



Stop TB Partnership Working Groups: Standard Operating Procedures

Final document

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1. Introduction

This document outlines the Standard Operating Procedures (SOPs) for the Stop TB Partnership Working Groups (WGs).

It has been developed based on:

- Extensive interviews with 50+ members of WGs, Coordinating Board (Board), Executive Committee (EC), Partnership Secretariat staff, key stakeholders and country representatives
- A review of existing TORs and governance procedures across all WGs
- Best practice governance and operating procedures

WG, EC, Board, Partnership Secretariat and country representatives have reviewed draft versions of the SOPs and their feedback has been incorporated in this document. The final SOPs were approved by the EC on 13th March 2014

Unique features of WGs (e.g., hosting arrangements) may require variance from SOPs. Such exceptions are possible where the WG, Partnership Secretariat and EC support this.

2. Context for the SOPs

The Stop TB Partnership has undergone an extensive process to clarify its role, strategic priorities, and operating model in developing its 2013-15 Operational Strategy. As part of this process the WGs have been highlighted as critical convening bodies for partners to coordinate and harmonize activities towards the achievement of the Global Plan, and to execute tasks that require collective effort.

However, the Coordinating Board, Executive Committee, Secretariat and WG members have identified challenges that are limiting how effectively the WGs fulfil this role.

These challenges include:

1. **Non-standard governance procedures:** Governance procedures (e.g., elections, membership, structure, role of Secretariats) vary significantly between WGs. This makes coordination with Board and other WGs more difficult
2. **Inconsistent planning and budgeting:** Although, some WGs develop detailed and specific workplans and budgets (including financial contributions of all donors) this is not true for all. Additionally, the process for allocating funds for WGs is problematic, with many WGs unhappy with the limited funds allocated to them
3. **Limited accountability:** The Executive Committee has highlighted concerns over the reporting mechanisms and performance metrics that WGs are held accountable to. The depth of WGs' reports varies, and often focus on achievements of Working Group member organisations rather than WGs themselves
4. **Unclear communication process:** The communications process, particularly between WGs and the Secretariat, and WGs and the Board, is unclear and in some cases ad-hoc. As a result WG members feel the Secretariat and Board lack an informed understanding of their activities, whilst Board members do not feel they receive useful information from WGs on strategic issues

To address these issues The Operational Strategy of the Stop TB Partnership 2013-2015 mandates the Secretariat to strengthen support to the Working Groups, including through standardizing WG reporting to, interactions and communications with, the Secretariat, the Coordinating Board and Board Committees, and the use of harmonized key performance indicators. SOPs were identified by the EC as an important means to achieve this, and The Partnership Secretariat has supported an extensive process to develop them.

3. SOPs summary

The SOPs cover key Partnership bodies, focussing on three pillars, enabled by supportive communications (as outlined in Figure 1).

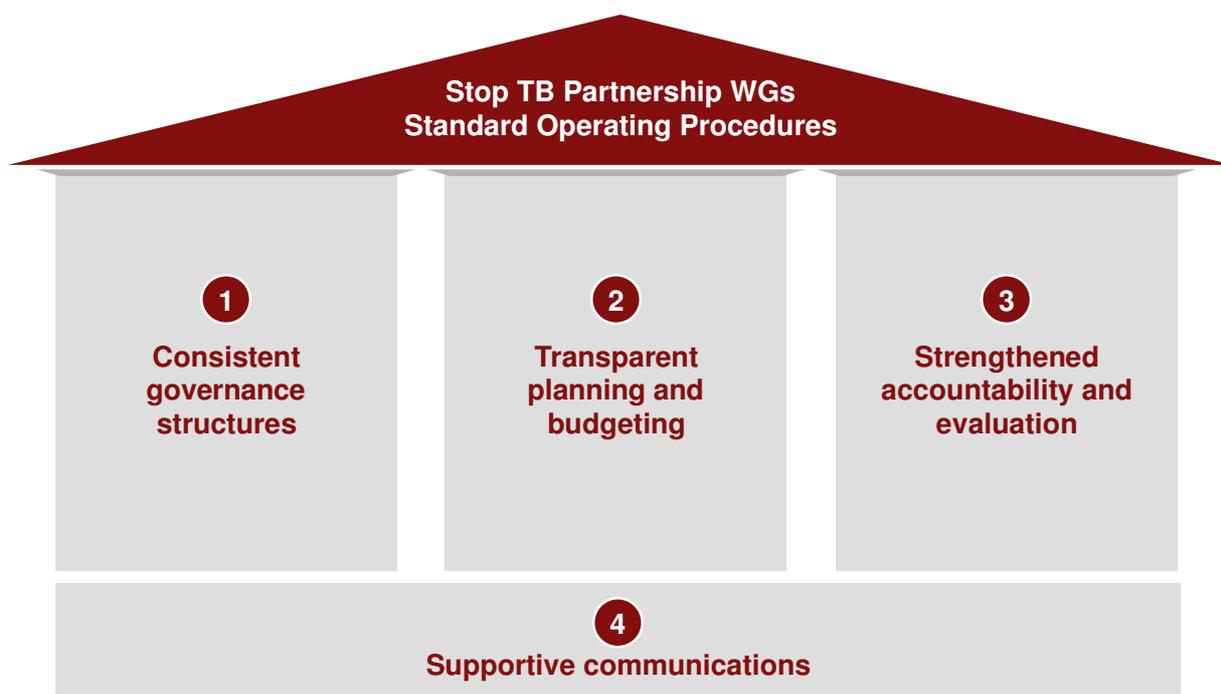


Figure 1

SOPs will require significant changes in the way WGs operate in each of the areas outlined in Figure 1. These changes are summarized below:

