

# Overview of the Gavi Grant Performance Framework

Intended audience: internal and external stakeholders of Gavi grants

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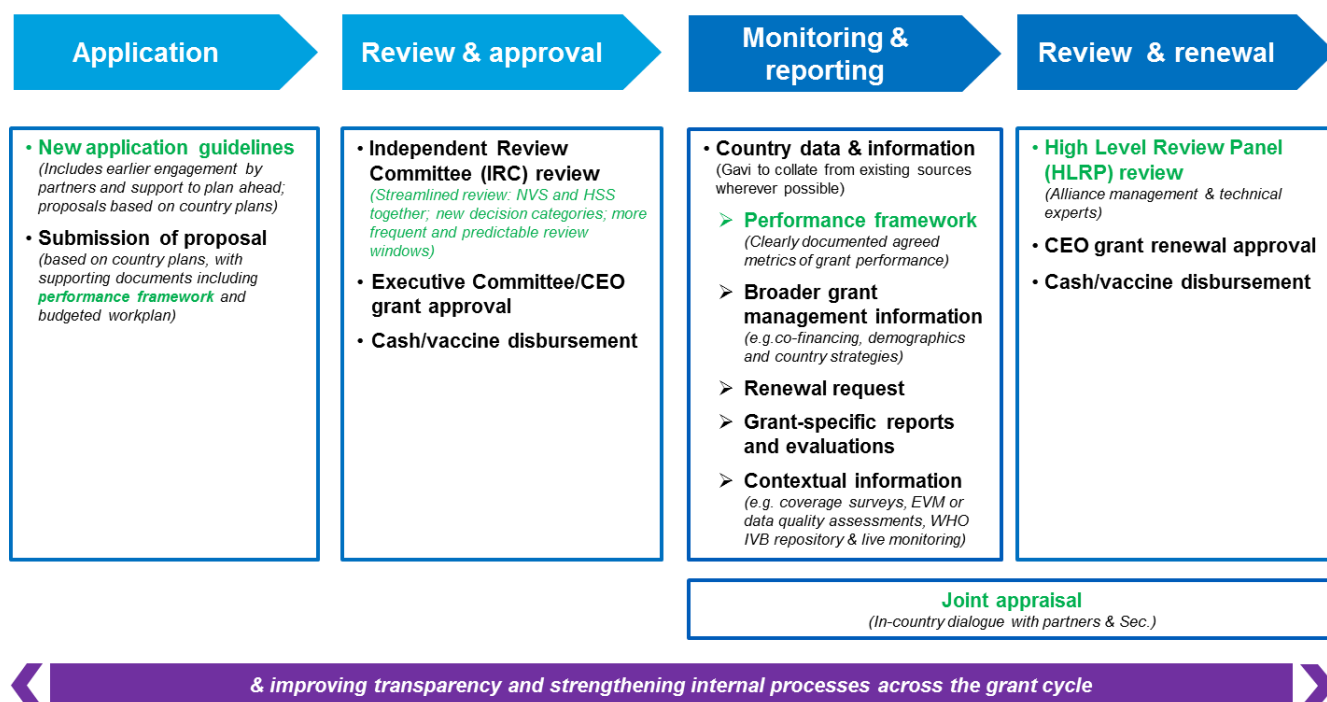
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## 2. Grant application, monitoring and review redesign

The purpose of Gavi’s redesign of its grant application, monitoring and review is to increase grant impact, better manage risk, and increase value for money – for countries, partners, the Secretariat and the Gavi Board. To achieve this, the redesign is streamlining the grant application and review process, enhancing country and partner engagement, better aligning vaccine and health system support, ensuring better fiduciary oversight and improving grant performance monitoring. The figure below shows the intended improvements in green.

Figure 1: Country-relevant process steps in Gavi’s grant cycle from 2016

**KEY**  
Green text = new or improved processes



## 3. Performance framework definition and content

### 3.1 Definition of the performance framework

Gavi’s performance framework is a grant management tool to clearly document and collate the key metrics agreed between Gavi and a recipient country to monitor and report on grant performance during grant implementation.

