Update on M&E & KPI 2023+
Framework Development

46th Board Meeting
8-10 November 2021, Virtual
GF/B46/14
A set of principles for the development of the future KPIs, based on a lessons learned exercise on the current KPI Framework were endorsed at the 45th Board Meeting. Integral to these principles was the agreement that future KPIs should be developed as part of a comprehensive M&E Framework that will holistically monitor and evaluate progress towards the post-2022 Strategy.

As a critical input to the M&E Framework development and to guide identification of best, new and emerging measurement approaches against the objectives and sub-objectives of the post-2022 Strategy, the Secretariat is organizing a series of technical consultations with internal and external subject matter experts. Board members and Secretariat technical teams have nominated subject matter experts with experience in measurement and M&E to participate in these consultations. The Secretariat reached out to nominees to confirm the interest in participation and conducted a series of orientation sessions.

Following approval of the Strategy Framework and subsequent work on the Strategy narrative development, the Secretariat commenced the consultations in September 2021. Over the next year, consultations will be organized around broad thematic areas of the Strategy and conducted in a phased approach through a series of 3-4 workshops for each of the areas. The outcome of the workshops is to (1) identify KPIs for the new Strategy, based on the Board approved guiding principles and to define appropriate targets for proposal to the Board through the committees and (2) inform suitable measures for other performance frameworks (i.e. grant performance frameworks), approaches that are more suitable to evaluation and areas for methodological development.

Questions addressed in this slide deck
1. What is the approach to the technical consultations for Strategy Performance and how will they inform the development of a comprehensive M&E Framework to holistically monitor and evaluate progress towards the post-2022 Strategy?
2. What is the progress in the organization and implementation of the consultations?

Input Received – Input received from the TERG, the SC M&E Working Group and both the SC and the AFC (statements or in-session).
Input Sought – This document is to provide the Board with an update on the process, plan and status of the technical measurement consultations and for the Board to provide any input or feedback on the proposed approach.
Contents

- Overall vision and objectives of the technical consultations
- Approach to consultations and consultation topics
- Roles and responsibilities
- Update on participant composition
- Timeline and next steps
The development of the Global Fund (GF) post-2022 Strategy creates an exciting opportunity to define a comprehensive approach to measuring progress in the fight against the three diseases.

Potential to build on lessons learned from current approaches to define a clear and accountable performance measurement framework for the GF (including KPIs).

### The vision

- **Clear view of progress through an integrated performance framework**: providing comprehensive oversight of critical pathways to deliver on Strategy objectives.
- **Common language and accountability for performance**: building and driving accountability across the organization and with the partners.
- **Mechanism to support decision-making**: enabling management action and course-correction.
- **Supporting learning and program improvement**: through systematic performance measurement approaches and informed decisions.
- **Rigorous and consistent assessment of performance**: communicating successes and failures in a timely and transparent manner.
A series of consultations are being held to develop a comprehensive approach to measuring performance of the next Global Fund Strategy.

<table>
<thead>
<tr>
<th>What is the objective?</th>
<th>Who is organising and participating?</th>
<th>When will they take place?</th>
</tr>
</thead>
<tbody>
<tr>
<td>To identify measurement areas and approaches to holistically monitor and evaluate progress of the post-2022 Strategy. To identify KPIs for the new Strategy indicators, based on guiding principles, and define appropriate targets. Also, contribute to development of other measurement approaches (see annex) (Evaluations, grant perf indicators, Strategic Initiatives metrics, internal process performance metrics etc).</td>
<td>The GF Secretariat is coordinating and participating through relevant internal technical teams to prepare and lead the consultations. The GF Board has requested to also engage a diverse group of external experts from across regions and sectors to consider the most up-to-date approaches and experience on measurement against the different areas of the Strategy.</td>
<td>Consultations will be held through a series of 3 to 4 workshops for each of the different subject areas. Workshops began in September 2021 and will end in mid-2022 (potentially lasting longer for specific areas).</td>
</tr>
</tbody>
</table>
Approach to Consultations (1/3)

Standard key questions are considered to guide identification of the measurement needs and measurement approaches

**WHAT**

- What are the approaches/indicators currently used that should be continued?
- What data gaps do we have? What are we not measuring now?
- What are important factors to track, but not under GF control and who is driving performance there?
- Any recent development, or new areas in Strategy that would require new approaches/indicators?
- What does performance mean at different levels of GF accountability?*

**HOW**

The consultations will be used to develop the future KPI Framework: metrics, cohorts, methodologies and targets.

