PAN CARIBBEAN PARTNERSHIP AGAINST HIV/AIDS (PANCAP)

REGIONAL COORDINATING MECHANISM

OVERSIGHT PLAN

Prepared by the PANCAP RCM

Revised 6 April 2017

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ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
CCM	Country Coordinating Mechanism
FPM	Fund Portfolio Manager
GFATM	Global Fund to Fight AIDS, Tuberculosis and Malaria
LFA	Local Fund Agent
PACC	Priority Areas Coordinating Committee
PANCAP	Pan Caribbean Partnership Against HIV and AIDS
PR	Principal Recipient
PUDR	Progress Updates and Disbursement Requests
RCM	Regional Coordinating Mechanism
SR	Sub-Recipient
SSR	Sub-Sub-Recipient
TWG	Technical Working Group

1. INTRODUCTION

The Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) requires the Regional Coordinating Mechanism (RCM) to have clear operational procedures and guidelines to implement the basic functions of the RCM. This document should serve as an operational manual defining the mechanisms that the Pan Caribbean Partnership Against HIV and AIDS (PANCAP) RCM should use while overseeing the implementation of GFATM grants. The plan defines basic principles, roles and responsibilities of the RCM members with respect to oversight functions, as well as structures proposed to carry out the oversight, technical specifications for such structures, and the tools used. The oversight plan is a framework document and should be reviewed periodically in order to make the necessary changes in accordance with the requirements, standards and recommendations of the GFATM. The Oversight Plan is approved at the RCM general meeting and is binding for all the RCM members. In addition, the RCM develops an annual oversight work plan, calendar and budget for oversight activities, which are approved at a RCM general meeting. An oversight budget is a constituent part of the overall budget submitted for approval to the GFATM Secretariat to obtain expanded funding to carry out oversight activities.

2. OVERSIGHT FUNCTIONS

The RCM should operate on principles of good governance, that is, in a transparent and accountable manner. Oversight is the key principle of good governance.

According to the Guidelines and Requirements for Country [Regional] Coordinating Mechanisms, providing oversight to proposal development, grant negotiation, grant implementation and grant closure is considered an essential function of the RCM. In fact, oversight is one of 6 requirements determined by the Global Fund as minimum criteria that All RCMs must meet in order to be eligible for funding by the Global Fund.

> ***GFATM CCM Eligibility Requirement 3:***
> *Recognizing the importance of **oversight**, the Global Fund **requires** all CCMs/RCMs to submit and follow an oversight plan for all financing approved by the Global Fund. The plan must detail oversight activities, and must describe how the RCM will engage program stakeholders in oversight, including RCM members and non-members, and in particular non-government constituencies and people living with and/or affected by the diseases.*

The RCM oversees the performance of principal recipients (PRs) to ensure that they will achieve the agreed targets of the programmes they are implementing. Oversight ensures that activities are implemented as planned by providing strategic direction to PRs, ensuring policies and procedures are met, instituting financial controls (including independent audits), and following through on key recommendations. Through RCM oversight, PRs are held accountable to all stakeholders.

3. OVERSIGHT PRINCIPLES

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 and its population and sub-populations. While the RCM is ultimately responsible for the success or failure of procuring funds and ensuring their proper implementation, the Global Fund recognizes that all entities -RCM, PR, Sub-recipients (SRs), Local Fund Agent (LFA), and RCM Secretariat-work towards the same programmatic goals in order to reduce the impact of HIV and AIDS, Tuberculosis, and Malaria. Good communication with these actors will help ensure that the RCM has access to the information they need to conduct oversight.

Providing oversight is a core responsibility of the RCM and each member should be able to commit sufficient time to understand grant performance in order to make responsible recommendations. The RCM needs to establish clear *oversight processes* that make the best use of time spent on RCM oversight functions. Equally important in the oversight process, the PR has a responsibility to provide timely, updated reports to the RCM. In turn, the RCM has a responsibility to review these reports, analyze the information received, and provide guidance to the PR(s) on grant implementation.

RCM and PR(s) have complementary roles. The RCM's role is to focus on the "big picture" and ensure that performance-based funding is on track; it is not supposed to focus on the day-to-day details of grant implementation. The RCM is responsible for understanding grant implementation at the macro level, but does not need to immerse itself in the micro details, which is the responsibility of the PR. Since oversight focuses on the macro level, the RCM should consider the following overarching questions:

Finance. Where is the money? Is it arriving on time? Is it being distributed properly, and promptly? Who is benefiting?

Procurement. Are the drugs, bed nets, laboratory supplies, etc. going where they need to go? Are implementers getting them on time? Is the distribution system safe and secure? Are patients receiving them?

Implementation. Are activities on schedule? Are the right people getting the services they need?

Results. Are targets being met?

Reporting. Are reports being submitted accurately, completely and on time?

