



THE REPUBLIC OF UGANDA

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UGANDA COUNTRY COORDINATING MECHANISM  
**OVERSIGHT PLAN**  
FOR GLOBAL FUND GRANTS

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THE UGANDA COUNTRY  
COORDINATING MECHANISM  
FOR THE GLOBAL FUND

To Fight AIDS, Tuberculosis & Malaria

[www.globalfundccm.org.ug](http://www.globalfundccm.org.ug)



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COORDINATING MECHANISM  
FOR THE GLOBAL FUND**

**To Fight AIDS, Tuberculosis & Malaria**

C/O Uganda AIDS Commission / Plot 1-3 Salim Bay Road, Ntinda  
P.O.Box 10779, Kampala, Uganda  
+256 414 289 995  
[www.globalfundccm.org.ug](http://www.globalfundccm.org.ug) / [secretariat@globalfundccm.org.ug](mailto:secretariat@globalfundccm.org.ug)

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# ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
CBO	Community-based Organisation
CCM	Country Coordinating Mechanism
CSO	Civil Society Organisation
FBO	Faith Based Organisation
GFATM	Global Fund to fight AIDS, Tuberculosis and Malaria
GF	Global Fund
HIV	Human Immunodeficiency Virus
HPAC	Health Policy Advisory Committee
LFA	Local Fund Agent
MoFPED	Ministry of Finance, Planning & Economic Development
MoGLSD	Ministry of Gender, Labour and Social Development
MOH	Ministry of Health
NFM	New Funding Model
NGO	Non-Governmental Organisation
PC	Partnership Committee
PLWD	People Living With the Diseases (HIV, TB and Malaria)
PR	Principal Recipient [of GF grant]
SR	Sub-Recipient [of GF grant]
TB	Tuberculosis
TRC	Technical Review Committee
UAC	Uganda AIDS Commission
UCCM	Uganda CCM
UNAIDS	United Nations Program on HIV/AIDS
WHO	World Health Organisation

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# **PART 1: UCCM OVERSIGHT SYSTEM**

## **INTRODUCTION, DEFINITION AND RATIONALE, LEGAL**

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## **FRAMEWORK, STRUCTURES**

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### *1.1. Introduction*

A core governance function of Country Coordinating Mechanisms is to oversee implementation of all grants awarded by the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund). The ultimate purpose of such oversight is to ensure that Global Fund resources are utilized in the most effective and transparent manner to the benefit of those in need.

In order to ensure effective oversight of the Global Fund grants managed by Principal Recipients (PRs), the Uganda Country Coordinating Mechanism (UCCM) has developed an Oversight Plan that will ensure that oversight is carried out through well organized, transparent and documented processes involving a broad range of stakeholders.

In essence, the Oversight Plan is a framework document that will guide the UCCM in the effective execution of oversight functions and incorporates

CCM Core Functions,  
Available at:  
[http://  
www.theglobalfund.org](http://www.theglobalfund.org)



the following aspects:

- a. Basic concepts and principles underpinning the effective oversight of Global Fund grants.
- b. Structural arrangements and processes that promote efficiency and effectiveness in executing the oversight function.
- c. Standards, processes and mechanisms for carrying out the oversight function.

## *1.2. Definition and Rationale*

Oversight consists of a coordinated set of activities designed to ensure that Global Fund grant activities are implemented as planned and that emerging issues and bottlenecks are identified and resolved in a timely and effective manner. Oversight requires strategic guidance by the CCMs to PRs, as well as consistent follow-through to ensure that Sub-Recipients (SRs) comply with oversight recommendations and requested corrective actions.

Oversight focuses on the “big picture” of grant implementation. In performing oversight, the CCMs scan within and across grants to identify cross-cutting issues and focus on resolving major threats to successful grant performance. By contrast, monitoring and evaluation activities focus on detailed activities of programme implementation and are the designated responsibility of PRs and other implementing partners.

## *1.3. Oversight Plan: A CCM Requirement*

Once CCMs have secured Global Fund financing, their most important function thereafter is that of oversight. CCMs oversee the performance of Principal Recipients to ensure that they achieve the agreed targets of programmes they are implementing. Through CCM oversight, Principal Recipients are held accountable to all country stakeholders.