- **Consistent governance structures**
 - Standardized TORs, including:
 - Chair/Vice-chair: term no longer than 3 years,¹ candidates nominated by WG, elected by CG
 - Core Group: 3 year term with opportunity for one renewal, limited to 20 members, new members appointed by rest of CG based on specific competencies and ensuring balanced representation

¹ Does not include Co-chairs for New Tools WGs

- Standardized criteria for sub-groups (e.g., established with specific objectives and reporting through parent WG). Task-forces established as time-limited entities
- Clear process for dissolution and creation of WGs as required
- WG Secretariats appointed by CG and Chair, reviewed as necessary. Consistent TORs across all Secretariats
- **Transparent planning and budgeting**
 - Consistent annual process (Aug-Dec) for WG planning. Partnership Secretariat provides support/guidance to WGs, facilitates EC feedback, and approves WG workplans
 - Simple, standardized workplan template,
 - Use of metrics that follow “SMART” criteria and focus on outcomes not process
- **Strengthened accountability and evaluation**
 - WGs subject to the same ‘minimum requirements’ as other Partnership bodies (e.g., accountability, transparency, use of brand, communications)
 - WGs provide reports to Partnership Secretariat (bi-annual progress update,² annual report) supported by feedback/guidance from EC and focused sessions on WGs identified by EC/Partnership Secretariat at board meetings. EC provides overall oversight of WGs
- **Supportive communications**
 - Formalized communications process supported by a range of tools (e.g., bi-annual bulletin,³ shared calendar, Partnership WG focal point)
 - Partnership Secretariat publicizes and leverages WG outputs, both generally and to support its own advocacy activities
 - Specific responsibilities for WG Board seats before, during and after Board meetings

² WGs only provide one bi-annual update which is used for communication bulletin and updating EC

³ *Ibid.*

4. Consistent Governance structure

The SOPs standardize WG structure across WGs as set out in Figure 2.

