

OVERSIGHT PLAN
For
Country Coordinating Mechanism,
Lao PDR

Fiscal year 2019-2020 (1 Oct 2019-31 Dec 2020)

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CCM Oversight Plan

1. Introduction

The Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) requires the Lao PDR Country Coordinating Mechanism (CCM) to have clear operational procedures and guidelines to implement the basic oversight functions of the CCM. The main aim of this document is to provide an operational manual defining the mechanisms that the CCM should use while overseeing the development and implementation of GFATM grants in Lao PDR. The plan defines basic principles, roles and responsibilities of the CCM members and its subcommittees with respect to oversight functions, as well as structures and tools to carry out the oversight.

The mandate of the CCM is to facilitate, approve and submit high-impact proposals to the Global Fund. It is their responsibility to oversee, evaluate and support the development and implementation of successful GFATM grants. All CCM Members have a responsibility for participating in and supporting oversight activities. While the CCM is ultimately responsible for oversight function the CCM in Lao PDR has established several standing committees including the Resource Mobilization Committee (hereinafter referred to as the RMC), and the Oversight Committee (hereinafter referred to as the OC) with the responsibilities of providing oversight to proposal development, grant negotiation, and grant implementation.

This oversight plan has been developed to enable CCM in Lao PDR to carry out its oversight function in a well-organized, transparent and documented manner that involves a broad range of stakeholders, including CCM members and non-members.

2. Oversight Function

Grant oversight is a core function of good governance, and will lead to improved success and increased stakeholder value in Lao PDR. It is important that the CCM employs good governance to ensure that oversight is carried out in a well-organized, transparent and documented manner.

The new funding model emphasizes a strong multi-stakeholder and multi-sectorial dialogue that is not CCM specific, during all stages of the grant cycle. This inclusive dialogue ensures the identification of the priorities best suited to achieve high impact actions against the diseases and informs the design of technically appropriate interventions, and effective risk mitigation. Oversight function should aim to engage all program stakeholders in oversight, including CCM members and non-members, and in particular non-government constituencies and people living with and/or affected by the diseases.

The second aim of oversight should be to ensure that grant activities are implemented as planned and related questions, topics, concerns and bottlenecks in grant implementation are identified and resolved quickly and effectively. The CCM should oversee the performance of the principal recipient (PR) to ensure that they will achieve the agreed targets of the programs 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 for corrective action. Through CCM oversight, PRs are held accountable to all country stakeholders.

3. Oversight Principles

The core principle of oversight is to ensure that resources — financial and human — are and will be used efficiently and effectively for the benefit of the country. While the CCM is ultimately responsible for the success or failure of procuring funds and ensuring their proper implementation, the Global Fund recognizes that all entities (CCM, PR, SRs, LFA, and Secretariat) work towards the same programmatic goals in order to reduce the impact of HIV/AIDS, Tuberculosis, and Malaria. Good communication with these actors will help ensure that the CCM has access to the information they need to conduct oversight.

3.1 Oversight is a national responsibility: CCMs have a national responsibility to coordinate the overall management of Global Fund grants within the country. Providing oversight is a core

responsibility of the CCM and each member should be able to commit sufficient time to understand grant performance in order to make responsible recommendations when problems or bottlenecks are identified. The CCM needs to establish clear oversight processes that make the best use of time spent on CCM oversight functions.

3.2 Oversight is different from Monitoring & Evaluation (M&E): M&E activities focus on detailed activities of program implementation, and are the appropriate responsibility of Principal Recipients and other implementing agencies. M&E helps to identify where changes in programmatic inputs can affect better outcomes. In contrast the CCM's oversight function 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. In this fashion the CCM is responsible for following implementation activities, ensuring independent audits, providing strategic direction, ensuring adequate financial controls, policies and procedures. The emphasis of oversight function is to identify and resolve major issues threatening successful grant performance.

3.3 Oversight focuses on several key areas: Since oversight focuses on the macro level, the CCM 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/key populations 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? Where are the grant implementation bottlenecks (e.g. procurement, human resources, etc.)?
- **Technical Assistance:** What technical assistance is needed to build capacity and resolve problems? What is the outcome of technical assistance?

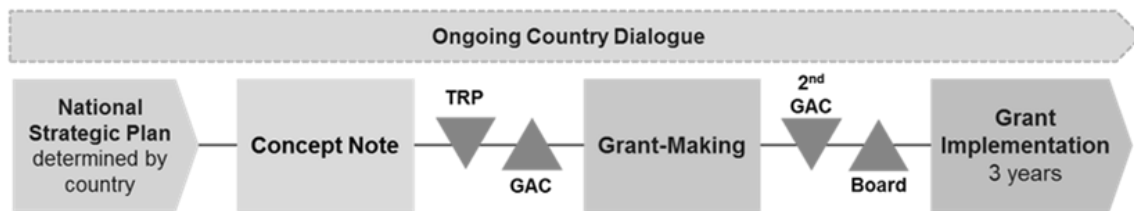
3.4 Oversight is cyclical: Oversight follows reporting cycles to review the performance of the principal recipient as a program manager. Oversight activities should be synchronized with the bi-annual submission of PU/DRs by the PRs to the Secretariat of the Global Fund through the Local Fund Agent. With regards to this document the PR has a responsibility to provide timely, updated reports to the CCM. In turn, the CCM has a responsibility to review these reports, analyze the information received, and provide guidance to the PR(s) on grant implementation.

3.5 Oversight is legitimate CCM's function that must be complying with by Principal Recipients: The Global Fund requires that CCMs hold Principal Recipients accountable for resources given to the country: CCMs are required to put in place and maintain a transparent, documented process to oversee grant development and program implementation. The CCM's authority in terms of overseeing development and implementation of GF grants is defined by the governing documents of the GF, specifically, in the "Guidance Paper on CCM Oversight".

The country PR is accountable to the CCM according to the grant agreement signed between the PR(s) and the Global Fund says that "the PR(s) implements the Program on behalf of the CCM and not on behalf of the Global Fund" and includes a number of articles that give the CCM legal authority to perform its role, and mandates PR(s) to cooperate with the CCM in carrying out its oversight responsibilities.

