

Liberia Coordinating Mechanism

Oversight Plan Procedures



**Approved
September 2015**

Liberia Coordinating Mechanism

Oversight Plan

Table of Contents

Table of Contents	2
1. Introduction	3
2. Definition and Rationale	3
3. Principles of Grant Oversight.....	4
4. LCM Oversight Process and Responsibilities	6
5. Oversight Committee.....	8
6. Information for Grant Oversight.....	10
7. Engaging With and Reporting to Program Stakeholders.....	12
8. Monitoring Oversight Performance.....	13
Annex 1. Areas for Oversight	14
Annex 2. Oversight Committee Terms of Reference	15
Annex 3. Planning Tool. Sample Timing for Quarterly Reporting	21
Annex 4. Planning Tool. Framework of LCM Oversight Work Plan: Step-by-Step Activities.....	22
Annex 5. Planning Tool. Summary Timeline for Key Oversight Activities.....	28
Annex 6. Oversight Capacity Building Materials.....	29
Annex 7. Site Visit Guidelines	30
Annex 8: LCM Site Visit Recording & Reporting Form.....	34
Annex 9. Indicators for Oversight Performance	36

Liberia Coordinating Mechanism

Oversight Plan

1. Introduction

Grant oversight is a core governance function of the Liberia Coordinating Mechanism (LCM), which coordinates all activities funded by the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund). The overall purpose of this oversight is to ensure that grants from the Global Fund are implemented as planned and that challenges and bottlenecks are identified and resolved.

To ensure effective oversight, the LCM has developed this *Oversight Plan* to organize and guide LCM oversight in a coherent, transparent, and documented process. In addition, the *Oversight Plan* supports the participation and involvement of a broad range of stakeholders in the grant oversight process, including LCM members and non-members, nongovernment constituencies, and people living with and/or affected by the three Global Fund diseases. This plan serves as a framework document that describes:

- a. Definition, rationale, and basic principles of the oversight of Global Fund grants (Sections 2-3)
- b. The oversight process and responsibilities of the LCM, its Oversight and Technical Coordination Committees, and its Secretariat with respect to its oversight function, (Sections 4-5)
- c. Information types and sources, and reporting (Section 6)
- d. Engaging with and reporting to program stakeholders (Section 7)
- e. Monitoring oversight performance (Section 8)

2. Definition and Rationale

Oversight is a key responsibility of the Liberia Coordinating Mechanism. Oversight 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. Oversight requires strategic guidance by the LCM to the principal recipients (PRs), as well as consistent follow-through to ensure that implementing agencies comply with oversight recommendations and requested corrective actions.

2.1 LCM Requirement

The Global Fund *Guidelines and Requirements for Country Coordinating Mechanisms*¹ state “once CCMs have secured Global Fund financing, their most important function is oversight. CCMs oversee the performance of PRs to ensure that they will achieve the agreed targets of the programs they are implementing. Through CCM oversight, PRs are held accountable to all country stakeholders.” Furthermore, planning for and conducting oversight is a minimum requirement of a country’s eligibility for funding (see box).

Global Fund’s CCM Eligibility Requirement No. 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 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 *Guidelines and Requirements for Country Coordinating Mechanisms*, paragraph 28. Accessed July 25, 2015. This document may be downloaded from the web page <http://www.theglobalfund.org/en/ccm/guidelines/>

2.2 Oversight Provisions in LCM Framework Documents

Oversight is addressed in the LCM *Governance and Operations Manual*, which stipulates that:

- Oversight is one of four core functions of the LCM, which is to “oversee implementation of approved grants, approve re-programming of activities as required and submit requests for continued funding to the Global Fund” (Paragraph 13).
- The LCM shall establish an Oversight Committee as a permanent body of the LCM with responsibility for planning, coordinating, and carrying out oversight of the Global Fund grants every quarter in the country on behalf of the LCM and in compliance with the requirements of the Global Fund (Paragraphs 15, 34).
- The Oversight Committee shall have no more than ten (10) members, with resident skills in program management, financial management, procurement and supply management, and with technical expertise in the relevant diseases. People living with and/or affected by the three Global Fund diseases shall be represented on the Committee. (Paragraphs 36, 37).
- The TCC shall review the Progress Update of the Principal Recipients and provide feedback to the Oversight Committee and the LCM on technical progress on technical issues (Paragraph 44d).
- The TCC and the Oversight Committee shall collaborate closely with each other (Paragraphs 35e and 44e).
- The Chairs of the Oversight Committee and the Technical Coordination Committee are permanent members of the LCM’s Executive Committee (Paragraph 27).

2.3 PR Mandate

The Standard Conditions in every Global Fund *Grant Agreement* includes several clauses that mandate PRs to participate in the CCM oversight process:

- **The PR implements programs on behalf of the CCM** (article 28), and the CCM oversees the implementation of programs financed by the Global Fund (article 7a).
- **PRs are contractually 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).
- **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).

3. Principles of Grant Oversight

Several principles of LCM grant oversight provide the framework for this *Oversight Plan*.

3.1 National Interests

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 LCM is a national consensus decision-making body that represents national interests, the LCM has the unique responsibility and authority to oversee the management of all Global Fund grants in the country.

3.2 Differences Between Oversight and 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.

3.3 Focus on Critical Topics and Overarching Questions

Oversight typically focuses on several topics and key questions that are at the core of effective grant implementation:

- **Finance:** Where is the money? Is it being disbursed and expended as planned?
- **Procurement:** Where are the drugs, medical supplies, and equipment?
- **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?

3.4 Cyclical Time Frames

Oversight follows reporting cycles to review the performance of PRs as program managers, the timely execution of work plans, and technical results compared to quarterly and annual targets.

3.5 Focus on Grant Implementation

As required by Global Fund oversight guidelines, oversight extends from preparation of the country application to the grant closure after its implementation, including proposal or concept paper development, grant negotiation, grant implementation, applications for continued funding, and grant closure.³ However, most oversight activities focus on grant implementation to ensure that they are being implemented efficiently, effectively, and in the national interest. For more detailed description of oversight of the other areas of the grant cycle, see Annex 1.

3.6. Adherence to Principles of Good Governance and Reducing Conflicts of Interest

LCM oversight must be conducted, as with any other LCM activity or function, in conformance with the Global Fund requirement that CCMs manage any real or apparent conflicts of interest among

² *Guidance Paper on CCM Oversight*. This document may be located under “Oversight Guidance Paper” on the Global Fund’s CCM Oversight web page: <http://www.theglobalfund.org/en/ccm/oversight/> Accessed 25 July 2015.

³ *Guidance Paper on CCM Oversight*. See Footnote 2 for the link to the Global Fund CCM Oversight website page.

