

SUBJECT: 2021-2025 MEASUREMENT FRAMEWORK

Agenda item: B

Category: For Information

Section A: Executive Summary

Context

Key shifts in the Gavi 5.0 strategy objectives and goals necessitate new ways of approaching monitoring and evaluation (M&E) that build upon the lessons learned from Gavi 4.0.

Improvements in the Gavi 5.0 M&E system will include 1) developing a theory of change underpinning the Gavi 5.0 strategy goals and objectives with well-articulated causal pathways and key assumptions; then using this to outline the measurement and learning objectives from the outset of the strategy period, establish indicators interlinked across the results chain (i.e. the measurement framework) and risks that are routinely monitored and used for timely performance management and shared accountability for delivering results.

In October 2020, the PPC was requested to provide guidance on the approach to development of the 2021-2025 M&E system, and more narrowly, the principles and process for development of the Gavi 5.0 strategy performance measurement framework, as described in this paper. More recently, the Gavi 5.0 Measurement Framework Technical Working Group (TWG) discussed indicator options for measuring “zero-dose” children.

Questions this paper addresses

- 1) What approaches, principles and processes does the Gavi Alliance intend to develop and use for managing performance, monitoring progress, demonstrating accountability and generating learning for achieving the 2021- 2025 strategy objectives?
- 2) How will the Gavi Alliance measure “zero-dose” children in the 2021-2025 strategy?

Conclusions

The Programme and Policy Committee (PPC) expressed strong support for the proposed structure, principles and process for developing the 2021-2025 M&E system and approach to evaluations, which will rely on theory of change to underpin the the measurement framework and evaluation workplan. In a recent meeting of the Gavi 5.0 Measurement Framework TWG, it was agreed that lack of

DTP vaccine (no doses of DTP) should be the indicator for “zero-dose” children as described in the Gavi 5.0 strategy one-pager.

Section B: 2021-2025 Measurement Framework

1. Learning from Gavi 4.0 to develop the Gavi 5.0 M&E system

1.1 Gavi introduced the Gavi 4.0 Alliance Accountability Framework (AAF) to support implementation, progress monitoring and accountability for delivering on the 2016-2020 strategy. This was the first time Gavi defined monitoring and accountability components across the Alliance.

1.2 In trying to implement the AAF, some limitations were identified and required a refresh of some of the strategy indicators, with Gavi Board approval in 2018. A recent broader indicator review identified opportunities for further strengthening of measurement and accountability as part of operationalisation of Gavi 5.0. Key limitations of the 4.0 measurement framework include: 1) lack of clear understanding of the theory underpinning how Gavi’s strategy and investments would lead to delivery on the 4.0 goals and objectives; 2) the reporting frequency evolved after the indicators were developed and without full consideration of how these would be used to manage performance and 3) lack of inclusion of monitoring of key risks and assumptions inherent in the strategy and established targets. More specifically:

- in some areas, lack of a developed strategy with clear causal pathways towards achieving strategic objectives led to the selection of indicator(s) that are not well-connected to Gavi investments, e.g. the indicator on integration with other health services was not developed to measure progress on a strategy for improving integration;
- strategy indicators were designed to measure change over the full duration of the strategy period - 5 years. The subsequent shift to utilising the strategy indicators for annual reporting to the Gavi Board and performance monitoring rendered several indicators not-fit-for-purpose, e.g. equity indicators on coverage across wealth quintiles and maternal education require household surveys which are infrequently conducted across countries, resulting in “flat” trends in the indicator which reflect lack of new data as opposed to a measure of whether progress has increased, decreased or stalled; and
- insufficiently linked pathways between the various components of the AAF resulted in fragmented performance management. The disconnect between strategy indicators, Alliance KPIs, PEF milestones and grant performance indicators has limited the Alliance’s ability to 1) ascertain contribution of component parts to achievement (or lack thereof) of the strategy goals; 2) adequately assess progress towards achievement of the strategy objectives; and 3) measure validity of assumptions or

contextual changes that may impact our ability to achieve our strategy objectives.