There is one performance framework per country, reflecting the intended results chains for all Gavi

grants to that country – from inputs, activities and outputs to intended outcomes. The process of a country developing a proposal for new support from Gavi will include proposing relevant additional indicators for the country performance framework.

Each indicator included in the performance framework will have a related data source, baseline, target, and reporting schedule. This forms the structure against which the progress and results of Gavi's grants will be assessed.

The performance framework is, though, not the only monitoring and evaluation tool relevant to Gavi grants. For example campaign technical reports, human papilloma virus (HPV) Demonstration programme evaluations, health system strengthening (HSS) grant evaluations, Demographic and Health Surveys, and Expanded Programme of Immunisation (EPI) Reviews will all provide more detailed metrics and analysis. The performance framework, in contrast, collates a sample of indicators from each of these sources in order to provide a holistic overview of Gavi grant performance.

The performance framework is distinct from WHO's Vaccine Repository and HSS Live Monitoring databases, i) in its specific focus on Gavi grants, rather than the broader EPI or HSS context; ii) in including countries as a primary stakeholder; iii) in incorporating both new vaccine support (NVS) and HSS grants; and iv) in directly linking to Gavi's application and reporting processes.

### 3.2 Content of the performance framework

The performance framework consists of a combination of core and tailored indicators. Gavi has produced a *Grant Performance Indicator Reference Sheet* listing the core indicators for each step of a grant's results chain – and which is annexed to this overview.

**Core Indicators:** The 20 core indicators are mandatory and have been chosen because of their centrality to Gavi's mission<sup>1</sup> and decision-making criteria. They are based on standard definitions and are already, in almost every case, being monitored by countries – particularly through the Joint Reporting Form (JRF) which countries submit to WHO and UNICEF annually. Gavi will itself collate data from these existing sources wherever possible rather than requiring countries to submit the same data also to Gavi. This will mean a reduction in the reporting burden on countries.

**Tailored Indicators:** Core indicators are unlikely to be sufficient to measure performance along each grant's result chain<sup>2</sup> because of specific objectives that vary across grants. So they need to be complemented by a small number of additional indicators which are tailored to the specific objectives of each grant in order to ensure the performance framework provides a complete overview of performance for each type of support provided.

Gavi provides a 'menu' of tailored indicators from which countries can choose – or define their own – especially if relevant indicators are already tracked by countries through existing monitoring and evaluation systems, such as periodic Health Facility Assessments or Immunisation Dashboards. For most countries, the tailored indicators will comprise the intermediate results indicators for their HSS grant.

The majority of the performance framework indicators align with existing Gavi grant reporting requirements. The most significant change in reporting requirements is the inclusion of a small number of indicators to track the implementation of selected key **activities** funded by Gavi cash support. These should be updated either quarterly or semi-annually – to match the existing requirements for the

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<sup>1</sup> The proposed core indicators align with key performance indicators of the objectives in the 2016-2020 Gavi strategy.

<sup>2</sup> For grants with simplified objectives in countries with immunisation programmes of a less complex nature, the core indicators may be sufficient for grant monitoring purposes.

frequency of interim reports of financial expenditure and activity implementation set out in countries' Partnership Framework Agreements.

## 4. Reporting against the performance framework and its use

### 4.1 Reporting against the performance framework

As opposed to the previous Gavi Annual Progress Report (APR), the performance framework facilitates regular and systematic collation and tracking of results on an ongoing basis, with reporting against the indicators in the performance framework possible at any time and encouraged as soon as the data is available, based on the agreed reporting schedule. This is made possible because the performance framework is housed on an online platform accessible to stakeholders throughout the year.

The agreed reporting schedule for each indicator should be proportionate to the expected change that it measures; with, for example, reporting against activities more frequent than for outcome indicators, which will tend to be annually reported.