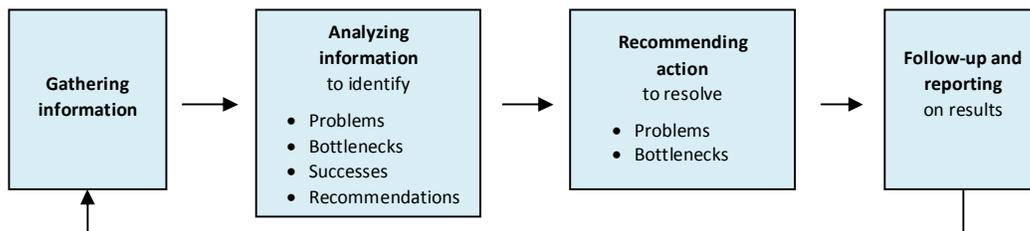
their members and constituents. In conducting grant oversight activities, the LCM and its Oversight Committee must require LCM members to declare any conflicts of interest affecting themselves or other LCM members and ensure that these individuals do not participate in any oversight deliberations or decisions. Based on these principles, PRs may not serve as members of any LCM oversight bodies. For more details and the declaration form, see the full LCM Conflict of Interest Policy.

4. LCM Oversight Process and Responsibilities

This section focuses on LCM oversight responsibilities related to grant implementation, although these responsibilities also apply to the other areas of LCM oversight, including proposal development, grant negotiations, grant implementation, review and continued funding, and grant closure.

All LCM members should understand their role on the CCM and the basic principles of the Global Fund. The Secretariat and Executive Committee will organize a workshop at least every 2 years to increase the capacity of LCM members to perform their roles on the LCM, including oversight.

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



4.1 Gathering Information

Gathering information is the cornerstone of all other oversight activities because the LCM cannot rally and 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 and Technical Coordination Committees, although the LCM Secretariat contributes to this activity. See Annex 2 for the terms of reference for the Oversight Committee.

As recommended in the Global Fund's guidelines on CCM grant oversight (Section 36), this gathering of information should include regular reviews of Progress Update and Disbursement Request forms, periodic visits to service delivery sites, and feedback from persons who are not members of the LCM (including people living with the three Global Fund diseases). PRs are a significant source of information. See Section 5.1 below for the topics to be covered by oversight, and Section 6 for additional sources.

4.2 Analyzing Information

Information that has been gathered is analyzed in order to identify successes, challenges, problems, and bottlenecks requiring the LCM's attention. This analysis considers in integrated fashion the

management, financial performance, and programmatic performance of each grant. The Committees and the LCM discuss their findings, conclusions, and recommendations with the PRs, inviting their input.

The analysis of this information is a critical step in the oversight process that requires the focused attention of both the Oversight and the Technical Coordination Committees. Since the specific information collected by the two committees often differs, the analysis also differs: TCC focuses on technical aspects of grant implementation and performance, while the Oversight Committee performs an integrated analysis of financial, procurement, programmatic, and management information. The result is a thorough understanding of issues or bottlenecks and could include options for LCM decision-making and recommendations for actions. This analysis step in the oversight process might also be supported by or executed through technical expertise that has been recruited from within or from outside the LCM to assist either committee.

The TCC will share its oversight-related findings with the Oversight Committee for incorporation into the oversight report as brief comments in the Oversight Committee report (labeled “TCC” if desired).

4.3 Taking Action

The Oversight Committee and TCC then report their findings and recommendations to the LCM. Their reporting is coordinated in such a way as to enrich each other’s reports without confusing their audience. For each grant, the Oversight Committee will use the Global Fund’s oversight tool (the “dashboard”) for routine, quarterly reporting of standardized strategic information for oversight, while the TCC may use another format more appropriate to the specific information they are reporting.

Once problems, issues, or bottlenecks are identified and understood, the LCM decides on actions needed to resolve them. 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, the TCC, or the secretariat to investigate the issue, resolve it, and document the outcomes
- Action by LCM members who have links to government or other decision makers who might assist in problem solving
- Action by outside technical assistance as appropriate
- Site visits at the direction of the LCM to investigate specific issues
- Recommendation by LCM to the Global Fund regarding reprogramming or reallocation of grant funds

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

4.4 Reporting Results

The Secretariat circulates oversight reports to all LCM members before each LCM general assembly meeting. During the meeting, the Oversight Committee presents the oversight findings and recommendations to the LCM general assembly. The decisions of the LCM are the basis for follow-up actions. The Oversight Committee normally will monitor the implementation of those actions and will report on their status back to the LCM. Additional reporting guidelines are in section 7, “Engaging With and Reporting to Program Stakeholders”.

5. Oversight Committee

Although grant oversight is the responsibility of the entire LCM and all members can provide oversight, it is not practical for all members to conduct oversight activities at all times. Therefore, the LCM has established the Oversight Committee to plan, coordinate, and carry out oversight of the Global Fund grants in the country on behalf of the LCM (Governance Manual, Paragraphs 15, 34). To reduce the risk of conflict of interest in oversight, persons affiliated with a PR are not eligible to be Oversight Committee members. More details, including information on Committee Composition and management of conflict of interest on the committee, can be found in the Oversight Committee Terms of Reference, Annex 2 of this Oversight Plan.

The goal of the Oversight Committee is to facilitate the decision-making process of the LCM members by reporting on the program areas below and making recommendations to the LCM for discussion and decision making. This committee is not a decision-making body or an alternative to the LCM. It works in close collaboration with the Technical Coordination Committee, which advises the LCM on technical matters associated with all phases of the grant cycle. (See more details on this collaboration in Section 5.1 below.)

Creating an Oversight Committee does not prevent any LCM member from conducting oversight, including visiting implementation sites. As highlighted in the Global Fund’s guidelines on CCM grant oversight (section 34), members are encouraged to make site visits, which the LCM’s secretariat or Oversight Committee can facilitate.

5.1 Responsibilities of the Oversight Committee

Planning and Capacity Building

The LCM Oversight Committee is responsible for reviewing and updating this Oversight Plan. Every year, the Committee develops an annual oversight work plan with calendar/schedule and budget for LCM approval and submission to the Global Fund. The Committee is also responsible for building capacity in oversight among other LCM members. Tools to facilitate this planning are in Annexes 3 – 5, and the LCM Secretariat has a variety of materials to support building of capacity in oversight (see Annex 6).

Grant Oversight

The LCM Oversight Committee is responsible for providing oversight to existing Global Fund grants in Liberia on the following topics:

- **Financial:** Ensuring appropriate, timely, and effective use of funding from the Global Fund
- **Procurement:** Ensuring transparent, competitive, and effective procurement and supply management with appropriate quality assurance and in accordance with national laws

- **Programmatic implementation:** Ensuring timely and effective implementation of approved PR and sub-recipient (SR) work plans, including implementation of intended results in short- and intermediate-term periods
- **Programmatic achievements:** Ensuring targets in the performance framework are being met
- **Management:** Managing the grants in all areas (including financial, procurement, and programmatic areas); managing actions or conditions required by the Global Fund (e.g., reporting and addressing time-bound actions); managing technical assistance

Collaboration with PRs

The Oversight Committee members work with the PRs in all steps of oversight – gathering information, analyzing information, taking action, and reporting – with the shared goal of having grants succeed. This work is facilitated by positive relationships, an agreed-upon communications strategy and schedule, and good communications among the PRs and the LCM, the Secretariat, and the Oversight Committee. The Committee will meet at least quarterly with each PR to discuss successes and challenges, including special attention to the procurement and supply of drugs and nets. When possible, the PRs and Committee will anticipate future challenges and address them before implementation is affected.

