delegated to it by the India Country Coordinating Committee (ICCM), as defined in the ICCM Terms of Reference. The Oversight Committee shall work in a coherent, transparent and defined manner.
- 2. Scope of grant oversight.** The ICCM Oversight Committee shall conduct grant oversight in major three areas:
 - a. Financial – appropriate, timely, and effective use of funding from the Global Fund
 - b. Programmatic – timely and effective implementation of Principal and Sub Recipient workplans, including implementation of intended results in short- and intermediate-term periods
 - c. Procurement – transparent, competitive, and effective procurement and supply management with appropriate quality assurance and in accordance with national law.
- 3. Membership.** The Oversight Committee shall be appointed by the ICCM, and shall consist of a Chair, a Vice Chairs, and at least five additional members representing various constituencies. Membership of the ICCM shall not be a prerequisite for membership of the Oversight Committee with the exception of the positions of Chair and Vice Chairs of the Oversight Committee who shall be selected by simple majority vote of the Oversight Committee members.
 - a. Members shall serve a term of two years, with the option of re-appointment or re-election for one additional two years term. No member shall continue after two consecutive terms.
 - b. The Oversight Committee shall have members with expertise on Financial Management, disease-specific (i.e. HIV and AIDS, TB and Malaria), procurement and supply management, and program management. Composition of the OC shall also include representatives from KAP and PLWD. If required, ICCM will make provision for inclusion of alternate/additional members for Financial and PSM Experts to ensure that these two key areas are always represented in OC meetings.
 - c. Members of the Oversight Committee shall not be representatives of Principal Recipients and Sub_Recipients.
 - d. Candidates who are non-CCM members shall have strong technical or programmatic experience that is directly relevant to the grant oversight mandate and responsibilities of the Committee.
 - e. Candidates who are non-CCM members will be required to complete the same conflict of interest declaration form prepared by all ICCM members.
 - f. If a member of the OC resigns or needs replacement, the replacement will be selected by the full I-CCM based on the expertise of departing member.
 - g. While reconstituting Oversight committee, it shall be ensured that at least 1/3 of the oversight committee members are new.

⁹ “Guidelines for Country Coordinating Mechanisms”, Global Fund (May 2011), Section 29

- h. The ICCM will determine whether, based on the non-CCM candidate's declaration, s/he meets the standard for conflict of interest required for members of the Oversight Committee.
- i. Any violation of the principles, requirements or guidance stipulated in the I-CCM Constitution on the part of an Oversight Committee member, or three or more absences without justification in one calendar year shall result in the replacement of the said member.

4. Meetings and Quorum Requirement

- a. The Oversight Committee shall meet at least quarterly, and may meet more frequently as circumstances require. Meetings shall take place prior to each regular quarterly ICCM meeting, so that Committee deliberations may be reported to the ICCM.
- b. Presence of at least half plus one Oversight committee members will be required for a meeting quorum, including either the Chair or the Vice Chair.
- c. Unless otherwise scheduled by a majority vote of the Committee members, meetings of the Committee shall be open to all ICCM Members and to guests invited by the OC Chair or Vice Chair. Members of other ICCM Committees or Technical Working Groups, or other technical experts and resources, may also be invited to provide assistance as needed.
- d. COI Policy will apply in the process of inviting meeting attendees.

5. Responsibilities of Oversight Committee. The Oversight Committee is empowered to deliberate and make recommendations on all oversight issues in accordance with these Terms of Reference and its workplan, or on any matter referred to it by the ICCM. Specifically, the Oversight Committee shall lead or contribute to the following oversight processes:

- a. Build capacity and prepare annual plans for ICCM Oversight
 - Clarify oversight functions, responsibilities, and build capacity for oversight
 - Develop approaches for engaging ICCM members and program stakeholders in the oversight process
 - Develop annual Oversight Workplans and Budgets
- b. Gather information on program and grant implementation.
 - Gather program performance, financial, and procurement information on GF grants through use of routine reports or re-packaging of available data
 - Gather information on GF grants through site visits and participation in joint PR-SR performance review meetings
 - Gather information on GF grants through investigation of specific issues
- c. Identify implementation issues, problems, and bottlenecks
 - Analyze information and conduct site visits to identify problems and bottlenecks requiring ICCM attention
 - Document problems, issues, or bottlenecks for ICCM review and decision-making
- d. Provide guidance and recommendations for ICCM actions
 - Request exceptional ICCM meeting in the case of urgent problems
 - Assist ICCM plenary sessions to understand issues, determine appropriate actions (The Committee may only recommend to the I-CCM, and may not decide on behalf of I-CCM)
- e. Monitor the implementation status of recommended actions and interventions
- f. Provide constituency consultations by seeking input and report back to ICCM / program stakeholders on progress, remaining issues, and additional follow-up required.

