



Report to the GAVI Alliance Board

12-13 June 2012

Subject:	Evaluation Policy
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Agenda item:	01h
Category:	For Decision
Strategic goal:	Affects all strategic goals

Section A: Overview

1. Purpose of the report

- 1.1 The purpose of this report is to seek the Board's approval of the revised GAVI Alliance Evaluation Policy.

2. Recommendations

- 2.1 The GAVI Board Evaluation Advisory Committee (EAC) recommends that the Board approve the Revised GAVI Evaluation Policy (Annex 1) by adopting the following resolution:

The GAVI Alliance Board:

- **Approves** the Revised GAVI Alliance Evaluation Policy attached as Annex 1.

3. Executive summary

- 3.1 The GAVI Alliance Board approved an Evaluation Policy in June 2008.¹
- 3.2 The policy has been reviewed and revised by the EAC and is being submitted for approval.

4. Context

- 4.1 In accordance with their charter,² the EAC is responsible for reviewing the GAVI Alliance evaluation policy from time to time and recommending any proposed changes to the Board.

¹ The current policy can be found on the GAVI website or is available from the Secretariat upon request.

² The EAC charter can be found on the GAVI website or is available from the Secretariat upon request.

- 4.2 The policy was first reviewed by the Evaluation Advisory Committee at its first meeting which took place in January 2010. The Committee agreed that although it was appropriate to start thinking about improving the Evaluation policy, it was not necessary to conduct the review at that time.
- 4.3 The Evaluation Advisory Committee reviewed the policy and provided comments at both its January 2011 and January 2012 meetings with the intention to bring greater clarity and focus to the policy. The EAC advised that the policy should: treat evaluation as a process which does not end once the evaluation itself is completed; address evaluation of the partnership dimension of the Alliance; consider the monitoring and evaluation functions together rather than separately; address the role of countries and in-country institutions; address equity and impact on poverty; and elevate the issue of conflict of interest to the level of a principle. Furthermore, at the suggestion of the EAC, non-essential language was been deleted and a section added on evaluation norms. A definition of key terms and normative standards has also been included as an annex to the policy.
- 4.4 The Secretariat revised the policy taking into account the committee comments and reformatting it to be consistent with GAVI's other policies. This was then recirculated to the committee and recommended for approval.
- 4.5 Of note, the role of the EAC has not been included in the policy because it is elaborated in the committee charter (see annex 2). The charter will be included as part of the "light touch" review of committees currently underway.

5. Next steps

- 5.1 Following approval of the Revised Evaluation Policy by the Board, it will be applied to all evaluation activities funded by the GAVI Alliance. It will also guide the development of evaluation activities to be included in the business plan.

6. Conclusions

- 6.1 The Revised Evaluation Policy is more concise and focused than the original policy approved in 2008. It also provides an appropriate policy basis for the GAVI Alliance to ensure that it has a well performing evaluation function.

Section B: Implications

7. Impact on countries

- 7.1 Language has been added to the revised policy to clearly articulate the importance of country partnerships, alignment with country priorities and systems and strengthening country systems and capacities.

8. Impact on GAVI Stakeholders

- 8.1 The revised policy emphasises GAVI's commitment to the Paris Declaration and other aid effectiveness norms, which include the harmonisation of evaluation activities among partners.

9. Impact on the Business Plan / Budget / Programme Financing

- 9.1 Current and planned evaluation activities are included in the business plan budget.
- 9.2 Harmonised and aligned approaches to evaluation have the potential to capture synergies, generate efficiencies and bring more value for money over the longer term.

10. Risk implications and mitigations

- 10.1 Over the long term, better evaluation reduces risks for the GAVI Alliance and the beneficiaries of its programmes, and improves the ability of the Alliance to be a learning organisation. In particular, the shift toward prospective evaluation approaches with explicit real-time learning objectives enables the Alliance to identify risks earlier and to appropriately manage them on more of a real-time basis.

11. Legal or governance implications

- 11.1 The legal and governance team will assist in the management of conflicts of interest in relation to GAVI's evaluation function.

