



**REPUBLIC OF ZAMBIA**

*CCM of The Global Fund  
to Fight HIV/AIDS, TB & Malaria*

# **Country Coordinating Mechanism of Zambia**

## **Oversight Plan**

## PREFACE

This Oversight Plan aims to guide the Country Coordinating Mechanism of Zambia (CCM-Z) in carrying out its grant oversight responsibilities. It provides a framework for consistent, transparent oversight by CCM-Z of the implementation of Global Fund grants. This plan outlines the CCM-Z's oversight procedures and processes.

Intended users of this manual are all members of CCM-Z, its secretariat, and specifically the members of the CCM-Z Oversight Committee.

Inquiries regarding the content of this manual should be directed to the CCM-Z.

**Chairperson  
Country Coordinating Mechanism Zambia**

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## Terms and Acronyms

CCM	Country Coordinating Mechanism
CCM-Z	Country Coordinating Mechanism of Zambia
FPM	Fund Portfolio Manager
LFA	Local Fund Agent
M&E	monitoring and evaluation
PR	Principal Recipient
PU/DR	Progress Update and Disbursement Request
SR	Sub-recipient
TA	Technical assistance
ToR	Terms of Reference
TGF	The Global Fund

## 1.0 Introduction

Oversight of Global Fund (TGF) grants is one of five core functions of the Country Coordinating Mechanism (CCM) - the other functions include proposal development, grant negotiation, grant implementation, and grant closure - and is mandated by the CCM's Governance Manual in section 3.1: "The CCM assumes the responsibility for carrying out five major functions" including "oversight of TGF project implementation."

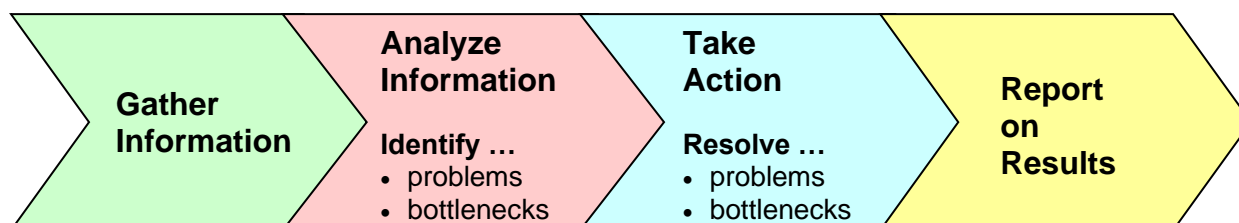
*The core principle of oversight is to ensure that resources are being used efficiently and effectively for the benefit of the country.*

This Oversight Plan was developed to accomplish the following objectives:

- Provide a framework for consistent, transparent oversight of Global Fund grants
- Define the CCM-Z's oversight function
- Describe the oversight procedures and processes that will be followed by the CCM-Z
- Guide CCM-Z members in their oversight roles and responsibilities

## 2.0 Definition of Oversight

Oversight is a coordinated set of activities including gathering information, analyzing information, taking action, and reporting on results in order to support and ensure that grant activities are implemented as planned, and that issues and bottlenecks in grant implementation are identified and resolved.



## 3.0 Principles of CCM Oversight

Several principles of CCM Oversight provide the framework for this oversight plan:

1. **Oversight is a national responsibility.** Following TGF's principle of performance-based funding, disbursements for on-going grants as well as the funding of future proposals depend on documented performance. The CCM has a national responsibility to ensure that TGF resources are being used efficiently and effectively. As stated in TGF's *Guidance Paper on CCM Oversight*, "the core principle of oversight is to ensure that resources – financial, material, and human – are used efficiently and effectively for the benefit of the country".<sup>1</sup> CCMs therefore have a national perspective, with a unique responsibility to coordinate the overall management of TGF grants within the country.

<sup>1</sup> *Guidance Paper on CCM Oversight*, [www.theglobalfund.org/documents/ccm/GuidancePaperOnCCMOversight.pdf](http://www.theglobalfund.org/documents/ccm/GuidancePaperOnCCMOversight.pdf), page 2

