



**DRAFT II – REVISED**

**Uganda Country Coordinating Mechanism for Global Fund Grants**

**Oversight Plan for Global Fund Grants**

**May 2019 (3<sup>rd</sup> Edition)**

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## ABBREVIATIONS

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CCM	Country Coordinating Mechanism
CSO	Civil Society Organisation
FBO	Faith Based Organisation
GF	Global Fund
MoFPED	Ministry of Finance, Planning and Economic Development
MOH	Ministry of Health
NGO	Non-Governmental Organisation
PR	Principal Recipient
SR	Sub Recipient
UCCM	Uganda Country Coordinating Mechanism

## 1. INTRODUCTION

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### 1.1 Purpose of the oversight plan

This oversight plan will guide the Uganda Country Coordinating Mechanism (CCM) to effectively oversee the Global Fund grants for HIV, TB, Malaria and Resilient and Sustainable Health Systems to ensure the supported programmes achieve their targets, contribute to the reduction of the three epidemics and facilitate Uganda to achieve universal healthcare goals. The plan takes into account the need for CCM to focus on strategic oversight that addresses bottlenecks in grant management and implementation, ensures the grant strategy is translated into effective implementation approaches and the grants are effectively harmonised with other initiatives.

The oversight plan has been developed in fulfilment of the Global Fund Eligibility Requirement 3 which requires CCMs to “submit and follow an oversight plan for all Global Fund approved funding. The plan must detail oversight activities, and must describe how the CCM will engage programme stakeholders in oversight, including CCM members and non-members, and in particular non-government constituencies and Key Populations”<sup>1</sup>.

This oversight plan has been developed to operationalise the CCM oversight function and meet the eligibility requirement. The plan will enable the CCM to:

- Have adequate information on management and implementation of the grants for purposes transparency and accountability
- Identify bottlenecks in grant implementation and offers timely and effective solutions
- Support principal recipients and sub-recipients to improve grant implementation and performance
- Engage with its constituencies to receive evidence based, comprehensive feedback for effective decision making
- Collaborates with other stakeholders including development partners and relevant national coordinating bodies to address challenges facing the grants, linking the grants to national policies and programmes and sharing information

### 1.2 Definition and mandate

Oversight is core function of the CCM. CCMs are expected to focus on strategic issues to maximise the impact of the Global Fund investment towards achievement of national response objectives. It focuses on the big picture of grant implementation through scanning within the grants and the overall context of health delivery to identify cross cutting issues and resolve major threats to successful grant performance.

The Uganda CCM mandate to carry out oversight is drawn from Article 16 and 23 of the 2018 CCM Policy outlined below<sup>2</sup>:

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<sup>1</sup> Country Coordinating Mechanism Policy including principal requirements, 10 May 2018

<sup>2</sup> Ibid

- i. CCMs should oversee the performance of the principal recipients (PRs) to ensure that agreed targets are met and PRs are held accountable to all country stakeholders
- ii. CCMs should regularly review performance of grants in collaboration with the PRs, and bring together all the necessary stakeholders, including Global Fund Secretariat staff.
- iii. CCMs should oversee grants, support PRs to address risks and bottlenecks and initiate the replacement of consistently poorly performing PRs.
- iv. Effective oversight efforts should drive improvements in grant performance in support of national programmes

Article 31 of the CCM policy obligates PRs to cooperate with the CCM and regularly discuss plans, share information regarding programme performance and communicate on programme-related matters. Upon expiry or termination of the grant, the PRs are obligating to consult with the CCM in preparation of a plan for transfer and use of assets purchases with Global Fund grant funds.

### **1.3 Scope of CCM oversight**

In carrying out oversight, the CCM will focus on the core aspects of grant implementation and also align its oversight function with the Global Fund Strategy which has four strategic areas – maximising programme impact, strengthening resilient and sustainable systems for health (RSSH), promoting human rights and gender and co-financing. Within this context, Uganda CCM will focus on the following areas:

- (i) National programme strategies: the CCM will actively participate in and use the data and knowledge gained through oversight to contribute to the development of national programme strategic plans. In-depth knowledge of the national strategic plans will enable the CCM to effectively oversee the alignment of the Global Fund grant with national programme objectives.
- (ii) Grant performance and financial tracking: The CCM will assess the grant against targets set out in performance frameworks, expenditure against budgets, and the rate of fund absorption. Overall, the CCM oversees grant performance to ensure accountability for the resources and results.
- (iii) Co-financing: The CCM will track the realisation of the Government co-financing commitments and oversee interventions funded through this co-financing. In addition, the CCM will seek information on the other funding sources for the programmes to facilitate harmonization of the Global Fund grants.
- (iv) Resilient and sustainable health systems for health: The Global Fund and other development partners invest in health and community systems strengthening to support effective health services delivery. The CCM will identify health and community systems bottlenecks for effective delivery of the Global Fund grants and collaborate with relevant national institutions and other development partners to seek solutions.
- (v) Human rights and gender: CCM will identify the human rights and gender barriers to effective delivery of Global Fund grants and work with relevant constituencies, national institutions and other partners to advance address these barriers and promote access to services for vulnerable populations.