Collaboration with the Technical Coordination Committee

There is some overlap with the Technical Coordination Committee (TCC) of areas for oversight, particularly the review and analysis of programmatic and procurement information. However, the Oversight Committee gathers, analyzes and reports information on a set of the same, specific summary indicators in the same format every quarter for comparison across time, while the TCC focuses on the more detailed technical aspects, presented by the PR in differing formats according to TCC's needs.

Before their presentations to the LCM, the two committees, while maintaining the independence of their reviews, share their findings and recommendations in order to coordinate their presentations to the LCM. The purpose of this coordination is to (1) enrich each other's findings and conclusions and (2) not confuse their audience with unnecessary differences. However, differences in findings, conclusions, or recommendations on the same issue are to be shared with the LCM for discussion. Key TCC recommendations that apply to oversight should be included in the Oversight Committee's dashboard (marked "TCC" if desired) , and any LCM decisions for action should also be recorded there.

Issues concerning technical assistance to a PR or SRs also need coordination between the Oversight Committee and TCC.

The attendance of TCC members at the Oversight Committee meetings will facilitate this collaboration, and TCC members have a standing invitation to attend Oversight Committee meetings. At least one TCC member should attend each Oversight Committee meeting. In addition, the Secretariat's Technical Officer will attend meetings of both committees and will share relevant information as needed.

Management of Conflict of Interest in Oversight Activities

All committee members and co-opted experts will sign a conflict of interest declaration, pledging to abide by the LCM's Conflict of Interest Policy. Committee members with current or potential affiliation with an SR must recuse themselves from discussion or decisions about the associated grant and PR.

5.2 Secretariat Support to the Oversight Committee

The LCM's secretariat collaborates with the Oversight Committee Chair and members to determine the level and types of administrative and technical support to be provided to the committee in conducting its activities. This administrative support may include, for example, logistical assistance for site and field visits; communications with PRs and SRs; collecting data; organizing and preparing for meetings, including distribution of necessary documentation; and preparing meeting minutes or other committee reports and documents. The Secretariat's Technical Officer will attend and support every Oversight Committee meeting.

Technical support by the Secretariat includes review of dashboards for internal consistency and for consistency with PR reports to the Global Fund; contacting the PR to resolve an inconsistency before the dashboard goes to the committee; assuring that the dashboard for presentation includes: current committee comments and recommendations, the previous decisions of the LCM, and the follow up of those decisions. Once the LCM makes a decision, the Secretariat will assist the Oversight Committee to track the status of the actions to be taken. In addition, the Secretariat Technical Officer may accompany committee members on site visits.

The agreed levels and types of Secretariat support are documented in the Oversight Committee's annual work plan, as specified in the Committee's terms of reference (Annex 2) and the LCM Secretariat Operations Guide. Because the Secretariat also provides support to the Technical Coordination Committee, when possible, it will schedule meetings and events in order to allow the Secretariat Technical Officer to attend all meetings of both committees and in order to facilitate collaboration between the two committees.

6. Information for Grant Oversight

Information is the basis for grant oversight by the LCM; without information, there can be no identification of program issues or bottlenecks, nor any resolution of the underlying problems that might threaten grant performance. Good communication with a variety of stakeholders including PRs, SRs, Global Fund Secretariat, and the LFA will help ensure that CCMs have access to the information they need to conduct oversight. Several major types of information from different sources are required for grant oversight.

6.1 Types of Information

Oversight requires current information to ensure grant performance in six 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 reporting to the Global Fund and the LCM, status of PR's fulfilling time-bound actions required by the Global Fund, hiring status of key PR managerial positions, status of technical assistance to SRs, and attention to PR–SR issues
- **Appropriate use of technical assistance**, for the PR and its SRs

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

6.2 Sources of Oversight Information

The LCM and its Oversight Committee gather information from the following major sources below. While the Technical Coordination Committee may use some of the sources below, it gathers the information from whatever sources are appropriate to its needs.

- **PR reports and available information**, including Progress Update and Disbursement Request forms, quarterly 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; discussions with PRs
- **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 Liberia's grants
- **Special reports commissioned by the LCM**, including surveys of beneficiaries or other stakeholders undertaken periodically to inform oversight, proposal development, and/or harmonization activities.
- **Oversight site visits** to provide the LCM with an overall sense, rather than a detailed understanding, of program achievements and challenges in the field. As appropriate, persons who are not LCM members and individuals representing people living with the various diseases should participate in these visits, as required by the Global Fund's Guidelines and Requirements, paragraph 30. See Annexes 7 and 8 of this Plan for guidelines and tools for conducting field oversight visits.
- **Investigations of specific issues**, typically conducted through presentations by PRs and SRs to the Oversight or Technical Coordination Committee or through investigative site visits (also in Annexes 7 and 8), although the LCM may choose to authorize technical experts to investigate problems and report back on their investigations to the LCM.
- **Feedback from people living with diseases**, as required by the Global Fund's *Guidelines and Requirements for CCMs* (Section 30.iii).

7. Engaging With and Reporting to Program Stakeholders

7.1 Engaging with Program Stakeholders

Planning, carrying out, and documenting the process of engaging with stakeholders is part of CCM Minimum Eligibility Requirement 3 for oversight. The annual oversight work plan and budget must include those activities needed in order to ensure that every quarter oversight findings and recommendations are communicated to program stakeholders and that stakeholder feedback is communicated to the LCM.

Generally, LCM members will hold formal consultative meetings with their constituencies every quarter. Specifically, a separate meeting for all civil society organizations together will be held every six months, and an additional meeting every six months (in the interim quarters) will be held for nongovernment constituencies and people living with and/or affected by the three Global Fund diseases. These consultative meetings will include the findings and decisions from the oversight process. At the same time, LCM members will encourage feedback from their constituents and other non-LCM members about the grants and will share this information with the LCM and its relevant committees. Other communications activities may be proposed to the LCM as needed for inclusion in the annual oversight work plan and budget. Meetings need to be documented at a minimum by attendance lists and minutes that reflect stakeholder input.

To share its oversight findings, recommendations, and actions with the Global Fund Secretariat, the LCM Secretariat will send the Fund Portfolio Manager an electronic copy of each final dashboard each quarter, as required.⁴

7.2 Oversight Reporting to the LCM

The Oversight Committee presents to the LCM the results of its activities in the form of quarterly written reports on the “big picture” status of Global Fund grant implementation. These reports outline the Committee’s conclusions, recommendations, and actions each quarter. The format for the reports by the Oversight Committee is the Global Fund Oversight Tool (“dashboard”), which accommodates not only the Committee’s comments and recommendations, but also the LCM decisions and follow-up. Data are presented in a graphical format designed to show the “big picture.” To streamline this oversight reporting process, when PRs report to the Committee on each grant every quarter, they use their grant dashboard, to which the Committee will add its comments and recommendations.