2. **Oversight is different from Monitoring and Evaluation.** Monitoring and evaluation of activities focuses on detailed activities of program implementation, and are the appropriate responsibility of Principal Recipients and other implementing agencies. In contrast, oversight focuses on the “big picture” of grant implementation. It is a scan across grants to follow progress, identify cross-cutting issues, and its emphasis is on identifying and resolving major issues threatening successful grant performance.<sup>2</sup>
3. **Oversight focuses on several key areas.** Oversight typically focuses on several questions that are at the core of effective grant implementation:
  - *Where is the money?*
  - *Where are the drugs, medical supplies, and equipment?*
  - *Are Sub Recipients receiving required resources and technical assistance as planned?*
  - *Are the grants being implemented as planned?*
  - *Are the results meeting the performance targets?*
4. **Oversight is cyclical.** Oversight follows grant reporting cycles for reviewing the performance of Principal Recipients, the timely execution of work plans, and achievement of results compared to targets.
5. **Oversight is a legitimate CCM function with which Principal Recipient(s) must comply.** TGF requires that CCMs must hold Principal Recipients accountable for resources given to the country: In all cases, TGF grant agreement includes a number of articles that give the CCM the legal authority to perform its role, and mandates the PR to cooperate with the CCM in carrying out its oversight responsibilities. These articles include:
  - i. **Article 7a:** the CCM oversees the implementation of programs financed by the Global Fund.
  - ii. **Article 7b:** PRs are legally obligated to cooperate with CCMs and to be available to meet with them regularly to discuss plans, share information, and communicate on program-related matters. PRs are also legally obligated to provide program-related reports and information to the CCM upon request.
  - iii. **Article 15:** PRs are legally obligated to provide CCMs with a copy of periodic reports submitted to TGF.
  - iv. **Article 23:** The CCM is consulted on any decisions to change PRs.
  - v. **Article 25:** PRs are legally obligated to copy CCMs on all notices, requests, documents, reports, or other communication exchanges with TGF Geneva .
  - vi. **Article 28b:** The PR implements programs on behalf of the CCM.

Oversight by the CCM must be exercised with the support of, and in collaboration with Principal Recipients (PRs). “CCMs are required to put in place and maintain a transparent, documented process

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<sup>2</sup> Ibid

to oversee program implementation”<sup>3</sup> and PRs are required to provide the information needed for oversight.

Oversight requires strategic direction by the CCM to the PRs as well as consistent follow-through to assure that sub-recipients (SRs) comply with oversight recommendations and requested corrective actions.

## **4.0 Oversight Roles and Responsibilities**

The key institutions responsible for grant oversight include the CCM-Z, the CCM-Z’s Secretariat, the Principal Recipients, the Sub-Recipients, the Local Fund Agent (LFA), and the Global Fund Geneva. A brief description of each entity’s oversight roles and responsibilities follows.

### **4.1. Country Coordinating Mechanism of Zambia (CCM-Z)**

The CCM-Z has the overall responsibility for oversight. While some of the functions below may be delegated to the CCM-Z’s Oversight Committee (see below) the CCM-Z’s responsibility is to:

1. Gather information about the grants
  - i. Understand the status and progress of each grant through dashboard reports to the CCM-Z<sup>4</sup> and Progress Update and Disbursement Requests (PU/DRs) submitted by each PR to TGF, taking into consideration the comments of the Oversight Committee
  - ii. Seek clarification from the PR on issues arising from the reports
  - iii. Seek additional information through site visits as needed
  - iv. Review other information as needed
2. Analyze information
  - i. Identify and understand key successes
  - ii. Identify and understand key issues and bottlenecks
  - iii. Review the recommendations of the Oversight Committee
3. Take action
  - i. Decide on which actions should be taken to overcome problems and bottlenecks and to strengthen the grants (actions may include gathering more information needed to resolve a problem)
  - ii. Receive feedback on and monitor the status of the recommended actions

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<sup>3</sup> *Guideline on the Purpose, Structure, Composition and Funding of Country Coordinating Mechanisms and Requirements for Grant Eligibility*, Global Fund website:

[www.theglobalfund.org/documents/ccm/Guidelines\\_CCMPurposeStructureComposition\\_en.pdf](http://www.theglobalfund.org/documents/ccm/Guidelines_CCMPurposeStructureComposition_en.pdf), page 4.

<sup>4</sup> A dashboard is an MS Excel® file which summarizes – for oversight purposes -- each grant in areas of finance, management, and program, with indicators selected to answer the key oversight questions.

In addition, the CCM-Z will

- Review this oversight plan periodically to address challenges and issues emerging over time
- Determine when orientations for new or current CCM members on oversight should be conducted

#### **4.2 CCM-Z Oversight Committee**

The CCM-Z has delegated its oversight function to an Oversight Committee to improve this task's efficiency. This committee is expected to review each grant's financial, managerial and programmatic performance. Specifically, the Oversight Committee aims to ensure that grant implementation is on course and that all implementing partners are meeting targets, goals, and objectives as laid out in the grant's performance framework and grant agreement. It is the responsibility of the Oversight Committee to identify possible gaps and bottlenecks in grant implementation, make recommendations to the full CCM-Z on how to address these bottlenecks and implement them accordingly.