- (vi) Risk management: The CCM will continuously assess and identify risks for grant implementation and oversee implementation of the risk mitigation actions within the overall framework of the Global Fund risk and assurance mechanisms.

#### **1.4 Approaches for operationalisation of the CCM oversight function**

The CCM will adopt the following approaches in operationalising its oversight function:

- (i) Aligning oversight to the grant lifecycle: The key stages of the grant lifecycle include proposal development (funding request development), grant making, grant start up, grant implementation and closure. The CCM will identify and provide guidance on strategic issues at each of these stages of the grant lifecycle<sup>3</sup>.
- (ii) Tailoring oversight to the grant structure: countries invest Global Fund grants in different ways according to national priorities and funding gaps. Therefore, some of the grants are either highly commoditized, invest heavily on service delivery, community programmes or in resilient and sustainable systems for health. In the case of Uganda, a huge proportion of the grant budget is invested in pharmaceuticals and other health commodities. The CCM will focus its oversight on critical strategic issues related to procure and supply chain management and utilisation of the commodities without negating other aspects of the grants outlined in section 1.3 above.
- (iii) Strengthening engagement with CCM constituencies: For effective oversight, the CCM will strengthen the involvement of its constituencies, with particular emphasis on civil society and key populations constituencies, in the oversight processes. The constituencies will develop links with public and community monitoring systems to have access to data that they can use to provide holistic and quality feedback to the CCM. The constituency feedback will focus on both the Global Fund grants and initiatives funded by other sources to promote synergy and harmonisation of the Global Fund grants.
- (iv) Linkages national bodies: CCM will identify and develop links with relevant national bodies that it can collaborate with to address some of the bottlenecks in grant implementation, receive information on issues relevant to the grants and also share information to inform national programming.

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<sup>3</sup> See annex 1 for suggested guiding questions to be applied by the CCM to identify strategic issues along the grant lifecycle

## 2. INSTITUTIONAL ARRANGEMENTS FOR GRANT OVERSIGHT

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The institutions that will play a key role in the oversight of the Uganda Global Fund grants include the CCM Board, CCM Committees, Principal Recipient, Sub-Recipients, CCM Constituencies, CCM Secretariat and Global Fund Secretariat. This section outlines the roles and relationships of these institutions to ensure effective, consistent and coordinated oversight.

### 2.1 Role of Uganda CCM Board

The Uganda CCM Board comprises the entire membership of the CCM. The Board has the overall responsibility for oversight to ensure transparent, accountable and effective management of the Global Fund grants. All CCM decisions on issues arising from oversight are made by the Board.

The role of the CCM Board in oversight will include:

- Receiving and acting on recommendations from the CCM committees
- Providing strategic guidance on the PRs and SRs to achieve programme objectives
- Reviewing grant management and performance and taking action to address bottlenecks
- Ensuring decisions made as followed through to implementation
- Developing strategies to strengthen CCM engagement with constituencies
- Developing appropriate mechanisms for collaborating with other national bodies
- Establishing mechanism for involvement of non-CCM members in oversight
- Establishing appropriate communication protocol to ensure consistent and well-coordinated oversight of the grants
- Establishing and ensuring standard operating procedures for oversight are followed
- Evaluating PR performance beyond the Grant Performance and recommending correcting actions

### 2.2 Role of CCM Committees

The Uganda CCM Board exercises its oversight function through standing committees. The roles of these committees in oversight are as follows<sup>4</sup>:

#### (i) Programme Oversight Committee

- Overall focus on programmatic oversight
- Tracking of programme activity implementation and achievement of targets
- Receiving, analysing (triangulating) feedback from CCM constituencies and other programmes
- Review of performance of Global Fund investment in RSSH and/or identification of challenges in RSSH that impact on grant performance
- Review of performance of Global Fund investment in human rights and gender interventions and/or identification of human rights and gender barriers impacting on the Global Fund grant performance
- Review grant risks and oversee implementation of risk mitigation measures

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<sup>4</sup> Roles of the CCM committees are elaborated in detail in a separate document