12. Consultation

- 12.1 The revision of the policy was conducted under the guidance of the Evaluation Advisory Committee.

13. Gender implications / issues

- 13.1 The revised policy highlights the importance of addressing gender equity in evaluation studies and ensuring appropriate gender representation in the conduct of evaluation activities.

14. Implications for the Secretariat

- 14.1 Following approval by the Board, evaluation activities will be managed in accordance with the revised policy.

ANNEX 1 Revised GAVI Evaluation Policy

Revised Evaluation Policy

1. Objectives

- 1.1. The overall objectives of GAVI's evaluation activities are to generate evidence and promote learning to support improvements in the performance of GAVI's programmes and policies. Evaluation is a process that extends beyond the production of reports; it provides a basis for accountability and the achievement of improved outcomes.

2. Scope

- 2.1. GAVI's evaluation activities aim to contribute to:

- Operational knowledge;
- Strategic decision-making;
- Information for the public good; and
- Related normative practices.

3. Principles

- 3.1. **Independence and impartiality:** To ensure credibility of GAVI evaluation activities, independence and impartiality will be assured and potential conflicts of interest will be managed in the most appropriate means possible.
- 3.2. **Stakeholder participation:** GAVI's evaluation activities will take into account the points of views of varied stakeholders in order to ensure credibility and appropriate ownership of the evaluation process and findings and their subsequent utilisation.
- 3.3. **Confidentiality and sensitivity:** GAVI's evaluation activities should show sensitivity to the beliefs and customs of local communities. Confidentiality should be maintained where appropriate, and respondents should have the opportunity to verify statements attributed to them.
- 3.4. **Equity:** GAVI's evaluation activities will address equity, including gender and other dimensions of interest, and ensure appropriate gender and geographic representation in the conduct of evaluation activities.
- 3.5. **Commitment to aid effectiveness principles:** GAVI's evaluation activities should take into consideration GAVI's commitment to the Paris Declaration and other aid effectiveness norms.
- 3.6. **Shared accountability and responsibility:** GAVI is one of many sources of support to countries. The results of GAVI are the joint product of global, regional and country level activities and investments. This means that it is, in most cases, not possible to attribute outcomes and impact to GAVI interventions alone. Assessing results will build on a shared model of accountability – including an assessment of GAVI's contribution to outcomes and end results.

- 3.7. **Integration of monitoring and evaluation functions:** The evaluation function is integrated with the monitoring function within GAVI and both are well linked to the planning, policy and performance assessment functions. This helps provide a coherent and coordinated organisational structure, and ensure that findings from monitoring and evaluation activities are used appropriately and in a timely manner to help inform management decision-making and the design of programmes and policies.
- 3.8. **Linkage of evidence to policy in a timely manner:** Where possible, evaluation activities are designed to provide timely feedback to countries and the GAVI Alliance, to inform management decisions and improve policies and programmes. It is essential that evaluation activities produce real-time data wherever possible to maximise their usefulness.
- 3.9. **Encouraging consortiums with developing countries:** When selecting evaluators, GAVI encourages and gives precedence to consortiums involving or led by institutions from developing countries, as appropriate and consistent with GAVI's procurement policy.
- 3.10. **Commitment to international evaluation norms:** GAVI's evaluation and procurement processes should be conducted in line with the international norms of independence, quality, impartiality, transparency, utility and timeliness (see annex 1.1).

4. Definitions and norms

- 4.1. See Annex 1.1.

5. Evaluation criteria

- 5.1. The criteria around which evaluation studies are structured depend on the specific learning needs in relation to each evaluation. Where appropriate, the GAVI Alliance makes reference to the OECD/DAC evaluation criteria of relevance, efficiency, effectiveness, impact, and sustainability. Alternative criteria are used where appropriate. These may include but are not limited to: policy coherence, quality standards, social return on investment, value for money, transferability/scalability, equity, impact on poverty and financial viability.