- 1.3 The proposed M&E system for Gavi 5.0 (Figure 1) identifies the tools and processes to enable learning and improve performance management for delivering on the Gavi 5.0 strategy goals and objectives.
- 1.4 The major shift is the use of theory of change (TOC) to clearly articulate the Gavi 5.0 strategy in a way that enhances our ability to monitor and evaluate it. TOC is an approach that defines the causal pathways by which inputs and processes (e.g. Gavi strategy and support) produce the intended outputs (e.g. vaccine introduction and scale-up) and lead to outcomes (e.g. children immunised) and impact (e.g. deaths averted). As discussed in the joint session of the Evaluation Advisory Committee (EAC) and PPC in October 2018, a TOC can drive good programme design and improve the ability to monitor and evaluate strategies, programmes and policies.
- 1.5 For monitoring, using a TOC approach facilitates the selection of indicators that are linked to the 5.0 strategy objectives and, due to their location along causal pathways, will indicate not only whether the Alliance is on track to meet its objectives, but also where it is off-track allowing for more real-time course correction as part of performance management. An important part of the TOC approach is the identification of key assumptions about our operating context (e.g. conflict and humanitarian emergencies) and risks to the achievement of our objectives – both of which can be monitored.
- 1.6 For evaluations, understanding our TOC will help identify the key learning questions of strategic importance to the Gavi Board and allow for development of the evaluation workplan for Gavi 5.0 at the outset of the strategy period which will be approved and overseen by the EAC with input from the Board. Some initial guiding principles for the proposed approach to evaluations are available in Annex A.
- 1.7 There is also interest in better alignment of evaluations with other targeted learning, such as those arising from audits, programme capacity assessments and implementation research, although this is not the focus of this report. Note: The Audit & Finance Committee (AFC) oversees the Audits & Investigations.
- 1.8 The PPC expressed strong support for using theory of change to underpin development of the 2021-2025 measurement framework and evaluation workplan, and to measure progress along the result chain, which could include the use of process-oriented indicators. In addition, the PPC emphasised the importance of consulting key stakeholders, including countries, and ensuring alignment with similar processes for Immunisation Agenda 2030 and the Sustainable Development Goals, which are ongoing.

Figure 1. Proposed Gavi 5.0 M&E system



2. Gavi 5.0 Measurement Framework

- 2.1 The proposed scope and structure of the Gavi 5.0 measurement framework can be summarised as having two levels as seen in the *Routine Monitoring* box in Figure 1.
- 2.2 Strategy implementation includes tracking input, process and output indicators measuring activities carried out by the Gavi Secretariat, Alliance partners and countries supporting implementation of the Gavi 5.0 strategy. Measurement and routine monitoring of strategy implementation will be detailed in the Gavi 5.0 M&E System document to be made publicly available by the end of 2020.
- 2.3 Strategy performance measurement, the primary focus of this report, measures progress towards achievement of the strategy goals and objectives (i.e. the outputs, outcomes and impact), with shared accountability across the Alliance and reporting to the Gavi Board. This approach to strategy performance monitoring effectively consolidates the strategy and Alliance KPI monitoring in Gavi 4.0 into one set of clearly linked indicators.
- 2.4 The following principles are proposed to guide development of the strategy performance measurement:
- 1) Measurement focus on the causal pathway to achieving Gavi 5.0 strategic goals

- A theory of change underpinning strategic goals and objectives will form the basis for development of the measurement framework.
 - Measurement will be oriented towards monitoring progress towards the 12 strategic objectives described in the Gavi 5.0 one-pager.
 - Indicators along the results chain will allow the Gavi Board to understand whether strategic objectives are likely to be met, as well as the performance of key drivers needed to achieve those objectives.
- 2) Measurement for shared accountability that facilitates performance management
- An emphasis on indicators with available, timely data will provide the Gavi Board with more actionable information across annual reporting cycles. For indicators where timely data are not available, the appropriate time horizon for reporting on results will be made clear.
 - Inclusion of Alliance-wide process or output indicators in the measurement framework, where relevant, will provide intelligence about progress on the casual pathway towards strategic objectives.
 - Parallel monitoring of TOC assumptions (e.g. risks) and operational environment (e.g. humanitarian emergencies) will provide context for interpreting performance.
 - Target setting will be data driven, based on the assumptions underlying our TOC and the investments planned for achieving Gavi 5.0 strategic objectives.
- 3) Alliance ownership of strategy goals and objectives, indicators and targets
- To avoid lack of alignment between indicators for the measurement framework and our strategy and investments, business owners across the Alliance will play an active role in developing indicators.
 - Coordination with Immunization Agenda 2030 M&E framework development and country-level and regional/global M&E frameworks to the extent possible will simplify processes, utilise existing data systems, reduce data collection and monitoring burden and help ensure broader ownership of the Gavi 5.0 strategy performance indicators.
- 2.5 Strategy performance will include: a) approximately three indicators (1-2 outputs and one outcome) for each strategic objective in addition to b) the mission level indicators. Measurement of potential changes in the key assumptions in the strategy TOC, for example related to the context and risk, will also be tracked to contextualize the performance measurement.

