Update on M&E and KPI Framework Development

47th Board Meeting
GF/B47/15
10-11-12 May 2022, Geneva / Hybrid / Virtual
Executive Summary

In 2021, the Secretariat commenced a series of measurement consultations with over 300 external experts to identify data and information needs relevant to understanding progress against the objectives of the 2023-2028 Strategy. The input received is being leveraged to inform the development of the M&E Framework, including KPIs. The development of the M&E Framework is also informed by the ongoing Strategy Implementation planning and the articulation of a high-level Theory of Change (ToC) for the Global Fund model.

The connection between the development of the M&E Framework, including KPIs, and the measurement consultations and ToC is described in Part 1 of this document alongside an update on the organization of the measurement consultations and the plan for the addition of “partnership” as an 11th measurement topic. Part 2 outlines the overall vision and high-level structure for the new KPI Framework. It also describes the process being applied to derive a proposed list of KPIs for Board approval and a list of indicators for inclusion in the Modular Framework for monitoring performance of NFM4 grants. The proposed KPIs deriving from this process will be shared and discussed with the Cross-Committee M&E Working Group and with the Committees in July before recommendation to the 48th Board for approval.

Further indicators and measurement needs, identified from the consultations as critical for understanding progress against the new Strategy objectives, but are not suitable as KPI candidates, will be integrated into other Global Fund performance frameworks and M&E tools. This includes the multi-year evaluation calendar, which is discussed in Part 3 with a preliminary criteria for identifying evaluation topics instrumental to complimenting assessment of progress. In preparation for implementing the M&E Framework, Part 3 also provides a brief update on the transition to the new Evaluation Function as information for the Board.

Questions addressed in this slide deck

- What is the overall approach for developing the M&E Framework?
- What is the high-level structure of the KPI Framework and how will the KPIs and Modular Framework indicators be identified?
- How are the measurement performance consultations organized? What is the approach for the “partnership” topic?
- What criteria is used to identify evaluations to propose for integration in the Multi-Year Evaluation Calendar?
- What is the progress to date in transitioning to the new Evaluation Function?

Input sought

- Process being adopted for the next stage of the measurement consultations to identify KPIs (Workshop 2) and organization of a new consultation for partnerships
- High level vision for future KPI Framework, including criteria and selection process for KPIs

Input received

- Cross-Committee M&E Working Group, SC and AFC
Content Overview

1. Overview of process for developing the M&E Framework, including vision for the next KPI Framework
2. Process for identifying Strategy Outcome KPIs and Modular Framework candidates
3. Considerations for the Multi-Evaluation Calendar and update on the transition to the new Evaluation Function

Annexes & Background Materials
1. Overview of process for developing the M&E Framework, including vision for the next KPI Framework
Timeline for M&E & KPI Framework Development

<table>
<thead>
<tr>
<th>2021</th>
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<tbody>
<tr>
<td>Q1</td>
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<td>Q2</td>
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<tr>
<td>Q3</td>
<td>Q3</td>
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<td>Q4</td>
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### Develop approach

- Develop vision and objectives for M&E Framework development (incl. KPI principles) based on lessons learned and benchmarking exercise

### Identify and define measurement areas

- Organize technical consultations with >300 external technical experts across 11 key topics of the new Strategy to define appropriate measurement areas
- Develop criteria for indicator selection (KPIs; MF; business process performance) and identify candidates for Strategy Outcome KPIs and MF

### Develop M&E framework

- Conduct internal consultations with Framework leads and technical partners (as appropriate) to a) finalize MF and KPI indicators b) further develop other indicators
- Draft M&E Framework, incorporating feedback from Committees

- **B45 (May)** Board endorsement of KPI principles
- **SC17 (July)** SC Update on M&E Framework development
- **Extraordinary Board Meeting (July)** Board approval of Strategy Framework
- **B46 (Nov)** Board update on M&E Framework development
- **SC18, AFC18 (March) & B47 (May)** Board update on M&E & KPI FW development
- **A2F deadline (June)** Modular framework indicators for NFM4 materials
- **SC19 & AFC19 (July)** Committee discussion on Draft M&E and KPI Framework
- **B48 (Nov)** Board approval of KPI Framework; M&E Framework and Multi-Year Evaluation Calendar
Overview of process for M&E Framework Development

Leveraging input from Strategy measurement consultations
The first round of measurement consultations yielded ~1,000 proposals of measurement areas across the 42 Strategy sub-objectives. Reviewing input from the consultations and aligning inputs to the logic of the high-level Theory of Change (ToC) and Strategy implementation work, will guide the following workstreams within the overarching M&E Framework Development process (the Global Fund high-level ToC is described in the Annex).

Identify Strategy KPIs
Overcoming the issues with the current KPI Framework and based on the guiding principles approved by the Board, the next two workshops in the consultation process will lead to KPI proposals and defining of appropriate targets. The logic of the ToC will support in prioritizing data needs for the Secretariat to ensure KPIs provide key insights that accountably measure performance in critical areas of the Strategy.

