

Annexure -C



Bangladesh Country Coordinating Mechanism (BCCM)

Grant Oversight Plan

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BCCM Grant Oversight Plan

This Oversight Plan has been prepared by the BCCM Oversight Committee to provide a framework for overseeing the implementation of Global Fund grants by Principal Recipients and Sub Recipients. It was approved in the BCCM meeting of 13 July 2016 (86th Meeting)

1. Definition and Rationale

The Guidelines and Requirements for Country Coordinating Mechanisms is a Global Fund Framework Document covering a number of core governance principles, which the Global Fund applies in all its policies and discussions regarding CCMs. Following the Global Fund Comprehensive Reform Agenda (Global Fund Strategy Framework for 2012-2016), the Eligibility and Performance Assessment (EPA) process was introduced for CCMs. The EPA framework includes a number of eligibility requirements and minimum standards that CCMs must comply with. Requirement 3 is for oversight function, which has the highest number of indicators. The EPA process reinforced focus on oversight function.

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

Oversight requires strategic direction, in line with Global Fund policies, by the CCM to the Principal Recipients, as well as consistent follow-through to assure that implementing agencies comply with oversight recommendations and requested corrective actions.

2. Principal Recipient Mandate

The Global Fund Grant Agreement ¹ with Principal Recipients (PRs) 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 legally obligated to cooperate with CCMs** and to be available to meet with them regularly to discuss plans, share information, and communicate about program-related matters and provide program-related reports and information on request (article 7b).
- **PRs are legally obligated to provide the CCM** with copies of periodic reports submitted to the Global Fund (article 15) and to send copies to the CCM of all notices, requests, documents, reports, or other communication exchanges with the Global Fund secretariat (article 25).

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

3. Principles of Grant Oversight

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

National Interest. As stated in the Global Fund’s Guidance Paper on CCM Oversight, “the core principle of oversight is to ensure that resources—financial and human—are being used efficiently and effectively for the benefit of the country.”² Because the BCCM is a national consensus decision-making body that represents national interests, it has the unique responsibility and authority to oversee the management of all Global Fund grants in the country.

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

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

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

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.

Focus on Grant Implementation: As required by Global Fund oversight guidelines, oversight extends from preparation of the country grant application to closure after its implementation, including concept note development, grant negotiation, grant implementation, 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 and effectively, and in the national interest.

² Global Fund, *Guidance Paper on CCM Oversight*, Section 2

http://www.theglobalfund.org/documents/ccm/CCM_CCMOversightGuidance_Paper_en/

³ Global Fund, *Guidance Paper on CCM Oversight*. Section 4.1

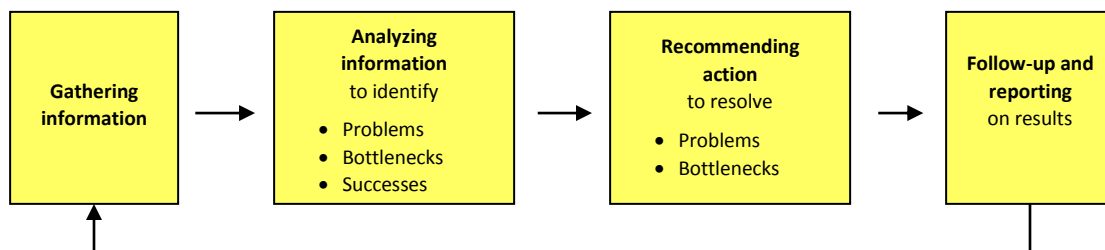
www.theglobalfund.org/documents/ccm/GuidancePaperOnCCMOversight.pdf

Avoiding Conflict of Interest. CCM oversight must be conducted, as with any other CCM activity or function, in compliance with the Global Fund requirement that CCMs manage any real or apparent conflicts of interest among their members and constituents. In conducting grant oversight activities, 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 may not serve as members of any CCM oversight bodies.

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 II review and grant 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

Gathering information is the cornerstone of all other oversight activities because the BCCM 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 BCCM Secretariat *and/or Technical Working Groups*.

