

Country Coordinating Mechanism Guidance Note: Oversight

Annex 3 – The Oversight Plan: Considerations and Recommended Sections

Updated: October 2020

General Considerations

As part of their eligibility requirements, the Country Coordinating Mechanism (CCM) develops an oversight plan, which constitutes a framework for consistent, transparent and documented oversight of grant implementation and risks (identified and emerging ones) that may undermine Global Fund investments. The oversight plan describes the following:

- Procedures.
- Activities.
- Prioritized topics/indicators.
- Focus on critical areas and questions.
- Risk considerations.
- Roles of the different structures.
- Timelines and budgets.
- Tools available to implement the function.

The activities to be considered and described should be in-line with the data collection, analysis, and provision of recommendations and follow-up processes described in the **oversight guidance note**.

The CCM endorses the oversight plan and shares it with the Global Fund. When changes are made, it should go through CCM endorsement again.

The oversight plan may also contain tools and templates that help the CCM and the oversight committee carry out the oversight function efficiently and effectively. Such tools and templates may facilitate site visits and support reporting and organizing information gathered from PRs. As a rule, tools and templates should be included as annexes to the oversight plan. If the CCM utilizes dashboards to track grant performance, the oversight plan should include procedures on how to use them, detailing any required coordination with PRs.

Commitment, willingness, and engagement of key stakeholders (oversight committee, CCM leadership and secretariat, and external expertise) are critical for successful implementation of the oversight plan.

This guidance provides recommendations on relevant sections to consider while developing the oversight plan. While not prescriptive, CCMs should consider key expectations and relevant oversight questions described in the **oversight guidance note**.

Recommended Sections of the Oversight Plan

- **Cover page** – including the date of publication/endorsement.
- **Acronyms**
- **Introduction** – describes the objective and contents of the plan.
- **Framework and concepts** – contextualize the oversight function with respect to the CCM policy, the CCM eligibility requirements, the oversight guidance note, CCM core functions and the CCM framework documents. This section should also consider provisions of the Global Fund code of ethical conduct for CCM members and the application of the CCM's conflict of interest management policy when conducting oversight activities. In transition settings, this section should focus on the CCM-specific provisions found in the [Guidance Note on Sustainability, Transition and Co-financing](#).
- **CCM oversight processes** - details on:
 - information collection (including sources, frequency and a summary of tools to be used);
 - analysis (including risk management and the status of co-financing commitments, when possible);
 - development of recommendations; and
 - follow up and information sharing (procedures to ensure that action items are followed up on. Who is responsible to communicate back to the CCM that actionable recommendations have been addressed?).

The plan should provide information on who performs these activities and when they will be conducted and completed. This section should consider specific activities and key indicators and questions to be addressed, as well as specific oversight actions during the different stages of the [Funding Cycle](#)¹ (including information on adaptation of oversight activities during emergency situations).

The CCM should make every effort to ensure that the use of strategic information from different sources to contribute to evidence-based decision making is an integral part of the plan. In transition preparedness settings, the plan should consider specific provisions to oversee transition plan implementation. In countries with transition grants the oversight plan should focus on adequate oversight of implementation of activities detailed in the transition grant and transition plan.

- **Oversight Stakeholder Roles** – describes the roles of the oversight committee, oversight/transition officers, the CCM secretariat, the Principal Recipients, and CCM members, among others.
- **Annexes** – provide additional relevant information. These may include the following:
 - Oversight workplan and budget.
 - Terms of reference of the oversight committee.
 - CCM oversight tools and technical considerations for their use.
 - Guidelines/terms of reference for conducting site visits.
 - Oversight orientation/learning resources for CCM members.

¹ Oversight Annex 2 – Oversight During the Grant Life Cycle