Inform the development of components of the M&E Framework by situating other critical measures (non-KPIs) in appropriate performance frameworks and M&E tools:
- Modular Framework
- Evaluations
- Strategic Initiatives metrics
- Business process performance metrics
- Spot Checks
- Others to be defined

Describe the operationalization of the M&E Framework through the M&E Plan
The M&E Plan will outline the tools and mechanisms for collecting, analyzing and using data and information identified in the M&E Framework at the country and enterprise level. Feedback and learning mechanisms within and between the two levels and roles and responsibilities of Secretariat and partners will also be described in the M&E Plan.
A ToC logic informs M&E Framework Development (*See annex for more details on ToC*)

**Abridged ToC**

<table>
<thead>
<tr>
<th>Inputs/ Levers</th>
<th>Activities and interventions</th>
<th>Intermediate and long-term outcomes</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mobilize financial resources and political will and scientific/ technical assistance...</td>
<td>By enabling the implementation of effective efforts and interventions...</td>
<td>That lead to required changes and achievement of results aligned to Strategy objectives..</td>
<td>That advance impact</td>
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Priority measures to assess progress of key Strategy change areas against medium to long term outcomes on pathway to impact will inform focus of M&E tools at country and enterprise level across the M&E components

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### Global Fund M&E Framework Components and Objectives

#### Monitoring and Oversight
- Modular Framework for grant performance
- Oversight to grant performance - contribute to performance-based funding decisions

#### Reviews and Evaluation
- Country program reviews
- Country evaluation
- Analyse/interpret monitoring data and information from mixed method research to generate evidence to inform program scaleup and improvement

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### Country

- **Monitoring and Oversight**
  - Modular Framework for grant performance
  - Oversight to grant performance - contribute to performance-based funding decisions

- **Reviews and Evaluation**
  - Country program reviews
  - Country evaluation
  - Analyse/interpret monitoring data and information from mixed method research to generate evidence to inform program scaleup and improvement

### Enterprise

- **Monitoring and Oversight**
  - Pulse Checks, Spot Checks and other in-country tools and mechanisms
  - Regular monitoring of programmatic areas (quantitative and qualitative insights) to assess whether programs are on track to meet targets and to trigger early course correction

- **Reviews and Evaluation**
  - Program and thematic evaluations and reviews
  - Provide in-depth understanding of progress in critical areas of the Strategy from effectiveness of business process to achieving outcome level change.

### Reporting mechanisms

- Results Report
- Strategic Performance Report
- Global/ Country Dashboards
- Operational Performance
- Strategic Initiatives
- Risk Report
- Evaluation Synthesis Reports

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**Objective:** facilitate continuous learning, accountability and improved decision-making to improve efficiency, effectiveness, quality and impact of Global Fund investments, aligned to achieve the goals and objectives of the 2023-2028 Strategy
Focus on KPI Framework: the KPIs, an integral part of the M&E Framework, will be organized along three layers

Beginning with the 2023-2028 Strategy, the Secretariat proposes a KPI Framework based on three layers of indicators representing different aspects of Strategic Performance measurements.

- **Impact**: Small set of high-level ("north star") metrics, aligned with investment case – equivalent to current KPI 1
- **Strategy Outcomes**: Comprehensive set of programmatic indicators measuring progress against meeting the outcomes of the 2023-2028 Strategy Objectives
- **Financial Outcomes**: Focused set of financial indicators, tracking sources of funds and grant-related uses of funds, aligned with corporate financial report

Structured and comprehensive approach to Strategic Performance Reporting

$ raised by Global Fund

$ spent in programs
Each layer of the KPI Framework has a clear focus and is aligned to measures within relevant GF reports and performance frameworks.

Impact KPIs

1. How is global and in-country effort performing?
2. How are GF-supported programs performing?
3. How are GF core operation functions performing?
4. How are Secretariat supporting corporate functions performing?

Strategy Outcome KPIs

- Defined through a series of technical consultations, including external experts, along topics aligned with Objectives of 2023-2028 Strategy (see next slides for details).
- Overseen by SC; draft indicators to be presented in July 2022 SC meeting.
- Replace current KPIs 1, 2, 4, 5, 6, 8, 9, 11 and 12

Financial Outcome KPIs

- Aligned with Corporate Financial reporting, focused on sources of funds (pledge conversion) and grant uses of funds (allocation utilization, in-country absorption).
- Overseen by AFC, draft indicators to be presented in July 2022 AFC meeting.
- Replace current KPIs 3, 7 and 10

NB: As a companion to the new KPI Framework, the Secretariat is considering developing a portal for Board/Committee members providing access to KPI data sets and interactive dashboards.

Aligned with investment case measures
Overseen by SC; draft indicators to be presented in July 2022 SC meeting.
Replace current KPI 1

Here’s a structured representation of the KPI Framework:

1. Impact KPIs
   - How is global and in-country effort performing?
   - How are GF-supported programs performing?
   - How are GF core operation functions performing?
   - How are Secretariat supporting corporate functions performing?