Specific Roles and Responsibilities:

1. Ensure ongoing oversight of the grant M&E plans and Performance Frameworks, and assist each PR to address any issues that may arise.
2. Review dashboards or progress reports presented by the PRs:
  - To assess performance achievement on indicators against targets
  - To check financial and management information for consistency with programmatic results
  - To identify problems and bottlenecks
  - To identify possible solutions for addressing bottlenecks
3. Conduct site visits periodically in order to obtain a better understanding of grant implementation, to conduct field-based oversight or to investigate specific issues
4. Investigate specific program issues that arise: obtain further clarification or explanation from PRs or from external technical experts, or conduct an issue-driven site visit.
5. Report to the CCM-Z on the committee's findings about grant performance and provide recommendations on corrective actions to be taken.
6. Oversee the implementation of corrective actions as needed.

#### **4.3 CCM-Z Secretariat**

The Secretariat plays an important role in supporting the work of the CCM-Z. The following list of oversight-specific responsibilities is extracted from the Governance Manual:

1. Provide administrative and logistical support to the full CCM-Z and its committees. This entails making arrangements to convene the CCM-Z plenary meetings, distribution of agenda, and notices of meetings;

2. Prepare and distribute minutes of all CCM-Z and committee meetings, which documents participation in and transparency of discussions and decisions reached at these meetings;
3. Through its program technical officers, review the dashboards submitted by each PR and submit them to CCM-Z oversight committee for review and recommendations;
4. Record and archive CCM-Z decisions on PRs dashboards and progress reports, including those from oversight committees.
5. Assist the PRs and Oversight Committee to organize site visits;
6. Maintain up-to-date records of CCM-Z actions and status of grant implementation activities;

#### **4.4 Principal Recipients (PR)**

An organization acting as the Principal Recipient (PR) has the overall responsibility for monitoring and evaluating its grant. The PR receives reports from sub-recipients, verifies and analyses the data to ensure completeness, accuracy and quality. The PR then completes the PU/DR, which is submitted to the LFA within 45 days of the end of the reporting period.

In accepting a Global Fund grant, a PR agrees to support the CCM’s oversight role. “The Principal Recipient must cooperate with the CCM and TGF ... The Principal Recipient shall be available to meet regularly with the CCM ... The Principal Recipient shall provide to the CCM, upon request of the CCM, a copy of the reports and material information relating to the program for information purposes. This may include but is not limited to Requests for Disbursements, items delivered to fulfill a condition precedent, implementation letters and any amendment to this Agreement. In addition, the Principal Recipient shall assist the CCM in the preparation of any Request for Continued Funding. The Principal Recipient understands that TGF may, in its sole discretion, share any information about the Program with the CCM.”<sup>5</sup>

Thus, the role of a PR in the CCM-Z oversight is to:

1. Submit data regularly to the CCM-Z – in the form of dashboard reports
2. Submit to the CCM-Z copies of all significant documents (including Grant Agreements, Implementation Letters, audit reports, etc.)
3. Provide data to the CCM-Z, on request, on specific issues
4. Assist the CCM-Z to arrange and carry out oversight site visits

#### **4.5 Sub-recipients (SR)**

Sub-recipients and some principal recipients are responsible for direct implementation of the grants. Each sub-recipient (SR) has contractual relationship with a principal recipient (PR), and

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<sup>5</sup> Grant Agreements between the Global Fund and Principal Recipient, Article 7 (b).



is obligated to deliver on specific targets of the program. These organizations are typically Civil Society Organizations (CSOs), Faith-Based Organizations (FBOs), Private Sector Organizations and Line Ministries. They submit activity and financial reports on the grants to their PR for HIV/ AIDS, TB and Malaria activities, based on their work plan and on monitoring guidelines provided by the PR.