Technical Assistance. Where are the grant implementation bottlenecks (e.g. procurement, human resources, etc.)? What technical assistance is needed to build capacity and resolve problems? What is the outcome of technical assistance?

Oversight should be understood as a set of systematic and coordinated steps taken by the RCM to support and guide implementation by the Principal Recipient (s) (PR) of activities implied by their work plans; to assure timeliness of implementing the work plans and meeting work plan targets as well as to timely identify PR weaknesses and resolve the problems hindering grants implementation. Oversight activities are synchronized with submission of Progress Update and Disbursement Request (PU/DRs) by the PRs to the Secretariat of the Global Fund through the Local Fund Agent (LFA). Oversight consists of a coordinated set of activities designed to ensure that Global Fund grant activities are implemented as planned and that emerging issues and bottlenecks are identified and resolved in a timely and effective manner. Oversight requires strategic guidance by the RCM to PRs, as well as consistent follow-through to ensure that implementing agencies comply with oversight recommendations and requested corrective actions.

4.   LEGAL FRAMEWORK

The RCM's authority in terms of overseeing implementation of GFATM grants is defined by the governing documents of the GFATM, specifically, in the "Guidance Paper on CCM Oversight". Also, a grant agreement signed between the PR(s) and the GFATM says that "the PR(s) implements the Programme on behalf of the RCM and not on behalf of the GFATM and includes a number of articles that give the RCM legal authority to perform its role, and mandates PR(s) to cooperate with the RCM in carrying out its oversight responsibilities. These articles include:

Article 7a: the CCM [RCM] oversees the implementation of programmes financed by the Global Fund.

Article 7b: PRs are legally obligated to cooperate with CCMs [RCM] and to be available to meet with them regularly to discuss plans, share information and communicate on programme-related matters. PRs are also legally obligated to provide programme-related reports and information to the CCM [RCMs] upon request.

Article 15: PRs are legally obligated to provide CCMs [RCMs] with a copy of periodic reports submitted to the Global Fund.

Article 23: The CCM [RCM] is consulted on any decisions to change PRs.

Article 25: PRs are legally obligated to copy CCMs {RCM] on all notices, requests, documents, reports or other communication exchanges with the Global Fund Secretariat.

Article 28b: The PR implements programmes on behalf of the CCM [RCM].

5.   OVERSIGHT AREAS

Oversight extends from preparation of the country application and to the grant closure after its implementation. The areas of oversight are:

Concept Note Development. The RCM shall assume the leadership role in ensuring on-going country dialogue in the preparation of Concept Notes. The execution of this component of the oversight function will ensure that stakeholders from all sectors are fully and directly engaged in and contributing to the process and that the provisions set out in the RCM Governance Manual and Conflicts of Interest Policy are fully adhered to.

Grant Negotiation. The RCM shall oversee the grant negotiation process to ensure it is on track, identify where to find technical support if needed, and monitor any changes to the proposal that may become necessary.

Grant Implementation. This area is the most detailed aspect of the oversight function of the RCM and it is a RCM eligibility requirement that all oversight activities be clearly articulated in an approved work plan with timelines, locus of responsibility and budget.

Grant Closure. The oversight role of the RCM during grant implementation continues during the grant closure period. The same level of rigour shall be applied to this area of oversight since the RCM is responsible for endorsing the Close-Out Plan and Budget, including the PR's plan for distribution or disposal of programme assets.

6.   RCM OVERSIGHT

The oversight role is strengthened when RCMs have a well-defined oversight structure. In order to perform the oversight function, the RCM of PANCAP **unanimously decided at its First Meeting held on 4-6 April 2017 that the entire RCM shall provide the oversight required to oversee the implementation of the Global Fund grants)**. However, the RCM is not a sole actor responsible for providing oversight. All other actors have their stake in it. Thus, the oversight is provided according to the following structure:
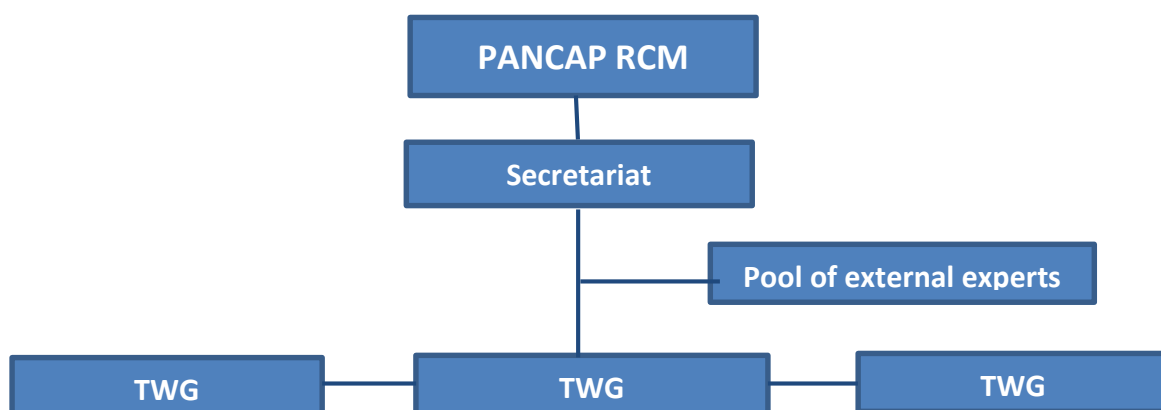
The whole RCM of PANCAP is the **ultimate decision-making body** related to Global Fund activities and grants and is ultimately responsible for effective grant oversight and management of the oversight process.

