

Albania Country Coordinating mechanism (CCM) Oversight Manual and Plan

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Introduction

This Plan has been prepared by the CCM Albania through its Oversight Committee to provide a guideline and a framework for overseeing the implementation of Global Fund grants by Principal Recipients and Sub Recipients.

Definition and Rationale

Oversight is a key function of the CCM. Therefore oversight requires the carrying out of a coordinated set of activities to support and ensure that grant activities are implemented as planned, and that issues and bottlenecks in grant implementation are identified and resolved.

Oversight should result in providing strategic direction by the CCM to the Principal Recipients, as well as consistent follow-through to ensure that implementing agencies comply with oversight recommendations and requested corrective actions.

Oversight by the CCM is a minimum eligibility requirement (*Requirement 3 as per Guidelines & requirements for Country Coordinating Mechanisms*) for receipt of funding from the Global Fund. Specifically, the Global Fund requires that CCMs must “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.”

Principles of CCM Oversight

The Global Fund identifies several core principles with respect to the requirement of CCM’s conducting oversight:

1. “CCMs oversee the performance of PRs to ensure that they will achieve the agreed targets of the programs they are implementing.
2. The oversight role of the CCM is important to mitigate risk and implementation bottlenecks.
3. Through CCM oversight, PRs are held accountable to all country stakeholders.”¹

The framework for this Oversight Plan is based on the above core principles and linked guidelines indicated below:

1. **Oversight is a national responsibility.** As stated in the Global Fund’s *Guidance Paper on CCM Oversight*, “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”.² CCM Albania bears the responsibility for the overall coordination of Global Fund grants within the country.
2. **Oversight is different from Monitoring and Evaluation.** Monitoring and evaluation activities focus on detailed program implementation activities, which are responsibilities of Principal Recipients and other implementing agencies. In contrast, the oversight focus is on the “big picture” of grant implementation. It scans across grants to identify crosscutting issues, and the emphasis is on identifying and resolving matters threatening successful grant performance.
3. **Oversight focuses on several key areas.** Oversight typically focuses on several key questions that are at the core of effective grant implementation:
 - Where is the money?

¹Guidance Note: *CCM Requirements*, Global Fund, June 2011

²Guidance Paper on *CCM Oversight*, Global Fund, page 2

- Where are the drugs, medical supplies and equipment?
- Are Sub Recipients receiving required resources and technical assistance as planned?
- Are the grants being implemented as planned?
- What are the bottlenecks to grant implementation and how can they be resolved?
- Is reprogramming of activities necessary to meet evolving country needs?
- Are the results meeting the performance targets?

4. **Oversight is cyclical.** Oversight follows reporting cycles to review the performance of Principal Recipients as program managers, the timely execution of work plans, and technical results compared to six-monthly and annual targets.

Authority of CCM Albania to oversee Global Fund implementation by Principal Recipients: The core principles above emphasize that the Global Fund requires CCM Albania must hold Principal Recipients accountable for resources given to the country: “CCMs oversee the performance of PRs to ensure that they will achieve the agreed targets of the programs they are implementing. Through CCM oversight, PRs are held accountable to all country stakeholders.”³

Similarly, Article 7 (b) of the Global Fund agreement with each Principal Recipient requires that it “The Principal Recipient shall cooperate with the CCM and the Global Fund to accomplish the purpose of this Agreement.....The Principal Recipient shall provide to the CCM, upon request of the CCM, a copy of reports and material information relating to the Program for information purposes.”⁴

Standards for Oversight

The Global Fund has identified a number of “standards that represent important criteria considered vital for effective CCM performance based on accumulated experience.”⁵ These standards are not conditions for Global Fund financing, however they are used by the Global Fund as part of the appraisal of overall CCM performance. The two standards relevant to oversight are as follows:

- i. “CCMs should ensure that program activities contribute to the elimination of stigma and discrimination against those living with and affected by the three diseases, especially populations that are marginalized or criminalized.
- ii. Every CCM should have a communication strategy agreed with its PRs, detailing communication activities throughout the grant lifecycle, and including scheduled financial and programmatic updates to the CCM on PR and SR performance.”⁶

CCM Albania Oversight Committee

Oversight is a core responsibility of the CCM. As a result, all CCM Members have a responsibility for participating in and supporting oversight activities. However, to facilitate effective performance of this role, the CCM has established a standing Oversight Committee “to deliberate and make recommendations on all oversight issues in accordance with (its) Terms of Reference and its work plan, or on any matter referred to it by the CCM Albania.”⁷

General Responsibilities. The CCM Oversight Committee is responsible for providing oversight to existing Global Fund grants in Albania in three areas:

- Financial – assuring appropriate, timely, and effective use of funding from the Global Fund;

³ *Guidelines and Requirements for Country Coordinating Mechanism*, Clause 28, Global Fund, May 2011

⁴ Global Fund and Principal Recipient Grant Agreement, Article 7 (b).

⁵ *Guidelines and Requirements for Country Coordinating Mechanisms*. Global Fund, May 2011

⁶ *Ibid*, Clause 33.

⁷ *CCM Albania Governance Manual, Annex 2 Terms of Reference of Oversight Committee* (to write)

- Programmatic – assuring timely and effective implementation of Principal and Sub Recipient work plans;
- Performance – assuring the achievement of intended results in short- and intermediate-term periods.

These responsibilities relate to all areas of grant implementation:

- All phases/stages of implementation;
- Major changes in grants, including changes in scopes of work, grant performance framework indicators, reprogramming and changes in the designation of implementing partners;
- Grant closure, including the review and endorsement of any close-out plans (e.g., distributing and disposing of program assets) and budgets.

