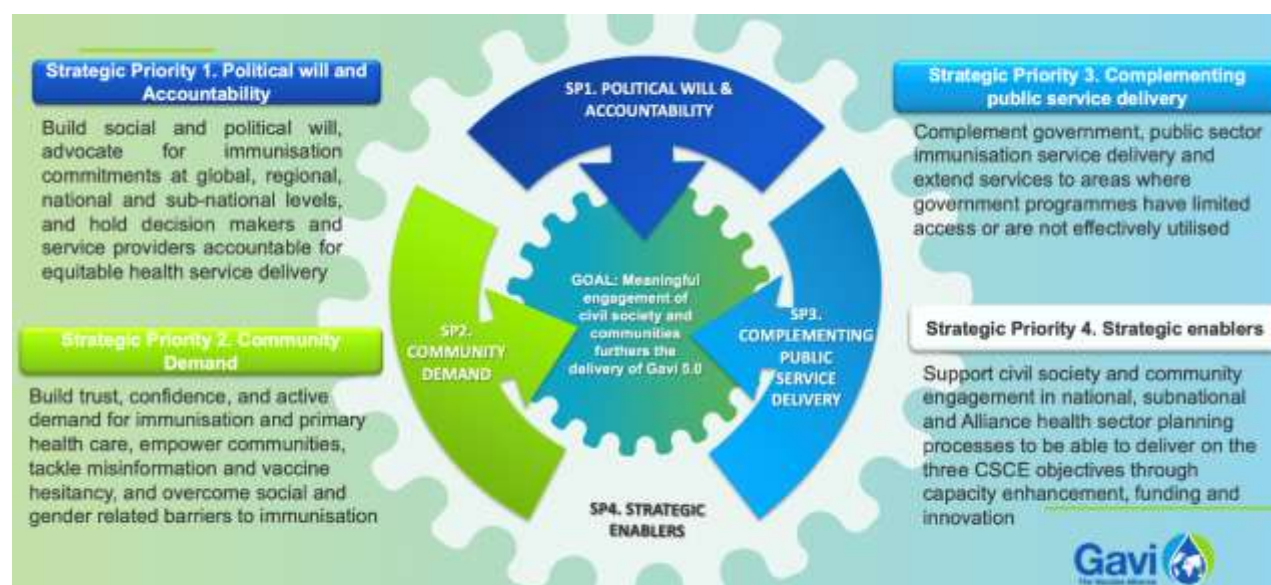


Annex A: Gavi Civil Society and Community Engagement Approach

1. Gavi Civil Society and Community Engagement Vision and Strategic Framework for Gavi 5.0

- 1.1 Effective civil society and community engagement will contribute significantly to reaching all four Gavi 5.0 goals in line with the strategy's guiding principles, particularly **advancing gender equity**, and being **collaborative**, **differentiated**, **innovative** and **prioritising missed communities**.
- 1.2 Working closely with the CSO Steering Committee and through consultations with other Alliance stakeholders, a **strategic framework** was developed for the CSCE approach, constructed from a detailed **Theory of Change** (see *Annex B*). Three **Strategic Priorities** are envisaged, as well as a crosscutting set of **Strategic Enablers** in order to achieve them, as illustrated in Figure 1.