- Oversee implementation of interventions co-financed by the Government of Uganda
- Review and identify grant management and implementation bottlenecks
- Development of oversight field visits and ensuring they are effectively carried out
- Oversee the implementation and/or resolution of actions recommended by Global Fund secretariat and Office of Inspector general related to programmatic aspects of the grant
- Review and make recommendations to the CCM board on requests for grant re-programming
- Review PR grant closure plans and progress reports on implementation of these plans
- Making recommendations to the CCM Board based on programmatic issues identified and areas that need improvement
- Follow up with the PR implementation of CCM decisions regarding oversight of program implementation
- Assess principal recipients' performance based on the grant's performance
- Identify capacity gaps and build capacity of oversight committee members and entire CCM board on oversight

**(ii) Finance and Procurement Committee**

- Overall oversight on financial and procurement aspects of the Global Fund grants
- Assessing absorption and burn rates for the grant
- Reviewing/assessing financial flows from the Global Fund into the country
- Reviewing/assessment financial flow from PRs to SRs to ensure all implementers have resources to implement programmes
- Overseeing implementation of the procurement plan for the Global Fund grants
- Overseeing the supply chain for commodities to identify any bottlenecks and ensure commodities reach intended beneficiaries
- Reviewing overall financial and procurement accountability for the Global Fund grants to the country and advising Global Fund Board accordingly
- Overseeing the implementation and/or resolution of actions recommended by Global Fund secretariat and Office of Inspector general related to finance and procurement aspects of the grant
- Identify and mitigate risks financial accountability
- Review/track the Government of Uganda co-financing commitments
- Review PR grant closure plans and progress reports on implementation of these plans
- Review and make recommendations to the CCM board on requests for grant programming

**(iii) Programme Development and Resource Mobilisation Committee**

- Support Uganda CCM Board in oversight of resource mobilisation efforts
- Coordinate the development of the country Funding Request to the Global Fund as per Global Fund requirements

- Oversee the grant making processes to ensure overall strategy articulated in the funding request is effectively translated into action
- Establish mechanisms for all inclusive, transparent and accountable funding request and grant making processes
- Coordinate the selection of principal recipients in accordance with guidelines agreed to by the CCM Board and in line with the Global Fund requirements
- Oversee the selection of sub-recipients by the PR to ensure transparency and fairness of the process
- Ensure effective collaboration of the country and Global Fund during the funding request and grant making process
- Collect data on the funding landscape for the three disease programmes and identify funding gaps for purposes of resource mobilisation

### **2.3 Principal Recipients**

Principal Recipients are responsible for managing, implementing, monitoring and evaluating, and reporting on Global Fund grant performance. The Uganda CCM will exercise its oversight role in collaboration with the PRs. The role of the PRs will be as follows:

- Share all key documents to enable UCCM to carry out its oversight function. The documents include funding request, final and all updated versions of work plans, budgets, performance frameworks and procurement plans
- Provide CCM with routing reporting data including progress update and funds request reports (PUDRS) and additional information including management letters and audit reports among others
- Submit quarterly reports to the CCM using tools agreed upon by the CCM
- Attend CCM committee meetings to review the reports and identify recommendations to the CCM board
- Attend the CCM board meetings to present reports and provide information that will enable the CCM reach optimal decisions
- Implement decisions reached by the CCM board and report on progress in implementing these actions
- Submit requests for grant reprogramming to the CCM through relevant committees for review and endorsement
- Collaborate with and assist the CCM in planning for and undertaking oversight field visits
- Assist the RCM to plan and carry out oversight site visits
- Present the grant closure plan to the CCM for review and endorsement and report on progress in implementation of this plan

## 2.4 Role of Sub Recipients (SRs)

Sub-recipients (SRs) are responsible for implementation of the interventions supported by Global Fund. The PR has a responsibility for monitoring SRs. The SRs will contribute to the CCM oversight process through:

- Submitting routine quality data to the PR
- Providing additional data to the PR and CCM on request to clarify specific issues
- Facilitate CCM oversight field visits to their project sites
- Cooperate with the CCM in cases where CCM is following up or investigating specific issues

## 2.5 Global Fund Secretariat

The Global Fund Secretariat has overall responsibility for ensuring accountability for the funds provided to the country. The Secretariat, through the Country Team, monitors and evaluates implementation of the grants and the overall programmes supported by Global Fund to ensure results from their investment are realised among other issues. The CCM will collaborate and cooperate with the Country Team ensure transparency and accountability and effective performance of the grants. In this regard, the CCM will collaborate with Country Team to:

- Provide strategic guidance for grant implementation
- Seek viable solutions to bottlenecks in grant implementation
- Establish consistent and well-coordinated communication and reporting mechanisms between the country and Global Fund
- Seek advice from the Global Fund on emerging issues and on Global Fund policies
- Seek technical assistance from the Global Fund as necessary