- The consultations will define other contextual information to be provided to the GF Board on a regular basis (strategic assumptions, ambition level checks).

The consultations will feed into the development of future: Grant performance framework; Evaluation calendar and approaches; Strategic initiatives performance framework; Internal process perf, etc.

**KPIs**

**Other GF fwks**

**Board contextual info**

Define best approaches* for measurement at each level of performance

(* see annex)
Approach to Consultations (2/3)
Consultations define the best mechanisms* to track progress for each of the key measurement areas, mapping them to accountability level*

[Diagram]

<table>
<thead>
<tr>
<th>Measurement area 1 (e.g TB)</th>
<th>Measurement area 2 (e.g., PPR)</th>
<th>Etc, for all measurement areas</th>
</tr>
</thead>
</table>

* See annex for (1) a description of the frameworks and other modalities used by the Global Fund to track performance and (2) the levels of accountability for achieving results
Approach to Consultations (3/3)
Guided by a cascading approach using standard questions

Workshop 1

1. What are the key interventions or activities that need to be tracked for the Strategy objectives?

   - NO
   - YES

   - Is there a need for a change of a current metric?
     - NO
     - YES

     - REMOVE
     - CHANGE

     - KEEP

   - Is the strategy narrative already reported by partners/other sources?
     - NO
     - YES

     - USE EXISTING

     - ADD NEW

Workshop 2

3. Does it fulfill the Principles to be included as KPI?

   - YES
   - NO

   - INCLUDE AS KPI

Workshop 3

4. Through which measurement approach should this be reported?

   - Evaluation
     - Other performance frameworks (Grant PF, SI, internal process metric, etc)
     - Other contextual info for Board

   - DEFINE TARGET
Ten measurement topics have been defined, mapped to the GF post-2022 Strategy Framework

1. HIV/AIDS
2. Tuberculosis
3. Malaria
4. Resilient and Sustainable Systems for Health / Integration / Community Systems Strengthening
5. Market shaping/Supply Chains / Procurement
6. Data generation and use
7. Equity / Human Rights / Gender equality
8. Community Engagement & Leadership
9. Resource mobilization; Health financing; Value for Money;
10. Pandemic Preparedness and Response

Some of the external experts and Secretariat technical leads participate to multiple topics to ensure consistency in recommendations and enable quality discussions on cross-topic areas. We also have discussions about partnership enablers in every topic.
Governance and oversight to the process are provided by the following stakeholders