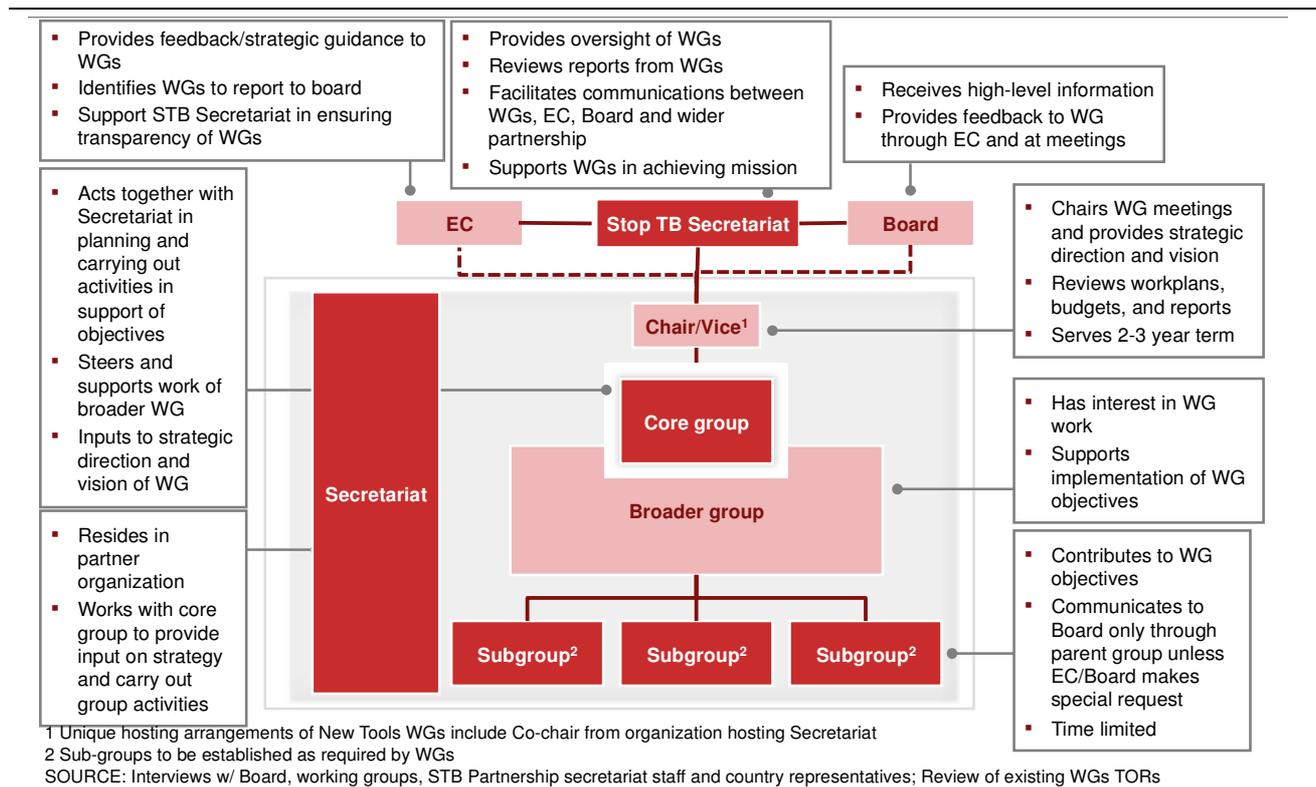


Figure 2

4.1 Standardized TORs (Chair/Vice-chair/CG)

The SOPs include standardized TORs for the Chair, Vice-chair, and CG as outlined below.

The Chair is responsible for leading, guiding and coordinating the CG, WG, its subgroups and task forces. The Chair is required, in collaboration with, and support from, Secretariat and Vice-chair, to:

- Oversee and plan the WG activities
- Ensure implementation of the recommendations of the WG
- Foster coordination, dynamic interaction and exchange among all members of the WG and its subgroups
- Ensure adequate representation of interested groups in WG
- Chair the CG and WG meetings
- Represent or nominate WG member to represent WG and its interests at events within the Partnership and externally
- Ensure WG communication, processes, activities, and decisions are carried out effectively

The Chair can serve no longer than a three-year term. The Chair is appointed as a specific individual, with backing of organization to stand, not an organization or institution.

Appointment of WG chair is as follows:

- Before end of the chair's term current chair with Secretariat assistance calls for nominations
- Candidates for the chair are nominated by WG members from WG
- CG and the Secretariat responsible for review of nominated CG members and short listing of candidates
- Chair is elected by CG through confidential ballot (i.e., online tool) managed by the Secretariat

The vice chair is elected through same process as chair and is responsible for providing support/assistance to chair in their responsibilities.

Unique hosting arrangements of New Tools WGs include Co-chair from organization hosting Secretariat with different governance structure.

The Core Group is responsible for ensuring effectiveness of WG through setting strategic direction, accelerating decision making and identifying priority areas of work. The CG is required to:

- Initiate, oversee and manage the activities of WG
- Monitor progress of WG activities
- Assist Chair/Vice-chair in addressing strategic and operational issues
- Meet regularly as required
- Collaborate with and consult other Stop TB WGs, Partnership Secretariat and partners on crosscutting issues
- Serve as an independent, technical, expert advisory group where required by Stop TB Partnership and partners

The term of the Core Group is no longer than three-years, with the opportunity for one renewal if supported by CG majority. Appointment to the CG is either a specific individual or representing a constituency

Appointment is as follows:

- Open call for nominations by WG Secretariat when CG member term expires
- WG members nominate members or themselves
- Secretariat, Chair, and selected CG members short-list candidates
- CG selects new CG members
- CG members identified as non-active (e.g., not responding to emails, or attending meetings) by Chair and Secretariat will be replaced

CG members form the core of the WG and must be willing/able to devote time to WG activities. Membership to CG is: Limited (<20 members); based on specific competencies (e.g., financial, programmatic, clinical, scientific and managerial expertise), motivation and availability. Responsibilities of CG may vary based on WG objectives; and, balanced, ensuring regional equity, representation from other WGs, key stakeholders (e.g., donors), institutional representation, gender balance and that patient and community needs are represented.

The Chair and/or Secretariat determine the process for WG membership based on objectives and needs of WG. However, WG membership must be balanced ensuring regional equity, representation from other WGs, institutional representation, gender balance and that patient and community needs are represented

4.2 Standardized criteria on sub-groups & task-forces

Subgroups may be established as required with specific objectives to address elements of WG workplan. Membership, achievements, and TOR/rationale for subgroups reviewed at regular WG meetings. Subgroups dissolved once objectives have been accomplished or by consensus of core members of parent WG and subgroup members. The Sub-group chair should be a member of Parent WG CG.

Formal outputs of subgroups should be submitted to parent WG secretariat. This may include budgets, reports, or any official communication intended for the Partnership. Formal outputs *not* submitted directly to Partnership Secretariat or Board. In particular, subgroups request and report on resources provided by Partnership through, and directly linked to workplan of, parent WGs.

Governance procedures of Sub-group (e.g., terms/appointment of chair/vice chair) can be adapted as approved by Parent WG.

Task forces (time limited groups focused on carrying out specific deliverables) may be established by a WG when required. Task forces established for initial period (no longer than 2 years) renewable if justified. Task forces will automatically dissolve once task is completed.