## 2.6 CCM Constituencies

The CCM constituencies have a key role in oversight of the Global Fund grants as follows

- Receive information on CCM Board deliberations and decisions and track implementation of these decisions
- Provide quality feedback to the CCM based on evidence
- Participate in CCM meetings as observers
- Participate in CCM oversight field visits as non-CCM members
- Identify and communicate to CCM any risk, challenges and other merging issues relevant to the Global Fund grants
- Ensure concerns and needs of their constituencies are addressed by the CCM

## 2.7 CCM Secretariat

- Provide technical, administrative and logistical support in the conduct of CCM meetings and implementation of its activities
- Receive grant performance reports from the PRs as per agreed standard operating procedures
- Review the reports for completeness and address any data gaps in collaboration with the PR

- Analyse relevant issues arising from the PR reports and advise the CCM Committees
- Disseminate relevant documents, reports and correspondence and other material required for oversight by CCM Committees and the CCM Board
- Maintain and archive all records of activities and decisions arising from the work of the CCM Committees and CCM Board
- Publicize the activities of the CCM among internal and external stakeholders of the UCCM
- Provide technical support to the CCM board in relation to the grants status, implementation environment and context such that strategic decisions can be made in line with the funding policies and practices which can achieve greater impact.
- Keep the CCM board a breast of the development and progress on the actions/decisions made in board meetings, committees, LFA debriefs and other grant documents (such as grant agreements, management letters, implementation letters) for effective running of the grants as well as grant closure requirements

### 3. OVERSIGHT PROCESS

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Uganda CCM will adopt a process approach for conducting oversight which has four stages which apply through the grant lifecycle.



The detailed implementation of these processes is outlined in this section:

#### 3.1 Gathering Information

Information is a cornerstone for CCM oversight function. The information that CCM will require to carry out oversight include:

- (i) Basic information: This is information that will support CCM preparedness for oversight. The basic information the CCM should have include the national disease programme strategic plans, funding requests, grant performance frameworks, work plans, implementation arrangements and budgets and procurement plans.
- (ii) Grant reports: These include Progress Update and Disbursement Requests (PUDRs), PR reports to the CCM, management letters, Office of Inspector General Reports and other audit reports
- (iii) CCM oversight field visit reports
- (iv) Feedback from CCM constituencies
- (v) Information on programmes funded by other development partners
- (vi) Special reports of surveys, investigations on specific issues and programme reviews commissioned by other actors as well as the CCM

To effective collect information, the CCM will:

- Develop a standardised reporting tool that the PR will use to report to the CCM. This tool will be used consistently to enable CCM track grant implementation effectively.
- Conduct of oversight field visits to collect additional information from other actors including service providers and beneficiaries to complement and triangulate PR reports
- Liaising with other development partners to collect information on interventions that Global Fund is co-funding to develop a holistic picture
- Collecting data on government co-financing to track harmonisation and strengthen synergy of the government funded and GF funded interventions

### 3.2 Data analysis and triangulation

The three CCM committees – Programme Oversight, Finance and Procurement and Programme Development and Resource Mobilisation – will analyse the data collected from various sources to identify bottlenecks in grant implementation and other emerging issues and develop recommendations to be made to the CCM Board. The committee will rely on their expertise to analyse data. Data analysis methods will include (i) assessing implementation against work plans and budgets, (ii) assessing performance against targets, (iii) Triangulating data to identify underlying factors affecting or facilitating performance, (iv) assessing grant risks, (v) assessing co-financing realised against commitments and (vi) identifying synergy between the Global Fund grants and other funding sources. The committee’s analysis should be based on data and recommendations should be grounded on evidence.

### 3.3 Taking action

The CCM Committees, with assistance of the PR, will present summary reports and recommendations to the CCM Board for deliberation. The UCCM Board will take appropriate action based on the reports and recommendations.

The CCM action may include:

- PRs making adjustments in the management and implementation of the programme to improve efficiency and effectiveness
- Investigation on specific issues and challenges which many involve seeking additional technical assistance, making site visits and other appropriate methodologies
- Seeking corrective action on matters involving violation of conflict of interest policy
- Providing external technical assistance for principal recipients to address specific challenges
- Conducting oversight field visit to better understand the emerging

### 3.4 Follow up and reporting on results

Each committee involved in the CCM oversight function will prepare and submit a report to the CCM Board follow the steps below:

- (i) UCCM Committees vested with oversight responsibilities will prepare quarterly reports for submission to the CCM Board. These reports will specify activities undertaken, key findings and recommendations.
- (ii) Task Teams or other similar entities appointed by the UCCM to undertake special oversight investigations will submit reports to the Executive Committee, or otherwise as directed, within the specified time frame. These reports will also specify activities undertaken, key findings and recommendations.
- (iii) The UCCM Board will consider the oversight reports at ordinary or extraordinary meetings and decide on appropriate course of actions.
- (iv) The decisions of the UCCM will be binding and will be incorporated into appropriate work plans for follow-up action.

