CCM Georgia Oversight Plan

1. Introduction

Grant oversight is a core governance function of the Georgian CCM. Its overall purpose is to ensure that grants from the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund) are implemented as planned and that challenges and bottlenecks are identified and resolved.

To ensure effective oversight, the Georgian CCM has developed this Oversight Plan to organize and implement CCM 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 CCM members and nonmembers, nongovernment constituencies, and people living with and/or affected by the three Global Fund diseases.

2. Definition and Rationale

Oversight is a key responsibility of the Georgian CCM. 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 CCM 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 CCM Requirement

According to the Global Fund *Guidelines and Requirements for Country Coordinating Mechanisms* of May 11, 2011,[1] "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, Requirement 3 in these guidelines is "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."

2.2 PR Mandate

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[1] *Guidelines and Requirements for Country Coordinating Mechanisms* (May 2011). This document may be located on the web page http://www.theglobalfund.org/en/ccm/guidelines/ or by searching its title on the home page of the Global Fund's website under the "search" window.

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

3.2 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.

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[2] *Guidance Paper on CCM Oversight*. This document may be located on the web page http://www.theglobalfund.org/documents/ccm/CCM_CCMOversightGuidance_Paper_en/ or by searching its title in the home page on the Global Fund web site under the "search" window.

3.3 Focus on Critical Areas and Questions

Oversight typically focuses on several areas and 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 development, grant negotiation, grant implementation, Phase 2 reviews and renewals, 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.

3.6. Adherence to Principles of Good Governance and Avoidance of Conflicts of Interest
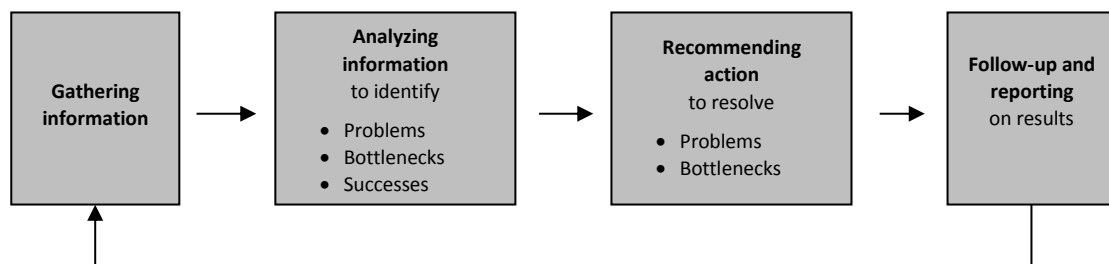
CCM oversight must be conducted, as with any other CCM activity or function, in conformance with the Global Fund requirement that CCMs manage any real or apparent conflicts of interest among their members and constituents. In conducting grant oversight activities, the CCM and its oversight committee(s) 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 and SSR may not serve as members of any CCM oversight bodies.

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[3] *Guidance Paper on CCM Oversight*. This document may be located on the web page www.theglobalfund.org/documents/ccm/GuidancePaperOnCCMOversight.pdf or by searching its title in the home page on the Global Fund web site under the "search" window.

4. CCM Oversight Responsibilities

This section focuses on CCM oversight responsibilities related to grant implementation, although these responsibilities also apply to the other areas of CCM oversight, including proposal development, grant negotiations, grant implementation, Phase 2 review and renewals, and grant closure.

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

| **Gathering information** | → | **Analyzing information** to identify
 • Problems
 • Bottlenecks
 • Successes | → | **Recommending action** to resolve
 • Problems
 • Bottlenecks | → | **Follow-up and reporting** on results |

4.1 Gathering Information

Gathering information is the cornerstone of all other oversight activities because the CCM 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 committee although this activity might also be coordinated and shared with the CCM secretariat.

As recommended in the Global Fund's guidelines on CCM grant oversight (Section 34), this gathering of information may include regular reviews of Progress Update and Disbursement Request forms, periodic visits to service delivery sites, and feedback from nonmembers of the CCM (including people living with the Global Fund diseases). See below, section 6, "Information for Grant Oversight," for additional sources of information for oversight.

4.2 Analyzing Information

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

4.3 Taking Action

Once problems, issues, or bottlenecks are identified and understood, the CCM takes action 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 or the secretariat to examine the issue, resolve it, and document the outcomes

- Action by CCM members who have links to decision makers who might assist in problem solving

- Action by outside technical assistance as appropriate

- Site visits at the direction of the CCM to look into specific issues

Field visits by the CCM are needs-driven and have specific objectives. See annex 1 for guidelines on conducting such site visits

When the CCM makes decisions, it specifies the action to be taken, the person or party responsible, and a deadline for taking those actions. The CCM 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

Oversight reports are circulated to all CCM members before each CCM plenary meeting. During the meeting, the oversight committee presents the oversight findings and recommendations to the CCM plenary. The decisions of the CCM are the basis for follow-up activities and implementation of the activities must be tracked. See below, section 7, "Engaging With and Reporting to Program Stakeholders," for additional reporting guidelines.