6. Types of evaluation:³

- 6.1. Programme evaluations (or 'thematic evaluations'): The aim of programme evaluations is to assess a specific programme's contribution to GAVI's strategic goals and objectives. The Civil Society Organisation and non country-specific grants (investment cases, Advance Market Commitment) are examples of specific GAVI-supported programmes that are subject to evaluation.
- 6.2. Strategy and policy evaluations: GAVI will conduct systematic reviews of GAVI strategies and policies (e.g., the co-financing policy) to assess their effectiveness and the extent to which they reflect GAVI's principles.

³ This list is intended to be illustrative rather than exclusive. Other types of evaluations may be conducted as deemed appropriate.

- 6.3. Partnership evaluations: GAVI will regularly evaluate itself as a global health partnership: its additionality, the engagement, effectiveness and participation of partners at global and country levels, coordination, and commitment to the principles of aid effectiveness.
- 6.4. Full country evaluations: GAVI will conduct comprehensive public health effectiveness evaluations in select countries to generate information and learning regarding the relevance, effectiveness, impact and efficiency of GAVI support to countries and the sustainability of country programmes receiving such support. These evaluations will be conducted on a prospective basis and serve as a platform to support the conduct of additional monitoring and evaluation activities and targeted studies in real time, as learning needs are identified.
- 6.5. End of support evaluations: GAVI will conduct evaluations in countries where GAVI support has ended in order to generate learning in relation to the design, impact and sustainability of GAVI support to countries.
- 6.6. Meta-review: GAVI will conduct meta-review of previous evaluations and reviews in order to identify common findings and to learn across programmes, projects and regions.

7. Effective date and review of policy

- 7.1. This revised policy comes into effect as of 1 July 2012.
- 7.2. This revised policy will be reviewed in 2014 or as and when required. Any amendments to this policy are subject to GAVI Alliance Board approval.

Annex 1.1 to Revised Evaluation Policy

Key definitions and normative standards

The following definitions draw upon OECD DAC Glossary and the IHP+ common evaluation framework.

- **Accountability:** An agency's, organisation's or individual's obligation to demonstrate and take responsibility for performance in light of agreed expectations.
- **Attribution:** The causal link to changes in development results flowing from an intervention.
- **Audit:** An independent, objective activity designed to assess and improve an organisation's operations (risk management and control processes; integrity of financial and operational information; effectiveness and efficiency of operations; safeguarding of assets; compliance with regulations, rules, policies and procedures).
- **Contribution:** The changes in development results that can be credibly linked to an intervention. Contribution implies a logical cause-and-effect relationship that points to the meaningful input of an intervention to the development result(s).
- **Effectiveness:** Measures the extent to which a programme/policy/partnership is achieving its objectives and performing well. Positive, negative, and unintended results should also be reported.
- **Efficiency:** Measures to what extent a policy/programme/partnership is using its resources cost-effectively to achieve its objectives. Generally requires comparing alternative approaches to achieving the same outputs/outcomes, to see whether the most efficient process has been adopted.
- **Evaluation:** The rigorous and systematic collection and use of information on programme activities, characteristics, outcomes and impact to determine the value of a specific programme or intervention.
- **Impact:** The assessment of the positive or negative, primary or secondary long term effects, intended or unintended, of a programme, project or policy and the extent to which these outcomes can be attributed to the intervention. Where appropriate, an impact evaluation compares the outcomes of the intervention during the period being evaluated with an explicit counterfactual — the hypothetical situation that would have prevailed in the absence of the intervention.
- **Monitoring:** The routine tracking and reporting of priority information on a programme and its intended outputs and outcomes.
- **Outcomes:** Actual or intended changes in development conditions that an intervention(s) seeks to support. The contribution of several partners is usually required to achieve an outcome.
- **Outputs:** Tangible product (including services) of an intervention that is directly attributable to the initiative. Outputs relate to the completion (rather than the

conduct) of activities and are the type of results over which managers have most influence.

- **Relevance:** The extent to which the objectives and design of the programme are suited to the priorities, policies, guidelines, goals or objectives of countries and the GAVI Alliance.