- (v) A log of the CCM Board decisions will be kept by the secretariat. The Secretariat will assist the CCM Committees to follow up on implementation of the decisions.
- (vi) A report on implementation of the CCM decisions will be prepared by each committee and presented to the CCM Board on the next meeting. Decisions will be categorised into those completed, on-going and not implemented and underlying reasons provided.

### 3.5 CCM oversight field visits

Uganda CCM will conduct oversight field visits to collect information to complement the reports provided by the PR. The purpose of the CCM field visits will be to:

- Familiarise members on the Global Fund grants
- Collect information from implementers, beneficiaries and other stakeholders to triangulate with PR data
- Follow up on specific issues arising from the PR reports
- Collect information on the synergies and harmonisation of all funding sources for national programmes

The CCM will conduct oversight field visits through two approaches<sup>5</sup>:

- (i) Oversight visits focusing on the Global Fund grants conducted by a team comprising CCM members and non-members
- (ii) Joint oversight with other development partners focusing on both Global Fund and other development partners.

### 3.6 Reporting procedures

The procedures for operationalizing the processes above are as follows:

	<b>Activity</b>	<b>Responsibility</b>	<b>Timeframe</b>
1	Submission of quarterly reports to the CCM Secretariat by each principal Recipient using agreed reporting tools	Principal Recipients	15 days to CCM committees meetings
2	Review of the quarterly reports for completeness and addressing any data gaps	CCM Secretariat	12 days to CCM committees Meetings
3	Addressing data gaps and submission of complete reports	Principal Recipient	10 days to CCM committees meetings
4	Analysis of the complete reports and identification of key issues for CCM committees' consideration	CCM Secretariat	8 days to CCM committees meetings
5	Circulation of PR reports and CCM secretariat summary to CCM committee members	CCM Secretariat	5 days to CCM committees meetings
6	CCM committees meet with PRs to review reports, identify issues and develop recommendations to the CCM board	Chairs of CCM Committees	7 days to CCM Board meeting

<sup>5</sup> See annex 2 for CCM oversight field visits guidelines

7	Development of a summary report of CCM committees outlining recommendations to the CCM Board	Chairs of CCM Committees / Secretariat	6 days to the CCM Board meeting
8	Circulation of the CCM committees recommendations and PR reports to the CCM Board members	CCM Secretariat	5 days to CCM Board Meeting

### 3.7 Procedures for overseeing reprogramming

Activity	Procedure	Principal lead	Participants	Timeframe
Identifying areas for reprogramming	Principal recipient identifies areas that need reprogramming with clear justification	Principal Recipient	Technical Working Groups, Sub-recipients, Constituencies	When necessary
	CCM identified areas that need reprogramming based on its oversight function and communicates the programmatic to the PR for further analysis	CCM oversight committees	Principal Recipients	When necessary
Review of reprogramming proposal	Principal Recipient submits a report on required programming with detailed rationale to the CCM oversight committee	Principal Recipient	CCM Secretariat	14 weeks to oversight committees' meetings
	CCM Secretariat reviews the reprogramming proposal for completeness and coherence and seeks clarifications on the proposal before its submission to the oversight committees	CCM Secretariat	Principal Recipient	12 days to oversight committees meetings
	Principal Recipient address the gaps identified by the CCM Secretariat and re-submits the reprogramming proposal	Principal Recipient	CCM Secretariat	10 days to oversight committees meetings
	CCM Secretariat submits the reprogramming proposal to the oversight committees	CCM Secretariat	Oversight Committees	8 days to oversight committees meetings
	Oversight committees reviews the reprogramming proposal	Oversight Committees	Principal Recipient	5 days to oversight committees meetings
	Oversight committees meet with the PRs address any issues on the reprogramming	Oversight Committees	Principal Recipient	10 days to CCM Board meeting

	proposal and develop the recommendations to the CCM Board			
Endorsement of Reprogramming proposal	Principal Recipient submits to the CCM Secretariat the final reprogramming proposal incorporating oversight committees' recommendations	Principal Recipient	CCM Secretariat	8 days to CCM board meeting
	CCM Secretariat reviews the reprogramming proposal to ensure it captures comments and recommendations of CCM Committees	CCM Secretariat	Principal Recipient	7 days to CCM board meeting
	CCM secretariat submits the reprogramming proposal to the CCM Board	CCM Secretariat	CCM Board	5 days to CCM board meeting
	Oversight committee presents the reprogramming proposal and recommendations with PR technical support	Oversight Committee	Principal Recipient CCM Secretariat	During CCM board meeting
	CCM Board endorses the reprogramming proposal	CCM Chair	Principal Recipient	During CCM board meeting

