Oversight Committee
Terms of Reference

May 17, 2019

Background

In 2018, as part of the process of applying for its final transition grant from the Global Fund, the Romania CCM appointed a new three-person Oversight Committee after some years of functioning without one. A baseline assessment conducted as part of the CCM Evolution project in late 2018 identified a need to revise the Terms of Reference for the Oversight Committee so that (a) its composition is better aligned with the transition grant and (b) the oversight function is regularized as a core part of CCM process. The aim is to achieve a basic level of oversight functionality with respect to the grant so that it can then be considered how such a function will be evolved in accordance with whatever post-transition future for the CCM is decided upon. It is also assumed that concentrating the bulk of the grant oversight function at Oversight Committee level will free up the CCM to concentrate on evolving its future strategic positioning and function.

This iteration of the Terms of Reference for the Oversight Committee for Romania CCM, therefore, is specifically designed with a view to reinstating the oversight function with respect to the CCM's final grant from the Global Fund. It is anticipated that the scope of the oversight function will need to be revisited once the CCM has completed its deliberations about its future post-transition function and placement.

The Oversight Committee Mandate

The Oversight Committee is mandated by the Romania CCM to oversee the implementation of the transition grant. The core principle of such oversight is to ensure that the grant resources - financial and human - are being used efficiently and effectively, in accordance with the grant workplan, and for the benefit of the country.

The responsibility for implementing the grant rests with the PR. The CCM's oversight function entails a constructive and collaborative relationship between the grant implementers and the oversight committee such that they work together to identify and resolve key risks and challenges to the effective implementation of the grant. This document outlines the terms by which the Oversight Committee delivers on its mandate.

Oversight Committee Composition

- The Oversight Committee is composed of a minimum of 6 and maximum of 10 members. (See Annex 3 – list of Oversight Committee Members)

- These members are appointed, by the CCM, on the basis of a core set of skills and expertise required to oversee the grant. Specifically, these core skills and areas of expertise are as follows:

    1   Health financing expert
    1   Legal expert
    1   Key population programming expert
    1   Harm reduction expert
    1   TB expert
    1   PSM expert
    2   Grant management experts (1 programs & 1 finance - ideally at least one of which should have risk management experience.)

It is possible that one member may have more than one core skill set, in which case total number of committee members can be reduced. The important principle behind the membership composition is to ensure a spread of expertise that covers the technical scope of the grant (see Annex 1 for a list of the key grant activities.)

- Where these types of core technical expertise are available within the CCM Oversight Committee membership can be recruited from within the CCM. Non-CCM members can be appointed to the Oversight Committee where the requisite technical expertise is not available within the CCM membership or to avoid conflict of interest (see following point.)

- Grant implementers (PRs and SRs) cannot be members of the Oversight Committee – to avoid Conflict of Interest there has to be a clear separation between the implementation and oversight roles.

- The appointment of the Oversight Committee members is to be endorsed by the CCM and the endorsement documented.

- The Term of Membership on the Oversight Committee is two years with the option of re-appointment by the CCM for one additional two-year term.

- The Oversight Committee Chair shall be elected every two years by a simple majority vote of the Oversight Committee members.

- Three or more absences from Oversight Committee meetings in one calendar year shall result in forfeiture of membership. The CCM will then identify and appoint a new member to represent the same skill set or area of expertise on the Oversight Committee.

Oversight Committee Responsibilities

The Oversight Committee is responsible for providing strategic oversight to the transition grant in three main areas:

- **Financial** - ensuring appropriate, timely, and effective use of Global Fund monies in accordance with the grant budget.

- **Operational** - ensuring that reporting, communication and information flows are sufficient and timely, and that implementer roles and responsibilities are assigned and understood.

- **Performance** - ensuring the achievement of the planned results in the Performance Framework through (a) the effective and timely implementation of the grant work plan and (b) the identification and mitigation of key risks to the achievement of the grant objectives.

"Strategic Oversight" with respect to these three areas is not the same as monitoring and evaluation, which is a PR role, or audit, which is an LFA role. The focus of strategic oversight is the identification and resolution of systemic, "big-picture" issues which threaten the achievement of grant objectives. Typically, such issues are, for example, capacity, structural, political, or legal framework issues that require a higher-level intervention than the implementers alone are capable of.

Oversight Committee Activities

1. **Quarterly Meetings**

- The Oversight Committee convenes four times a year in accordance with an annual meeting schedule developed by the CCM Secretariat by the beginning of each calendar year.

- Oversight Committee meetings take place at least one week prior to the scheduled CCM meetings. This is to ensure that strategic issues identified at Oversight Committee meetings that require a CCM decision can be promptly addressed at the next CCM meeting.

- At each Oversight Committee meeting the PR (and other implementers as required) give a brief presentation about progress against the grant workplan and performance indicators. The CCM Secretariat may develop a standard presentation template for the PR to use to give this presentation. The progress update should cover the following at a minimum:

  a. Progress toward key grant workplan milestones

  b. Progress towards performance indicators

  c. Challenges/obstacles encountered and plans to address them

  d. Anticipated or emerging risks and plans to mitigate them

  e. Budget burn rates

- In most cases the Oversight Committee will be offering constructive guidance to the PR about how to address challenges and bottlenecks. If a decision is required the Oversight Committee can refer the issue up to the CCM with an indication of its recommended course of action. The CCM will then decide the matter.

- A quorum for an Oversight Committee to proceed is 50% of members.

- The Chair of the Oversight Committee gives a summary presentation of the key strategic issues identified during Oversight Committee meetings at the following CCM meeting. A key focus of this presentation is to flag up critical performance issues that require CCM deliberation, influence and/or support to address and resolve.