CCM Governance Manual Responsibilities. The CCM Albania Governance Manual includes the Oversight Committee Terms of Reference, reproduced in **Annex 1** of this Plan, and described as follows:

- i. *The Oversight Committee is empowered to deliberate and make recommendations on all oversight issues in accordance with these Terms of Reference and its work plan, or on any matter referred to it by the CCM Albania.*
- ii. *The Oversight Committee shall table all recommendations at the next meeting of the CCM Albania following the making of the recommendations.*
- iii. *In consultation with the CCM Albania, the Oversight Committee shall lead or contribute to the following oversight processes:*
 - a. *Grant implementation;*
 - b. *Periodic Reviews*
 - c. *Grant End assessment;*
 - d. *Donor coordination and alignment with health systems;*
 - e. *Grant closure.*
- iv. *The Oversight Committee shall ensure that it performs its oversight functions in relation to the following areas associated with Global Fund financed programs and activities in Albania:*
 - a. *Finance, including tax exemption,*
 - b. *Grant management by the PR;*
 - c. *Procurement;*
 - d. *Implementation;*
 - e. *PR/SR partnership;*
 - f. *Results;*
 - g. *Reporting;*
 - h. *Technical assistance.*⁸

Membership of the Oversight Committee

General requirements. General membership requirements for the CCM Oversight Committee, as for all other Standing Committees, are described in the CCM Governance Manual and its Standard Operating Procedures:

- The CCM Albania shall appoint Oversight Committee Members.
- CCM Albania shall elect an Oversight Committee Chair and a Vice-Chair from among current CCM membership. (CCM membership includes both members and alternates).
- In addition to the Chair and Vice-Chair, the Oversight Committee shall have five Ordinary Members, who need not be members of the CCM.

⁸ CCM Albania Governance Manual, Annex 2 Terms of Reference of Oversight Committee (To be included in Gov manual)

- The Oversight Committee shall have one member each with Financial Management and Procurement and supply chain management expertise.
- In addition to the above expertise a representative each of People Living with the disease (PLWD) and Key affected population (KAP) would be part of the Oversight committee.

Special requirements. Other membership requirements, unique to the CCM Oversight Committee include:

- **Principal Recipients, Sub-Recipients and Sub-Sub-Recipients are prohibited from serving on the Committee**⁹. As specified in the CCM Governance Manual, Committee members *“shall not be representatives of Principal Recipients nor Sub Recipient nor Sub Sub Recipient institutions.”*¹⁰This requirement reflects the need to avoid the conflict of interest inherent in any individual serving both an implementing and oversight role for Global Fund programs.
- Further, candidates for membership of the Oversight Committee who are non-CCM members *“will be required to complete the same conflict of interest declarations prepared by all CCM members. The CCM will determine whether, based on the non-CCM candidate’s declaration, he/she meets the standard for conflict of interest required for members of the Oversight Committee.”*¹¹

Membership expertise and experience. The Oversight Committee, in order to have a broad but relevant set of skills for its role, should endeavor to have members with expertise in the following areas:

- Implementation of public and private sector interventions in HIV-AIDS, TB or health systems strengthening (HSS) programs at the national and/or provincial levels.
- Finance or accounting in medium / large public or private sector organizations.
- Experience working with advocacy organizations representing people living with or affected by the diseases.
- Members should have substantial experience (e.g., 8-10 years) in the relevant areas of expertise.

Rules of Procedure:

The Oversight Committee shall operate by the following rules of procedure:

1. The Committee shall operate by simple majority vote.
2. The quorum for meetings shall be fifty percent of its membership.
3. The Committee shall meet at least quarterly with the frequency of meetings determined by the Committee members to conform to its oversight responsibilities (e.g., PR reporting cycles (PUDRs and dashboards), CCM meeting schedule, and other relevant oversight issues or needs).
4. The timing of meetings will be determined by the Chair of the Oversight Committee in consultation with other members of the Committee. Meetings shall take place at least 2 weeks prior to each regular quarterly CCM meeting, so that Committee deliberations may be reported to the CCM.
5. Each meeting will have an agenda, which will be circulated in advance of the meeting.
6. The Chair shall preside at all meetings of the Oversight Committee. In the event that the Chair is unable to attend a meeting, the Vice-Chair shall preside. If both the Chair and Vice

⁹Once an organization, which a Committee member represents, applies to be a PR or SR, the member must immediately resign his post. Responsibility for declaring the organization’s pursuit of GF funds lies with the member. Failure to declare pursuit of GF funding by the organization the member represents in a timely manner will render the organization ineligible for GF funding (including SR funding). This shall be done within the first quarter of the year.

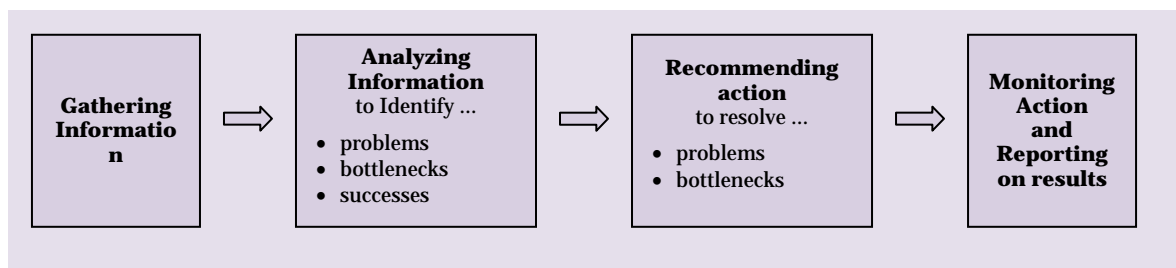
¹⁰CCM Albania Governance Manual, Annex 2 Terms of Reference of Oversight Committee Clause 2

¹¹CCM Albania Governance Manual, Annex 2 Terms of Reference of Oversight Committee Clause 2

- Chair are absent, and assuming that a quorum is present, the meeting participants shall designate a temporary Chair. The temporary Chair must be a CCM member or alternate.
7. The Chair of the Oversight Committee, with support from the Secretariat, shall be responsible for ensuring an agenda is drafted for each meeting of the committee.
 8. The Chair of the Oversight Committee, with support from the Secretariat, shall be responsible for ensuring that the agenda and any papers or other information pertaining to agenda items are distributed to committee members not less than two weeks prior to the scheduled date of the meeting.
 9. Minutes, including attendance, will be prepared for each meeting and archived by the Secretariat. The minutes of all Oversight Committee meetings shall be tabled at meetings of the CCM.
 10. The Oversight Committee will forward report to the next CCM meeting on its deliberations and recommendations.
 11. The CCM Secretariat shall provide such assistance to the Oversight Committee as is required for the taking of minutes, logistical support for oversight activities and other administrative matters.
 12. The Oversight Committee may invite representatives of the PRs and SRs and other implementing partners and stakeholders to attend its meetings in view of providing information, feedback, and expertise to enrich the deliberations.