4. Oversight Areas

Oversight extends from preparation of the country application and to the grant closure after its implementation. The CCM should have a comprehensive oversight strategy and ensure that necessary oversight activities are covered in the work plan developed by the OC (including timeframe and budget) in accordance with their regular frequency. The areas of oversight are:



- 4.1 Proposal Development:** As part of the requirements for funding eligibility, the CCM must ensure that a wide range of stakeholders, not only CCM members, participate in the proposal development and oversight process. The CCM of Lao PDR has established a standing RMC to provide conditions for participation of non-government constituencies and people living with and/or affected by the diseases in the proposal development and oversight process. This form of “country dialogue” should be collected and shaped for inputting into proposal development. The RMC is also charged with the task of developing and implementing a transparent and inclusive selection process for the nomination of new or continuing PR/SRs.
- 4.2 Grant Negotiation:** Once a proposal has been approved, a grant agreement is then signed with the PR(s) within one year, unless an extension is given. While most of the communication during grant negotiation occurs between the proposed PR(s), the LFA, and the GF Secretariat, the CCM should oversee the negotiation process to ensure it is on track, identify where to find technical support if needed, and monitor any changes that are being made to the proposal. The negotiation process should be monitored by regular updates to the CCM plenary.
- 4.3 Grant Implementation:** This is the biggest portion of the oversight activities conducted by the CCM and, ideally, it should be provided on a quarterly basis. They should have a clear plan with the PR for following-up their resolutions. The CCM of Lao PDR has established a standing OC to oversee the implementation of the Global Fund grants. The OC should receive from the PR copies of all disbursement requests, quarterly reports, annual budgets and work plans, monitoring and evaluation plans, procurement and supply management plans, the annual PR audit and any other audits performed. At this stage the CCM should use different available tools and instruments (including grant performance reports and field visits) for investigating any issues/problems/bottlenecks in grant implementation. Successful oversight provision requires close coordination with the PR to make the programs work, by approving major changes (including change of a PR, if necessary¹), and facilitating adequate technical assistance to address program challenges and bottlenecks.
- 4.4 Donor Coordination and Alignment with Health Systems:** The CCM should find every possible way to use or build onto pre-existing national oversight plans in order to avoid duplication of efforts. In this context “alignment” refers to all efforts to bring the policies, procedures, systems and cycles of the donors into line with those of Lao PDR.
- 4.5 Grant Closure:** The oversight role of the CCM during grant implementation continues during the grant closure period. The same level of rigor and oversight is required since the CCM is

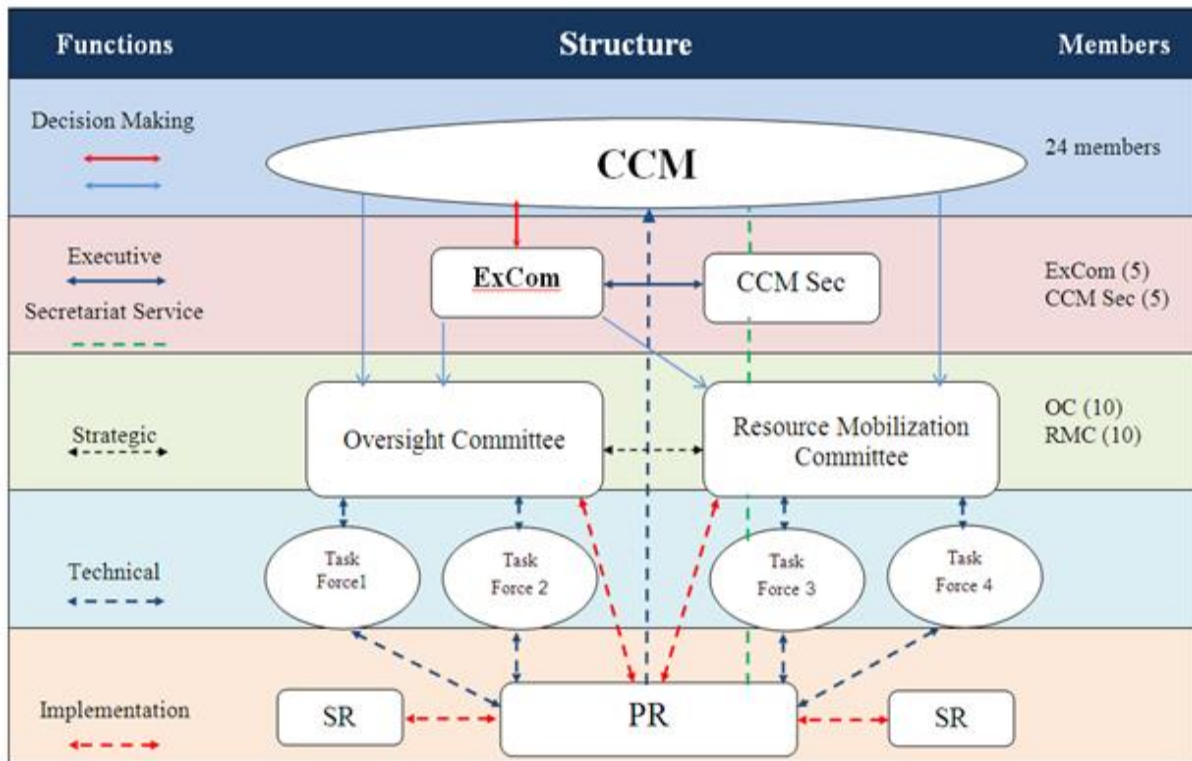
¹Recommending a change in a Principal Recipient is an extreme measure to be used only if the PR has been unable to improve performance based upon the recommendations of the CCM and the Global Fund Secretariat. Before the CCM arrives at this decision, it should have been clear with the PR that it is concerned about program implementation. Ideally, this should be communicated well before the Phase 2 request is due, and both the CCM and the PR should be in agreement on what steps are needed to improve grant performance. Changing a PR is a rare but sometimes useful way of improving grant performance, but is considered to be a last resort. CCMs should first work closely with PRs to improve performance, arrange for technical assistance, and find other ways of putting grant performance back on track.

responsible for endorsing the Close-Out Plan and Close-Out Budget, including the PR's plan for distribution or disposal of program assets.