Furthermore, the availability of an Oversight Plan is one of the six (6) eligibility requirements with which CCMs must comply in order to access Global Fund resources. (See also Box 1)

Guidelines and Requirements for Country Coordinating Mechanisms (May 2011), Available at: <http://www.theglobalfund.org/en/ccm/guidelines/>  
CCM Eligibility Requirements, the Global Fund to Fight AIDS, Tuberculosis and Malaria, Available at: [www.theglobalfund.org/en/fundingmodel/single/eligibility/](http://www.theglobalfund.org/en/fundingmodel/single/eligibility/)  
Grant Standard Agreement Terms and Conditions, Global Fund to Fight AIDS, TB and Malaria, Available at: [www.theglobalfund.org/.../grants/Core\\_StandardTermsAndConditions\\_Agreement\\_en](http://www.theglobalfund.org/.../grants/Core_StandardTermsAndConditions_Agreement_en)



## 1.4. Legal Framework

The Standard Grant Agreement provides the legal parameters for the implementation of Global Fund grants and specifies the statutory roles and responsibilities of CCMs and PRs in this process. These statutory responsibilities are summarized as follows:

- Article 7a: The CCM oversees the implementation of programmes financed by the Global Fund.
- 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 programme-related matters. PRs are also legally obligated to provide programme-related reports and information to the CCM upon request.
- Article 15: PRs are legally obligated to provide CCMs with copies of periodic reports submitted to the Global Fund.
- Article 23: The CCM is consulted on any decisions to change PRs.
- Article 25: PRs are legally obligated to copy CCMs on all notices, requests, documents, reports or other communication exchanges with the Global Fund Secretariat.
- Article 28b: The PR implements programmes on behalf of the CCM.

**Box 1: CCM Eligibility Requirement No.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.

## 1.5. Role of UCCM Committees

Consistent with its core mandate, the UCCM shall adhere to the core principles of national ownership, broad and inclusive participation, transparent and democratic decision making, and a results-oriented approach in the effective and efficient oversight of Global Fund grants.

The Uganda CCM shall exercise its oversight function working primarily through its four Standing Committees:

- a). Executive Committee. This Committee comprises the UCCM Chairperson, Chairpersons of UCCM Committees (Programme Oversight, Finance and Procurement, and Program Development and Resource Mobilization Development) and one Member-at-Large. Its responsibility



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shall be to review oversight reports from the Committees, identify challenges and bottlenecks, and submit recommendations for remedial action to the General assembly of the UCCM.

- b) Programme Oversight Committee. Overall grant oversight shall be the responsibility of the entire UCCM and all members shall be engaged in oversight, to a greater or lesser extent. However, the Programme Oversight Committee has been vested with the lead responsibility for overseeing the implementation of activities and reviewing progress towards the achievement of performance targets for all Global Fund grants in Uganda.
- c) Finance and Procurement Committee. The major responsibility of this Committee shall be to provide oversight in reviewing, investigating and resolving financial and procurement-related issues to ensure full and transparent accounting and effective and efficient procurement of commodities and services.
- d) Program Development and Resource Mobilization Committee. A key function of this Committee is to support the UCCM in the oversight of resource mobilization efforts. The Committee is also responsible for overseeing the absorption and utilization patterns of Global Fund grants the purposes of resource mobilization.

The detailed roles and responsibilities of these Standing Committees are described in the UCCM framework document **“Terms of Reference for the Committees”**.

The UCCM shall ensure that the Committees responsible for oversight of Global Fund grants in the various areas as defined per each committee terms of reference;

Have access to adequate skills and expertise in the areas of financial management, programme management, procurement and supply management, and disease-specific competence to ensure effective oversight of Global Fund grants. The UCCM shall also ensure the inclusion of representatives from among the key affected populations and persons living with the diseases in the oversight process.

Notwithstanding the foregoing, any member of the UCCM may upon request become involved in specific oversight activities. For example, members are encouraged to make familiarization visits to programme implementation sites which may be facilitated by the UCCM Secretariat.

Global Fund  
Guidance Paper on  
CCM Oversight,  
Available at:  
[http://www.theglobalfund.org/documents/ccm/CCMOversightGuidance\\_Paper\\_en/](http://www.theglobalfund.org/documents/ccm/CCMOversightGuidance_Paper_en/)

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## *1.6. Role of UCCM Secretariat*

These Committees shall be supported by the UCCM Secretariat in the exercise of their oversight roles and responsibilities. In this regard, the broad functions of the UCCM Secretariat shall include:

- Provide technical, administrative and logistical support in the conduct of meetings and implementation of activities.
- Disseminate relevant documents, reports and correspondence and other material required for effective performance of roles and functions.
- Prepare reports on activities for circulation to CCM membership and other key stakeholders.
- Maintain and archive all records of activities and decisions arising from the work of the various Committees.
- Publicize the activities of the Committees among internal and external stakeholders of the UCCM.
- Synthesize information for the committees and CCM board to make technical decisions.
- Technical support to the CCM board in relation to the grants status, implementation environment and context such that strategic decisions can be made in line with the funding policies and practices which can achieve greater impact.
- Keeping the CCM board a breast of the development and progress on the actions/decisions made in board meetings, committees, LFA defriefs and other grant documents (such as grant agreements, management letters, implementation letters) for effective running of the grants as well as grant closure requirements

## *1.7. Role of Principal Recipients and Sub-Recipients*

Principal Recipients and Sub-Recipients are responsible for collection, verification and reporting of financial and programmatic information to facilitate the oversight function of the UCCM. In this context, Principal

UCCM Governance  
Manual, Section 4,  
UCCM Committees  
and their  
Responsibilities  
UCCM Terms of  
Reference for the  
Committees