<table>
<thead>
<tr>
<th>Actor (Secretariat, External, Mix)</th>
<th>Role in Process Organization</th>
<th>Role in Indicator Dvpt</th>
<th>Role in Overall Framework</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core project team (inc KPI and M&amp;E framework leads)</td>
<td>R</td>
<td>V</td>
<td>R</td>
<td>Define overall process (inc. list of topics); organize workshops; synthesize outcomes of workshops into overall framework; ensure KPI principles followed; update governance bodies and escalate issues; ensure collaboration and communication between actors</td>
</tr>
<tr>
<td>Technical Lead</td>
<td>C</td>
<td>A/R</td>
<td>C</td>
<td>Lead discussion during consultation; endorse proposition for indicators and targets; review and integrate feedback provided by other actors; define material to be used and sent; provide input on process and final framework</td>
</tr>
<tr>
<td>Technical Experts</td>
<td>I</td>
<td>R</td>
<td>I</td>
<td>Provide technical input before and during consultations; review outcomes of workshops</td>
</tr>
<tr>
<td>Project Steer Co</td>
<td>A</td>
<td>I</td>
<td>C</td>
<td>Steer overall process; monitors that it is duly followed; resolve issues escalated by Core team</td>
</tr>
<tr>
<td>MEC</td>
<td>I</td>
<td>C</td>
<td>A</td>
<td>Provide feedback on indicators selected; oversee overall project and approve draft KPI Framework</td>
</tr>
<tr>
<td>TERG</td>
<td>V</td>
<td>C</td>
<td>V</td>
<td>Provide assurance to Board that process was duly followed; provide feedback on consultation outcomes; provide expert opinion to Board on overall performance framework, considering lessons from SR2020</td>
</tr>
<tr>
<td>Cross Committee M&amp;E working group</td>
<td>I</td>
<td>C</td>
<td>C</td>
<td>Receive update on outcomes of consultations and provide comment and input in advance of sharing with committees</td>
</tr>
<tr>
<td>Committees</td>
<td>I</td>
<td>C</td>
<td>R</td>
<td>Provide feedback on measurement approaches; work with Secretariat Core team in shaping final framework</td>
</tr>
<tr>
<td>GF Board</td>
<td>S</td>
<td>S</td>
<td>S</td>
<td>Signs off on project overall; approves final KPI Framework</td>
</tr>
</tbody>
</table>

Using RACI- VS methodology

<table>
<thead>
<tr>
<th>R</th>
<th>Who is responsible for performing the task?</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Who is accountable for the task to happen?</td>
</tr>
<tr>
<td>C</td>
<td>Who is consulted for input during the task?</td>
</tr>
<tr>
<td>I</td>
<td>Who is informed on the task?</td>
</tr>
<tr>
<td>V</td>
<td>Who verifies task corresponds to expectations?</td>
</tr>
<tr>
<td>S</td>
<td>Who signs off on the task?</td>
</tr>
</tbody>
</table>
# Role of internal and external stakeholders in the consultations

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Roles and Responsibilities</th>
</tr>
</thead>
</table>
| **Technical Lead and subject matter experts** | • Support in identification of participants. Guide and steer the development of all workshop materials  
• Co-facilitate the workshops with Project team and review/input into workshop documentation  
• Engage in follow-up between workshops as required  
• Participate to consultations on multiple topics (where relevant) to ensure consistency  
• Endorse final decisions. |
| **Secretariat Operational teams (Grant Management)** | • Review all workshop background materials and be well prepared to contribute to workshop discussions, especially on target setting. |
| **Core Project team** | • Outreach and communication with participants. Schedule and organize workshops.  
• Prepare background materials and materials used during workshops.  
• Co-facilitate the workshops with the Technical Lead  
• Document outcomes and decisions from workshops, support required follow-up in between workshops. |
| **Technical Partners** | External Technical Experts will participate in specific technical consultations for topics in their area of expertise in order to provide recommendations on the following:  
• Whether existing performance measurement approaches currently used by GF are appropriate for the new Strategy  
• Other existing suitable metrics, for instance those already collected and used by technical partners or implementers  
• Potential new indicators with corresponding methodology and data sources  
• Other measurement approaches such as qualitative studies and evaluations  
• Proposed targets for GF strategic KPIs |
| **Experts suggested by Board constituencies and by Secretariat technical leads: selected from organizations such as: networks representing communities/people affected; NGOs/CSOs; academia & research institutions; implementers; Private Sector** |  |
Update on the participant composition

255 external experts contacted, out of those 115 recommended by Board constituencies, 30 declined to participate (as of 10 Sep)

3 orientation sessions held for external experts: approximately 150 people participated

Composition:

Many experts recommended for Equity/Rights/Gender and Disease topics

Most nominations are for people working for partner orgs. but strong representation of academics and government staff

Approx. 1/3 of the experts nominated are based in implementing countries (mainly Asia and Africa)

Experts from implementing countries better represented in communities and disease topic, lower representation in topics related to RSSH-data, RSSH-PSM and Resource mob. / STC / VfM
The first series of workshops, to take stock of existing measures, is ongoing and will be completed by the end of the year.
# Timelines and next steps

Workshops are conducted in a phased approach; each workshop will build on the outcomes of the previous.