4.6 Particular Areas: the oversight role in Lao PDR should extend to oversee the Mobilization of Resources, and to the enforcement of good governance. Technical Assistance requested and provided to the CCM should also be overseen.

5. Organizational Structure of Oversight in Lao PDR

Grant oversight is a core responsibility of the CCM, and in order to perform the oversight function, the CCM of Lao PDR has established two standing Committees to perform oversight function. There needs to be a clear separation of roles and responsibilities between the governing body and implementing bodies. The RMC and OC are permanent CCM committees whose purpose is to oversee the development and implementation of approved GFATM grants in the country. The RMC has a more active role promoting country dialogue and ensuring that its outcomes are translated into the Global Fund concept note. The RMC is also responsible for developing and implementing a selection process for nominating PR/SRs for prospective grants. In contrast the OCs goal is solely to ensure the implementation of activities and the use of resources in accordance with the grant agreement. It should not assume responsibility of any M&E activities but should provide feedback to the PR on issues/problems/bottlenecks in implementation. The RMC and OC are not the only actors responsible for providing oversight on grant development and implementation and other actors have a stake in it. Thus, oversight in Lao PDR is provided according to the following structure:



The CCM Plenary is the ultimate decision-making body: The CCM plenary is ultimately responsible for effective management of the oversight function related to Global Fund activities and grants in Lao PDR. Oversight function in Lao PDR is shared by all CCM members but has been delegated to the OC and in a lesser extent to three Technical Task Forces: HIV, Tuberculosis (TB), Malaria, and Health Systems Strengthening.

5.1 The Resource Mobilization Committee: The RMC is responsible for ensuring the participation of non-government constituencies and people living with and/or affected by the diseases in the proposal development and oversight process. The different CCM constituencies' members are informed of discussions/recommendations during RMC meetings. These meetings are the

occasion to further oversee grant implementation, and bring recommendations to the next CCM plenary meeting.

- 5.2 The Oversight Committee:** The OC is responsible for reviewing grant performance documents to identify problems and bottlenecks. The OC is responsible for discussing problems with the PR and presenting them to the CCM. The OC is also responsible for following-up on action items assigned by the CCM in the grant oversight process, and acting upon urgent Global Fund issues arising between CCM Plenary meetings.
- 5.3 The CCM Secretariat:** The CCM secretariat supports grant oversight activities as they support all administrative and logistic CCM functions. The CCM Secretariat plays a key role in efficient and effective communications and logistics between the CCM Plenary, its committees, and PRs. The Secretariat will assign staff to support the OC in collecting, documenting, and distributing grant performance documents, including PU/DRs, annual reports, Global Fund reports, scorecards, and other relevant information aiming to implement the oversight function. This function requires the CCM secretariat to have appropriate resources including an adequate number of staff.
- 5.4 The Four Technical Task Forces (TFs):** The four technical TFs (HIV/AIDS, TB, Malaria, and HSS) are responsible for advising the CCM and the OC. These “Task Forces” provide support to the CCM and the OC on technical and management issues. The TFs are responsible for providing first-line oversight in proposal developments and GAP analysis. The TFs have a key role in assessing SR performance and should make recommendations for strengthening implementation or resolving problems to the OC/CCM. The TFs receive performance updates from the Principal Recipient.

If necessary, Ad-Hoc Committees or Task Forces will be temporarily formed to investigate and resolve specific technical or management issues as they arise as for example: Conflict Of Interest, Governance issues. These committees will be appointed by the Executive Committee and will report to the OC and CCM Plenary.

- 5.5 Involvement of stakeholders in oversight:** In particular the people living with or affected by the diseases (HIV, TB and Malaria) as well as other CCM members are invited to participate in the field visits organized by the OC/CCM secretariat, at their return they should present a report to OC/CCM. Further detail of the roles and responsibilities directly related to grant oversight for the CCM Plenary, TFs, the OC, and the CCM Secretariat follows here below.

6. Information Required for Grant Implementation Oversight

Oversight focuses on the macro level, and there are a number of overarching questions that are outlined in chapter 3 that the CCM should consider when carrying out oversight. These questions address five key indicators for informing oversight function that include:

- **Finance:** Assuring appropriate, timely, and effective use of funding from the Global Fund;
- **Procurement:** Assuring timely and appropriate provision of drugs, bed net, laboratory and other supplies;
- **Programmatic:** Assuring timely and effective implementation of principal and sub-recipient workplans;
- **Reporting:** Assuring timely, accurately and completely submission of reports
- **Performance:** Assuring the achievement of intended results in short and intermediate term periods.

- 6.1** 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 Program 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 Program expenditures as foreseen by the work plan budget compared with actual expenditures of Program funds by the PRs;
- (c) Cumulative total of the Program expenditures as foreseen by the work plan budget for every Program objective compared with actual expenditures of funds for every Program 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).

6.2 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,

6.3 To verify that **activities foreseen by the agreed grant Program 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 Program key activities actual timeline with the timetable set out in the work plan of the grant agreement.

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

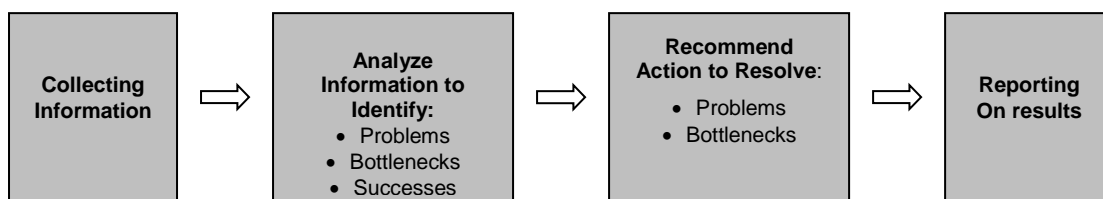
- (a) Current status of the Program key indicators, regularly reported by the PR to the Global Fund;
- (b) Current status of key performance indicators (impact, result, coverage) for each of the key objectives of the grant.