Recipients shall be required to:

- Attend UCCM meetings on a regular basis and provide updates on progress of grant implementation, issues and challenges.
- Provide to the UCCM, copies of progress updates and/or disbursement requests submitted to the Global Fund, including their feedback and decisions.
- Provide agreed on/approved work plan to the UCCM on the quarterly basis and the tracking of all conditions in the management/implementation letters.
- Provide timely feedback on the audit findings in the PRS grants audit reports.
- Proactively share with the UCCM any Performance Letters or Notification Letters issued by the Global Fund.
- Involve the UCCM in any reprogramming and extension requests to be submitted to the Global Fund and secure the requisite endorsement of the requests.
- Periodically update the CCM on any bottlenecks which can deter implementation of grant activities as per the agreed on/approved work plan
- At the time of grant closure, involve the UCCM in the preparation of the close-out plan and budget that should be endorsed by the UCCM.
- Support UCCM Committees in undertaking their oversight roles and responsibilities.
- Figure 1 below provides a graphic representation of the structures that comprise the UCCM oversight system and their summarized responsibilities.

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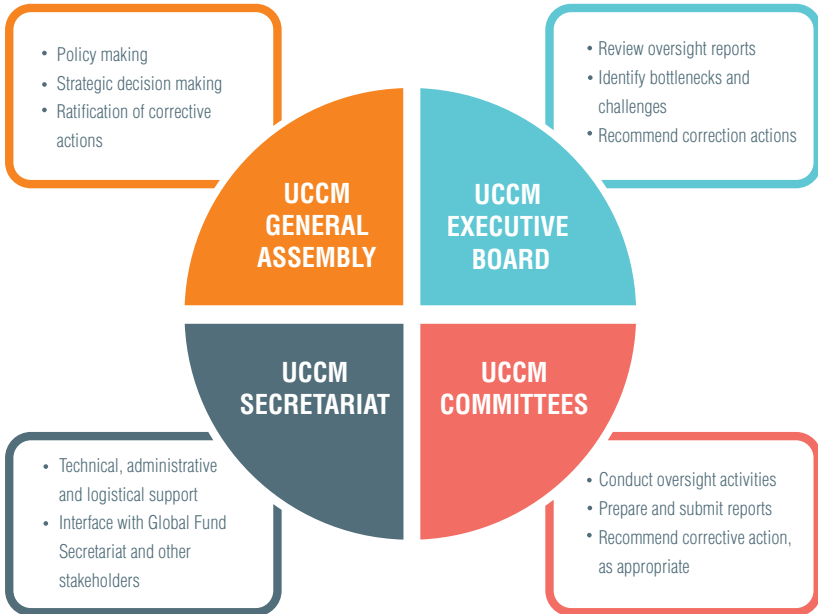
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**Figure 1: UCCM Structures in the Oversight System**



# PART 2: UCCM OVERSIGHT FUNCTION

## ESSENTIAL PRINCIPLES AND GOOD GOVERNANCE

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### *2.1. First Principles*

The Global Fund’s Guidance Paper on CCM Oversight affirms that “the core principle of oversight is to ensure that resources – financial, technical and material - are being used efficiently and effectively for the benefit of the country.” Thus, as a national decision-making body, the UCCM has the unique authority and responsibility to oversee the implementation of all Global Fund grants in Uganda.

Typically, this oversight function focuses on key questions that are at the heart of effective grant implementation:

**FINANCE:** Where is the money? Is it being disbursed and expended as planned?

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**PROCUREMENT:** Where are the drugs, medical supplies, and equipment?

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**IMPLEMENTATION:** Are activities on schedule? Are grants being implemented as planned? Are there implementation bottlenecks (e.g., in procurement or human resources)?

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**RESULTS:** Are targets being met? Are the right people receiving the services they need?

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**REPORTING:** Are reports being submitted accurately, completely, and on time?

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**TECHNICAL ASSISTANCE:** What technical assistance is needed to resolve problems or to build capacity? What is the outcome of technical assistance?

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The oversight function adheres to designated reporting cycles. These cycles may be quarterly, bi-annually or annually and are dictated by the requirements of the performance framework outlined in the financing agreement with the Global Fund. In essence, this function provides critical reviews of the performance of Principal Recipients in the following areas:

**FINANCIAL:** Ensuring appropriate, timely, and effective use of funding from the Global Fund.

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**PROGRAMMATIC:** Ensuring timely and effective implementation of PR and sub-recipient (SR) work plans, including implementation of intended results in short- and intermediate-term periods.

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**PROCUREMENT:** Ensuring transparent, competitive, and effective procurement and supply management with appropriate quality assurance and in accordance with national laws.

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**MANAGEMENT:** Managing the grants in all areas (including financial, programmatic, and procurement areas), as well as actions or conditions required by the Global Fund (e.g., conditions precedent and time-bound actions).