**3.8 Dissemination of CCM oversight reports**

The CCM will disseminate reports on the Global Fund programmes interventions and performance to a wide range of stakeholders including the general public. The CCM will identify forums where reports on Global Fund grants will be shared. Some of these forums are as follows:

- (i) CCM Constituencies: CCM will share its oversight reports to the constituencies through their representatives in CCM
- (ii) Sharing information with other development partners: CCM will continue utilising the AIDS Development Partners Forum and other health development partner’s forums to share information on the Global Fund programmes to enhance collaboration in joint planning, intervention synergies, minimize duplication and learn lessons from others.
- (iii) Sharing CCM reports with Global Fund: From time to time, the CCM will share a summary of its oversight reports with the Global Fund to strengthen collaboration with the Country Team in addressing grant implementation bottlenecks.
- (iv) Presentation of Global Fund programmes updates during national disease programme forums which will include the strategic planning and annual review forums

## ANNEX 1. ALIGNING OVERSIGHT TO THE GRANT LIFECYCLE

The CCM will identify the key strategic issues to focus on at each stage of the grant lifecycle. The following are suggested questions that could focus on. However, these questions will be adapted from time to time based on the challenges facing grant performance.

Stage in grant lifecycle	Suggested questions for oversight
Proposal development (Funding Request)	<ul style="list-style-type: none"> <li>• Are we addressing key aspects of the epidemic?</li> <li>• Are we adopting the most up-to-date approaches?</li> <li>• Are we adopting cost efficient strategies?</li> <li>• Is the request aligned with the broader national health response?</li> </ul>
Grant making	<ul style="list-style-type: none"> <li>• Are the programme strategies and approaches in the funding request being translated into implementation plans effectively</li> <li>• Are implementation arrangements efficient and effective?</li> <li>• What are the main risks for this grant? Is risk management planned?</li> <li>• Will the SR selection process deliver a high performing group of implementers?</li> <li>• Will the grant be signed on time?</li> </ul>
Grant start up	<ul style="list-style-type: none"> <li>• Does the PR have the staff needed?</li> <li>• Have the pharmaceutical orders been made?</li> <li>• Have the SR evaluations been done?</li> <li>• When will the SRs sign contracts on time?</li> <li>• Has the CCM been oriented on the final performance targets and budget? Are there any changes in the grant and performance targets?</li> <li>• Is implementation starting on time?</li> </ul>
Grant implementation	<ul style="list-style-type: none"> <li>• What is the correlation between funds absorption and technical performance?</li> <li>• Is there need to change the SRs/PRs?</li> <li>• Do we need any reprogramming?</li> <li>• Is the grant well-coordinated with other programmatic inputs?</li> <li>• Are targets being met, If not why?</li> <li>• Is the grant being harmonized with other funding sources at implementation?</li> <li>• Are the government funding commitments being fulfilled as promised?</li> <li>• Is the grant integrating human rights and gender into implementation approaches?</li> <li>• Are the risk mitigation actions being implemented by the PRs and reported?</li> <li>• Are the RSSH activities being implemented as planned by the responsible PRs?</li> </ul>
Grant closure	<ul style="list-style-type: none"> <li>• What have we learned about the actual effectiveness and impact of these approaches?</li> <li>• Do targeted populations have sufficient coverage?</li> <li>• How do we ensure that these coverage and results are maintained in the future?</li> </ul>

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|--|--|
|  | <ul style="list-style-type: none"><li>• How do we avoid gaps between funding cycles?</li></ul> |
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## ANNEX 2. OVERSIGHT FIELD VISITS GUIDELINES

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### 2.1 Purpose of the oversight field visits

Site visits are not undertaken to address day-to-day management issues that fall within the purview of PRs or to audit regular reports that is the responsibility of the Local Fund Agent. Instead, the UCCM's site visits have four five objectives:

- (i) Ensure that activities are taking place in the field as defined in the grant and work plans
- (ii) Increase understanding of the quality of services, activities, and communications between providers and clients and the level of stigma around the programmes and diseases
- (iii) Familiarise members with the programme implementation context
- (iv) Seek additional information on specific issues emerging from the review of PR reports, gaps not fulfilled by other stakeholders, enable the UCCM to make appropriate decisions
- (v) Enable CCM members to better understand the harmonisation of the Global Fund grant with support from other partners
- (vi) 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
- (vii) Identify other community issues which need to be prioritized for efficiencies in the next grant application