6.5 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 Program Grant;
- (d) To what extent did PR(s) address Conditions Precedent articulated by the Global Fund, and fulfilled time-bound actions necessary for successful continuation of the grant implementation.

7. Conceptual Framework for Grant Implementation Oversight

Oversight function of grant implementation in Lao PDR intends to cover **four** major areas:



7.1 Collecting Information: Gathering information is the key to all other Oversight activities, since the OC will be unable to mobilize and act without good information about implementation issues,

problems, or bottlenecks. Data collection should take place quarterly. Sources of information needed by the OC members to perform their oversight function effectively are as follows:

- (a) Key documents from PR (original and revised):
 - Program work plans and budgets.
 - Monitoring and evaluation plans.
 - Procurement and supply management plans.
 - Program updates and disbursement requests (PU/DR)
 - Results of the PR's annual audit(s).
 - Annual (or enhanced) financial report.
- (b) Additional information received from the PR in response to a request from OC.
- (c) Results of field visits.
- (d) Information / observations / comments received from the Fund Portfolio Manager responsible for the grants for the Lao PDR.
- (e) Global Fund documents:
 - Grant Performance Report (GPR).
 - Grant Score Card.
 - Global Fund management letters.
 - Other correspondence with the GF Secretariat.
- (f) Working meetings with the staff of the PR, SR(s) and LFA.

In Lao PDR the primary oversight data management tool is the grant performance report. The PR is responsible for entering and updating the data available in the grant performance tools for each GFATM grant in Lao PDR. The PR should assign a coordinator – typically someone in their M&E section who will compile or collect the data required for each indicator. They should also organize an in-house PR review of the information, before sending the reports to the CCM Secretariat for archiving and circulating to OC members or members of any Technical Committee or Task Force that have been delegated the responsibility of analyzing information gathered for oversight.

7.2 Analyze Information: Information that has been gathered will be analyzed to identify problems and bottlenecks requiring CCM attention. This analysis process may be conducted during OC meetings or delegated to Technical Committees or Task Forces. The coordinator assigned by the PR has the responsibility of presenting the grant performance report to the OC or the responsible committee. The report should be archived and circulated to CCM members. Analysis of information may be supported or executed through technical expertise that has been recruited to assist by the CCM.

7.3 Recommend Action: Once individual grant performance report and related information have been analyzed the OC may refer technical recommendations to the CCM. In order to avoid confusion recommendations should be cross checked with the PR for consensus before presentation to the CCM. The CCM shall then discuss the problem and its possible solutions, deciding on the action that should be performed to resolve them. Actions might include visits to consult officials, audit, expert review, additional discussion with the PR.

7.4 Report on results: Once the CCM has requested that actions be taken by PRs and SRs to resolve problems, the OC will oversee these efforts and report to the CCM their status and progress. As a result of these actions options will be identified to resolve the problem, and will be reviewed with key stakeholders (including PRs and SRs) during OC meetings and then presented to the CCM for endorsement.

8. Tools for Implementing Grant Oversight

The main tools for implementing the oversight function are:

- Regular Oversight meetings (with external experts if solicited).
- Grant Performance Reports summarizing managerial, financial and programmatic information based on available data and documents.

- Oversight field visits to the implementation sites of the Global Fund grants.

In addition, the OC uses a set of supporting tools provided in the corresponding annexes to plan oversight in Lao PDR.

8.1 Grant Performance Reports

The OC, in close coordination with the CCM Secretariat and the PRs, will make use of grant performance reports to review grant performance, financial indicators, and certain grant management variables on a quarterly basis. The review will encompass all current grants in Lao PDR, and will enable the CCM to follow trends over time, and even compare data between grants.

The PR will be responsible for entering and updating the data available in the grant performance reports and prepare a summary reports. The CCM secretariat will be responsible for sending the summary grant performance reports to the OC or responsible committee for review, comments, and recommendations.

A summary grant performance reports are a tool to support the oversight function of the OC. They substantially reduce the amount of information that the OC members should look through, presenting it in an orderly and highly visualized form, and allowing OC members to make informed decisions based on reliable data. The additional documents requested for submission by the PR are nonetheless necessary and act as a reference for information presented in the summary grant performance reports.

8.2 Oversight Field Visits

CCM field 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 are to:

- Get a sense of program implementation on the ground
- Clarify issues or bottlenecks arising from the oversight reports.
- Seek additional information on specific issues to enable the CCM to make appropriate decisions.
- Verify and validate some of the data reported by the PR.
- Follow-up on CCM decisions.

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

1. CCM oversight field visits may be routine field visits or need-driven, investigative field visits.
 - Routine field visits are periodic visits to PR, SR, or SSR sites in which CCM members have an opportunity to learn about implementation successes and challenges first-hand.
 - In the case of investigative field visits, they are generally based on specific issues identified through the oversight reports prepared by the OC. The CCM determines the need to undertake investigative field visits to gain understanding or resolve the issues identified.

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

2. The CCM should plan and coordinate the field visits with relevant PR(s) and Sub-Recipient(s). The principles of transparency and support underpin every field visit: there will be no surprise visits made by CCM members. 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 CCM. It will also enable the CCM team to avoid potential misunderstanding arising during a field visit that could have been overcome through discussion with the PR at the planning stage. The PR should also provide a favorable environment for the CCM to carry out the field visits.
3. The CCM field visit team should have clear information on program deliverables prior to the visit. The PR should assist in providing this information and in advising on issues that the CCM team should be aware of before proceeding to the field.
4. In preparation for field visits, the PR 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 CCM field team should avoid asking for information that is available from existing information systems – such as from the grant performance reports or PU/DRs – unless the question is for confirmation or validation.
6. Field visit teams should include up to 5 CCM members, and 2 non-CCM members in the form of technical experts or observers. PR should also provide one representative to facilitate the visit. Any member of the CCM can undertake these field visits; however, adherence to the CCM's conflict of interest policy is essential when undertaking oversight activities. The issues identified by the CCM that require investigative oversight should determine the composition of the investigative field visit teams. For instance, a follow-up on financial issues would require different CCM members from a field visit team that would follow-up on procurement issues.
7. CCM 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 CCM familiarization visits. Field visits can also be undertaken using routine monitoring systems to gather information. For instance, PRs might include some CCM members on their regular field visits. Likewise, if a CCM member is visiting an area where there is grant activity for other purposes, he or she may undertake field visits as a CCM member. However, such field visits should always be planned with site staff beforehand to avoid “surprise” visits.
9. After the field visits, the team should draft a short summary report to the CCM and OC, and feedback should also be sent to the visited site. Members should review the reports and make necessary recommendations to the PR and SRs at the next CCM Plenary meeting to resolve the identified problems. OC will oversee these efforts and report to the CCM their status and progress.