Oversight Activities

The principal activities of the Oversight Committee are organized into four major areas:



1. **Gathering information.** Effective oversight requires timely and accurate information. Information shall be gathered in five major ways:
 - **Reports**, including Disbursement Request Forms, Six-monthly Performance Reports, Annual Reports and Annual Audit Reports.
 - **Review of dashboard reports**, which are summary performance reports compiled on a quarterly basis by the PRs for the Oversight Committee to support effective grant implementation.
 - **Site visits**, to provide the Committee with a notional understanding of program implementation, strengths and challenges.
 - **Investigation of specific issues**, typically involving presentations by PRs and SRs to the Committee, or submissions from persons living with or affected by the diseases. Individual Committee members may be asked to investigate problems and report back to the Committee.
 - **Periodic review** of grants where information on the contribution of Global Fund programs to the overall national strategies for the specific diseases may be assessed to determine the need for change in program activities, implementation arrangements, and capacity building requirements.

2. **Analyzing information.** Information that has been gathered will be analyzed to identify problems and bottlenecks requiring CCM attention. The Oversight Committee may choose to bring in external expertise to advise it in the analysis.
3. **Recommending action.** Once problems, issues, or bottlenecks are identified and their probable causes determined, the Oversight Committee will recommend to the full CCM actions to address the identified issues.
4. **Monitoring implementation of action and reporting on results.** Once the CCM has requested that actions be taken by PRs and SRs to address the problems, the Oversight Committee will be responsible for monitoring their implementation and reporting on them to the CCM.

These oversight activities are identified in detail in **Annex 2**. The activities can be reviewed periodically according to priorities for the current challenges facing the grants in Albania.

Work plan and Budget

An annual work plan and budget will be prepared for oversight activities by the Oversight Committee, with the assistance of the CCM Secretariat, and will be subject to CCM for approval.

Depending on the activity, oversight will take place annually, quarterly or six-monthly according to PR reporting cycles, according to an annual calendar of site visits and attendance at regular PR-PR and PR-SR meetings, and on an ad hoc basis. A scheduling framework for oversight activities is presented in **Annex 3**.

The annual oversight work plan will include a budget of the resources needed for its implementation.

Grant Oversight Responsibilities for the CCM Secretariat

The CCM Secretariat serves to support the CCM to function effectively, including in performing its oversight function. The CCM Secretariat will particularly support the Oversight Committee in its activities, and in the coordination of summary grant performance information. The responsibilities of the Secretariat in supporting oversight are outlined in detail in **Annex 4**.

Oversight Site Visits

The Global Fund recommends that, as part of an annual oversight work plan, periodic visits to service sites be undertaken to obtain first-hand information on program activities and quality. These visits often also provide the opportunity to meet with people living with or affected by the diseases and to obtain feedback from them on the quality and impact of programs funded under Global Fund grants. To best ensure site visits fulfill an effective role, detailed **Guidelines** have been prepared for oversight site visits, as well as template briefing note and summary report formats. The **Guidelines** are included as part of this Oversight Plan – **Annex 5**. The Oversight Committee and the Secretariat will periodically review and update the Site Visit briefing note and report template according to operational experience.

Engagement with People Living With and/or Affected by the Diseases

Throughout the grant oversight activities undertaken by the CCM and the Oversight Committee, engagement with people living with and/or affected by the diseases will be sought. Engagement with these groups provides the opportunity to validate the information from reports on program implementation, to better understand the quality

of programs and their impact, and to understand current or pending gaps in program delivery or management. In particular, the following mechanisms will be used to engage affected persons:

- a. Report back to the CCM and the OC from CCM members representing affected communities of their feedback from constituency briefings;
- b. Inclusion, where possible, of CCM members representing these communities in relevant site visits teams;
- c. Using site visits to meet with and get feedback from affected populations at a local level;
- d. Participation by Oversight Committee members and CCM members at forums, meetings of groups from affected populations;
- e. Publicity about grant programs on the CCM website so that people living or affected by the diseases are aware of the programs and are invited to comment on issues of concern.

In particular, these engagements will seek to monitor the impact the program activities are having on the elimination of stigma and discrimination against people living with and affected by the diseases.

While constituency feedback by CCM members will be presented to the CCM in its meeting, written reports should be archived by the CCM Secretariat for easy retrieval and reference. Written reports can be tailored to the specific matter, however the following questions provide a guide:

- What mechanisms did the CCM member use to gain feedback from constituency populations and report back?
- Are the programs reaching the affected populations according to program objectives?
- Are bottlenecks in delivery, such as supplies being unreliable, clinics etc being closed existing?
- Are the affected populations satisfied with the way in which services are delivered?
- How are programs impacting on stigma and discrimination?
- Are there program design issues or gaps that should be addressed in future programs?
- What is happening to epidemiology of the disease and characteristics of affected population, which should be addressed in future?

Grant Oversight Communication Plans

At the commencement of each grant, the CCM, with support from the CCM Secretariat, will develop a Grant Oversight Communication Plan with the relevant Principal Recipient. This plan will be reviewed and updated on an annual basis. The plan will detail the communication activities between the CCM and the Principal Recipient throughout the grant lifecycle, and include the scheduled financial and programmatic updates to the CCM on PR and SR performance. The Grant Oversight Communication Plan will include:

1. Date for a briefing by the PR to the Oversight Committee on grant start-up and establishment of program management. This briefing should be held within 3 months of

commencement of the grant. In particular, the briefing should include progress on resolving the conditions precedent and special conditions in the grant. Additionally, the briefing should cover progress in contracting sub-recipients and early identification of issues where the PR may require support from the CCM or external technical support.

2. Date for submission to the Global Fund / LFA by the PR, with copy to the CCM Secretariat for the Oversight Committee, of the grant audit plan as required by the Global Fund, and then the subsequent dates for submission of the external audit reports.
3. Dates for submission to the Global Fund / LFA by the PR of the Progress Update and Disbursement Request (PUDR), with copy to the CCM Secretariat for the Oversight Committee.
4. Dates for submission by the PR of the quarterly dashboard reports for presentation to the Oversight Committee meetings.
5. The planned participation by the Oversight Committee in debriefings to the PR by the LFA following review of each PUDR submitted by the PR.
6. Planned site visits to be undertaken by the Oversight Committee with respect to the grant. The nature of site visits will vary between grants, and, in developing the schedule; the Oversight Committee and the PR will consider elements of the implementation plan which pose significant challenges or risk.
7. The annual update by each PR to the CCM retreat/orientation on grant objectives and implementation partners, work plan and budget progress, and particular program implementation issues to be addressed in the coming year.
8. Schedule for submission of annual reprogramming requests if required.
9. Planned timetable and major activities of the periodic review of the grant in accordance with national disease program planning cycles.
10. Any additional communication activities as determined appropriate for the particular grant, taking into account experience of the specific PR, identified implementation challenges and opportunities for feedback by populations impacted by the program.