6. Oversight Work plan and Budget. As required by the Global Fund, the Oversight Committee shall develop an annual Oversight Workplan and Budget, updated on annual basis and shared with ICCM (in regular

meeting/ electronically). The Oversight Budget will be prepared to support the activities and required resources for implementing the Annual Oversight Workplan.

- 7. Technical and Administrative support.** The Committee may seek the services of technical resources or experts to assist in the discharge of its responsibilities. In addition, the ICCM Secretariat shall provide administrative support the Committee in conducting its oversight activities.

Annex 2: Guidelines: Oversight Site Visit to the PRs, SRs, Sub-SRs and Service Delivery Sites

Purpose of Site Visits

Site visits are not undertaken to address day-to-day management issues, which is the role of the PR, or to audit regular reports, which is the role of the LFA. Instead, the I-CCM's site visits have several issues and areas to explore which may include:

- make sure that activities take place in the field as defined in grants and work plans;
- gain an impression of the quality of services, activities, and communications between providers and clients and an impression of the level of stigma around the programs and Global Fund diseases;
- observe the level of stock of drugs and pharmaceutical products and status of the last disbursement received;
- show staff, clients, and community that national leaders are interested in their situation by gathering comments regarding programs and diseases to build credibility and trust;
- make sure that programmatic, financial and managerial issues that had been previously identified and discussed with the PR are being actively pursued at the operational level; and,
- gather information on human rights issues from the beneficiaries in the field in particular from People Living with the Diseases and Key Affected Populations.

Note: **Surprise visits are not allowed.** Protocol must be observed (including providing prior notice and obtaining letters of introduction or approval from authorities to conduct the visits).

Frequency: Oversight Committee site-visit once in a quarter (ensuring at least 1 visit per grant per year)

What site visits can provide:

1. Site visits are to assist the I-CCM develop greater contextual perspective and understanding of program implementation challenges.
2. Site visits can provide I-CCM members with a better understanding of the interface between programs and local communities or local health services.
3. Site visits can improve capacity of the I-CCM to work with PRs/SRs to overcome implementation problems and bottlenecks.
4. Site visits can give the I-CCM insights into gaps or scale-up issues in preparing for new grant proposal development.

Pre-visit planning

Establish the purpose of the field visit. For instance, establish whether the field visit is for familiarization of the I-CCM members with the programmes or it is issue driven or routine review of programme implementation

Site visit teams should not be too large (6-8 maximum) to avoid overwhelming site staff. While it should be an OC activity, it is highly desirable to involve on rotation other I-CCM members, particularly new members, so that they gain an appreciation of program implementation issues. Non-I-CCM members can also be involved.

Selection of sites to visit might be based on different factors:

a. Sites considered as potential “high risk” (i.e. previous problems reported, large sites with large amounts of funding, sites with complex activities) and therefore warranting close monitoring.

a. Sites where I-CCM members want to improve their familiarity with services being provided.

Ensure that visiting I-CCM members are clear on the services provided by the site prior to the visit.

The PR can assist in providing this information and in advising of any existing key issues

Schedule the visits with the relevant program implementer. Site visits should not be undertaken as a “surprise”. This is important because:

- b. Planning ahead allows program implementation staff to prepare adequately for the visit and to ensure their availability.
- c. Site visits can be coordinated to occur when some significant program implementation activity is occurring.
- d. Program implementation frequently involves direct interaction with patients, caregivers, or community groups. Global Fund programs require staff to interact with sensitivity and confidentiality, and to respect privacy.

Identify data sources relevant to the issues to be covered during the field visit. Data sources would include service providers, beneficiaries and key documents. In line with the Global Fund requirements, ensure that data is collected from people living with or affected by the diseases and key affected populations.

Prepare data collection guides or instruments. I-CCM and/or Oversight Committee members should not ask for information that is available from existing information systems such as PU/DRs.

Work closely with the PR in planning site visits. It is in both the I-CCM’s and the PR’s interests in seeing that the grant succeeds. If the I-CCM works completely separate from the PR in planning the visit, there is a risk that misunderstandings may develop during the visit.

Site visits can be undertaken on a more informal basis. For instance, PRs might include some I-CCM members on their regular field visits. Likewise, if an I-CCM member is visiting an area for “other” purposes where there is grant activity, he or she may undertake a site visit as an I-CCM member. Always, however, such informal visits should be planned with site staff beforehand to avoid “surprise” visits.

During field visits

Set time limits for the visit to avoid making excessive demands on the busy implementation staff. This requires careful planning of questions to ensure key issues are addressed while also giving site staff the opportunity to raise issues themselves.

Establish a list of possible questions to ask at each site and for each type of respond so that questions are structured, relevant and “open” – allowing site staff to provide information and comments on elements that may not have been anticipated by I-CCM team.

