

Final

Consolidated Oversight committee plan of Afghan Country Coordinating Mechanism
ACCM for the period of (2016)

Initiated: By the oversight committee with support of CCM Secretariat

Objective of the plan:

This document outlines how the oversight committee of Afghan Country Coordinating Mechanism will perform its oversight function and role, with particular emphasis and follow-up approaches on the oversight of the Global Fund grant implementation.

1: Introduction:

The Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) requires Country Coordinating Mechanisms (CCMs) to have clear operational procedures and guidelines to implement the basic functions of the CCM. This document should serve as an operational plan defining the mechanisms that the CCM of Afghanistan should use while overseeing the implementation of GFATM grants. The plan defines basic principles, roles and responsibilities of the CCM 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 Global Fund. The Oversight Plan is approved by the oversight committee of Afghanistan Country Coordination Mechanism (ACCM) at a general meeting of the committee. In addition, the Oversight Committee (OC) develops an annual work plan, calendar and budget for oversight activities, which are approved at an ACCM general meeting. The oversight budget is a constituent part of the overall budget submitted for approval to the Global Fund by the Secretariat to obtain expanded funding to carry out oversight activities.

2: Oversight Function:

CCMs should operate on principles of good governance, in a transparent and accountable manner. Oversight is the key principle of good governance. Through CCM oversight, PRs and SRs are held accountable to all country stakeholders.

According to the Guidelines and Requirements for Country Coordinating Mechanisms, providing oversight to concept note development, grant negotiation, grant implementation and grant closure are considered essential functions of the CCM. In fact, oversight is one of 6 requirements determined by the Global Fund to be minimum criteria that **All** CCMs must meet in order to be eligible for funding by the Global Fund (See Requirement 3 of the new Guidelines¹

Requirement 3:

Recognizing the importance of **oversight**, the Global Fund **requires** all CCMs 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 CCM will engage 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.

CCMs oversee the performance of principal recipients (PRs) and now sub-recipients (SRs) 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 and SRs, ensuring policies and procedures are met, instituting financial controls (including independent audits), and following through on key recommendations.

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. While the ACCM is ultimately responsible for the success or failure of procuring funds and ensuring their proper implementation, the Global Fund recognizes that all entities (ACCM, 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 ACCM oversight committee has access to the information they need to conduct oversight.

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

The ACCM oversight committee, PR and SRs have complementary roles. The ACCM oversight committee 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 ACCM oversight committee is responsible for understanding grant implementation at the macro level, but does not need to immerse it-self in the micro details, which is the responsibility of the PR.

Since oversight focuses on the macro level, the ACCM oversight committee 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?

The ACCM's authority in terms of overseeing implementation of GF grants is defined by the governing documents of the GF, specifically, in the "Guidance Paper on ACCM Oversight". Also, a 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. These articles include:

- i. **Article 7a:** the ACCM oversees the implementation of programs financed by the Global Fund.
- ii. **Article 7b:** PRs are legally obligated to cooperate with CCMs and to be available to meet with them regularly to discuss plans, share information and communicate on program-related matters. PRs are also legally obligated to provide program-related reports and information to CCMs upon request.
- iii. **Article 15:** PRs are legally obligated to provide CCMs with a copy of periodic reports submitted to the Global Fund.
- iv. **Article 23:** The CCM makes the decision to change PRs.
- v. **Article 25:** PRs are legally obligated to copy CCMs on all notices, requests, documents, reports or other communication exchanges with the Global Fund Secretariat.
- vi. **Article 28b:** The PR implements programs on behalf of the CCM.

In this context, oversight should be understood as a set of systematic and coordinated steps taken by the ACCM oversight committee to support and guide implementation by the PR(s) 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 and SR weaknesses and resolve the problems hindering grants implementation. Oversight activities are synchronized with submission of PU/DRs by the PR (s) to the Secretariat of the Global Fund through the Local Fund Agent. Prior to submission to the Global Fund, the PR(s) should submit the PU/DR to the Oversight committee for review. After the LFA conducts their verification for the PU/DR, the LFA debriefs the PR(s). The PR(s) should invite a representative from the Oversight Committee to the debriefing.

4. Oversight areas:

Oversight extends from preparation of the country concept note to grant closure after its implementation. The ACCM oversight committee should have a comprehensive oversight strategy and ensure the oversight activities are covered in the work - plan (including timeframe and budget) in accordance with their regular frequency. The areas of oversight are:

- **Concept Note Development:** As part of the requirements for funding eligibility, the ACCM oversight committee must ensure that a wide range of stakeholders, not only ACCM members, participate in the concept note development and oversight process.
 - **Grant Negotiation:** The ACCM oversight committee 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 concept note.
 - **Grant Implementation:** This is the biggest portion of the oversight activities conducted by the ACCM oversight committee and, ideally, it should be provided on a quarterly basis. All ACCM members and oversight committee members should know what key grant implementation achievements, issues and problems exist. They should have a clear plan with the PR and SRs for following-up problem resolutions. The ACCM should receive from the PR copies of all disbursement requests, quarterly reports, annual budgets and work plans, monitoring and evaluation plans, management letters, the annual PR audit and any other audits performed. At this stage the ACCM should use available tools and instruments (including site visits) for successful oversight provision and work cooperatively with the PRs and SRs to make the programs work, by approving major changes (including change of a PR, if necessary²), and facilitating adequate technical assistance to address program challenges and bottlenecks.
 - **Donor Coordination and Alignment with Health Systems:** The ACCM should find every possible way to use or build onto pre-existing oversight plan in order to avoid duplication of efforts.
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- **Grant Closure:** The oversight role of the ACCM during grant implementation continues during the grant closure period. The same level of rigor and oversight is required since the ACCM is responsible for endorsing the Close-Out Plan and Close-Out Budget, including the PR's plan for distribution or disposal of program assets.

5: TOR of Oversight Committee:

Composition of the Oversight Committee:

- a) The Oversight Committee shall consist of a Chair, a Vice-Chair and between 7-10 Members appointed by the CCM and drawn from within and outside of the CCM. Up to 40% of the Oversight Committee can consist of non-CCM members
- b) The Chair and the Vice-Chair shall be members of the CCM. While non-CCM members may vote in the Oversight Committee, they do not have any voting rights in the full CCM.
- c) Oversight Committee members should not be representatives of any of the organizations or institutions that include the PRs or SRs. However, the Oversight Committee may invite representatives of the PRs and SRs and other implementing partners and stakeholders to attend its regular meetings to provide information, feedback, and expertise. Special attention will be paid to include people living with and/or affected by the diseases as members/or to obtain feedback on PR/SR performance.
- d) The Oversight Committee may co-opt or engage resource persons on an ad hoc basis from time to time, according to necessary skills and experience. (TOR will be prepared each time a resource persons is engaged to ensure focused delivery and value add to oversight process)

Composition of CCM Oversight Committee, established on Feb 2nd, 2011, which is subsequently re-structured on mid- 2014.

6: Responsibilities of the Oversight Committee:

The Oversight Committee shall be responsible for providing financial, managerial, and programmatic oversight of the Global Fund grants, according to the functions delegated to it by the Afghan CCM. In particular, the Oversight Committee shall attempt to monitor:

- a) Appropriate and timely use of finances; (systems ensuring transparency and accountability as well as appropriate use). PRs should ensure to use dashboard and provide its summary to the oversight committee since utilization of dashboard by PRs will further benefit the oversight committee in tracking of the grant implementation.

- b) Appropriate and timely completion of procurement; and issues related to supply chain management, timely delivery and managing stock-outs etc.
- c) effective implementation of programs through multi-sectoral partnerships of PRs and SRs;
- d) effective management of the grants by the PR(s) and timely reporting (accurate, according to plan, complete and on time)
- e) Achievement of performance targets (according to the approved performance framework)
- f) Identify potential areas of technical assistance (with support of CCM leadership and donors)

7: Duties of the Oversight Committee:

- a) On a quarterly basis, the Oversight Committee will review:
 - 1. The performance of the Principal Recipient,
 - 2. The timely execution of the work plan, and
 - 3. The technical results compared to quarterly and annual targets.
 - 4. Ensure technical quality and standards are met.
- b) The Oversight Committee will help improve grant performance by the PR by:
 - 1. Identifying problems and bottlenecks hindering implementation,
 - 2. Helping the PR define solutions, and
 - 3. Helping implement solutions where the PR does not have sufficient authority or capacity alone.
- c) The Oversight Committee will provide inputs into concept notes development and grant negotiation as and when required by the CCM.
- d) The Oversight Committee will report directly to the Executive Committee

8: Powers of the Oversight Committee:

- a) The Oversight Committee is empowered to deliberate and make recommendations on all oversight issues or on any matter referred to it by the CCM.
- b) All recommendations made by the Oversight Committee shall be tabled at the following meeting of the CCM Executive committee or CCM.
- c) Prior to making a decision in relation to matters tabled by the Oversight Committee, the CCM Executive committee or CCM may request further information from the Oversight Committee, or refer the matter back to the Oversight Committee for further deliberation.

9: Indicative Activities of oversight committee (OC)

9.1. Establish/strengthen oversight committee (OC) and carry out oversight functions

- a) Select members of Oversight Committee (from CCM, technical experts and representatives from NGOs and members of the community living with or affected by the disease)
- b) Develop an annual oversight work plan (including budget) to implement oversight activities of all GF grants.
- c) Identify technical experts to assist Oversight Committee as required (with the support of CCM and donors)
- d) Provide orientation for Oversight Committee members as well orienting CCM members on oversight functions (based on the CCM secretariat approved budget and plan)

9. 2. Oversight will analyze existing GF grants being implemented in Afghanistan.