2. Strategy Outcome KPIs
   - Defined through a series of technical consultations, including external experts, along topics aligned with Objectives of 2023-2028 Strategy (see next slides for details).
   - Overseen by SC; draft indicators to be presented in July 2022 SC meeting.
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NB: As a companion to the new KPI Framework, the Secretariat is considering developing a portal for Board/Committee members providing access to KPI data sets and interactive dashboards.

THE GLOBAL FUND
Strategy Performance Consultations yield critical input into future Strategic Performance Reporting

Consultations focus on 11 topics

1. HIV/AIDS
2. Tuberculosis
3. Malaria
4. Maximizing People centred Integrated Systems for Health to Deliver Impact, Resilience & Sustainability
5. Market shaping/Supply Chains / Procurement
6. Data generation and use
7. Maximizing Health Equity, Gender Equality and Human Rights
8. Community Engagement & Leadership
9. Mobilizing Increased Resources for Health
10. Contribute to Pandemic Preparedness and Response
11. Cross-cutting: Partnerships (see Slide 9 for information on approach)

Leading to identification of:

- **Strategy Outcomes KPIs**, including metrics, cohorts, methodologies, and targets
- **Complementary insights**, to be given Board visibility based on need for decision-making, drawing from across the M&E Framework

With improved presentation:

- **Simpler, structured** report, organized along KPI layers (see previous slide) including KPI results and complementary insights
- **Board-level portal** in consideration, with KPI-related data downloads and eventually dashboards
Overview of Strategy Performance Consultations

The consultations are organized as a set of four workshops*, of which three are convened with external experts and one internally:

<table>
<thead>
<tr>
<th>Consultation stage</th>
<th>Objectives</th>
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| **Workshop 1** Sep-Dec 2021 | • Determine the information needs for measuring progress of the next Strategy  
• Identify what good measures exist already, what needs to change and what is missing |
| **Workshop 2** Mar-May 2022 | • Identify candidates for Strategy Outcome KPIs and Modular Framework  
• Discuss other measures as needed per topic |
| **Workshop 3** June-Aug 2022 | • Finalize Strategy Outcome KPI methodologies and propose targets  
• Continue discussion on development of future measures  
• Integrate ‘other’ measures (not in KPI or Modular Framework) with other M&E tools/mechanisms  
• Define holistic approach for reporting on Strategic performance with selection of non-KPI indicators (complementary insights) for regular communication to the Board  
• Operationalize Strategy Outcome KPIs within Secretariat, including follow-up mechanisms in case of underperformance |
| **Workshop 4+** Internal From June 2022 | • Except Partnerships – see next slide |

Where can I find more information on what was discussed in Workshop 1 & 2?

An online platform containing documents from Workshop 1 & 2 for all ten topics and further information on the consultations was created can be accessed via this link.

Password will be provided upon request

Who is participating in the workshops?

• External Participants: nominated by either Board Constituencies or technical topic lead in the secretariat (see Annex 2 for participant composition)
• Secretariat participants, technical teams and “lens focal points” in crosscutting areas

* Except Partnerships – see next slide
Organization of consultations – slightly different approach for the Partnerships topic

- The new Strategy provides greater clarity on the role of partnership in delivering on our primary goal. As described under the Partnership Enablers section of the Strategy narrative, Partnerships is “how we work”.
- Throughout Workshop 1, Partnerships was approached as a “cross-cutting lens” relevant to all 10 consultation topics. This resulted in some suggestions for Partnerships measures, but received differing levels of attention across topics. Given its importance and the need for a more standardized approach across all topics, going forward an additional focus will be put on this area.
- Indicators in the area of Partnerships will aim to measure “how we work” to deliver on our Strategy (as opposed to “what” we are working to achieve which will be measured through the other topics). Therefore, the Secretariat does not expect Partnerships measures to be in scope for the KPI Framework, but rather for indicators to be reported and appear in other areas of the M&E Framework.

What is the approach to ensure greater focus on Partnerships ‘measurement’?

Organizing a specific Strategy performance measurement consultation/workshop on Partnerships in Q2 2022

Informing the internal working group* on Partnerships that will focus on Strategy implementation and delivery to ensure continued attention and alignment on measurement

What will be the goal of these efforts?

To develop a more structured approach to measuring progress of Partnerships at both the in-country and global level that ultimately supports the Global Fund partnership to better hold itself accountable in delivering on the Strategy

* 1 of 10 Strategy Delivery Working Groups formulated to work on implementation of the 10-priority change/focus areas in the new Strategy
2. Process for identifying Strategy Outcome KPIs and Modular Framework candidates
Identifying candidates for the Strategy Outcome KPIs and Modular Framework

An outcome from the first set of measurement consultations (“Workshop 1”) was a “long list” of indicators that contribute to measuring different aspects of Strategy performance. An important next step is to determine, from among this “long list” which indicators are suitable for:

1. Regular corporate Strategy Performance Reporting and therefore inclusion in the KPI Framework and/or
2. Grant programmatic performance assessment and therefore inclusion in the Modular Framework.

The inclusion of indicators into both, or one these frameworks, will be determined through the following approach:

• The Secretariat will assess the long list of indicators against a systematic set of questions that align to the principles endorsed by the 46th Board, i.e., **importance, integration, accountability, actionability and availability** (see Slide 15 for questions)*.