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## *2.2. Essential Elements*

Under the Global Fund's New Funding Model, oversight extends from the preparation of Concept Notes to the point of Grant Closure. Thus, the general areas of oversight that fall within the purview of the UCCM are as follows (See also Figure 2.1):

Process and Steps, New  
Funding Model, Global  
Fund to Fight AIDS,  
TB and Malaria,  
Available at:  
[http://www.theglobalfund.org  
/en/fundingmodel/process](http://www.theglobalfund.org/en/fundingmodel/process)  
/ Accessed on  
May 05, 2014

**A). CONCEPT NOTE DEVELOPMENT:** The UCCM shall assume the leadership role in ensuring on-going country dialogue in the preparation of Concept Notes. The execution of this component of the oversight function

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will ensure that stakeholders from all sectors are fully and directly engaged in and contributing to the process and that the provisions set out in the UCCM Governance Manual and Conflict of Interest Policy are fully adhered to.

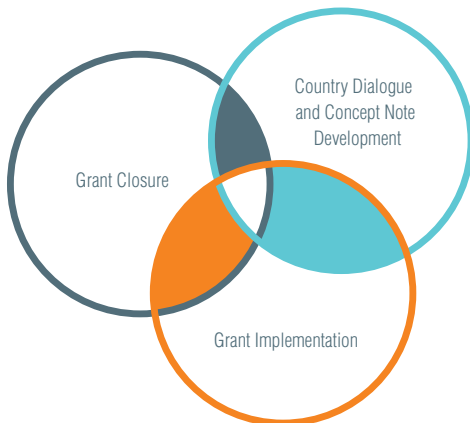
**B). GRANT  
NEGOTIATION:**

The UCCM shall oversee the grant negotiation process to ensure that it is on track, identify where to find technical support if needed, and monitor any changes to the proposal that may become necessary.

**C). GRANT  
IMPLEMENTATION:**

This area is the most detailed aspect of the oversight function of the UCCM. Furthermore, it is a CCM eligibility requirement that all oversight activities be clearly articulated in an approved work plan with timelines, locus of responsibility and budget.

**Figure: 2.1: Core areas of grant oversight**



**GRANT CLOSURE:**

The oversight role of the UCCM during grant implementation continues during the grant closure period.

The same level of rigor shall be applied to this area of oversight since the UCCM is responsible for endorsing the Close-Out Plan and Budget, including the PR's plan for distribution or disposal of programme assets

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## *2.3. Adherence to Good Governance*

UCCM oversight shall be conducted, as with any other activity or function, in conformity with the Global Fund requirement that CCMs manage any real or apparent conflicts of interest among their members and constituents. In conducting grant oversight activities, the UCCM and its oversight organs shall require all members and alternates to declare any conflict of interest affecting themselves or other members and ensure that these individuals do not participate in any oversight activity or decision making. Based on these principles, Principal Recipients may not serve as appointed or substantive members of the UCCM Committees.

The UCCM has the responsibility to oversee the performance of Principal Recipients against set targets and timelines. The UCCM shall determine the level of oversight that it wishes to undertake. In turn, Principal Recipients shall conduct their own oversight of Sub-Recipients that are engaged in the implementation of grant activities.

The UCCM and Principal Recipients shall work cooperatively towards the common goal of fighting HIV/AIDS, Tuberculosis and Malaria in Uganda. In this regard, the UCCM shall use its wealth of information and key relationships and skills in helping Principal Recipients to resolve bottlenecks that impede the progress of grant implementation.



## **PART 3: UCCM OVERSIGHT PROCESS**

### **APPROACHES AND KEY STEPS**

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#### *3.1. Approaches*

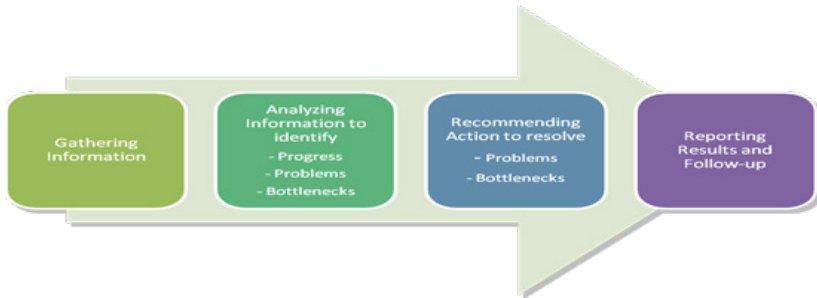
Grant oversight is a logical process with four components that are sequential, cross-cutting and mutually reinforcing. These steps apply to every aspect of the grant process described at Section 2.2 – Concept Note Development, Grant Negotiation, Grant Implementation and Grant Closure. However, In practice, the process is used most extensively during the Grant Implementation phase since this is the most embracing and enduring aspect of the oversight function. The four components of the approach to oversight are as follows:

- Gathering Information
- Analyzing Information
- Recommending Corrective Actions
- Reporting results and Follow-up

Figure 3.1 provides a graphic representation of the sequential flow of the components of the oversight process that the UCCM shall adopt.