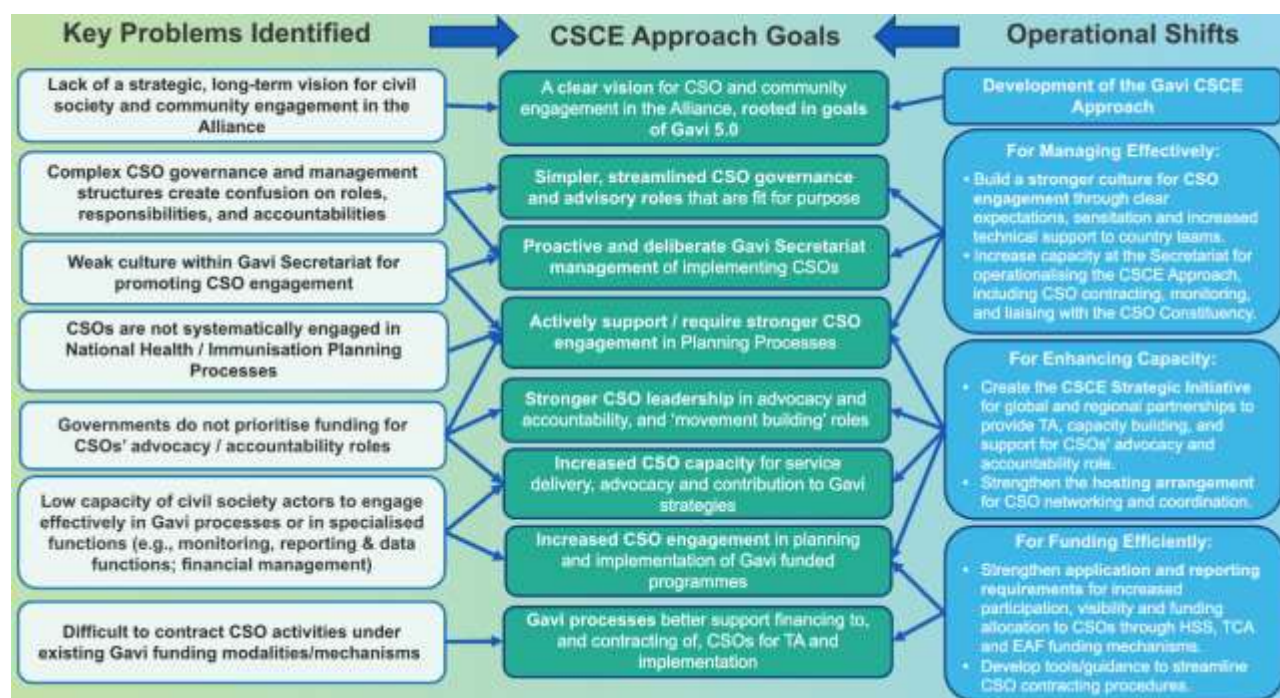
Figure 1: Strategic Framework for Gavi's Civil Society and Community Engagement



2. Operationalisation of Gavi CSCE Approach

In order to ensure the success of the CSCE approach, a number of **operational shifts** are required to create the necessary enabling environment for more effective CSO engagement. These are grouped into the three areas of **managing effectively**, **enhancing capacity**, and **funding efficiently** (See *Figure 2*). Drawing on our Theory of Change, this section describes the operational shifts already underway within the Secretariat and outlines a proposal for a new **Civil Society and Community Engagement Strategic Initiative** (CSCE SI) to enhance civil society capacity for successful implementation of the approach.

Figure 2: Turning CSO engagement problem statements into solutions



2.1 **Managing effectively:** The Secretariat is working to develop a **stronger culture for CSO engagement** through **sensitisation and increased technical support** for Country Teams to ensure that civil society and community engagement is prioritised in the design of Gavi investments.

2.1.1. Management shifts already underway within the Secretariat include:

- Updating job descriptions and onboarding processes for **Senior Country Managers (SCMs)** and **HSIS Focal Points** to emphasise and standardise expectations for CSO engagement and management across all countries, including those designing new Gavi investments.
- Recruiting the new **CSCE Senior Manager** position created within the organisational review. This will be a catalytic role for strengthening the Secretariat culture for CSO engagement that will involve championing, advocacy, staff sensitisation, and hands-on technical support within Country Programmes to help increase country level **CSO programmatic implementation** through Gavi's existing funding mechanisms.
- Ensuring adequate support for **CSO contracting** as part of the newly created **Programme Support Team** within Country Programmes, and through early engagement with the Procurement and Legal teams to ensure appropriate technical expertise in new staff recruitment and anticipate increased needs to avoid CSO implementation delays.

2.1.2. The Secretariat acknowledges there may be capacity-related risks associated with the operationalisation of the CSCE approach, and will closely monitor

implementation of the approach to flag whether any additional capacity needs are identified.

2.2 Enhancing Capacity: Strategic investments in enhancing civil society capacity are key drivers in the **Theory of Change** for the CSCE approach. Through **PEF Targeted Country Assistance (TCA)** and the **CSCE Strategic Initiative (CSCE SI)** proposed below, **CSO capacity will be strengthened to engage more effectively in Gavi specific processes** such as the **Full Portfolio Planning (FPP)** and **Joint Appraisals**. These efforts will also increase funding access for programme implementation and CSO engagement in advocacy and accountability.

2.2.1 In order to create an **enabling environment to enhance civil society capacity**, the **CSCE Strategic Initiative (CSCE SI)** is proposed as shown in Annex B. Under the new PEF structure, the CSCE SI would facilitate **time-limited, catalytic investments to enhance CSO capacity** at global and regional levels designed to support increased access to country-level Gavi funding mechanisms over time.

2.2.2 Previous efforts to strengthen CSO coordination and representation through **Type A support** and CSO programmatic implementation through **Type B support** were ineffective due to heavy application requirements and the short-term pilot nature of funding. However, the intention of the CSCE SI is to build CSO capacity to access **predictable, more sustainable, multi-year funding**, and through closer collaboration with parallel global health initiatives to **increase efficiencies, reduce fragmentation** and encourage longer term investments in **strengthening civil society space**.