9. Work Plans and Budgets

The OC, with the assistance of the CCM secretariat is responsible for developing a transparent and sound CCM work plan, calendar and budget that must be submitted to the CCM for endorsement. The CCM work plan should be developed to reflect all activities planned by the CCM. The Oversight work plan, calendar and budget should be developed by the OC, with the assistance of the CCM secretariat. The CCM work plan and oversight work plan are dynamic and should be reviewed on an annual basis in order to make the necessary changes in accordance with the particular needs of the CCM in Lao PDR, and the requirements, standards and recommendations of the Global Fund. With regards to oversight the required frequency and scheduling of Oversight activities are tailored to the objectives and priorities of the CCM each year. The CCM budget is submitted for approval to the Global Fund Secretariat to obtain expanded funding to carry out CCM activities and oversight activities. The CCM work plan will also follow the CCM funding request. However, oversight activities will be updated regularly or according to PR reporting cycles and presented into an annual calendar.

10. Annexes

Annex 1

OVERSIGHT WORKPLAN FISCAL YEAR 2018-2019

Basic oversight plan is characterized by the following elements:

- **Regularity.** Oversight activities should be conducted on a bi-annually basis. The working plan should provide information on who performs these activities and when oversight will be conducted and completed.
- **Methods.** Oversight plans should be developed, implemented and evaluated in conjunction with the PR(s), include periodic joint field visits, review PR reports (e.g. every CCM meeting), and facilitate technical assistance and programmatic gap analysis.
- **Follow-up.** Procedures to ensure that action items are followed up. Who is responsible to communicate back to the CCM that actionable recommendations have been addressed, and non-actionable ones need to be reformulated?

| Oversight Activities | Method | Frequency | Who Is Responsible? | Reporting | Follow-up action | Notes |
|---|---|---|--|---|--|--|
| <p>1. Gather data on GF grants through use of the grant performance reports and other related reports</p> <p>1.1. Arrange for presentation by PRs on each grant – finance, management, and program performance.</p> <p>1.2. Receive copies of the grant performance and other supporting documentation, if needed.</p> <p>1.3. Monitor and review Global Fund reports – Management Letter and Scorecards and LFA reports.</p> <p>1.4. Review additional national surveys, external reviews evaluations and TA reports.</p> | <p>1.1 OC Meetings</p> <p>1.2 The PR should submit copies of the grant performance reports to the CCM Sec for circulation.</p> <p>1.3 The PR and CCM Sec should circulate GF reports</p> <p>1.4 Whenever necessary.</p> | <p>1.1 Quarterly</p> <p>1.2 Quarterly</p> <p>1.3 Quarterly</p> <p>1.4 Whenever necessary.</p> | <p>1.1 OC/CCM Sec</p> <p>1.2 PR/OC/CCM Sec</p> <p>1.3 PR/CCM Sec</p> <p>1.4 OC/Technical Committee</p> | <p>Once data has been collected it should be analyzed to identify issues/problems/bottlenecks.</p> | <p>It is the responsibility of the CCM Sec to ensure that all documents necessary for oversight are circulated to OC members in a timely manner.</p> | |
| <p>2. Gather information on GF grants through field visits based on PR-SR performance</p> <p>2.1. Develop calendar of visits.</p> <p>2.2. Design or update questionnaire & mini report form for field visits.</p> <p>2.3. Present calendar for validation by CCM.</p> <p>2.4. Organize logistics of field visits.</p> <p>2.5. Carry out field visits according to calendar.</p> <p>2.6. Prepare and present report on the visits to OC and CCM.</p> | <p>2.1 Develop calendar for field visits.</p> <p>2.2 Update the questionnaire (includes annex 4) if required.</p> <p>2.3 The calendar will be presented to the CCM for endorsement.</p> <p>2.4 The CCM Sec should work with the PR/SR to organize the logistics of field visits.</p> <p>2.5 field visits will be carried out as stipulated in the calendar.</p> <p>2.6 The field visit team will prepare a report on the visit.</p> | <p>2.1 Annually</p> <p>2.2 Annually</p> <p>2.3 Annually</p> <p>2.4 Bi-annually</p> <p>2.5 Bi-annually</p> <p>2.6 Bi-annually.</p> | <p>2.1 OC/PR/CCM Sec</p> <p>2.2 Field Visit Team</p> <p>2.3 OC</p> <p>2.4 CCM Sec/PR</p> <p>2.5 CCM Sec/PR</p> <p>2.6 Field Visit Team/CCM sec</p> | <p>Following the visits, the visit team will report their findings to the OC and the CCM plenary.</p> | <p>The CCM will make recommendations for overcoming issues/problems/bottlenecks.</p> | <p>Field visit teams should consist of the necessary technical expertise to update the questionnaire and mini report form.</p> |