**Figure 3.1: Sequential Flow of Components of UCCM Oversight Process**




## 3.2. *Gathering Information*

### 3.2.1. *Types of Information to be gathered*

Gathering information is the cornerstone of all other oversight activities. The UCCM cannot rally its forces and act objectively and decisively without good information about implementation issues, problems, or bottlenecks. Gathering of information for oversight purposes shall be undertaken by all designated structures of the UCCM oversight system, including the UCCM Secretariat, and with the full support and collaboration of the Principal Recipients and sub-Recipients.

The UCCM oversight process shall seek to determine grant performance in five major areas:

- a). Efficiency in the use of resources. This activity shall involve an assessment of the utilization of funds by Principal Recipients and Sub-Recipients and will compare actual programme expenditure versus budgeted amounts.

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- b). Provision of drugs and commodities. This activity shall provide an analysis of availability of medicines and medical supplies, timeliness of orders and delivery, and efficiency of product distribution to Sub-Recipients and Sub-sub Recipients, as appropriate.
  - c) Timeliness of implementation of programme activities. This activity shall revolve around the extent to which programme activities defined in the grant work plan are being implemented according to schedule and within prescribed budget.
  - d) Achievement of key programme indicators. This activity shall provide an estimation of the current status of grant performance with special reference to results, coverage and impact against the background of grant objectives and performance indicators.
  - e) Effectiveness of grant management by the Principal Recipients. This activity shall provide an appraisal of performance in aspects such as availability of key staff, technical assistance to Sub-Recipients, attention to Principal Recipient/Sub Recipient issues, implementation status of all conditions as per the grant agreements, grant implementation and closure letters and time-bound actions established by the Global Fund.

### 3.2.1. Sources of Oversight Information

The UCCM shall gather information for the purpose of undertaking its oversight functions from the following main sources:

- a) Principal Recipients Reports and other related Data. Included in this category shall be:
  - Progress Update and Disbursement Requests prepared for submission to the Global Fund Secretariat
  - Quarterly or bi-annual performance reports
  - Programme work plans and budgets
  - Monitoring and evaluation plans
  - Procurement and supply management plans
  - Financial reports
  - Audit reports
- b) Global Fund reports on grant performance. These reports shall include

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the following:

- Grant performance reports
  - Grant score cards
  - Management letters and other correspondence to and from the Global Fund Secretariat
  - Observations and comments provided by the Global Fund's Fund Portfolio Manager responsible for Uganda grants
- c) Special reports. The UCCM shall reserve the right to commission special investigations or surveys at any time on any aspect of grant implementation. Reports on the outcome of such initiatives shall be used in informing the oversight process.
- d) Field visits to implementation sites. These activities shall be undertaken at least bi-annually to provide an overall sense, rather than a detailed understanding, of programme achievements and challenges. As appropriate, non-UCCM members may participate in these visits as appropriate. (See Annexes 1 and 2 for "Guidelines and Tools" for conducting field oversight visits).
- e) Feedback from non-UCCM members and people living with diseases. This feedback may be formal or informal and shall be actively encouraged. Such information shall be validated at all times before being factored into any decision making process.

### *3.3. Analyzing Information*

Detailed analysis of information gathered from all relevant sources is a critical next step in the grant oversight process. It allows the UCCM to assess progress in grant implementation and, at the same time, identify problems and bottlenecks requiring remedial action. This analysis must address the managerial, programmatic and financial performance of each grant. The UCCM oversight structures, working in collaboration with its Secretariat and Principal Recipients, shall utilize the agreed on Grant Oversight Tools to facilitate this exercise.



### *3.4. Taking Action*

The UCCM shall ensure that appropriate remedial actions are taken to resolve all problems, challenges and bottlenecks that have been identified during the information-gathering and analysis stages. These corrective actions shall require the endorsement of the General Assembly prior to implementation. These actions may include:

- Principal Recipients to make the adjustments in the management and implementation of the programme to improve efficiency and effectiveness.
- UCCM oversight structures may investigate issues and challenges either using their resident resources or through the engagement of additional technical skills. Such investigations shall involve site visits, as deemed appropriate. The findings and recommendations of such investigations shall form one of the bases determining corrective actions.
- UCCM takes active steps to address all matters in violation of the approved Conflict of Interest Policy. Such corrective action shall be at all levels in an atmosphere of openness, transparency and accountability.
- UCCM assists in procuring external technical assistance for Principal Recipients to address issues and challenges.
- Site visits at the direction of the UCCM to investigate specific issues.

CCM Oversight field visits by the members shall be driven and have clearly defined objectives.

(See Annex 3-4 for Guidelines on Conducting Site Visits)

Decisions taken by the UCCM shall, at all times, specify the action or set of actions to be.