As recommended in the Global Fund’s guidelines for CCM grant oversight ⁴ (Section 34), this gathering of information may include regular reviews of CCM Summary Dashboard, PR Dashboard, Progress Update and Disbursement Requests (PUDR), PR Quarterly Dashboards⁵, CCM Summary Dashboard, periodic visits to service delivery sites, and feedback from nonmembers of the CCM (including people living with the three Global Fund diseases). See below, section 6, “Information for Grant Oversight,” for additional sources of information for oversight.

⁴ Global Fund, *CCM Guidelines and Requirements*, Section 29 (Eligibility Requirement 3) <http://www.theglobalfund.org/en/ccm/guidelines/>

⁵ PR Management Dashboard. <http://www.theglobalfund.org/en/fundingmodel/technicalcooperation/prdashboard/>

Analyzing Information

Information that has been gathered is analyzed to identify successes, challenges, problems, and bottlenecks requiring the BCCM'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 BCCM 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 BCCM to assist the *Oversight Committee*.

Taking Action

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

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

Oversight field visits by the BCCM are needs driven and have specific objectives. See annex 1 for guidelines on conducting such site visits

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

Reporting Results

Oversight reports are circulated to all BCCM members before each plenary meeting. During the meeting, the *oversight committee* presents the oversight findings and recommendations to the BCCM plenary. The decisions of the BCCM 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. Framework of Strategic Grant Oversight

The Guidelines and Requirements for Country Coordinating Mechanisms is a Global Fund Framework Document covering a number of core governance principles, which, the Global Fund applies in all its policies and discussions regarding CCMs. Following the Global Fund Comprehensive Reform Agenda (Global Fund Strategy Framework for 2012-2016), the Eligibility and Performance Assessment (EPA) process was introduced for CCMs.

EPA process is mandatory, which is designed to:

- Enhance accountability, transparency and performance of CCMs
- Urge CCMs to play a stronger and more strategic leadership role under the current new funding model

The EPA framework:

- Includes a number of eligibility requirements and minimum standards that CCMs must comply with
- Determines CCMs' adherence to the good governance principles

The EPA process reinforces focus on oversight. Requirement 3 is for oversight function, which has the highest number of indicators. This is a clear signal of the Global Fund's enhanced emphasis on oversight function of the CCMs.

Rationale for Effective and Strategic CCM Oversight

Effective oversight fosters strategic leadership, where CCM is able:

- Balance vision and long-term "big picture" goals with the immediate requirements of more routine business
- Analyze "big picture" issues and opportunities pertaining to national expenditures and results, external assessments of transparency and accountability, shrinking resources, impact of adverse statistics on the future of a country's workforce and economic growth, sustainability of programs, transitioning to domestic funding
- Provide informed recommendations in the three national disease programs

Strategic oversight

- Equips CCM members to increase awareness of existing challenges among key stakeholders and policy makers and contribute to a sound governance platform for high-level national discussion
- Helps develop and guide harmonization of and priorities for national strategic plans
- Inform transition, re-planning and re-orientation of Global Fund investments in country

Elements of Strategic Oversight

A strategic approach helps reframe grant oversight to a wider context including several elements:

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

Example of Questions in Strategic Oversight

- Are the results contributing to National Program Targets?
- Are grant accomplishments contributing to achievement of goals and objectives of National Programs (national impact)?
- Is grant implementation facilitating sustainable engagement of KPs and CSOs in National Programs beyond Global Fund?
- Are grant activities sustainable after Global Fund?
- What are best practices in grant implementation that can be institutionalized in the National Programs?

Role of Oversight Committee

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

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

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

Align program reviews with the national program review cycles; the member of the oversight committee participates in national program reviews where feasible to increase accountability of Global Fund financed programs.

Responsibilities of the Oversight Committee

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

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

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

Oversight Committee Composition

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

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

BCCM Secretariat Support to the Oversight Committee

The BCCM Secretariat collaborates with the oversight committee chair, vice 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.

The agreed levels and types of support are documented in the oversight committee's annual work plan, as specified in the committee's terms of reference (**Annex 1**) and the *BCCM Secretariat's terms of reference*, *BCCM Secretariat operations manual*, etc.