The RCM will be responsible for providing routine oversight on action items identified by the RCM in the grant oversight process, and acting upon **urgent** Global Fund issues arising between RCM meetings. Pool of external experts will be formed to participate on temporary basis to investigate and resolve specific technical or management issues as they arise. The experts for each specific assignment will be appointed by the RCM.

7. CONFLICTS OF INTEREST

RCM oversight must be conducted, as with any other activity or function, in conformity with the Global Fund requirement that RCMs manage any real or apparent conflicts of interest among their members and constituents. In conducting grant oversight activities, the RCM shall follow RCM Conflicts of Interest policy and require all members and/or involving experts to declare any conflicts of interest affecting themselves or other members and ensure that these individuals do not participate in any oversight deliberations or decisions. Based on these principles, PRs and SRs may not recuse themselves if their organization is affected by a conflict of interest.

8. INFORMATION REQUIRED FOR PERFORMING OVERSIGHT

To verify **proper use of funds** by the PR(s) and sub-recipients of the Global Fund money, the following information is needed:

(a) Cumulative total of the budgetary allocation for the Programme as foreseen by the grant agreement compared with the cumulative total of funds actually received by the PR(s) from the Global Fund;

(b) Cumulative total of the Programme expenditures as foreseen by the work plan budget compared with actual expenditures of Programme funds by the PRs;

(c) Cumulative total of the Programme expenditures as foreseen by the work plan budget for every Programme objective compared with actual expenditures of funds for every Programme objective;

(d) Cumulative total of the funds received by the PR from the Global Fund compared with the funds spent by the PR itself or disbursed to SR(s),

as well as any other information which, from the Oversight Committee's point of view, may confirm proper use of the GFATM 's money. To verify **adequate provision of drugs and medical supplies** the following information is required:

    (a) quantities of medicines and medical supplies purchased for the GF funds;

    (b) existing stocks of medicines and medical supplies per certain time period;

    (c) timeliness of placing orders for delivery of products and of their actual delivery;

    (d) timeliness of products distribution to consumers and / or SR(s);

    (e) acknowledgment of product receipt by end-users,

as well as any other information which, from the RCM's point of view, may confirm the proper provision of medicines and medical devices under the Programme.

To verify that **activities foreseen by the agreed grant Programme timeline are implemented on time**, the following information is required:

    (a) timeliness of allocation by the Global Fund of the next tranche of the grant;

    (b) timeliness of disbursement by the PR(s) of funds foreseen in the work plan for the SR(s);

    (c) compliance of the Programme key activities actual timeline with the timetable set out in the work plan of the grant agreement,

as well as any other information which, from the RCM's point of view, may confirm the timely pattern of implementing activities foreseen in the agreed timetable of the Grant Programme.

To verify **achievement of the Programme target indicators**, the following information is required:

    (a) current status of the Programme key indicators, regularly reported by the PR to the Global Fund;

    (b) current status of key performance indicators (impact, result, coverage) for each of the key objectives of the grant,

as well as any other information about any other Programme-related performance indicators, which, from the RCM's point of view, may prove the achievement of Programme targets by the PR.

To estimate the **effectiveness of grant management by the PR**, the following information is required:

(a) whether all the key managerial positions of the PR(s) are filled in;

(b) whether SR(s) receive technical assistance (trainings, consulting, etc.), implied in the grant work plan;

(c) are there any problems in relationships between the PR(s) and SR(s), affecting the implementation of the Programme Grant;

(d) to what extent did PR(s) addressed Conditions Precedent articulated by the Global Fund, and fulfilled time-bound actions necessary for successful continuation of the grant implementation,

as well as any other information related to grant management by the PR, which, from the RCM's point of view, may confirm the effectiveness of grant management by the PR.