3. Process for development of the Gavi 5.0 Measurement Framework

- 3.1 The Gavi Secretariat together with Alliance partners has initiated the process to articulate the causal pathways for the 12 Gavi 5.0 strategic objectives and identify potential indicators to be explored for consideration as part of strategy performance measurement.
- 3.2 A Technical Working Group (TWG, Annex B) will serve as an advisory body to the Gavi Secretariat on technical issues related to development and selection of the strategy performance indicators. Final decision on these indicators remain under the authority of the Gavi Board.
- 3.3 Alliance partners are included on the TWG in addition to the PPC and Gavi Board and will provide both advice on indicators as well as ensure the linkage between Gavi 5.0 strategy performance measurement and similar measurement initiatives such as for Immunisation Agenda 2030 and the Global Action Plan for Healthy Lives and Well-being for All.
- 3.4 Broader formal consultation on the Gavi 5.0 strategy performance measurement with countries, other Alliance partners and stakeholders will occur through coordinated engagement across the Gavi 5.0 operationalisation workstreams.
- 3.5 Recognising the different stages of development of the Gavi 5.0 strategy elements and the importance of Alliance ownership, it is likely that development of the strategy performance measurement will require a staged approach to bringing these indicators to the Board for decision, with the first set for June 2020 Gavi Board approval and the final set with associated targets in December 2020. For a small subset of some strategy elements a learning agenda may be needed to inform development of quality indicators and might not be possible for Board approval until early in the Gavi 5.0 strategy period.

4. Measurement of “zero-dose” children”

- 4.1 Strategy Objective 2A of the 2021-2025 strategy aims to: “Help countries extend immunization services to regularly reach under-immunized and zero-dose children to build a stronger primary health care platform”, which requires an operational definition of zero-dose children
- 4.2 A recent meeting of the Gavi 5.0 Measurement Framework TWG concluded that lack of DTP (no DTP1) is the most appropriate indicator for zero-dose children for the 2021-2025 strategy. This indicator emphasizes the importance of extending the reach of the routine immunization system, is a simple measure that is well-correlated with more complex alternative indicators, and has data available over time and at global, national and subnational levels. It was noted that further discussion is needed on terminology, given that the term “zero-dose” is already used in other contexts, for example within polio and measles.

Annexes

Annex A: Proposed Approach for Gavi 5.0 Evaluation of Strategic Importance

Annex B: Terms of Reference and Composition of the Technical Working Group

Annex A: Proposed Approach for Gavi 5.0 Evaluations of Strategic Importance

- As outlined in the Gavi Alliance Evaluation Policy, the role for evaluation will continue in Gavi 5.0 to: “1) **generate learning** to support improvements in the performance of Gavi’s programmes and policies; and 2) improve the overall function of Gavi and its ability to deliver on its mission. While evaluation also provides a basis for accountability and the achievement of improved outcomes, the main focus of Gavi evaluation activities is learning.”
- The proposed **guiding principles** for evaluations of high strategic value to the Gavi Board to be conducted during 2021-2025 are consistent with those defined in the Gavi Evaluation policy emphasising the importance throughout the evaluation process to:
 - maintain independence and impartiality;
 - ensure credibility and transparency;
 - a) evaluations should use the most appropriate design (e.g. retrospective or prospective) and rigorous (e.g. qualitative and quantitative) methods to assess the evaluation questions to the extent possible
 - b) approach should be comprehensive with a sufficient mix of different types of countries and ideally as far down the results chain (i.e. outcomes and impact)
 - maximise the utility for the primary user;
 - a) primary user of the evaluation will be identified at the outset of the evaluation and most often will be the Gavi Board, countries and Alliance. Recognizing the importance of Gavi in the global development landscape, some evaluation questions may be of broader global relevance and therefore of high strategic value
 - adhere to high ethical standards and principles;
 - engage with and strengthen the capacity of countries; and
 - conduct joint evaluation activities with Alliance or other development partners to the extent possible to share resources and learning.
- Gavi aims to **develop the evaluation workplan at the outset of the Gavi 5.0 strategy period** in order to allow for better planning of the evaluations in 2021- 2025 thereby: 1) limiting the number of ad hoc evaluations, 2) allowing for prospective evaluations where appropriate, 3) improving the timeliness, quality and utility of the evaluations and 4) maximising the use of evaluation resources on the areas of highest strategic value to the Board. Annually, there will be the opportunity to update the workplan for emerging priority topics for evaluations as needed. Updates to the evaluation workplan will be subject to approval by the EAC.