A template Grant Oversight Communication Plan is included as **Annex 6** to this Plan.

Grant Reprogramming

An important oversight responsibility of the CCM is to review reprogramming requests for the grants being implemented in Albania. While the grants are a legal agreement between the Global Fund and the PR, the CCM as the “sponsor” of the grant, fulfills a key role, through strategic oversight, in ensuring that the people of Albania are receiving the optimal benefit from the contribution of the grant to the national responses to the diseases. The CCM monitors, at a high or “strategic” level, whether the reprogramming proposal:

- a) Maintains, or preferably strengthens, the achievement of the approved grant objectives and their impact;
- b) Maintains, or preferably strengthens, the contribution that the grant makes to overall health system strengthening and the capacity of Albania to respond to the diseases;
- c) Maintains, or preferably strengthens, the fiduciary and risk management of the grant;
- d) Maintains, or preferably strengthens, the harmonization of the grant activities with other programs and activities underway or planned in Albania;
- e) Whether resources that have become available (such as from price level changes reducing implementation costs) are proposed to be used in a strategically optimal way – not simply viewed as “free” and used for little benefit;

- f) Maintains the demographic and geographic impact of interventions in line with the original intent of the grant proposal approved by the Global Fund, adjusted for epidemiological changes. Decision-making to modify the implementation plan to reflect epidemiological changes should be on a transparent basis.

The CCM delegates to the Oversight Committee the authority to review routine reprogramming requests and to provide feedback to the PR as to recommendations and whether the proposal is supported. The Committee shall refer reprogramming requests of a sensitive nature, however, to the CCM with recommendation for final decision. The decisions by the Oversight Committee as to whether to support any reprogramming proposal are recorded in the minutes of the Committee and submitted to the CCM for endorsement. Detailed procedures are provided to PRs on the process to be followed for submitting reprogramming proposals for review by the Oversight Committee.

While the CCM respects the role of the PR to make changes to the implementation arrangements while maintaining the objectives of the original grant approved by the Global Fund, the CCM does require that, where the PR proposes to cancel the contract of an existing Sub-Recipient or proposes to add a new Sub-Recipient, the prior endorsement of the Oversight Committee is required. The Oversight Committee will review the transparency of the decision-making process.

Investigation of Urgent Grant Performance Issues

The Oversight Committee will work closely with the Principal Recipients to foster a supportive partnership relationship where information on grant implementation challenges is readily shared. In the PR managing a grant, and in the Oversight Committee providing oversight, a proactive approach is encouraged so that grant implementation and management risks are identified early and risk elimination or risk mitigation strategies developed, rather than the PR and the Oversight Committee reacting to urgent problems after they have occurred.

If individual CCM or OC members become aware of any concerning grant performance issue, the member should contact the Chair of the Oversight Committee who shall determine:

- Whether an urgent request for information should be made of the Principal Recipient? If so, the OC Chair makes that request copying the CCM Chair, Vice-Chair, and Executive-Secretary;
- Whether an urgent briefing with the CCM Executive Committee is required?
- Whether the matter can be appropriately dealt with in scheduled Oversight Committee meetings or requires an urgent meeting to be called?

At the meeting of the Oversight Committee where the matter is discussed, consideration can be given as to whether additional information on the matter is required, such as technical background from relevant development partners, so that decisions on action to address the identified problem can be best informed.

In discussing the matter with the CCM Executive Committee, the decision will be made whether the issue is of such seriousness as to warrant urgent communication to the Fund Portfolio

Manager. If so, the Chair, or delegated member of the Executive Committee, should undertake that urgent communication, keeping other members informed of progress. In cases where the fiduciary management of the grant may have been compromised, early communication by the Executive Committee to the Fund Portfolio Manager is particularly important. If advised by the Fund Portfolio Manager, or if the Fund Portfolio Manager is not available, contact may be made by the Executive Committee with the Local Fund Agent.

At all times, the Oversight Committee and the Executive Committee must ensure that the Conflict of Interest Policy is adhered to, and therefore “recuse” themselves from any decision-making on matters in which they have an interest.

CCM and Oversight Committee members (and other stakeholders) may, if they consider it appropriate, use the Global Fund’s *Whistle-blower Policy*¹² which provides an avenue to report to the Office of the Inspector-General on a wide range of grant related and fiduciary matters, including:

“In the case of programs funded by the Global Fund or persons and entities involved in the facilitation of such programs:

- a. Theft or diversion of funds or other assets (including embezzlement, theft of assets procured with grant funds);*
- b. Fraud (e.g. bribery, kickbacks, inappropriate gratuities, forged signatures, false travel claims, travel with no legitimate purpose);*
- c. Knowingly communicating false information (including false financial or programmatic reporting and other misrepresentation of information) and inappropriate disclosure of information,*
- d. Waste of resources, assets and monies (e.g. knowingly purchasing expired drugs, supplying faulty test kits);*
- e. Unethical conduct (Conduct that undermines universal, core ethical values, such as integrity, respect, honesty, responsibility, accountability, and fairness);*
- f. Actions damaging the Global Fund’s reputation and which may lead to an investigation;*
- g. Abuse of power or authority;*
- h. Mismanagement;*
- i. Inappropriate use of program assets;*
- j. Non-compliance with the Global Fund Procurement Policies (including irregularities in tender processes);*
- k. Maladministration (for example, failure to take proper action to rectify reported problems, failure to respond to complaints);*
- l. Conflict of interest;*
- m. Product substitution and counterfeit drugs; and*
- n. Any breach of the Supplier Code of Conduct.”¹³*

Reporting under the Whistle-blower Policy may be via the web (accessed through the policy web-link) or by telephone free of charge from any country in the world on the following US collect call telephone number +1 704 541 6918. Interpreters can be arranged through that number if need be. Alternatively, contact can be made directly with the Office of the Inspector General by telephone, fax or email.