9.   SOURCES OF INFORMATION FOR OVERSIGHT

Sources of information needed by the RCM members to perform their oversight function are as follows:

(a) Key documents of PR(s) (both original and revised versions)

- Programme work plans and budgets,

- Monitoring and evaluation plans,

- Procurement and supply management plans,

- Programme updates and disbursement requests (PU/DR), submitted by PR to the GFATM Secretariat,

- Results of PRs' annual audit(s),

- Annual (or enhanced) financial report;

(b) Results of the oversight field visits;

(c) Additional information (in addition to regular reports) received from the PR in response to a request from the RCM;

(d) Information / observations / comments received from the Fund Portfolio Manager responsible for the grants for PANCAP;

(e) Information and documents from grants SR(s);

(f) GFATM documents

- Grant Performance Report – GPR,

- Grant Score Card,

- GFATM managers' letters and other correspondence with the Secretariat of the GFATM;

(g) Working meetings with the staff of the PR, SR(s) and LFA;

(h) Other available sources.

10. TOOLS FOR IMPLEMENTING OVERSIGHT FUNCTION

The main tools for implementing the oversight function are:
- Regular oversight face-to-face or online meetings with participating external experts (if necessary);
- Field visits to the implementation sites of the GFATM grants;
- Grant Dashboards summarizing managerial, financial and programmatic information based on available data and documents.

In addition, the RCM uses a set of supporting tools provided in the corresponding annexes to this plan.

10.1. Field Visits
RCM field oversight visits take place as part of the oversight process. These visits are neither to address day-to-day management issues nor to "audit" regular reports - those are the roles of the PR and the LFA. The purpose of carrying out the field visits is to:

– Get a sense of programme implementation on the ground;

– Clarify issues arising from the oversight reports;

– Seek additional information on specific issues to enable the RCM make appropriate decisions;

– Verify and validate some of the data reported by the PR;

– Follow-up on RCM decisions.

The recommended guidelines for carrying out the field oversight visits are as follows:

1. RCM field visits may be quarterly/semi-annual/annual general site visits or need-driven, investigative site visits.

a. General field visits are periodic visits to PR, SR, or SSR sites in which RCM members have an opportunity to learn about implementation successes and challenges first-hand;

b. In the case of investigative field visits, they are generally based on specific issues identified through the oversight reports. The RCM determines the need to undertake field visits to gain understanding or resolve the issues identified.

2. The RCM should plan and coordinate the field visits with relevant PR(s) and SR(s) (as well as Sub-sub-recipient(s)). Site visits should not be undertaken as a surprise. This allows the PR/SR staff to prepare adequately for the visit and ensure their availability and the availability of any data sought by the RCM. It will also enable the RCM team to avoid potential misunderstanding arising during a field visit which could have been overcome through discussion with the PR at the planning stage. The PR should also provide a favorable environment for the RCM to carry out the field visits.

3. The RCM field oversight visit team should have clear information on programme deliverables prior to the visit. The PR can assist in providing this information and in advising on issues that the RCM team should be aware of before proceeding to the field.

4. In preparation for site visits, the RCM should select and identify hosting sites and clients. The selection of the site to be visited may be determined by the nature of a specific issue being investigated.

5. The RCM field team should avoid asking for information that is available from existing information systems – such as from the dashboard or PU/DRs – unless the question is for confirmation or validation.

6. The composition of investigative site visit teams should be determined by the issues identified by the RCM. For instance, a follow-up on financial issues would require different RCM members from a site visit team that would follow-up on procurement issues. Any member of the RCM can undertake these field oversight visits; however, adherence to the RCM's conflicts of interest policy is essential when undertaking oversight activities.

7. The Oversight Committee should set time limits for the visit to avoid making excessive demands on the PR and SRs and stick to those time limits. This requires careful planning to ensure key issues are addressed.

8. While the above points focus on planned field oversight visits, these are mainly RCM familiarization visits. Field visits can also be undertaken using routine monitoring systems to gather information. For instance, PRs might include some RCM members on their regular field visits. Likewise, if a RCM member is visiting an area where there is grant activity for other purposes, he or she may undertake a site visit as a RCM member. However, such field visits should always be planned with site staff beforehand to avoid – "surprise" visits.

9. After the site visits, the team should draft a short summary report to the RCM. TWG members should review the reports and make necessary recommendations to the RCM at the next RCM Plenary meeting and send feedback to the visited site and PR and SRs.

Additional tools to assist RCM members and alternates conducting field oversight visits are: field monitoring visit guidelines, a filed visit checklist, a follow-up tool, and a reporting template.

These tools are included in corresponding Annexes 3 and 4. Although it is important to focus on specific key issues for each site visit, a monitoring visit questionnaire is available from the RCM Secretariat that provides some structure to questions that may be asked by the field oversight visit team.

Field visits to grant implementers – PR(s) and SR(s), – are carried out to verify accounting and reporting information related to the stocks of medicines and medical goods, to assure compliance of storage conditions with the required standards, to check appropriateness of conditions for training sessions as well as to verify other conditions stipulated by grant Agreement.