### 2.2 Guidelines for site visits

CCM will undertake the following types of oversight visits:

- (i) Issue driven site visits: These formal visits will take place after the UCCM meetings as a follow up to the decisions made regarding specific issues identified through oversight reports. The purposes of such issue-driven site visits are to:
  - Clarify issues arising from the oversight reports
  - Seek additional information on specific issues to enable UCCM make appropriate decisions
  - Follow up on implementation of UCCM decisions
- (ii) Joint field visits: The CCM and other development partners supporting the three disease programmes will plan and undertaken joint field visits to understand how the support from multiple funding sources is harmonized at implementation level and seek collective solutions to maximize the impact of the programmes.
- (iii) 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 include UCCM members on their regular field visits. Similarly, if a UCCM member is visiting an area with grant activity for other purposes, he or she may use the opportunity to conduct a site visit. The main purpose of informal visits is to help UCCM members to become more familiar with the grants. As with formal site visits, even these informal site visits should be planned with site staff beforehand to avoid surprise and disruption in grant implementation.

### 2.3 Planning for field visits

The process for planning for oversight field visit will entail:

- (i) Agreeing or deciding on the objectives of the field visit based on the key priority issues that emerge from the Minutes of the three (3) Oversight Committees.
- (ii) Development of the Concept note clearly indicating the objectives, timelines and budget which should be approved by the Programme Oversight Committee
- (iii) Developing brief and concise instruments to guide consultations and interviews. The instruments should focus on strategic issues of concern to the CCM and should not be fashioned as detailed research or evaluation questionnaires
- (iv) Identify relevant data sources for the issues the CCM intends to cover
- (v) Select districts and project sites to be visited. Sites will include PRs and SRs offices, district and sub-county level stakeholders, health facilities, medical stores and community project sites.
- (vi) Establishing the team to undertaken the field visit. This could be one team of 6-8 persons or multiple teams with each team covering different districts.
- (vii) Data collection: the field teams will hold a preparation meeting to review the data collection instrument and make any necessary changes and also assign responsibilities to ensure a coordinated field visit
- (viii) Data analysis and reporting: After the field visits, the teams will convene to analyse the data collected and develop a brief report.

### 2.4 Logistics

Site visits can take place at the PR's or SR's offices or project implementation sites. The visiting teams will be limited in number (6 to 8 persons) including CCM members, PR representatives, technical experts and observers. The Secretariat will collaborate with the PR in planning the field visits.

## ANNEX 3: PRINCIPAL RECIPIENT REPORTING TOOLS

### 3.1 PRINCIPAL RECIPIENTS PROGRAMMATIC REPORT

This report is in two parts: Part 1 covering the Global Fund Grant and Part 2 provides information on interventions supported by other development partners

<b>Principle Recipient</b>	
<b>Grant Name</b>	
<b>Disease Programme</b>	
<b>Grant start date</b>	
<b>Grant end date</b>	
<b>Reporting Period</b>	From ..... To .....
<b>Grant rating (if available)</b>	

#### PART 1: REPORT ON GLOBAL FUND GRANT

#### A. Progress in Global Fund grant activities implementation

Module	Planned interventions	Progress to date	Reasons for any variance	Proposed remedial action
1.				

#### B. Programmatic Indicators (Performance Framework)

*Instruction: Provide updates on performance for each coverage indicator.*

Coverage Indicator	Tied/Untied	Cumulation type	Target	Achieved	Percentage Achievement	Comments (including reasons for variances)

#### C. Resilient and Sustainable Systems Strengthening

*The RSSH interventions listed below are drawn from the funding request. Please provide progress update for the interventions relevant to your grant.*

RSSH modules	Interventions	Explain the progress in implementation

#### D. Human Rights and Gender

*The human rights interventions listed below are drawn from the funding request. Please provide progress update for the interventions relevant to your grant.*

Interventions	Explain the progress in implementation

#### E. Grant Management Actions

Provide updates on implementation of grant actions in Global Fund management letters and audits among others.

Action	Deadline	Status (completed, on-going, not started)	How the action was implemented
1.			
2.			
3.			

#### F. Status of PR and MoH Programme Management Positions (Human Resources)

This Section will be filled by Ministry of Finance, Planning and Economic Development, TASO and Ministry of Health TB, HIV and Malaria Programme. Relevant management positions are those directly involved in management and implementation of the grant.