In determining indicator reporting schedules, there are some points at which some minimum information will need to be up-to-date in the performance framework:

- The core indicators relevant to a country's vaccine renewal request need to be populated (by the country or the Gavi Secretariat as appropriate) and formally agreed by Ministers of Health and Finance by May 15 each year. These indicators include target coverage and number of beneficiaries and drop-out rates.
- The performance framework should be sufficiently updated in advance of the joint appraisal (recommendation of one month prior) to allow informed analysis and discussion of the previous year's grant performance and the next year's targets – for both (NVS) and health system strengthening (HSS) grants.

### 4.2 Use of the performance framework

Because the performance framework facilitates up-to-date reporting, collation and tracking of results it should be used to inform stakeholder dialogue around Gavi grant implementation progress and performance. The figure below describes the principal areas showing specific uses of the performance framework and the decisions that they lead to.

**Figure 2: Use of the performance framework in Gavi decision-making**

Use	Description
<b>Grant proposal</b>	<p>For a new <u>proposal</u>, present new targets at outcome, intermediate results and process/activity levels, aligned with grant objectives and the performance of existing grants</p> <p>For <u>reprogramming</u>, present new targets at outcome or intermediate results and process/activity levels, aligned with grant objectives and the performance of existing grants</p> <ul style="list-style-type: none"> <li>➤ Both for approval by Gavi's Chief Executive Officer, based on review by the Independent Review Committee</li> </ul> <p>For <u>reallocation</u>, present new targets at process/activity level, aligned with grant objectives and the performance of existing grants</p> <ul style="list-style-type: none"> <li>➤ For approval by the Gavi SCM</li> </ul>

<b>Grant monitoring</b>	<p>Summarise current and historic performance, and future targets, across the results chains for all Gavi grants to a country to inform implementation</p> <ul style="list-style-type: none"> <li>➤ For regular review of grant performance and identification of corrective actions by in-country stakeholders, including the inter-agency coordination committee (ICC) and health systems coordinating committee (HSCC)</li> </ul> <p>Monitor grant performance against targets for intended NVS grant <u>outcomes</u> to inform joint appraisal assessment of the sufficiency of progress achieved</p> <ul style="list-style-type: none"> <li>➤ For NVS renewal by Gavi’s High Level Review Panel (HLRP)</li> <li>➤ For approval of HSS performance payments by Gavi’s HLRP</li> <li>➤ To inform discussion of the effectiveness of Gavi-funded technical assistance</li> </ul> <p>Monitor grant performance against targets for HSS <u>intermediate results and process/activity</u> indicators to inform joint appraisal assessment of the sufficiency of progress achieved</p> <ul style="list-style-type: none"> <li>➤ For approval of HSS programme payment by Gavi’s HLRP</li> </ul>
<b>Cross-portfolio analysis</b>	<p>Enable review of quality of choice of intermediate results and process/activity indicators and of quality of reporting on all indicators against baselines and targets across entire portfolio</p> <ul style="list-style-type: none"> <li>➤ For better guidance to countries on the choice of indicators</li> </ul> <p>Enable identification of cross-portfolio trends in grant performance.</p> <ul style="list-style-type: none"> <li>➤ For consideration by the HLRP in their cross-cutting report</li> </ul>

## 5. Introduction of the performance frameworks

Gavi will develop performance frameworks for all countries receiving Gavi grants by the end of March 2016. To achieve this target, Gavi, with in-country and regional partners, is conducting a phased introduction from June 2015. The introductions involve the development of a performance framework for the existing grants in a country. Feedback from the early introductions are contributing to a learning agenda for the revision of guidance materials as well as the format of the tool itself.

Each introduction has the following objectives:

- a) Gavi to inform countries about changes to Gavi’s grant monitoring and management and to help them understand anticipated changes in our guidelines and country reporting;
- b) Working with country counterparts, Gavi and the country to establish a performance framework for that country, based on existing agreed indicators, targets and reporting for Gavi grants, supplemented when necessary to fill gaps in the monitoring of grants’ results chains by indicators from country M&E plans to the greatest extent possible;
- c) Endorsement of the performance framework by Gavi and the ICC/HSCC;
- d) Country and Gavi Secretariat start to use the performance framework for reporting against agreed indicators and schedule over subsequent months;

As a basis for each country introduction, Gavi shares in advance a draft performance framework for discussion. For grants nearing closure, whether because of graduation or completion of an HSS grant, a pragmatic approach is being taken, involving the transfer of existing agreed indicators and targets into the country’s performance framework as they are, without identification of additional indicators.