6. Information for Grant Oversight

Information is the basis for grant oversight by the BCCM. 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 routine and strategic grant oversight.

Type 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 BCCM shall also require information from PRs pertaining to strategic oversight to clarify the status and contribution of grant program implementation vis-à-vis national disease programs. Strategic oversight information pertains to:

- Results contributing to National Program Targets
- Grant accomplishments contributing to achievement of goals and objectives of National Programs
- Grant implementation good practices facilitating sustainable engagement of KPs and CSOs in National Programs beyond Global Fund
- Best practices in grant implementation that can be institutionalized in the National Programs

Source of Oversight Information

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

- **PR reports and available data**, such as Progress Update and Disbursement Request (PUDR), quarterly performance reports, quarterly PR Dashboards⁶⁷, program work plans and budgets, monitoring and evaluation plans, procurement and supply management plans, results of PR annual audit(s), and annual (or enhanced - EFR) financial reports
- **Global Fund reports and written communications**, including grant performance reports; grant score cards; Global Fund management letters and other correspondence with the Global Fund secretariat; and information, observations, and comments received from the Global Fund’s Fund Portfolio Manager responsible for Bangladesh grants
- **Special reports commissioned by the BCCM**, including surveys of beneficiaries or other stakeholders undertaken periodically to inform oversight, proposal development, and/or harmonization activities
- **Oversight site-visits** to provide the BCCM 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 diseases may participate in these visits as appropriate. See annexes 2 and 3 for guidelines and tools for conducting field oversight visits and annex 4 for a sample oversight visit report.
- **Investigations of specific issues**, typically conducted through presentations by PRs and SRs to the *Oversight Committee* or through investigative site visits, although the BCCM may choose to

⁶ Grant Oversight Tool: Oversight: <http://www.theglobalfund.org/en/ccm/oversight/>

⁷ PR Management Dashboard: <http://www.theglobalfund.org/en/fundingmodel/technicalcooperation/prdashboard/>

authorize technical experts to investigate problems and report back on their investigations to the BCCM

- **Feedback from people living with diseases** as recommended by the Global Fund’s guidelines on CCM grant oversight (Section 34).
- Assessment and Evaluation Reports of National Programs shared to BCCM by concerned government agency.
- **CCM Summary Dashboard:** The CCM Summary Dashboard that provides the CCM and the oversight committee members with a user-friendly, highly visual mechanism for obtaining a snapshot of grants performance at a given point of time. Through color-coding and drill-down capacity, the dashboard serves as a guide for the oversight committee’s and CCM members’ analysis of the performance.
- Dashboards provide a visual display of the most important information needed by CCM leaders and decision-makers to monitor progress toward achieving objectives of a project or program. By using dashboard data for timely identification of problems and bottlenecks in program implementation, the CCM leaders and decision-makers can take pre-emptive corrective actions to improve program performance.

7. Engaging with and Reporting to Program Stakeholders

The Oversight Committee shall develop methods and approaches for engaging program stakeholders in the grant oversight process. In addition, it shall routinely report back to the full BCCM on the grant oversight activities, recommendations, and/or follow-up actions.

Engaging with Program Stakeholder

As required by the Global Fund’s guidelines for CCMs (*see note 1*), the *Oversight Committee* and the BCCM develop strategies and approaches to engage program stakeholders (including BCCM members and non-members), nongovernment constituencies, and people living with and/or affected by the three Global Fund diseases, and key affected populations in the oversight process.