The Technical Coordination Committee also will share its findings each quarter to the LCM, using a format and content of its choice. Generally, the TCC’s feedback will focus on more detailed technical aspects of the grant and thus will complement the “big picture” in the Oversight Committee report.

Additional documents related to oversight are submitted if needed. All Oversight and Technical Coordination Committee reports are annexed to the LCM minutes and maintained as part of the LCM archives.

⁴ Minimum Standard iii of the oversight eligibility requirement, para 31 in *Guidelines and Requirements for Country Coordinating Mechanisms*. As of January 2015, Minimum Standards became requirements. See Footnote 1.

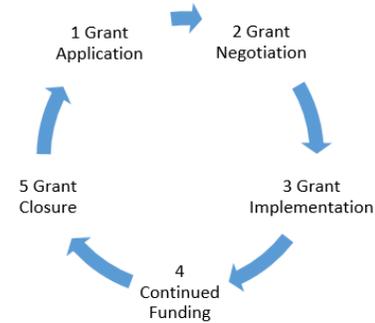
8. Monitoring Oversight Performance

Mandatory oversight indicators are described in the Eligibility and Performance Assessment (EPA) tool. These should be measured and reported to the LCM as well as to the Global Fund. Mandatory oversight indicators from the EPA are in Annex 9.

The LCM will also monitor its own performance of oversight, using the indicators in its Performance Framework approved by the Global Fund. Indicators are also in Annex 9.

Annex 1. Areas for Oversight

Under the Global Fund's New Funding Model⁵, oversight still extends from the preparation of the Concept Note to the point of Grant Closure⁶. The LCM shall therefore develop a comprehensive oversight plan and strategy, with accompanying annual work plans complete with timeframe and budget to guide oversight activities. The areas of oversight that shall be addressed are described below.



- **Concept Note and Proposal Development.** The LCM shall assume the leadership role in ensuring on-going country dialogue in the preparation of these applications for funding. The oversight function will ensure that all stakeholders including the LCM, government, donors, technical partners, civil society and key affected and most-at-risk populations are fully and directly engaged in and contributing to the process.

In this aspect, the oversight function in this aspect shall also ensure that the LCM Governance Manual and Conflict of Interest Policy are fully adhered to.

- **Grant Negotiation / Grant-making.** The LCM shall oversee the grant negotiation process to ensure it is on track, to identify where to find technical support if needed, and to monitor any changes that may be made to the application.
- **Grant Implementation.** This area is the most detailed aspect of the oversight function of the LCM and the mechanisms for doing so are elaborated in Sections 4-7 of this Oversight Plan. A clear plan of action shall be developed to guide this aspect of oversight and quarterly reports prepared for the attention of the Executive Committee and the General Assembly of the LCM. As part of oversight, the LCM is also expected to facilitate and review the findings of annual PR audits and any country audit by the Global Fund Office of the Inspector General.
- **Continuing Funding.** Based on the LCM's oversight during grant implementation, the LCM will decide whether to apply for continued funding, whether to implement the same activities, and whether to continue with the same PR. Oversight needed is the same as during the initial Concept Note development and grant-making.
- **Grant Closure.** The oversight role of the LCM during grant implementation continues during the grant closure period. The same level of rigor and oversight shall be applied to this area of oversight since the LCM is responsible for endorsing the Close-Out Plan and Close-Out Budget, including the PR's plan for distribution or disposal of program assets.

⁵ Process and Steps, New Funding Model. Global Fund to Fight AIDS, TB and Malaria. Available at: <http://www.theglobalfund.org/en/fundingmodel/process/> Accessed July 25, 2015.

⁶ *Guidance Paper on CCM Oversight*. Located under "Oversight Guidance Paper" on the Global Fund's CCM Oversight web page: <http://www.theglobalfund.org/en/ccm/oversight/> Accessed July 25, 2015.

Annex 2. Oversight Committee Terms of Reference

1. Mandate

The Oversight Committee is a permanent advisory committee of the Liberia Coordinating Mechanism (LCM) established in conformity with Paragraphs 24-28 of the LCM Governance and Operations Manual (“Governance Manual”). The mandate is to provide effective oversight in the implementation of all Global Fund grants including making recommendations to the LCM Executive Committee and LCM General Assembly of actions that may be taken to improve grant performance and manage conflict of interest.

2. Goal and Objectives

The Oversight Committee’s purpose is to plan, coordinate, and carry out the oversight of Global Fund grants in the country. Its goal is to ensure the implementation of activities and the efficient and effective use of resources in accordance with the grant agreements. Achieving this goal might involve providing strategic direction to PRs when needed, ensuring compliance with Global Fund policies and procedures, establishing financial controls, and following up on key recommendations.

To reach this goal, the objectives of the Oversight Committee are:

- a. To ensure implementation of the LCM’s oversight function, one of the four core functions of a CCM
- b. To ensure development, timely updates, and implementation of an oversight plan and corresponding work plan and calendar (a minimum requirement for LCM eligibility to apply for Global Fund grants)
- c. To analyze successes, problems, and bottlenecks in grant implementation and provide recommendations for informed decision making by the LCM
- d. To promote effectiveness in oversight by appropriate use of time and available resources
- e. Improve relationships between the LCM and PR(s) and between PRs and sub-recipients (SRs) if necessary.

These Terms of Reference describe the role of the Oversight Committee in the oversight of long-term grant performance, including governance and accountability.

3. Oversight Committee Composition

3.1 Membership

The LCM Governance Manual (paragraph 36) stipulates that the Oversight Committee shall have a maximum of ten (10) permanent members, including Committee Chair and Co-Chair. Appointment to the Oversight Committee shall be made by the LCM General Assembly, which shall also appoint or approve the Committee Chair and Co-Chair.

The Oversight Committee shall include representation from civil society, including people living with the diseases and/or key affected populations. Persons who are not members of the LCM should also be included if possible.

To reduce the risk of conflict of interest, persons affiliated with any grant Principal Recipient (PR) are not eligible for Oversight Committee membership. All Oversight Committee members, permanent and temporary, must sign the LCM Declaration of Conflict of Interest and abide by the LCM's Conflict of Interest Policy.

If a person with any current or potential affiliation to an SR is a member of the Oversight Committee, that person will recuse himself/herself for all discussion and decisions about his/her PR.

3.2 Competencies

To fulfill their responsibilities on the oversight committee, members must dedicate a substantial portion of their time to committee activities.

Members of the Oversight Committee do not need expertise in grant oversight; however, members must have diverse experiences and an ability to understand the status of grant implementation in relation to work plans, budgets, and time frames in grant agreements. At a minimum, the Oversight Committee members collectively shall possess the following core skills identified and assessed by the Global Fund (see CCM Eligibility and Performance Assessment Tool):

- (i) Financial management
- (ii) Disease-specific expertise (in the diseases **addressed by the current grants**)
- (iii) Procurement and supply management
- (iv) Program management

The Governance Manual (paragraph 37) also allows the Oversight Committee to call on experts from the Technical Coordinating Committee (TCC) or from outside the LCM in instances where additional skills are required to undertake essential oversight activities. Further, the TCC has a standing invitation to attend Oversight Committee meetings, and it is expected that at least one TCC member will attend each Oversight Committee meeting.