Post field visit

Analyse the data collected from the field, identify the key findings and recommendations. Develop a field visit report to be presented to the I-CCM. In line with I-CCM minimum standard, share the report with the Global Fund secretariat and in-country stakeholders. This includes providing feedback to the stakeholders in the project sites visit

Annex 3: Checklist for Oversight Site Visit

Name(s) of visitor(s):

Date of visit:

| A. Background Information | |
|--|--|
| Organization visited | |
| Role in the grant (e.g., PR, SR, sub-SR, service delivery site, or training) | |
| Grant details (round or type, disease) | |
| PR of each relevant grant | |
| Grant start date and start date of visitor's activities for each grant | |
| Global Fund budget for each grant | |

| B. Site Visit Questions | |
|---|--|
| 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 & Supply Management | |
| When did you receive your last delivery of 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? | |

| B. Site Visit Questions | |
|---|--|
| 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. Site Visit Observations | |
|--|--|
| Key staff | |
| Money | |
| Stocks and drugs | |
| Facilities | |
| Accessibility of site today | |
| Observable interactions between providers and clients | |
| Feedback from staff and providers | |
| Feedback from clients and people at risk | |
| Feedback from community members, leaders, and other stakeholders | |
| General impressions and issues to be addressed by the CCM | |

Annexure 4

Oversight Field Visit Reporting Template

| | | | |
|---|---|-----------------------|----------|
| Members of Field Visit Delegation | | | |
| Name | | Organization | |
| | | | |
| | | | |
| | | | |
| Non I-CCM members consulted during the visit (add rows as needed) | | | |
| Name | | Organization | |
| | | | |
| | | | |
| Site Visited and date | Key Findings -related to <i>program, management (HR), finance, Procurement & Supplies, gaps and follow-up actions</i> | | |
| | | | |
| | | | |
| | | | |
| Site Visited and date (from above) | Recommendations/Actions | Responsible Person(s) | Due Date |
| | | | |
| | | | |

Annexure 5

Oversight Committee Report to I-CCM (Template)

Date of Oversight Committee Meeting:

Date of I-CCM Meeting:

| | | |
|------------------------------|------------|------------|
| Grant information: | | |
| | PR1 | PR2 |
| Successes | | |
| Challenges | | |
| Key Issues Identified | | |
| Recommended Actions | | |

Global Fund Guidance on Oversight for CCMs

Eligibility Requirement (ER) 3: 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 I-CCM will engage program stakeholders in oversight, including I-CCM members and non-members, and in particular non-government constituencies and people living with and/or affected by the diseases.

The Global Fund defines the following Operational Components of ER 3:

1. The CCM has an oversight plan which details specific activities, individual and/or constituency responsibilities, timeline and oversight budget as part of CCM budget.
2. The CCM has established a permanent oversight body with adequate set of skills and expertise to ensure periodic oversight.
3. The oversight body (OB) or CCM seeks feedback from non-members of the CCM and from people living with and/or affected by the diseases

The Global Fund defines the following CCM Minimum Standards for ER 3:

1. The oversight body conducts oversight activities to discuss challenges with each PR and identifies problems, potential reprogramming and corresponding reallocation of funds between program activities, if necessary.
2. The CCM takes decisions and corrective action whenever problems and challenges are identified.
3. The CCM shares oversight results with the Global Fund Secretariat and in-country stakeholders quarterly through the process defined in its Oversight Plan.

The oversight role of CCMs is especially important to mitigate implementation bottlenecks. In this respect, the Global Fund recommends that CCMs:

1. anticipate and proactively identify implementation challenges, and meet with PR(s) and sub-recipients regularly to discuss challenges before performance is affected;
2. pay special attention to challenges that could affect supplies of drugs and equipment;
3. coordinate the provision of technical assistance for PR(s) and/or SRs as necessary;
4. facilitate government or other partner involvement to resolve challenges as necessary; and,
5. Consider requesting reprogramming of funds or (even) change of PR(s) in the most difficult cases.

Associated with oversight are a number of grant-related events. The Global Fund will engage CCMs in these activities, and recommends that CCMs facilitate them as necessary to avoid delays in financing. These activities include but are not limited to:

1. grant making and signing;
2. routine PR audits; and,
3. Country Audits of Global Fund Grants.

| CCM INDIA | |
|-----------|--|
| | |

| Duration of Oversight Workplan | |
|--------------------------------|--|
| | |

| Activities | Brief on activities | Month | | | | Comments |
|--|---------------------|-------|--|--|--|----------|
| CCM MEETING SCHEDULE (Tentative) | | | | | | |
| OVERSIGHT SITE VISIT | | | | | | |
| OVERSIGHT COMMITTEE MEETING | | | | | | |
| | | | | | | |
| | | | | | | |
| CAPACITY BUILDING OF OVERSIGHT COMMITTEE MEMBERS | | | | | | |
| | | | | | | |
| CSO CONSTITUENCY ENGAGEMENT | | | | | | |