2.2.3 Activities implemented through the **CSCE SI** would include:

- Establishing a more ambitious **hosting arrangement** to perform the following functions: support the CSO Constituency and Steering Committee in liaising with the Secretariat; advisory support to CSO representatives in Gavi governance; external coordination with regional CSO platforms and partners; and establishing a **CSCE Community of Practice** to enhance networking, communication and learning across the Alliance, the Gavi CSO Constituency and the broader public health space. With an anticipated increase of resources as part of the Strategic Initiative we propose launching a **competitive process** in 2021 to enable a new multi-year hosting arrangement to be in place by the beginning of 2022.
- Leveraging existing **regional CSO platforms**, such as those supported by the **Global Fund Community, Rights and Gender (CRG) Strategic Initiative, GFF and other partners**, to **build CSO capacity** through **peer-to-peer learning**, conduct and disseminate research findings on TA effectiveness, and facilitate cross-country communication.

- Supporting **regional and global advocacy and accountability efforts**, not prioritised through existing country-level funding mechanisms.¹
- Providing catalytic funding for **testing, learning and scaling of innovative CSO led approaches** in selected countries as part of the wider **CSCE learning agenda**.

2.2.4 Even with planned capacity building efforts, working with smaller, more local organisations requires a higher risk appetite. These risks will be **managed and mitigated** in a number of ways, including **working through carefully selected umbrella or partner organisations** and providing **strong oversight and management** at every stage of the process.

2.3 **Funding efficiently:** Evaluation findings and consultation feedback have highlighted the need to optimise Gavi financing mechanisms for CSOs. The operational shifts described above will create an **enabling environment for CSOs to access Gavi funding**. In addition, the Secretariat will strengthen language in Gavi's **Application Kit** to require CSO participation in Gavi processes and adapt reporting requirements to ensure adequate visibility on CSO financial and programmatic inputs. The Secretariat will develop a set of tools and guidance to streamline CSO contracting procedures, including **programmatic and financial capacity assessment requirements**.

2.3.1 **HSS** and **TCA** will continue to be the main sources of country level financing for CSOs. However, the \$500M **Equity Accelerator Fund (EAF)** described in the Strategy, Programmes and Partnerships Update (see Doc 03) is another key funding stream with the potential to drive equity focused CSO activities, including US\$100M dedicated to support immunisation service delivery in **fragile, conflict and cross-border settings** outside government reach. The Secretariat has also proposed an aspiration for up to 30 percent of **PEF-TCA** to be channeled through local partners in Gavi 5.0, a significant increase from an average of 2 percent under Gavi 4.0. PEF TCA can provide funding for CSOs to build capacity of other partners, including government and community-based actors.

2.3.2 To increase CSO access to HSS, EAF and TCA, the CSCE SI will more systematically map potential CSO partners and enhance their capacity, while the Secretariat will more deliberately advocate for governments to engage CSOs in Gavi-funded programmes.

¹ The CSCE SI can build on the **Joint Learning Agenda**, a partnership with GFF, Global Fund, PMNCH, UHC2030 and others, to build **CSO capacity in health financing and budgeting advocacy**. This programme falls under the **Sustainable Financing for Health Accelerator** of the Global Action Plan to reach SDG3, and can provide knowledge to enable evidence-based advocacy for further investment across Gavi priority countries.

- 2.3.3 **There is a risk that the proposed shifts may not be sufficient** to increase CSO engagement in Gavi-supported programmes. A number of countries will face a reduction in HSS and TCA ceilings in Gavi 5.0 and, despite additional funding available through the EAF, governments may not choose to prioritise CSO support. The Secretariat is therefore requesting PPC guidance on whether to require that each country channel a minimum amount (e.g., 10%) of HSS and TCA funding to CSOs². If ringfencing funds for CSOs is recommended, this will be brought for PPC and Board decision as part of the HSS funding policy. Figure 3 below illustrates the trade-offs associated with ringfencing.