The role of an SR is to:

1. Submit data periodically and on time to its PR (this information forms the basis of CCM-Z oversight)
2. Provide data to the CCM-Z, on request, on specific issues
3. With its PR, facilitate site visits by CCM-Z members and assist them to understand the grant

#### **4.6 Local Fund Agent (LFA)**

The Local Fund Agent's role is to provide independent and objective advice to the TGF in Geneva. Although the Local Fund Agent (LFA) and the CCM do not communicate directly, the LFA plays an important, behind-the-scenes role in oversight. Each PR reports to TGF through the LFA, according to a reporting format fixed by TGF (a report called the Progress Update and Disbursement Request or PU/DR) and according to the due dates established in each grant agreement. It is the responsibility of the LFA to review the PU/DR, verify the financial and programmatic data captured in this report, and make recommendations to TGF in Geneva whether to disburse the funds requested. After discussions with the PR, the LFA reports its findings to the TGF but does not report them to the CCM. The CCM will obtain information relevant to oversight from the Portfolio Manager and/or the PR.<sup>6</sup>

#### **4.7 Global Fund Geneva**

The TGF in Geneva also contributes to grant oversight, in particular the Country Team which includes the Fund Portfolio Manager, by assessing the overall performance of the grants they have awarded to the country to ensure that funds are spent efficiently.

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<sup>6</sup> Global Fund. Communications Protocol for Local Fund Agents. Undated; downloaded 5 Oct 2009. [http://www.theglobalfund.org/documents/lfa/LFA\\_In-country\\_Communications\\_Protocol.pdf](http://www.theglobalfund.org/documents/lfa/LFA_In-country_Communications_Protocol.pdf)

## **5.0 Oversight Tools and Processes**

This section describes the tools and processes which the CCM-Z and its Oversight Committee will use to meet its oversight function. The oversight tool kit consists of three main components: (1) the grant oversight dashboard, (2) supplemental data sources, including technical experts, mid-term program reviews, and the TGF website and (3) site visits. All three components provide the CCM-Z and the Oversight Committee with the information needed to determine if grants are on track and if bottlenecks exist that hinder or delay achievement of performance targets

### **5.1 Grant Oversight Dashboards**

The grant oversight dashboard is the primary oversight tool for the CCM-Z. This tool displays various graphs order to answer the following key questions about each grant:

- Where is the money?
- Where are the drugs, medical supplies and equipment?
- Are sub-recipients receiving the required resources and technical assistance as planned?
- Are the grants being implemented as planned?
- Are the results meeting the performance targets?

The dashboard uses several indicators to answer these questions:

- four financial indicators (focusing on funds disbursement, proposed budgets, and actual expenditures),
- six management indicators (tracking the PR's efficiency in managing the grant), and
- up to 10 performance/programmatic indicators.

While the financial and management indicators are the same for each grant, the 10 performance or programmatic indicators are selected by the CCM-Z and the PR from the respective grant agreement's Performance Framework. In the selection process, priority will be given to the Global Fund Top Ten indicators: the TGF assigns more weight to these Top Ten indicators than to others in determining its rating of a grant. Once these programmatic indicators have been selected, a dashboard is designed and used to report on the grant's quarterly performance.

A dashboard is produced for each grant by the PR responsible for grant implementation. The PR uses several data sources to complete the dashboard: (1) the LFA's verified PU/DR, (2) the Grant Performance Report, (3) the Grant scorecard and (4) internal project monitoring reports.

After data entry, the dashboard automatically generates a series of graphs which illustrates each indicator's trend over time and shows comparison between current achievement and target<sup>7</sup>.

In the situation where the PR produces bi-annual PU/DRs, the PR will produce dashboards biannually during the 2<sup>nd</sup> and 4<sup>th</sup> Oversight Committee meeting and present a progress report during the 1<sup>st</sup> and 3<sup>rd</sup> Oversight Committee meeting.

## **5.2. Supplemental Data Sources**

A key purpose of the dashboard is to facilitate oversight by reducing the amount of information which an Oversight Committee has to review for this purpose. However, the Oversight Committee may sometimes require additional information, besides what is being presented in the dashboard, in order to get more clarity or to verify a finding raised by the dashboard. Other sources of information are the PU/DR, the grant performance report, the grant scorecard, internal monitoring reports compiled by the PR and site visits.

## **5.3 Site Visits**

Site visits can be to a PR's office, an SR's office, or project implementation sites. The size of the team visiting a field site should be a maximum of 4-8 persons, including CCM-Z members, PR representatives, and observers. One member of the team should be assigned as team leader. This person will be responsible for collating the team's findings, preparing the site visit report and presenting the team's findings to the CCM.

There are three kinds of site visits: general orientation, routine (to get a field-based oversight perspective on how a grant is performing), and issue-driven (to address a specific issue raised during a CCM-Z or Oversight Committee meeting).

The principles of transparency, cooperation, and support underlie every site visit: CCM-Z members make no surprise visits. In addition, the purpose of site visits is neither to address day-to-day management issues (a PR role) nor to "audit" regular reports (an LFA role).