3.3 Term of Office

Membership of the Oversight Committee shall be for a period of three (3) years with an option for renewal. Membership on the Oversight Committee may be terminated by the LCM on the following grounds:

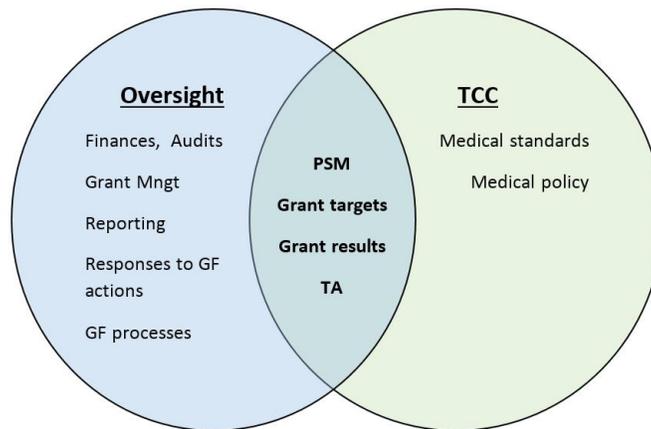
- a. Expiration of term in office
- b. Request of the Committee member
- c. Verifiable evidence of actual conflict of interest
- d. Non-attendance at two consecutive quarterly meetings without a valid excuse

As committee members leave, they should be replaced immediately. For continuity, it is desirable that not all committee members are replaced at one time.

4. Oversight Committee Meetings

The Oversight Committee shall meet at least quarterly, about 2 weeks before the regular LCM meeting. It may meet more frequently as circumstances require. The LCM Secretariat will support the meetings, including informing the TCC of the time and location of the meeting so that they may attend, recording the minutes, sending minutes for approval by the Committee, and sending approved minutes to the Executive Committee within 2 weeks after a meeting. Minutes shall be tabled at regular LCM meetings (Governance Manual, Paragraph 38).

Because there is some overlap in activities of the Oversight Committee and of the TCC, both committees shall collaborate in the gathering of information, analysis of information, and reporting to the LCM of findings and recommendations related to oversight.



The Global Fund requires adequate documentation of oversight activities. The Committee shall ensure that the deliberations and decisions of each meeting are documented. In a case where the Secretariat could not take formal minutes, this written record could be as informal as a summary email to all committee members for their input and approval before it is sent to the Executive Committee.

5. Oversight Committee Responsibilities and Activities

The responsibilities and activities of the Oversight Committee shall include, but not necessarily be limited to, the following:

5.1 Oversight planning and capacity building

a. Plan for oversight

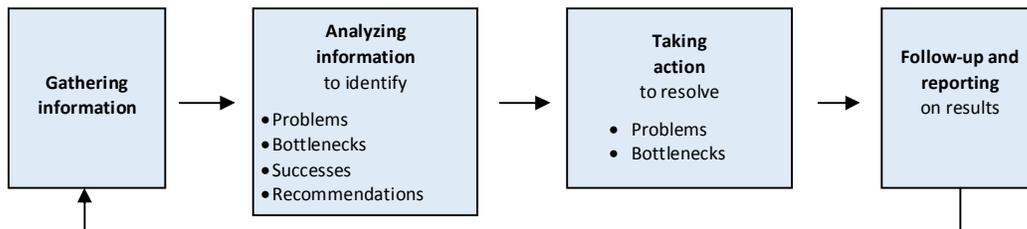
- Develop or review and update as needed an Oversight Plan which describes policies and procedures for carrying out the oversight of all phases of Global Fund grants

- Develop annual work plan, calendar/ schedule, and budget for oversight
 - Each Work Plan shall contain the following core elements: activity, method, frequency/ dates due, responsibility for each activity, budget for each activity, and how activity will be documented. See template in Annex 2 of the Oversight Plan.
 - Activities to be included in the work plan: Oversight Committee meetings, LCM meetings, site visits, consultations with PRs, consultation meetings with persons living with disease or key affected populations, annual orientation or capacity building, and oversight self-assessment (part of the LCM self-assessment).
 - The budget for the planned activities will go to LCM Executive Committee and LCM General Assembly for approval and inclusion in the overall LCM budget.

b. Build oversight capacity among LCM members

- Clarify oversight function and oversight committee responsibilities and build oversight committee members’ capacity for oversight
- Orient and train new LCM members on oversight guidelines and strengthen existing members on oversight roles and responsibilities of the LCM, PR, SRs, and other stakeholders
- Develop approaches for engaging LCM members and program stakeholders in the oversight process

5.2 Conducting oversight



a. Gather relevant information to determine full status of grant implementation

- Gather information on financial, procurement/supply, and program performance for Global Fund grants using routine and special reports or by repackaging available data, such as:
 - Periodic progress updates and disbursement requests (PU/DRs), financial reports, evaluation reports from the LFA, PRs’ audit reports (both internal and external), procurement reports, human resources management reports, beneficiary surveys, reports by interested stakeholders, and other special reports

- Global Fund Grant Performance Reports, country audit reports by the Global Fund Office of Inspector General, management letters
 - Gather information through oversight visits to sites at:
 - Headquarters, divisions, departments and other structural units of the PR(s), SR(s) and their partners that implement the Program of the Global Fund grant
 - Field sites to review and check findings in PR reports
 - Gather information through review meetings with senior officials of the PRs to discuss successes and challenges and to assess grant performance status
 - Gather information by investigating specific issues identified in written or oral reports, site visits, meetings, studies, or from other credible sources
- b. Analyze information to Identify implementation successes and issues, problems, and bottlenecks**
- Identify additional LCM members, TCC members, PR representatives and external technical experts as needed to participate in the oversight process
 - Investigate information on any signs of flagging performance and problems, and support problem-solving efforts by reviewing reports on indications of any mismanagement, problems, or suspected violations arising in the implementation of Global Fund programs. Discuss findings and conclusions with PR
 - Document problems, issues, or bottlenecks for LCM review and decision making
 - Prepare comprehensive analyses of identified issues to present at a LCM meeting:
 - Develop recommendations for action based on the findings and conclusions
 - Coordinate the presentation of findings, conclusions, and recommendations with the TCC to reduce unnecessary redundancy and audience confusion
 - At regular LCM meetings, use the Global Fund Oversight Tool (“dashboard”) to present identified findings and propose recommendations to inform LCM decision-making regarding further actions
 - If required, help LCM understand issues and determine appropriate actions
 - Identify cross-cutting challenges, lessons learned, and best practices across diseases and grants that may be shared with PRs and other key stakeholders
 - Refer urgent problems to the Executive Committee for immediate action

- c. Carry out actions which the LCM has assigned to the Oversight Committee to support problem resolution
- d. Follow up on all actions assigned by the LCM, and report on results to the LCM and program stakeholders
 - Monitor progress on LCM decisions and recommended actions
 - Report back to the LCM and program stakeholders on progress, remaining issues, and any additional follow-up required

5.3 Facilitating audits

- a. Support PRs' independent annual audits, review findings, and identify potential risks to program implementation.
- b. Support process of country audit by the Global Fund Office of the Inspector General (OIG); review findings.