• A “short list” (with prioritization) of KPIs and Modular Framework indicators (where relevant) will be shared, reviewed and discussed with external experts in the context of “Workshop 2” in Spring 2022 (see Slide 14 for high-level process).

• Suggested Strategy Outcome KPIs stemming from this process will undergo a further stage of prioritization based on usefulness and relevance to Strategic decision making before final recommendation to the Board. Targets will be discussed in “Workshop 3”.

• The Modular Framework for grants in the 2023-2025 allocation period will be publicly available following the launch of funding request materials and will also be included as an annex to the M&E Framework

*Indicators (and areas of measurement) from the initial long list that are not suitable for the KPI or Modular Framework will be taken forward and adopted, to the extent possible, by other M&E tools (to be described in the M&E Framework)
Preparing for Workshop 2

**Long list of indicators**

Selection criteria applied (see next slide) based on 4 Board approved principles + availability

- Importance
- Integration
- Accountability
- Actionability
- Availability

**Short list of indicators**

Only indicators that scored Yes/Partially on all criteria move to the short list*

**Technical leads** prioritize KPI/MF short list based on usefulness / importance

**Prioritized Short list of indicators**

*Indicators (and areas of measurement) from the initial long list that are not suitable for the KPI or Modular Framework will be taken forward and adopted, to the extent possible, by other M&E tools (to be described in the M&E Framework). These indicators will not be specifically discussed in Workshop 2 but will be a focus of Workshop 4.

Because of Board deadlines, indicators that will not be ready in time for Workshop 2 (May 2022 latest) will not be part of the KPIs or MF indicators – they will still be discussed during Workshop 2 in the context of overall M&E for GF.

**INTERNAL STEPS**

Metrics not ready yet?

- workshop 1
- workshop 2

1. Only indicators that scored Yes/Partially on all criteria move to the short list*
2. Technical leads prioritize KPI/MF short list based on usefulness / importance
3. Prioritized Short list of indicators

*Markers indicate the level of readiness of the indicators.
## Criteria for identifying KPI and Modular Framework (MF) indicators

<table>
<thead>
<tr>
<th>Principle</th>
<th>Inclusion Criteria – all of them have to be “Yes/Partially” for an indicator to be selected</th>
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<tbody>
<tr>
<td><strong>Important</strong></td>
<td><strong>Extent to which the indicator is relevant for the situation or context it will be applied in</strong></td>
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| 1. | Provide information on:  
| a. | Achievements of elements of the Strategy narrative (KPI)  
| b. | Changes to the epidemic; response to the epidemic; Effectiveness and/or quality of response (MF)  
| 2. | Is measured at highest/most informative level of results (Impact, Outcome, Coverage or Output) (KPI,MF)  
| **Integrated** | **Integration in other frameworks to promote actionability and reusability of indicators** |
| 3. | Is aligned with measures used (or planned to be included):  
| a. | In another performance framework, either at GF or in a partner framework (KPI)  
| b. | In another national M&E frameworks, or partner recommended measurement framework (MF)  
| **Accountable** | **Extent to which the indicator reflects performance of Global Fund** |
| 4. | Measures activities that are the result of:  
| a. | GF support, either through direct financial investment or other catalytic non-financial support (KPI)  
| **Actionable** | **Extent to which the indicator can be used to understand a situation and influence result in a timely manner** |
| 5. | Enables GF to make decisions and trigger actions based on assessment of the performance against defined targets (KPI, MF)  
| 6. | Allows for trend analysis and/or comparison across entities within the cohort, enabling aggregation or disaggregation of the result (KPI,MF)  
| 7. | The result of the indicator can be influenced or affected within the respective period, i.e.  
| a. | Strategy period (KPI)  
| b. | Implementation period (IP) (MF)  
| **Available** | **Extent to which it is feasible to operationalize the indicator in the context it is applied in** |
| 8. | The baseline, target and results of the indicator can be expressed as a numerical value (KPI,MF)  
| 9. | Data can be collected and analyzed in most/all relevant countries and contexts and at a reasonable cost for Secretariat or partners (KPI) (Note: Indicators for which data does not exist yet will still be considered, so long as there is a commitment that the data will be made available early enough in the Strategy cycle for the KPI to be measured)  
| 10. | Has a frequency of data collection that is:  
| a. | at least annual or semi-annual (KPI)  
| b. | at least annual or semi-annual for coverage indicators, or at least once in the IP for impact & outcome indicators (MF)  

### Prioritization

**Degree of importance for:**  
- assessing achievement of the Strategic Objective (KPI)  
- assessing grant performance (MF)  
*(please rate on scale of 1-5 with 1 being least relevant and 5 being most relevant)*
3. Considerations for the Multi-Evaluation Calendar and update on the transition to the new Evaluation Function
The Multi-Year Evaluation Calendar

The Evaluation Unit, under oversight from the Independent Evaluation Panel will execute a set of evaluations as per a multi-year evaluation calendar (MYEC) approved by the Board over the course of the next Strategy period. The objective of the MYEC is to:

1. Prioritize and schedule evaluations that will be conducted over the course of Strategy period that are a key tool, as defined in the M&E Framework, in assessing Strategy performance. In addition to the evaluations of the Strategy that are conducted at the mid-term and end-term of the Strategy, additional evaluations may be identified through the ongoing measurement consultations to provide greater understanding of progress in key areas of the Strategy and contribute to learning and driving program improvement.