Telephone: +41-22-341-5258 (24 hour secure voicemail)

Fax: +41-22-341-5257 (dedicated secure fax)

¹²*Whistle-blowing Policy and Procedures, Global Fund*

¹³*Whistle-blower Policy and Procedures, Global Fund, pp3-4*

Email: inspector.general@theglobalfund.org

Mail: Office of the Inspector General, The Global Fund to Fight AIDS, Tuberculosis and Malaria, Chemin de Blandonnet 8, 1214 Vernier, Geneva, Switzerland

Technical Assistance for Grants

Technical assistance is frequently funded as part of Global Fund grants. While some of that assistance will be specific technical support for a single disease, much of the technical assistance will be for strengthening broader program management capacity in Albania, such as in Monitoring and Evaluation, Procurement, Grant and Financial Management. As part of the proposal development process, the CCM will seek to ensure a crosscutting perspective to technical assistance is adopted so that technical advisers provide support across grants rather than only in the grant through which they are funded. The Oversight Committee monitors the coordination of technical assistance to ensure optimal benefit is gained from this input, and to promote standard policies and procedures being implemented across all grants.

The Oversight Committee also monitors whether additional technical assistance, beyond that funded through Global Fund grants, may be required to support grant implementation and the functioning of the CCM. The Oversight Committee seeks to coordinate proposed additional support through discussion with the PR Coordination meetings to ensure that when proposals are being developed for support from development partners, optimal benefit will be gained from additional technical assistance.

Annex 1: Terms of Reference for Oversight Committee

1. Purpose

The Oversight Committee is responsible for contributing to effective oversight of all Global Fund financed programs and related processes in Albania, in accordance with the functions delegated to it by the Albania Country Coordinating Mechanism for the Global Fund (“the CCM”) as defined in the CCM Governance Manual and these Terms of Reference. The Committee assists the CCM to fulfill its responsibility to 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 program implementation”.¹⁴

2. Membership

The Oversight Committee shall consist of a Chair, a Vice-Chair, and five Ordinary Members, appointed by the CCM. Membership of the CCM is not a prerequisite for membership of the Oversight Committee with the exception of the position of Chair of the Oversight Committee. Members of the oversight committee shall not be representatives of PRs nor SR institutions. The Oversight Committee shall have one member each with Financial Management and Procurement and Supply Chain Management expertise.

The CCM shall nominate members of the Oversight Committee. Candidates who are non-CCM members will be required to complete the same conflict of interest declarations prepared by all CCM members. The CCM will determine whether, based on the non-CCM candidate’s declaration, s/he meets the standard for conflict of interest required for members of the Oversight Committee.

3. Meeting Frequency

The Oversight Committee shall meet at least quarterly, and may meet more frequently as circumstances require. Meetings shall take place at least 2 weeks prior to each regular quarterly CCM meeting, so that Committee deliberations may be reported to the CCM.

4. Roles and Responsibilities of Oversight Committee

- a. The Oversight Committee is empowered to deliberate and make recommendations on all oversight issues in accordance with these Terms of Reference and its work plan, or on any matter referred to it by the CCM.
- b. The Oversight Committee shall table all recommendations at the next meeting of the CCM following the making of the recommendations.
- c. In consultation with the CCM, the Oversight Committee shall lead or contribute to the following oversight processes:
 - i. Grant implementation;
 - ii. Periodic assessments;
 - iii. End of a grant;
 - iv. Donor coordination and alignment with health systems;
 - v. Grant closure.
- d. The Oversight Committee shall ensure that it performs its oversight functions in relation to the following areas associated with Global Fund financed programs and activities in Albania:
 - i. Finance, including tax exemption,
 - ii. Grant management by the PR;
 - iii. Procurement;

¹⁴ *Guideline on the Purpose, Structure, Composition and Funding of Country Coordinating Mechanisms and Requirements for Grant Eligibility*, Global Fund, page 4.

- iv. Implementation;
- v. PR/SR partnership;
- vi. Results;
- vii. Reporting;
- viii. Technical assistance.

5. Technical Working Groups

- a. The Oversight Committee, if required, shall utilize Technical Working Groups (TWGs) to provide expert knowledge and advice to the Oversight Committee on matters of program implementation, management and evaluation.
- b. The TWGs shall be:
 - AIDS Technical Working Group
 - TB Technical Working Group
 - Health System Strengthening Technical Working Group.
- c. Composition of the TWGs
 - I. Members will be appointed on the basis of their technical or program management knowledge and expertise for each TWG
 - II. The CCM will nominate members to the TWGs. The Chairman of the Oversight Committee is responsible for recommending to the CCM suitable persons for the TWGs.
 - III. The TWG members may come from any organization, including PRs, SRs, SSRs or development partners. However they will not take part in, nor be present at the decision-making by the Oversight Committee.

Annex 2: Oversight Activities

1. Clarify oversight functions, responsibilities, and build capacity for oversight

- 1.1. Elect members of Oversight Committee.
- 1.2. Develop, for endorsement of CCM, an annual Oversight Work Plan to strengthen CCM oversight capacity and monitor implementation of grant activities and an accompanying Oversight Budget to enable implementation of the Oversight Plan.
- 1.3. Identify technical experts to assist Oversight Committee
- 1.4. Provide orientation and annual capacity building training for Oversight Committee Members and CCM, ensuring that PRs present to Oversight Committee and CCM members on each grant - its partners, work plan, annual objectives, and progress to date.
- 1.5. Resolve with each PR a Grant Oversight Communication Plan (updated annually), which outlines the program of activities for oversight of grant performance and management throughout the grant lifecycle.
- 1.6. Ensure all Oversight Committee and CCM members understand and comply with the Conflict of Interest policy so that transparency of grant oversight is assured.
- 1.7. Ensure development of appropriate plans for periodic reviews of existing grants with clear timelines, resourced technical review teams, and mechanisms to monitor review process.

2. Gather information on GF grants through use of grant dashboards and routine reports

- 2.1. On a quarterly basis, ensure that the PRs present to the Oversight Committee members on each grant using the grant dashboards. Request PRs to submit comments and explanations where variance is identified in dashboard indicators.
- 2.2. Receive copies of semi-annual Progress Update and Disbursement Requests (PUDRs), and annual audit reports prepared for GF/LFA by PRs and review if additional information than that provided by the dashboards is needed. If required, seek clarification and advice on action being taken to issues identified in annual audit reports.
- 2.3. Monitor and review Grant Performance Reports and Performance Review Evaluations on Global Fund website for GF comments on grant performance and/or Conditions Precedent, Special Conditions, or Time-Bound Actions that may be imposed on grants.
- 2.4. Review management letters issued by the Global Fund regarding grant performance and management, and action being taken in response to issues raised.
- 2.5. Review and monitor action being taken to address any issues identified in OIG reports on grants in Albania.