<table>
<thead>
<tr>
<th>Workshop</th>
<th>Focus of Workshop (approx. 2-4 hours duration depending on need)</th>
<th>Approximate Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Determining the measurement needs aligned to the post 2022-Strategy and identifying potential metrics and measurement approaches.</td>
<td>Sep – Dec 2021</td>
</tr>
<tr>
<td>2</td>
<td>Finalizing metric definitions and measurement methodology, including selection of final KPIs and identifying approaches to baseline and target setting for KPIs. Discussions on other measurement approaches continue with respective teams/groups.</td>
<td>Jan – Apr 2022</td>
</tr>
<tr>
<td>3</td>
<td>Finalizing KPIs targets for Board approval in November 2022 (may not be relevant for all subject areas if no KPIs identified in that area). Discussions on other measurement approaches continue with respective teams/groups.</td>
<td>Apr – Aug 2022</td>
</tr>
</tbody>
</table>

- Preparation of pre-workshop material in progress for all topics. The package of materials includes relevant information from the draft Strategy Narrative and an inventory of current indicators used in GF performance frameworks related to the topic area
- An online platform is under development on the Governance portal, where all workshop materials and documents can be accessed. Committee and Board members will also be given access to this platform.
Annex

1. Description of current performance frameworks and modalities used to monitor and report on performance

2. Definition of GF accountability levels for achieving results
The GF measures and reports on performance through the following frameworks and/or modalities

<table>
<thead>
<tr>
<th>Audience</th>
<th>Internal/external audience level (Board, MEC*)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Usage</td>
<td>Measuring: global partnership, secretariat, grants, initiatives</td>
</tr>
<tr>
<td></td>
<td>Measuring performance of grants</td>
</tr>
<tr>
<td>Methodology</td>
<td>KPI approaches and targets approved by Board; formal processes for data collection and reporting</td>
</tr>
<tr>
<td></td>
<td>Developed with partners; formal processes for collection</td>
</tr>
<tr>
<td></td>
<td>Measuring performance of grants</td>
</tr>
<tr>
<td></td>
<td>Measuring performance of the GF Strategic Initiatives</td>
</tr>
<tr>
<td></td>
<td>Measuring performance of Secretariat and of GF processes;</td>
</tr>
<tr>
<td></td>
<td>Evaluating grants, country programs, thematic areas + overall Strategy</td>
</tr>
<tr>
<td></td>
<td>Proposed by Board, SC, GF country teams and consultants under TERG* and GF oversight; input from partners</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>KPI framework</th>
<th>Grant Performance framework</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Strategic Initiatives performance framework</td>
</tr>
<tr>
<td></td>
<td>Process performance metrics</td>
</tr>
<tr>
<td></td>
<td>Evaluations</td>
</tr>
<tr>
<td></td>
<td>Additional contextual information for Board</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>KPI framework</th>
<th>Grant Performance framework</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Strategic Initiatives performance framework</td>
</tr>
<tr>
<td></td>
<td>Process performance metrics</td>
</tr>
<tr>
<td></td>
<td>Evaluations</td>
</tr>
<tr>
<td></td>
<td>Additional contextual information for Board</td>
</tr>
</tbody>
</table>

Setting **GF accountability** in performance will be key for the next Strategy. Measurement is organized along the Conifer of Control.

**Level 1:** tracking **high level results** for the partnership and its progress, reflecting efforts of all actors and for all interventions.

**Example:** Incidence reduction for HIV, against global/modelled target.

**Level 2:** measuring **returns on funds invested** by GF, through performance of grants and strategic initiatives.

**Example:** number of TB notifications, against national/grant target.

**Level 3:** assessing whether **Global Fund core processes** are efficient and effective.

**Example:** savings in PPM prices.

**Level 4:** monitoring performance of **internal Secretariat functions** such as HR, IT, Governance, etc.

**Example:** diversity of Secretariat staff.