Meetings with senior officials of the PR(s) and SR(s), as well as with representatives of target groups are held during either field visits or RCM meetings by agreement with the interviewees.

10.2. Dashboards
The RCM, in close coordination with the RCM Secretariat and the PRs, will make use of Grant Dashboards to review grant performance, financial indicators, and certain grant management variables on a quarterly/semiannual basis. The review will encompass all current grants of PANCAP. The dashboard – built in MS Excel – supports RCM grant oversight as defined above, in the following ways:

I.   Organizes different sources of information about the grants into one location.

II. Systematizes levels of review: SRs to PR, PR to TWG, TWG to RCM.

III. Defines the frequency of oversight-related data collection and review.

IV. Provides a convenient reporting format from the PR to RCM to avoid "bulky info" or information overload.

Dashboards are a tool to support the oversight function of the RCM. They substantially reduce the amount of information that the RCM members should look through, presenting it in an orderly and highly visualized form, and allowing RCM members to make informed decisions based on reliable data.

Dashboards provide information through easy-to-interpret charts, graphs and tables. Since the information in the dashboards is updated during each reporting cycle, the RCM is able to observe trends in the situation over time.

The Dashboards are used with the goal to:

- Provide the RCM members with key financial, management and programmatic information for grant oversight;

- Facilitate the oversight process through visual/graphical representation of key data;

- Implement visual cues that detect early signs of trouble in the grant implementation Programme;

- Provide RCM members with reliable information for decision making when solving problems, and for further observation;

- Encourage dialogue between the RCM members and the PR on issues related to Programme management and implementation.

The PANCAP RCM will use dashboards to analyze **financial, managerial and programmatic indicators** for each grant.

Responsibility for developing the dashboards rest with the PR. The RCM Secretariat will use the dashboard to analyse the information and submit reports to the RCM with the latest data reported by the PRs.

PRs are responsible for submitting to the RCM Secretariat, within one month after the end of reported period, data on grant performance, financial flows, and any changes to management variables, as required by the Dashboard template.

If, for some reasons, PRs are not able to provide the RCM Secretariat with values for required indicators, such reasons should be specified in a separate addendum to the data submission form.

When collecting and analyzing information related to the implementation of the GFATM grants, the RCM examines and verifies data submitted by PRs to the RCM Secretariat and, if needed, suggests corrections.

The RCM, on review of the grant dashboards, may make several comments and recommendations for follow-up actions, usually related to but not limited to clarifications on unmet performance targets, or for problems identified in the use of funds, etc. Actions may include requests for information from the PR, field oversight visits by representatives of the RCM, or both. These recommended actions will be recorded in the grant dashboards in designated lines by the RCM Secretariat staff and submitted to the whole RCM at their quarterly/ semiannual meeting for approval and assigning specific actions to RCM members, the RCM Secretariat or the PR.

The results of these actions will be forwarded to the RCM Secretariat during the months following the tabling of the issue, and will be included as an update in the next period's grant dashboards for the consideration of the RCM. The RCM can then recommend that these prior actions be considered as executed and closed, or pending further follow-up.

The RCM Chair or the designee will lead presentations of the dashboard summaries to the RCM with supporting statements by other members and the RCM Secretariat.

11. RCM SECRETARIAT SUPPORT TO OVERSIGHT FUNCTION

The RCM Secretariat will **support grant oversight activities** as they support all RCM functions. The RCM Secretariat will assign staff to support the RCM in collecting, reviewing, documenting, and distributing grant performance documents, including dashboards, PU/DRs, annual reports, Global Fund grant performance reports/grant scorecards, and other relevant information. The RCM Secretariat plays a key role in efficient and effective communications and logistics between the whole RCM, its committees, and PRs. TOR for the Oversight is presented in Annex 1.

The RCM Secretariat collaborates with the Chair and members of the RCM to determine the level and types of administrative support required 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 will be detailed in the Oversight Annual Work Plan as specified in the Oversight Terms of Reference (Annex 1) and the RCM and its Secretariat's Manuals and Work Plan.

12. OVERSIGHT FUNDING

The GFATM recognizes the important role of RCM in the Global Fund architecture (including their central role in proposal development and submission and **grant oversight**) as outlined in the GFATM's Framework Document. In order to fulfill their responsibilities, RCM inevitably incur administrative costs and may not have the independent resources to cover these costs.

The GFATM has established a separate pool of funds to finance CCM/RCM costs through a direct line item in the Secretariat's budget. RCM may not draw directly from approved grant funds to support RCM costs.

RCM (or other national bodies that meet the minimum CCM eligibility requirements and have taken on the role and function of the CCM) may receive funding as long as there is at least one active grant under implementation. A grant is considered active from the approval of a funding proposal through to the end of grant closure.