| | | | | | | |
|---|---|--|---|---|---|---|
| <p>3. Analyze information based on grant performance reports and other relevant reports</p> <p>3.1. Analyze the individual grant performance report and related information to produce technical recommendations to the CCM.</p> <p>3.2. Invite PR or SR representatives to OC meetings to answer additional questions about specific issues/ problems/ bottlenecks.</p> <p>3.3. Whenever necessary, use a technical expert/ resource person to investigate a problem or perceived bottleneck and report back to the OC.</p> <p>3.4. Develop recommendations to the CCM on action to be taken to resolve the problem or bottleneck.</p> <p>3.5. Produce an Oversight Summary Report to outline the highlights of each grant's results and key recommendations to the CCM meeting</p> <p>3.6. Present oversight summary report at the CCM meetings</p> | <p>3.1 PR representative should present the grant performance report to the OC for analysis.</p> <p>3.2 The CCM Sec will invite PR or SR and all relevant stakeholders to OC meetings.</p> <p>3.3 Once issues/ problems/ bottlenecks have been identified TA can be solicited.</p> <p>3.4 Recommendations will be made by the OC.</p> <p>3.5 Oversight summary report will be prepared by the OC.</p> <p>3.6 The OC should present the oversight summary report to the CCM plenary meeting.</p> | <p>3.1 Bi-annually</p> <p>3.2 Quarterly</p> <p>3.3 Whenever necessary</p> <p>3.4 Whenever necessary</p> <p>3.5 Bi-annually</p> <p>3.6 Bi-annually</p> | <p>3.1 PR/OC.</p> <p>3.2 CCM Sec</p> <p>3.3 TA</p> <p>3.4 OC</p> <p>3.5 OC</p> <p>3.6 OC</p> | <p>The relevant issues/problems/ bottlenecks will be reported to the CCM during a plenary meeting for discussion. Oversight Summary report and recommendations must be cross checked with the PR for consensus before presentation.</p> | | <p>Visits to officials from ministries, agencies, or other partners involved in issues, bottlenecks, and problems can only be solicited following thorough analysis, as weak analysis will lead to unnecessary confusion, and misunderstanding.</p> |
| <p>4. Report the progress and issues regarding to Global Fund grants to CCM and its committees for their consideration and decision.</p> <p>4.1. In the case of urgent problems, call for an extraordinary CCM or ExCom meeting.</p> <p>4.2. CCM shall discuss the problem and solutions, deciding on the action to be taken.</p> <p>4.3. CCM shall delegate to the action to be implemented by the PR/SR within the approved work plan. If these actions fall outside the approved work plan then additional resources should be sought.</p> <p>4.4. CCM may request additional investigations OC, or other individuals authority to pursue an agreed upon solution, or corrective of problems, and mobilize additional support for this purpose.</p> <p>4.5. Communicate with the LFA regarding issues or problems, if requested by the CCM.</p> <p>4.6. CCM shall review the status of the problem as "Follow-Up Action" at the subsequent CCM meeting.</p> | <p>4.1 The CCM Sec will invite participants to attend Extraordinary CCM or ExCom meetings</p> <p>4.2 CCM Meetings</p> <p>4.3 CCM Meetings</p> <p>4.4 CCM Meetings</p> <p>4.5 The CCM Sec will communicate with the LFA on behalf of the CCM.</p> <p>4.6 CCM Meeting.</p> | <p>4.1 Extraordinary CCM or ExCom Meetings</p> <p>4.2 Quarterly</p> <p>4.3 Quarterly</p> <p>4.4 Quarterly</p> <p>4.5 Whenever necessary</p> <p>4.6 Quarterly</p> | <p>4.1 CCM Sec</p> <p>4.2 CCM</p> <p>4.3 CCM</p> <p>4.4 CCM</p> <p>4.5 CCM Sec</p> <p>4.6 CCM</p> | <p>The CCM Sec is responsible for circulating the meeting minutes from all CCM meetings.</p> | <p>The status of any issues/problems/ bottlenecks will be reviewed as follow-up action at the subsequent CCM meeting.</p> | |
| <p>5. Document all CCM activities and reports to CCM, PR, GF and partners on performance</p> | <p>5.1 Document all CCM activities and reports to CCM, PRs, GF and partners</p> | <p>Quarterly /When required</p> | <p>OC/CCM Sec</p> | <p>The CCM Sec will report back to the</p> | | |

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|-----------------------------------|--|--|--|--|--|--|
| <p>and decision taken.</p> | <p>(including translation key documents). 5.2 Regular update CCM website and GF Partner Portal (including website server and TA costs) 5.3 Regularly communicate through email to CCM, its committees and partners for following up GF activities, sharing and requesting information to support oversee and grant implementation.</p> | | | <p>CCM/OC if any follow up action taken.</p> | | |
|-----------------------------------|--|--|--|--|--|--|

Annex 2: Oversight Activities Timeline from 1 October 2019 – 31 December 2020

| No. | Activities Description | Activities | Document Required | Responsible | Oct 2019 | Nov 2019 | Dec 2019 | Jan 2020 | Feb 2020 | Mar 2020 | Apr 2020 | May 2020 | Jun 2020 | Jul 2020 | Aug 2020 | Sep 2020 | Oct 2020 | Nov 2020 | Dec 2020 | |
|-----|---|---|---|-------------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|--|
| 1 | Gather data on GF grants through use of the grant performance reports and other related reports | Collect and circulate the Grant Performance Report (GPR) and other related reports | GPR (including PU/DR, management letter) and others | PR/CCM Sec | | | | | | | | | | | | | | | | |
| 2 | Gather information on GF grants through field visits based on PR-SR performance | Conduct oversight field visit | Field Visit Report. | OC/CCM Sec | | | | | | | | | | | | | | | | |
| 3 | Analyze information based on grant performance reports and other related reports | Analyze data and information for preparing oversight report | Oversight Report | OC/CCM Sec | | | | | | | | | | | | | | | | |
| 4 | Report the progress and issues regarding the Global Fund grants to CCM and its committees for their consideration and decision. | Organize CCM plenary meetings | Meeting Minutes | CCM/CCM Sec | | | | | | | | | | | | | | | | |
| | | Organize Oversight Committee (OC) meetings | Meeting Minutes | OC/CCM Sec | | | | | | | | | | | | | | | | |
| | | Organize Resource Mobilization Committee (RMC) meetings (more meetings during preparation of new funding request) | Meeting Minutes | RMC/CCM Sec | | | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | |
|---|--|--|-------------------------------------|----------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| | | Organize Executive Committee (ExCom) meetings (when needed for reviewing and deciding on urgent issues) | Meeting Minutes | Ex-Com/CCM Sec | | | | | | | | | | | | | | | |
| | | Support co-funding for CSO Coordinating committee meetings to prepare a meaningful participation in the CCM meeting. | Meeting Minutes | CSO CC | | | | | | | | | | | | | | | |
| 5 | Document all CCM activities and report to CCM, PR, GF and partners on performance and decisions taken. | Document all CCM activities and reports to CCM, PR, GF and partners (including translation key documents) | Reports, meeting minutes | OC/CCM Sec | | | | | | | | | | | | | | | |
| | | Regularly update CCM website and GF Partner Portal (including website server and TA costs) | Reports, meeting minutes, documents | CCM Sec | | | | | | | | | | | | | | | |
| | | Regularly communicate through email to CCM, its committees and partners for following up GF activities, sharing and requesting information to support oversee and grant implementation | Reports, meeting minutes, documents | CCM Sec | | | | | | | | | | | | | | | |