5.4 Role of LCM Secretariat

- a. The LCM Secretariat will provide administrative support to all Oversight Committee activities. The Secretariat will also provide technical support to activities directly related to oversight, including gathering information, analyzing information, reporting using oversight dashboards, developing recommendations for action, following up on action points, and visits to sites.
- b. The LCM Secretariat shall ensure that all Oversight Committee documentation is archived and accessible. This documentation includes minutes of grant oversight meetings, dashboard reports, site visit reports, reports on conflict of interest, and other related sources of information.
- c. The LCM Secretariat or another LCM unit appointed by the LCM shall manage all communications from the Oversight Committee and ensure that all key stakeholders are informed of the processes and outcomes, in accordance with the LCM Governance Manual and the LCM Communications Policy. Stakeholders include: LCM Executive Committee, LCM General Assembly, Global Fund Secretariat, and general public.

5.5 Role of Executive Committee

The LCM Executive Committee monitors the implementation of procedures in Governance Manual. One aspect of its role is to coordinate, support, and monitor the implementation of oversight by the Oversight Committee and the LCM General Assembly; another role is to manage conflict of interest that is reported outside of LCM meetings.

Any member of Oversight Committee can request a meeting of the Executive Committee for urgent matters requiring immediate action due to threat to grant implementation or funding or threat to the reputation of the LCM or the Global Fund.

Annex 3. Planning Tool. Sample Timing for Quarterly Reporting

This table can be adapted for the LCM and each PR if needed.

Step	Reporting Process	Time Frame	Responsibility
1	Sending dashboard files, customized for current reporting period, to PR (one per grant), with reminder to PR to capture data of selected management indicators on the last day of the quarter	1 week before end of quarter	LCM Secretariat
2	Formal written reminder to the PRs to submit one dashboard per grant	5 weeks before the quarterly LCM meeting	LCM Secretariat
3	Receipt of dashboard from PR	4 weeks before the quarterly LCM meeting	PR
5	Review of dashboard data received from the PR for accuracy and completeness	3 weeks before the quarterly LCM meeting	LCM Secretariat
6	Committee Meetings to review: - PR reports (by Technical Coordination Committee) - PR dashboards with input from TCC (by Oversight Committee)	3 weeks before the quarterly LCM meeting	Committee Chairs
7	PR clarification of issues identified by the Oversight Committee & TCC, if any	2 weeks before the quarterly LCM meeting	PR
8	Preparation of Oversight Committee dashboard report: add comments and recommendations to dashboard, in collaboration with TCC	2 weeks before the quarterly LCM meeting	Oversight Committee
9	Circulation of dashboard report to LCM members in preparation for LCM meeting	1 week before the quarterly LCM meeting	Chair, Oversight Committee
10	Presentation of reports, with recommendations	LCM meeting	Committee Chairs
11	Discussion and decisions on next steps	LCM meeting	LCM Chair
12	Recording of decisions into minutes and dashboards	LCM meeting	LCM Secretariat
13	Finalization of dashboards; archiving	2 weeks after LCM meeting	LCM Secretariat

Annex 4. Planning Tool. Framework of LCM Oversight Work Plan: Step-by-Step Activities

Note: Abbreviations for frequency: Annual, Every 6 Mo., Qtrly, PU/DR, Other routine, As needed

A basic oversight work plan is characterized by the following elements:

- **Regularity.** Oversight activities should be conducted on a quarterly basis. The work plan should provide information on who performs these activities and when oversight will be conducted and completed.
- **Participatory planning & implementation.** Oversight work plans should be developed in conjunction with the PR(s), include periodic site visits (e.g. every six months), review PR reports (e.g. every CCM meeting), and facilitate technical assistance and systems analysis.
- **Follow-up.** Who is responsible to communicate back to the LCM that the approved oversight plan is being implemented?

LCM Oversight Activities from ___ [date] to ___ [date]		Method	When: Frequency, Dates Due	Responsible: Lead (Support)	How Docu- mented	Follow-up Respons.	Budget Notes	Notes
1.0	Clarify oversight functions, responsibilities; build oversight capacity							
	1.1 Develop an annual Oversight Work Plan	meeting		OC Secretariat	Activity Plan			
	1.2 Develop an annual Oversight Budget			Sec't	Budget			
	1.3 Identify technical experts to assist Oversight Committee			Sec't	List			
	1.4 Provide orientation and training to build capacity for Oversight Committee members	Workshop	At least every 2 years	OC (Sec't)	Partici- pant sig- natures		yes	
2.0	Gather information on Global Fund grants through use of routine reports or available data							
	2.1 Arrange for PRs to present progress on finance, management, program performance for each grant to Oversight Committee & TCC			Sec't	dashbrd; minutes			

LCM Oversight Activities from ___ [date] to ___ [date]		Method	When: Frequency, Dates Due	Responsible: Lead (Support)	How Docu- mented	Follow-up Respons.	Budget Notes	Notes
	2.2 Receive & review copies of supporting documentation (e.g., dashboards, PU/DRs and annual reports prepared for Global Fund or the Local Fund Agent (LFA) by PRs (print copies of PU/DR for all members; print executive summary only of annual report for all members, complete report for members of Sub-committees)			Sec't Tech Officer				
	2.3 Monitor and review Grant Performance Reports & Grant Scorecards on Global Fund website for comments by Local Fund Agent or Global Fund on grant performance			Sec't Tech Officer				
	2.4 Review additional national surveys and reports.			OC, TCC				
3.0	Gather information on Global Fund grants through site visits & PR-SR performance review meetings							
	3.1 Develop objectives; design or update questionnaire/report form for site visits			Sec't Tech Off.			Every 2 years	0
	3. 2 Develop calendar of site visits			Sec't				0
	3.3 Present methodology, calendar, and proposed list of sites and visitors for validation by LCM. ** Be sure to include persons living with and/or affected by the diseases as visitors and as persons providing feedback.			OC				0
	3.4 Organize logistics of site visits, at request of Oversight Committees			Sec't & PR		X	X	0
	3.5 Visit sites and attend PR-SR status and performance review meetings according to calendar	site visit		OC		X	X	yes