RCM funding requests will cover eligible costs for a two-year period. For amounts exceeding US$ 200,000 per two-year period, the RCM must demonstrate that it has mobilized 20% of the amount exceeding US$200,000 from sources other than the Global Fund for the same RCM budget period.

Funding requests may be submitted biennially. There is no limit to the number of times that a RCM may apply for funding.

For more detailed information please visit GFATM website:
http://www.theglobalfund.org/en/ccm/funding/

The RCM is encouraged to seek additional sources of RCM funding from domestic and international partners in-the region. Other potential sources of funding or in-kind support are:

– Other bilateral or multilateral donors;

– National Governments;

– In-kind support;

– Participation of RCM and non-RCM members on the PANCAP Priority Areas Coordinating Committee (PACC);

– Technical Support.

TERMS OF REFERENCE

OVERSIGHT

PANCAP REGIONAL COORDINATING MECHANISM

REVISED 6 APRIL 2017

1. MANDATE

The Pan Caribbean Partnership Against HIV/AIDS (PANCAP) Regional Coordinating Mechanism (RCM) established that the entire RCM shall perform the function of oversight in conformity with Section 20.2 of the PANCAP RCM Governance Manual. The mandate is to provide effective oversight in the implementation of all Global Fund grants awarded to PANCAP and to recommend to the RCM on all measures that may be taken to improve grant performance and manage conflicts of interest.

In this context, the RCM is charged with the responsibility to contribute towards the systematic, efficient and effective implementation of all Global Fund grants awarded to PANCAP by ensuring:
   a. Appropriate and effective use of all funding provided by the Global Fund;
   b. Timely and efficient implementation of approved work plans by PRs and SRs;
   c. Achievement of expected results by grant implementers according to the prescribed schedule;
   d. Development of timely response mechanisms to shortcomings and problems identified during grant implementation in order to neutralize any negative impact on the performance of the programme;
   e. Management of actual, potential or perceived conflicts of interest.

2. RESPONSIBILITIES OF OVERSIGHT

The RCM is responsible for providing oversight to existing Global Fund grants in PANCAP in the following areas:
   - **Financial**: Ensuring appropriate, timely, and effective use of funding from the Global Fund
   - **Programmatic**: Ensuring timely and effective implementation of PR and sub-recipient (SR) work plans, including implementation of intended results in short- and intermediate-term periods
   - **Procurement**: Ensuring transparent, competitive, and effective procurement and supply management with appropriate quality assurance and in accordance with national laws
   - **Management**: Managing the grants in all areas (including financial, programmatic, and procurement areas), as well as actions or conditions required by the Global Fund (e.g., conditions precedent and time-bound actions).

Composition

The RCM Governance Manual stipulates that the entire RCM shall perform the oversight function. The RCM shall enforce strictly the provisions of the RCM Conflicts of Interest Policy in all of its deliberations. The resident skills shall of the RCM include:

- Programme management
- Financial management
- Procurement and supply management
- Technical expertise in the diseases (HIV, TB, Malaria as appropriate)

3. ROLES AND RESPONSIBILITIES OF THE RCM IN OVERSIGHT

The roles and responsibilities of the RCM shall include, but not necessarily limited to, the following:

- Collect and analyze relevant information to determine full status of grant implementation.
- Organize and undertake oversight visits to programme sites, headquarters, divisions, departments and other structural units of PRs, SRs and their partners that implement the programme of the Global Fund grant. These visits will be conducted on a quarterly basis.
- Identify additional RCM members, PR representatives and external technical experts as needed to participate on the oversight activities.
- Convene review meetings with senior officials of the PRs to assess and verify grant performance status.
- Identify cross-cutting challenges, lessons learned, and best practices across diseases and grants that may be shared with key stakeholders.
- Participate as observer in bidding, tender and SRs selection meetings conducted by the PR.
- Review the analysis of the dashboard data provided by the RCM Secretariat and make recommendations based upon the information presented.
- Communicate with the GF Secretariat regarding oversight activities to be undertaken and the outcome of the site visits. The outcome will be packaged by the Secretariat for presentation at the RCM meetings.
- Investigate and verify information of any signs of flagging performance and problems as well as support problem-solving efforts by reviewing and verifying reports on indications of any mismanagement, problems, or suspected violations arising in the implementation of Global Fund programs based on:
  - Progress reports and other grant performance documentation

- Debriefing info from LFA
- Issues submitted by interested stakeholders
- Other non-specified issues

- Conduct meetings and/or site visits in order to gather information and verify findings from the above reports when necessary.
- Discuss recommendations from the results of such reviews, meetings, and visits at the RCM meeting.
- Implement actions as assigned by the RCM to support problem resolution.
- Monitor follow-up actions by all concerned parties on recommendations aimed at improving grant performance.