2. Serve as a ‘live’ tool to identify learning and accountability needs as they arise over the Strategy period, through an ongoing systematic and transparent consultation process with all stakeholders.

3. Strengthen planning and timing of evaluations in coordination with Secretariat teams, OIG and partners to mitigate overlap and duplication of efforts and to ensure evaluations findings and recommendations are timed to inform key decision-making windows during grant and Strategy cycles.

The first MYEC will be submitted for approval by the Board in November 2022. The MYEC will be reviewed on an annual basis to assess progress of implementation, continued relevance and feasibility of planned evaluations and to gather and assess emerging evaluation needs against a systematic learning needs and prioritization criteria.

Potential areas for evaluation are being gathered through the current measurement performance consultations and will be collated as input for the MYEC once the new evaluation function is established.
<table>
<thead>
<tr>
<th>Principle*</th>
<th>At a minimum, the measurement area should adhere to the following statements whereby an independent evaluation:</th>
</tr>
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| Important | 1. **Fills a major evidence gap** in demonstrating whether the Strategy is achieving outcome level change in at least one of its objectives (that cannot otherwise be meaningfully addressed through simple or single quantitative measures stemming from routine monitoring systems alone)?  
2. **Aligns to a critical new or emerging focus in the Strategy** for which an evaluation will contribute to valuable 'new' learning on program implementation over the Strategy period |
| Integrated | 3. Will be able to draw on supporting data – it is likely that **related data is available** for example on milestones, inputs and outputs along the causal pathway to outcome from other monitoring tools and frameworks  
4. At the country level would support a recognized evidence gap that country partners could be willing to **integrate the evaluation into national M&E plans or in the future national program reviews** *(in a cohort of countries that could be considered as representative of the portfolio)* |
| Accountable | 5. **Assesses performance of activities that are result of Global Fund support**, either through direct financial investment or other catalytic non-financial support |
| Actionable | 6. Enables a comprehensive, objective **assessment** of whether investments in this area are achieving **desired outcomes** that can be **clearly articulated and agreed upon by partners from the start of the Strategy** *(preferably late 2022/early 2023)*.  
7. Will likely be able to **provide a quantitative assessment of qualitative information** to allow for **comparison** over time and across countries/regions  
8. If conducted at a few time points through the Strategy will **deliver learning and findings** that enables Global Fund and country stakeholders to **make decisions** and **take actions** by the end of the Strategy |
| Available | 9. Can be designed so that a **baseline to the evaluation can be feasibly conducted in 2023**  
10. **Access to data** including data related on milestones, inputs and outputs along the causal pathway will be made available to evaluators |

*Based on the set of principles approved by the Board to identity the next set of KPIs but can be broadly applied to different M&E tools to support prioritization of M&E activities.*
Update on transition to the New Evaluation Function

Transition from TERG to IEP
- Over the course of 2022 the TERG will complete its workplan as approved by the SC in December 2021.
- In 2022 the focus of the IEP and CELO will be on operationalizing the new evaluation function (i.e., SoPs) and the multi-year evaluation calendar.
- Any TERG evaluations/activities ongoing at end 2022 will be continued under Evaluation Unit and IEP in 2023.

Establishing the IEP
- Applications for IEP members were received over a one-month period (between Feb-March). Approx. 120 applications received.
- The IEP Selection Working Group (WG) approved by the SC in January 2022.
- The WG will review applications and interview potential candidates over March/April, will recommend the IEP Chair and members for recommendation to the SC in May/June.

Recruitment of the Chief Evaluation and Learning Officer (CELO)
- Recruitment period completed.
- Onboarding of CELO expected around June.

Secretariat Evaluation Unit
- Internal transition steps ongoing. Evaluation Unit to be fully staffed once CELO is appointed.
Annexes & Background Materials
The following items can be found in Annex:

1. **Annex 1: Global Fund High Level Theory of Change**
2. **Annex 2: External participant composition in consultations**
3. **Annex 3: Modular Framework and KPI Framework indicators**
The Theory of Change for the Global Fund and adaption to the new Strategy

• The Global Fund partnership has a well-established and proven theory of change based on the principles of country-ownership, evidence-based interventions and a multi-stakeholder partnership.

• The 2023-2028 Strategy describes the specific priorities of Global Fund investments vis-à-vis the actions of other partners and identifies the most important strategic areas of engagement, specific and common to the three diseases, that will accelerate the pace of program implementation and achievement of partnership wide results.

• The new Strategy directs the underlying Theory of Change to articulate and plan how the Global Fund actions, efforts and investments, working in partnership with others, through a series of ‘levers’ can put greater emphasis on certain elements to accelerate progress, enhance impact and ensure sustainability of investments.