5. Role of the Oversight Committee

Although grant oversight is the responsibility of the entire CCM and all members can provide oversight, it is not practical for all members to conduct oversight activities at all times. Therefore, the CCM establishes the oversight committee to plan, coordinate, and carry out oversight of the Global Fund grants in the country on behalf of the CCM.

The role of the oversight committee is to facilitate the decision-making process of the CCM members by reporting on the areas below and making recommendations to the CCM for discussion and decision making. This committee is not a decision-making body or an alternative to the CCM.

Creating an oversight committee does not prevent any CCM member from 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 CCM's secretariat or oversight committee can facilitate.

5.1 Responsibilities of the Oversight Committee

The CCM oversight committee is responsible for providing oversight to existing Global Fund grants in Georgia in the following areas:

- **Financial**: Ensuring appropriate, timely, and effective use of funding from the Global Fund

- **Programmatic**: Ensuring timely and effective implementation of PR and sub-recipient (SR) work plans, including implementation of intended results in short- and intermediate-term periods

- **Procurement**: Ensuring transparent, competitive, and effective procurement and supply management with appropriate quality assurance and in accordance with national laws

- **Management**: Managing the grants in all areas (including financial, programmatic, and procurement areas), as well as actions or conditions required by the Global Fund (e.g., conditions precedent and time-bound actions).

Terms of reference for the Oversight Committee are contained in annex 3.

5.2 Secretariat Support to the Oversight Committee

The CCM's secretariat collaborates with the oversight committee chair and members to determine the level and types of administrative 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.

6. Information for Grant Oversight

Information is the basis for grant oversight by the CCM; without information, there can be no identification of program issues or bottlenecks, nor any resolution of the underlying problems that might threaten grant performance. 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 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

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

6.2 Sources of Oversight Information

The CCM and its oversight committee gather information from the following major sources:

- **PR reports and available data**, 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

- **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 [*country's*] grants

- **Special reports commissioned by the CCM**, including surveys of beneficiaries or other stakeholders undertaken periodically to inform oversight, proposal development, and/or harmonization activities

- **Field oversight visits** to provide the CCM with an overall sense, rather than a detailed understanding, of program achievements and challenges in the field. As appropriate, non-CCM members and individuals representing people living with the Global Fund diseases may participate in these visits as appropriate. See annexes 1 and 2 for guidelines and tools for conducting field oversight visits.

- **Examinations of specific issues**, typically conducted through presentations by PRs and SRs to the [*oversight committee(s)*] or through site visits, although the CCM may choose to authorize technical experts to look into problems and report back on their findings to the CCM

- **Feedback from people living with diseases** as recommended by the Global Fund's guidelines on CCM grant oversight (Section 34)

7. Engaging With and Reporting to Program Stakeholders

7.1 Engaging with Program Stakeholders

As required by the Global Fund's guidelines for CCMs (*see* note 1), the oversight committee and the CCM develop strategies and approaches to engage program stakeholders (including CCM members and nonmembers), nongovernment constituencies, and people living with and/or affected by the three Global Fund diseases in the oversight process.

In addition, the oversight committee include 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.

7.2 Oversight Reporting to the CCM

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.

Reports are prepared by the oversight committee and presented by the committee chair or another appointed member at plenary meetings of the CCM. 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 or integrated to the CCM minutes and maintained as part of the CCM archives.

Annex 1

CCM Guidelines: Oversight Visits to the PR, SRs, Sub-SRs, and Service Delivery Sites

Purpose of Site Visits

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 CCM'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 CCM meetings as a follow-up to the decisions made regarding a specific issue that have generally been identified through the oversight reports (especially dashboards). 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 CCM to make appropriate decisions
    - Follow up on CCM 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 CCM members on their regular field visits. Similarly, if a CCM member is visiting an area with grant activity for other purposes, he or she may undertake a site visit as a CCM member. The main purpose of informal visits is to help CCM 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 CCM members, PR representatives, and observers.

- **Role of associations of people living with and/or affected by the Global Fund diseases and CCM 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 CCM 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).

Annex 2

CHECKLIST FOR OVERSIGHT FIELD 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?	

B. Site Visit Questions	
Have you sent drugs or supplies to SRs or sub-SRs?	
Management	
Have you received the SR reports on time? May we review together the SRs' activities according to their work plans?	
Have you hired the staff as planned in the Global Fund project?	
Is there evidence of harmonization of Global Fund activities with the other activities of the site?	
Performance and results	
Are you achieving the expected results?	

C. 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	