- a) Review reports prepared for GF/LFA by PRs on a quarterly/annual basis.
- b) PRs should ensure that PUDR and Enhanced Financial Report (EFR) are shared with the CCM, Executive Committee and OS Committee of the CCM.
- c) Conduct an analysis of grant agreements including work plans, budgets, objectives and targets.
- d) If the summary report indicates poor performance or specific problems, determine the problem and identify the efforts made by the PR to date to resolve the problem.
- e) During CCM and CCM Executive Committee meetings, explain any issues, problems, bottlenecks that may have been identified and which require CCM attention.
- f) Organize meetings with senior officials from ministries/other partners including NGOs and members of the community living with or affected by the disease to resolve the identified issues.
- g) Ensure that summary reports of the above are developed on quarterly for CCM members.
- h) The Oversight Committee will provide inputs into the concept notes development process and grant negotiation as and when required by the CCM and the Global Fund.

9. 3. Oversight of GF grants through site visits and PR-SR performance review meetings

- a) Revise the oversight check-list for site visits for all programs (TB, Malaria, and HIV/AIDS) + HSS of GF with considering adding part in check-list for community interview.
- b) Finalize calendar for site visits to program implementation sites with PRs and programs with support and direct involvement of CCM Secretariat staff.
- c) Request assistance from the Secretariat to organize and support technical and logistics of site visits.
- d) Carry out site visits according to calendar with support of CCM Secretariat.

- e) Prepare and present report on visits, refer issues for follow up to the PRs, Programs through a coordination joint approach for corrective actions , and the corrective actions should be presented to the Executive committee and CCM with a specify deadline.
- f) Invite PRs to present to the Oversight Committee to brief on progress and to clarify questions that arise in reviewing documentation and through site visits.
- g) Compare the actual plan of PRs and programs implementers with the actual performances; identify the gaps and recommend solutions with the support of CCM members in general and CCM leadership in particular.

9. 4. Gather information on GF grants through investigation of specific issues/problems

- a) Invite PR or SR representatives to Oversight Committee meetings to answer questions or make oral presentations about grant progress or problems.
- b) Use technical experts if required to analyse the issue and provide recommendations to the Oversight Committee.
- c) Organize meetings with senior officials from ministries/other partners to resolve the identified issues.
- d) Communicate with the LFA regarding issues or problems.
- e) Invite LFA to attend Oversight committee meetings, as and when required by OS committee.

9. 5. Take action to resolve problems and bottlenecks requiring CCM Executive committee or CCM attention

- a) In the case of urgent problems, call for an exceptional CCM Executive or CCM meeting.
- b) Develop options and/or recommendations to the CCM Executive committee and CCM on action to be taken to resolve the problem.
- c) The Executive Committee and CCM shall discuss the problems and solutions, deciding on the action to be taken.
- d) CCM Executive committee or CCM shall review the status of the problem at the subsequent CCM Executive or CCM meetings.

9. 6. Build capacity of CCM and oversight committee members on oversight functions.

- a) Develop capacity of CCM, oversight committee members and CCM Secretariat staff on various issues including procurement, financial management and programmatic issues. Utilization of dashboard by PRs and provision of training on dashboard for oversight members will further benefit the oversight committee in tracking of the grant implementation.
- b) Examine experiences of CCMs in other countries in carrying out the oversight functions and adopt good practices suitable for Afghanistan.

- c) Develop capacity of oversight committee members and CCM Secretariat staff on various tools to be used for overseeing of the grant implementation and reporting system.

C. Oversight Plan for Afghanistan CCM Oversight Committee (2015)

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Function				Q1			Q2			Q3			Q4		
Sl no	Activity	Outputs	Responsible person/ and meeting deliverables	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
3	Internal coordination meetings between programs, PRs and CCM Oversight committee (TB, HIV/AIDS, Malaria and HSS)	In order to strengthen the coordination mechanism between programs (TB, HIV/AIDS, Malaria and HSS), PRs and CCM oversight committee, they will meet twice in a quarter to be aware of the progress and challenges of The Global Fund grant management/implementation on (TB, HIV/AIDS , Malaria) and HSS and make timely corrective actions for findings of oversight committee from the site visits. 50% of the time will be allocated for specific meeting of oversight committee + Secretariat with each program and PR quarterly to review the program performance against the QTR work plan, challenges and present to the CCM Executive committee and CCM leadership to overcome the Challenges.	Oversight committee chair and members / the minutes of Internal coordination meetings is deliverable												

Note: All the oversight committee activities of Afghan country coordinating mechanism (ACCM) will be carried out according to the approved performance framework, and will be covered from the approved budget of CCM by the Global Fund for the period of (2015-2016). The Oversight activities plan for 2016 has been reflected to the upper part of the plan, based on the approved performance framework and budget for 2016, if required with some revision after join consensus of oversight committee members.