4.3 Process for WG creation & dissolution

Responding to evolving strategic priorities (e.g., Post 2015 Global Plan) and challenges (e.g., emerging country needs) may require the re-focusing of and/or creation of a new working group. The process for establishing a new Stop TB Partnership associated WG is as follows:

- Group of interested partners submit a short concept note outlining purpose, scope, objectives and proposed activities of new WG to the EC
- If approved by the EC a committee of suitably qualified and interested partners will be appointed to draft the TORs for the proposed WG in collaboration with the Partnership Secretariat and identify funding sources for the proposed WG
- The TORs will form the basis of a proposal to the Board for the creation of a new WG

Number of WGs should be restricted, given limited available resources and ability of Partnership to support. Therefore, creation of a new WG is likely to involve dissolution of existing WG. A WG may be dissolved due to: achievement of WG objectives; non-functioning, where a WG is no longer functioning due to financial or operational challenges; or, a change in Partnership strategic priorities, where current WG focus does not fit with identified strategic priorities of new Global Plan. Initiative for dissolution can come from the elected WG Chair, WG Secretariat, Core Group, WG members or the EC and be submitted to the board for approval. Before a WG can be dissolved any legal obligation (e.g., regarding donor funds) must be fulfilled.

4.5 Standardized criteria for WG secretariats

WG secretariats are appointed by chair and CG. Following discussion/analyses of potential Secretariat (including criteria to select one secretariat over another), housing arrangement is determined by the Chairs and the CG and reviewed as required. The WG Secretariat is accountable to the WG and Chairs.

The Secretariat works in close collaboration with and follows guidance from the CG and Chair/Vice-chair. Responsibilities are summarized below:

Implementation

- Work with core group to implement WG strategy and develop action items
- Track implementation of WG workplans
- Apply for, report, and manage resources provided to the WG from funding sources

Communication

- Facilitate effective communications within WG and between the WG and other bodies (EC, Board, Stop TB Secretariat, other WGs, broader partnership)
- Promote year-round engagement of members (e.g., through up-to-date website, periodic newsletters, etc.)
- Organize the meetings of the WG and the CG

Documentation

- Produce reports and documents as requested by Partnership
- Prepare agenda and relevant documents for meetings
- Produce and distribute meeting reports

WG Governance

- Ensure that WG functions in an accountable and transparent manner
- Monitor engagement of CG members, identify inactive CG members, proactively solicit new CG members
- Support process of Chair/Vice-chair election

5. Transparent planning and budgeting

5.1 Workplan process

The SOPs set out a transparent process for WG planning, review, feedback and sign-off as outlined in Figure 3.

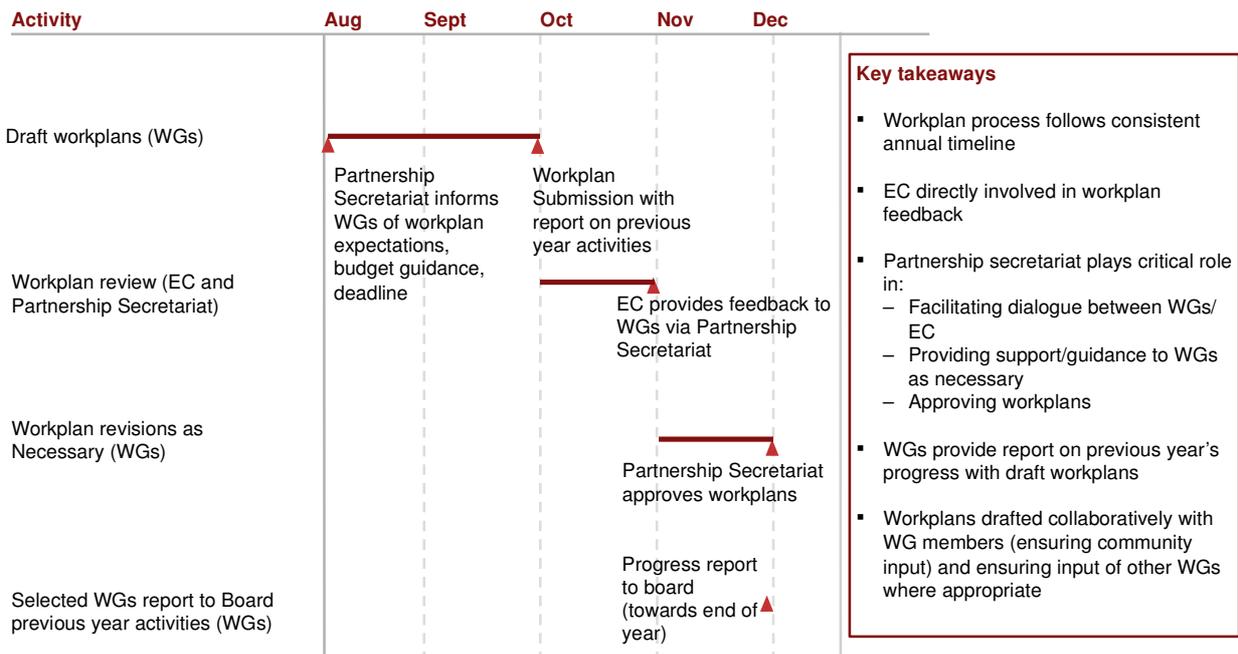


Figure 3

5.2 Workplan template

The SOPs mandate the use of a simple, standardized workplan (see Figure 4) in the annual workplan process to make clear the potential impact of WG activities.