2. **Site Visits**

- As part of its annual work plan of activities the Oversight Committee can schedule site visits to help identify strategic or systemic issues at grant implementation level. The number and frequency of such visits will be commensurate with the scale of the grant – likely no more than 2 per year for the transition grant. Visits should take place prior to scheduled Oversight Committee meetings and key findings should be documented and reported to the committee for consideration.

- Sites to visit are selected on the basis of their strategic importance to the success of the grant. Annex 2 contains a simple tool to guide data collection for such visits – it may need further adaptation to the transition grant.

- Site visit teams should be of a manageable size (3 to 5 people) and constituted on the basis of technical expertise relevant to site being visited. Team members can be from the Oversight Committee, the CCM and/or co-opted from outside the CCM structure if the needed technical expertise is not available from within the OC/CCM membership.

CCM Secretariat Support to the Oversight Committee

- An annual workplan of oversight activities (inclusive of meeting and site visit dates) is to be shared with the oversight committee at the beginning of each calendar year. This schedule is to be aligned with the annual calendar for CCM meetings.

- Agendas and meeting minutes for the Oversight Committee meetings are prepared by the CCM Secretariat.

- Draft agendas are to be sent out one week prior to the scheduled meeting.

- Meeting minutes are to be circulated within one week after the meeting.

- The CCM Secretariat can support the Oversight Committee Chair as required to prepare the summary presentation to the CCM.

- Follow up is a critical issue that requires Secretariat Support as follows:

    a. All recommended actions coming out of the Oversight Committee meeting are to be documented by the Secretariat in meeting minutes with indicative timelines and persons responsible.

    b. The Secretariat ensures that the responsible person(s) report on progress against such actions at their presentations in subsequent meetings.

    c. Decisions made by the CCM on the recommendation of the Oversight Committee are to be reported back to the Oversight Committee by the Chair.

Oversight Committee Member Induction

As a minimum all oversight committee members will need the following in order to prepare them for their role:

- An induction in the principles of oversight
- An introduction to the scope of the grant
- A copy of the Performance Framework for the grant
- A copy of the grant Workplan and Gannt
- A copy of the grant budget

Annex 1 – Key Transition Grant Activities

1. Set-up dedicated Unit for Policy Planning and Implementation within MoH

2. Pilot the new contracting mechanism with two experienced NGOs providing support services for KVP

3. Develop community based integrated model of harm reduction services for KVP

4. Develop/review secondary legislation and standard operating procedures for assuring real access of key population to effective prevention and treatment services

5. Strengthen the procurement capacity of MoH and NTP

6. Prepare and implement ambulatory care reform in TB field

A complete list of grant activities is detailed in the Workplan embedded below:

ROU-T-
MoH_Workplan &

**The Romanian Country Coordination Mechanism
for the HIV/AIDS and Tuberculosis Programs**

Annex 2 – Site visits tool

CCM – [XXX] Site Visit Planning and Reporting Template

Grant:	
Visit Dates Scheduled:	
PR:	
SRs (sites):	

(1) Planning (to be completed before the site visit by the Oversight Committee)**:**

Information Source	Key Issues for the Site Visit to Follow Up On	Site Visit Team's Expertise/Experience Needed (Please ✔)					
		PLWD / KAP	Disease	Finance	PSM	Program	Other….
Target Beneficiaries	•						
CCM & Oversight Committee	•						
PU/DR, GPR	•						
Country Team, OIG, LFA	•						

(2) Site Visit Team Members Roles and Responsibilities (to be completed before the site visit by the Oversight Committee)**:**

Name of Team Member	CCM Role (OC member/alternate, Non-OC CCM member/alternate, Non-CCM)	Expertise/Experience (PLWD/KAP, Disease, Finance, PSM, Program, Other)	Issue(s) to Focus on During Site Visit (specific questions from Table 1 above to ask)	Information Source (interview, focus group, observation)

Sample Questions for Team Members to consider:

PLWD/KAP – (1) What do you think of the service you have received here today or last time? (2) What aspects of the services you like? And Why? (3) What aspects of the services you do not like? And why? (4) Were there any difficulties for you to get to the service last time you used it? And why?

Finance – (1) Did you receive your last disbursement? If so, when did you receive it and how much was it? (2) Do you still have funds in your account? (3) May we review together your disbursement plan for SRs and sub-SRs?

PSM – (1) When did you receive your last delivery of drugs or supplies? (2) When did you last order more drugs or supplies? (3) Do you have any stock-outs today? (4) Have you sent drugs or supplies to SRs or sub-SRs?

Program – (1) Have you received the SR reports on time? May we review together the SRs' activities according to their work plans? (2) Have you hired the staff as planned in the Global Fund project? (3) Is there evidence of harmonization of Global Fund activities with the other activities of the site?

(3) Site Visit Findings (to be completed on the last day of the site visit by the Site Visit Team)**:**

Issues from Table (1) Planning above	Key Findings	Recommendations	Suggested Timeline	Oversight Committee's Action on Site Visit Team's Recommendations

Site Visit Team Member Names	Signature	Date

Annex 3 – list of Oversight Committee Members

Oversight Committee Members 2019

Area of Expertise	CCM	Non-CCM
Health financing		**Mirela Alexe (Chair)**
Law		**Oana Preda (CeRe)**
Key population programming	**Ion Manea (PSI)**	
Harm reduction		**Ionuț Jugureanu (Parada)**
TB		**Dr. Antonela Dragomir (IP dr Marius Nasta, Catedra de Pneumologie Univ. Carol Davila)**
Procurement and supply management		**Costel Slave**
Grant management (programmes)		**Dr. Lucia Mihăilescu**
Grant management (finance)	**Georgiana Coșoveanu (Janssen)**	