PRs/MOH	Planned	Filled	Vacant

#### G. Sub-Recipient Reporting to the Principal Recipient

Number of reports expected refers to the number of SRs and districts reporting to respective PRs. The deadline for reporting is the one set by the PR.

Reporting period from SR to PR	No of reports expected	No. received on time	No. complete

#### Part 2: PROGRAMMES SUPPORTED BY OTHER PARTNERS

#### H. Annual Budget and Programmes Supported

Funding Source	Annual budget	Supported programme

#### I. Budget and Expenditure

Indicate the budget by module for the quarter and its utilization, any variances and proposed actions e.g. reallocations. (Add rows accordingly)

Module	Planned interventions for the quarter	Budget for the quarter	Expenditure for quarter	Variance	Proposed action

**J. Funding Gap within supported module**

*Highlight funding gaps experienced during implementation period. Include activities with less funding and any other priority area that is not funded by Global fund in reference to field experience.*

Interventions	Funding Gap	Reasons for funding gap	Any proposed resource mobilisation action

**K. Funding Gaps within NSP**

*Highlight funding gaps within NSP (priority intervention with limited funding or those that have no funding)*

Interventions	Funding Gap	Reasons for funding gap	Any proposed resource mobilisation action

**L. BOTTLENECKS / CHALLENGES IN GRANT IMPLEMENTATION**

*Highlight other challenges and emerging issues in this section*

- 1.
- 2.

**M. RECOMMENDATIONS**

- 1.
- 2.

**3.2 TRACKING OF IMPLEMENTATION STATUS OF UCCM DECISIONS**

Name of Grant and PR	Date and UCCM Action Point/ Decision	Responsible Person (s)	Action Status as at (insert date)	Outstanding activities

### 3.3 PRINCIPAL RECIPIENT FINANCIAL REPORT

#### 1. Introduction

Grant Number
PR Name
Disease programme
Grant start Date
Grant End Date
Reporting Period
Grant Rating if available

#### 2. Grant Budget and Disbursements Summary

Reporting period	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
Budget (in \$)												
Disbursements by GF (in )												
Cumulative budget												
Cumulative disbursements												

#### 3. Grant Overview

Grant Amount USD	% Life span of the grant per the grant life cycle	Cumulative Grant Budget by the reporting period	Grant Funds Received from GF to date	Grant Absorption Rate-% of Grant funds disbursed by the GF	Actual expenditure at SR and PR level	Cash Burn Rate-% of grant funds received so far spent

#### 4. Break Down by Modules and Implementation Partners

Modules	Budget by Service Delivery Area for reporting period	Grant Funds Received from GF to date	Expenditure	Budget Versus Expenditure variance	Budget Execution Rate-% of approved budget that has been spent /disbursed by the PR	Cash burn rate	Explanation of Variances
<b>Grand Total</b>							
Implementing Entity	Budget by Implementation Entity for reporting period	Grant Funds Received by GF PR and SRs to date	Expenditure	Budget Versus Expenditure variance	Budget Execution Rate-% of approved budget that has been spent /disbursed by the PR	Cash burn rate	Explanation of Variances
Example-Ministry of Education							
Example-Prisons							
<b>Grand Total</b>							

**5. Advance Aging Analysis**

Sub Recipient Name	Sub-Recipient Open Advances at Principal Recipient Level	Disbursements made by Principal Recipient during the Reporting Period	Other Income* during the Reporting Period	Expenditure validated by Principal Recipient during the Reporting Period	Ineligible expense by the SR	Sub-Recipient Closing Balance at Principal Recipient Level	Advance Accountability Ratio-% of advances that have been adequately accounted for	Reason for long outstanding advances

**6. Report on procurement plan and scheduling reporting**

Supplies	Grant Name	Timeline/Schedule of delivery	Unit of Measure	Quantity	Total Value	Status of Procurement- Are we on Track?

**7. Commodities Stock Status Report**

Key Pharmaceuticals and Health Products	No. of months of stock on Hand at national level	Risk Of Stock Out? Low, Medium, High	Comment	Risk of Expiry: Indicate Low, Medium or High	Comment

**8. Commitment for procurement of goods and services**

Module	Activity Description	Cost input	Amount in Grant Currency	Delivery date	Expected Payment date	Effective Payment date	Comments

9. Cash Balances	
Calendar Period	
Approved Budget	
Principal Recipient Forecast	
Cash Balance: End of period covered by Progress Update	
Cash in Transit for the reporting period (Disbursements to PR:	

<b>Cash in Transit for the reporting period (Third party disbursements):</b>	
<b>Cash in Transit after the current reporting period (Disbursements to PR</b>	
<b>Cash in Transit after the current reporting period (Third party disbursements) :</b>	