LCM Oversight Activities from ___ [date] to ___ [date]		Method	When: Frequency, Dates Due	Responsible: Lead (Support)	How Docu- mented	Follow-up Respons.	Budget Notes	Notes
	3.6 Prepare and present report on visits including documentation of participation of persons living with and/or affected by disease. Refer issues for follow up to LCM.			OC		X	X	0
4.0	Gather information on Global Fund grants through investigation of specific issues							
	4.1 Invite PR or SR representatives to meetings of Oversight Committee and/or TCC to answer questions or make oral presentations about grant progress or issues, problems, bottlenecks	Oversight C'ttee, TCC		OC			X	0
	4.2 Use a technical expert to investigate a problem or perceived bottleneck and report back to the Oversight Committee.	Oversight C'ttee		OC			X	0
	4.3 Request a presentation by a technical expert or national program manager comparing national statistics to Global Fund grant results (Note: this includes presentations on research studies.)	Oversight C'ttee		OC			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 C'ttee, Chair		OC			X	0
	4.5 Identify and actively monitor issues or problems raised by the LFA during their on-site data verification	Oversight C'ttee		OC			X	0
	4.6 Conduct issue-specific site visit if needed, including feedback from persons living with or affected by the diseases	site visit		OC			X	yes
5.0	Analyse information to identify problems and bottlenecks requiring LCM attention							

LCM Oversight Activities from ___ [date] to ___ [date]		Method	When: Frequency, Dates Due	Responsible: Lead (Support)	How Docu- mented	Follow-up Respons.	Budget Notes	Notes
	5.1 Analyze each grant's PU/DR, dashboard, and related information in a manner that integrates the grant's management, financial, and programmatic performance.	Oversight C'ttee		OC				0
	5.2 If the PU/DR, dashboard, or other information indicates poor performance or specific problems, use activity 4.4 to learn more if possible	Oversight C'ttee		OC, TCC			X	0
	5.3 Determine the type of problem, issue or bottleneck causing poor performance and the institutions involved	Oversight C'ttee		OC, TCC			X	0
	5.4 Talk with PR to identify the efforts made by the PR to date to resolve the problem	Oversight C'ttee		OC, TCC			X	0
	5.5 Develop options and/or a recommendation to the LCM on action to be taken to resolve the problem or bottleneck, depending on its type and extent [to be recorded in dashboard]	Oversight C'ttee		OC, TCC				
	5.6 Report to the LCM using the quarterly dashboard for each grant	Oversight C'ttee		OC				0
	5.7 During LCM meetings, explain any issues, problems, bottlenecks that may have been identified and which require LCM attention [dashboard as reporting tool]	Oversight C'ttee		OC, TCC			X	0
6.0	Take action to resolve problems and bottlenecks requiring LCM attention							
	6.1 In the case of urgent problems, call for an Extraordinary LCM meeting	telephone		OC Chair				

LCM Oversight Activities from ___ [date] to ___ [date]		Method	When: Frequency, Dates Due	Responsible: Lead (Support)	How Docu- mented	Follow-up Respons.	Budget Notes	Notes
	6.2 The LCM will discuss the problem and potential solutions and will decide on the action to be taken [to be recorded in dashboard]	LCM meeting		Chair				
	6.3 The LCM will delegate authority to the Oversight Committee or TCC or it will identify other LCM members to pursue a solution [to be recorded in dashboard]	LCM meeting		Chair				
	6.4 The LCM may request additional investigations of problems (including issue-driven site visits) and may mobilize additional support	LCM meeting		Chair				
	6.5 Communicate with the LFA regarding issues or problems, if requested by the LCM	email		Chair				
7.0	Follow up and report results							
	7.1 Review & report on the status of a problem as “old business” at the subsequent LCM meeting [using dashboard Actions Page]	LCM meeting		OC Chair				
	7.2 LCM members share oversight findings with their constituencies during consultative meetings	LCM meeting		Members			yes	
	7.3 LCM shares oversight findings with other stakeholders	meetings media		OC Chair (Sec’t)				
8.0	Document all oversight activities and report back to PRs on performance and decisions taken							
	8.1 Use the reporting templates to document all findings (dashboard, meeting minutes, site visits)			OC Chair (Sec’t)				
	8.2 Include dissenting reports and opinions			OC Chair (Sec’t)				
	8.3 Provide reports to the PR and to the LCM, along with explanations of identified issues/problems			OC Chair (Sec’t)				

LCM Oversight Activities from ___ [date] to ___ [date]		Method	When: Frequency, Dates Due	Responsible: Lead (Support)	How Docu- mented	Follow-up Respons.	Budget Notes	Notes
	8.4 Conduct follow-up as needed			OC Chair (Sec't)				
	8.5 Archive all documents			Sec't				

Annex 5. Planning Tool. Summary Timeline for Key Oversight Activities

№	Key Oversight activities *	Month of Year ____											
		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII
1	Create Work Plan and Budget (annual)												
2	Orient LCM members and alternates (min. every 2 years)												
3	Orient Oversight Committee members (min. every 2 years)												
4	LCM meetings (quarterly)												
5	Oversight Committee meetings (quarterly)												
6	Site visits (quarterly)												
7	Oversight self-assessment (annual)												
8	Consultation meetings with NGOs, PLWDs, and KAPs (every 6 months)												
9	Consultation meetings with all other CSOs (every 6 months, alternating with the NGO-PLWD-KAP meetings)												

* In accordance with the annual work plan

Annex 6. Oversight Capacity Building Materials

The documents listed below are available electronically and in hard copy from the LCM Secretariat.

Purpose	Document	Document type
Introduction / Orientation to Oversight		
	Orientation to oversight for LCM	PowerPoint
	Orientation to oversight for PRs	PowerPoint
	What Is Oversight?	Word
	Introduction to the dashboard	PowerPoint
Dashboard Management		
	Dashboard Management Manual	Word
	TOR for PR Dashboard Coordinator	Word
	TOR for Secretariat Dashboard Coordinator	Word
	Guidelines for LCM Secretariat to Customize a Dashboard	Word
Setting up a dashboard		
	Indicator Selection Workshop	
	Selection of dashboard indicators: presentation	PowerPoint
	Selection of dashboard indicators: handouts	Word, Excel, Pdf
Reviewing a dashboard		
	Dashboard Review Steps - Liberia	PowerPoint
	Guidelines for Reviewing & Interpreting Dashboard Reports	Word
	Dashboard Review Template	Word (in Guidelines for Reviewing...), and Excel

Annex 7. Site Visit Guidelines

Purpose of Site Visits

LCM may visit any aspect of a grant program, including the PRs, SRs, Sub-SRs, service delivery sites, and sites where health products are kept. These site visits are not undertaken to address day-to-day management issues (a PR role, see Section 3.2) or to audit regular reports (a Local Fund Agent role). Instead, the LCM's site visits have four main objectives:

- Make sure that activities are taking place in the field as defined in the grant 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 the programs and diseases to build credibility and trust

Guidelines for Site Visits

- Issue-driven site visits. These formal visits take place after the LCM meetings as a follow-up to the decisions made regarding a specific issue that have generally been identified through the oversight reports. The purposes of such problem-driven site visits are to do the following:
 - Clarify issues arising from the oversight reports
 - Seek additional information on specific issues to enable the LCM to make appropriate decisions
 - Follow up on LCM decisions
- Informal site visits. Although site visits are usually undertaken as single-purpose formal trips, they also can serve as informal visits using existing monitoring systems. For example, PRs might bring some LCM members on their regular field visits. Similarly, if a LCM member is visiting for other purposes an area with grant activity, he or she may undertake a site visit as a LCM member. The main purpose of informal visits is to help LCM members become more familiar with the grants. As with formal site visits, even these informal site visits are planned with site staff beforehand to avoid surprise visits and disruptions of grant implementation.
- Logistics. Site visits can take place at PR's or SR's offices, or project implementation sites. Limit the team visiting a field site to no more than four persons, including LCM members, PR representatives, and observers.
- Role of associations of people living with and/or affected by the Global Fund diseases and LCM members based outside the capital city. These individuals are asked to carry out site visits in their geographic zones on a semiannual or annual schedule. Transportation support may be provided if needed. Visitors report back on their visits to the full LCM during meetings or through their newsletter or minutes.