| | What we will do - Proposed WG activities | How activity links to Global plan - Global Plan component addressed | How we will measure success – Outcome based metrics | How much it will cost - Financial cost | Support (financial & non-financial) secured from other sources | Finances requested from Stop TB Partnership | Non-financial support requested from Stop TB Partnership Secretariat | Additional Notes |
|---------------------|---|--|---|---|---|---|--|--|
| Key question | What are the proposed activities for the WG in the coming year? | How does this activity link to a component of the Global Plan? | What outcomes do you hope these activities will achieve? | How much will the activity cost? | What support have you secured, or are likely to secure for this activity? | Do you require any additional support from the Stop TB Partnership? | How can the Partnership Secretariat support you in this activity? | Any further details you think are important to note? |
| Guidance | Make sure to include all activities the WG will undertake, including activities for which funding has been secured from other sources | Outline which component of Global Plan activity will support | Make sure to move beyond process metrics (e.g., convene a meeting) to what are the outcomes you hope those processes will achieve (e.g., agreement on a specific topic) | Make sure to breakdown the overall cost into component parts where appropriate (e.g., HR, Comms, Meetings cost) | Make sure to include all donor funding and in kind support (e.g., comms, advocacy, personnel) to the WG | Please try to be realistic about funding expected from Partnership | As examples the Partnership Secretariat is able to support WGs through communications, advocacy, web content and brokering relationships with key partners | Outline anything else that is important to include |
| Example | Provide expert input to, and disseminate policy on, collaborative TB HIV activities | Plan will catalyze implementation and scale-up of collaborative TB/HIV activities to reduce global burden of HIV-related TB and avert preventable TB/HIV mortality | Policy endorsed by X partners including X, Y, Z, and disseminated to X countries | \$12,500 USD, including: <ul style="list-style-type: none"> ▪ HR cost ▪ Secretariat: \$10,000 USD ▪ Partner Comms support: \$2,500 USD | \$10,000 USD from Donor x Writing support from partner X | \$2,500 | Communications and advocacy support in disseminating policy | Process planned to take 6 months from Jan – June |

Figure 4

5.3 Use of SMART metrics

WGs metrics should follow “SMART” criteria and focus on outcomes not process as set out in Figure 5.

| SMART principle for WGs metrics | | Focus on outcomes | |
|---------------------------------|--|---|---|
| S imple | <ul style="list-style-type: none"> Does it have a clear definition? Is it straightforward to understand? Can it be easily generated without complex calculations? | Example objective | Example outcome metric |
| M easurable | <ul style="list-style-type: none"> Is it easy to measure? Do we have or can we collect the data required? Can the measurement be defined in an unambiguous way? | Develop country specific tools and training materials | # country specific plans developed and disseminated, including to countries X, Y, Z |
| A chievable | <ul style="list-style-type: none"> Can the WGs responsible for it actually influence it? Do we understand the drivers that are behind it? Can we mitigate the impact of drivers beyond our control? | Convene partners to agree on collaborative TB activities | # partners who endorse shared policy on collaborative TB activities, including partners X, Y, Z |
| R esults oriented | <ul style="list-style-type: none"> Is it relevant to the end goal? Does it support the Global Plan? Is it aligned with the WG's strategy and objectives? | Provide technical guidance to relevant institutions | # institutions provided technical guidance to, including institutions X, Y, Z |
| T ime-bound | <ul style="list-style-type: none"> Can it be measured at a frequency that will allow us to take action based on it and improve? When will we measure it? | Coordinate collaborative TB activities between partners | # collaborative activities coordinated by WG |

Figure 5

6 Strengthened accountability and evaluation

6.1 WG minimum requirements

All WGs that are part of the Stop TB Partnership are required to conform with the same requirements as any other entity of the Stop TB Partnership. These requirements include:

Accountability: WGs are directly accountable to the Coordinating board of the Stop TB Partnership. This includes, but is not limited to being accountable for: implementation of the activities set out in WG's workplan and linked to the Global plan; and, reporting on progress to the Coordinating Board.

Transparency: WGs are required to operate in a transparent manner. This includes complete financial transparency (e.g., with regards to funds received from Partnership but also raised from additional sources)