- 2.6. Review additional national surveys and reports related to the three disease areas, including surveillance surveys, beneficiary reviews, and other national reports.
- 3. Gather information on GF grants through site visits, PR-SR performance reviews and briefings with people living with and affected by the diseases**
 - 3.1. Design or update guidelines and mini report form for site visits.
 - 3.2. Define calendar for:
 - 3.2.1. Site visits to program implementation sites with PRs;
 - 3.2.2. PR-SR performance review and LFA debriefs;
 - 3.2.3. Briefings with and feedback from people living with and/or affected by the diseases.
 - 3.3. Present methodology, calendar, proposed list of sites and briefings, and visitors/participants for endorsement by CCM Commission Secretariat to organize logistics of approved program of site visits and briefings.
 - 3.4. Carry out approved program of:
 - 3.4.1. Site visits;
 - 3.4.2. Participation in PR performance review and LFA debriefs;
 - 3.4.3. Briefings with and feedback from people living with and/or affected by the diseases.
 - 3.5. Prepare and present reports on visits, and briefings for Oversight Committee and CCM, and highlight issues requiring follow up to CCM.
 - 3.6. Collate information on contribution by grant programs to national disease strategies to be utilized in Periodic Reviews.
- 4. Analyze information on GF grants based on grant dashboards and other review processes**
 - 4.1. Oversight Committee analyze the individual grant dashboard, clarifications provided by the PRs, and other reports, including constituency feedback from the communities living with and/or affected by the diseases, and invite PR (and, if required, SR) representatives to answer additional questions about grant specific issues/problems/bottlenecks
 - 4.2. If required, use a technical expert to investigate a problem or perceived bottleneck and report back to the Oversight Committee.
 - 4.3. If required, facilitate or make visits to officials from ministries, agencies, or other partners involved in issues, bottlenecks, and problems to identify options for resolution of issues.
 - 4.4. Oversight Committee considers options and/or recommendations to the CCM on action to be taken to resolve the problem or bottleneck, and enter recommendations on priority issues for each grant on relevant dashboard reports for discussion at CCM Plenary meeting.

- 4.5. Oversight Committee will present dashboard reports to CCM highlighting successes and challenges, explaining any problems or bottlenecks that may have been identified and which require CCM attention, and recommendations for action.
- 4.6. Annually, the Oversight Committee may facilitate “lessons learned” seminars at the PR Coordination meetings for PRs to share cross-cutting information on managing Global Fund grants.
- 4.7. Review and analyze reprogramming requests to ensure the integrity of the grant is maintained or enhanced, that any identified savings are used to best impact, and that decisions on changing implementation arrangements are made transparently.

5. Take action to resolve problems and bottlenecks requiring CCM attention

- 5.1. CCM shall discuss the problem, the options available, recommendations from the Oversight Committee, and decide on action to be taken, the persons delegated to implement the action and timelines. (Scheduled CCM meetings will be used to consider grant oversight issues apart from urgent problems, where an exceptional CCM meeting may be called.)
- 5.2. If required, CCM may request additional investigations of problems, and mobilize additional support for this purpose.
- 5.3. Oversight Committee will monitor action taken as a result of CCM decisions on oversight. CCM shall review the status of the problem as Old Business at the subsequent CCM meeting.
- 5.4. CCM, with Secretariat support, will report back to PRs on grant performance and action to be taken.
- 5.5. If relevant, CCM will communicate with people living with and/or affected by the diseases on outcomes of oversight review.
- 5.6. Provide comment, recommendations, and, if appropriate, endorsement on reprogramming requests by PRs with copies to Global Fund and LFA.
- 5.7. Archive reports on grant programs, including constituency feedback, and document all decisions and action taken with respect to oversight of grants.

Annex 3:

Oversight Work Plan Framework: Frequency and Scheduling of Activities

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-LFAMtg Schedule	Ad Hoc - As Needed
1.0 Clarify oversight functions, responsibilities, and build capacity for oversight					
1.1 Elect members of the Oversight Committee					X
1.2 Develop an annual Oversight Workplan and Budget	X				
1.3 Identify technical experts to assist Oversight Committee	X				
1.4 Provide orientation and capacity building training for Oversight Committee Members	X				
1.5 Develop Grant Oversight Communication Plan with PRs for each grant, at startup and updated annually	X				
1.6 Ensure all Oversight Committee and CCM members understand and comply with the Conflict of Interest policy	X				
1.7 Ensure development of plans for periodic review as needed					X
2.0 Gather information on GF grants through use of routine reports or available data					
2.1 Arrange for quarterly presentation by PRs on each grant using the grant dashboard		X			

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-LFAMtg Schedule	Ad Hoc - As Needed
2.2 Receive, review copy of six-monthly and annual audit reports prepared for GF/LFA by PRs			X		
2.3 Monitor, review Grant Performance Reports on Global Fund website for GF comments on grant performance and conditions on grant			X		
2.4 Review management letters issued by the Global Fund, and action being taken in response to issues raised.			X		
2.5 Review and monitor action being taken to address any issues identified in OIG reports.					X
2.6 Review additional national surveys and reports related to the three disease areas, including surveillance surveys, beneficiary reviews, and other national reports.					X
3.0 Gather information on GF grants through site visits and PR-SR performance reviews and briefings with people living with the diseases					
3.1 Design or update guidelines and mini report form for site visits.	X				
3.2 Define calendar of site visits, and LFA-PR debriefs and consultations with people living with or affected by the diseases.	X				
3.3 Present methodology, calendar, and proposed list of sites and briefings, and visitors / participants for endorsement by the CCM.Commission Secretariat to organize logistics of site	X			X	