Careful planning is key to effective, helpful oversight visits. The CCM-Z field team should have clear information on program deliverables prior to a visit. The PR should assist in providing this information and in advising on issues that the CCM-Z team should be aware of before proceeding to the site. Thus, allowing time for preparation means that the CCM-Z visitors will not waste face-to-face time asking questions for which answers have already been provided in written reports or for which clarifications can be easily given by the PR without a visit. In addition, careful planning means that PR staff will be available and prepared to respond to CCM-Z questions. Planners need to set time limits for the visit to avoid making excessive demands on the PR and SRs; and visitors need to stick to those time limits. The limits on time require careful planning to ensure key issues are addressed.

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<sup>7</sup> More information on the grant oversight dashboard can be found in the "Country Coordinating Mechanism Grant Oversight Tool: Set-up and Maintenance" (<http://www.theglobalfund.org/en/ccm/oversight>).

The table below describes the roles and responsibilities of the CCM-Z and the PR for undertaking these site visits:

CCM-Z Role	PR Role
<ul style="list-style-type: none"> <li>• Plan visits with PR: no surprise visits.</li> <li>• Understand program deliverables.</li> <li>• Be familiar with PU/DR or dashboard reports.</li> <li>• Have clear objectives for visit.</li> <li>• Abide by policy for conflict of interest</li> <li>• Maintain confidentiality.</li> <li>• Set and stick to realistic time limits.</li> <li>• Address highest-priority issues first.</li> <li>• Draft report to CCM-Z Oversight Committees.</li> <li>• Send feedback to the host site, SR, and PR.</li> </ul>	<ul style="list-style-type: none"> <li>• Work with CCM-Z to choose appropriate sites.</li> <li>• Assist CCM-Z to understand program, including implementation issues.</li> <li>• Facilitate a positive environment for visit.</li> <li>• Assure staff is available to answer CCM-Z's questions.</li> <li>• Assure information requested by CCM-Z is available.</li> </ul>

After the site visits, the team should draft a short report (see Annex 3\_Site Visit Reporting Forms). The Oversight Committees will review the report and make necessary recommendations to the CCM-Z in the next full CCM-Z meeting and will send feedback to the visited site, PR, and SRs.

Routine site visits will be planned with the PRs at the beginning of each year so that CCM-Z members and PRs will be able to schedule their time. Planning will include covering more than one grant in each visit and assuring that government, non-government, and international partner constituencies are represented on each field visit team.

Issue-driven site visits take place after the CCM-Z meetings as a follow-up on the decisions made regarding a specific issue, which were generally identified through the oversight reports (especially dashboards). The purpose of such problem-driven site visits is to:

- Clarify issues arising from the oversight reports,
- Seek additional information on specific issues to enable the CCM-Z make appropriate decisions,
- Follow up on CCM-Z decisions.

Annex 1 illustrates the key steps that should be taken when deciding to conduct a site visits (see activities 3.1-3.8).

## **6.0 Analysis of Grant Performance**

The Oversight Committee will conduct quarterly meetings to review grant performance by examining grant dashboards, PR progress reports, and other data sources. The Oversight Committee will also conduct site visits. Dashboards and progress reports will be presented by the respective PR (as described in 5.1 and 5.2) and include explanations and discussions about the performance of each indicator featured in the dashboard. The Oversight Committee will identify solutions to address any bottlenecks that hinder grant implementation. (It is important that issues identified and recommendations made during these meetings are recorded in the dashboard itself. This can be done during or after the meeting by the Secretariat.) The Committee may also identify issues that need to be clarified with the PR before the full CCM-Z meeting; thus, the Committee may hold meetings with the PR to get more information on specific issues to facilitate appropriate recommendations to the CCM-Z.

## **7.0 Addressing Grant Implementation Bottlenecks**

During the quarterly Oversight Committee meeting various problems or bottlenecks that hinder or delay grant implementation may be identified. If a solution is not immediately apparent, the Committee may have to investigate the problem further by following any or all of the following steps:

1. Hold further discussions with the relevant PR to obtain more information and better understanding of the issues involved,
2. Conduct issue-specific site visits to investigate the problem further,
3. Seek technical assistance or consult one or more technical experts on the best solution for addressing the problem,
4. Convene a smaller task force to investigate the issue further,
5. Call together or arrange to visit ministries, agencies, local government authorities and partners involved in the problem.
6. In some instances, additional resources may have to be mobilized in order to conduct a proper investigation or engage a technical expert/consultant.