The following normative standards will apply to all GAVI evaluations:

- **Independence** implies freedom from political influence and organisational pressure. It is characterised by full access to information and by full autonomy in carrying out investigations and reporting findings.⁴
- **Impartiality** is ensured by minimising bias and optimising objectivity. This implies that those involved in the processes (selection of the evaluation studies, definition of the scope and methodology) have no undeclared conflict of interest. Individuals involved in the preparation or implementation of the activities to be evaluated cannot be the evaluators of these activities.
- **Transparency** must be ensured during all steps of the evaluation process. Transparency is important for credibility and confidence in the findings and recommendations. Findings from evaluations will be widely shared, with a commitment to full and active disclosure. The assessment of the quality and usefulness of evaluation reports by the Board's Evaluation Advisory Committee will be posted publicly on the GAVI Alliance website, along with evaluation reports and the GAVI Alliance's management response.
- **Utility and timeliness:** Evaluations must be designed and delivered to maximise their utility in generating learning and informing decision-making. Evaluation questions must be relevant and important, study designs and methods need to be suitable to the questions, and the delivery and dissemination of reports must be timely.
- **Quality:** All evaluations must meet acceptable quality standards in relation to internationally recognised practices and standards.

⁴ (OECD 2002. Glossary of key terms in evaluation and results based management. Paris: OECD Publications.P.25)

ANNEX 2 Evaluation Advisory Committee Charter

GAVI ALLIANCE EVALUATION ADVISORY COMMITTEE CHARTER

Approved on 30 July 2009

1. Purpose

The GAVI Evaluation Advisory Committee ("Committee") is established by the Board ("Board") of the GAVI Alliance ("GAVI") to assist the Board in fulfilling its responsibilities in respect to the oversight of GAVI's organisational and programmatic evaluation activities. The Committee serves the Board in an advisory function in all matters covered by this Charter. In so doing, it shall be the responsibility of the Committee to maintain regular and open communication among Committee members and with the Board.

Words and expressions used in this Charter shall, unless the context requires otherwise, have the meaning attributed to them in the GAVI By-laws and the GAVI Alliance Evaluation Policy.

2. Composition

The Committee shall be an Advisory Body of the Board as defined by Article 5 of the GAVI By-laws. The Board shall select the Committee Chair ("Chair") and members who shall serve at the pleasure of the Board. Further, the Committee shall consist of at least three members comprising a majority of independent evaluation experts and a minority of board members. The criteria for Committee membership shall be consistent with the GAVI Alliance Gender Policy, specifically, that gender balance in all areas of GAVI work should be ensured, including throughout the governance structures, to the extent possible.

3. Operations

The Committee will be governed by the following provisions:

Meetings. The Chair, in consultation with the other Committee members, shall determine the schedule and frequency of Committee meetings. A majority of the Committee shall constitute a quorum. Any Board Member / Alternate who is not a member of the Committee may attend Committee meetings as an observer. Other observers may attend meetings under exceptional circumstances and contingent upon Chair approval.

Agenda. The Chair shall develop the Committee's agenda for each Committee meeting in consultation with the Secretariat. The agenda and all pertinent information concerning the business to be conducted at each Committee meeting shall, to the extent practicable, be delivered to all Committee members sufficiently in advance of each meeting to permit meaningful review.

Reporting. The Committee formally reports to the Board. The Committee shall keep minutes of its meetings and regularly report on its meetings and other activities to the Board.

Voting. The Chair should aim for consensus on all decisions. If consensus cannot be reached, majority and minority positions shall be reported to the Board.

Amendment. This Charter may only be amended or varied by resolution of the Board passed in accordance with the provisions of the By-laws.

4. Duties and Responsibilities

In carrying out its responsibilities, the Committee shall:

- Review and approve GAVI's multi-year and annual evaluation work plans.
- Review the quality and usefulness of evaluation reports from the independent consultant.
- For evaluations costing more than \$500,000, review and approve Terms of Reference and selection of final contractor.
- Report on the work of the Committee to the Board as requested.
- Review and reassess the adequacy of this Charter from time to time and recommend any proposed changes to the Board or Governance Committee.
- Review and reassess the GAVI Alliance Evaluation Policy from time to time and recommend any proposed changes to the Board.