• Progress through a set of key change pathways is modulated by Global Fund’s successful application of its levers as part of Strategy delivery and is based on a set of underlying contextual assumptions and enablers, including clear roles and accountabilities of partners.

• The interconnected change pathways contribute to the achievement of medium and long-term outcomes that in turn advance impact as defined by the Strategy.

• Global Fund teams are using the logic of the ToC as they focus on the key changes identified by the new Strategy and to inform Strategy delivery efforts.

• The ToC will guide the development of the Strategy M&E Framework by informing the key questions and insights for which data is required to measure progress of the change areas and achievement of outcomes, as well as to prioritize the most critical measurement areas for Strategy level key performance indicators.
Underlying Theory of Change for the Global Fund Model

**Mobilize financial resources and political will and scientific/technical assistance...**

**Inputs/ Levers**

- Raise funds
  - Raise funds based on investment case targets
- Policies for allocation & sustainability
  - Policies ensure appropriate allocation of resources and strengthened financial sustainability
- Grant design, review & approval
  - Quality grants designed based on country context, aligned to technical guidance and Strategy objectives
- Sourcing operations
  - Effective and efficient sourcing operations
- Implementation mechanisms
  - Mechanisms during grant implementation support successful delivery and achievement of grant results
- Performance management
  - Effective performance management leads to learning and continuous improvement for current and future cycle of grants

**Activities and interventions**

- To prevent transmission of HTM
- To improve access to quality treatment and care
- To tackle the socio-economic determinants of HTM, including human rights related barriers, gender inequalities and other inequities
- To reinforce systems for health, including community systems, to enable sustainable and effective delivery of interventions, and to ensure no one is left behind

**Intermediate and long-term outcomes**

- Maximizing People-centered Integrated Systems for Health to Deliver Impact, Resilience and Sustainability
  - Tangible improvements in the integration, resilience, sustainability and inclusivity of systems for health, including community systems, as a platform for UHC
- Maximizing Health Equity, Gender Equality and Human Rights
  - Demonstrable progress in reducing health inequities, including those arising from human rights related barriers and gender inequalities
- Maximizing the Engagement and Leadership of Most Affected Communities to Leave No One Behind
  - Communities are enabled to engage and influence global health ecosystem and full grant life cycle
- Mobilizing Increased Resources
  - Domestic financial and program resources mobilized to achieve and sustain results
- Contribute to Pandemic Preparedness and Response
  - Pandemic preparedness & response capabilities strengthened

**Impact**

- Rapid and sustainable progress in reducing incidence and mortality from HTM and to achieve SDG3 target of ending HTM as public health threats and achieving health and wellbeing for all

**Assumptions:**

- Donors & countries fulfill funding commitments
- Technical partner guidance available, relevant and impactful
- Necessary partners engaged for meaningful participation from grant design to oversight
- A culture of learning exists at all stages to drive program improvement
Directing the underlying Global Fund Theory of Change to deliver on the new Strategy

A set of key changes are identified in the new Strategy to put greater emphasis on areas that will accelerate progress of implementation to deliver the ambition of the Strategy

Across all three diseases, an intensified focus on prevention.

Emphasis on integrated, people-centered services

Focus on accelerating the equitable deployment of and access to innovations

Much greater emphasis on data-driven decision-making

Systematic approach to supporting the development and integration of community systems for health

Intensified action to address inequities, human rights and gender-related barriers

A stronger role and voice for communities living with and affected by the diseases

Emphasis on programmatic and financial sustainability

Explicit recognition of the role the GF partnership can and should play in pandemic preparedness and response

The changes are operationalized though levers within the GF model

Raise funds

To prevent transmission of HTM

Policies for allocation & sustainability

To reduce mortality resulting from HTM

Grant design, review & approval

To tackle the socio-economic determinants of HTM, including human rights related barriers, gender inequalities and other inequities

Sourcing operations

To reinforce systems for health, including community systems, to enable sustainable and effective delivery of interventions, and to ensure no one is left behind

Implementation mechanisms

To influence key activities and interventions

Performance management

To achieve the intermediate and long-term outcomes aligned to the Strategy objectives*

Maximizing People-centered Integrated Systems for Health to Deliver Impact, Resilience and Sustainability

Tangible improvements in the integration, resilience, sustainability and inclusivity of systems for health, including community systems, as a platform for UHC

Services are integrated, people-centered, and of high quality

Innovations equitably introduced and taken up

Decision-making based on quality and timely data and evidence

Enhanced, tailored community responses, including service delivery platforms

Maximizing Health Equity, Gender Equality and Human Rights

Demonstrable progress in reducing health inequities, including those arising from human rights related barriers and gender inequalities

Maximizing the Engagement and Leadership of Most Affected Communities to Leave No One Behind

Communities are enabled to engage and influence global health ecosystem and full grant life cycle

Mobilizing Increased Resources

Domestic financial and program resources mobilized to achieve and sustain results