## **8.0 Monitoring Implementation of Corrective Actions**

It is important that the CCM-Z and the Oversight Committee periodically assess the status of the bottleneck – have all corrective actions been taken and has the bottleneck been lifted accordingly? To do this, dashboards must be updated periodically so that any bottlenecks pertaining to the specific grant are documented appropriately and corrective actions are recorded. The update of the dashboard will be the responsibility of the CCM-Z Secretariat (see Annex 1, activity 2.7). In addition, the CCM-Z should routinely discuss the status of any outstanding grant implementation bottlenecks identified by the Oversight Committee during its quarterly meetings (so that this topic is a regularly featured on the meeting agenda).

## **9.0 Training on Oversight**

CCM membership, including membership of the Oversight Committee, changes periodically. New members join or current members change their roles (e.g., becoming an alternate or joining the Oversight Committee). Periodic orientation or refresher trainings on oversight may therefore be needed. Annex 4 contains three sample agendas for the orientation, depending on how much time is available for this purpose.

## 10.0 Plan of Action for Oversight Committee

The work of the Oversight Committee will be guided by a plan of action (see Annex 1). The activities listed there are also incorporated into the CCM's plan of action which is overseen and updated annually by the Secretariat.

## 11.0 Monitoring Oversight Performance

There are two quantitative indicators that the CCM-Z will use to track its own performance in oversight – (1) broad participation in oversight, and (2) building capacity in oversight among its members. The wording of these indicators comes from the TGF. Both indicators will be reported annually to the TGF as required for receiving expanded funding.

### Oversight Monitoring Indicator #1: Percentage of planned oversight activities completed

This indicator will be calculated as follows:

$$\frac{\text{Numerator: Number of oversight activities conducted during reporting period}}{\text{Denominator: Number of oversight activities planned to be conducted during reporting period}} \times 100$$

This indicator will be measured and reported to the CCM-Z by the Secretariat every quarter and will be reported to the TGF as required (annually or more frequently) as part of reporting on any expanded funding award.<sup>8</sup>

There are 12 oversight activities which include:

- Development of annual oversight plan of action and budget,
- Four quarterly CCM-Z meetings,
- Four quarterly Oversight Committee meetings,
- Two site visits
- One capacity building session in oversight.

A worksheet for recording information for this indicator is in Annex 2.

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<sup>8</sup> See The Global Fund, Step by Step Guide to CCM Funding. February 2010, rev 31 Mar 2010, p.16. [www.theglobalfund.org/documents/ccm/Step by Step CCM Funding Policy.pdf](http://www.theglobalfund.org/documents/ccm/Step_by_Step_CCM_Funding_Policy.pdf)

Oversight Monitoring Indicator #2: Percent of CCM-Z members trained on oversight role of the CCM within the preceding 24 months

The purpose of this indicator is to measure efforts undertaken to build the CCM's capacity in conducting grant oversight. Training will include workshops and sessions with small groups with an agenda, training materials, and signed attendance sheets as supporting documentation for verification by the LFA.<sup>9</sup> Oversight may be a component of a larger training on the role of CCM.

Although alternates may attend trainings on oversight, only members who have been trained will be counted for this indicator.

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<sup>9</sup> See Step by Step Guide to CCM Funding, p.22, cited above.





## Annex 2: Worksheet for Tracking Oversight Monitoring Indicator #1

Plan of action item # (a)	Oversight Activity (b)	Dates of Activity (c)	Participation by: 1. gov't 2. non-gov't/civil society, 3. multi-lateral/bi-lateral (d)	Notes
	Develop/Revise oversight work plan & budget (every year)			
	Oversight C'ttee Meetings to review PR dashboards/reports (quarterly)			
	CCM-Z Ordinary Meeting (quarterly)			
	Oversight C'ttee Meetings (quarterly)			
	CCM-Z Ordinary Meeting (quarterly)			
	Oversight C'ttee Meetings (quarterly)			
	CCM-Z Ordinary Meeting (quarterly)			
	Oversight C'ttee Meetings (quarterly)			
	CCM-Z Ordinary Meeting (quarterly)			
	Site visit #1			
	Site visit #2			
	Planned workshop or session to build CCM-Z capacity (annually)			

## Annex 3 CCM Site Visit Reporting Forms

### CCM Site Visit Recording & Reporting Form #1: ORIENTATION or ROUTINE

Grant \_\_\_\_\_

PR \_\_\_\_\_ PR Contact Person \_\_\_\_\_

Which site? \_\_\_\_\_

Date of visit [mm-dd-yy] \_\_\_\_ - \_\_\_\_ - \_\_\_\_

CCM Visitors

<i>Constituency</i>	<i>Name</i>	<i>Designation</i>	<i>Signature</i>

Host's Name & Designation \_\_\_\_\_

- 
1. Purpose of site visit *[to be completed before the visit]*:  
Based on what you already know about the grant, what else do you want to know? List the specific question(s) to be answered by this site visit.  
Question A.  
  