Investigative field visits by the UCCM shall be driven and have clearly defined objectives. (See Annex 3-4 for Guidelines on Conducting Site Visits)

Decisions taken by the UCCM shall, at all times, specify the action or set of actions to be pursued, responsible parties, and the deadlines for implementing those actions. The UCCM Secretariat shall maintain a permanent record of these decisions and collaborate with the responsible parties to ensure timely and effective implementation.

Investigative field visits by the UCCM shall be driven and have clearly defined objectives. (See Annex 3-4 for Guidelines on Conducting Site Visits)

Decisions taken by the UCCM shall, at all times, specify the action or set of actions to be pursued, responsible parties, and the deadlines for implementing those actions. The UCCM Secretariat shall maintain a permanent record of these decisions and collaborate with the responsible parties to ensure timely and effective implementation.

### *3.5. Reporting Results*

Each Committee involved in the execution of UCCM oversight functions shall prepare and submit formal reports, consistent with the terms of reference of their appointment. The following steps shall apply:

- UCCM Committees vested with oversight responsibilities shall prepare quarterly reports for submission to the Executive Committee. These reports shall specify activities undertaken, key findings and recommendations.
- Task Teams or other similar entities appointed by the UCCM to undertake special oversight investigations shall submit reports to the Executive Committee, or otherwise as directed, within the specified time frame. These reports shall also specify activities undertaken, key findings and recommendations.
- The Executive Committee shall review all oversight reports and submit a composite report to the General Assembly of the UCCM for consideration. Copies of these reports shall be circulated to the general membership of the UCCM prior to each regular meeting.
- The General Assembly of the UCCM shall consider the oversight reports at ordinary or extraordinary meetings and decide on



appropriate course of actions.

- The decisions of the UCCM shall be binding and shall be incorporated into appropriate work plans for follow-up action. Arrangements shall be made to track and report on the progress of these actions. (See Section 7: “Engaging With and Reporting to Programme Stakeholders for additional reporting guidelines)

# **PART 4: UCCM OVERSIGHT COMMUNICATION**

## **INTERNAL AND EXTERNAL STAKEHOLDERS**

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### *4.1. Engaging with Programme Stakeholders*

In consideration of its commitment to operate in the most transparent and accountable manner, the UCCM shall maintain clear public communication of progress of grant implementation and of their recommendations and decisions; their leadership should ensure that all stakeholders' views are heard. Non CCM members' viewpoints need to be solicited and considered in providing grant oversight.

Consistent with as required by the Global Fund's Guidelines for CCMs, the Oversight Committee and the UCCM shall develop strategies and approaches to engage programme stakeholders (including UCCM members and nonmembers), nongovernment constituencies, and people living with and/or affected by the three Global Fund funded diseases in the oversight process.




In addition, the Oversight Committee shall include in its annual oversight work plan activities and reporting mechanisms to ensure that oversight findings and recommendations are communicated to programme stakeholders, including non-government constituencies, and people living with and/or affected by the three Global Fund diseases.

## ***4.2. Reporting to UCCM***

The Oversight Committee presents the results of its activities in the form of periodic written reports on the status of Global Fund grant implementation for the information of the general membership of the UCCM. These reports outline the findings, conclusions, recommendations, and actions of the Committee for each period.

Reports shall be prepared by the Oversight Committee and presented by the Committee Chair (or nominee) at regular meetings of the UCCM. Other reports, covering longer or shorter periods, may also be prepared and presented to the UCCM as circumstances warrant. These Oversight Committee reports shall be annexed to the UCCM minutes and maintained as part of the archives.

Consistent with as required by the Global Fund's Guidelines for CCMs, the Oversight Committee and the UCCM shall develop strategies and approaches to engage programme stakeholders (including UCCM members and nonmembers), nongovernment constituencies


# ANNEX 1

## Framework for UCCM Oversight Work Plan

UCCM Oversight Activities	Lead Agency/ Person	Timeline – Start and End Dates	Budget	Findings and Follow-up Actions Required
<b>1.0 Clarify oversight functions, responsibilities and build capacity for oversight</b>				
1.1 Develop an annual Oversight Work Plan				
1.2 Develop an annual Oversight Budget				
1.3 Identify technical experts to assist Oversight Committee				
1.4 Provide orientation and training to build capacity for Oversight Committee members				
<b>2.0 Gather information on Global Fund grants through use of routine reports or available data</b>				
2.1 Arrange for PRs to present progress on finance, management, programme performance for each grant to Oversight Committee				
2.2 Receive & review copies of supporting documentation				

UCCM Oversight Activities	Lead Agency/ Person	Timeline – Start and End Dates	Budget	Findings and Follow-up Actions Required
(e.g., dashboards, PU/DRs and annual reports pre- pared for Global Fund or the Local Fund Agent (LFA) by PRs (print copies of PUDR for all members; print executive summary only of annual report for all members, complete report for members of Sub-committees)				
2.3 Monitor and review Grant Performance Reports & Grant Score cards on Global Fund website for comments by Local Fund Agent or Global Fund on grant performance				
2.4 Review additional national surveys and reports				
3.0 Gather information on Global Fund grants through site visits & PR-SR performance review meetings				
	3.1 Develop objectives; design or update questionnaire/ report form for site visits			