Contribute to Pandemic Preparedness and Response

Pandemic preparedness & response capabilities strengthened

To ultimately achieve impact

Rapid and sustainable progress in reducing incidence and mortality from HTM and to achieve SDG3 target of ending HTM as public health threats

And

Achieving health and wellbeing for all

Equity in access to effective quality HTM prevention, treatment, care and support programs

*Specific outcomes and results being defined by technical teams and measures discussed in measurement consultations

Enabled by partners with clear roles & accountabilities, the Global Fund funding model is designed to deliver efficient, effective and catalytic investments aligned to the objectives of the 2023-2028 Strategy
External participant composition in consultations (1/3)

As of end 2021, for the 10 “Workshop-1” organized, 334 external experts contacted, out of those 34% were recommended by Board constituencies (and others were by Global Fund specialists)

Composition of external experts:

Breakdown of external experts by topic:
- Equity, Human Rights, Gender Equality
- PPR
- HIV
- Health Financing
- Communities
- Malaria
- Data Generation Use
- RSSH
- TB
- Market Shaping, Supply Chains

Breakdown of external experts by sector:
- Technical Partner
- Community
- Academic
- NGO
- Ind. Consultant
- Gov.
- Private Sector

Many experts recommended for CRG + RSSH/PPR topics

Most experts are from technical partners or agencies. But strong representation from NGOs/communities
Even if most (63%) external experts are based in donor countries (especially Geneva, with WHO and UNAIDS colleagues), there is still a strong participation of experts from implementing countries.

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

Experts from implementing countries have larger representation in Communities and disease-related topics, but there are mostly donor countries experts for RSSH topics.

Most of the experts from Communities or independent consultants are based in implementing countries. Most of technical partners or academic experts are based in donor countries.
External participant composition in consultations (3/3)

Experts’ sector differ significantly depending on the topic

<table>
<thead>
<tr>
<th>Breakdown of external experts by topic and sector</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communities</td>
</tr>
<tr>
<td>Data Generation Use</td>
</tr>
<tr>
<td>Equity, Human Rights, Gender Equality</td>
</tr>
<tr>
<td>Health Financing</td>
</tr>
<tr>
<td>HIV</td>
</tr>
<tr>
<td>Malaria</td>
</tr>
<tr>
<td>Market Shaping, Supply Chains</td>
</tr>
<tr>
<td>PPR</td>
</tr>
<tr>
<td>RSSH</td>
</tr>
<tr>
<td>TB</td>
</tr>
</tbody>
</table>

- **Strong representation of experts from communities in the topic dedicated to community engagement and leadership**
- **Strong representation of government implementers (NMCPs) in the malaria topic**
What is the difference between the KPI and Modular frameworks?

### KPI framework – currently app. 45-50 metrics for the 2017-2022 Strategy cycle

<table>
<thead>
<tr>
<th>What?</th>
<th>How?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Set of indicators that measure GF performance</td>
<td>• Defined for a given Strategy cycle (6 years)</td>
</tr>
<tr>
<td>• A few indicators focusing on most of GF activities, including</td>
<td>• Defined and approved by the GF Board</td>
</tr>
<tr>
<td>financial, procurement, etc (wide and high-level)</td>
<td>• Target set at global level by the GF Board</td>
</tr>
<tr>
<td>• Used for oversight and to support executive decision making</td>
<td>• Targets linked to GF investment case</td>
</tr>
<tr>
<td>(Board, MEC)</td>
<td></td>
</tr>
<tr>
<td>• Used for communication to donors and public</td>
<td></td>
</tr>
</tbody>
</table>

### Modular framework – currently app. 80 indicators for the 2020-2022 allocation period cycle

<table>
<thead>
<tr>
<th>What?</th>
<th>How?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Catalog of indicators that can be used to measure grant</td>
<td>• Defined for a given allocation cycle (3 years)</td>
</tr>
<tr>
<td>performance</td>
<td>• Defined and approved in collaboration with technical partners</td>
</tr>
<tr>
<td>• Many indicators, but focusing on programmatic and RSSH activities</td>
<td>• Selection of actual indicators to be used, and their target, is</td>
</tr>
<tr>
<td>(narrow and detailed)</td>
<td>specific to each grant and done through GAC</td>
</tr>
<tr>
<td>• Used for oversight at grant level and as an element of</td>
<td>• Targets linked to available funding in country + corresponding NSP</td>
</tr>
<tr>
<td>performance-based funding</td>
<td></td>
</tr>
<tr>
<td>• Used for communication to implementers and in-country partners</td>
<td></td>
</tr>
</tbody>
</table>

Even though the KPI and Modular frameworks are designed for different purposes, we need them to be strongly aligned to ensure that we measure performance with similar metrics at the global level and at the country level. In the current cycle, approx. 15 metrics are common between the KPI and the modular framework.
Process flow for identifying Modular Framework and Strategy Outcome KPI Framework indicators

1) Indicator Definition, Measurement approach & data source will be defined by 31 May?*

2) Identify in which framework the measure should be included?
   - YES
   - NO

   - Not in scope for KPI or Modular Framework (MF)
     - OUT of scope for KPI or Modular Framework (MF)