Question B.  
  
Question C.
  
  2. List below your findings from this visit, grouped according to the questions above. Please include the source of the information. (Use the back or other pages if needed.)  
  
Question A.
  
  3. What, if anything, surprised you positively about this grant?
  
  4. What concerns, if any, do you have about this grant?
  
  5. Conclusions *[use back if needed]*
  
  6. Recommendations to the full Oversight Committees and the CCM *[use back if needed]*

**CCM Site Visit Recording & Reporting Form #2: SPECIFIC ISSUES**

Grant \_\_\_\_\_

PR \_\_\_\_\_ PR Contact Person \_\_\_\_\_

Date of CCM Meeting where need for site visit was decided [dd-mm-yy] \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Which site? \_\_\_\_\_

Date of visit [mm-dd-yy] \_\_\_\_ - \_\_\_\_ - \_\_\_\_

CCM Visitor(s):

CCM Visitors

<i>Constituency</i>	<i>Name</i>	<i>Designation</i>	<i>Signature</i>

Host's Name & Designation \_\_\_\_\_

1. Purpose of site visit *[to be completed before the visit]*:
  - a. Describe the specific issue(s) that led to a decision to make a site visit.
  
  - b. What is the CCM visitor to learn at the site?  
 List the specific question(s) to be answered by this site visit.
    - Question A.
    - Question B.
    - Question C.

2. List the findings from this visit below, grouped according to the questions above. Please include the source of the information. (Use the back or other pages if needed.)

Question A.

3. Conclusions

4. Recommendations to the full Oversight Committees and the CCM. *[use back if needed]*

## Annex 4 Orientation to Oversight for CCM-Z Members – Sample Agendas

### Sample Agenda #1: Mini-Orientation (2 hours)

Time	Activity	Materials or handouts
09.00	<p>Welcome, introductions</p> <p>Purpose of the mini-orientation</p>	
09.15	<p><b>What does the Global Fund say about oversight?</b></p> <ul style="list-style-type: none"> <li>Using the CCM guidelines document, ask CCM members to read aloud the sections on oversight.</li> <li>Using a sample grant agreement, ask CCM members to read aloud Article 7.</li> <li>Facilitate a discussion to ensure CCM members understand their responsibility and that PRs agree to provide information to them.</li> </ul>	<ul style="list-style-type: none"> <li>CCM Guidelines</li> <li>Grant agreements from the client country. Entire grant agreement if possible, or just the cover page and the page with Article 7.</li> </ul>
10.00 to 11.00	<p><b>What is CCM oversight?</b></p> <ul style="list-style-type: none"> <li>Give the PowerPoint presentation (example, presentation by GMS)</li> <li>Ask for questions and discussion</li> </ul> <p><b>Conclude the discussion</b> with a question for the CCM: Using what you heard this morning, in which of these three areas does your CCM need to improve its capacity?</p> <ol style="list-style-type: none"> <li>Structure and procedures for oversight</li> <li>Your own capacity to carry out oversight (skills, knowledge)</li> <li>Type and quality of information received from the PR</li> </ol> <p><b>Discuss way forward.</b></p> <p><b>Conclusions.</b></p>	<ul style="list-style-type: none"> <li>PowerPoint presentation</li> </ul>