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-LFAMtg Schedule	Ad Hoc - As Needed
visits and briefings.					
3.4 Carry out site visits and participate at briefings according to calendar				X	
3.5 Prepare report on visits, briefings for Oversight Committee and CCM, and highlight issues requiring follow up to CCM.				X	
3.6 Collate information on contribution by grant programs to national disease strategies to be utilized in Periodic Reviews.					X
4.0 Analyze information on GF grants based on grant dashboards and other review processes					
4.1 Oversight Committee analyze grant dashboards, and other reports on programs, and invite PR/SR representatives to answer additional questions about grant specific issues/problems/bottlenecks		X			
4.2 If required, use a technical expert(s) to investigate a problem or bottleneck and report back to the Oversight Committee.					X
4.3 If required, facilitate or make visits to officials from ministries, agencies, or other partners involved in issues, and bottlenecks to identify options for resolution of issues.					X
4.4 Oversight Committee considers options and develops recommendations to the CCM on action to be taken to resolve the problem or bottleneck, depending on its type and extent.		X			X

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-LFAMtg Schedule	Ad Hoc - As Needed
4.5 Oversight Committee present dashboard reports to CCM highlighting successes and challenges, explaining problems or bottlenecks that may have been identified and which require CCM attention, and recommendations for action.		X			
4.6 The Oversight Committee may facilitate “lessons learned” forums at the PR Coordination meetings for PRs to share cross-cutting information on managing Global Fund grants.	X				
4.7 Analyze reprogramming requests to ensure the integrity of the grant is maintained or enhanced, and that any identified savings are used to best impact.					X
5.0 Take action to resolve problems and bottlenecks requiring CCM attention					
5.1 CCM shall discuss the problem, the options available, recommendations from the Oversight Committee, and decide action to be taken, persons delegated to implement the action (PR, Oversight Committee, other CCM members, or experts) and timelines.		X			
5.2 If required, CCM may request additional investigations of problems, and mobilize additional support for this purpose.					X
5.3 Oversight Committee will monitor action taken as a result of CCM decisions on oversight. CCM shall review the status of the problem as Old Business at the subsequent CCM meeting.		X			

OVERSIGHT ACTIVITIES	FREQUENCY / SCHEDULING				
	Annually	Quarterly	PR Reporting Cycle	Site Visits / PR-LFAMtg Schedule	Ad Hoc - As Needed
5.4CCM, with Secretariat support, will report back to PRs on grant performance and action to be taken.		X			
5.5If relevant, CCM will communicate with people living with and affected by the diseases on outcomes of oversight review.		X			X
5.7 Provide comment, recommendations, and, if appropriate, endorsement on PR reprogramming requests with copies to Global Fund and LFA.					X
5.8Document all decisions and action taken, and constituency feedback with respect to oversight of grants.		X			X

Annex 4: Grant Oversight Responsibilities for the CCM Secretariat

As outlined in the CCM's Governance Manual, the CCM Secretariat serves to support the CCM to function effectively, including in performing its oversight function. In relation to grant oversight, the CCM Secretariat will particularly support the Oversight Committee with the following tasks:

- a. Fulfill secretariat functions for Oversight Committee and Ad Hoc Committees as needed – collating meeting agendas under the direction of the Committee chair, sending notice of meeting to members with all meeting papers, taking accurate meeting minutes, and ensuring these are appropriately endorsed as accurate, and archiving meeting minutes and documentation.
- b. Ensure that the PR submits dashboards, PU/DRs, audit reports and other documentation to the Secretariat for use by the Oversight Committee members in accordance with pre-determined timelines.
- c. Verify basic completion of dashboard data entry prior to Oversight Committee review, distribute to OC members and schedule presentations by PRs to OC.
- d. Support OC meetings where PRs present dashboard; ensure comments and recommendations by OC are documented in the dashboards and that any summary memos are prepared by the OC.
- e. Distribute all oversight documentation, including dashboards, other performance reports, and OC meeting minutes, to the CCM in a timely manner.
- f. Support OC presentation at CCM plenary meeting; ensure CCM decisions are documented in the dashboard, and that responsible parties and deadlines as well as follow-up data for subsequent CCM meetings are recorded.
- g. Email dashboards (with comments, recommendations, and CCM decisions) to PRs for their records and, if required, implementation.
- h. Ensure minutes of Oversight Committee and oversight decisions at CCM meetings are recorded and archived appropriately.
- i. Assist in documentation of performance issues arising between routine performance review meetings, assuring the capture of such issues in the following grant dashboards and reports.
- j. Archive all grant performance documentation, including dashboards, PUDRs, Global Fund management letters, meeting minutes, site visit reports, constituency feedback and other reports in the appropriate files for easy retrieval and review.
- k. Archive the dashboards using specified file naming convention.
- l. Support revision of dashboards when moving from Phase 1 to Phase 2 and for establishing new dashboards for newly approved grants. Minimum technical assistance might be required.
- m. Manage communications of grant performance with the public, including maintenance of a CCM Web site that would include documentation of oversight processes and outcomes.
- n. Support annual orientation on oversight and use of grant dashboards to new members of the CCM.
- o. Ensure that CCM and OC members are oriented to the Conflict of Interest Policy, that they sign the declaration in accordance with the policy, and that the signed declarations are archived for easy retrieval and reference.
- p. Collate management letters issued by the Global Fund regarding grants to Albania, establish and maintain a “running register” of such communications, and provide a

brief written summary of key elements to the Oversight Committee Chair and at Committee meetings.

- q. Assist the Oversight Committee to identify opportunities for briefings with and feedback from groups of people living with and/or affected by the three diseases so that the performance of the grants may be assessed. Suitable feedback opportunities could be included in the calendar of Oversight Committee activities.
- r. Collate and archive constituency reports provided by CCM members representing people living with and/or affected by the diseases.
- s. Liaise with PRs to identify timing of LFA feedback meetings to PRs and communicate with Oversight Committee members regarding appropriate Committee representation.
- t. Monitor the timely preparation and submission by PRs of grant audit plans, and the annual submission of the external audit reports to the Global Fund in accordance with grant agreements. Review issues raised in external audit reports, action being taken by the PRs in response to issues raised by external auditors, and ensure Oversight Committee members are made aware of priority recommendations.
- u. Assist Oversight Committee to develop comprehensive communication strategies with each PR to document timing and format of required reports, communications, briefing meetings and submissions for reprogramming etc. This communication plan should be initially prepared at commencement of grant, and then updated on an annual basis.
- v. Establish and maintain a register of issues raised in OIG reports into grants to Albania, action being taken including responsible officer and timelines, current status of implementation of determined action, and whether further action is required.
- w. Support logistics on oversight related activities, oversight site visits, and participation by the Oversight Committee members in meetings and briefings regarding grant performance.
- x. Carry out other activities to support grant oversight as assigned by the CCM.