4. RESPONSIBILITIES OF THE CHAIR

- Coordinate planning and implementing activities of the Oversight in all aspects of the grant cycle.
- Provide leadership in investigating all actual and potential breaches of the terms and conditions of the grant agreement.
- Preside over all meetings of the RCM on matters of oversight.
- Present quarterly reports on the activities of Oversight to the RCM or as often as otherwise might be required.
- Delegate responsibility for oversight to the vice chair and focal person when necessary.

5. WORK PLAN AND BUDGET

The RCM shall prepare Annual Oversight Work Plans that shall be approved by the RCM. The Work Plan shall contain the following core elements:
- Activities to be undertaken
- Frequency – timeline
- Responsibility for each activity
- Budget

The RCM Secretariat shall provide logistical and administrative support to the preparation of the Annual Work Plan and Budget.

6. OVERSIGHT MEETINGS

The RCM shall meet at least quarterly and at other intervals as circumstances dictate. Minutes of all meetings of Oversight shall be made available to the full RCM Secretariat within two (2) weeks

of convening for circulation to all members. Minutes of these meetings shall also be tabled at regular meetings of the RCM.

7. DOCUMENTATION AND COMMUNICATION

The RCM Secretariat shall ensure that all Oversight documentation is archived. This documentation includes record of performance review meetings, reports of field visits, reports on conflicts of interest and other related sources of information.

The RCM Secretariat shall also manage all communication emanating from Oversight and ensure that all key stakeholders are informed the processes and outcomes – RCM, Global Fund Secretariat and the general public.

FRAMEWORK FOR RCM OVERSIGHT WORK PLAN

#	RCM Oversight Activities	Responsible Member	Year 2016-2017 Timeline				Budget	Findings and Follow-up Actions Required
			Quarter 1	Quarter 2	Quarter 3	Quarter 4		
*	**Key Oversight Activities in accordance with the Annual Work Plan**							
	Report to RCM regular meetings	RCM						
	Conduct meetings (quarterly)	RCM						
	Conduct site visits (quarterly or bi-annually)	RCM						
	Conduct Oversight self-assessment (annual)	RCM						
	Conduct Consultation meetings with NGOs, PLWD, and KAP (every 6 months, alternating with CSO consultations)	RCM						
	Shares oversight results with the Global Fund Secretariat and in-country stakeholders quarterly.	Secretariat						
1.0	**Clarify oversight functions, responsibilities and build capacity for oversight**							
	1.1 Develop an annual Oversight Work Plan	Secretariat						
	1.2 Develop an annual Oversight Budget	Secretariat						

#	RCM Oversight Activities	Responsible Member	Year 2016-2017 Timeline				Budget	Findings and Follow-up Actions Required
			Quarter 1	Quarter 2	Quarter 3	Quarter 4		
	1.3 Identify technical experts to assist Oversight Committee	RCM						
	1.4 Provide orientation and training to build capacity for Oversight	RCM						
	1.5 Provide orientation for RCM members and alternates	RCM						
2.0	Gather information on Global Fund grants through use of routine reports or available data							
	2.1 Arrange for PRs to present progress on finance, management, programme performance for each grant to RCM	Secretariat						
	2.2 Receive and review copies of supporting documentation (e.g., dashboards, PU/DRs and semiannual/annual reports prepared for Global Fund or the Local Fund Agent (LFA) by PRs)	Secretariat						
	2.3 Review GF Management letters and Grant Scorecards and information provided in the framework of LFA the debriefings with the PR	RCM						
	2.4 Review additional regional surveys and reports.	RCM						
3.0	Gather information on Global Fund grants through site visits & PR-SR performance review meetings							
	3.1 Develop objectives; design or update questionnaire/report form for site visits	Secretariat						
	3. 2 Develop calendar of site visits	Secretariat						
	3.3 Present methodology, calendar, and proposed list of sites and visitors for validation by RCM	Secretariat						

#	RCM Oversight Activities	Responsible Member	Year 2016-2017 Timeline				Budget	Findings and Follow-up Actions Required
			Quarter 1	Quarter 2	Quarter 3	Quarter 4		
	3.4 Organize logistics of site visits	Secretariat						
	3.5 Visit sites according to calendar	RCM						
	3.6 Prepare and present to RCM report on the visits and recommendations	Secretariat and Site Visit Lead						
	3.7 Meet with the PR to discuss findings of the site visits and provide recommendations	RCM						
4.0	**Gather information on Global Fund grants through investigation of specific issues**							
	4.1 Invite PR or SR representatives to meetings on Oversight to answer questions or make oral presentations about grant progress or issues, problems, bottlenecks	RCM chair						
	4.2 Call together or arrange to visit officials from ministries, agencies, local government authorities or partners involved in issues, bottlenecks, problems	RCM chair						
	4.3 Identify and actively monitor issues or problems raised by the LFA during their on-site data verification	RCM						
	4.4 Conduct issue-specific site visit if needed	RCM						
5.0	**Analyze information based on grant dashboards and other review processes**							