Introductions take place through an in-country mission for particularly complex grant portfolios or contexts, combined with joint appraisal or other missions; and otherwise, via phone or video conference.

The priority countries for the roll-out are the countries identified as priorities in the Gavi Partnership

**Figure 3: Partnership Engagement Framework Priority countries**

Top Ten Priority Countries		Next Ten Priority Countries	
Afghanistan	Indonesia	CAR	Niger
Chad	Kenya	Haiti	PNG
DRC	Nigeria	Madagascar	Somalia
Ethiopia	Pakistan	Mozambique	South Sudan
India	Uganda	Myanmar	Yemen

The introduction of the performance frameworks is based on the existing agreed indicators and targets, eliminating inconsistencies in targets (e.g. between NVS and HSS), and filling gaps in the monitoring of grants' results chains, rather than any more fundamental changes to, for example, outcome indicators or targets. Therefore Ministerial approval at the point of introduction is not required.

Although progress against intermediate results is used to determine health system strengthening support renewal decisions, Gavi we will not use new indicators in this way until they have been approved by Ministers at the 2016 renewal request or joint appraisal.

However, ICC and/or HSCC endorsement of the introduced performance framework is important to enable these committees best to use the performance framework to inform in-country grant oversight.

## 6. Revising the performance framework

A performance framework would need to be revised for two reasons:

- a) When a new grant is being proposed; or
- b) When a country identified particular current measurement challenges, delayed implementation or the need to reprogramme an HSS grant.

### 6.1 Revision of the performance framework as part of a new proposal

As part of a new proposal, countries will need to propose new targets for each relevant core indicator. In addition, the country should consider whether additional tailored indicators are needed to ensure the performance framework provides a complete overview of performance for the new support requested – this is particularly the case for new HSS support.

The diagram below illustrates the four steps for adding new indicators to a country's existing performance framework.

**Figure 4: Four steps for the inclusion of new grant indicators in an existing performance framework**

#### 1. Proposal Development

The following sections of the proposal are developed by the country with support of in-country partners:

- a. Description of the results chain for the proposal
- b. Associated targets (and if necessary indicators) to monitor the results chain proposed for inclusion in the performance framework alongside the indicators for existing grants.
- c. Narrative section that explains how the results chain and associated indicators are aligned with existing country M&E plans.

## 2. IRC Review

The Independent Review Committee (IRC) provides specific recommendations on the performance framework vis-à-vis:

- a. Coherence between proposed objectives, results chains and budget;
- b. Appropriateness of selected data sources and targets in relation to baselines; and
- c. Quality and completeness of indicator information.

## 3. Performance Framework Finalisation

Based on the IRC recommendations, if grant is recommended for approval the performance framework is finalised by the SCM with the country, supported by Gavi's Grant Performance Monitoring (GPM) Team, to respond to feedback from the IRC from Secretariat review.

The Gavi Secretariat (SCM and GPM Team) need to sign-off on proposed revisions before proceeding to grant approval.

## 4. Performance Framework Approval

Gavi's Chief Executive Officer (CEO) is recommended to approve the proposal and revised performance framework. Following formal CEO approval,

- a. The Decision Letter specifies that grant targets and reporting requirements are as set out in the performance framework, which is annexed.
- b. Funds are disbursed.

### 6.2 Revising indicators in a country's existing performance framework

It is possible that the indicators in a country's performance framework may need to be changed – for various reasons, examples of which are given below. If so, the country would need to make a formal request to Gavi, which can be done at any point during grant implementation. Requested changes to the performance framework are categorised as either minor or major changes.