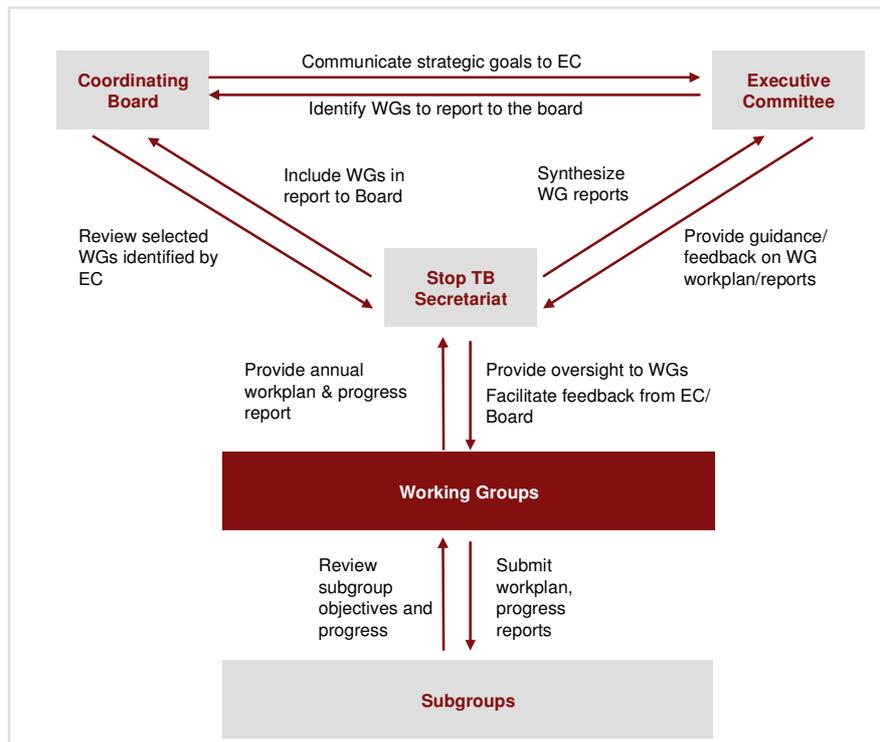
Use of brand: WGs are required to display the Stop TB Partnership logo, and clearly identify themselves as a WG of the Stop TB Partnership on all publications, press releases, and online presence

Communications: WGs are required to proactively communicate with other parts of the Stop TB Partnership. In particular WGs must ensure regular updates are provided to Partnership Secretariat regarding WG activities and upcoming events

The Partnership is responsible for supporting entities of the Stop TB Partnership. This includes oversight, strategic guidance, communications and advocacy support and financial assistance where appropriate and available.

6.2 WG reporting

WGs report on a regular basis, supported by focused sessions on WGs identified by EC at board meetings as outlined in Figure 6.



SOURCE: Interviews w/ Board, working groups and STB Partnership secretariat staff; Review of existing WGs TORs

Figure 6

WGs will report annually on progress to Partnership Secretariat against outcomes and outcome-based metrics identified in workplan. EC provides guidance and feedback to WGs, facilitated by Partnership Secretariat (requires WGs to update Partnership Secretariat on progress). EC, with Partnership Secretariat identifies select WGs to report to Board based on issues.

7. Supportive communications

7.1 Formalized communication process

To fulfill the purpose of the Working Groups, we need better communication among all bodies. The role of each Partnership body in supporting communications is set out in Figure 7.

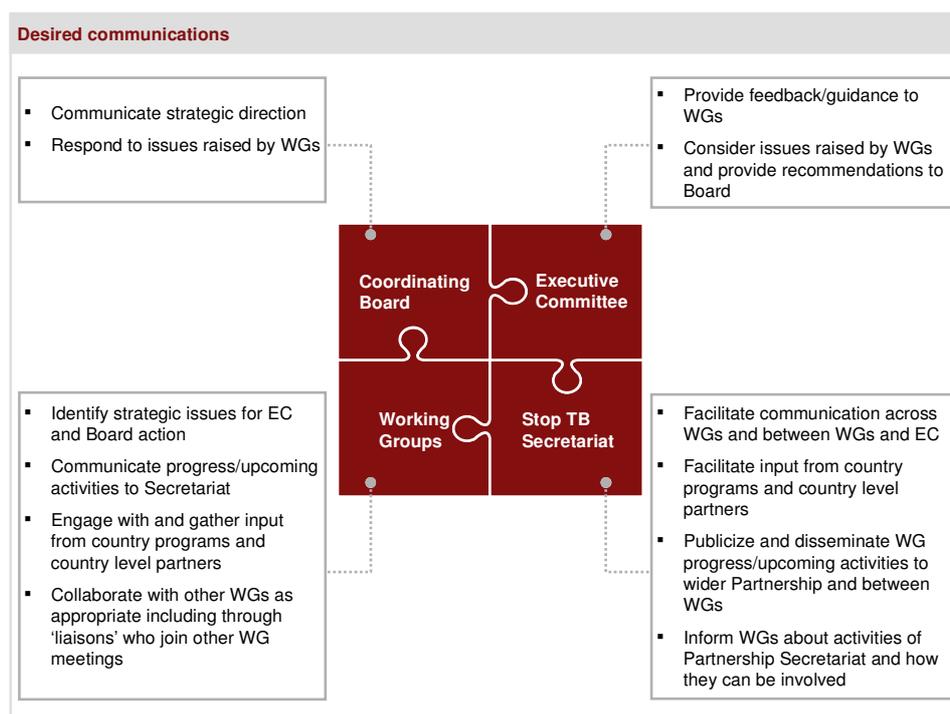
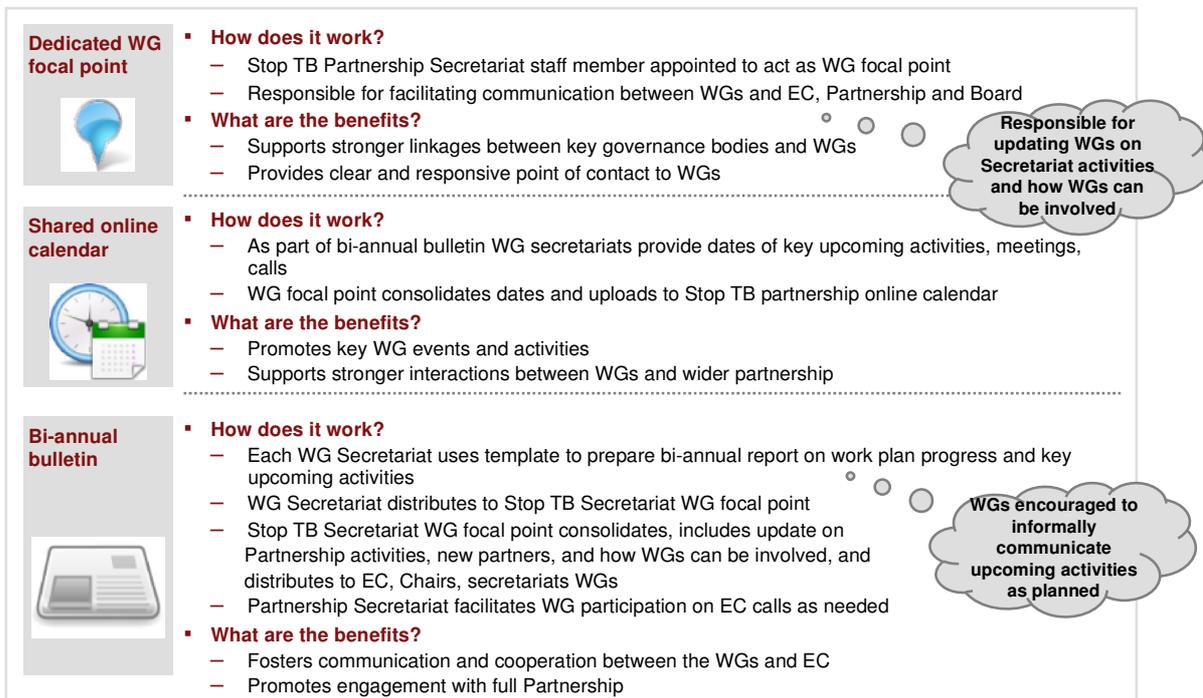