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

Grant Oversight Reporting to the BCCM

The Oversight Committee presents the results of its activities in the form of periodic written reports on the status of Global Fund grant implementation. These reports outline the committee’s conclusions, recommendations, and actions in each period, as well as the context, areas reviewed, and methodology of the oversight actions. The OC shall ensure that grant oversight reports are systematically prepared, distributed and findings are circulated in a transparent manner and are user-friendly:

- OC meeting minutes will be circulated and structured by: a) management; b) program; c) finance; d) Procurement & Supplies and d) gaps and follow-up actions
- OC meetings discussion shall be recorded in a sequential manner
- Oversight Issue Tracking system will be fully implemented (follow-up OC meeting decisions)
- Site-visit report should focus on management, finance and procurement issues. It should also highlight how the grant implementation is contributing to the national program targets/objectives
- Complete final draft of site-visit report and circulate within 1 month of the visit
- Summary report of strategic oversight findings will be shared with the BCCM on a yearly-basis, e.g. grant outcomes vs. national program accomplishments

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

Compliance with the Global Fund Eligibility Requirements and Standards - ER 3

To comply with eligibility Requirement 3, CCMs need to demonstrate through supporting documentation that the following minimum standards have been met:

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

ANNEXES

Annex 1: Terms of Reference, BCCM Oversight Committee

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

Annex 3: Checklist for Oversight Visit

Annex 4: BCCM Oversight Work Plan Framework: Frequency and Scheduling of Activities

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

- 1. Purpose.** The Oversight Committee is responsible for contributing to effective oversight of all Global Fund financed programs and related processes in Bangladesh, in accordance with Global Fund requirements for grant oversight⁸ and the functions delegated to it by the Bangladesh Country Coordinating Committee (BCCM), as defined in the BCCM Governance Manual and these Terms of Reference. The Oversight Committee shall facilitate the grant oversight process for the full BCCM by providing needed information and informed recommendations to guide the BCCM in executing its grant oversight responsibilities.
- 2. Scope of grant oversight.** The BCCM Oversight Committee shall conduct grant oversight in major three areas:
 - a. Financial – appropriate, timely, and effective use of funding from the Global Fund
 - b. Programmatic – timely and effective implementation of Principal and Sub Recipient workplans, including implementation of intended results in short- and intermediate-term periods
 - c. Procurement – transparent, competitive, and effective procurement and supply management with appropriate quality assurance and in accordance with national law.
- 3. Membership.** The Oversight Committee shall be appointed by the BCCM, and shall consist of a Chair, a Vice Chairs, and at least five additional members. Membership of the BCCM is not a prerequisite for membership of the Oversight Committee with the exception of the positions of Chair and Vice Chairs of the Oversight Committee.
 - a. Members shall serve a term of three years.
 - b. Candidates who are non-CCM members shall have strong technical or programmatic experience that is directly relevant to the grant oversight mandate and responsibilities of the Committee.
 - c. Candidates who are non-CCM members will be required to complete the same conflict of interest declaration form prepared by all BCCM members.
 - d. Members of the Oversight Committee shall not be representatives of Principal Recipients nor Sub-Recipient nor Sub Sub-Recipient institutions.
 - e. The Oversight Committee shall have members with expertise on Financial Management, disease-specific (i.e. HIV and AIDS, TB and Malaria), procurement and supply management, and program management. Composition of the OC shall also include representatives from KAP and PLWD. BCCM will make provision for inclusion of alternate members for Financial and PSM Experts to ensure that these two key areas are always represented in OC meetings.
 - f. The Oversight Committee shall have one member shall designate one member to coordinate technical assistance.
 - g. The BCCM will determine whether, based on the non-CCM candidate’s declaration, s/he meets the standard for conflict of interest required for members of the Oversight

⁸ “Guidelines for Country Coordinating Mechanisms”, Global Fund (May 2011), Section 29

Committee.

4. Meetings and Quorum Requirement

- a. The Oversight Committee shall meet at least quarterly, and may meet more frequently as circumstances require. Meetings shall take place at least two weeks prior to each regular quarterly BCCM meeting, so that Committee deliberations may be reported to the BCCM.
- b. At least 66% (two-third) of the OC members' presence will be required for a meeting quorum, including either the Chair or the Vice Chair.
- c. Unless otherwise scheduled by a majority vote of the Committee members, meetings of the Committee shall be open to all BCCM Members and to guests invited by the OC Chair or Vice Chair. Members of other BCCM Committees or Technical Working Groups, or other technical experts and resources, may also be invited to provide assistance as needed.
- d. COI Policy will apply in the process of inviting meeting attendees.

