

# Country Coordinating Mechanism Guidance Note: Oversight

Updated: October 2020

## Purpose and audience for this guidance note

- This guidance note is intended to support the Country Coordinating Mechanism (CCM<sup>1</sup>) in its oversight function. While the primary audience of this guidance is CCM members and the CCM Oversight Committee, it is also relevant to CCM Secretariats, CCM Leadership, Principal Recipients (PR) and Local Fund Agents (LFA).

## Definition of Oversight

- Oversight focuses on key **financial, programmatic and management aspects of the grant portfolio** and their contribution to the national health response. This oversight function, which looks at the “vital signs” or high-level elements of Global Fund investments, aims to verify that grants are performing according to agreed plans and targets. Oversight corresponds to [CCM Eligibility Requirement 3](#) as outlined in the [CCM Policy](#).
- Oversight is not grant monitoring, which is the day-to-day responsibility of PRs. However, this function is an opportunity to support PRs in identifying and addressing key implementation bottlenecks.
- The core principle of oversight is to ensure that resources are being used efficiently and effectively to end the diseases while building resilient and sustainable systems for health.

## Successful Oversight

- The CCM achieves a steady state of self-reliance in implementing the oversight function, ensuring that strategic information remains at the core of all CCM decisions; risk management underpins the function; the PR-CCM relationship is collaborative and complementary; and key financial, programmatic and management aspects of grants and their implications for the national health response to the three diseases are adequately analyzed, inform decisions and are monitored closely for further strategic refinement.

## Key stakeholders involved

- **The CCM Oversight Committee.** The CCM establishes an Oversight Committee (also referred to as the Oversight Working Group or Oversight Body) to plan, coordinate, and carry out oversight of Global Fund grants on behalf of the CCM<sup>2</sup>. The Oversight Committee makes **evidence-based recommendations** to the CCM for discussion and decision-making. It is not a decision-making body. This committee has a critical role in ensuring technical recommendations are transformed into timely and adequate actions **to address grant implementation problems** and support PRs in **enhancing grant performance**. Further information on the Oversight Committee’s role, composition and scope of work is provided in Annex 4.

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<sup>1</sup> For purposes of this guidance note, a CCM refers to a Country and Regional Coordinating mechanism as defined in the [CCM Policy](#).

<sup>2</sup> See annex 1 for more information

- **The CCM Secretariat** ensures the **collection, synthesis and use of oversight data** in CCM meetings for decision-making (e.g. by the Executive Secretary and/or Oversight/Transition Officer, where applicable). The Oversight/Transition Officer Sample Terms of Reference are included in the Annex 5.
- **Principal Recipients.** Implementers of the grants contribute to the success of the oversight function by collaborating with the CCM (particularly the Oversight Committee). Primary responsibilities include: systematic information sharing on program performance and communication on program-related matters throughout the grant-life cycle<sup>3</sup>.
- **Global Fund Country Teams**<sup>4</sup>. Global Fund Country Team insights on grant performance and implementation bottlenecks are critical to the oversight function. Regular and consistent communication between the CCM and Country Team will enhance oversight activities through sharing potential risks identified and solutions to address challenges.
- **CCM Members.** Engagement in oversight by CCM members ranges from involvement in decisions based on Oversight Committee recommendations to supporting information collection activities. CCM members (particularly Oversight Committee members) should be knowledgeable of the essential elements of the grants (i.e. overall budget allocations, programmatic indicators, risks, implementers, and others) and the national strategies that underpin the response to the three diseases.

### Key expectations of Oversight

CCMs should consider the following expectations as part of the provisions of their oversight plans and the activities carried out by the Oversight Committee.

- **Strategic focus.** While oversight primarily involves the high-level key financial, programmatic and management aspects of Global Fund grants, it is critical for the CCM to keep national strategic priorities at the forefront to ensure the investment is effectively contributing to ending the diseases as pandemics.
- **Use data and evidence to drive oversight.** Sources include national disease programs, community-based monitoring initiatives (where these exist), partner (bilateral and multilateral) data, among others<sup>5</sup>.
- **Risk Management.** Oversight should adopt a risk management approach - risk identification, prioritization, mitigation, monitoring and assurance into the oversight strategy.
- **Co-financing Commitment tracking.** According to the [Global Fund's Guidance Note on Sustainability, Transition and Co-financing](#) and the relevant policy, the CCM is encouraged to take a more proactive role in monitoring efforts to strengthen sustainability, including the realization of co-financing commitments. If context and resources allow, the CCM tracks the status of and advocates for the fulfilment of co-financing commitments agreed between the country and the Global Fund.
- **Collaborative problem-solving approach.** A collaborative relationship between the CCM and PRs ensures frequent sharing of grant-related information and building mutual trust. This enables open discussions to jointly address implementation and risk mitigation challenges to improve grant performance. Day-to-day operational details of grants remain within the responsibility of PRs, while Oversight requires the CCM to understand how the grants are working.

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<sup>3</sup> As described in paragraph 32 of the Country Coordinating Mechanism Policy ([available here](#)).

<sup>4</sup> These are led by a Fund Portfolio Manager (FPM) and include other resources depending on the investment.

<sup>5</sup> See Annex 1 additional information on the Oversight Process and sources of information.

**Annexes and Resources**

- Annex 1: Oversight Process
- Annex 2: Oversight during the Grant Life Cycle
- Annex 3: Oversight Plan – Considerations and recommended sections
- Annex 4: Oversight Committee: Role, composition and scope of work
- Annex 5: Oversight/Transition Officer Terms of Reference
- E-learning module on Oversight