If the proposed change is deemed minor then the change may be approved by the Gavi Secretariat. A change is considered minor if adjustments do not change the original results chain. Examples include:

- Replacement of a small number of indicators (five or fewer) by indicators that equally measure the expected change;
- Revision of existing targets at the outcome and intermediate results level due to availability of improved reliable demographic data and/or improved data quality; or
- Replacement of a data source and associated target owing to the fact that a planned assessment is either delayed and/or cancelled.

A major change can only be approved by the Gavi HLRP, which meets three times a year. Gavi's formal agreement to major changes to the Performance framework will be communicated to the country through a Decision Letter. Examples of a major change include:

- Revision of existing targets on the basis of a clear justification that unrealistically ambitious targets had initially been set;
- Revision of targets accompanying a request for reprogramming of an HSS grant; or
- Significant unforeseen implementation delays or service delivery challenges based on "force majeure" factors.

# GRANT PERFORMANCE INDICATORS REFERENCE SHEET

**LEGEND: (Suggested frequency: MY – Every 3 to 5 years; A – Annual; S – Semi-annual; Q – Quarterly; P – Point in time Source: from Gavi-held data or by country input)**

## OUTCOMES TO WHICH GAVI GRANTS CONTRIBUTE

### CORE COVERAGE INDICATORS

1. National coverage for each Gavi-supported vaccine (various, all A, by Gavi)
2. Drop-out rates for selected vaccines (A, by Gavi)
3. Vaccine coverage following any new vaccine introduction (S, by country)
4. Number of districts in which any new vaccine is introduced (S, by country)
5. Post-campaign coverage for any vaccination campaign (P, by country)
6. HPV coverage across any HPV Demonstration areas (P, by country)

### CORE EQUITY INDICATORS

7. Proportion of districts with Penta3 coverage 295% (A, by Gavi)
8. Proportion of districts with Penta3 coverage 280% (A, by Gavi)
9. Proportion of districts with Penta3 coverage 250% and <80% (A, by Gavi)
10. Penta3 coverage difference in highest/lowest wealth quintiles (MY, by Gavi)
11. Penta3 coverage difference between males and females (MY, by Gavi)
12. Penta3 coverage difference when primary caretaker un/educated (MY, by Gavi)

### Plus TAILORED INDICATORS

A small number of tailored outcome indicators may be included to reflect country-specific circumstances or grant objectives. These indicators are especially important for HSS as progress against them is used by Gavi to inform decisions on grant renewal. A menu of examples of these indicators is provided by Gavi.

## INTERMEDIATE RESULTS/OUTPUTS OF GAVI GRANTS

### CORE INDICATORS ACROSS ALL GRANTS

1. Number of beneficiaries by vaccine and first/last dose (A, by Gavi)
2. Cumulative Vaccine Utilisation Rate for Penta and PCV (A, by Gavi)
3. Occurrence of stock-outs at national or district levels (A, by Gavi)
4. EVM composite score (MY, by Gavi)
5. Percentage point difference between Penta 3 national administrative coverage and most recent survey point estimate (MY, by Gavi)
6. Timely fulfilment of annual co-financing commitments (A, by Gavi)

### Plus TAILORED INDICATORS REFLECTING SPECIFIC GRANT OBJECTIVES

A small number of tailored intermediate results indicators should be included to allow monitoring of HSS grant objectives, and of EVM and data quality improvement plans. Progress against these indicators is used by Gavi to inform decisions on grant disbursement. A menu of examples of these indicators is provided by Gavi.

## ACTIVITY/PROCESS INDICATORS ACROSS ALL GRANTS

### CORE INDICATORS FOR ALL GRANTS

1. Proportion of annual budget utilised, by cash grant (S, by country)
2. Percentage of HSS expenditure utilised by CSOs (S, by country)

### Plus TAILORED INDICATORS REFLECTING SPECIFIC GRANT ACTIVITIES

A small number of tailored activity/process indicators should be included to monitor implementation of the most critical Gavi cash grant activities. Progress against these indicators is also used by Gavi to inform decisions on HSS disbursement. A menu of examples of these indicators is provided by Gavi.