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

- a. Build capacity and prepare annual plans for BCCM Oversight
 - Clarify oversight functions, responsibilities, and build capacity for oversight
 - Develop approaches for engaging BCCM members and program stakeholders in the oversight process
 - Develop annual Oversight Workplans and Budgets
- b. Gather information on program and grant implementation.
 - Gather program performance, financial, and procurement information on GF grants through use of routine reports or re-packaging of available data
 - Gather information on GF grants through site visits and participation in joint PR-SR performance review meetings
 - Gather information on GF grants through investigation of specific issues
- c. Identify implementation issues, problems, and bottlenecks
 - Analyze information to identify problems and bottlenecks requiring BCCM attention
 - Document problems, issues, or bottlenecks for BCCM review and decision-making
- d. Provide guidance and recommendations for BCCM actions
 - Request exceptional BCCM meeting in the case of urgent problems
 - Assist BCCM plenary sessions to understand issues, determine appropriate actions
 - Monitor the implementation status of recommended actions and interventions
- e. Provide constituency consultations by seeking input and report back to BCCM / program stakeholders on progress, remaining issues, and additional follow-up required.

- 6. Oversight Work plan and Budget.** As required by the Global Fund, the Oversight Committee shall develop an annual Oversight Workplan and Budget, updated on annual basis, for BCCM review and approval. The Oversight Budget will be prepared to support the activities and required resources for implementing the Annual Oversight Workplan.
- 7. Technical and Administrative support.** The Committee may seek the services of technical resources or experts to assist in the discharge of its responsibilities. In addition, the BCCM Secretariat shall provide administrative support the Committee in conducting its oversight activities. The agreed-upon levels and types of technical and administrative support shall be documented in the Oversight Committee Annual Workplan

Annex 2:

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

Purpose of Site Visits

Site-visits are not undertaken to address day-to-day management issues (a PR role, see section 3.2) or to audit regular reports (a Local Fund Agent role). Instead, the BCCM's site-visits have four main objectives:

- Make sure that activities are taking place in the field as defined in the grants documents and the **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

- Frequency. OC site- visit should be at least 2 visit per grant per year
- **Issue-driven site visits.** These formal visits take place after the BCCM 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 BCCM to make appropriate decisions
 - Follow up on BCCM decisions
- **General site visits.** Although site-visits are usually undertaken as single-purpose, issue-driven trips, other general site-visits may be conducted as an adjunct to ongoing activities or systems e.g., using existing monitoring systems). For example, PRs might bring some BCCM members on their regular field visits. Similarly, if a BCCM member is visiting an area with grant activity for other purposes, he or she may undertake a site-visit as a BCCM member. The main purpose of these additional visits is to help BCCM members become more familiar with the grants. As with issue-driven site visits, even these general 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. The number of participants to a field site (e.g., BCCM members, PR representatives, and observers) should be limited to a small group that will be effective without overwhelming site operations
- **Role of associations of people living with and/or affected by the Global Fund diseases and BCCM members based outside the capital city.** These individuals are asked to carry out site visits in their geographic zones on a semi-annual or annual schedule. Transportation support

may be provided if needed. Visitors report back on their visits to the full BCCM during meetings or through their newsletter or minutes.

- **Sites to be visited shall be given adequate notice.** No surprise visits are allowed. Protocol must be observed (including providing prior notice of at least seven days and obtaining letters of introduction or approval from authorities to conduct the visits).
- **Prior to site-visit, the CCM Secretariat to arrange consultation with non-CCM and other stakeholders.**

**Annex 3:
Checklist for Oversight Site Visit**

Name(s) of visitor(s):

Date of visit:

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

B. Site Visit Questions	
Has anyone from the PR ever visited you? Has anyone from the CCM ever visited you?	
When did you send your last report to the PR?	
Financial	
Did you receive your last disbursement? If so, when did you receive it and how much was it?	
Do you still have funds in your account?	
May we review together your disbursement plan for SRs and sub-SRs?	
Procurement & Supply Management	
When did you receive your last delivery of drugs or supplies?	
When did you last order more drugs or supplies?	
Do you have any stock-outs today?	
Have you sent drugs or supplies to SRs or sub-SRs?	