Figure 7

All Partnership bodies play important role in supporting positive communication flow. Partnership secretariat plays a critical role, including supporting WG through: publicizing documents/achievements; linking WGs with relevant Partners identified in segmentation; and, Incorporating WGs messages into advocacy where appropriate. For the Partnership secretariat to fulfill this role requires visibility of WG activities/progress. A range of tools will be used to support Improved communications as set out in Figure 8.



SOURCE: Interviews w/ Board, working groups and STB Partnership secretariat staff; Review of existing WGs TORs

Figure 8

7.2 WG board seats responsibilities

The Coordinating Board includes two seats representing WGs: one for the New Tools WGs (New Diagnostics, New Drugs, New vaccines); and, one for the four Implementation WGs (TB/HIV, GDI, GLI, DOTS expansion).

Responsibilities of representatives include the following:

- Before board: Consult constituencies on challenges, strategic issues, progress to take to board, and other Board agenda items
- During board: Represent views of whole constituency – not just specific WG
- After board: Provide report back to WGs on key outputs and guidance from board

WG chairs should decide representatives for board meetings collaboratively, ensuring the position is fairly rotated.

8. Appendix

As part of this effort we have conducted 50+ Interviews

| Board Members | WG chairs | Other stakeholders |
|--|---|--|
| <ul style="list-style-type: none"> ▪ Joanne Carter ▪ Mario Raviglione ▪ Austin Obiefuna ▪ Aaron Oxley ▪ Cheri Vincent ▪ Amy Bloom ▪ Michael Kimerling ▪ Ken Castro ▪ Kitty Van Weezenbeek ▪ Sara Nichols | <ul style="list-style-type: none"> ▪ Jeremiah Chakaya ▪ Netty Kamp ▪ Steve Graham ▪ Evan Lee ▪ William Wells ▪ Thomas Shinnick ▪ Mark Perkins ▪ Daniela Cirillo ▪ Melvin Spigelman ▪ Barbara Laughon ▪ Max Meis | <ul style="list-style-type: none"> ▪ Carrie Tudor ▪ Rumina Hasan ▪ Pervaiz Tufail |
| <ul style="list-style-type: none"> ▪ Colleen Daniels ▪ Salmaan Keshavjee ▪ Carole Mitnick ▪ Erika Arthun | | |
| Partnership Secretariat Staff | WG secretariat staff | Country representatives |
| <ul style="list-style-type: none"> ▪ Lucica Ditiu ▪ Elisabetta Minelli ▪ Shirley Bennet ▪ Julia Geer ▪ Suvanand Sahu ▪ Young-ae Chu | <ul style="list-style-type: none"> ▪ Malgosia Grzemska ▪ Annemieke Brands ▪ Mukund Uplekar ▪ Haileyesus Getahun ▪ Karin Weyer ▪ Cherise Scott ▪ Uli Fruth ▪ Jennifer Woolley ▪ Alessandra Varga ▪ Chris Gilpin ▪ Paul Jensen | <ul style="list-style-type: none"> ▪ Fraser Wares ▪ Vineet Bhatia ▪ Annabel Baddeley ▪ Monica Dias |
| | | <ul style="list-style-type: none"> NTP managers ▪ Joshua Obasanya, Nigeria¹ ▪ Dyah Mustikawati, Indonesia¹ ▪ Alena Skrahina, Belarus¹ <p>Country based representatives</p> <ul style="list-style-type: none"> ▪ Timur Abdullaev² ▪ Thokozile Beatrex Nkhoma² ▪ Lisa Obimbo¹ |