Annex 3: CCM Oversight Budget for a period of 1 October 2019 – 31 December 2020 (in USD)

| No. | Description of Activities | Oversight Activity | Q 1 | | Q2 | | Q3 | | Q4 | | Q5 | | Total | | |
|-----|---|--|----------------|--------------|----------------|--------------|----------------|--------------|----------------|--------------|----------------|--------------|----------|--------------|--------|
| | | | (Oct-Dec 2019) | | (Jan-Mar 2019) | | (Apr-Jun 2019) | | (Jul-Sep 2019) | | (Oct-Dec 2020) | | Quantity | Total Amount | |
| | | | Quantity | Total Amount | Quantity | Total Amount | Quantity | Total Amount | Quantity | Total Amount | Quantity | Total Amount | | | |
| 1 | Gather data on GF grants through use of the grant performance reports and other related reports | Collect and circulate the Grant Performance Report (GPR) and other related reports | 1 | | 1 | | 1 | | 1 | | 1 | | 5 | | |
| 2 | Gather information on GF grants through field visits based on PR-SR performance | Conduct oversight field visits | | | 1 | 1,758.79 | | | | | 1 | 1,758.79 | 2 | 3,517.58 | |
| 3 | Analyze information based on grant performance reports and other related reports | Analyze data and information for preparing oversight reports | 1 | | 1 | | 1 | | 1 | | 1 | | 5 | - | |
| 4 | Report the progress and issues regarding the Global Fund grants to CCM and its committees for their consideration | Organize CCM plenary meetings | 1 | 1,043.00 | 1 | 1,043.00 | 1 | 1,043.00 | 1 | 1,043.00 | 1 | 1,043.00 | 5 | 5,215.00 | |
| | | Organize Oversight Committee (OC) Meetings | 1 | 78.71 | 1 | 78.71 | 1 | 78.71 | 1 | 78.71 | 1 | 78.71 | 5 | 393.55 | |
| | | Organize Resource Mobilization Committee (RMC) Meetings (more often during preparation of new funding request) | 1 | 78.71 | 2 | 157.42 | | | | | | | | 3 | 236.13 |
| | | Organize Ex-Com Meeting (when needed for reviewing and deciding on urgent issues) | 1 | 68.44 | 1 | 68.44 | 1 | 68.44 | 1 | 68.44 | 1 | 68.44 | 5 | 342.20 | |

| | | | | | | | | | | | | | | |
|--------------|---|--|------------------|------------------|------------------|------------------|------------------|------------------|---|----------|---|----------|----|-----------|
| | | Support co-funding for CSO Coordinating Committee meeting (to prepare a meaningful participation in the CCM meeting) | 1 | 500.00 | 1 | 500.00 | 1 | 500.00 | 1 | 500.00 | 1 | 500.00 | 5 | 2,500.00 |
| 5 | Document all CCM activities and report to CCM, PR, GF and partners on performance and decisions taken | Document all CCM activities and reports to CCM, PRs, GF and partners (including translation key documents) | 3 | 274.58 | 3 | 274.59 | 3 | 274.59 | 3 | 274.59 | 3 | 274.59 | 15 | 1,372.94 |
| | | Regularly update CCM website and GF Partner Portal (including website server and TA costs) | 3 | 900.00 | 3 | 900.00 | 3 | 900.00 | 3 | 900.00 | 3 | 1,071.60 | 15 | 4,671.60 |
| | | Regularly communicate through email to CCM, its committees and partners for following up GF activities, sharing and requesting information to support oversee and grant implementation | | | | | | | | | | | | |
| 6 | CCM Secretariat function | Full-time secretariat staff: Coordinator and Finance Officer | 3 | 3,450.00 | 3 | 3,450.00 | 3 | 3,450.00 | 3 | 3,450.00 | 3 | 3,450.00 | 15 | 17,250.00 |
| | | Full-time secretariat staff: Administrative and Accounting Officer | 3 | 3,000.00 | 3 | 3,000.00 | 3 | 3,000.00 | 3 | 3,000.00 | 3 | 3,000.00 | 15 | 15,000.00 |
| | | Full-time Technical Adviser to support overall function and supervision of the CCM Secretariat | 3 | 6,000.00 | 3 | 6,000.00 | 3 | 6,000.00 | 3 | 6,000.00 | 3 | 6,000.00 | 3 | 30,000.00 |
| | | Office maintenance and supplies | 3 | 1,585.00 | 3 | 1,585.00 | 3 | 1,585.00 | 3 | 1,585.00 | 3 | 1,585.00 | 15 | 7,925.00 |
| Total | | | 16,978.44 | 18,815.95 | 16,899.74 | 16,899.74 | 18,830.13 | 88,424.00 | | | | | | |

QUESTIONNAIRE FORM

For collecting data when conducting an Oversight Field Visit Of the Global Fund Grants to Fight AIDS, Tuberculosis and Malaria (GFATM)

The Oversight Field Visit (OFV) focuses on macro level program management issues. Providing oversight is a core responsibility of the CCM. CCM members as part of the oversight process should conduct an Oversight field visit (Quarterly). The OFV team should report findings, observations and recommendations to the Oversight Committees, which will full report at next CCM meeting.