B. Site Visit Questions	
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	

Annex 4:

BCCM Oversight Work Plan Framework: Frequency and Scheduling of Activities

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-SR Mtg Schedule	Ad Hoc - As Needed
1.0 Clarify oversight functions, responsibilities, and build capacity for oversight					
1.1 Develop an annual Oversight Work Plan	X				
1.2 Develop an annual Oversight Budget	X				
1.3 Identify technical experts to assist Oversight Committee	X				
1.4 Provide orientation and capacity building training for Oversight Committee Members	X				
2.0 Gather information on GF grants through use of routine reports or available data					
2.1 Arrange for presentation by PRs on each grant, its partners, work plan, annual objectives, progress to date	X				
2.2 Receive, review copy of quarterly and annual reports prepared for GF/LFA by PRs			X		
2.3 Ensure that one-page Grant Summary Reports are produced by BCCM Secretariat staff based on quarterly or annual reports from PR		X			
2.4 Monitor, review Grant Performance Reports on Global Fund website for LFA/GF comments on grant performance		X			

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-SR Mtg Schedule	Ad Hoc - As Needed
3.0 Gather information on GF grants through site visits and PR-SR performance review meetings					
3.1 Design questionnaire & mini report form for site visits	X				
3.2 Develop calendar of visits and PR-SR meeting visits	X				
3.3 Present methodology, calendar, and proposed list of sites and visitors for validation by CCM	X				
3.4 Organize logistics of site visits			X		
3.5 Carry out site visits and attendance at PR-SR status and performance review meetings according to calendar				X	
3.6 Prepare and present report on visits, refer issues for follow up to BCCM				X	
4.0 Gather information on GF grants through investigation of specific issues					
4.1 Invite PR or SR representatives to Oversight Committee meetings to answer questions or make oral presentations about grant progress or issues/problems/bottlenecks					X
4.2 Use a technical expert to investigate a problem or perceived bottleneck and report back to the Oversight Committee.					X
4.3 Request a presentation by a technical expert or national program manager comparing national statistics to GF grant results					X
4.4 Convoke or arrange to visit officials from ministries, agencies, LGAs or partners involved in issues, bottlenecks,					X

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-SR Mtg Schedule	Ad Hoc - As Needed
problems					
4.5 Communicate with the LFA regarding issues or problems					X
5.0 Analyze information to identify problems and bottlenecks requiring BCCM attention					
5.1 Analyze the individual Grant Summary Reports and related information to produce an integrated Oversight Summary Memo (summarizing status across all GF grants)		X			
5.2 If the Grant Summary Report results, quarterly reports, or other information indicate poor performance or specific problems, use procedure 4.4 to learn more if possible					X
5.3 Determine the type of problem, issue or bottleneck causing poor performance and the institutions involved					X
5.4 Identify the efforts made by the PR to date to resolve the problem					X
5.5 Share the findings and recommendations to seek PRs views to avoid any confusions		X			
5.6 Transmit to the BCCM the quarterly Oversight Summary Memo, attaching the quarterly Grant Summary Reports for each grant					
5.6 During BCCM meetings, explain any issues, problems, bottlenecks that may have been identified and which require BCCM attention		X			X
6.0 Take action to resolve problems and bottlenecks requiring					

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-SR Mtg Schedule	Ad Hoc - As Needed
BCCM attention					
6.1 In the case of urgent problems, call for an exceptional BCCM meeting					X
6.2 Develop options and/or a recommendation to the BCCM on action to be taken to resolve the problem or bottleneck, depending on its type and extent		X			X
6.3 BCCM shall discuss the problem and solutions, deciding on the action to be taken					X
6.4 BCCM shall delegate to the Oversight Committee authority to pursue a solution or identify other BCCM members					X
6.5 BCCM may request additional investigations of problems, and mobilize additional support for this purpose					X
6.6 BCCM shall review the status of the problem as Old Business at the subsequent CCM meeting		X			X