- The evaluation questions for 2021-2025 should be based on the theory of change underpinning the Gavi 5.0 strategy including the key assumptions about the operating context and risks. As equity, gender and sustainability are important principles within the Gavi 5.0 strategy, these too will be incorporated into the evaluation approach across all stages of the process.
- Prioritised evaluations for the workplan will be balanced in both size and scope to allow for quality evaluations within the available resources, while placing an emphasis on improving the dissemination and utility of key findings and lessons learned.

Annex B: Terms of Reference and Composition of the Technical Working Group

1.0. Overarching objective of the Technical Working Group

- 1.1. It is considered that the establishment of a technical working group (TWG) for development of the Gavi 5.0. measurement and accountability framework will enable the Alliance to identify key performance indicators to monitor implementation over the strategy period. The key performance indicators will serve two key purposes:
- 1) enable business owners and partners across the alliance to effectively assess progress towards achieving the strategic objectives over the strategy period; and
 - 2) provide routine (and robust) evidence to inform the Gavi Board's deliberations of past performance and inform future strategic direction of Gavi's focus during the strategy period.
- 1.2. The TWG is an advisory body on technical issues related to development of the measurement and accountability framework; final decision on indicators to be included in the Gavi 5.0 strategic framework remains under the authority of the Gavi Board.

2.0. Expected roles and tasks to be performed by members

- 2.1. To provide technical guidance to ensure selected key performance indicators are suitable to measure progress towards achievement of Gavi's strategic objectives.
- 2.2. To advise the Gavi Secretariat on effective strategies to foster ownership and shared accountability for performance measurement for Gavi 5.0.
- 2.3. To provide technical guidance and validate that baseline and target estimates reflect robust methodology to capture level of ambition.
- 2.4. To review and provide critical feedback on detailed indicator reference documentation for selected KPIs; including indicator definition, computation methodology, data source(s), rationale for use, frequency of reporting, attribution of responsibility or accountability for indicator, baseline and target.

3.0. Composition

- 3.1. The TWG shall consist of technical representation from relevant Alliance partners, with the Gavi Secretariat leading and coordinating these efforts. Proposed representation is as follows:

No.	Institution
1	Bill & Melinda Gates Foundation

2	Center for Disease Control
3	Donor perspective: DFID
4	Gavi CSO Constituency
5	Gavi R&T Constituency
6	UNICEF
7	WHO
8	World Bank

3.2. All members of the TWG should have sufficient subject matter expertise to be able to advise on the technical issues related to measurement and accountability and enabled by their senior management to provide the requisite guidance as part of this process. The selected member is encouraged to regularly brief their senior management and constituency to facilitate alignment, as needed, on the agenda items in advance of the TWG meetings. Members will be expected to bring these perspectives for consideration by the TWG, where relevant.

4.0. Engagement

4.1. The engagement of TWG members will be from September 2019 through December 2020—the duration of the development process for Gavi 5.0 measurement and accountability framework.