## Sample Agenda #2: Intermediate-Orientation (4-hours)

Time	Activity	Materials & Handouts
9.00	<b>Welcome, introductions</b> <b>Purpose of the mini-orientation</b>	
9.15	<b>What is oversight?</b> (Participative exercise – small groups) <ul style="list-style-type: none"> <li>• Explain that everyone has heard about oversight, but people do not always agree on what it means</li> <li>• Hand out the word cards</li> <li>• Ask each person to stand up and explain what each word means in one or two sentences and say <u>who</u> in the Global Fund system (CCM, PR, LFA, Global Fund, MOH, other) is responsible for this activity.</li> <li>• Tape the words to the wall</li> <li>• Explain that during the mini-orientation they will learn more about these terms and revisit them at the end of the session</li> </ul>	<ul style="list-style-type: none"> <li>• Print each word very large on a separate ½ sheet of paper or card: oversight, supervision, audit, surveillance, monitoring, verification, evaluation.</li> <li>• Masking tape</li> </ul>
9.45	<b>What does the Global Fund say about oversight?</b> <ul style="list-style-type: none"> <li>• Using the CCM guidelines document, ask CCM members to read aloud the sections on oversight</li> <li>• Using a sample grant agreement, ask CCM members to read aloud Article 7</li> <li>• Facilitate discussion to ensure CCM members understand their responsibility and that PRs agree to provide information to them</li> </ul>	<ul style="list-style-type: none"> <li>• CCM Guidelines</li> <li>• Round 5, 6, or 7 grant agreement from the client country. Entire agreement if possible, or just the cover page and the page with Article 7.</li> </ul>
10.30	<i>Break</i>	
10.45	<b>What is CCM oversight?</b> <ul style="list-style-type: none"> <li>• Give the PowerPoint presentation from the orientation</li> <li>• Ask for questions and discussion</li> <li>• Ask whether this presentation has changed their understanding of the key words on the wall</li> </ul>	<ul style="list-style-type: none"> <li>• PowerPoint presentation</li> </ul>
11.30	<b>What is your CCM's capacity for oversight?</b> <ul style="list-style-type: none"> <li>• Hand out copies of the CCM Oversight Rapid Assessment Matrix and/or show it on the wall using an LCD projector</li> <li>• Follow the instructions for facilitating completion of the matrix</li> </ul>	<ul style="list-style-type: none"> <li>• Copies of the CCM Oversight Rapid Assessment matrix</li> <li>• Electronic version to show</li> </ul>
12.30 - 13.00	<b>Conclude the discussion</b> with a question for the CCM: <ul style="list-style-type: none"> <li>• Using what you heard this morning, in which of these three areas does your CCM need to improve its capacity?</li> <li>• Structure and procedures for oversight</li> <li>• Your own capacity to carry out oversight (skills, knowledge)</li> <li>• Type and quality of information received from the PR</li> </ul>	

### Sample Agenda #3: Full- Orientation (5½ -hours)

Session	Topic	Materials & Handouts
9.00	Welcome remarks, introductions Participants' expectations Workshop objectives	• Flip chart
9.15	<b>Overview of Global Fund in Zambia</b> Powerpoint presentation summarizing Global Fund purpose, Zambia grants, PR & CCM roles, CCM principles & composition	• PowerPoint presentation
9.30	<b>Global Fund structures and performance principles</b> Powerpoint presentation covering Global Fund principles; roles & responsibilities of GF-Geneva, CCM, PR, LFA; performance-based funding.	• PowerPoint presentation
10.15	<b>Global Fund grant process</b> (group exercise & plenary discussion) <ul style="list-style-type: none"> <li>• Each group has a set of cards.</li> <li>• Each group discusses chronological order of steps/cards in the grant process, tapes cards to wall.</li> <li>• One group presents; others discuss, share their ideas</li> </ul>	<ul style="list-style-type: none"> <li>• Print each step very large on a separate ½ sheet of paper or card</li> <li>• Masking tape</li> </ul>
11.00	<i>Break</i>	
11.30	<b>Role of CCM in the governance of GF grants: highlight on oversight</b> Powerpoint presentation covering elements of governance, governance within CCM, and CCM role in governance of grants (especially oversight)	• PowerPoint presentation
11.45	<b>CCM minimum requirements</b> (plenary and group work) <ul style="list-style-type: none"> <li>• Powerpoint presentation of the Six Minimum Requirements for a CCM</li> <li>• Groups assess to what extent current CCM meets each requirement</li> <li>• Results are summarized on flip chart</li> </ul>	<ul style="list-style-type: none"> <li>• PowerPoint presentation</li> <li>• Worksheet to record assessment of CCM performance on each requirement</li> <li>• Flip chart &amp; markers</li> </ul>
12.30	<b>Zambia CCM Manual of Procedure</b> (group work) <ul style="list-style-type: none"> <li>• Powerpoint presentation of highlights</li> <li>• Small groups become familiar with how the Manual of Procedure covers: 5 core CCM functions, CCM committees, membership, member roles</li> </ul>	<ul style="list-style-type: none"> <li>• PowerPoint presentation</li> <li>• Worksheet to record location in Manual &amp; need for elaboration in SOPs or other governance document</li> </ul>
1.30	<i>Lunch</i>	
2.30	<b>CCM Manual of Procedure</b> (Plenary discussion)	• Flip chart & markers
3.15	<b>Way forward and Close of workshop</b>	
3.30	<i>Coffee/tea break and departure</i>	