1 Provided input via email

2 Also board members

Figure 9

Proposal: A simple, bi-annual bulletin to provide update of WG activities

| <u>PROGRESS UPDATE</u> | | | |
|-------------------------------|---------------------|--------------------------------------|---------------------------|
| Recent activity | Key outcomes | How we will take this forward | Additional details |
| <hr/> | | | |

| <u>UPCOMING ACTIVITIES</u> | | | |
|-----------------------------------|------------------------|--------------|-----------------------------------|
| Upcoming activity | Desired outcome | Dates | How others can be involved |
| <hr/> | | | |

SOURCE: Interviews w/ Board, working groups and STB Partnership secretariat staff; Review of previous workplans

Figure 10

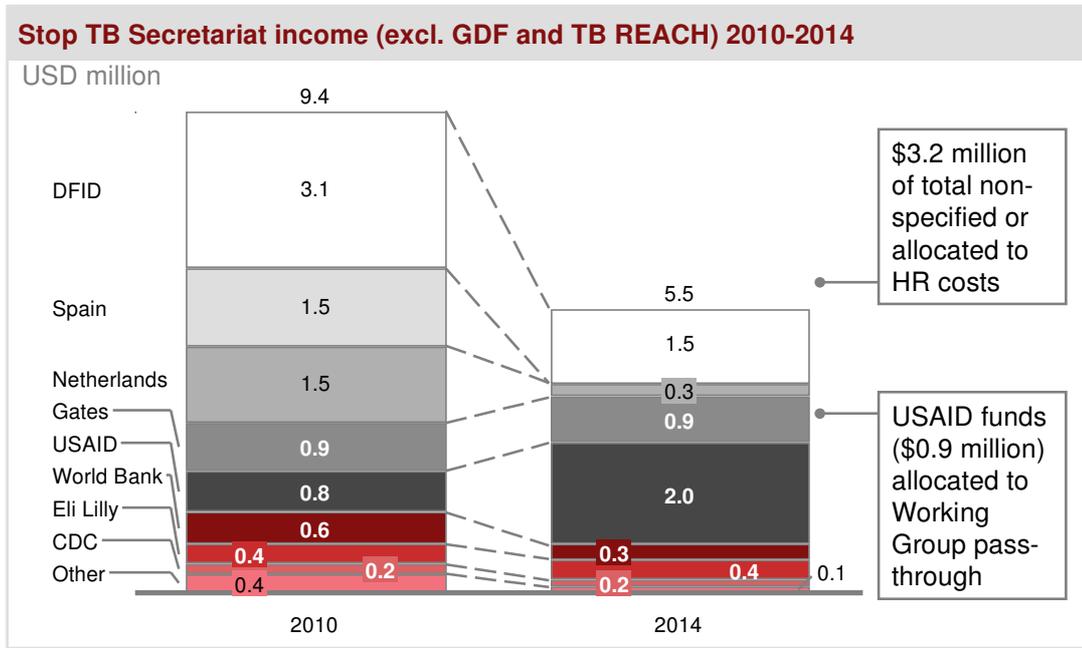
Proposal: A standardized annual report on WGs progress

| | What we did - WG activities | How activity linked to Global Plan - Global Plan component addressed | Success of activity – Outcome based metrics | Financial cost | Support (financial & non-financial) from other sources | Finances from Stop TB Partnership | Non-financial support requested from Stop TB Partnership Secretariat | Additional Notes |
|---------------------|---|---|--|---|---|---|---|--|
| Key question | What activities did the WG undertake? | How did this activity link to a component of the Global Plan | What outcomes did you achieve through the activity? | How much did the activity cost? | What support did you secure for this activity? | What support did you receive from the Stop TB Partnership? | How did the Partnership Secretariat support you in this activity? | Any further details you think are important to note? |
| Guidance | Make sure to include all activities the WG will undertake, including activities for which funding has been secured from other sources | Outline which component of Global Plan activity will support | Make sure to use the outcome metrics you identified as part of the original workplan | Make sure to breakdown the overall cost into component parts where appropriate (e.g., HR, Comms. Meetings cost) | Make sure to include all donor funding and in kind support (e.g., comms, advocacy, personnel) to the WG | How much funding did you receive directly from the Partnership? | Outline non-financial support received from the Partnership | Outline anything else that is important to include |

SOURCE: Interviews w/ Board, working groups and STB Partnership secretariat staff; Review of previous workplans

Figure 11

The Secretariat has had declining donor funding from a diminished pool of donors



Note – Excludes funding for GLI, GLC, TBTEAM through Secretariat; Projected income based on signed agreements
 SOURCE: Stop TB donor funding allocation 2014, Stop TB financial statements, 2010-2013.

Figure 12