The questionnaire form is being applied as a guide for overall seeking and collecting data when carrying out grants oversight of the implementation of the Global fund to figth AIDS, Tuberculosis and Malaria at Provincial, District and Health Center level as defined in the workplan, and focusing in five key indicators: Finance, procurement and supply, programmatic, reporting and perfomance:

1. **Finance:** Assuring appropriate, timely, and effective use of funding from the Global Fund;
2. **Procurement:** Assuring timely and appropriate provision of drugs, bed nest, laboratory and other supplies;
3. **Programmatic:** Assuring timely and effective implementation of principal and sub-recipient workplans;
4. **Reporting:** Assuring timely, accurately and completely submission of reports
5. **Performance:** Assuring the achievement of intended results in short and intermediate term periods.

The key questionnaires for data collection of each indicator as follow:

1. Finance:

- 1.1 How much disbursement request amount was received last year?
- 1.2 How many sub-recipients received the funds?
- 1.3 Did Funds receive on time? If not, please specify
- 1.4 Funds amount was fully received as requested or not?
- 1.5 How the funds disbursement was received? cash or through bank transfer?
- 1.6 Have the funds been transferred through an appropriate system? If not, please specify
- 1.7 Have the funds been spent for project activities implementation as planned? If not, please specify
- 1.8 Were the funds sufficiently received accordingly to the scope of work?
- 1.9 Have you received support from other donors than the Global Fund? Please specify.
- 1.10 Any additional comments, suggestions or questions from the team members.

2. Procurement:

- 2.1 Who did procure and provide the drugs and medical supplies?
- 2.2 Have the drugs and medical supplies completely received as defined in procurement plan or not?
- 2.3 Have the drugs and medical supplies entirely distributed to target population?
- 2.4 Are the drugs and medical supplies still applicable? Are any of those drugs expired?
- 2.5 Are there any drugs and medical supplies out of stock?
- 2.6 Are the office equipment and vehicles sufficient to support the projects activities implementation?
- 2.7 Any additional comments, suggestions or questions from the team members.

3. Programmatic:

- 3.1 Are the activities implementation carried out in accordance with the approved schedule? If not achieved please explain the reasons
- 3.2 Have the implemented activities achieved the set indicators? If not, please specify.
- 3.3 How many project staff? Are those project staff sufficient for the actual work?
- 3.4 Have the staff been trained? What courses have they taken?
- 3.5 Any additional comments, suggestions or questions from the team members.

4. Reporting:

- 4.1 How was both narrative and financial reports submitted to the PR? (on time, accurately and completely?)
- 4.2 What system has been used to submit the report? Please describe the processes.
- 4.3 What kind of IT equipment have been used in reporting system? Are those IT equipment sufficient or not?
- 4.4 Any additional comments, suggestions or questions from the team members.

5. Performance:

- 5.1 Are the funds completely spent on target activities as defined in the grant agreement with the Global Fund?
- 5.2 Are the target indicators achieved?If not, please provide details.
- 5.3 Have the health care services been improved?
- 5.4 Have the demands for health care services been increased?
- 5.5 Has the number of people receiving treatment increased? and how many cases increased?
- 5.6 Is there any technical documents used as a reference, such as SOP, manuals, guidelines? Please name documents.
- 5.7 Any additional comments, suggestions or questions from the team members.



LAO PEOPLE'S DEMOCRATIC REPUBLIC
Peace Independence Democracy Unity Prosperity

Ministry of Health
Country Coordinating Mechanism
Global Fund to Fight AIDS, Tuberculosis and Malaria

Report of Oversight Field Visit
Global Fund to Fight AIDS, Tuberculosis and Malaria
Province....., Date/...../.....

I. Introduction

According to the annual oversight plan, the oversight committee and relevant stakeholders will conduct an oversight field visit to oversee the project's activities implementation which supported by the Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) at Provincial, District and Health Center levels on a biannual basis. This field visit mission was conducted in Province from The objectives of the field visit are to oversee the implementation of the project and find out the strength, weakness and challenges. In the meantime, to tackle the weakness and enhance the strength, and overcome the challenges in order to make the Global Fund's projects are smoothly implemented and achieved as planned by focusing on five key areas such as finance, procurement, implementation, reporting and results (output/ outcome).

II. Target Sites

The sites of monitoring and supervision are:

1.;
2.;
3.;
4.;
5.;

III. Participants

The oversight committee and relevant stakeholders are involved in this mission as follows:

1.;
2.;
3.;
4.;
5.;

IV. Findings of the oversight field visit

The oversight field visit team has summarized the findings with recommendations to rectify issues related to these three diseases, in order to be consistent with project's activities implementation in the future (see table below).

Summary of overall key progress and issues

1. Key Progress

Generally:
1.; ;
2.; ;
3.; ;
4.; ;

HIV/AIDS
1.; ;
2.; ;
3.; ;
4.; ;
5.; ;

Tuberculosis:
1.; ;
2.; ;
3.; ;
4.; ;
5.; ;

Malaria:
1.; ;
2.; ;
3.; ;
4.; ;
5.; ;

2. Key Issues

Generally:
1.; ;
2.; ;
3.; ;

HIV/AIDS:
1.; ;
2.; ;
3.; ;
4.; ;
5.; ;

Tuberculosis:
1.; ;
2.; ;
3.; ;
4.; ;
5.; ;

Malaria:
1.; ;

| |
|--|
| 2.; |
| 3.; |
| 4.; |
| 5.; |
| 3. Propose from province, district and health centers |
| 1.; |
| 2.; |
| 3.; |
| 4.; |
| 5.; |
| 4. Recommendation/Solution of OFV Team |
| Generally: |
| 1.; |
| 2.; |
| 3.; |
| 4.; |
| 5.; |
| HIV/AIDS: |
| 1.; |
| 2.; |
| 3.; |
| 4.; |
| 5.; |
| Tuberculosis: |
| 1.; |
| 2.; |
| 3.; |
| 4.; |
| 5.; |
| Malaria: No specific recommendation. |

Oversight field visit team of the Country Coordinating Mechanism of Global Fund to Fight HIV/AIDS, Tuberculosis and Malaria would like to express our sincere thanks to the leaders of Provincial Health Department, TB and HIV Units of Provincial Hospital, District Health Offices of and Districts, and Health Centers of District, and Health Centers of District as well as all related officials who participated in this field visit, thank you for your hospitality and cooperation to completely carry out this oversight field visit.

Team Leader of OFV

Reporter