   - YES
     - 2a) Measure meets MF criteria (MECA)
       - Flag as MF candidate
       - MF

   - NO
     - 2b) Measure meets KPI criteria (KPI team)
       - Flag as KPI candidate
       - KPI

     - 2c) Measures do not meet MF criteria. To be assigned to other M&E frameworks or tools
       - Flag as candidate for Other frameworks
       - OTH

   - YES
     - 3) Prioritize & finalize KPIs. (External participants)
       - Critical for Workshop 2
       - Change
       - New
       - Remove

   - NO

   - 4) Measure provides context to KPI result (KPI team)
     - Flag as KPI driver candidate
     - KPI driver

Key assumption:
1. Measures refer to both indicators and measurement areas
2. Measures are not mutually exclusive to frameworks so a given measure can be included in multiple frameworks.
3. Measures identified as KPI or KPI drivers must be integrated in a GF framework or be a standard global indicator reported by countries

Note: Data source should be usable, consistent & available for the duration of 2023-2028 Strategy cycle.
In exceptional cases, data needs to be available 6 months prior to the first Strategy Performance Report schedule for 2023-2028 Strategy cycle to allow for baseline and target setting
**Illustration – applying Strategy Outcome KPI selection criteria to a few existing KPIs**

<table>
<thead>
<tr>
<th>Inclusion Criteria – all of them have to be “Yes/Partially” for an indicator to be selected</th>
<th>2 – TB notifications</th>
<th>5a - KP funding in HIV grants</th>
<th>6a - national procurement prices</th>
<th>6b - On shelf availability</th>
<th>6c - Funding request aligned to NSP</th>
<th>6f – Funding request aligned to NSP</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Provide information on achievements of elements of the <strong>Strategy narrative</strong></td>
<td>✔</td>
<td></td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>2. Is measured at highest/most informative level of results (Impact, Outcome, Coverage or Output)</td>
<td></td>
<td>✔</td>
<td>✗</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>3. Is <strong>aligned</strong> with measures used (or planned to be included) in another performance framework, either at GF or in a partner framework</td>
<td>✔</td>
<td>✔</td>
<td>✗</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>4. Measures activities that are the result of <strong>Global Fund support</strong>, either through direct financial investment or other catalytic non-financial support</td>
<td>✔</td>
<td>✗</td>
<td>✗</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>5. Enables GF to <strong>make decisions</strong> and <strong>trigger actions based on</strong> assessment of the performance against defined targets</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✗</td>
<td>✔</td>
</tr>
<tr>
<td>6. Allows for trend analysis and/or comparison across entities within the cohort, enabling aggregation or disaggregation of the result</td>
<td>✔</td>
<td>✗</td>
<td></td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>7. The result of the indicator can be influenced or affected within the respective Strategy <strong>period</strong></td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✗</td>
<td>✔</td>
</tr>
<tr>
<td>8. The baseline, target and results of the indicator can be expressed as a <strong>numerical</strong> value</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✗</td>
<td>✔</td>
</tr>
<tr>
<td>9. Data can be <strong>collected</strong> and <strong>analyzed</strong> in most/all relevant countries and contexts and at a reasonable cost for Secretariat or partners</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✗</td>
</tr>
<tr>
<td>10. Has a <strong>frequency</strong> of data collection that is at least annual or semi-annual</td>
<td>✔</td>
<td>✗</td>
<td>✗</td>
<td>✗</td>
<td>✗</td>
<td>✗</td>
</tr>
</tbody>
</table>
Illustration – applying Strategy Outcome KPI selection criteria to a few existing KPIs (details)

<table>
<thead>
<tr>
<th>Inclusion Criteria – all of them have to be “Yes/Partially” for an indicator to be selected</th>
<th>2 – TB notifications</th>
<th>Funding in HIV</th>
<th>5a– national procurement prices</th>
<th>6a– On shelf availability</th>
<th>6b– Funding request aligned to NSP</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Link to Strategy narrative</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>2. Level of results (Impact, Outcome, Coverage or Output)</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>3. Is aligned with other measures used</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>4. Result of GF support</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>5. Enables GF to make decisions and trigger actions</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>6. Allows for trend analysis and/or comparison</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>7. Result can be influenced or affected within Strategy period</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>8. Can be expressed as a numerical value</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>9. Data can be collected and analyzed</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>10. Frequency of data collection at least annual or semi-annual</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
</tbody>
</table>

**Input measure**

Used only for KPI reporting, no link to other measures

**NB**: recommended to use “#TB notifications” (and not “TB notification rate”) to align with indicator used in grants

No specific GF activity/initiative to support national procurement

No action GF can take to directly respond to KPI

Interpretation of individual result (good?/bad?) very country-specific (what is funded domestically?)

Measured once every 3 years (allocation cycle). Second result cannot be influenced in period

Each data point refreshed every 3 years

Could be contextual info to Board, supporting KPI for KP prevention

Could be contextual info to Board, (avg price per channel?) supporting KPI on Market Shaping

Could be GF internal measure for FR/TRP review-related processes