Figure 3: Trade-offs of ringfencing funding for CSOs

OPTION 1	OPTION 2
<p>Recommend a percentage of HSS funding for CSOs (e.g., 10%), and maintain aspiration of 30% TCA channeled through local partners. Rely on operational shifts through the CSCE approach to increase allocation of funds to CSOs through HSS and PEF-TCA, to be monitored over time.</p> <p>Strengths:</p> <ul style="list-style-type: none"> Minimises complexity in Gavi processes through use of existing FPP dialogue and reduces fragmentation of HSS Enables governments to determine how and where CSO engagement should be prioritised and enables tailoring of the level of CSO investment to country context <p>Weaknesses:</p> <ul style="list-style-type: none"> May have a long time-lag before effects are seen on funding allocation. Without a strong requirement unlikely to shift the level of funding provided to CSOs in a meaningful way 	<p>Require a minimum portion of funding for CSOs within HSS and TCA (e.g., 10%) unless countries can provide a robust rationale to the relevant review committee for why this is not appropriate in their context.</p> <p>Strengths:</p> <ul style="list-style-type: none"> Ensures dedicated funds are available for CSO engagement in countries where this support may not have been prioritised. Would result in increased funding allocation to CSOs over a shorter time-frame. <p>Weaknesses:</p> <ul style="list-style-type: none"> Risks fragmenting HSS and TCA windows of support and adds complexity through parallel grant design and/or disbursement. Risks funding going to lower priority areas, particularly if CSO engagement is supported through other funding sources May be seen to undermine government ownership.

- 2.4 **Implementation Plan:** The roll-out of the CSCE approach will be phased at country level, first focusing on countries expected to enter the FPP process in 2021-2022, as well as priority countries with high numbers of zero-dose children or urgent demand issues with COVAX. The Secretariat will also seek to ensure CSO engagement is prioritised in the programming of 2022 TCA and in the development of country applications to access EAF.

- 2.4.1 Further **differentiation at country level** will be based on a **maturity model**, organising countries into **four groups** depending on the capacity of national CSO constituencies to engage in Gavi processes: **Group 1:** Countries with a mature CSO constituency that require little additional support; **Group 2:** Countries with an increasingly mature CSO constituency that will require some additional TA; **Group 3:** Countries with demonstrated need for increased CSO capacity that will require significant TA; **Group 4:** Fragile and conflict countries where CSO collaboration will primarily involve INGOs and humanitarian agencies due to country context. **Gavi's level of**

² Countries might be able to exceptionally invest a lower amount where they can provide a robust rationale for why this is appropriate in their context

engagement will differ by grouping, with the Strategic Initiative investing most significantly in Groups 2 and 3. EAF funding will provide additional, dedicated support to Group 4.

- 2.5 **Learning Agenda:** The Secretariat, CSO Steering Committee and Partnerships Team will oversee ongoing monitoring and evaluation of the overall approach. A range of process and implementation indicators will be monitored by the Secretariat to determine if the measures proposed for strengthened management, capacity building and financing are successful in creating an **enabling environment for effective and sustainable CSO engagement**, to achieve the desired outcomes of the CSCE approach. There is a risk that CSO contribution to political will building, demand generation and immunisation service delivery will be difficult to quantify, which will be mitigated to the extent possible through the CSCE learning agenda.
- 2.5.1 **Key questions for the learning agenda** will include i) how effective is the CSCE approach in increasing the engagement of civil society and communities in Gavi programming, including successes, challenges and areas for improvement ii) has there been sufficient progress in increasing CSO programmatic implementation through Gavi's existing funding mechanisms iii) what innovative CSO led approaches need to be scaled up to a wider group of countries iv) how have CSOs contributed to equitable COVID-19 vaccine introduction v) what contributions are CSOs making to reach zero-dose children and missed communities in Gavi programming vi) What contributions are CSOs making to national political will building and improving the sustainability of national immunisation.
- 2.5.2 **Key indicators** will be tracked at different levels including: i) A Strategy Implementation indicator for HSS budget allocation to CSOs as a proxy for overall CSO engagement ii) TCA budget allocation to local partners iii) Process indicators on number of countries with CSO participation in FPP, CSO implementation at country level, and contracting timelines, and iv) Learning questions on CSO programmatic engagement included in the **learning agenda of the Monitoring and Learning plan**.
- 2.5.3 **Targeted implementation research** and documentation to address key learning questions around CSO engagement will be funded under the **CSCE SI**. An evaluation is proposed at the end of the strategic period to evaluate the success of the overall CSCE approach.
- 2.6 **Accountability:** Given the autonomy of civil society, a key element of the new approach will be to monitor Gavi's investments and implementation closely to ensure that civil society is sufficiently represented and engaged in national immunisation programmes, as part of ensuring that governments are held to account. Few countries have effective mechanisms in place for monitoring and reporting on the size and quality of civil society and community engagement, particularly at subnational levels. The proposed Strategic Initiative provides an opportunity for learning, particularly in the social accountability and community

monitoring space. As a first step for Gavi there is a need to develop a **robust accountability framework for the new approach including building in safeguarding requirements**. As the CSCE SI is developed there could be **opportunities to align** with and build on independently hosted oversight and accountability mechanisms supported by World Bank, GFF, and Global Fund to Fight AIDS, Tuberculosis and Malaria, including the use of scorecards and independent monitoring.