Annex 5: Guidelines for CCM oversight site visits

Site visits by the CCM to PRs, SRs, key stakeholders, and project implementation sites, are an element of oversight. These visits enable the CCM to gain better insight on grant performance and the challenges of implementation. Effective oversight visits can enhance and strengthen CCM/PR/SR relationships, and improve the capacity of the CCM to assist, recommend, and take action to resolve bottlenecks and facilitate improved grant performance.

Oversight visits form part of the annual oversight work plan, prepared by the Oversight Committee, and presented to the CCM. The CCM Secretariat is responsible for the planning, budgeting and logistics of the oversight visits. Oversight visits are not routine management or 'supervisory' visits. *Careful planning* is essential to derive full benefit from these activities.

Oversight visits should be:

Purposeful

- Guided by written objectives
- Needs-based; intended to achieve a stated result

Strategic

- Consider key project strategies and areas of risk
- Involve strategic site selection, focus or topic, team selection, timeliness

Effective in achieving their objectives

- Focused, well planned, documented

Efficient in use of limited human and financial resources

- Brief, targeted, achieving value for effort

Consistent with Global Fund principles and practice

- Transparent, fostering cooperative problem solving
- Adhering to Conflict of Interest policy

Useful as a learning platform for CCM members

- Expand CCM knowledge in technical areas, implementation, and the oversight role.

The annual oversight work plan will include a schedule of oversight visits which are aligned to the calendar of the grant cycle. Visits to PRs and SRs are appropriate at certain stages such as post-signature and at periodic reviews, and may be needed annually. Oversight visits to the central medical store, and to other stakeholders concerned with procurement and logistics, are vital to understanding the supply chain, stock-outs and distribution bottlenecks. Oversight visits to strategically-selected implementation sites can inform CCM members of challenges that impact grant performance. Planning should be realistic and take into account limited time availability of members and resource constraints. The Oversight Committee should periodically assess the effectiveness and sustainability of oversight visits and provide recommendations to the CCM. Flexibility is needed to adapt to changing needs and resources.

Planning the oversight visit

Purpose and timing

Routine site visits aid the CCM to obtain a field-based perspective on how a grant is performing. The visits are planned together with the PRs at the beginning of each year so that CCM members and PRs are able to schedule their time.

Issue-driven site visits take place after CCM meetings to follow up on issues raised or decisions made concerning findings in oversight reports (such as Dashboards) in order to:

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

- The team members/delegation may include CCM members, one PR representative, and non-CCM members (such as Oversight Committee or technical specialists). Participants should be selected with consideration for the purpose of the visit (if the visit targets procurement issues, at least one participant should have expertise in that area). One team member should be assigned as team lead and one as recorder (to fill in the recording/reporting form). Where possible and relevant, CCM members representing people living with or affected by the diseases should be included. Team members with conflict of interest should recuse themselves. Team size could be as few as 2 persons.

- The principles of transparency and cooperative problem solving underlie every oversight visit. There should be no surprise visits. Nor should visits address day-to-day management issues (a PR role) or aim to “audit” regular reports (an LFA role).

- The team should have clear information on the program, key issues and deliverables prior to a visit. A one-page summary for the team members can capture this information. The PR may assist the Secretariat in preparing this information and in advising on issues that the CCM team should be aware of before the visit. A PR staff member should accompany the group and be prepared to respond to CCM questions.

Roles and responsibilities for site visit planning

Oversight Committee or CCM/Secretariat	Principle Recipient
<ul style="list-style-type: none"> • Develop annual routine site visit plan and budget (OC) • Identify issue-driven visits on an as-needed basis (OC) • Develop purpose and objectives of visits (OC) • Plan individual visits with PRs (Sec) • Select team/delegation (OC) • Team preparation – program info., deliverables and dashboard reports; logistics (Sec/PR) • Prepare and utilize a suitable recording and reporting format (Sec) • Identify high-priority issues (OC) • Prepare a report to the broader CCM 	<ul style="list-style-type: none"> • Work with the CCM to select appropriate sites • Assist the team/delegation to understand the program, including implementation issues • Assure staff are available and able to respond to CCM questions • Assure information needed or requested by CCM is available on site visit day

(OC) • Send feedback to the host site, PR SR (Sec)	
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Site visit approach

- The team may use a mix of discussion, observation, guided viewing of sites, and viewing documents, as part of the oversight visit. Take photos if possible, which can be shared with the CCM or posted on the website.
- A format for planning, guiding and recording the findings of the oversight visit should be used to ensure that the purpose of the visit is fulfilled and it is well documented.
- Oversight visits may focus on the questions that are at the core of effective grant implementation:
 - i. Finance – Where is the money? Is it being disbursed and expended as planned?
 - ii. Procurement – Where are the drugs, medical supplies and equipment?
 - iii. Implementation – Are activities on schedule? Are grants being implemented as planned? Are there implementation bottlenecks?
 - iv. Results – Are targets being met? Are the right people getting the services they need?
 - v. Reporting – Are reports being submitted accurately, completely and on time?
- Oversight visits can be “piggy-backed” onto site visits planned by other partners. CCM may learn of visits to Global Fund-supported sites by development partners, and may request to add a CCM member to the delegation. This is a cost effective approach and a good example of partner coordination.

Reporting

After site visits, the team prepares a brief report. A simple standard reporting format can be used if suited to the particular activity. The Oversight Committee will review the report and make recommendations, if needed, to the CCM during the next ordinary CCM meeting and, as needed, will send feedback on issues raised to the PR.

Oversight visit findings, decisions and feedback should be noted in CCM minutes. Follow up on decisions and actions should be recorded in subsequent CCM minutes.

Annual update to CCM	Brief to CCM Annual Retreat/Orientation on grant objectives, partners, progress and key issues.	Annually																
Reprogramming requests	Submit annual coordinated request for reprogramming if required for review by OC	Annually or on urgent basis																
Periodic Review input	Participation in Periodic Review for submission to Global Fund for next funding phase	As determined in grant agreement																
PR TRTs	Notify Secretariat of upcoming meetings of PR with Technical Review Teams for OC information and participation if appropriate	Ad hoc																