Note: No surprise visits are allowed. Protocol must be observed (including providing prior notice and obtaining letters of introduction or approval from authorities to conduct the visits).

Oversight Site Visit Questionnaire & Report Form

Instructions: Use as much space as needed to complete the questionnaire report.

Name(s) of visitor(s): _____

Date of visit: _____

Location(s) visited: _____

A. Background Information	
1. Organization visited	
2. Role in the grant (e.g., PR, SR, sub-SR, service delivery site, or training)	
3. Grant details (round or type, disease) Grant number	
4. PR of each relevant grant	
5. Grant start date	
6. Global Fund budget for each grant (current phase)	

B. Site Visit Questions (to be adapted to each grant as appropriate)	
1a. Has anyone from the PR ever visited you? 1b. Has anyone from the LCM ever visited you?	
2. When did you send your last report to the PR?	
Financial	
3a. When did you most recently request funds? 3b. When did you receive the funds and how much did you receive?	
4. Do you still have funds in your account?	
5. May we review together your disbursement plan for SRs and sub-SRs?	
Procurement & Supply Management	
6. When did you receive your last delivery of drugs or supplies?	
7. When did you last order more drugs or supplies?	

B. Site Visit Questions (to be adapted to each grant as appropriate)	
9. Do you have any stock-outs today? What items?	
10. Have you sent drugs or supplies to SRs or sub-SRs or (for MoHSW) counties?	
Management	
11. Have you received the SR or County reports on time? May we review together the SRs' or counties' activities according to their work plans?	
12. Have you hired the staff as planned in the Global Fund project?	
13. Is there evidence of harmonization of Global Fund activities with the other activities of the site?	
Performance and results	
14. Are activities being done according to the approved work plan? If no: (a) which activities being done are <u>not</u> in the approved plan, and (b) which approved activities are not being done?	
14. Are you achieving the expected results / targets?	

C. Summary Site Visit Observations	
1. Key staff	
2. Money	
3. Stocks and drugs	
4. Facilities	
5. Accessibility of site today	
6. Observable interactions between providers and clients (including level of stigma)	
7. Feedback from staff and providers	
8. Feedback from clients and people at risk (including level of stigma)	

C. Summary Site Visit Observations	
9. Feedback from community members, leaders, and other stakeholders	
10. Overall impression of grant	
11. Issues for LCM attention: action points	(1) (2)

Person who wrote this report: _____

Date _____

Annex 8: LCM Site Visit Recording & Reporting Form

Grant No. & Summary Name

Principal Recipient _____ **PR Contact Person** _____

Purpose of site visit [+ fill in questions on p.2] _____

If specific issue, date of LCM Meeting when need for site visit was decided [mm-dd-yyyy] _____

Site Location _____ **Date of Visit** [mm-dd-yyyy] _____

Site Host's Name & Designation

LCM Visitors [Add more rows if needed.]

Constituency	Name	Designation	Signature

Persons Consulted* [Add more rows if needed.]

Name of Individual or Group	Designation	LCM Member? [yes, no]	Beneficiary? [yes, no]	PLWD or KAP? [if yes, specify]

**Note: Global Fund requires documented feedback from non-CCM members, and PLWD and KAP.*

Grant _____ Site Visit Date _____

1. Findings from the site *[add more questions if needed]*

Question A:	
Answer A.	
Question B:	
Answer B.	
Question C:	
Answer C.	

2. Any surprises?

3. Any concerns?

4. Conclusions

5. Recommendations to the LCM *[use more space if needed]*

Annex 9. Indicators for Oversight Performance

The Global Fund’s Minimum Requirement 3 concerns oversight: to be eligible for funding, CCMs must have an oversight plan and must implement it.

To assess whether a CCM meets this requirement, the Global Fund has stipulated seven mandatory oversight performance indicators as either an Eligibility Requirement (ER) or as a Minimum Standard (MS). Although the names are different, as of 01 January 2015, it is mandatory for CCMs to assess their oversight performance every quarter using all seven indicators in the table below. Assessment categories for each indicator are Fully Compliant, Indeterminate Compliant, and Non-Compliant. For a CCM to be considered eligible for funding, all seven indicators must reflect Full Compliance with supporting documentation: thus, targets for each quarter for each indicator are “Fully Compliant.”

	Mandatory Oversight Indicator
ER 3	A complete CCM oversight plan that includes activities, responsibilities, timelines and budget.
ER 3	The oversight body (OB) has access to the following core skills: (i) financial management, (ii) disease-specific expertise, (iii) procurement and supply management, and (iv) program management. OB composition should include a key affected populations and PLWD representative.
ER 3	Dated meeting minutes which document formal appointment or election of members of the CCM oversight body (OB).
ER 3	Documentary evidence of consultations including oversight visits carried out by the oversight body or CCM, 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 affected populations.
MS 3	Dated meeting minutes, reports or work plan that demonstrate the evidence dialogue quarterly and the follow-up with each PR.
MS 3	Whenever problems and challenges are identified, the CCM has, in the past 6 months, taken decisions on the minimum (i) management, (ii) financial and (iii) programmatic indicators of oversight and followed upon corrective actions.
MS 3	Evidence of oversight report(s) shared quarterly with in-country stakeholders and with the Global Fund Secretariat in a timely manner (within 1 month of OC meeting).

Other indicators directly related to oversight were selected by the LCM for assessing oversight performance each quarter. Quarter 1 is from May 2015 - July 2015.

Other Indicator: CCM	Target Q1	Target Q2	Target Q3	Target Q4
% of planned oversight activities completed with documented participation by all CCM constituencies. <i>LCM will measure 3 major constituencies: Government, Private (For-profit), and Civil Society. Planned activities are 1 LCM meeting + 1 OC meeting + 1 site visit per quarter.</i>	25	50	75	100
Number of planned activities implemented to align CCM with relevant national bodies	1	1	1	1
% of key CCM documents completed and shared with all members	0	3	0	0
% of non-government CCM members with documented selection by their own constituency according to clear criteria	100	100	100	100

% of CCM members trained on the role of the CCM <i>[including oversight]</i> within the preceding 24 months.	100	100	100	100
--	-----	-----	-----	-----

The LCM Secretariat will compile the data based on documentary evidence, enter the data into a database, and report results each quarter.