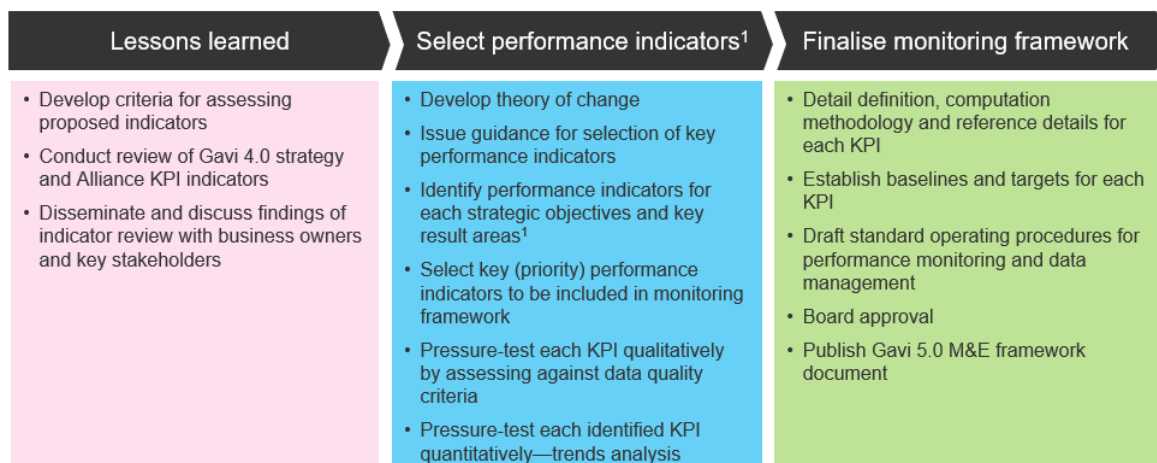
4.2. **Meetings:** The working group shall primarily convene via teleconference. A minimum of 6 teleconferences will be convened at the approximate times and aligned to inform the Gavi governance processes related to the measurement and accountability framework (Note: dates to be confirmed with the TWG members): September 2019, October 2019, January 2020, March 2020, June 2020 and September 2020. *Ad hoc* meetings may be scheduled in the event of a new and pressing development or in response to amendments recommended by the PPC prior to submission to the Gavi Board.

4.3. **Progress updates:** The Secretariat will share monthly progress updates to members of the TWG. The updates shall include status updates as well as specific requests for review of draft indicator documentation.

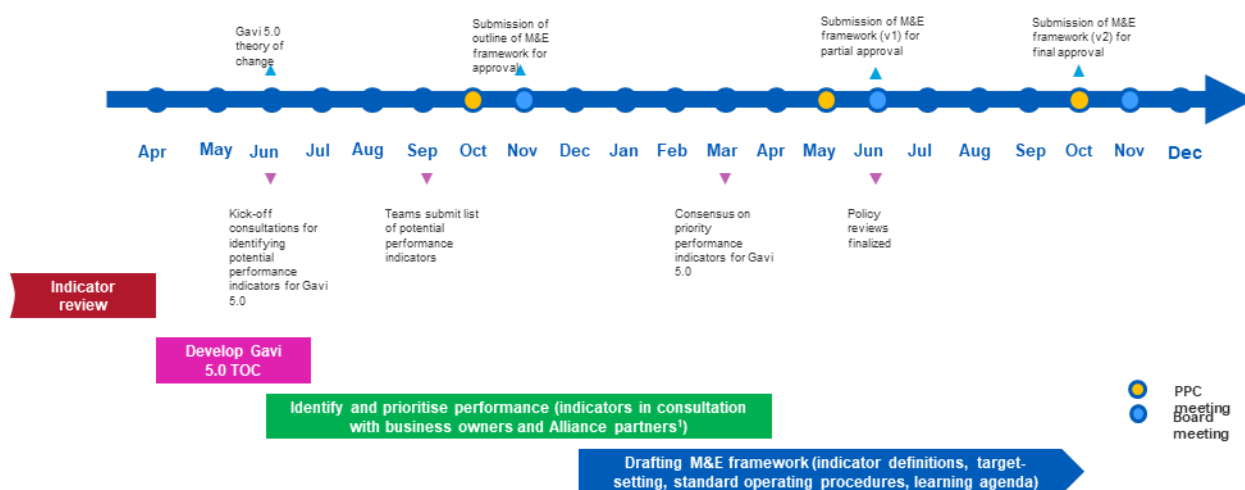
4.4. **Quorum:** The quorum for meetings of the TWG shall be representation from at least 4 out of the 8 member institutions.

4.5. **Administrative:** The M&E team at the Gavi Secretariat shall provide the necessary administrative services for preparing, coordinating and documenting proceedings of the meetings. This includes preparation and dissemination of relevant materials.

5.0. Roadmap for developing Gavi 5.0 measurement and accountability framework



6.0. Timeline for development of the Gavi 5.0 monitoring and evaluation framework (including measurement and accountability)



¹A core working group will be established to facilitate validation and buy-in from leadership from Alliance partners

¹ Identification and selection of performance indicators will involve collaboration and consultation with relevant stakeholders across the Alliance. The process will take a bottom-up approach: initial indicators selected and proposed by business owners. A panel of experts will be established and periodically consulted to validate rationale and outcomes (prioritised KPIs) prior to submission for Board approval.