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UCCM Oversight Activities	Lead Agency/ Person	Timeline – Start and End Dates	Budget	Findings and Follow-up Actions Required
3.2 Develop calendar of site visits				
3.3 Present methodology, calendar, and proposed list of sites and visitors for validation by UCCM				
3.4 Organize logistics of site visits, at request of Oversight Committees				
3.5 Visit sites according to calendar				
3.6 Prepare and present report on visits, and refer issues for follow up to UCCM				
<b>4.0 Gather information on Global Fund grants through investigation of specific issues</b>				
4.1 Invite PR or SR representatives to meetings of Oversight Committees to answer questions or make oral presentations about grant progress or issues, problems, bottlenecks				
4.2 Use a technical expert to investigate a problem or perceived bottleneck and report back to the Oversight Committee				

UCCM Oversight Activities	Lead Agency/ Person	Timeline – Start and End Dates	Budget	Findings and Follow-up Actions Required
4.3 Request a presentation by a technical expert or national program manager comparing national statistics to Global Fund grant results (Note: this includes presentations on research studies)				
4.4 Call together or arrange to visit officials from ministries, agencies, local government authorities or partners involved in issues, bottlenecks, problems				
4.5 Identify and actively monitor issues or problems raised by the LFA during their on-site data verification				
4.6 Conduct issue-specific site visit if needed				
<b>5.0 Analyse information to identify problems and bottlenecks requiring UCCM attention</b>				
5.1 Analyse each grant’s PUDR, and related information				
5.2 If the PUDR, or other information indicates poor performance or specific problems, use activity 4.4 to learn more if possible				

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UCCM Oversight Activities	Lead Agency/ Person	Timeline – Start and End Dates	Budget	Findings and Follow-up Actions Required
5.3 Determine the type of problem, issue or bottleneck causing poor performance and the institutions involved				
5.4 Talk with PR to identify the efforts made by the PR to date to resolve the problem				
5.5 Develop options and/or a recommendation to the UCCM on action to be taken to resolve the problem or bottleneck, depending on its type and extent				
5.6 Report to the UCCM using the quarterly grant progress				
5.7 During UCCM meetings, explain any issues, problems, bottlenecks that may have been identified and which require UCCM attention				
<b>6.0 Take action to resolve problems and bottlenecks requiring UCCM attention</b>				
6.1 In the case of urgent problems, call for an Extraordinary UCCM meeting				

UCCM Oversight Activities	Lead Agency/ Person	Timeline – Start and End Dates	Budget	Findings and Follow-up Actions Required
6.2 The UCCM will discuss the problem and potential solutions and will decide on the action to be taken				
6.3 The UCCM will delegate authority to the Oversight Committee or TCC or shall identify other UCCM members to pursue a solution				
6.4 The UCCM may request additional investigations of problems and may mobilise additional support				
6.5 Communicate with the LFA regarding issues or problems, if requested by the UCCM				
<b>7.0 Follow up and report results</b>				
7.1 Review & report on the status of the problem as “old business” at the subsequent UCCM meeting				
7.2 UCCM members share oversight findings with their constituencies during consultative meetings				

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UCCM Oversight Activities	Lead Agency/ Person	Timeline – Start and End Dates	Budget	Findings and Follow-up Actions Required
7.3 UCCM shares oversight findings with other stakeholders				
<b>8.0 Document all oversight activities and report back to PRs on performance and decisions taken</b>				
8.1 Use the reporting templates to document all findings (dashboard, meeting minutes, site visits)				
8.2 Include dissenting reports				
8.3 Provide reports to the PR and to the UCCM, along with explanations of identified issues/problems				
8.4 Conduct follow-up as needed				
8.5 Archive all documents				



# ANNEX 2

## Summary Time-line for Key Oversight Activities

No.	Key Oversight activities *	Year ____, Month											
		i	ii	iii	iv	v	vi	vii	viii	ix	x	xi	xii
1	Create Work Plan and Budget												
2	Conduct orientation for UCCM members and alternates												
3	Conduct orient for Oversight Committee members												
4	Report to UCCM regular meetings												
5	Conduct Oversight Committee meetings (quarterly)												
6	Conduct site visits (quarterly of bi-annually)												
7	Oversight Committee self-assessment (annual)												
8	Consultation meetings with all CSOs (every 6 months)												
9	Consultation meetings with just NGOs, PLWD, and KAP (every 6 months, alternating with CSO consultations)												

\* In accordance with the Annual Work Plan

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## ANNEX 3

### UCCM Guidelines for the Conduct of Oversight Visits

#### *Purpose of Site Visits*

Site visits are not undertaken to address day-to-day management issues that fall within the purview of PRs or to audit regular reports that is the responsibility of the Local Fund Agent. Instead, the UCCM's site visits have four main objectives:

- 1) Ensure that activities are taking place in the field as defined in the grant and work plans
- 2) Gain an impression of the quality of services, activities, and communications between providers and clients and an impression of the level of stigma around the programmes and diseases
- 3) For the members to obtain a better understanding of the grants and to get a sense of program implementation context on the ground.
- 4) Seek additional information on specific issues that may have emerged during the implementation period, gaps not fulfilled by other stakeholders, enable the UCCM to make appropriate decisions
- 5) Show staff, clients, and community that national leaders are interested in their situation by gathering comments regarding the programs and diseases to build credibility and trust
- 6) Identify other community issues which need to be prioritized for efficiencies in the next grant application

#### *Guidelines for Site Visits*

##### **ISSUE-DRIVEN SITE VISITS:**

These formal visits take place after the UCCM meetings as a follow-up to the decisions made regarding a specific issue that have generally been identified through the oversight reports (especially dashboards). The purposes of such problem-driven site visits are to do the following:

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- Clarify issues arising from the oversight reports
  - Seek additional information on specific issues to enable the UCCM to make appropriate decisions
  - Follow up on UCCM decisions

**INFORMAL SITE VISITS:** Although site visits are usually undertaken as single-purpose formal trips, they also can serve as informal visits using existing monitoring systems. For example, PRs might bring some UCCM members on their regular field visits. Similarly, if a UCCM member is visiting an area with grant activity for other purposes, he or she may use the opportunity to conduct a site visit. The main purpose of informal visits is to help UCCM members to become more familiar with the grants. As with formal site visits, even these informal site visits should be planned with site staff before hand to avoid surprise and disruption in grant implementation

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**LOGISTICS:** Site visits can take place at PR's or SR's offices, or project implementation sites. Visiting teams should be limited to manageable sizes (6-8 persons), including CCM members, PR representatives, technical experts and observers

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**ROLE OF ASSOCIATIONS OF PEOPLE LIVING WITH AND/OR AFFECTED BY THE DISEASES AND CCM MEMBERS BASED OUTSIDE THE CAPITAL CITY:**

These individuals may be requested to undertake site visits in their geographic zones on a semi-annual or annual schedule. Transportation support may be provided if needed. In such instances, the normal reporting requirements for site visits shall apply

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**NOTE:** No surprise visits are allowed. Protocol must be observed (including providing prior notice and obtaining letters of introduction or approval from authorities to conduct the visits).

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# ANNEX 4

## Summary Terms Of Reference for UCCM oversight Committees

Routine visit:.....

Special visit:.....

A. Grant Background Information	
Grant name and number:	
Principal Recipient:	
Grant start and end date:	
Phase:	
Grant total amount:	
Latest reporting period:	

B. Site Visit Background Information	
Name of person:	
Sector (select box):	<ol style="list-style-type: none"> <li>1. POCommittee member:</li> <li>2. F&amp;P Committee member:</li> <li>3. Executive Committee member:</li> <li>4. Other UCCM member:</li> <li>5. Technical expert (not UCCM/Committee member):0</li> <li>6. UCCM Secretariat OR PR (specify):</li> </ol>



Dates of site visit:	
Name of site visited:	
Name of SR (if appropriate):	

**C. Purpose Of Site Visit**

1.	Based on what you already know about the grant, what else do you want to know? List the specific question(s) to be answered by this site visit.
	Question A:
	Question B:
	Question c:

**D. Findings From Site Visit**

1.	List below your findings from this visit, grouped according to the questions above. (Please include the source of the information. Use the back or other pages if needed.)
	Question A:
	Question B:
	Question C:
2	What, if anything, surprised you positively about this grant?
3	What concerns, if any, do you have about this grant?


**E. Conclusions And Recommendations To CCM**

1.	List your conclusions about the site visit (use the back of this form if needed)
2	List your recommendations to the Committees (use the back of this form if needed)

Signature of person completing form:.....

Date:.....



**THE UGANDA COUNTRY  
COORDINATING MECHANISM  
FOR THE GLOBAL FUND**

**To Fight AIDS, Tuberculosis & Malaria**

C/O Uganda AIDS Commission / Plot 1-3 Salim Bay Road, Ntinda  
P.O.Box 10779, Kampala, Uganda  
+256 414 289 995  
[www.globalfundccm.org.ug](http://www.globalfundccm.org.ug) / [secretariat@globalfundccm.org.ug](mailto:secretariat@globalfundccm.org.ug)

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**FIND OUT MORE;**

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**UGANDA COUNTRY COORDINATING MECHANISM SECRETARIAT**

C/O Uganda AIDS Commission

P.O.Box 10779, Kampala Uganda | Plot 1-3 Salim Bay Road, Ntinda

Tel: +256 414 289 995 | **Email:** [secretariat@globalfundccm.org.ug](mailto:secretariat@globalfundccm.org.ug)

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