#	RCM Oversight Activities	Responsible Member	Year 2016-2017 Timeline				Budget	Findings and Follow-up Actions Required
			Quarter 1	Quarter 2	Quarter 3	Quarter 4		
	5.1 RCM Secretariat analyze the individual grant dashboards and related information to produce technical recommendations to the RCM.	Secretariat						
	5.2. Following discussions with PR and site visits, if necessary, develop recommendations to the RCM on action to be taken to resolve the problem or bottleneck	RCM						
	5.3 Conduct lessons learned meeting with PR	RCM						
6.0	Analyse information to identify problems and bottlenecks requiring RCM attention							
	6.1 Analyze each grant's PUDR and related information.	Secretariat						
	6.2 Determine the type of problem, issue or bottleneck causing poor performance and the institutions involved	Secretariat						
	6.3 Develop options and/or a recommendation on action to be taken to resolve the problem or bottleneck, depending on its type and extent [to be recorded in dashboard]	Secretariat						
	6.4 Report to the RCM using the dashboard for each grant/each PU/DR	Secretariat						
7.0	Take action to resolve problems and bottlenecks requiring RCM attention							
	7.1 In the case of urgent problems, call for an Extraordinary RCM meeting	Chair or Vice chair						
8.0	Follow up and report results							

#	RCM Oversight Activities	Responsible Member	Year 2016-2017 Timeline				Budget	Findings and Follow-up Actions Required
			Quarter 1	Quarter 2	Quarter 3	Quarter 4		
	8.1 Monitor and report on the status of the problem resolution in the subsequent RCM meeting [using dashboard Actions Page]	Secretariat and RCM						
9.0	**Document all oversight activities and report back to PRs on performance and decisions taken**							
	9.1 Use the reporting templates to document all findings (dashboard, meeting minutes, site visits)	Secretariat						
	9.2 Provide reports to the PR along with explanations of identified issues/problems	RCM						
	9.3 Conduct follow-up as needed	RCM						
	9.4 Archive all documents	Secretariat						

RCM GUIDELINES FOR OVERSIGHT VISITS

Purpose of Site 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 RCM's site visits have four main objectives:

1) Ensure that activities are taking place in the field as defined in the grant and work plans;
2) Oversee quality of services, activities, and communications between providers and clients and an impression of the level of stigma around the programmes and Global Fund diseases;
3) Observe the level of stock of drugs and pharmaceutical products;
4) Show staff, clients, and community that regional leaders are interested in their situation by gathering comments regarding the programmes and diseases to build credibility and trust
5) Meet with the clients to get information on the clients satisfaction with the services provided

Guidelines for Site Visits

- **Issue-driven site visits.** These formal visits take place after the RCM 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 RCM to make appropriate decisions
  – Follow up on RCM decisions

- **Logistics.** Site visits can take place at PR's or SR's offices, or project implementation sites. Visiting teams should be limited to manageable sizes (3 persons).

OVERSIGHT SITE VISIT QUESTIONNAIRE AND REPORT FORM

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

Names of visitors:
Date of visit:
Location(s) visited:

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

B. Site Visit Questions	
1. Has anyone from the PR ever visited you? 1b. Has anyone from the RCM ever visited you?	
2. When did you send your last report to the PR?	
C. Financial	
3. 3a. When did you most recently request funds? 3b. When did you receive the funds and how much did you receive?	
4. Do you still have funds in your account?	
5. May we review together your disbursement plan for SRs and sub-SRs?	
D. Procurement & Supply Management	

B. Site Visit Questions	
6. Do you have any stock-outs today? What items?	
Management	
7. Have you received the SR or County reports on time? May we review together the SRs or county activities according to their work plans	
8. Have you hired the staff as planned in the Global Fund project?	
9. Is there evidence of harmonization of Global Fund activities with the other activities of the site	
Performance and results	
10. Are activities being done according to the approved work plan? If no: (a) which activities being done are not in the approved plan, and (b) Which approved activities are not being done?	
11. Are you achieving the expected results / targets?	

E. Summary Site Visit Observations	
1. Key staff	
2. Money	
3. Stocks and drugs	
4. Facilities	
5. Accessibility of site today	
6. Observable interactions between providers and clients (including level of stigma)	
7. Feedback from staff and providers	
8. Feedback from clients and people at risk (including level of stigma)	
9. Feedback from community members, leaders, and other stakeholders	
10. Overall impression of the programme	
11. Issues for RCM attention: action points	(1) (2)

Leader of Site Visit   _____

Date: _____